Midterm Review

"Sixth Operational Phase of the GEF Small Grants Programme in Thailand"

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Final Evaluation Report

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GEF Focal Area: Multi-focal area (GEF-6): Biodiversity, Land Degradation, Climate Change

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Acronyms and Abbreviations

Acronym	Definition
COMDEKS	Community Development and Knowledge Management of the Satoyama Initiative
CPM	Country Programme Manager
CPMU	Country Programme Management Unit
CSO	Civil Society Organization
GEF	Global Environment Facility
ICCA	Indigenous and Community Conservation Area
IUCN	International Union for Conservation of Nature
KKFC	Kaeng Krachan Forest Complex
LDD	Land Development Department
M&E	Monitoring and Evaluation
MTR	Midterm Review
NGO	Non-governmental organization
NSC	National Steering Committee
OECD DAC	Organization for Economic Co-operation and Development's Development Assistance Committee
OP	Operational Phase
PIF	Project Identification Form
PIR	Project Implementation Review
PMC	Project Management Costs
PRF	Project's Results Framework
Prodoc	Project Document
RFD	Royal Forest Department
SEPLS	Socio Ecological Production Landscapes and Seascapes
SESP	Social and Environmental Screening Procedure
SGP	Small Grants Programme
SMART	Specific, Measurable, Achievable, Relevant and Time-bound
STAP	Scientific and Technical Advisory Panel
STAR	System for Transparent Allocation of Resources
ToR	Terms of Reference
UCP	Upgraded Country Programme
UNDP	United Nations Development Programme
UNDP CO	United Nations Development Programme Country Office
UNEG	United Nations Evaluation Group
UNOPS	United Nations Office for Project Services

"Sixth Operational Phase of the GEF Small Grants Programme in Thailand"
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1. Executive Summary

Overview of the review project

The project "Sixth Operational Phase of the GEF SGP in Thailand" is a full-sized project funded by the Global Environment Facility (GEF), implemented by the United Nations Development Programme (UNDP) and executed by the United Nations Office for Project Services (UNOPS). The objective of the project is "to enable community organizations in four diverse regions of Thailand to take collective action for adaptive landscape and seascape management for socio-ecological resilience - through design, implementation and evaluation of grant projects for global environmental benefits and sustainable development". Component 1 focuses on institutional structures and strategies at the landscape level, component 2, on implementing community level project; component 3, on the establishment of policy platforms; and component 4, on the development and implementation of strategic projects. The project is implemented in four regions of Thailand: Mae Lao Watershed; Phetchabun Mountains; Kaeng Krachan Forest Complex (KKFC); Phang Nga Bay. This three-year project started on September 6th, 2019 and is planned to end in September 2022.

Review objectives and scope

The purpose of this assignment is to conduct the midterm review (MTR) of the above-mentioned project. This MTR analyzes whether the programme is on-track, what problems or challenges it is encountering, and what corrective actions are required. This MTR assesses the performance of the programme since its CEO endorsement (September 2019) up to May 2021, referring also in some instance to its design. The findings of this MTR are based on a desk review of relevant documents and interviews of a selection of stakeholders. Based on the information collected, the evaluators have cross-analysed and triangulated the data in order to inform the selected indicators and answer the evaluation questions.

Overall evaluation rating of the project and key features of performance

The project is relevant. Progress towards results is moderately satisfactory, with some important concerns on component 2. Project Implementation & Adaptive Management is satisfactory. Sustainability of project results is moderately likely. The overall rating is Moderately Satisfactory.

Table 1. MTR Ratings & Achievement Summary Table

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	The problem addressed by the project is highly relevant to its context. Some elements of the strategy (the participatory landscape approach) are effective to achieve intended results, but climate change adaptation is not properly designed. The project is in line with national and local priorities and has involved most relevant stakeholders, including women. The project's structure is adequate, but the results framework has important caveats, and many targets, particularly for outcome 2, are not realistic.

Progress Towards Results	Objective Achievement Rating: Moderately Unsatisfactory	By its end, at the objective level, the project will likely meet one of its end of the project targets and will not likely meet two of its end of the project targets.
	Outcome 1 Achievement Rating: Satisfactory	By its end, the project is likely to achieve all its end of the project targets.
	Outcome 2 Achievement Rating: Moderately unsatisfactory.	By its end, the project will likely make progress in increasing the area under sustainable practices but is not likely to meet its four end of the project targets – indeed the project will likely be far from meeting those targets by its end.
	Outcome 3 Achievement Rating: Satisfactory	By its end, the project is likely to meet 3 of its end of the project target. By then, the project is likely to make progress on the other end of the project target but will not likely meet it.
	Outcome 4 Achievement Rating: Satisfactory.	By its end, the project is likely to achieve its only end of the project target.
Project Implementation & Adaptive Management	Satisfactory	Although the general structure of implementation arrangements is adequate, management has faced important challenges, including limited human resources for the volume of work and not fully appropriate capacities, and not fully adequate communication between implementing and executing parties. There are important delays and expenditure has been limited, mostly due to COVID-19. As of April 2021, project management related expenditure represented 12.7 per cent of total disbursement. The PRF is inadequate. Reporting has been overall good, with room for improvement regarding targets. Identification of risks and implementation of mitigation measures is overall appropriate, except regarding climate change and partially COVID-19. Engagement of stakeholders has been good. Progress has been made on knowledge management and communication, although the bulk of the work on this matter starts now.
Sustainability	Moderately likely	Financial sustainability is likely through international funds, which need to be mobilized. Social sustainability is likely. Although some important progress has been made, there are risks regarding sustainability from the perspective of the legal, policy and regulatory framework perspective. Climate change is a significant risk to sustainability that has not been adequately addressed.

Recommendations

Based on the discussions in the different sections, the mid-term review has the following recommendations:

Table 2. Summary of recommendations with responsible parties

No.	Recommendation	Responsible party
1	Accelerate delivery, by approving the landscape strategies, providing support to grantees on the implementation of grants and expediting the development and t approval of the strategic projects	CPMU, NSC, UNDP, UNOPS
2	Monitor delivery and assess in six months the need to request a project extension, identifying from now co-financing sources to support project implementation	CPMU, NSC, UNDP, UNOPS
3	Ensure long term funding for landscape work, by conducting advocacy to make sure that GEF OP8 resources are allocated to SGP/UPC in Thailand and the same landscapes	CPMU, NSC, UNDP, UNOPS
4	Strengthen M&E and reporting, by i) revising the PRF, adding SMART indicators, baselines, targets and means and sources of verification to monitor and evaluate the impacts of the project on the health of ecosystems, socio-economic conditions and resilience to climate change, strengthening some outcome level indicators; strengthening the gender perspective; and ii) ensuring that reporting follows the PRF more closely.	UNDP, UNOPS, NSC, CPMU
5	Strengthen the human capacity for project management related activities, by hiring additional human resources to support the CPMU, with specific qualifications in M&E and knowledge management.	UNDP, UNOPS
6	Further engaging landscape facilitators to follow up the implementation of the sub-projects through strategic projects	CPMU, NSC, UNDP, UNOPS
7	Enhance communication between parties, by continuing the organization of regular calls between UNDP, UNOPS and the CPMU, and establishing more regular, fluid and transparent communication between CPMU and UNDP CO	UNDP, UNOPS CPMU
8	Further address the risks posed by COVID-19, by assessing in detail how COVID-19 could affect the sustainability of the project and identifying actions that would likely address this risk	CPMU, NSC, UNDP, UNOPS
9	Promote climate change adaptation, by conducting a rapid climate change risks assessment, assessing to what extent the practices to be promoted contribute to climate change adaptation and identifying and making adjustments whenever relevant and feasible	CPMU, NSC, UNDP, UNOPs
10	Strengthen knowledge management and communication, by approving the knowledge management and communication strategies and implementing them	NSC, CPMU, UNDP, UNOPs

2. Introduction

2.1. Purpose of the MTR and objectives

The purpose of this assignment is to conduct the midterm review (MTR) of the Sixth Operational Phase (OP) of the Global Environment Facility (GEF) Small Grants Programme (SGP) in Thailand. As indicated in the Terms of Reference (ToR), this aims to:

- Assess progress towards the achievement of the project objectives and outcomes as specified in the project document;
- Assess early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve intended results; and
- Review the project strategy and its risks to sustainability.

2.2. Scope and methodology

2.2.1. Scope

This MTR assesses the performance of the project since its start (September 2019) up to 30 May 2021[1], referring also in some instance to its design. The MTR assesses progress with regards to:

- Project strategy: project design, results framework;
- Progress towards results (outcomes);
- Project implementation and adaptive management: management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation (M&E) systems, stakeholder engagement, social and environmental standards, reporting, and communication and knowledge management; and
- Sustainability: financial, social, institutional framework and governance, and environmental risks to sustainability.

It provides conclusions and recommendations derived from the findings and rates project's results according to the template provided.

2.2.2. Methodology

This MTR has been implemented following a structured process that integrates data collection and data analysis, in order to assess the relevance, effectiveness, efficiency, and sustainability of results of the ongoing project, proposing recommendations for the remainder of the implementation. The evaluation

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[1] For financial data the report covers up to 30 April, 2021.

has been conducted considering Organization for Economic Co-operation and Development (OECD)'s Development Assistance Committee (DAC) criteria, and following ToRs and *the Guidance for conducting midterm reviews of United Nations Development Programme (UNDP)-supported, GEF-financed projects*. The evaluation has also been carried out in accordance with United Nations Evaluation Group (UNEG)'s Code of Conduct for Midterm Review Consultants. In this sense, the evaluation has adopted a collaborative and participatory approach ensuring close engagement with key stakeholders and provides information that is based on evidence, credible, reliable and useful.

2.2.2.1. Data collection

Both primary and secondary data have been collected. Secondary data have been collected from project management staff and partners as well as through desk review of project documents, policy documents and others – a list of consulted documents is provided in Annex 6.2. Primary data have been collected mostly through interviews. Given travel restrictions related to the COVID-19 pandemic, all interviews have been conducted remotely. In total, 21 stakeholders have been interviewed, including 6 members of the National Steering Committee (NSC) (2 representatives of the government, 2 of academia and 2 of national Non-Governmental Organisations (NGOs) and 9 landscape level stakeholders (5 landscape facilitators and 4 grantees). Annex 6.3 indicates the consulted stakeholders.

2.2.2.2. Data analysis

The evaluator has compiled and analysed all collected data on progress towards meeting the project targets, intermediate results achieved, and gaps reported, if any. In order to ensure that the information was collected and cross-checked by a variety of informants, data triangulation has been a key tool for the verification and confirmation of the information collected. Findings are related to pertinent information through interpretative analysis. This systematic approach ensures all the findings, conclusions and recommendations are substantiated by evidence.

2.2.2.3. Analytical framework

The following elements have been used as the analytical framework for this evaluation:

- **Evaluation matrix:** Based on an initial documentation review and following UNDP's Evaluation Guidance document, an evaluation matrix was elaborated and is included in Annex 6.1. The MTR matrix is a key tool for data collection and analysis. It includes the evaluation questions as set in the ToR and details the most relevant qualitative and quantitative indicators that inform on the evaluative questions, information sources and data collection methods.
- **MTR Ratings and Achievements Summary Table:** This framework has been used to provide specific ratings for achievements to date.
- **Triangulation** of information ensures the validity and accuracy of findings.
- **Participatory and gender-sensitive approach:** to ensure that the perspectives of most vulnerable populations are considered in the evaluation.

2.2.2.4. Process

This MTR has been structured around three phases. The consultancy started with documentation review. This allowed the reviewers to clarify the context around the project and identify the main challenges of the review mission and information gaps to be completed. The analytical framework and related evaluation matrix were developed based on this preliminary document review. An Inception Report was then developed to clarify the evaluation process. Once the Inception Report was approved, the reviewers undertook data collection as described in Section 2.2.2.1 above. Once all relevant information was acquired, the reviewers proceeded to data triangulation, and careful analysis of all collected data, in order to establish evidence-based findings and draw well-informed conclusions and recommendations for the second half of the project. On this basis, this draft MTR report has been prepared, following the Guidance for conducting midterm reviews of UNDP-supported, GEF-financed projects.

This draft MTR report was submitted to UNOPS, UNDP and the Country Programme Management Unit (CPMU). Comments received were taken into account for the finalization of the MTR report. A comment response matrix was provided in order to track the comments and the response given.

2.2.2.5. Limitations

As noted, this MTR has been conducted remotely. Given COVID-19 restrictions, the international evaluator has not travelled to Thailand. Although this was originally foreseen, the national consultant has not been able to travel to the field. This is the only limitation of the MTR methods. However, as sustainable natural resources management activities have not yet started on the ground, this is considered a minor shortcoming. As mentioned, the evaluation team has reviewed a large set of relevant documents and interviewed a wide range of stakeholders, including beneficiaries in the field. There were no substantive limitations associated with language, as the national consultant conducted interviews in Thai with stakeholders that did not speak English, using agreed upon interview protocols and providing interview notes to the international evaluator. Enough relevant information was collected. In this sense, findings are substantiated by evidence.

2.3. Structure of the MTR report

This draft MTR report is organized as follows. Section 1 provides the executive summary, which will be developed during the preparation of the final evaluation report. Section 2 explains the purpose, scope and methodology of the evaluation, and presents the structure of the report. Section 3 provides a brief description of the project and its background. Section 4 presents the findings of the assessment, focusing in particular on project strategy, progress towards results, project implementation and adaptive management, and sustainability. Section 5 presents the conclusions, lessons and recommendations. Finally, section 6 provides the annexes, which include the evaluation matrix, the list of consulted documents, the list of consulted stakeholders, and the interview protocols.

3. Project description and background context

Climate variability is affecting Thailand in many ways. The country is facing increasing droughts, and water shortage, as well as flooding. Climate change is projected to worsen these trends. Social and ecological systems are very vulnerable to these changes. Thailand hosts very important natural systems, including forests and seascapes, that provide significant ecosystems services to people. Climate variability and change is reducing the provision of these services, increasing the vulnerability of people across the country.

The impacts of climate are compounded by non-climatic pressures on ecosystems. Natural resources management practices are overall increasing vulnerability rather than reducing it. Some of the world's most biodiverse forests, which are also globally important repositories of carbon, are located in Thailand. They are, however, under threat from on-going urban, agricultural, and infrastructure development that is resulting in extensive habitat destruction and degradation. Agricultural areas are also under pressure from expanding urban areas. Clearing additional space for farming had impacts on the quality of the soil leading to low yields and poor quality of agricultural produce. Seascapes are equally affected. Commercial shipping routes are invading community fishing areas.

Five decades of public promotion of monocultures as a primary policy to increase GDP has resulted in widespread habitat conversion and resource degradation. The percentage of altered land cover by watershed ranges between 41-60 %. Promotion of two paddy crops a year, or three every two years, regardless of rainfall or irrigation systems, is the primary cause. Cash crops and tree species promoted include corn, cassava, rubber and oil palm. Other practices such as growing crops on sloping lands without any methods to protect soil erosion result in the loss of nutrients from top soil as well as sedimentation and contamination of the soil downstream. At the same time, native varieties are disappearing due to the lack of a systematic way to document and transfer indigenous knowledge.

There is a need for a paradigm shift on natural resource management in Thailand, to ensure long-term conservation of ecosystem services and increase human well-being and resilience. For this to happen, there is a need to involve local communities and provide them with appropriate incentives. However, government development projects have low level of community participation. Community level organizations in Thailand often lack essential adaptive management capabilities such as the technical know-how, the planning skills, the innovation and experimentation capacities and the organizational abilities to become effective agents for the coordinated, long term development or maintenance of socio-ecological landscape resilience.

The Sixth Operational Phase of the GEF SGP in Thailand has been conceived to address this development problem. In particular, the objective of the project is "to enable community organizations in four diverse regions of Thailand to take collective action for adaptive landscape and seascape management for socio-ecological resilience - through design, implementation and evaluation of grant projects for global

environmental benefits and sustainable development". The project seeks to promote sustainable landscape and seascape management through the strengthening of viable agro-forestry and sustainable agriculture practices and systems that improve soil and water conservation, increase the conservation and sustainable use of biodiversity, and enhance the innovative use of renewable energy. The project has a single component supported by four outcomes:

- Outcome 1: Multi-stakeholder partnerships in four pilot landscapes and seascapes – Mae Lao Watershed; Phetchabun Mountains; Kaeng Krachan Forest Complex; Phang Nga Bay - develop and execute adaptive management plans to enhance landscape/seascape and community resilience with global environmental benefits;
- Outcome 2: Community organizations in landscape/seascape level networks build their adaptive management capacities by implementing community level projects and collaborating in managing landscape resources and processes to achieve socio ecological production landscape resiliency;
- Component 3: Multi-stakeholder landscape and seascape management groups, local policy makers and subnational/national advisors organized in landscape policy platforms discuss potential policy innovations based on analysis of project experience and lessons learned;
- Component 4: Multi-stakeholder partnerships develop and implement strategic projects to bring adoption of specific successful SGP-supported technologies, practices or systems to a tipping point in each landscape through engagement of potential financial partners, policy makers and national/subnational advisors and institutions, as well as the private sector.

The "Sixth Operational Phase of the GEF SGP in Thailand" (SGP6) is funded by the GEF, implemented by UNDP and executed by the United Nations Office for Project Services (UNOPS). UNDP provides programme oversight at the global and country levels. UNOPS provides Country Programme implementation services, including human resources and financial management.

The project implementation is governed by a National Steering Committee (NSC) comprised of representatives with expertise in the relevant GEF focal areas of biodiversity, land degradation, and climate change mitigation[2]. The NSC members include UNDP, government ministries (i.e. the Ministry of Energy, the Ministry of Agriculture and Cooperatives, and the Ministry of Natural Resources and Environment), the academia (i.e. Prince of Songkhla University, Khon Kaen University and Naresuan University), and NGOs (i.e. the Sustainable Habitat Development Association, the Indigenous Knowledge and People Network for Capacity Building in Mainland Montane South-East Asia, and the Thai Fund Foundation). The Country Programme Manager (CPM) (formerly National Coordinator) and a Programme Assistant are responsible for the day-to-day management of the project.

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[2] It is worth mentioning that although the project is not officially under GEF's climate change adaptation focal area, the objective and the approach suggest the project could be considered an ecosystem-based adaptation project. The objective of the project explicitly refers to socio-ecological resilience, which can be understood as resilience to external shocks, including climate change. The project seeks to build resilience by improving the health of ecosystems. This is discussed in more detail in section 4.1.1.

This three-year project started on September 6th, 2019 and is planned to end in September 2022. It is implemented in four regions of Thailand: Mae Lao Watershed; Phetchabun Mountains; Kaeng Krachan Forest Complex (KKFC); Phang Nga Bay. The total cost of the project is USD 7,790,620, of which USD 2,381,620 is provided as a GEF grant, and the remaining USD 5,409,000 provided by planned parallel co-financing from the Land Development Department (LDD) of the Ministry of Agriculture and Cooperatives, the Royal Forest Department (RFD) of the Ministry of Natural Resources and Environment, International Union for Conservation of Nature (IUCN), the UNDP Country Office, and other grantees.

4. Findings

4.1. Project strategy

4.1.1. Project design

To what extent is the problem addressed by the project relevant to its context?

The problem addressed by the project is highly relevant to its context. Ecological systems in selected areas are highly vulnerable to climate change. Their degradation increases the vulnerability of communities to changes in climate-related variables, at the same time it contributes to greenhouse gas emissions. Individuals and community organisations in these degraded landscapes do not have the technical, institutional, and financial capacity to develop sustainable natural resources management practices that could contribute to the restoration of ecosystems and the services they provide and, in that way, to increase their resilience to climate change and to climate change mitigation. Current government led initiatives do not have the capacity to reach out and work with the remote and poor communities that the project intends to support.

This evaluation echoes in this sense the analysis presented in the Project Document (ProDoc). This states that "*collective action by civil society is required to achieve and maintain resilience of socio-ecological systems"*. It also states that this necessary collective action is hindered by organisational weaknesses of the communities of the target landscapes and seascapes. In particular, the ProDoc identifies the following five barriers:

- Community organisations lack a larger, more long-term vision and strategy for ecosystem and resource management and have weak adaptive management capacities;
- Community organisation have insufficient organisational capacities to efficiently and effectively plan, manage and implement initiatives of their own design;
- Community organisations rarely coordinate among each for collective action;
- Knowledge from past project experiences is not systematically analysed, recorded, or disseminated to stakeholders;

- Community organisation lack sufficient financial resources to lower the risk associated with innovative land and resource management practices.

Desk review and interviews conducted as part of this MTR confirm the barriers identified in the ProDoc in each landscape/seascape. In the Mae Lao watershed, stakeholders confirmed that before the project there was limited or no connectivity between various communities to share knowledge or act upon the similar challenges that they face. The baseline assessment shows limited capacity for knowledge and innovation. In the Petchabun landscape, the baseline assessment notes challenges of monocropping, income insecurity, and lack of alternative livelihoods, as well as low quantity and quality of yields due to unsustainable practices. In the Phang Nga seascape, poor communities and indigenous communities, such as the Moken and Urak Lawoi (Sea Gypsies), as well as women, have been left out so far from the development planning of the area. The project's baseline assessment notes the need for knowledge and innovation support among communities, especially in terms of the preservation of indigenous knowledge, and practices held primarily by the older generations. In the Kaeng Krachan Forest Complex, land disputes, and conflict over land use and land rights of communities, are a key problem. The landscape baseline assessment corroborates that the diversity in local food systems, and the maintenance and use of local crop varieties, traditional knowledge related to biodiversity and the documentation of such knowledge is decreasing. These problems and the identified barriers are exactly what the project seeks to address. In that sense, the project addresses a problem that is highly relevant to its context.

How effective is the selected strategy to address the problem and achieve intended results?

In line with GEF programming directions and the Community Development and Knowledge Management of the Satoyama Initiative (COMDEKS), the project applies a **participatory landscape planning and management approach** that is a **highly effective** way to address the problem mentioned above and achieve the intended results. Landscape approaches allow clustering and scalability of interventions, enabling more multi-sectoral approaches and better considering the complexity of socio-ecological systems. Recognizing the complexity of ecosystems, and the links between their different elements, the landscape approach ensures greater effectiveness in improving the health of ecosystems. Beyond the environmental benefits, the landscape approach enables addressing socioeconomic challenges, such as poverty and land rights, through environmentally sound solutions. In a landscape approach sub-projects can complement each other. Stakeholders have repeatedly highlighted the benefits of the landscape approach in this SGP6 compared to previous SGPs that were more thematic / less comprehensive. Interviews suggest that a recent evaluation of the UCP found that the landscape approach delivers significant environmental and socio-economic benefits.

In turn, participatory planning and management or co-management allows for a better integration of existing knowledge, increases ownership and promotes effectiveness. In line with COMDEKS, the project involves participatory, multi-stakeholder consultation. In particular, the SGP6 applies a three-fold approach during project implementation: i) consolidating knowledge on securing diverse ecosystem services and values, ii) integrating traditional ecological knowledge and modern science, and iii) exploring new forms off co-management systems. This is highly effective to promote collective action.

The project also adopts an effective strategy when addressing the <u>land-right issue</u>. One prominent challenge that the project is designed to address is the land rights of indigenous peoples within protected areas. As noted above, some of the target landscapes involve communities that had been residing within the territories of protected areas before the creation of those. The project aims to demonstrate through small grants that these communities can conduct sustainable land co-management practices. Demonstrating evidence of good stewardship of the land and its resources to policy-makers would potentially enable these communities to avoid displacement, and could serve as an example to be scaled to other communities too.

The effectiveness of the strategy to build climate resilience is mixed. Although the project is not under the GEF climate change adaptation focal area, the project objective and activities suggest that the project adopts an ecosystem-based adaptation approach, where sustainable land management practices contribute to rehabilitate ecosystems, which increases the services they provide, which contributes to climate change resilience[3]. However, as explained in detail in section 4.3.6, although the project used an adaptation of the indicators of resilience in Socio Ecological Production Landscapes and Seascapes (SEPLS) developed under the Satoyama Initiative Project during the development of landscape strategies, the project activities are not really informed by sound climate risk assessments, compromising the ability of the project to build climate resilience. Indeed, in the absence of robust climate change risk assessments, project activities could lead to maladaptation.

Importantly, project design was **informed by lessons learned from previous projects**. The project was informed by lessons from previous SGPs in the country. For example, the project considers water management aspects, the disregard of which had led to failures in switching from monoculture to mixed agriculture in other projects. Promotion of beekeeping, where bees become pollinators for biodiversity, was also considered in the light of previous SGPs in the country. The project was also informed by lessons from previous non-SGP-related initiatives, such as the Royal Project[4]. Moreover, Thailand's ProDoc design greatly benefitted from other SGP6 countries' experience, as Thailand's project was approved towards the end of the GEF's OP6 (2015-2018). In fact, the Project Identification Form (PIF) and the Project Preparation Grant were approved in October 2017. The ProDoc received signature in September

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[3] The objective includes an explicit reference to resilience. The definition of resilience is complex. The GEF Scientific and Technical Advisory Panel (STAP) published a long information brief on this (see GEF/STAP/C.60/Inf.04 of June 2021). In any case, resilience typically refers to the capacity of a system to absorb, withstand or adapt to shocks and stresses. Currently, although not the only important shock, climate change is one of the most important shocks socio-ecological systems need to adapt to. Indeed, in page 5 the ProDoc reads: "Community forest management supports local level climate change adaptation by enhancing resilience in multiple ways: supporting livelihoods and income, increasing food security, leveraging social capital and knowledge, reducing disaster risks, mitigating health risks and regulating microclimates". This is the first reference to resilience in the ProDoc. Page 15 follows the same approach: "Collective action by civil society is required to achieve and maintain resilience of socio-ecological systems... This resilience is built primarily on climate change mitigation and adaptation and optimization of ecosystem services through biodiversity conservation and sustainable land management..."

[4] The Royal Project is an initiative of His Majesty, King Bhumibol Adulyadej of Thailand, founded in 1969 to solve problems of deforestation, poverty, and opium production by promoting alternative crops. The ProDoc refers to agro-forestry examples, such as persimmon plantations, a native variety, introduced by the Royal Project. Representatives from the Royal Project also participated in the stakeholder consultation workshops during project design in two regions: the Mae Lao watershed, and the Kaeng Krachan Forest Complex.

2019, already during GEF-7. As the GEF-7 core indicators were already known during project preparation, these were integrated during project design, instead of retrofitting later.

To what extent is the project responding to the national priorities?

The project is **in line with national priorities**. The project's implementation arrangement follows the regular SGP structure as defined in the SGP Implementation Arrangements for GEF-6, including a volunteer multi-sectoral NSC. This structure assures that the overall SGP6 and all its outputs, including the landscape strategies and the funded small grants, are country-driven and are in line with country priorities.

In this context, the project is aligned with national strategies and policies. Some of these policies are: the *National Climate Change Master Plan (2015-2050)*, which points to the enhancement of capacities to address sustainable development challenges; the *10-year Strategic Plan on Combating Land Degradation and Desertification*, which is based on the participation of local communities in combatting land degradation and mitigating the effects of drought; the *Thailand Plan and Strategy for New York Declaration on Forests (2014-2030)*, which is aimed at addressing Sustainable Development Goal (SDG) 13 (climate change) and SDG15 (life on land); the *National Biodiversity Strategy and Action Plan (2015-2021)* that contains four strategies promoting community participation and local implementation; and the *Policies, Measures and Plans for Conservation and Sustainable Use of Biodiversity (2008-2012)*, which is still used as a foundation for planning.

In addition to the NSC ensuring alignment with national and regional policies, the participatory development of landscape strategies also ensures that these are aligned also with local priorities.

Were perspectives from all relevant stakeholders taken into account during project design?

The project **comprehensively considered relevant stakeholders' perspectives** in the design of the project. The four selected regions – the Northern, North-eastern, Western, and Southern regions of Thailand – were selected in consultation with government and civil society, based on the country's geographic diversity, and based on the consolidation of experiences from previous community-based initiatives under GEF-4 and GEF-5. The identification of the four specific landscapes within the regions was further developed through extensive consultations during the project preparation phase for GEF-6. Under the SGP6 funding, small grants are provided to NGOs and Community-based organisations to develop landscape management strategies and implement community projects in pursuit of the strategic landscape-level outcomes, based on their own proposals.

To what extent were gender issues taken into account during project design?

Gender aspects were sufficiently taken into consideration during project design. There was an extensive and sound Gender Analysis and Action Plan conducted for and included in the ProDoc, with specific recommendations for each project outcome, as well as three general recommendations: i) mainstreaming gender-equality principles in each target landscape/seascape, ii) working towards attitude and behavioural change towards gender equality at household, community, and landscape levels, and iii) engaging a gender specialist to provide advice and aid implementation. The gender action

plan included specific indicators. The CPMU uses the Gender Action Plan during implementation and is supported by the gender specialist at the UNDP CO and an NSC member from academia with expertise in gender equality and women empowerment. Women played a vital role in the project design process resulting in many activities supporting women groups on the production of community products.

4.1.2. Results framework

4.1.2.1 How clear, practical and feasible are project's objectives, outcomes and outputs?

The objective is clear. **The project outcomes would clearly contribute to achieve the objective**, by developing landscape strategies (outcome 1), implementing sub-projects in line with those strategies (outcome 2), identifying potential policy innovations based on analysis of project experience and lessons learned (outcome 3), and developing and implementing strategic projects to bring adoption of specific successful SGP-supported technologies, practices or systems to a tipping point through engagement of potential financial partners, policy makers, national/subnational advisors and institutions and the private sector (outcome 4). **Outcomes 1, 2 and 3 are practical and feasible** within a 3-year project (the specific targets are assessed below). The feasibility of outcome 4 within a 3-year project depends on the definition of "strategic projects". In the framework of the SGP and UCP, strategic projects are grants up to USD150,000 with a timeframe up to 24 months maximum. They can be approved any time during the life of OP projects and cannot be supported throughout multiple OPs. This type of project is currently being identified, defined and approved in other UCPs. While this is feasible in a 4-year project, it is less feasible in a 3-year project, given the usual slow start of UCPs (see section 4.2.2), particularly if it is the first time a country is involved in this modality, as in in Thailand – the strategic modality has been used effectively in other more experienced country programmes (i.e. Ecuador, Costa Rica) with a similar timeframe. Even if feasible, the limited timeframe can compromise the strategic quality of the identified project, as time could be too short to test activities and identify those that are more effective and/or strategic. It is worth noting that **the budget available to sub-projects is somehow limited**, even if this was increased in the 2020 budget revision. With existing sub-project budgets, impacts will likely be significant only because the landscape level approach allows aggregation.

4.1.2.2 How effective are the logframe's indicators, baselines, targets and means of verification to measure effects from the project?

As discussed in detail in section 4.3.4 on M&E, **the results framework is not adequate to measure the effects of the project**. Although it is aligned to the GEF Core indicators[5], the results framework has important caveats at the objective level. It makes important assumptions regarding impacts on the health of ecosystems, socioeconomic conditions and climate change resilience when a results framework should monitor and evaluate specific changes without assuming them. The PRF is mostly adequate at the outcome level, with room for improvement in some indicators. Table 5 provides detailed comments.

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[5] It thus follows requirements from GEF. At the objective level the results framework of this project is similar to other UCPs.

Moreover, **many targets, especially those for outcome 2, and, to a lesser extent, outcome 4, are not realistic for a 3-year project**. It is worth mentioning that in SGPs results frameworks are tentative if compared with the results frameworks in the other types of projects, because in SGPs the sub-projects are uncertain at the design stage. Figures are based on best estimates from consultants, project coordinator and NSC, but are general estimates, given that by nature SGPs are community driven projects, based on community demand, which is to some degree uncertain at design stage. There is only one gender-disaggregated indicator in the PRF. The gender action plan includes specific indicators, but did not suggest changes to the PRF, which would have been useful as the gender action plan is not expected to replace the PRF but to further support its implementation.

4.1.2.3 Are there any effects on development or on the environment that are not measured by current indicators?

The objective is very broad, including not only improvements in natural resources management, but also the health of ecosystems, socio-economic conditions and climate change resilience. However, as explained in more detail in section 4.3.4, these aspects are not considered in the system of indicators.

4.2. Progress towards results

4.2.1. To what extent have the expected outputs, outcomes and objectives of the project been achieved so far?

Before presenting the assessment, it is important to clarify that the progress of this project in achieving its expected end of the project targets is affected by its short time frame, as presented in section 4.1.2.1. The longer the duration of a project the greater the likelihood of achieving end of the project targets. In this sense, the likelihood of achieving the end of the project targets of this project would be greater if this were a 4-year project instead of a 3-year project. A project extension would increase the likelihood of achieving the end of the project targets. The progress of this project in achieving its expected end of the project targets is also affected by the existence of several barriers, including COVID-19, an unpredictable significant external shock (beyond the control of the project) that has been, is and will likely be difficult to manage, as discussed in section 4.2.2. It is crucial to note as well that the assessment considers the likelihood of achieving end of the project targets by the end of the project. While it builds on the assessment of the achievement of mid-term targets by mid-term, this is used as background information, as the focus is on the likelihood of achieving end of the project targets by the end of the project. Finally, this assessment considers the current official expected date of project completion (September 2022), as, while a project extension is likely, this is not yet certain.

The results framework of this project includes 3 objective level indicators [6] and 12 outcome level indicators. As noted in section 4.3.4.1 on M&E, there are issues with some of these indicators. As of 30 May 2021, **progress is moderately unsatisfactory at objective level**, as by its end, at the objective level, the project will likely meet one of its end of the project targets and will not likely meet two of its end of the project targets. More specifically, by its end, the project is likely to achieve its end of the project target regarding number of beneficiary communities (kindly see the assumption below in terms of the number of communities) (indicator C). These communities will likely improve their natural resources management. This will likely result in some benefits in terms of improved livelihoods and, more uncertainly, enhanced resilience, although the exact nature and level of these benefits is difficult to estimate. By its end, the project will likely make progress in increasing the area of landscapes under sustainable practices (indicator A) and sequestering carbon or avoiding emissions (indicator B) but, given that COVID-19 will likely continue to negatively affect project implementation, the project is not likely to meet its end of the project targets – indeed the project will likely be far from meeting those targets by its end[7].

Progress is overall moderately satisfactory at outcome level. Progress is satisfactory in outcomes 1, 3 and 4, and moderately unsatisfactory in outcome 2. In outcomes 1 and 4, by its end, the project is likely to achieve all its end of the project targets (3 in outcome 1; 1 in outcome 4). In Outcome 3, by its end, the project is likely to meet 3 of its end of the project target. By then, the project is likely to make progress on the other end of the project target but will not likely meet it. In outcome 2, by its end, the project will likely make progress in increasing the area under sustainable practices but is not likely to meet its four end of the project targets – indeed the project will likely be far from meeting those targets by its end. Table 1 provide details on the ratings and their justification.

To present progress more clearly, the project has made progress in establishing institutional structures, developing landscape strategies, selecting grantees and signing contracts with them and defining knowledge management and communication strategies, although some of these have not been officially approved by the NSC. However, activities on the ground have not yet started, which compromises the long term improvement of natural resources management and their ultimate benefits, as well as the capacity to draw relevant lessons from the experiences and upscaling them. In this context, **it is likely that the project will meet most of its end of the project targets for outcomes 1 and 3** (related to plans, strategies, institutional structures and knowledge management), and it is quite **unlikely that it will meet its end of the project targets for outcome 2** (related to natural resource management and its benefits), given the project timeframe and that some barriers, particularly COVID-19, may remain for some time. The project **will likely meet its outcome 4 end of the project target,** but the basis for this may not be robust, as improved natural resources management may have not been in place for enough time to

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[6] The text refers to sets of indicator, baseline, target and means of verification. To improve the flow of the text, the term indicator is used to refer to this whole set.

[7] A one year extension would allow the project to make more progress on indicators A and B. It would put the project in a position to be closer to meet its targets (it would make a difference). It is however difficult to estimate whether a one year extension would allow the project to meet its targets regarding indicators A and B, as activities on the ground have no yet started and the future of the pandemic is uncertain.

soundly identify best practices.

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Table 1. Progress Towards Results Matrix (Achievement of Outcomes against End-of-Project Targets)

Indicator system					Assessment	
					Rating	Justification
Description of Indicator	Baseline Level	Midterm target level	End of project target level	Level at MT		
Objective *To enable community organizations in four diverse regions of Thailand to take collective action for adaptive landscape and seascape management for socio-ecological resilience - through design, implementation and evaluation of grant projects for global environmental benefits and sustainable development*					**MU**	**By its end, the project is likely to achieve its end of the project target regarding number of beneficiary communities (kindly see the assumption below in terms of the number of communities). These communities will likely improve their natural resources management. This will likely result in some benefits in terms of improved livelihoods and, more uncertainly, enhanced resilience, although the exact nature and level of these benefits is difficult to estimate. By its end, the project will likely make progress in increasing the area of landscapes under sustainable practices and sequestering carbon or avoiding emissions but is not likely to meet its end of the project targets – indeed the project will likely be far from meeting those targets by its end. In short, by its end, at the objective level, the project will likely meet on of its end of the project targets and will not likely meet two of its end of the project targets.**
A. Increased area (hectares) of landscapes under improved practices (GEF Core Indicator 4.1+ 4.3)	Less than 100 hectares under agroecological practices and currently protected by communities. Zero area of land rehabilitated and improved through sustainable land management and soil improvement practices	*15,000 ha*	31,000 ha	According to GEF core indicators report provided to the evaluators, the area landscape under improved practices has increased by 6,200 ha by mid-term. However, this is not consistent with reporting on other indicators, and background information, which shows that activities on the ground had not started, in which case the hectares under improved practices was 0 as of May 25, 2021.	Not on target	As grants are in the process of being awarded, it is likely that the area of landscapes under improved practices increases. It is not possible to estimate the specific area of landscapes that will be under improved practices by the end of the project. Given that the COVID-19 pandemic is likely to continue to negatively affect project implementation, it seems unlikely that the project will be able to increase the landscapes under improved practices in 31,000 ha in the 15 months that

							remain of implementation. It will probably be able to achieve about 50% of the target.
B.	Carbon sequestered or emissions avoided in the sector of Agriculture, Forestry and Other Land Use (GEF Core Indicator 6.1)	To be determined during landscape level environmental assessments (see Output 1.2.1)	*1,700,000 tons of CO2e*	3,406,625.62 tons of CO2e	According to GEF core indicators report provided to the evaluators, the carbon sequestered or emissions avoided amount to 680,140.85 tons of CO2e. However, this is not consistent with reporting on other indicators, and background information, which shows that activities on the ground have not started, in which case the carbon sequestered or emissions avoided as a result of the project was 0 as of May 25, 2021.	Not on target	As grants are in the process of being awarded, it is likely that the area of landscapes under improved practices increases. It is not possible to estimate the specific area of landscapes that will be under improved practices by the end of the project. Given that the COVID-19 pandemic is likely to continue to negatively affect project implementation, it seems unlikely that the project will be able to increase the landscapes under improved practices in 31,000 ha in the 15 months that remain of implementation. It will probably be able to achieve about 50% of the target.
C.	Number of direct beneficiaries disaggregated by gender (GEF Core Indicator 11)	32 communities with improved livelihoods and enhanced resilience through natural resources management during SGP OP5 Including 405 women and 945 men	*60 communities*	120 communities with improved livelihoods and enhanced resilience to climate change including 4,320 women and 5,280 men	The project has provided continuous engagement, training and support to grantees since implementation. As explained below, 17 grants have been approved and 35 have received conditional approval. Grant-funded activities on the ground have not started. In this sense, communities have not yet improved in a significant way the management of natural resources and experienced the benefits of this (in theory, improved livelihoods and enhanced resilience).	On target	Although communities have not benefited yet from improved natural resources management, the 51 grants will be shortly approved, and implementation will certainly have started by the end of project. Although it is clear what the specific benefits will be, and the M&E system does not include an adequate framework to assess this, it is likely that 51 communities will improve natural resources management and that this will somehow results in benefits in terms improved livelihoods and enhanced resilience. It is important to note that as explained in section 4.3.4.1 the quantitative target is unclear. It is assumed that awarding the 51 grants will allow achieving the target of 120 communities. It is also worth mentioning that there are doubts on benefits in terms of climate resilience as, as explained in the text, landscape strategies are not informed by robust climate change risk assessments.
Outcome 1: Multi-stakeholder partnerships in four pilot landscapes and seascapes – Mae Lao Watershed; Phetchabun Mountains; Kaeng Krachan Forest Complex; Phang Nga Bay - develop and execute adaptive management plans to enhance landscape/seascape and community resilience with global environmental benefits						S	**By its end, the project is likely to achieve its three end of the project targets.**
1.1 Formal multi-stakeholder groups established in each	One network of CSOs and CBOs	One multi-stakeholder group per landscape is	One multi-stakeholder group per landscape is established	A formal agreement was developed in Phang Nga Bay-Seascape. The other	On target	According to the information reported, only one formal agreement to collaborate has been formally signed. Such agreements have not

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landscape/seascape to carry out adaptive planning and management	was built in each region in GEF5	established and operational with formal agreement to collaborate	and operational with formal agreement to collaborate	three target landscapes will develop their mutual agreements when the projects within the landscape start.	On target	been approved in the other 3 target landscapes, but they will likely be approved soon, once the project team meets with all grantees at landscape sites. In this sense, while the project has not met its end of the project target (1 out of 4), it will definitely meet its end of the project by the end of the project.
1.2 Number of adaptive and participatory land/seascape management strategies developed/updated	No existing landscape strategies	Four adaptive and participatory land/seascape management strategies and plans approved by the National Steering Committee	Four adaptive and participatory land/seascape management strategies and plans approved by the National Steering Committee	Four adaptive and participatory land/seascape management strategies have been drafted. They have been conditionally approved by the NSC, as the NSC requested some revisions before fully approving them. The project coordinator is working with the landscape facilitators in revising and finalizing the strategies.	On target	None of the four strategies have been fully approved, but all of them have been conditionally approved. In this sense, while the project has not met its end of the project target (1 out of 4), it will definitely meet its end of the project by the end of the project.
1.3 Typologies of community level projects and eligibility criteria formulated for each landscape/seascape	Projects in landscapes are not aligned with broader landscape level outcomes	A landscape specific typology of community level projects and eligibility criteria formulated and agreed to by each multi-stakeholder group for each landscape	A landscape specific typology of community level projects and eligibility criteria formulated and agreed to by each multi-stakeholder group for each landscape	Typologies of community level projects and eligibility criteria have been drafted in the four areas. They were officially or formally approved, and have been used to call for community sub-projects (or grant proposals)	Achieved	These typologies were approved and used to select projects.
Outcome 2: Community organizations in landscape/seascape level networks build their adaptive management capacities by implementing community level projects and collaborating in managing landscape resources and processes to achieve socio ecological production landscape resiliency					MU	**By its end, the project will likely make progress in increasing the area under sustainable practices but is not likely to meet its four end of the project targets – indeed the project will likely be far from meeting those targets by its end, given that COVID-19 will likely continue to negatively affect project implementation.**
2.1 Area (ha) under community management	Less than 100 ha under	*700 hectares*	At least 1,500 ha managed under agroecological practices that enhance	As noted, calls for grant proposals were launched. 61 applications were	Not on target	As grants are in the process of being awarded, it is likely that the area under community management implementing agroecological

implementing agroecological principles and practices for selected crops	agroecological practices		productivity and sustainability of smallholder agroecosystems: participatory vulnerability assessments; polycultures, cover crops, agroforestry systems, crop genetic resource conservation; others	received. These applications were assessed between December 2020 and February 2021. 17 proposals were approved, 9 rejected, and 35 approved with conditions. As of 30 May, 2021, 49 Memorandum of Agreements (MOAs) have been signed by UNDP RR and the CBOs/NGOs grantees. In the meantime, the attempt of opening their bank accounts was successful. The project profiles and financial/accounting have been installed in the system. Activities on the ground have not yet started. In this sense, there has been no progress on the number of ha managed under agroecological practices that enhance productivity and sustainability of smallholder agroecosystems.		principles and practices increases. It is not possible to estimate the specific area that will be under these practices by the end of the project. Given that the COVID-19 pandemic is likely to continue to negatively affect project implementation, it seems unlikely that the project will be able to increase the area under these practices in 1,500 ha in the 15 months that remain of implementation. It will probably be able to achieve about 50% of the target.
	As above	*5,000 hectares*	At least 11,000 ha under community-based sustainable forest management, including reforestation and/or afforestation, that conserve biodiversity and enhance ecosystem services: watershed management, non-timber forest products.	As noted, calls for grant proposals were launched. 61 applications were received. These applications were assessed between December 2020 and February 2021. 17 proposals were approved, 9 rejected, and 35 approved with conditions. As of 30 May, 2021, 49 Memorandum of	Not on target	As grants are in the process of being awarded, it is likely that the area under community-based sustainable forest management increases. It is not possible to estimate the specific area that will be under these practices by the end of the project. Given that the COVID-19 pandemic is likely to continue to negatively affect project implementation, it seems unlikely that the project will be able to increase the area under these practices in 11,000 ha in the 15 months that remain of implementation. It will probably be able to achieve about 50% of the target.

				Agreements (MOAs) have been signed by UNDP RR and the CBOs/NGOs grantees. In the meantime, the attempt of opening their bank accounts was successful. The project profiles and financial/accounting have been installed in the system. Activities on the ground have not yet started. In this sense, there has been no progress on the number of ha under community-based sustainable forest management.		
2.3 Area (ha) under Indigenous and Community Conservation areas (ICCAs) with land use planning and management, including co-management arrangements with government protected areas	Less than 100 ha currently protected by communities	*8,000 hectares*	At least 17,000 ha under ICCAs with management plans that protect biodiversity and enhance ecosystem services	As noted, calls for grant proposals were launched. 61 applications were received. These applications were assessed between December 2020 and February 2021. 17 proposals were approved, 9 rejected, and 35 approved with conditions. As of 30 May, 2021, 49 Memorandum of Agreements (MOAs) have been signed by UNDP RR and the CBOs/NGOs grantees. In the meantime, the attempt of opening their bank accounts was successful. The project profiles and financial/accounting have been installed in the system. Activities on the ground have not yet started. In this sense,	Not on target	As grants are in the process of being awarded, it is likely that the area under ICCAs increases. It is not possible to estimate the specific area that will be under ICCAs by the end of the project. Given that the COVID-19 pandemic is likely to continue to negatively affect project implementation, it seems unlikely that the project will be able to increase the area under these practices in 17,000 ha in the 15 months that remain of implementation. It will probably be able to achieve about 50% of the target.

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				there has been no progress on the number of ha under ICCAs with management plans that protect biodiversity and enhance ecosystem services		
2.4 Area (ha) of land rehabilitated and improved through sustainable land management and soil improvement practices	Zero area of land rehabilitated and improved through sustainable land management and soil improvement practices	*700 hectares*	At least 1,500 ha under sustainable land management and soil improvement practices that enhance ecosystem services: terracing, bunds, gabions, gully plugs, intercropping, etc.	As noted, calls for grant proposals were launched. 61 applications were received. These applications were assessed between December 2020 and February 2021. 17 proposals were approved, 9 rejected, and 35 approved with conditions. As of 30 May, 2021, 49 Memorandum of Agreements (MOAs) have been signed by UNDP RR and the CBOs/NGOs grantees. In the meantime, the attempt of opening their bank accounts was successful. The project profiles and financial/accounting have been installed in the system. Activities on the ground have not yet started. In this sense, there has been no progress on the number of ha under sustainable land management and soil improvement practices that enhance ecosystem services[8].	Not on target	As grants are in the process of being awarded, it is likely that the area under sustainable land management and soil improvement practices increases. It is not possible to estimate the specific area that will be under these practices by the end of the project. Given that the COVID-19 pandemic is likely to continue to negatively affect project implementation, it seems unlikely that the project will be able to increase the area under these practices in 1,500 ha in the 15 months that remain of implementation. It will probably be able to achieve about 50% of the target.

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[8] Note that the question is not about the number of ha targeted in approved projects, but rather about the likelihood of these projects of being fully implemented in the remaining time of implementation and under likely future circumstances.

Outcome 3: Multi-stakeholder landscape and seascape management groups, local policy makers and subnational/national advisors organized in landscape policy platforms discuss potential policy innovations based on analysis of project experience and lessons learned.					**S**	**By its end, the project is likely to meet 3 of its end of the project target. By then, the project is likely to make progress on the other end of the project target but will not likely meet it.**
3.1 Number of operational multi-stakeholder policy dialogue platforms in each landscape and nationally	Zero existing multi-stakeholder policy platforms and participants engaged in at landscape level	-0-		One landscape multi-stakeholder policy platform in each of four landscapes	Multi-stakeholder policy platforms have not been created. However, as discussed in section 4.3.8, there has been progress on communication and knowledge management. In this sense, it can be argued that the project has made relevant progress towards achieving the target by the end of the project.	S	The project has made relevant progress towards achieving the target by the end of the project. It is likely that the project meets these 3 end of the project targets by its end.
3.2 Number of multi-stakeholder participants engaged in multi-sectoral policy dialogue platforms and the discussion and analysis of lessons learned from landscape planning and management	Weak multi-stakeholder participation in and organization of knowledge sharing events, capacity building activities or outreach	-0-		At least 1,000 multi-stakeholder participants engaged in multi-sectoral policy dialogue platforms and in the analysis process of the landscape planning and management for four landscapes			
3.3 Number of case studies of the participatory landscape planning and management experience produced and disseminated	No case studies or other knowledge products produced or disseminated regarding participatory landscape planning and management	-0-		One case study of the participatory landscape planning and management process for each of the four landscapes			
3.4 Number of knowledge products produced and disseminated	Project and country programme experiences and lessons are not analyzed, codified and communicated as part of an	*3 different knowledge products*		At least 10 different knowledge products based on project and country programme experiences produced and disseminated	Knowledge products have not been developed so far.	Margi nally on target.	Knowledge products have not been developed so far, when the target at mid-term was 3. As noted, the project has made progress to produce and disseminate knowledge products in the future. It will likely develop several knowledge products. It will likely disseminate some knowledge products (perhaps not as many as it develops). However,

	overall strategy or plan					it is unlikely that the project will be able to produce and disseminated as many as 10 knowledge products in the next 14 months. It will probably be able to achieve about 70% of the target.
Outcome 4: Multi-stakeholder partnerships develop and implement strategic projects to bring adoption of specific successful SGP-supported technologies, practices or systems to a tipping point in each landscape through engagement of potential financial partners, policy makers and national/subnational advisors and institutions, as well as the private sector.					**S**	**By its end, it is moderately likely that the project meets its end of the project target.**
4.1 Number of strategic projects consolidating, replicating and up-scaling specific successful SGP-supported technologies, practices or systems	Zero existing strategic projects upscaling SGP-supported technologies, practices or systems	At least four analytical reports of successful project portfolios and lines of work for potential replication and upscaling	At least four strategic projects replicating and up-scaling specific successful SGP-supported technologies, practices or systems	The NC has been discussing the TORs for four strategic projects in each of the target landscape with the NSC and the UCP global Coordinator since year 1. However, as grantees have not started activities on the ground, the project is rather far from developing analytical reports of successful project portfolios and identifying lines of work for potential replication and upscaling.	Marginally on target	As grantees have not started activities on the ground, the project is rather far from developing analytical reports of successful project portfolios and identifying lines of work for potential replication and upscaling. In this sense, the mid-term target has not been met by mid-term. However, it is moderately likely that the project develops four strategic projects by its end[9] (this does not assess the quality of the potential strategic projects[10]).

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[9] The feasibility of outcome 4 within a 3-year project depends on the definition of "strategic projects". In the framework of the SGP and UCP, strategic projects are grants up to USD150,000 with a timeframe up to 24 months maximum. They can be approved any time during the life of OP projects and cannot be supported throughout multiple OPs. This type of projects is currently being identified, defined and approved in other UCPs.

[10] Even if feasible, the limited timeframe can compromise the strategic quality of the identified project, as time could be too short to test activities and identify those that are more effective and/or strategic.

4.2.2. What are the main barriers to achieve expected results? What are the main opportunities to leverage?

The achievement of expected results has been hindered by several factors. The **complexity of SGPs implementation processes** is an important barrier[11]. Small grant-supported initiatives typically have a slow start. Usually, baseline capacity is low, and needs to be strengthened during the first stages of implementation. Furthermore, selecting grantees tends to be a complex exercise requiring expertise in a wide range of topics and where good proposals need to be balanced with less good proposals, so that the latter have the chance to receive support and improve. In Thailand SGP OP6 required knowledge in different landscapes (landscapes and seascapes) and many different sustainable natural resource management practices, including very specific aspects, such laws and regulations regarding reforestation and construction in national parks. Moreover, some time is typically required between the approval of a grant proposal and the firs disbursement, as the signature of agreements and the opening of a bank account often takes time. In SGPs the pace of delivery tends to start to be faster once the grants are signed and the bank accounts opened. As discussed above, the SGP OP6 in Thailand is mostly at this point.

The **complexity and newness of the UCP**, and more specifically its landscape approach, has also negatively affected progress towards achieving the project's targets in the project's timeframe. Although a landscape approach is an effective strategy to achieve the project's intended results over the longer term (see section 4.1.1), such an approach adds some steps to the traditional SGP model, such as the establishment of landscape institutional structures and the development of landscape strategies, which are complex and time-consuming tasks, including for data collection, analysis and writing, and validation. As the landscape approach is quite new in Thailand, and certainly new to the stakeholders in the country familiar with previous phases of the SGP, there was a learning curve for national and local stakeholders. This was the case even if the project built on international UCP experiences and could benefit from tools already developed elsewhere. Some time needs to be spent in adjusting international tools to the local context. At each target site NGOs had indeed to adjust the existing tools to their environment. The project had to translate into Thai the differences between OP5 and OP6.

Moreover, the high ownership of the SGP in Thailand has resulted in **high demand for support** in OP6. The NSC received 61 proposals, when the original idea was to approve about 40. Given that, as mentioned above, the review and selection of grant proposals takes time, the high number of proposals has resulted in delays. As the SGP6 is working in some areas previously covered by previous OPs, many of the proposals were good, which made the decision of which ones to choose more difficult and time-consuming. Although the selection process was rigorous and took significant time, it is worth mentioning

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[11] The complexity of SGPs is further explained in the lines that follow this sentence. Complexity is not necessarily a negative characteristic. Indeed, as discussed in the relevance section, this is in many ways a strength of SGPs, as it supports collective action, which is required to address relevant problems at the targeted landscapes.

that it should have probably been even more rigorous, reducing the number of approved proposals, even if the selection process took more time. This could indeed be cost-effective, in the sense that managing 51 grants will be very time-consuming, even if they take place in four landscapes in not all over the country. In this sense, the NSC considered the impact/effectiveness criterion, but thought less about the administrative burden/efficiency criterion. As discussed below, the CPMU is already stretched (see section 4.3.1) and resources to expand the team are limited (see section 4.3.3).

Furthermore, progress has been beset by **accessibility and connectivity challenges**. The target sites are far, with limited accessibility, often in the buffer zones of national parks. Many communities do not have internet or even a phone. The project relies on support from local authorities and local NGOs to reach out to these communities, which is often difficult to mobilize.

Importantly, progress has also been negatively affected by the **COVID-19 pandemic**, an unpredictable external shock that is very difficult to manage for any project team that has exacerbated some of the barriers indicated above, particularly those regarding the complexity of the UPC and communication challenges. Indeed, COVID-19 has resulted in delays regarding the development of landscape assessments and strategies, the review of the sub-projects by the NSC and the organization of capacity building workshop on the guideline of SGP project implementation and project cycle management to the grantees. In the field calls to coordinate the development of landscape strategies were not effective. While the NSC met regularly, in a physical meeting with clearer deadlines the review process of the sub-projects would likely have been shorter. In this sense, although the project team put in place mitigation measures, such as remote calls and sharing documents online, they were not fully effective. Interviewees claim that COVID-19 has delayed implementation between 6 and 8 months.

Progress in achieving end of the project targets has also been negatively affected by some **management shortcomings**, including a high volume of work, limited human resources and some shortcomings in the support provided to the CPMU by UNDP, UNOPS and the government. These aspects are discussed in detail in section 4.3.1.

Regarding opportunities, the main opportunity to leverage is the **existence of certain social networks** in southern target landscapes.

4.3. Project implementation and adaptive management

4.3.1. Management arrangements

How effective are the management arrangements? What is the quality of execution of the project by the executing agency and the implementing partner?

The ProDoc describes the organisational structure (illustrated in Figure 1). **The roles and responsibilities of various stakeholders follow the SGP operational guidelines by design**.

UNDP provides overall programme oversight and is responsible for GEF project cycle management services, as well as assistance with troubleshooting. UNDP also provides high level technical and managerial support from the UNDP GEF Global Coordinator for the SGP UPC.

The UNDP Country Office is responsible for ensuring the project meets its objective and delivers the targets. The UNDP Resident Representative appoints the National Steering Committee members, composed of government and non-government organisations, with a non-government majority, a UNDP representative, and individuals with technical expertise.

NSC members are responsible for determining the overall SGP strategy and the selection and approval of grants and also contribute to bridging community-level experiences with national policy-making.

The country team is composed of a National Coordinator, also known as the Country Programme Manager, and a Programme Assistant. The country team is responsible for the day-to-day management of the project, supporting the NSC strategic work and grant selection, undertaking ex-ante reviews of grant proposals, monitoring the grant portfolio, and providing technical assistance to grantees during project design and implementation, mobilising cash and in-kind resources, preparing reports to donors, implementing a capacity development programme for communities and NGOs, and implementing a knowledge management strategy to disseminate good practices.

As the executing agency, UNOPS provides country programme implementation services, including human resource management, budgeting, accounting, grant disbursement, auditing, and procurement. UNOPS provides monthly financial reports to UNDP, and certified expenditure reports as of 31 December of each year of implementation.

Figure 1 The SGP6 project's organisational structure, as displayed in the Project Document
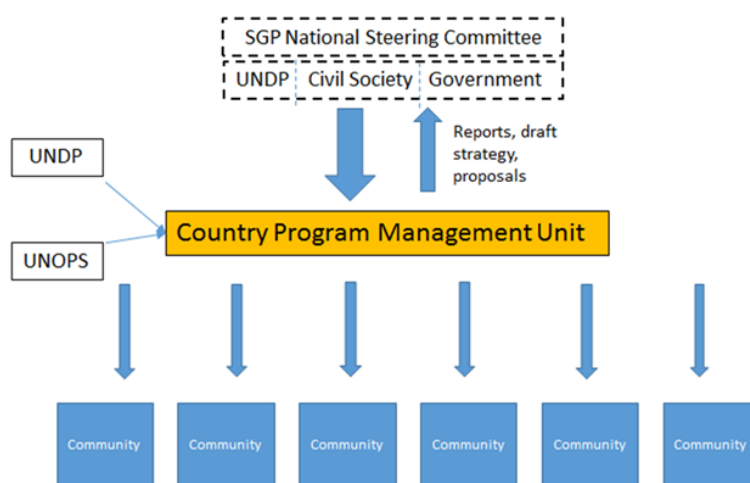
Overall implementation arrangements of the SGP6 are adequate. Since the SGP has a long history in Thailand, many stakeholders who partake in SGP6 have had experience with previous cycles. Overall, stakeholders describe good working relationships and adequate level of support among parties. **However, there are a few challenges regarding the current management arrangements that have affected the implementation to some degree**.

Most notably, COVID-19, which is beyond the control of the project, has made the <u>NSC less effective</u>. Although the NSC has met several times (it met twice in 2019, 3 times in 2020 and 7 times in 2021) online exchanges proved somehow less effective than in person meetings.

<u>Human resources are not commensurate to the work to be conducted</u>. The CPMU has indeed a high volume of work. As explained above, day-to-day management of SGP6 implies a lot of work. In addition to this, the CPMU needs to manage SGP OP5 and respond to UNDP CO requests. There has indeed been an overlap regarding operational cycles. OP6 is implemented while OP5 is still being implemented. This has resulted in more work and conflicted priorities. The last disbursements for OP5 have now been made, although the CPMU still needs to monitor them. Support of the CPMU to UNDP CO beyond SGP OP6 is significant. This is even more complicated because with the new integrated team structure at UNDP CO, which is no longer sectoral or thematic, staff needs to work in every topic. Last year the CPMU was asked to write a text on low-value grants. It also needs to contribute to UNDP CO annual reporting, beyond SGP. UNDP CO requests the CPMU to participate in CO meetings, which takes a lot of their time, when they need to focus on the project. Although this work constitutes a good contribution of the project to the CO and can help to integrate the project within UNDP CO operations, which is certainly positive, it implies additional work, when human resources are a constraint. Current human resources of the CPMU (two people) seem indeed insufficient to deal with this high volume of work. This has been an important barrier for implementation. It is worth noting that beyond the number of staff for project management, there are also shortcomings regarding the capacities of the CPMU. While the team is very hard working and competent in many fronts, the national coordinator is relatively new (newer than national coordinators in other countries), and there was naturally a learning curve. Some areas, such as, for instance, knowledge management, may require more specialized knowledge. The focus on knowledge management will be especially important during the second half of project implementation, when the small grants are in their implementation phase, and the learning needs to be captured.

Moreover, while the landscape facilitators were hired for the development of the landscape strategies, their scope is limited to the strategy development. With the approval of more than 50 grants, the administrative, management, monitoring, and day-to-day support to the grantees will be a significant undertaking for the project team. <u>Landscape facilitators overseeing the sub-projects</u> in each landscape would likely ensure better support to grantees, and a more efficient delivery of results.

Furthermore, although coordination is generally appropriate, there is <u>room for improvement regarding communication and coordination between UNDP, UNOPS and the CPMU</u>. Support from UNDP CO to CPMU could be strengthened – this has been relatively limited because UNDP CO staff is also stretched and has faced a challenging restructuration. The UCP Global Coordinator has maintained regular communication with the project team. The project team has been invited and has participated to training

opportunities related to the community-based landscape approach as part of the COMDEKS global workshop in Costa Rica in 2016 and the UCP Global Workshop in Costa Rica in 2019 where all UCP NCs participated sharing experience and guidance. The UCP Global Coordinator is in touch monthly since project start with the SGP NC to assess progress and provide guidance. Throughout 2019, the UCP global coordinator has hold weekly webinars with all UCP NCs and Pas (including Thailand) to provide guidance, training (on KM, PIR, M&E, evaluation, COVID-19 guidance and assessments etc.) share lessons and best practices among UCPs. Communication with UNOPS has improved lately. The UNOPS programme manager conducts monthly meetings with the national coordinator, and provides support to the CPMU. Clarifying who focal points are and ensuring more continuity in reporting forms regarding UNOPS could be helpful. This will be especially important in this next phase of the project implementation as a large number of grants are now approved by the NSC, and there is need for accelerating implementation due to previous delays.

4.3.2. Work planning

Have there been any delays in implementation? If so, why?

The project is currently **delayed by approximately six to eight months** compared to the original work plan primarily **due to COVID-19**, which as explained has further extended processes, such as the development landscape strategies and the selection of grants, that are typically long.

The Project Document outlines the three-year work plan of the project. The timing of the specific outputs can be found in the Project Document's Annex A. Overall, the first year is allocated to landscape level planning and strategy development, and the development and selection of community-level projects, while the second and third years are for the implementation of the selected small grant projects under the landscape strategies.

The project document was signed in September 2019. During this Mid-term Review, carried out during the Spring of 2021, the SGP6 is through its half point. COVID-19 has caused significant delays in the rollout of activities. The pandemic affected the critical planning stage of the landscape strategy development and the development of the sub-project proposals. As explained above, as of 30 May 2021, only one landscape strategy has been formally approved. 49 Memorandum of Agreements have been signed by UNDP RR and the CBOs/NGOs grantees, bank accounts have been opened and the project profiles and financial/accounting has been installed in the system. However, there is no implementation at site-level yet. The sub-projects will likely require 18 months of implementation from contracting. This means that at the currently timed project end date in September 2022, sub-projects will likely not be done with implementation yet, and might require additional time to deliver the planned results.

The initial rationale for a three-year workplan, instead of a four-year plan, was due to the late approval of the ProDoc during the GEF-6 operational phase (2015-2018). The project had been recommended by the GEFSEC Program Manager since August 2016. However, due to GEF-6 funding shortfall, it did not make it into the Work Program, as many other projects in GEF, due to the fact that the demand was higher than the availability of resources. During the design, it was expected that a three-year project

would allow Thailand to not skip the GEF-7 implementation period of the SGP. Making it a shorter, three-year program would have allowed Thailand to still access GEF-7 resources for SGP7. The delay in implementation is an important lesson that a shortening of the SGP might not be appropriate. Thailand will likely have to raise resources for the next round of SGP from GEF-8, skipping the GEF-7 resources.

Are work-planning processes results-based?

It is too early to assess this because the first Project Implementation Review (PIR) has yet not been developed. Available information suggests project management uses the results framework, which, as mentioned in section 4.1.2 and explained in detail in section 4.3.4, has important caveats.

4.3.3. Finance and co-finance

Is there any variation between planned and actual expenditures? Why?

There is **significant delay in actual expenditures** compared to the initial budget plans, primarily **due to** implementation delays linked to **the pandemic**. However, the pace of disbursement is expected to substantially accelerate as the sub-grants are contracted and begin implementation in the near-term.

As of April 2020, the project had spent USD 451,624 from project start (September 2019). This represents **only 19 per cent of the total planned budget, when already 56 per cent of the implementation time had been spent**. The project had spent, by April 2021, 20 months in implementation of the planned 36 months. Interviews suggest that more substantive disbursement is going to take place in the near future, as the approved sub-grants are going through the contracting phase during the writing of this report.

To review the expenditure progress of the project by year, it is important to consider the budget revisions compared to the budget scheduled in the ProDoc. The ProDoc provides a breakdown of the budget by each year of implementation. In 2019 October, this budget was revised by UNOPS to adjust the budget breakdown to the start of project implementation, and to reflect the calendar years of implementation. It was revised for a second time in 2020 November to adjust the budget to the slower disbursement than the original budget plan due to the effects of the pandemic, which were yet unforeseen at the time of the 2019 revision.

The ProDoc foresaw a total of USD 189,400 for the first year (12 months) of project implementation. The 2019 budget revision by UNOPS estimated USD 72,074 for the implementation period of 2019, from September through the end of that year. While the original budget estimate for the first year would have represented 8 per cent of the total budget, the revised budget accounts only for 3 per cent of the total. The actual expenditure for these first 4 months of implementation was USD 51,108, that is, 71 per cent of the revised budget. The actual expenditure for 2019 was only 2 per cent of the total project budget.

In 2020 – covering the end of the first and the beginning of the second year of implementation – the initial, 2019 budget revision estimated USD 770,627 expenditure for that year, which is 32 per cent of the project budget. Throughout the year, however, the pandemic hit, which significantly slowed the

implementation. The actual expenditure for the 2020 period was USD 330,738, that is, 43 per cent of the revised budget expectation for the year, and 14 per cent of total project budget.

For 2021, the pre-pandemic, 2019 budget revision estimated USD 1 159,060, which is 49 per cent of the total budget. As noted, in 2020 November, this was revised, and the estimate for 2021 now stands at USD 1,405,459, which is 59 per cent of the total project budget. This 10 percentage point increase in expected disbursement for 2021 is to catch up on the disbursement delays of 2019 and 2020. So far, by April 2021, 4 months (33 per cent) into the 2021 budget, the actual expenditure is only at USD 69,777. That is only 5 per cent of the latest budget revision for the year, and 3 per cent of the total project budget. During the writing of this report, contracts for some grants are being signed and executed and some others will take place soon, which is expected to give a significant momentum to the disbursement of funds.

In terms of individual outcomes, the ProDoc allocated USD 177,250 for Outcome 1, USD 1,184,680 for Outcome 2, USD 177,250 for Outcome 3, USD 729,030 for Outcome 4, and USD 113,410 for Project Management. That is, respectively, 7 per cent, 50 per cent, 7 per cent, 31 per cent, and 5 per cent of the total project budget. In the 2019 budget revision, the per outcome allocation remained unchanged. However, the 2020 revision reallocated funds from all outcomes to Outcome 2. This led to a 9 per cent increase of the budget for Outcome 2, and a reduction of 4-10 per cent in the other outcomes, and PM. So now Outcome 2 represents 54 per cent of the total planned project budget. Interviews suggest that this increase for Outcome 2 was to respond to the large demand for sub-grants.

When it comes to the actual expenditure across outcomes relative to the newly revised allocation across outcomes, Outcome 1 is at 60 per cent, Outcome 2 is at 14 per cent, Outcome 3 is at 33 per cent, Outcome 4 is at 10 per cent, and PM is at 53 per cent of their total planned budget for the 3-year implementation period, as of April 2021 (56 per cent of implementation time). As noted above, as sub-grants are due to begin implementation, disbursement on Outcomes 2, 3, and 4 is expected to increase substantively in the short term.

As of April 2021 project management related expenditure represented 12.7 per cent of total disbursement. As noted, as of April 2021, the project had already spent 53 per cent of its PM budget as 56 per cent of implementation time had gone. This is reasonable. However, as noted, as of April 2021, the project had only disbursed 19 per cent of its total budget. In this sense, PMC disbursement represents such a high amount of the project expenditure at this point in time due to the fact that minimal grant activities had commenced. Project management costs (PMC) represent 4.8 per cent of total budget in the prodoc, and 4.6 in the 2020 revision. The GEF policies indicate that PMC should be below 5 per cent for a project of this type (over 2 million in grant) [12]. While the PMC are not expected to change, it will be important to monitor the percentage that actual expenditure in project management represents of total

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[12] See GEF Guidelines on the project and program cycle policy. GEF/C.52/Inf.06/Rev.01 (2017)

actual expenditure[13]. Co-financing may be required to ensure PMC remain below 5 per cent as required by GEF if the duration of the project is extended

Financial management is adequate. Financial controls have been established that allow the project management to make informed decisions regarding the budget at any time. Annual audits are not required under this project. There is a requirement for one audit to be conducted during the lifetime of the project. This will likely be conducted during the second half of implementation.

Table 2 and Table 3 provide detailed financial information of the project.

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[13] Project stakeholders argue that PMC is not at risk given that the fixed costs are controlled and regulated within the project budget threshold. Additionally, the grant funds, while delayed, will not be reprogrammed for other activities. In short, the PMC will be expensed within the budget set, within the 5% threshold

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Table 2. Total project finance by outcome

	ProDoc		2020 Revision			Actual expenditure (Sept 2019 – April 2021)				
	USD	Percentage over total budget	USD	Percentage		USD	Percentage			
				Over total budget	Over Pro Doc		Over total budget	Over total actual exp.	Over ProDoc	Over Revision
Outcome 1	177 250	7	161 164	7	91	97 328	4	22	55	60
Outcome 2	1 184 680	50	1 288 330	54	109	177 688	8	39	15	14
Outcome 3	177 250	7	168 572	7	95	55 423	2	12	31	33
Outcome 4	729 030	31	654 944	28	90	64 029	3	14	9	10
PM	113 410	5	108 610	5	96	57 154	2	13	50	53
Total	2 381 620	100	2 381 620	100	100	451 624	19	100	19	19

Source: UNOPS

Table 3. Project finance by year

	2019 (Sept – Dec)					2020			2021				
	Planned		Actual			Planned	Actual		Planned (2021)		Actual (Jan- Apr 2021)		
	USD			Percentage		USD		Percentage	USD			Percentage	
	ProDoc Y1	2019 Revision	Actual	Over ProDoc Y1	Over 2019 Rev	2019 Revision	Actual	Over 2019 Rev	2019 Revision	2020 Revision	Actual	Over 2019 Rev	Over 2020 Rev
Outcome 1	47 500	24 875	19 699	42	80	68 913	64 173	93	50 322	44 903	13 455	27	30
Outcome 2	35 500	13 068	8 058	23	62	560 134	146 708	26	562 667	991 339	22 921	4	2
Outcome 3	34 500	10 124	7 395	21	73	52 812	36 796	70	62 997	70 503	11 231	18	16
Outcome 4	33 500	11 526	9 205	27	80	50 360	40 724	81	445 094	260 735	14 099	3	5
PMC	38 400	12 480	6 749	18	54	38 408	42 336	110	37 979	37 979	8 069	21	21
Total	189 400	72 074	51 108	27	71	770 627	330 738	43	1 159 060	1 405 549	69 777	6	5

Source: UNOPS

To what extent is the project leveraging its planned co-financing?

The project is well on track on co-financing. As of April 2021 – 56 per cent into implementation time-, the project has leveraged 58 per cent of total planned co-financing. Of the six sources of co-financing, one (IUCN) had already provided the planned co-financing in cash support. Three other sources (UNDP, LDD, RFD) are on schedule and have mobilised 78 per cent of their planned in-kind support. From the remaining two sources, cash and in-kind from grantees, the mobilised amount is still very low. NGO grantees have provided USD 10 000 in cash, and USD 20 000 in-kind co-financing, 5 and 2 per cent of the planned amount, respectively. The remaining is expected to be raised during the implementation period of the sub-grants, which are already under their contracting phase and begin shortly. Table 4 below shows detailed co-financing.

Table 4. Co-financing of the project as of April 2021

Co-financer	Type of co-financing	Actual mobilised (Sept 2019 – April 2021)				Planned	
		2019 (Sept-Dec)	2020	2021 (Jan-Apr)	Cumulative (Sept 2019 – April 2021)	Total	Percentage Actual / Planned
UNDP	In-kind	49 000	49 000	49 000	114 000	147 000	78
Land Development Department	In-kind	636 667	636 667	636 667	1 485 556	1 910 000	78
Royal Forest Department	In-kind	500 000	500 000	166 667	1 166 667	1 500 000	78
IUCN	Cash	52 000	300 000	-	352 000	352 000	100
Grantees	Cash	-	10 000	-	10 000	200 000	5
Grantees	In-kind	-	20 000	-	20 000	1 300 000	2
Total		1 237 667	1 515 667	394 889	3 148 223	5 409 000	58

Source: UNOPS

4.3.4. M&E

Is the M&E system operational and effective?

The ProDoc defined a M&E system. Due to the approval of the Project Document at the end of the GEF-6 period, the project was already designed in line with the GEF-7 updated results architecture. In tune with the ProDoc, a National **Inception Workshop** was held in Bangkok in October 2019, within two months of project start. At the inception workshop, among others, the UCP Global Coordinator held a presentation on the M&E systems and the objectives of the project. At the workshop, stakeholders provided feedback along three points:

- NSC members agreed that there was substantive internal work required for developing indicators and tools that ensure an effective implementation at the landscape level, in line with the Socio-Ecological Production Landscape and Seascape (SEPLS) approach[14].

- NSC members requested that there be a separate session focusing on gender mainstreaming and monitoring.

- A mindset shift is required for the selection of projects, to see more integrated results, focusing on collective outcomes rather than the individual sub-project indicators.

The M&E plan of the ProDoc indicates the timing of the Project Implementation Reports (PIRs), in line with GEF requirements. The budget for M&E is mostly adequate, although the great number of grants is a challenge, which is partly mitigated by working in a limited number of landscapes.

Although it is in line with the GEF results architecture and the use of the core mandatory indicators, being thus in tune with GEF requirements, t**he results framework has important caveats at the objective level**. It makes important assumptions when a results framework should monitor and evaluate specific changes without assuming them. In particular, the PRF assumes that improvements in the management of natural resources would result in improvements in the health of ecosystems (indicator 1) and the livelihoods and resilience to climate change of communities (indicator 3). Although these assumptions are reasonable, the PRF should monitor and evaluate changes in the health of ecosystems, livelihoods and resilience to climate change, defining SMART[15] indicators for each of them. It is currently unclear how the health of ecosystems, livelihoods and resilience to climate change are measured and what rehabilitated ecosystems, improved livelihoods and increased resilience to climate change mean. It is worth noting that this is a common shortcoming of many ecosystem-based adaptation projects that consider the implementation of practices to rehabilitate ecosystems, the actual rehabilitation of ecosystems and increases in the resilience to climate change as equal, when while they are linked and projects are based on those assumptions, the impact chain is uncertain (it is not certain that the implementation of practices to rehabilitate ecosystems will actually result in rehabilitated ecosystems (because there may be other factors (for example upstream) affecting ecosystems and because it can take a long time for ecosystems to be rehabilitated), and it is not certain that rehabilitated ecosystems actually result in increased resilience (because other factors affect social resilience (e.g. exposure)). While the project had to use GEF core mandatory indicators (their quality and their use are beyond the control of the project), the project should have complemented those mandatory indicators with SMART indicators on health of ecosystems, livelihoods and resilience to climate change, to ensure the PRF is robust. The PRF is mostly adequate at the outcome level, with room for improvement in some indicators regarding their specificity and consistency (i.e. 1.1 and 1.3) and the mid-term target (i.e. 3.1, 3.2 and 3.3). As mentioned in section 4.1.2, gender disaggregated information is provided only in one indicator, which

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[14] In line with the GEF's operational guidance for the Small Grants Programme, under GEF-7, updating country programmes focus on community consultation, participatory landscape planning and community-based M&E tools, including the use of Indicators of Resilience in Socio-Ecological Production Landscapes and Seascapes. The Resilience Indicator set was adopted by the COMDEKS in 2012 as a central feature of its community consultation process. COMDEKS is a flagship effort of the Satoyama Initiative, framed around community efforts to build landscape resilience.

[15] For specific, measurable, achievable, relevant and time-bound indicators.

is insufficient. Table 5 provides detailed comments.

Table 5. Comments to the PRF

Indicator system				Comments
Objective	*To enable community organizations in four diverse regions of Thailand to take collective action for adaptive landscape and seascape management for socio-ecological resilience - through design, implementation and evaluation of grant projects for global environmental benefits and sustainable development*			
Description of Indicator	**Baseline Level**	**Midterm target level**	**End of project target level**	
Increased area (hectares) of landscapes under improved practices (GEF Core Indicator 4.1+ 4.3)	Less than 100 hectares under agroecological practices and currently protected by communities. Zero area of land rehabilitated and improved through sustainable land management and soil improvement practices	*15,000 hectares*	31,000 additional hectares with improved community management of which 26,000 hectares of landscapes and 5,000 hectares of seascapes	The indicator system is relatively adequate. It is important to note that the indicator considers as equal to aspects that can be different: improved community management and rehabilitated land. Although it can be assumed that improved community management will result in rehabilitated land, an M&E framework should be built on such an assumption and should monitor and evaluate both the changes in management practices and changes in the state of the environment, as changes in management practices may not result in changes in the environment in the short term.
Carbon sequestered or emissions avoided in the sector of Agriculture, Forestry and Other Land Use (GEF Core Indicator 6.1)	To be determined during landscape level environmental assessments (see Output 1.2.1)	*1,700,000 tons of CO2e*	3,406,625.62 tons of CO2e	The indicator system is adequate.
Number of direct beneficiaries disaggregated by gender (GEF Core Indicator 11)	32 communities with improved livelihoods and enhanced resilience through natural resources management during SGP OP5 Including 405 women and 945 men	*60 communities*	120 communities with improved livelihoods and enhanced resilience to climate change including 4,320 women and 5,280 men	It is unclear whether the 60 communities are additional to the 32, for a total of 92, or the 32 communities are included in 60 communities, for a total of 60. No target of women and men at mid-term. More importantly, the M&E system assumes that an improvement in management practices will result in improved livelihoods and enhanced resilience to climate change. A robust M&E system would test this assumption monitoring and evaluating changes in livelihoods and resilience to climate change, which would imply establishing SMART indicators for each of them. In the current M&E system it is unclear what livelihoods and climate resilience are, how they can be improved and how improvements are measured.

Outcome 1: Multi-stakeholder partnerships in four pilot landscapes and seascapes – Mae Lao Watershed; Phetchabun Mountains; Kaeng Krachan Forest Complex; Phang Nga Bay - develop and execute adaptive management plans to enhance landscape/seascape and community resilience with global environmental benefits				
1.1 Formal multi-stakeholder groups established in each landscape/seascape to carry out adaptive planning and management	One network of CSOs and CBOs was built in each region in GEF5	One multi-stakeholder group per landscape is established and operational with formal agreement to collaborate	One multi-stakeholder group per landscape is established and operational with formal agreement to collaborate	The indicator and the targets are not consistent: the indicator refers to the establishment of formal groups, while the targets refer to their establishment and operationalization with formal agreements to collaborate. In addition, it is unclear what a formal agreement to collaborate means. For example, whether these are different to the landscape strategies (it is assumed they are different because these are considered in indicator 1.2). The indicator should also clearly indicate the number (4).
1.2 Number of adaptive and participatory land/seascape management strategies developed/updated	No existing landscape strategies	Four adaptive and participatory land/seascape management strategies and plans approved by the National Steering Committee	Four adaptive and participatory land/seascape management strategies and plans approved by the National Steering Committee	The indicator system is adequate.
1.3 Typologies of community level projects and eligibility criteria formulated for each landscape/seascape	Projects in landscapes are not aligned with broader landscape level outcomes	A landscape specific typology of community level projects and eligibility criteria formulated and agreed to by each multi-stakeholder group for each landscape	A landscape specific typology of community level projects and eligibility criteria formulated and agreed to by each multi-stakeholder group for each landscape	The indicator system is adequate, although it would have been good to provide numbers (i.e., 4, one per landscape)
Outcome 2: Community organizations in landscape/seascape level networks build their adaptive management capacities by implementing community level projects and collaborating in managing landscape resources and processes to achieve socio ecological production landscape resiliency				
2.1 Area (ha) under community management implementing agroecological principles and practices for selected crops	Less than 100 ha under agroecological practices	*700 hectares*	At least 1,500 ha managed under agroecological practices that enhance productivity and sustainability of smallholder agroecosystems: participatory vulnerability assessments; polycultures, cover crops, agroforestry	The indicator system is adequate.

			systems, crop genetic resource conservation; others	
	As above	*5,000 hectares*	At least 11,000 ha under community-based sustainable forest management, including reforestation and/or afforestation, that conserve biodiversity and enhance ecosystem services: watershed management, non-timber forest products.	The indicator system is adequate.
2.3 Area (ha) under Indigenous and Community Conservation areas (ICCAs) with land use planning and management, including co-management arrangements with government protected areas	Less than 100 ha currently protected by communities	*8,000 hectares*	At least 17,000 ha under ICCAs with management plans that protect biodiversity and enhance ecosystem services	The indicator system is adequate.
2.4 Area (ha) of land rehabilitated and improved through sustainable land management and soil improvement practices	Zero area of land rehabilitated and improved through sustainable land management and soil improvement practices	*700 hectares*	At least 1,500 ha under sustainable land management and soil improvement practices that enhance ecosystem services: terracing, bunds, gabions, gully plugs, intercropping, etc.	The indicator system is adequate.
Outcome 3: Multi-stakeholder landscape and seascape management groups, local policy makers and subnational/national advisors organized in landscape policy platforms discuss potential policy innovations based on analysis of project experience and lessons learned.				
3.1 Number of operational multi-stakeholder policy dialogue platforms in each landscape and nationally	Zero existing multi-stakeholder policy platforms and participants engaged in at landscape level	*-0-*	One landscape multi-stakeholder policy platform in each of four landscapes	The indicator system makes it difficult to assess progress at mid-term, because the indicator is quantitative, the target is zero (0) and there is no qualitative indication of what the progress should be by then.
3.2 Number of multi-stakeholder participants engaged in multi-sectoral policy dialogue platforms and the discussion and analysis of lessons learned from landscape planning and management	Weak multi-stakeholder participation in and organization of knowledge sharing events, capacity building activities or outreach	*-0-*	At least 1,000 multi-stakeholder participants engaged in multi-sectoral policy dialogue platforms and in the analysis process of the landscape planning and management for four landscapes	
3.3 Number of case studies of the participatory landscape planning and management experience produced and disseminated	No case studies or other knowledge products produced or disseminated regarding participatory landscape planning and management	*-0-*	One case study of the participatory landscape planning and management process for each of the four landscapes	

3.4 Number of knowledge products produced and disseminated	Project and country programme experiences and lessons are not analyzed, codified and communicated as part of an overall strategy or plan	3 different knowledge products	At least 10 different knowledge products based on project and country programme experiences produced and disseminated	
Outcome 4: Multi-stakeholder partnerships develop and implement strategic projects to bring adoption of specific successful SGP-supported technologies, practices or systems to a tipping point in each landscape through engagement of potential financial partners, policy makers and national/subnational advisors and institutions, as well as the private sector.				
4.1 Number of strategic projects consolidating, replicating and up-scaling specific successful SGP-supported technologies, practices or systems	Zero existing strategic projects upscaling SGP-supported technologies, practices or systems	At least four analytical reports of successful project portfolios and lines of work for potential replication and upscaling	At least four strategic projects replicating and up-scaling specific successful SGP-supported technologies, practices or systems	The indicator is mostly adequate taking into account the definition of "strategic projects" in the SGP framework. However, the indicator does not clearly indicate what is the expected status of the projects: identified, developed or implemented, which is very different.

4.3.5. Reporting

How were lessons derived from the adaptive management process documented, shared with key partners and internalized by partners?

Performance in terms of the number of M&E reports produced is good. As of May 2021, the project has produced an inception workshop report and a matrix presenting progress against targets as of April 2021 to inform this MTR. NSC meeting minutes have also been produced, as well as the baseline assessments for each of the four landscapes. As of May 2021, a PIR has not been produced. This is in line with GEF guidance on PIRs. In tune with these, the first PIR is expected to be completed and submitted to the GEF by September 2021[16]. This means that the first PIR will come after 25 months of implementation. While implementation has been slow, and 2020 was the only full calendar year of implementation under the project so far, it could have been beneficial to all project stakeholders to have the first PIR earlier. If the next PIR is produced in 12 months, then, due to the short time frame of the project, by the current project end, there will only be two PIRs to measure progress and inform project management. On the other hand, in addition to the reporting documents foreseen by the M&E plan, stakeholders noted that a crucial part of the adaptive management during the implementation period disrupted by COVID-19 were the reports from the CPMU to UNOPS and UNDP on the effects of the pandemic, observations and potential adaptive measures, which reportedly were subsequently utilised to inform action in other projects and other countries.

M&E reports were produced in a timely manner. The Inception workshop report, the GEF Core Indicators, the baseline analysis of each landscape and the NSC minutes were produced in timely manner. The MTE team had access also to four NSC meeting documents, the first took place in 2020 February, the second in May 2020, the third in December 2020 and the fourth one in February 2021.

Quality of reporting is mixed. The Inception workshop report and the NSC minutes provide a comprehensive and detailed recounts of the events. Reporting on progress against end of the project targets made available to the evaluation teams shows some caveats in reporting progress. In general, reporting provides a significant amount of background information that is not particularly relevant and does not directly respond to the indicators. Reporting at objective level seems inconsistent with outcome level reporting, in the sense that the former provides some figures as achieved at MTR while the latter indicates that the activities that would result in those figures have not started yet. Reporting in some outcome level indicators (i.e. 2.2, 2.3 and 2.4) is also inconsistent.

4.3.6. Social and environmental standards

To what extent are the risks identified in the project's latest SESP valid?

The risk identified at the outset of the project are still valid and relevant. The project is rated as Moderate risk in the UNDP Social and Environmental Screening categories. The ProDoc Annex C

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[16] In 2020, SGP Thailand was not requested to submit a PIR as the project was signed after June 2019.

contains the Social and Environmental Screening Procedure (SESP), and the screening checklist. Moderate risks include:

- effects of extreme weather /climate events that lower environmental priorities of the target communities;
- Low capacity and awareness of local NGOs and communities influence the sustainability of efforts
- Legislation of land-use policy and changes in the use of natural resources may affect communities
- Multi-stakeholder platforms require significant time and commitment to function effectively
- Communities may not benefit from Civil Society Organisations (CSO)-private sector partnership for upscaling initiatives due to failure to produce equitable benefits for both parties
- Political instability may have a negative impact on communities, affecting their resource mobilisation, implementation, and the sustainability of projects.

In addition, in Annex F of the ProDoc, the UNDP Risk Log identifies five risks, which correspond to the first five moderate risks of the SESP. The Risk Log does not mention the moderate risk related to the political instability noted by SESP.

The risk log was updated during implementation to account for the risks posed by the COVID-19 pandemic. The associated operational risk has an extreme impact-level, and an expected risk likelihood. The causes of the risk are identified as:

- Government counterpart are unable to focus on the project due to COVID-19 response efforts
- Travel restrictions are in place
- Consultations with stakeholders cannot take place due to COVID-19

Stakeholders noted no concerns with the validity of the identified social and environmental risks, and confirmed their relevance to the project. In addition, the update of the risk log also maintained these risks as relevant.

However, it is important to note that **the consideration of the risks related to climate change is very narrow**. The project document only refers to secondary impacts in terms of diverting interest on environmental priorities. This disregards the primary negative impacts that climate change will likely have in the rehabilitation of ecosystems and socio-economic conditions and ignores the links between natural resources management and climate change adaptation, when in principle the project puts forward an ecosystem-based adaptation approach. Indeed, the consideration of climate change risks is not consistent with the objective of the project, which explicitly mentions the aim of increasing climate change resilience of target communities. To ensure an effective contribution to climate change resilience (to ensure that natural resources management contributes to climate change adaptation) climate change-related risks have to be assessed soundly.

It is worth further explaining this point. The project builds on the indicators on resilience in Socio Ecological Production Landscapes and Seascapes (SEPLS) developed under the Satoyama Initiative project. The Satoyama Initiative project developed a set of 20 indicators organized in 5 categories to

assess the resilience of SELPS[17]. The project being reviewed adapts this set of indicators and uses it in the development of landscape strategies. While this set of indicators provides some useful insights, it is not adequate to assess the resilience of SEPLSs to climate change. In fact the set of indicators does not include any climate reference. Moreover, some of the indicators are not appropriate. Specifically, the indicator on local crop varieties and animal breeds may result in maladaptation to climate change. The assumption there is that the greater the use of local crop varieties and animal breeds the greater resilience will be, but this will actually depend on the observed and project changes in climate variables and how sensitive local crop varieties and animal breeds are to them. If local crop varieties and animal breeds are very sensitive to projected climate conditions their promotion could decrease resilience compared to the promotion of varieties and breeds that are less sensitive to projected climate conditions.

The reviewed landscape strategies confirm these caveats. The description of the landscapes does not include a description of their climate, observed changes in climate-related variables and projected climate-related variables[18]. The strategies do not include either an assessment of the level of exposure, sensitivity and adaptive capacity (for example, use of climate information) of social or ecological systems[19]. In this sense, while overall the protection and restoration of ecosystems and the practices that contribute to this contribute to increase resilience to climate change[20], the climate angle is not included in a robust way. This compromises not only the effectiveness of some of the selected strategies, but could also lead to maladaptation, for example if equipment is located in areas that are highly exposed to sea level rise under projected climate change or plant or tree varieties that are particularly sensitive to projected climate change are promoted instead of varieties that are less sensitive. The risk log update did not address this caveat.

To what extent is the implementation of project's social and environmental management plan effective and efficient?

The prodoc identified mitigation measures. Mitigation measures identified in the SESP are primarily centred around the sub-project level implementation, such as ensuring that the sub-grant designs sufficiently consider the risks of extreme weather events, although as noted these are not assessed in detail. In terms of land use, and the risk to equitable benefits, ensuring participatory processes at

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[17] In particular, the indicators on resilience in SEPLS developed under the Satoyama Initiative project consider the following five categories: landscape diversity and ecosystem protection, biodiversity (including agricultural biodiversity), knowledge and innovation, governance and social equity, and livelihoods and well-being.

[18] In particular, changes in temperature, precipitation and sea level rise (including slow on set changes and extreme events, and means and maximums and minimums).

[19] For example, the landscape strategy of the KKFC landscape identifies some climate-related second order hazards as threats. It explicitly refers to winter storms, floods and landslides, which are related to changes in precipitation, as well as to water shortages and forest fires, which are related to changes in temperature and precipitation. It also refers to human and plant diseases that are related to changes in temperature and precipitation. However, the document does not indicate how temperature and precipitation have changed and are projected to change, and how exactly they will affect the identified threats. The Phang Nga Bay landscape strategy, for instance, has no reference even to climate related second order climate-related hazards. Climate is not considered a significant characteristic of the landscape in section 1.2, and the presentation of results in section 2.2, which is too short to allow a good understanding of situation, does not refer to climate change.

[20] Overall the conservation and sustainable use of natural resources would contribute to increase climate change resilience. Some of the specific actions that are included, such as improving the management of water resources or forest fire surveillance and control, would likely contribute to climate change resilience.

landscape and sub-grant levels are foreseen. In terms of the political risks noted by the SESP, but left out by the UNDP Risk Log, the project document planned to ensure continued political support though the National Coordinator, the NSC, and the active involvement of the civil society. These measures are **mostly relevant and have mostly been effectively implemented so far.** The project team has made important efforts to ensure the participation of stakeholders, with particular attention to landscape level and communities. This engagement is fundamental to the mitigation of most risk identified in the project's risk log. In addition, importantly, some NSC members also have a background in social and environmental safeguards, which will be of benefit if the NSC assumes a greater role in the monitoring of the sub-grants going forward. However, **climate change risks have not been properly addressed**. A review of the landscape strategies and the baselines informing them shows that sound climate change risk assessments were not conducted and that appropriate adaptation measures were not identified. In this sense, it is uncertain the extent to which the practices to be promoted contribute to climate change adaptation, being no-regret given uncertainty and avoid maladaptation.

Appropriate mitigation measures were not yet identified in the updated risk log to deal with COVID-19. However, there were repeated efforts from the CPMU to convene the NSC virtually through Zoom, which resulted in a delayed but successful approval of the small grants. The CPMU also considers option for cautiously resuming travel, and providing better electronic equipment through co-financing to facilitate engagement. Lessons from handling the effect of the pandemic on the implementation were also shared with UN stakeholders and were deemed useful. However, it may be important that COVID-19 related restrictions are also considered regarding the activities and the sustainability strategies that are promoted, as the pandemic may affect tourism and access to markets, for example, as it may establish a new normal in the years to come. Unexpected external shocks can indeed have long lasting effects. This can require thinking outside the box to identify innovative solutions.

4.3.7. Stakeholder engagement

To what extent were effective partnership arrangements established for implementation of the project with relevant stakeholders involved in the country, district and community councils?

The project has engaged a wide array of stakeholders at the country and landscape levels. **The effectiveness of the partnerships will be tested** through the implementation of sub-grants **during the next phase of the implementation.**

The National Initiation Workshop was organised for three days, where the third day included a field visit to Kaeng Krachan Forest Complex, one of the selected landscapes. The first day included an internal workshop meeting of the CPMU, UNDP, UNOPS, and the NSC. In total 15 people, 5 men, and 10 women, attended it. The second day was an external session, including in addition to the previous stakeholders, representatives from landscapes/seascapes, CSOs, NGOs and community-based organisations. In total there were 34 participants, with a 50/50 gender distribution.

In 2020 there were four landscape-level multi-stakeholder workshops conducted with the purpose of developing the specific strategies and develop participatory baseline assessments. In each landscape, the CPMU reports the participation of about 80-100 participants. For example, at KKFC, all stakeholders at the site level have had the opportunity to participate in the process. Stakeholders include surrounding community members, local government, wildlife reserve unit, office of the community development, women group, youth group, and occupation group within the community. Indigenous people also participated.

The NSC's composition also contributes to diverse perspectives and representation. The ten members include six representatives from academia/NGOs, three from government agencies, and one from UNDP. The NSC convened seven times between December 2020-February 2021, and a number of times after that, to select the grantees. Although the composition of the NSC is a result of a consultative process, some stakeholders believe that the addition of the Department of Community Development and the National Policy Committee to the NSC could benefit the project, particularly regarding outcomes 3 and 4.

As the sub-grants become operational at landscape-level the meaningful involvement of all stakeholders will be necessary for a successful implementation. The initial involvement of these stakeholders during the planning processes so far constitutes a good foundation going forward, which needs to be maintained.

To what extent is the public /community stakeholders aware and supportive of the project's objectives?

Available evidence suggests significant interest of landscapes' communities on the project objectives, as shown by the high volume of grant proposals submitted. Stakeholders have noted that this interest is both from stakeholders with prior experience with the SGP and also ones that are new to the SGP. This is a signal that there is increasing awareness of the importance of improving the management of natural resources.

To what extent are women and girls engaged?

Women and girls have been consulted to some extent. So far, women were represented in the inception workshop, as well as at the landscape strategy development workshops. At the Mae Lao landscape, 47 per cent of participants were women, at Phang Nga bay seascape 48 per cent, and in Phetchabun 44 percent, while in the KKFC landscape the exact numbers are not provided. In terms of the involvement of youth, and girls specifically, the meaningful contribution of this group is not yet documented, although their role and importance in preserving indigenous knowledge and practices is well recognised. **The implementation of the sub-grants will be an opportunity to ensure the meaningful participation of women and girls in the project**.

4.3.8. Communications and knowledge management

How effective are communications to ensure stakeholder awareness about the project? Are effective external communication mechanisms in place?

There have been steps by the project to communicate effectively, which will be expanded once the Communication Strategy is reviewed and supported by the NSC. As noted in the Stakeholder engagement section above, the stakeholder awareness about the project has been demonstrated by the high volume of interest in the grants. In addition, to ensure effective communication during the sub-grant implementation phase, a communication strategy has been developed and was planned to be reviewed by the NSC in April 2020. In addition to an overall strategy, guidelines for landscapes were developed in Thai and were disseminated to landscape stakeholders and the NSC. At the NSC level, there is a Line App group for regular communication. There is also a Facebook page and a Line App group for each landscape. It is planned that the strategic projects will contribute to knowledge management.

Has knowledge management been effective?

Steps have been taken to move towards effective knowledge management. A knowledge management strategy and plan was drafted and planned to be reviewed by the NSC in April 2021. A knowledge management consultant was also deemed necessary by project stakeholders and will be hired once grant implementation has started on the ground. There were also knowledge products developed by the CPMU about what support can be provided by UNDP in the COVID-19 context. This was then reported to be used by UNDP in other countries as well.

4.4. Sustainability

4.4.1. Is there an adequate exit strategy?

The project document does not include a clear exit strategy. Indeed, it mentions that exit strategies will be developed for each landscape during the development of the **landscape strategies**. The existing drafts focus on **knowledge management**, such as disseminating lessons and successful interventions at sub-grant level. This is relevant. The identification of promising sub-grants, even if results are not yet mature at project end, and their success factors could contribute to the sustainability of project results. Knowledge management is however not enough as a sustainability strategy. The sections below discuss in detail key sustainability elements.

4.4.2. What is the likelihood of financial and economic resources not being available once the GEF assistance ends?

Given the landscape focus of the project, financial resources will be needed for a long period of time to see substantive changes. The implementation of the project will likely generate economic benefits to grantees, in terms of increased and more stable income. However, it is **unlikely that the grantees will have enough financial resources** to maintain the results of the project without external financial

support. Through taxes, the project could benefit regional or local governments. At this point it is however **unlikely that there will be substantial local or regional financial support** available to maintain and build on project outcomes. In this sense, from a financial point of view, international support will be key to sustain project results. The availability of **GEF financial support is moderately likely**. While with the UPC modality this is no longer certain, as the government needs to allocate resources through the System for Transparent Allocation of Resources (STAR) to this, and this can be challenging when there is limited funding for the country, given that resources from OP7 were not mobilized for the SGP, it is quite likely that resources are mobilized for the SGP from OP8. Project stakeholders would need to continue conducting advocacy activities to ensure that this is case, further involving high level management. In terms of communities and grantees, some of the grantees in SGP6 have also participated in SGP5. The participation of previous grantees shows a commitment to supporting the sustainability of activities after the project. Potentially financial resources could also be mobilized from **other donors**, such as the Green Climate Fund or the Adaptation Fund, who could provide larger-scale support for building landscape resilience, but there is limited progress in that front so far.

4.4.3. Are there any social risks that may jeopardize sustainability of project outcomes?

It is too early to assess the social sustainability of project results due to the lack of implementation at the site level. **However, some elements suggest that social sustainability of project results is likely**. The fact that some communities and grantees return from previous SGP rounds signals an interest from local-level to carry out the activities promoted by the project. In this sense, at this point, as explained in section 4.3.7, available evidence suggests there is significant stakeholder ownership. In addition, as noted, some project activities would likely result in improved livelihoods, which would further contribute to sustainability. On the other hand, some of the activities are implemented in national parks or protected areas, where no construction is allowed, which might pose challenges to sustainability. It is worth noting that sustainability may differ by landscape. Interviewees point out that community networks are stronger in the southern than in the northern landscapes.

4.4.4. Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize the sustenance of project benefits?

The institutional structures that have been set up at the national and landscape levels, the landscape strategies that have been developed, and the capacity that has been built and will likely be strengthened as interventions on the ground start will contribute to the sustainability of project results. As implementation of the project continues, the implementation of component 4 activities, including knowledge management efforts, will further contribute to the sustainability of project results. On the other hand, there are two main governance risks to the sustainability of the project, the long-term **buy-**

in from local government, and **changes to national or regional legislation impacting land use rights**. Both of these risks pose a **moderate threat to long term sustainability.**

The first, as also noted above, is regarding the support from local level administration in landscapes that enable the connection of communities with national levels. The ownership of local administration is quintessential to the sustainability of project results. The level of involvement or current buy-in varies from landscape to landscape. While in the KKFC landscape local authorities are already involved in the project, in Phang Nga Bay seascape the project will require more focused efforts from the CPMU and the NSC to build the needed support from local government. While the other two landscape representatives did not note particular challenges with regard to the involvement of local authorities, the long term sustainability of project outcomes will be dependent on these bodies' awareness and support.

In some landscapes, like the Mae Lao Landscape and the Kaeng Krachan Forest Complex, land-rights are a risk to the sustainability of the project results. As noted, in these landscapes, land use right of communities within protected areas and national parks are complex and overall limited. While the project provides an opportunity to demonstrate good land and resource stewardship by communities, which could in turn strengthen their rights to remain within these areas, there is in any case a moderate risk of these good practices not being enough to ensure the right of these communities to remain especially if legislation is not adjusted. The capacity of the project to change legislation seems limited.

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

Climate change is a significant risk for the medium and long-term sustainability of the impacts of natural resources-based projects. The threats of extreme weather events are foreseen to increase, as the likelihood of such events is increasing due to climate change. Sea-level rise, prolonged and severe droughts and heavy rainfall are to be expected during and after project completion alike. While it can be assumed that the project will contribute to increase the capacity of vulnerable communities to learn about and implement more sustainable practices, which in turn will enable them to better adapt to the negative impacts of climate change, this is actually uncertain, as, as explained in detail in section 4.3.6, the landscape strategies do not include sound climate change risk assessments and these assessments have not informed the selection of the practices to be promoted. It is in this sense uncertain to what extent the practices to be promoted contribute to climate change adaptation, being no-regret, given uncertainty, and avoid maladaptation. In any case, even if the practices to be promoted contribute to adaptation, risk can still be significant, given increased threats, exposure and/or sensitivity, and even if they diminish, because initial risk levels are very high.

5.   Conclusions and recommendations

5.1. Conclusions

Project strategy

The problem addressed by the project is highly relevant to its context. Individuals and community organisation in the selected landscapes lack the needed financial, institutional and technical capacity to develop sustainable natural resource management practices that could contribute to the restoration of ecosystem and the services they provide, which in turn could increase the resilience of communities to climate change. The barriers to collective action addressed by the project are relevant.

The project applies a mostly effective strategy to achieve its intended results. In line with GEF programming directions and the COMDEKS approach, the project applies a participatory landscape planning and management approach. The landscape focus recognizes the complexity of ecosystems, enables a more multi-sectoral approach and allows aggregation. Participatory planning and management enable a better integration of existing, indigenous knowledge, and increases ownership. The project strategy is also effective in addressing land-right issues. In contrast, the effectiveness of the strategy to build climate resilience is mixed. While in theory the project adopts an ecosystem-based adaptation approach, project activities are not informed by sound climate risk assessments. Importantly, the project strategy was informed by lessons from previous projects, including past SGPs in the country, other initiatives in the country and international SGP experiences.

The project is in line with national and local priorities. The NSC and the landscape groups ensure that the overall programme and its outputs are in tune with national and local priorities and policies regarding natural resources management, climate change and biodiversity conservation.

The project comprehensively considered relevant stakeholder's perspectives in the design of the project. The targeted landscapes were selected based on learning from previous SGPs and through consultations with a wide array of stakeholders. Gender issues were sufficiently taken into consideration during project design through a sound Gender Analysis and Action Plan. The CPMU uses the Gender Action Plan during implementation and is supported by the gender specialists. However, in the PRF only a limited number of indicators is tracked.

The project's objective is clear and the defined outcomes contribute clearly to achieve that objective. However, outcome 4 does not seem feasible within the three-year project timeline. The results framework is not adequate to measure the effects of the project. Objective level indicators make important assumptions when a results framework should monitor and evaluate specific changes without assuming them. Moreover, many targets, especially those for outcome 2, are not realistic for a 3-year project.

Progress towards results

As of 30 May 2021, progress in achieving end of the project targets is moderately unsatisfactory at objective level, and moderately satisfactory at outcome level[21]. While progress has been made in building the institutional structures, developing the landscape strategies, selecting grantees and signing contracts with them, and working towards defining knowledge management and communications strategies, activities on the ground have not yet started. While the project is likely to meet its targets on Outcomes 1 and 3 related to planning and institutional structures, it is unlikely that it will meet the end of project targets for Outcome 2 related to natural resource management and its benefits. In addition, while Outcome 4 objective targets may be met, the achievement may not be sufficiently robust. The achievement of results has been hindered by several factors, including the complexity of the SGP model, the additional complexity and newness of the UCP landscape approach, high demand for support, accessibility and connectivity challenges of project sites, the COVID-19 pandemic (which is an external shock difficult to manage by any project) and management shortcomings. Some of these factors interacted.

Project implementation and adaptive management

Overall implementation arrangements of the SGP6 are adequate. However, some management challenges have affected implementation to some degree. Understandably, COVID-19 has posed challenges regarding exchanges between stakeholder, especially the NSC, which resulted in delays. Human resources are not commensurate to the work to be conducted, taking into account SGP OP6 and other responsibilities, including SGP OP5 and UNDP CO. Although the CPMU is working and competent in many fronts, there was naturally a learning curve and some areas, such as, for instance, knowledge management, may require more specialized knowledge. There is some room for improvement regarding communications among UNOPS, UNDP HQ, UNDP CO and the CPMU.

In terms of work planning, the project is currently delayed by six to eight months. The first year of this three year project was allocated to landscape level planning and sub-project development and selection. This phase is concluding currently during the completion of this report, 22 months into implementation. By the time of the currently planned project end date in September 2022, the sub-grants will likely not have produced their intended results yet, due to the belated start of their implementation.

Due to delays in implementation, there is also a significant delay in actual expenditures compared to the planned budget plan. As of April 2021, the project had spent USD 451,624, representing 19 per cent of the total budget, when already 56 per cent of implementation time had passed. With the recent approval of sub-grants, however, expenditures are likely to increase significantly in the short-term. As of April 2021, project management related expenditure represented 12.7 per cent of total disbursement. Project management costs (PMC) represent 4.8 per cent of total budget in the prodoc. The project has already

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[21] While it builds on the assessment of the achievement of mid-term targets by mid-term, this assesses the likelihood of achieving end of the project targets by the end of the project. It considers the current official date of completion (September 2022).

leveraged 58 per cent of the total planned co-financing, which is in line with the planned schedule as most of the remaining co-financing is expected to be raised during the sub-grant implementation period.

In terms of M&E, the project has a defined plan. As noted above, although in line with the GEF results architecture and the use of the core mandatory indicators, the PRF has important caveats at the objective level, regarding measurement of key impacts. The PRF is mostly adequate at the outcome level, with room for improvement in some indicators regarding their specificity and consistency and the mid-term target. Reporting performance is mixed. In terms of quantity and timeliness, required reporting materials were prepared in a timely manner, including the inception workshop report, baseline analyses and NSC meeting minutes, among others. A PIR was not required by GEF yet, but would have been beneficial to project stakeholders. In terms of quality, most reports are comprehensive. Reports from CPMU regarding COVID-19 related disruptions were crucial to adaptive management. On the other hand, reporting against end of project targets does often not directly respond to the indicators and is sometimes inconsistent.

The risks identified at the outset off the projects remain valid and relevant. However, the consideration of the risks related to climate change is narrow, as it disregards primary impacts. During implementation, the previously identified mitigation measures have been effectively implemented. Importantly, however, although the project builds on the indicators on resilience in SEPLS developed under the Satoyama Initiative project, climate change risks have not been properly addressed. In this sense, it is uncertain the extent to which the practices to be promoted contribute to climate change adaptation. The project's risk log has also been updated to reflect the pandemic. Although mitigation measures were not included yet in the update, efforts were made to mitigate the disruptions and make progress in the project during COVID-19, although there is room for improvement regarding factoring the new normality in the sustainability strategies.

The project has engaged a wide array of stakeholders during project design, inception and implementation. Evidence suggests significant interest in the project from communities. The project design is centred around the participation of relevant stakeholders, with the knowledge expertise and participation of women, indigenous groups, and both older and younger generations. There is room for engaging additional stakeholders.

The project has made important steps on knowledge management and communication. Various online communication channels have been established for stakeholder groups at project and landscape levels, and strategies have been developed for both communication and knowledge management. As the implementation of the small grants is the crucial phase for both, increased focus will be required, particularly for knowledge management, to ensure effectiveness in the coming months.

Sustainability

The exit strategy relies on the landscape strategies. The available drafts indicate a primary focus on knowledge management for disseminating, scaling, and maintaining project results. Although knowledge management is necessary, considering financial, social, political, and environmental risks to maintaining project results beyond completion is imperative.

Regarding financial sustainability, it is unlikely that grantees will have sufficient financial resources to maintain project results without external financial support, even if the proposed activities generate economic benefits. Financial support from authorities is also unlikely. Thus, international financial support will be key to sustain project results. GEF financial support is moderately likely, although will have to be mobilised from GEF8. Potentially resources could also be mobilised from other donors, who could provide larger scale support to further contribute to landscape resilience.

Communities' participation and interest suggests that social sustainability of the project results is likely, although there is variation by landscape. On one hand, some activities would likely result in improved livelihoods, which would further contribute to sustainability. On the other hand, in some cases, implementation within national park or protected areas might pose challenges to sustainability.

The institutional structures that have been set up at the national and landscape levels, the landscape strategies that have been developed, the capacity that has been built and will likely be strengthened as interventions on the ground start, and knowledge management efforts will contribute to the sustainability of project results. On the other hand, the ownership of local administration varies from landscape to landscape. There is also moderate risk that the good practices of land use and resource stewardship demonstrated by the project will not be sufficient to ensure that the communities maintain their right to remain within the protected areas or national parks. The capacity of the project to change legislation seems limited.

Climate change is a significant risk for the medium and long-term sustainability of the impacts of the project. While it can be assumed that the project will contribute to increase the adaptive capacity of target communities, this is actually uncertain, as the landscape strategies do not include sound climate change risk assessments and these assessments have not informed the selection of the practices to be promoted. Furthermore, even if the practices to be promoted contribute to adaptation, risk can still be significant, given increased threats, exposure and/or sensitivity, and even if they diminish, because initial risk levels are very high.

5.2. Lessons

1. SGPs should be designed at least as a 4-year projects, taking into account the significant budget and time required to develop a PIF and a project document and follow up its endorsement, the complexity of SGPs (including grant selection and operationalization), the flexibility required during implementation to adapt to the external shocks, such as COVID-19, projects are subject to, and GEF's stricter rules on when and how much a project can be extended. Developing 3-year SGP country programme is not cost-efficient and implies risks in terms of limited flexibility to adapt to external shocks when the possibility of extending the project duration is limited.

2. Landscape approaches are effective, as they better address ecosystem and socio-economic linkages and allow economies of scale and agglomeration when subprojects complement each other. Landscape approaches are particularly useful for the SGP model that breaks up grants in a (typically large) number of (typically small) grants, as it encourages aggregation. However, landscape approaches involve necessarily additional work if compared to regular SGPs, such as establishing institutional landscape structures and developing landscape strategies. These are complex and time-consuming tasks. This needs to be factored in when determining the duration of a project. If 3 years is tight for a regular SGP, it is unfeasible for a UPC project embracing a landscape approach.

3. The physical accessibility and remote connectivity of target landscapes need to be assessed when determining how many and which landscapes to select and determining the length of a SGP or UPC project. Similarly, baseline capacities need to be assessed, as they affect the achievement of tipping points in a certain timeframe (for example, in UPC projects it is important to assess how familiar are stakeholders with landscape approaches and whether tools have already been developed in national or local languages).

4. Although global experiences provide useful inputs, international tools need to be adjusted to local context. This takes time, which needs to be factored in the definition of project duration.

5. Social changes tend to be slow. It typically takes time to adjust natural resources management at individual, institutional and collective level, overcoming the inertia. Changes in management of natural resources do not immediately result in visible changes in the health of ecosystems and the provision of the services they provide. The impact chain is complex and uncertain (see below) and requires some time. In this sense, four years may not even be enough to achieve the impacts intended by UCP projects. Targeted landscapes may require continued support over several OPs (at least 2, probably 3, ideally 4), to generate a momentum and for impacts to start to be visible.

6. It is important to design robust PRF that do not assume impacts, but monitor and evaluate them. In ecosystem-based adaptation approaches, it is important to monitor and evaluate directly not only changes in natural resources management, but also in the health of ecosystems, socio-economic conditions and resilience to climate change with SMART indicators. As noted above, the impact chain is complex and uncertain. The M&E system of a project needs to verify to what extent expected impacts where generated along the impact chain. In this sense, the GEF core mandatory indicators are not enough to monitor and evaluate impacts of SGPs.

7. A key success factor of project delivery is the availability of adequate human resources in quantitative and qualitative terms. The number of staff at the project management unit (or the CPMU) needs to be commensurate to the whole set of tasks it needs to perform, including not only those related to a particular SGP OP, but also other SGPs tasks, as there can be overlap (e.g. SGP OP5 and OP6), and those associated to being part of an institution (e.g. UNDP CO in Thailand). It is crucial to clearly define what the tasks related to being part of an institution are, so both the CPMU and the hosting institution (e.g. UNDP CO) are aware of the tasks they are accountable for. In time-consuming management projects such as SGPs, the 5% PMC ceiling established by the GEF Secretariat may not be enough to ensure adequate human capacity. Moreover, the project management unit (or the CPMU) needs to have the

required set of qualifications and competences to perform the set of tasks it needs to carry out. Often, M&E, knowledge management and communication require specific qualifications and competences that a general coordinator may not have.

8. When selecting grants it is important to take into account its administrative implications, and the budget allocated to management in the prodoc and the ceiling established in GEF policies. While the landscape approach ensures some aggregation and the achievement of some economies of scale and agglomeration (see lesson 2), the selection of sub-projects should consider that a greater number of sub-projects implies greater administrative burden and costs. The selection process should ensure that the administrative burden and costs resulting from the selection is commensurate with the available budget for project management. In this sense, the selection process should be paired with the identification of cost-effective and cost-efficient institutional M&E structures. Landscape facilitators can be useful intermediaries between grantees and the CPMU.

9. Fluid communication and trust between stakeholders are important. When possible, in-person meetings can help. The participation of global stakeholders (UNDP and UNOPS global representatives) in the inception workshop to meet and engage local stakeholders can pave the way and generate trust. In any case, communication must be kept throughout the project. Regular calls are crucial.

10. External shocks may affect not only project management, but also project activities, particularly regarding sustainability or exit strategies. For example, the COVID-19 the pandemic may affect tourism and access to markets, as it may establish a new normal in the years to come. Unexpected external shocks can indeed have long lasting effects. This can require thinking outside the box to identify innovative solutions, in plural, embracing uncertainty.

11. Climate change is a key risk for medium and long-term sustainability of the impacts of natural resources-based projects. Although SGPs are not under GEF's climate change adaptation focal area, they need to assess climate change risks soundly and make a clear and sustained effort for the practices they promote to be no-regret and avoid maladaptation, considering uncertainty. This is specially the case when the term resilience is explicitly included in the project objective and the project narrative clearly refers to climate change adaptation, following an ecosystem-based adaptation approach. To that end the use of the indicators on "resilience" in SEPLS developed under the Satoyama Initiative project is not enough, as these indicators do not sufficiently consider climate change.

12. Lessons from other countries can be useful. Thailand benefited from previous experiences. Other countries (i.e., Malaysia, where the SGP is going to be upgraded in OP7) could benefit from Thailand's experience.

5.3. Recommendations

Recommendation 1. Accelerate delivery.

Based on the discussion from the Progress Towards Results and Adaptive management sections above, the mid-term review recommends that UNOPS, UNDP, the CPMU and the NSC continue to make efforts to accelerate delivery. To that end:

- The CPMU should organize as soon as possible an NSC meeting to approve landscape strategies.
- The CPMU should provide support to grantees on the implementation of grants in order to make as much progress as possible on achieving outcome 2 targets.
- The CPMU should expedite the development and the NSC should expedite the approval of the four strategic projects

Recommendation 2. Monitor delivery.

Based on the discussion from the Progress Towards Results and Adaptive management sections above, the mid-term review recommends that UNOPS, UNDP, the CPMU and the NSC continue to monitor delivery and assess in six months the need to request a project extension. As an extension will likely be needed, UNDP and CPMU should start identifying from now co-financing sources to support project implementation, even if some of this could be covered through outcome level funding. UNOPS and UNDP should explore the possibility of mobilizing a UN Volunteer, including how quick this could be.

Recommendation 3. Ensure long term funding for landscape work

Based on the discussion from the Project design and Progress Towards Results sections above, the mid-term review recommends that UNDP, the CPMU and the NSC continue to strengthen the advocacy process to make sure that GEF OP8 resources are allocated to SGP/UPC in Thailand. They also should continue advocacy efforts to ensure the same landscapes are prioritized, to ensure at least two OPs. To that end, they should conduct meetings with key government officials, including the GEF focal point, and develop and disseminate knowledge products on the results of the project. Moreover, CPMU should enhance communication with policy-making organizations where relevant at landscape level for policy advocacy and strong support at the pilot sites. Furthermore, UNDP should share knowledge on UCP's results in countries where they have been supported for several OPs. When developing the PIF and then the prodoc, UNDP should ensure that at least four years are considered.

Recommendation 4. Strengthen M&E and reporting

Based on the discussion from the Project design and Adaptive management sections above, the mid-term review recommends that UNDP, the CPMU and the NSC revise the PRF urgently, adding SMART indicators, baselines, targets and means and sources of verification to monitor and evaluate the impacts of the project on the health of ecosystems[22], socio-economic conditions[23] and resilience to climate change[24]. In this sense, the project should go beyond the GEF core indicators and ensure the PRF is robust, monitoring and evaluating impacts along the whole impact chain. This should be based on the baseline assessments, which should be strengthened, and ideally developed before interventions start

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[22] For example, indicators regarding the density of trees and their health, the quality of water, the quality of soil and soil erosion.
[23] For example, annual income, income stability and sources of income.
[24] For example, losses of lives and property due to climate change-related extreme events.

on the ground. The revision of the results framework should also consider outcome level indicators, addressing the comments provided in table 5. More specifically, the revision should strengthen the specificity and consistency of indicators 1.1 and 1.3. In addition, the revision should further include a gender perspective, disaggregating by gender in several indicators. A reference to gender could be easily added on indicator 3.2 on number of multi-stakeholder participants engaged in multi-sectoral policy dialogue platforms (e.g., "where 40% of participants or 400 participants are women"). References to gender could also be added quite easily to indicator 1.1 on multi-stakeholder landscape groups, adding for example "where women represent at least 40% of the group members". The same approach could be used for indicator 3.1 on multi-stakeholder policy platforms, although in this case this seems to be already included in indicator 3.2 (the difference between group member and participant would need to be clarified). Potentially, references to gender could also be integrated on indicators A, 2.1, and 2.4, distinguishing between areas owned by women or where women lead the management of natural resources, although if management is collaborative this would not be robust (2.2. and 2.3 have a clear community-approach). Finally, references to gender could be added on indicators 3.3 and 4.1, requesting that a percentage of the practices included in the case studies and the strategic projects are led by women, respectively. In addition, the CPMU should follow the PRF more closely in reporting, responding to indicators more succinctly and directly.

Recommendation 5. Strengthen the human capacity for project management related activities

Based on the discussion from the Adaptive management section above, the mid-term review recommends that UNOPS and UNDP hire additional human resources to support the CPMU, with specific qualifications in M&E and knowledge management, to support the project coordinator in addressing recommendation 4, and strengthening reporting, which should respond to indicators more succinctly and directly. Even if the management of SGP OP5 concludes, the CPMU staff is stretched to deal with SGP OP6 and UNDP CO-related workload. This is urgent, as the workload is expected to increase when delivery accelerates. To that end, UNOPS and UNDP should consider consultancies, UN Volunteer (UNV) and the use of strategic projects to be covered at the outcome level. Exploring the possibility of mobilizing a UNV should consider how long this could take and what the lifetime of the project is, acknowledging that a project extension is likely.

Recommendation 6. Further engaging landscape facilitators

Based on the discussion from the Adaptive management section, the mid-term review recommends that UNOPS, UNDP, the CPMU and the NSC consider hiring landscape facilitators to follow up the implementation of the sub-projects, through strategic projects, as done for example in Ecuador. These facilitators would monitor and support field level activities (outcome 2), provide aggregated reporting at landscape level and contribute to strategic thinking and knowledge management (outcomes 3 and 4). Funds for landscape facilitators could potentially be mobilized from outcomes 2, 3 and/or 4.

Recommendation 7. Enhance communication between parties

Based on the discussion from the Adaptive management section, the mid-term review recommends that UNOPS, UNDP and the CPMU continue communication efforts, continuing the organization of regular

calls between UNDP, UNOPS and the CPMU, and establishing more regular, fluid and transparent communication between CPMU and UNDP CO, including clarifying the responsibilities of the CPMU vis-à-vis the CO, and the responsibilities of the CO vis-à-vis the project and the CPMU.

Recommendation 8. Further address the risks posed by COVID-19

Based on the discussion from the Adaptive management and Sustainability sections, the mid-term review recommends that the CPMU, the NSC, UNDP and UNOPS assess in detail how COVID-19 could affect the sustainability of the project and identify actions that would likely address this risk. This can require thinking outside the box to identify innovative solutions, in plural, embracing uncertainty[25].

Recommendation 9. Promote climate change adaptation, whenever relevant and feasible

Based on the discussion from the Project design, Adaptive management and Sustainability sections, the mid-term review recommends that the CPMU, the NSC, UNDP and UNOPS conduct a rapid climate change risks assessment, assess to what extent the practices to be promoted contribute to climate change adaptation, being no-regret measures and avoid maladaptation, and identify and make adjustments whenever relevant and feasible. As recommendation 8, this can require thinking outside the box to identify innovative solutions, in plural, embracing uncertainty.

Recommendation 10. Strengthen knowledge management and communication

Based on the discussion from the Adaptive management and Sustainability sections, the mid-term review recommends that the CPMU convenes the NSC to approve the knowledge management and communication strategies and implement them. This should support the identification of best practices and individual and social champions that can advocate, fund and move them forward (outcome 4) and the identification of policy bottlenecks and policy changes (outcome 3). Regarding the latter, the CPMU, the NSC, UNDP and UNOPS should engage the Department of Community Development and the National Policy Committee. At this point, as mid-term has been reached, the CPMU, the NSC, UNDP and UNOPS should strategically assess the lessons of this project, building on section 5.2 (on lessons learned) of this report. UNDP and UNOPS should ensure that they are used in the design of upcoming UPC projects, for example in Malaysia, as well as for the development of OP8 projects.

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[25] For instance, developing schemes to deliver food boxes to consumer's homes as with COVID-19 these may face restrictions to go to markets.

6. Annexes

6.1. Evaluation Matrix

Table 7. Evaluation Matrix

Evaluative Questions	Indicators	Sources	Methodology
1. Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership and the best route towards expected results?			
1.1 Project Design			
1.1.1. To what extent is the problem addressed by the project relevant to its context?	• Relevance of the problem in project sites - consistency with human development needs of the target provinces and the intended beneficiaries	• Project planning documents • Local stakeholders, including community members and groups, government stakeholders and other local stakeholder groups • National government stakeholders • CPMU, UNDP staff	• Desk review • Interviews • Focus groups • Field visits
1.1.2. How effective is the selected strategy to achieve intended results?	• Extent to which selected methods of delivery are appropriate to the development context • Level of coherence between outcomes, outputs and activities • Evidence of planning documents utilizing lessons learned/ recommendations from previous projects as input to planning/strategy process	• Project planning documents • Local stakeholders, including community members and groups, government stakeholders and other local stakeholder groups • National government stakeholders • CPMU, UNDP staff	• Desk review • Interviews • Focus groups • Field visits
1.1.3. To what extent is the project responding to the national priorities and context?	• Level of alignment of the project outcomes and outputs with national priorities (a) at project inception; (b) at midterm	• Project planning documents • National policies, strategies and plans, including relevant sectoral policies	• Desk review • Interviews

Evaluative Questions	Indicators	Sources	Methodology
		• National government stakeholders • CPMU, UNDP staff	
1.1.4. Were perspectives from all relevant stakeholders taken into account during project design?	• Number and types of stakeholders consulted during project design • Evidence of concerns expressed being used to adjust project strategy	• Project planning documents • Local executing partners, including community members and groups, government stakeholders and other local stakeholder groups • National government stakeholders • Workshop/planning meeting minutes and action items	• Desk review • Interviews • Focus groups • Field visits
1.1.5. To what extent were gender issues taken into account during project design?	• Number and types of activities undertaken during project design to assess gender-related needs for the project • Evidence of incorporation of these needs into the project document	• Project planning documents • Local executing partners, including community members and groups, government stakeholders and other local stakeholder groups • National government stakeholders • Workshop/planning meeting minutes and action items	• Desk review • Interviews • Focus groups • Field visits
1.2 Results Framework / Logframe			
1..2.1 How clear, practical and feasible are project's outcomes and objectives? How realistic are the targets and timeframes?	• Coherence between objective, outcomes, outputs and activities • Feasibility of stated targets, outcomes and objectives within the project timeframe • Implementing entities' staff understanding of objectives, targets and timeframe	• Project planning documents, baseline report, monitoring reports • PMU, UNDP staff, other implementing partner's staff	• Interviews • Desk review • Field visits

Evaluative Questions	Indicators	Sources	Methodology
	• Local implementing partners' understanding of objectives, targets and timeframe		
1.2.2 How effective are the logframe's indicators, baselines and targets to measure effects from the project?	• Use of SMART sets of indicator, baseline, target and mean of verification • Use of gender-disaggregated indicators and targets • Evidence of effects of the project on development or environment not measured by current indicators.	• Project planning documents, baseline report, monitoring reports • CPMU, UNDP staff, other implementing partner's staff	• Interviews • Desk review • Field Visit
2. Progress towards Results: To what extent have the expected outcomes and objectives of the project been achieved so far? (effectiveness)			
2.1 To what extent have the expected outputs, outcomes and objectives of the project been achieved so far?	• Extent to which the stated objectives, outcomes and outputs have been achieved • Progress between the most recent GEF Tracking Tool and its Baseline version	• Project planning, progress reports, and monitoring reports • CPMU, UNDP staff • Local and national stakeholders	• Desk review • Focus groups • Field visits • Interviews
2.2 What are the main barriers to address and the main opportunities to leverage based on current progress towards results?	• Nature and extent of barriers hindering progress towards results • Nature and extent of opportunities generated by most successful achievements to date	• Project planning, progress reports, and monitoring reports • CPMU, UNDP staff • Local and national stakeholders	• Focus groups • Field visits • Interviews • Desk review
3. Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level M&E systems, reporting and project communications supporting the project's implementation? (efficiency)			
3.1 Management Arrangements			
3.1.1 How effective are the management arrangements?	• Evidence of clear roles and responsibilities established • Evidence of timely and transparent decision making • Level of responsiveness of project team and of respective implementing bodies to changing project needs	• Project planning, progress reports, and monitoring reports • CPMU, UNDP staff • Local and national stakeholders	• Interviews • Desk review
3.1.2 What is the quality of execution of the project by the executing	• Level of alignment in actual and planned amount of budget and staff time devoted to the project	• Project planning, progress reports, and monitoring reports	• Interviews • Desk review

Evaluative Questions	Indicators	Sources	Methodology
agency and the implementing partner?	• Perceived quality of management response to project team members' inquiries, needs • Quality of supervision of IA and EA (rating on a scale), respectively • Gender balance of project staff	• CPMU, UNDP staff • Local and national stakeholders	
3.2 Work Planning			
3.2.1 Have there been any delays in implementation? If so, why?	• Timing and sequence of outputs against work plan • Cause and total delays (in months)	• Project planning, progress reports, and monitoring reports • CPMU, UNDP staff • Local and national stakeholders	• Interviews • Desk review
3.2.2 Are work-planning processes results-based?	• Proportion of results-based planning and reporting documents	• Project planning, progress reports, and monitoring reports	• Desk review
3.2.3 Was the logical framework used during implementation as a management and M&E tool?	• Extent of management use of the log frame (number and type of usage)	• Project planning, progress reports, and monitoring reports • CPMU, UNDP staff • Local and national stakeholders	• Interviews • Desk review
3.3 Finance and co-finance			
3.3.1 To what extent are the outputs being achieved in a cost-effective manner?	• Cost per output compared to costs of similar projects • Level of alignment between planned and incurred implementation costs and nature of divergences	• Project planning, progress reports, and monitoring reports • CPMU, UNDP staff • Local and national stakeholders	• Interviews • Desk review
3.3.2 Is there any variance between planned and actual expenditures? Why?	• Planned budget per year, outcome and output • Actual budget execution per year, outcome and output	• Project planning, progress reports, audit reports and monitoring reports • CPMU, UNDP staff • Local and national stakeholders	• Interviews • Desk review
3.3.3 Does the project have the appropriate financial controls to make informed management	• Number and proportion of financial reports available • Timeliness of available financial reports • Quality of available financial reports	• Project planning, progress reports, audit reports and monitoring reports	• Desk review

Evaluative Questions	Indicators	Sources	Methodology
decisions regarding the budget and flow of funds?	• Availability of yearly audit reports		
3.3.4 To what extent is the project leveraging its planned co-financing?	• Amount of resources that project has leveraged since inception (and source(s)) • Number and difference between planned and actual executed co-financing activities • Degree of integration of externally funded components into overall project strategy/design	• Project planning, progress reports, audit reports and monitoring reports • CPMU, UNDP staff • Management teams from co-financing projects	• Interviews • Desk review
3.4 Project-level M&E systems			

3.4.1 Is the M&E system operational and effective?	• Existence and quality of:
	  o Roles and responsibilities;
	  o Budget and timeframe/ work plan
	• Proportion of executed M&E budget against planned amount
	• Proportion and types of M&E reporting materials submitted on time
	• Alignment with national systems and UNDP /GEF reporting requirements
	• Quality of M&E reporting materials
	• Evidence of consultation of all relevant stakeholders, including women and vulnerable populations
	• Extent to which the M&E systems that the project has in place helped to ensure that programmes are managed for proper accountability of results
		• Project planning, progress reports, audit reports and monitoring reports
		• CPMU, UNDP staff
		• Local and national stakeholders
			• Interviews
			• Desk review

3.5 Stakeholder Engagement			
3.5.1 To what extent were effective partnership arrangements established for implementation of the project with relevant	• Number and types of partnerships developed between project and international, national and local bodies/organizations • Extent and quality of interaction/exchange between project implementers and international, national and local partners	• Meetings/workshop minutes (Steering Committee) • CPMU, UNDP staff • Local and national stakeholders • Project beneficiaries	• Interviews • Desk review • Field visits • Focus groups

Evaluative Questions	Indicators	Sources	Methodology
stakeholders involved in the country, district and community councils?			
3.5.2 To what extent is the project country-driven?	• Appreciation from national stakeholders with respect to adequacy of project design and implementation to national realities and existing capacities • Existence and use of mechanisms to ensure national government stakeholders have an active role in project decision-making	• Project planning and management documents • Key national project partners	• Interviews • Desk review
3.5.3 To what extent is the public /community stakeholders aware and supportive of the project's objectives?	• Number and type of public awareness activities • Number of people reached by these activities • Perceived benefits of the project by the public • Contribution of public awareness to the progress towards achievement of project objectives	• Monitoring reports • Community stakeholders	• Desk review • Field visits
3.5.4 To what extent are women and girls engaged?	• Extent of participation of women and girls • Evidence of barriers to the participation of women and girls and extent of effort to address barriers • Likelihood of same level of positive and/or negative effects of the project on women and men, girls and boys	• Meetings/workshop minutes (Steering Committee) • CPMU, UNDP staff • Local and national stakeholders • Project beneficiaries	• Interviews • Desk review • Field visits • Focus groups
3.6 Social and Environmental Standards (Safeguards)			
3.6.1 To what extent are the risks identified in the project's latest SESP valid?	• Comprehensiveness and appropriateness of identified risks, risk categorisation, and individual risk ratings • Evidence of appropriate revision of risks during implementation • Comprehensiveness and appropriateness of risk mitigation measures	• Meetings/workshop minutes (Steering Committee) • CPMU, UNDP staff • Local and national stakeholders • Project beneficiaries	• Interviews • Desk review • Field visits • Focus groups
3.6.2 To what extent is the implementation of project's social and environmental management plan effective and efficient?	• Alignment of management plans with relevant UNDP safeguards policy at time of project approval • Extent of progress in the implementation of the environmental and social management plan	• Meetings/workshop minutes (Steering Committee) • CPMU, UNDP staff • Local and national stakeholders • Project beneficiaries	• Interviews • Desk review • Field visits • Focus groups

Evaluative Questions	Indicators	Sources	Methodology
3.7 Reporting			
3.7.1 How were lessons derived from the adaptive management process documented, shared with key partners and internalized by partners?	• Proportion of adaptive management processes documented • Proportion of these processes shared with partners • Evidence of use of lessons from these reports by partners	• Project planning, progress reports, audit reports and monitoring reports • CPMU, UNDP staff • Local and national stakeholders	• Interviews • Desk review
3.8 Communications & Knowledge management			
3.8.1 How effective are communications to ensure stakeholder awareness about the project?	• Existence of an internal communication plan, communication protocols, and feedback mechanisms • Perceived level of awareness about project outcomes and activities by stakeholders	• Project planning, progress reports, audit reports and monitoring reports • CPMU, UNDP staff • Local and national stakeholders	• Interviews • Desk review
3.8.2 Are effective external communication mechanisms in place?	• Number and type of external communication mechanisms or activities implemented • Perceived usefulness of communications by stakeholders	• Project planning, progress reports, audit reports and monitoring reports • CPMU, UNDP staff • Local and national stakeholders	• Interviews • Desk review
3.8.3 Has knowledge management been effective?	• Existence of a knowledge management plan • Comprehensiveness and relevance of planned activities on knowledge management • Number and type of knowledge activities and products developed • Quality and effectiveness of the knowledge management activities conducted	• Project planning, progress reports, audit reports and monitoring reports • CPMU, UNDP staff • Local and national stakeholders	• Interviews • Desk review
4. Sustainability: To what extent are there financial, institutional, socio-economic and/or environmental risks to sustaining long-term project results?			
4.1 Are the risks identified in the project document the most important? Are they still up to date?	• Existence of an exit strategy • Robustness of the exit strategy	• Local executing team and executing partners • Project document and progress reports	• Interviews • Document Review

Evaluative Questions	Indicators	Sources	Methodology
	• Level of alignment of risk identified in the project document with (a) actual risks at project inception and (b) current risks • Appropriateness of risk rating		
4.2 What is the likelihood of financial and economic resources not being available once the GEF assistance ends?	• Type and cost of activities that would require continued financial support after the end of the project to maintain outcomes • Existence of sources of funding for these activities	• Local executing team and executing partners • Project document and progress reports	• Interviews • Document Review
4.3 Are there any social or political risks that may jeopardize sustainability of project outcomes?	• Existence and type of political and social conditions potentially affecting the sustainability of direct outcomes • Existence of mechanisms to document and exchange lessons learned (including technical knowledge) • Existence of champions that could promote the sustainability of project results	• Local implementation partners • Local communities • Project monitoring and reporting documents/data • Government stakeholders	• Interviews • Desk review
4.4 Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize the sustenance of project benefits?	• Existence and type of frameworks, policies, governance structures and processes that may jeopardize project benefits • Type of frameworks, policies, governance structures and processes currently lacking to ensure sustainability of project benefits	• Local implementation partners • Government stakeholders, technical staff • Policy documents	• Interviews • Desk review
4.5 Are there any environmental risks that may jeopardize sustenance of project outcomes?	• Existence and intensity of biophysical conditions affecting the sustainability of project outcomes	• Local implementation partners • Government stakeholders, technical staff • Policy documents	• Interviews • Desk review

6.2. List of reviewed documents

- Project Document and CEO ER document
- UNDP Environmental and Social Screening Results
- Project Inception Report
- Progress reports
- Activity level M&E tool
- Annual work plans
- GEF focal area Tracking Tool at CEO endorsement and at midterm
- Oversight mission reports/ Monitoring reports
- Minutes of the NSC meetings
- Summary of grants provided
- Communication tools
- Project activities and outputs
- National and sub-national policies, strategies and plans

6.3. List of interviewees

Table 8. List of interviewees

Institution	Interviewee's name	Position	Date
UNOPS	Ms. Rosanna De Luca	UNOPS Programme Manager	29/04/2021
UNDP SGP UCP / RTA	Ms. Diana Salvemini	Global Coordinator	23/04/2021
	Mr. Nick Remple	Former global coordinator – Consultant developing the Prodoc	29/04/2021
UNDP Thailand	Ms. Napaporn Yuberk	IGSD Team Leader/ Programme Specialist	07/05/2021
CPMU	Ms. Suwimol Sereepaowong Ms. Thadthana Luengthada	Country Programme Manager Programme Assistant	10/05/2021
NSC members	1) Ms. Sinee Chuangcham 2) Assoc.Prof. Dr. Makasiri Chaowakul	Khon Kaen University Naresuan University	27/04/2021
	3) Mr. Kanchit Sukjaimitr 4) Dr. Prasert Trakansuphakon	Thai Fund Foundation AIPP/ IKAP	27/04/2021
	6) Mr. Preecha Ongprasert	Royal Forest Department (RFD)	29/04/2021
	5) Mr. Phirat Inphanich	Ministry of Energy	30/04/2021
Beneficiary communities – Representatives from Phang Nga Bay	1) Mr. Phakphoom Withanthirawat 2) Mr. Pichet Parndam	- Save Andaman Foundation – Project coordinator - Andaman Food Security Association – Chairperson	11/05/2021
Beneficiary communities – Representatives from Mae Lao Watershed	1) Mr. Direk Khruajinli 2) Mr. Thatchai Akkraawongwiriya 3) Ms. Jantanee Pichetkulsampan	- Raks Thai Foundation - Project coordinator - Raks Thai Foundation – Field coordinator - IMPECT - Lead of the Natural Resource and Environment Group	12/05/2021
Beneficiary communities – Representatives from Kaeng Krachan Forest Complex	1) Mr. Pratheep Meekatitham 2) Mr. Pramote Sriyai - Sueb	- IUCN project officer - Seub Nakhasathien Foundation Officer	12/05/2021
Beneficiary communities – Representatives from Phetchabun Mountains	1) Mr.Damrongsuk Manokaew 2) Mr. Jeerasak Tridetch	- Watershed Protection Association - Chairperson - Upstream Poong Watershed Community Organization Network - Chairman	14/05/2021

6.4. Overview of interview protocols

The table below provides an overview of the questions to be asked during interviews, and who they will be asked to. Before conducting the interviews, they will be separated into specific interview protocols per type of stakeholder. Some questions may then be rephrased to adapt to the type of stakeholder interviewed.

Table 9. Interview protocols

Questions	CPMU	UCPC	UNDP-GEF Regional	UNOPS Programme	UNDP Thailand	NSC	District and local authorities	Development partner	Communities
Introduction									
What is your position?	x	x	x	X	x	x	x	x	
What is your relationship to the project and for how long have you been involved?	x	X	x	x	x	x	x	x	x
1. Project strategy									
1.1 Project Design									
1.1.1 How important is the problem addressed by the project for the four target regions?	x	x	x	X	x	x	x	x	x
1.1.1 Have the assumptions made during project design proven relevant? Have they evolved? (How?)	x	x	x	X	x	x	x	x	
1.1.2 How effective is the selected strategy to achieve intended results? (Were lessons from previous projects integrated into project design?)	x	x	x	X	x	x	x	x	x
1.1.3 To what extent is the project responding to the national priorities and context? Has this changed since project design?	x	x	x	X	x	x	x	x	
1.1.4 In your opinion, were all people affected or concerned by the project consulted during project design?					x	x	x		x
1.1.5 To what extent were gender issues taken into account during project design? *(Were any activities undertaken to assess gender-related needs for the project during project design?)*					x		x		x
1.2 Results Framework/ Logframe									
1.2.1 Could you please explain in your own words the objective and intended outcomes of the project, its targets and their related timeframes?	x			X	x	x			
1.2.1 How realistic are they?	x			X	x	x			
1.2.2 Are there effects on development or on the environment that are not measured by current indicators?	x			X	x	x			
2. Progress towards results									
2.1 To what extent have the expected outputs, outcomes and objectives of the project been achieved so far? (Provide a list, as needed)	x			X	x	x	x		
2.2 What are the main barriers to address to achieve expected results? What are the main opportunities to leverage?	x			X	x	x	x		
3. Project implementation and adaptive management									
3.1 Management arrangements									
3.1.1 Are the roles and responsibilities of the CPMU, UNDP and other partners clearly established?	x			X	x	x			
3.1.1 In your opinion, is decision-making timely and transparent? How responsive are partners to changing needs of the project?	x			X	x	x			
3.1.2 How would you describe the quality of management responses to project team members' inquiries and needs?	x			X	x	x			

Questions	CPMU	UCPC	UNDP-GEF Regional	UNOPS Programme	UNDP Thailand	NSC	District and local authorities	Development partner (i.e. IUCN)	Communities
3.1.2 On a scale of 1 to 4, how would you rate the quality of supervision by UNDP? Why? (1=poor; 2=fair; 3=good; 4=excellent)	x			X		x			
3.1.2 On a scale of 1 to 4, how would you rate the quality of supervision by UNOPS? Why? (same scale)	x				x	x			
3.1.2 On a scale of 1 to 4, how would you rate the quality of risk management by UNDP? Why? (same scale)	x			X	x	x			
3.1.2 On a scale of 1 to 4, how would you rate the quality of social and environmental management by UNDP? Why? (same scale)	x			X	x	x			
3.2 Work Planning									
3.2.1 Have there been any delays in implementation? If so, could you describe their cause and how many months of delay occurred?	x			X	x	x			
3.2.3 How often do you use the project's logframe for management and/or M&E? How do you use it?	x			X	x	x			
3.3 Finance and co-finance?									
3.3.1 Is the project being implemented in a cost-effective manner? How? If not, why?	x			X	x	x			
3.3.2 Have there been any variations between planned and actual expenditures? If yes, which ones and why?	x			X	x	x			
3.3.3 What (and how much) co-financing is the project leveraging? How has this evolved since project design?	x	x	x	X	x	x		x	
3.4 Project-level M&E systems									
3.4.1 Is the M&E system operational and effective?	x								
3.5 Stakeholder Engagement									
3.5.1 How frequently do you interact/exchange with project staff / local partners?	x						x		x
3.5.1 On a scale of 1 to 4, how would you rate the quality of your interactions? (1=poor; 2=fair; 3=good; 4=excellent)	x						x		x
3.5.2 Is the project as it is implemented appropriate to your realities and capacities?							x		x
3.5.2 Are you aware of any mechanisms being in place for you to influence project decision-making?							x		
3.5.3 In your opinion, is the project beneficial to your community? If so, what are its benefits?							x		x
3.6 Social and Environmental Standard (Safeguards)									
3.6.1 Were all relevant risks identified at that outset or during project implementation? Are the identified environmental and social risks relevant and rated appropriately? If not, why?	X	x	X	X	x	X			
3.6.2 Were adequate risk mitigation measures identified and implemented for all relevant risks? Is the social and environmental management plan implemented as planned? If not, why?	x	x	X	x	X	x			

Questions	CPMU	UCPC	UNDP-GEF Regional	UNOPS Programme	UNDP Thailand	NSC	District and local authorities	Development partner (i.e. IUCN)	Communities
3.7 Reporting									
3.7.1 How many lessons from adaptive management processes were shared with partners? Which partners?	x				x	x			
3.7.1 Did you receive any documentation about lessons drawn from adaptive management processes undertaken by the project?							x		
3.7.2 Could you provide examples where these lessons were used by your organization?							x		
3.8 Communications & knowledge management									
3.8.1 Could you please tell me what the project expected outcomes and its activities are?							x	x	x
3.8.2 What communication mechanisms or activities have been implemented by the project? Who has been targeted?	x								
3.8.2 How have you received information about the project? Was this information useful?							x	x	x
3.8.3 Has knowledge been managed effectively? Have adequate knowledge management measures be identified and implemented?	x			x	x	x			
4. Sustainability									
4.1 Have the risks assessed during project design proven relevant? Have they evolved? (How?)	x	x	x	X	x	x			
4.2 Which activities would require continued financial support after the end of the project for project outcomes to be maintained?	x	x	X	x	x	x	x		x
4.2 Which outcomes should normally be maintained without additional resources?	x	x	x	X	x	x	x		x
4.3 What social and/or political conditions could affect the sustainability of project outcomes? How?	x	x	X	x	x	x	x		x
4.4 What frameworks/policies/governance structures/processes could potentially affect the sustainability of project benefits? How?	x	x	x	x	x	x	x		
4.4 What frameworks/policies/governance structures/processes are lacking to ensure the sustainability of project benefits? Why?	x	x	X	x	x	x	x		
4.5 Are there any biophysical that could affect the sustainability of project outcomes? How?	x	x	x	X	x	x	x		x

6.5. Terms of Reference

1. **General Background**
2.

The Sixth Operational Phase of the GEF Small Grants Programme in Thailand has been conceived to engage community organizations in four diverse regions of Thailand to take collective action for adaptive landscape and seascape management for socio-ecological resilience - through design, implementation and evaluation of regular and strategic grant projects for global environmental benefits and sustainable development. It will promote sustainable land management through the strengthening of viable agro-forestry and sustainable agriculture practices and systems that improve soil and water conservation, increase the conservation and sustainable use of biodiversity, and enhance the innovative use of renewable energy.

The solution to the problem is for community organizations in rural landscapes and seascapes of key areas of Thailand - the Northern, Northeastern, Western and Southern regions - to develop and implement adaptive landscape management strategies that build social, economic and ecological resilience based on the production of global environmental and local sustainable development, health and well-being benefits. To pursue achievement of the outcomes of these adaptive landscape management strategies, community organizations will implement grant projects reviewed and approved by the SGP National Steering Committee (NSC), supported by multi-stakeholder agreements involving local government, the private sector, NGOs and other partners, and evaluated as part of the broader collective process of adjusting management strategies to new information, knowledge, capacities and conditions. To ensure long-term conservation of ecosystem services, sequestration of carbon, sustainable natural resource management and human well-being, there is an obvious need to involve local communities and provide them with appropriate incentives. A critical long-term solution for this is, therefore, to ensure that sufficient institutional and local capacities are available to harness innovative financing opportunities as incentives to local land users to conserve ecosystem function and resources and sustainably manage landscapes/seascapes.

The project's objectives will be achieved through four outcomes organized around a single component: *Resilient rural landscapes and seascapes for sustainable development and global environmental protection.* These four outcomes will be achieved through delivery of 15 outputs. Individual small grants, strategic grants and other project outputs and activities will be combined to deliver the following four outcomes:

- *Outcome 1:* Multi-stakeholder partnerships the Mae Lao Watershed; Phetchabun Mountains; Kaeng Krachan Forest Complex; and Phang Nga Bay landscapes/seascapes develop and execute adaptive management plans to enhance landscape/seascape and community resilience, and global environmental benefits.
- *Outcome 2:* Community organizations in landscape/seascape level networks build their adaptive management capacities by implementing community level projects and collaborating in managing landscape resources and processes to achieve socio ecological production landscape resiliency.
- *Outcome 3:* Multi-stakeholder landscape and seascape management groups, local policy makers and subnational/national advisors organized in landscape policy platforms discuss potential policy innovations based on analysis of project experience and lessons learned.
- *Outcome 4:* Multi-stakeholder partnerships develop and implement strategic projects to bring adoption of specific successful SGP-supported technologies, practices or systems to a tipping point in each landscape through engagement of potential financial partners, policy makers and national/subnational advisors and institutions, as well as the private sector.

The SGP Country Programme is structured similarly to other SGP Country Programmes worldwide under the SGP Operational Guidelines approved by GEF Council. First and foremost, the Country Programme is governed by a National Steering Committee comprised of rotating representatives of civil society (the majority), as well as government and UNDP. The National Coordinator manages the Country Programme.

2. Purpose and Scope of Assignment

The objective of the Mid Term Review (MTR) is to assess:
- Progress towards the achievement of the project objectives and outcomes, as specified in the Project Document; and,

- Early signs of project success or failure with the goal of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results.
- The MTR also reviews the project's strategy and the risks to its sustainability.

In addition, the MTR findings and responses outlined in the management response will be incorporated as recommendations for enhanced implementation during the final half of the project's duration.

The MTR report must provide evidence-based information that is credible, reliable and useful.
The Project Management Support – Advisor 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, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review. The Project Management Support – Advisor will review the baseline GEF focal area Core Indicators/Tracking Tools submitted to the GEF at CEO endorsement, and the midterm GEF focal area Core Indicators/Tracking Tools that must be completed before the MTR field mission begins.

The Project Management Support – Advisor is expected to follow a collaborative and participatory approach [26] ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), UNDP-GEF Regional Technical Advisers, direct beneficiaries, and other key stakeholders.

Engagement of stakeholders is vital to a successful MTR. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to CBOs/NGOs grantees; executing agencies, senior officials and task team/ component leaders, key experts and consultants in the subject area, Project Board, project stakeholders, academia, local government and CSOs, etc. Additionally, the Project Management Support – Advisor is expected to conduct field missions to Thailand, including the following project sites in land/seascapes of Mae Lao Watersed, Phetchabun Mountains, Kaeng Krachan Forest Complex and Phang Nga Bay in Southern Region.

The specific design and methodology for the MTR should emerge from consultations between the Project Management Support – Advisor and the above-mentioned parties regarding what is appropriate and feasible for meeting the MTR purpose and objectives and answering the evaluation questions, given limitations of budget, time and data. The Project Management Support – Advisor must 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 MTR report.

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

The final MTR report should describe the full MTR approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the review. Interviews will be held with the following organizations and individuals at a minimum:
  - o NSC members and Chair
  - o National Coordinator
  - o Grantee representatives in pilot areas
  - o Project Administrative/Financial Officer
  - o UNDP Country Office in Bangkok
  - o UCP Global Coordinator
  - o Technical Advisor

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

      o   UNOPS Programme Manager

3. Monitoring and Progress Controls

The Project Management Support – Advisor will assess the following four categories of project progress. See the *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for extended descriptions.

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

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

ii.   Progress Towards Results

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

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

Project Strategy	Indicator[27]	Baseline Level[28]	Level in 1st PIR (self-reported)	Midterm Target[29]	End-of-project Target	Midterm Level & Assessment [30]	Achievement Rating[31]	Justification for Rating
Objective:	Indicator (if applicable):							
Outcome 1:	Indicator 1:							
	Indicator 2:							
Outcome 2:	Indicator 3:							
	Indicator 4:							
	Etc.							
Etc.								

- **Indicator Assessment Key**

Green= Achieved	Yellow= On target to be achieved	Red= Not on target to be achieved

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

iii. **Project Implementation and Adaptive Management**

Management Arrangements:
- Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.
- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.
- Review the quality of support provided by the GEF Partner Agency (UNDP) and recommend areas for improvement.
- Do the Executing Agency/Implementing Partner and/or UNDP and other partners have the capacity to deliver benefits to or involve women? If yes, how?
- What is the gender balance of project staff? What steps have been taken to ensure gender balance in project staff?
- What is the gender balance of the Project Board? What steps have been taken to ensure gender balance in the Project Board?

Work Planning:
- Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.
- Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?

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[27] Populate with data from the Logframe and scorecards
[28] Populate with data from the Project Document
[29] If available
[30] Colour code this column only
[31] Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

- Examine the use of the project's results framework/ logframe as a management tool and review any changes made to it since project start.

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

Sources of Co-financing	Name of Co-financer	Type of Co-financing	Co-financing amount confirmed at CEO Endorsement (US$)	Actual Amount Contributed at stage of Midterm Review (US$)	Actual % of Expected Amount
		TOTAL			

-
- Include the separate GEF Co-Financing template (filled out by the Commissioning Unit and project team) which categorizes each co-financing amount as 'investment mobilized' or 'recurrent expenditures'. (This template will be annexed as a separate file.)
-

Project-level Monitoring and Evaluation Systems:
- Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?
- Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?
- Review the extent to which relevant gender issues were incorporated in monitoring systems. See Annex 9 of *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.

Stakeholder Engagement:
- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?
- Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?
- How does the project engage women and girls? Is the project likely to have the same positive and/or negative effects on women and men, girls and boys? Identify, if possible, legal, cultural, or religious constraints on women's participation in the project. What can the project do to enhance its gender benefits?

Social and Environmental Standards (Safeguards)
- Validate the risks identified in the project's most current SESP, and those risks' ratings; are any revisions needed?
- Summarize and assess the revisions made since CEO Endorsement/Approval (if any) to:
  - The project's overall safeguards risk categorization.
  - The identified types of risks[32] (in the SESP).
  - The individual risk ratings (in the SESP) .
- Describe and assess progress made in the implementation of the project's social and environmental management measures as outlined in the SESP submitted at CEO Endorsement/Approval (and prepared during implementation, if any), including any revisions to those measures. Such management measures might include Environmental and Social Management Plans (ESMPs) or other management plans, though can also include aspects of a project's design; refer to Question 6 in the SESP template for a summary of the identified management measures.
- A given project should be assessed against the version of UNDP's safeguards policy that was in effect at the time of the project's approval.

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

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

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

Financial risks to sustainability:
- What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income

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[32] Risks are to be labeled with both the UNDP SES Principles and Standards, and the GEF's "types of risks and potential impacts": Climate Change and Disaster; Disadvantaged or Vulnerable Individuals or Groups; Disability Inclusion; Adverse Gender-Related impact, including Gender-based Violence and Sexual Exploitation; Biodiversity Conservation and the Sustainable Management of Living Natural Resources; Restrictions on Land Use and Involuntary Resettlement; Indigenous Peoples; Cultural Heritage; Resource Efficiency and Pollution Prevention; Labor and Working Conditions; Community Health, Safety and Security.

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

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

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

  -

Environmental risks to sustainability:
- Are there any environmental risks that may jeopardize sustenance of project outcomes?

-

Conclusions & Recommendations

The Project Management Support – Advisor will include a section in the MTR report for evidence-based conclusions, in light of the findings.

Additionally, the Project Management Support – Advisor is expected to make recommendations to the Project Team. Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report's executive summary. See the *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for guidance on a recommendation table.

The Project Management Support – Advisor should make no more than 15 recommendations total.

Ratings

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

Table. MTR Ratings & Achievement Summary Table for *Sixth Operational Phase of the GEF Small Grants Programme in Thailand*

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	
Progress Towards Results	Objective Achievement Rating: (rate 6 pt. scale)	
	Outcome 1 Achievement Rating: (rate 6 pt. scale)	
	Outcome 2 Achievement Rating: (rate 6 pt. scale)	

	Outcome 3 Achievement Rating: (rate 6 pt. scale)	
	Etc.	
Project Implementation & Adaptive Management	(rate 6 pt. scale)	
Sustainability	(rate 4 pt. scale)	

The total duration of the MTR will be approximately a time period of *(8)* of weeks from **01 March 2021 – 30 May 2021** and shall not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

ACTIVITY	COMPLETION DATE
Document review and preparing MTR Inception Report (MTR Inception Report due no later than 2 weeks before the MTR mission)	10 March 2021
MTR mission: stakeholder meetings, interviews, field visit (as necessary)	15-26 March 2021
Presentation of initial findings- last day of the MTR mission	2 April 2021
Preparing draft report (due within 3 weeks of the MTR mission)	13 April 2021
Finalization of MTR report/ Incorporating audit trail from feedback on draft report (due within 1 week of receiving UNDP comments on the draft) *(note: accommodate time delay in dates for circulation and review of the draft report)*	30 April 2021

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

Midterm Review Deliverables

#	Deliverable	Description	Timing	Responsibilities
1	**MTR Inception Report (25% Lumpsum)**	MTR team clarifies objectives and methods of Midterm Review	10 March 2021	MTR team submits to the Commissioning Unit and project management
2	**Presentation (25% Lumpsum)**	Initial Findings	2 April 2021	MTR Team presents to project management and the Commissioning Unit
3	**Draft MTR Report (25% Lumpsum)**	Full draft report (using guidelines on content outlined in Annex B) with annexes	13 April 2021	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFP
4	**Final Report* (25% Lumpsum)**	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report	30 April 2021 or within 1 week of receiving UNDP comments on draft	Sent to the Commissioning Unit

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

4. Team Arrangement and Composition

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project's MTR is UNOPS. The Commissioning Unit will contract the consultants and ensure the timely provision of the travel arrangements within the country for the MTR team. The Project Team will be responsible for liaising with the MTR team to provide all relevant documents, set up stakeholder interviews, and arrange field visits as necessary.

A team of two independent consultants will conduct the MTR – one team leader (with experience and exposure to projects and evaluations in other regions globally) and one team local 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 MTR 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 MTR itinerary, etc.

The International Consultant 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 Terminal Evaluation and should not have a conflict of interest with the project's related activities.

The selection of the International Consultant will be aimed at maximizing the overall "team" qualities in the following areas.

5. Qualifications and Experience

a. Education
-
- Advanced university degree (master or equivalent) with seven years or relevant experience.

b. Work Experience
- Minimum 7 years' experience in environmental management, sustainable development or a related field
- Relevant experience with results-based management evaluation methodologies is desired;
- Experience applying SMART indicators and reconstructing or validating baseline scenarios is desired;
- Competence in adaptive management, as applied to socio-ecological production landscapes and seascapes (SEPLS), biodiversity conservation, climate change mitigation and sustainable land management is desired;
- Demonstrated understanding of issues related to gender and socio-ecological production landscapes and seascapes (SEPLS), biodiversity conservation, climate change mitigation and sustainable land management; experience in gender sensitive evaluation and analysis is desired;
- Experience in evaluating UNDP and/or GEF projects is desired;
- Project evaluation/review experiences within United Nations system will be considered an asset.
-
- **c. Responsibilities**
  - Documentation review on achievement and lesson learned resulted in GEF 5 (GEF 5 year 4 funded - projects) implementation and FSP of GEF6.
  - Leading the MTR 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 MTR
  - Leading presentation of the draft evaluation findings and recommendations in-country
  - Conducting the de-briefing for the UNDP Country Office in Thailand and the Core Project Management Team
  - Leading the drafting and finalization of the MTR Report

d. Language

- Fluency in written and spoken English is required.

e. Key Competencies

Develops and implements sustainable business strategies, thinks long term and externally in order to positively shape the organization. Anticipates and perceives the impact and implications of future decisions and activities on other parts of the organization.

Treats all individuals with respect; responds sensitively to differences and encourages others to do the same. Upholds organizational and ethical norms. Maintains high standards of trustworthiness. Role model for diversity and inclusion.

Acts as a positive role model contributing to the team spirit. Collaborates and supports the development of others. **For people managers only:** Acts as positive leadership role model, motivates, directs and inspires others to succeed, utilising appropriate leadership styles

Demonstrates understanding of the impact of own role on all partners and always puts the end beneficiary first. Builds and maintains strong external relationships and is a competent partner for others (if relevant to the role).

Efficiently establishes an appropriate course of action for self and/or others to accomplish a goal. Actions lead to total task accomplishment through concern for quality in all areas. Sees opportunities and takes the initiative to act on them. Understands that responsible use of resources maximizes our impact on our beneficiaries.

Open to change and flexible in a fast paced environment. Effectively adapts own approach to suit changing circumstances or requirements. Reflects on experiences and modifies own behaviour. Performance is consistent, even under pressure. Always pursues continuous improvements.

Evaluates data and courses of action to reach logical, pragmatic decisions. Takes an unbiased, rational approach with calculated risks. Applies innovation and creativity to problem-solving.

Expresses ideas or facts in a clear, concise and open manner. Communication indicates a consideration for the feelings and needs of others. Actively listens and proactively shares knowledge. Handles conflict effectively, by overcoming differences of opinion and finding common ground.

6.6. Rating scales

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

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

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

6.7. Signed UNEG Code of Conduct form

Evaluators:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.

3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals and must balance an evaluation of management functions with this general principle.

4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.

5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.

6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.

7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form

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

Name of Consultant: Jon García

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 *London, United Kingdom* on 07/07/2021

Signature:

Evaluation Consultant Agreement Form

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

Name of Consultant: Pituck Jongnarangsin

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 *Bangkok, Thailand* on 07/07/2021

Signature:

ANNEX: EVALUATION REPORT CLEARANCE FORM

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

Evaluation Report Reviewed and Cleared by

UNDP Country Office

Name: Mr. Kesrat Sukasam, Integrated Team Leader

Signature: *Kesrat Sukasam*_____   Date: 05-Nov-2021_____

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Name: Mr. Hugo Remaury. Technical Specialist

Signature: *Hugo Remaury*_____   Date: 08-Nov-2021_____