



## Mid-Term Review



# **Sustainable Management of Biodiversity in Thailand's Production Landscape (SMBT) Project**

Atlas ID: 00061370

PIMS No. 3642

## **Final Report**

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## Summary details of the Evaluation

***Title of UNDP supported GEF financed project:***

Sustainable Management of Biodiversity in Thailand's Production Landscape (SMBT) Project

***UNDP and GEF project ID#s:***

GEFSEC Project ID: 3940; PIMS No. 3642, Atlas ID: 00061370; UNDP-GEF Project ID: 00077720 (in ProDoc)

***Evaluation time frame:***

16 November – 25 December 2014

***Date of evaluation report:***

23 February 2015

***Region and countries included in the project:***

Southeast Asia; Thailand

***GEF Operational Program/Strategic Program:***

**GEF Focal Area:** Biodiversity

**GEF-4 Strategic Program:** BD-SO2; SP4, SP5

***Implementing Partner and other project partners:***

**Implementation Modality:**

National Implementation (NIM)

**Implementing Partner:**

Biodiversity-based Economy Development Office (BEDO), under Ministry of Natural Resources and Environment (MONRE)

**Responsible Parties/ Partners:**

Raks Thai Foundation (RTF); Thailand Environment Institute (TEI)

***Mid Term Review team members:***

William Keith Lindsay, Walaitat Worakul

***Acknowledgements:***

The MTR team would like to thank Rachai Cholsindusongkramchai, the Project Manager, and Sasipa Jirasuktaveekul, the Project Coordinator, for technical support; and Sutharin Koonphol, the UNDP Programme Analyst, Environment Unit, for briefing and technical support; and Nisakorn Puangkamalard for administrative and logistical support during the evaluation mission and report-drafting period. We are also grateful for the opportunity for individual consultations with:

- Pattama Domrongphol, Krissama Sukniwatchai and Parinya Leelahanon of the Office of Natural Resources and Environmental Policy and Planning, Biodiversity Sub-Division
- Worathan Oonjittichai of the Forestry Research and Development Bureau
- Johan Robinson, Regional UNDP-GEF (by Skype call).

Government staff at District and Tambon level, community forestry committee members, and other project actors gave their time to provide views on project activities. The staff of the Project Partners, Raks Thai Foundation (RTF) and Thailand Environmental Institute (TEI), were very forthcoming with support for field visits and consultations.

## List of abbreviations and acronyms

APR	Annual Project Report
AWP	Annual Work Plan
BEDO	Biodiversity-based Economy Development Office
CbSE	Community-based Social Enterprise
CBD	Convention on Biological Diversity
CBO	Community Based Organisation
CDD	Community Development Department
CO	Country Office
CPAP	Country Programme Action Plan
CSR	Corporate Social Responsibility
DEP	Department of Export Promotion
DMCR	Department of Marine and Coastal Resources
DNP	Department of National Parks, Wildlife and Plant Conservation
DOAE	Department of Agricultural Extension
DOF	Department of Fisheries
EoP	End of the Project
EU	European Union
FAO	Food and Agriculture Organisation
GEF	Global Environment Facility
IUCN	International Union for Conservation of Nature
MDG	Millennium Development Goal
M&E	Monitoring and Evaluation
METT	Management Effectiveness Tracking Tool
MONRE	Ministry of Natural Resources and Environment
MOU	Memorandum of Understanding
MTR	Mid-Term Review
NIM	National Implementation Modality
NSTDA	National Science and Technology Development Agency
NTFP	Non-timber Forest Product
ONEP	Office of Natural Resources and Environmental Policy and Planning
OTOP	One Tambon One Product
PA	Protected Area
PB	Project Board
PES	Payment for Ecosystem (or Environmental) Services
PIR	Project Implementation Review
PMU	Project Management Unit
PPR	Project Progress Report
ProDoc	Project Document
RFD	Royal Forestry Department
RTG	Royal Thai Government
RTF	Raks Thai Foundation
SC	Steering Committee
TAG	Technical Advisory Group
TAT	Tourism Authority of Thailand
TEI	Thailand Environment Institute
UN	United Nations
UNDP	United Nations Development Program

UNPAF	United Nations Partnership Framework
USAID	United States Assistance for International Development
WB	World Bank
WWF	World Wide Fund for Nature

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# 1 Executive Summary (in English and Thai)

## Project Information Table

Program Period: 2011-2015 Programme Component: Biodiversity PIMS#: 3642; GEF ID 3940 Project Title: Sustainable Management of Biodiversity in Thailand's Production Landscape Award ID: 00061370 Project ID: 00077720 Project Duration: 4 years Management Arrangement: NIM	<table> <tr> <td><b>Total Budget</b></td><td><b>US\$7,458,000</b></td></tr> <tr> <td><b>Allocated Resources</b></td><td></td></tr> <tr> <td>- GEF</td><td>US\$1,940,000</td></tr> <tr> <td>- BEDO</td><td>US\$5,518,000</td></tr> </table>	<b>Total Budget</b>	<b>US\$7,458,000</b>	<b>Allocated Resources</b>		- GEF	US\$1,940,000	- BEDO	US\$5,518,000
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- GEF	US\$1,940,000								
- BEDO	US\$5,518,000								

## Project Description

The Royal Thai Government authorities, with MONRE and MOAC as lead ministries, have made large efforts to arrest degradation of biodiversity inside Protected Areas, as well as in areas outside. An important initiative was the establishment of the Biodiversity-based Economy Development Office (BEDO) as a public organization, which was given the mandate of promoting conservation of biodiversity in production landscapes, improving local community knowledge of best practice for sustainable production and enhancing biodiversity-based economic development. The long-term challenge for BEDO is to ensure that biodiversity conservation is mainstreamed into production and marketing of agricultural, forestry and fishery business, in order to create community incentives to conserve and enhance biodiversity in Thailand's land- and seascapes while maintaining appropriate incomes to satisfy family needs for livelihood and wellbeing.

There are three main barriers to achieve this mainstreaming: (i) At the national level, the institutional framework is not sufficiently capacitated to address the needs of an emerging biodiversity-based business sector, based on sustainable harvesting and production principles, (ii) At the community-level, sustainable production approaches and biodiversity conservation efforts are inadequate due to low incomes from present product categories, and (iii) Community revenues are limited due to low prices in the commodity market, as well as to high transaction costs in the supply chains. The project directly addresses these barriers through the three major components of the project:

1. Building national capacity for support of biodiversity business
2. Piloting community-based social enterprises in valuable Eco-regions
3. Mainstreaming biodiversity business into the supply chains of high-value consumer markets

## Project Progress Summary

The project, with funding from GEF and co-financing from the National Implementing Partner, BEDO, has been an ambitious attempt to pilot Community-based Social Enterprises, based on sustainable use of biodiversity, to provide residents of important landscapes with incentives to practice conservation. After a slow start, work by project Partners with communities in four target sites – two with Raks Thai Foundation, as responsible party in field coordination in bamboo forests north of Bangkok (Kanchanaburi and Prachinburi Provinces) and two with Thailand Environment Institute, as responsible party in field

coordination in coastal mangrove areas on the Andaman Sea (Ranong and Phang Nga) – has been gathering momentum.

Products made from bamboo in various forms and from coastal/ marine plants and animals, along with ecotourism opportunities, have been developed with assistance from the Royal Forestry Department, other government agencies and local universities. Community members have been trained in business management and biodiversity conservation/ monitoring techniques. Marketing linkages are now being sought, through hotel operators and via media and exhibitions.

The enabling environment is being strengthened, with pro-biodiversity legislation and policy being prepared and the capacity of BEDO as a supporting agency being built.

Project activities provide opportunities for sustained enterprise in the target communities, replication in others in the area and elsewhere in Thailand, and lessons to be learned for mainstreaming of biodiversity conservation in production landscapes.

### *MTR Ratings and Achievement Summary Table*

Aspects of Project performance	Rating <sup>1</sup>	Achievement Description
<b>Project strategy/ design</b>		
Problem ID and assumptions	N/A	Main assumptions seem reasonable, in line with best practice on biodiversity mainstreaming.
Relevance; country priorities	N/A	Design relevant to international and national priorities, noting broader development effects, sustainability, stakeholder inclusion and gender issues.
<b>Progress towards Results</b>		
Objective	MS	On target; work remaining to help CbSEs develop supply chains to target markets, achieve certification of products, contribute to household incomes and biodiversity conservation, and increase the area covered by successful community bio-business.
Component 1	MU	Legislation/ policies enabling sustainable bio-business being advanced through project actions; BEDO capacity development is progressing (although it should be accelerated). However, development of Partner Network lags behind and needs special efforts to be well-established by EoP.
Component 2	S	Good progress with CbSE business and conservation practices in the pilot communities; establishment of community-based biodiversity monitoring and management, product development, production and initial marketing, and capacity in communities for producing certifiable products, under sound governance arrangements
Component 3	MU	Progress slow, depending on development of products by CbSEs only just getting underway. Product certification by FDA and BEDO on target, refinement of supply chains should follow, and awareness-raising about bio-business underway. However, development and marketing of bio-

<sup>1</sup> According to the UNDP-GEF performance rating scales: HS= Highly Satisfactory; S = Satisfactory; Moderately Satisfactory (MS); Moderately Unsatisfactory; U = Unsatisfactory; MU = Moderately Unsatisfactory; HU = Highly Unsatisfactory. For sustainability, the GEF scale is: L= Likely; ML= Moderately Likely; MU= Moderately Unlikely; U=Unlikely.

		products lacks strategic lead by necessary market research, and sources of subsidy and investment for improving sustainability have not been sufficiently identified. These shortcomings need to be addressed.
Beneficial social effects	S	Apparent addition to household income generation through bio-products; Considerable participation by women in project activities; Governance aspects of community organization well developed
<b>Project implementation and adaptive management</b>		
Management arrangements: Implementing partner	S	PMU based in BEDO has done a thorough and effective job of project management/ administration since inception; regular monitoring of Partner organizations, close coordination with UNDP CO.
Management arrangements UNDP support	S	UNDP has provided supervision and backstopping; commitment to frequent monitoring and communication with ministries maintains momentum of implementation progress.
Work planning	S	Work planning handled well by Project Team on an annual schedule. Project meetings held each year to assess progress and to confirm or adjust the workplans for the upcoming year.
Finance and co-finance	S	Project funds have been managed efficiently, and cost-effectively. There are good financial management practices in place. Co-finance in-kind is substantial.
Monitoring systems	S	The application of results-based monitoring by the Project Team has been thorough.
Risk management	S	Risks have been identified and responded to effectively.
Stakeholder inclusion	S	An inclusive approach has continued from design through to implementation.
Reporting	S	Overall, progress of implementation and management issues have been well reported.
Communication	MS	There have been concerted efforts to communicate results, with a need for extended communication,
<b>Sustainability of outcomes</b>	ML	Financial, socio-economic, institutional and environmental risks to sustainability exist; most of these have been identified and are being addressed, with need for continued attention.

### *Summary of conclusions*

Overall, the project has worked well through the mandate of BEDO, demonstrating CbSEs are capable of producing bio-products. Lessons are being learned about the need for considerable investment in building capacity and governance at local level, to change the mindset of local people from sustainable use of bio-products as a supplement to livelihoods based primarily on their agricultural, forestry or fishing to bio-products as a mainstream livelihood activity.

The project has made good progress on creating enabling conditions, through development of necessary legislation, regulations and policy, building capacity of the main government agency BEDO and initiating development of a Partner Network. It has established pilot CbSEs and has begun work on the supply chain to markets. Through all this effort, there is the opportunity for lessons to be learned by EoP, for application to further work.

Progress has been slow in some areas and needs critical attention if targets are to be achieved. These include:

- Capacity building in BEDO – Need for greater momentum and a Training Needs Analysis
- Partner Networks – inclusion of more academic institutions and private sector partners on a nationwide basis to provide support outside BEDOB for CbSEs; a network of communities is not enough on its own
- Estimation of sustainable yield limits and incorporation of offtake and stock assessment into the community monitoring programme.
- Market research and strategies for reaching high-end markets with community bio-products.
- Identification and development of investment opportunities.

A no-cost extension of one year is proposed to make up for lost time at start-up and is supported. If no extension is allowed by GEF, a selection of high-priority actions must be made.

### **Project design**

Project identification and assumptions were sound. The assumption that communities could develop successful, sustainable enterprises, penetrating high-end markets with their products in just four years was overly ambitious. It is perhaps better to consider the project as an experiment, with the result an analysis of the elements that would lead to successful CbSEs. The project design was relevant to international and national priorities

### **Progress in implementation**

#### *Strengths*

#### **Project Objective**

CbSEs have developed six bio-products, with more expected. Certification processes have begun for BEDO and FDA standards. All CbSEs have indicated a commitment to allocate 10% of net revenue to conservation, with awareness and activities underway.

#### **Component 1**

##### Outcome 1.1

The process for enactment of the Biodiversity-based Economy Promotion and Development Act is well underway, and the review of bio-business promotion laws also started. There has been some increase in BEDO institutional and staff capacity.

##### Outcome 1.2

Some partnership links have been developed with universities and the Royal Forestry Department, and with a national network of communities. Target communities are developing capacity to form their own links.

#### **Component 2**

##### Outcome 2.1

Biodiversity monitoring by target communities is in place, although implementation is still at an early stage. Plans are in place for biodiversity and rehabilitation projects.

##### Outcome 2.2

Business/ management plans are in development, in which there are allocations of net revenues for conservation

##### Outcome 2.3

CbSEs have begun making bio-products, the processes for certification are in progress, and transparent and participatory governance mechanisms are being established; gender balance

is strong.

### **Component 3**

#### **Outcome 3.3**

Subsidies to some CbSEs are being provided by TAOs

#### **Outcome 3.4**

Awareness of bio-business has been strengthened through television and newspaper coverage, BEDO publications and exhibitions, and the BioEconomy Academy.

### ***Weaknesses***

#### **Project Objective**

Products have not yet entered national and international markets, and improvement of household incomes is not yet evident.

### **Component 1**

#### **Outcome 1.1**

Progress in BEDO capacity building is slow and needs more impetus, including a Training Needs Assessment and follow-up action.

#### **Outcome 1.2**

Some partnerships have been developed between project NGOs and the Assembly network of communities, but there has been little progress on a wider Partner Network of expertise and funding to support community bio-business. Much more attention needed.

### **Component 2**

#### **Outcome 2.2**

There has been no estimation of MSY as a benchmark to set conservative, sustainable offtake levels, and no attempts to estimate revenue cost ratios. There should be effort to get this back on track

### **Component 3**

#### **Outcome 3.1**

This Outcome is only partially on target. Most products are only recently developed, and not yet certified. Channels to high-end consumers are being made, but not yet established (if they can be at all). Products and their marketing and supply chains are still under development.

#### **Outcome 3.2**

Reduction of transaction costs has not proceeded yet because most products are still sold locally, rather than through long supply chains.

#### **Outcome 3.3**

There has been very little progress on investment or loan mechanisms from the private sector.

### ***Adaptive management***

Overall, the project does practice effective adaptive management.

### ***Strengths***

Work planning is well-managed by the PMU. Financial management and disbursement procedures are generally followed well. The project is judged to be managed cost-effectively. Co-financing of the project through BEDO staff in-kind contribution is substantial and meets GEF requirements. Monitoring systems employed by the PMU, using annual workplans and milestones, with verification by site visits, have been efficient and effective. Progress in implementation, and problems affecting progress have been identified and solutions have

generally been found. Risk management and mitigation are handled well, with reporting and feedback.

### **Weaknesses**

The Results Framework is not used fully in project reporting. Financial reporting should provide more detail on expenditure against Components and Outcomes. Some key risks, including political dynamics, are stable at the moment but could still pose a challenge.

### **Management arrangements**

#### **Strengths**

#### **Effectiveness of project management**

The project is now well-managed at all levels: UNDP, Government, Service Providers. Quarterly coordination meetings of partners level have been taking place in Bangkok since 2012. PSC meetings, with full participation of Responsible Parties, began in 2012. Meetings are supplied by the PMU with updates on progress and any obstacles, and decisions on any necessary changes are made.

#### **Implementing Partner/ donor execution**

BEDO has managed its role as IP well, and the PMU is effective in performance management. The UNDP technical team is strong, providing effective monitoring of progress and support

#### **Weaknesses**

#### **Effectiveness of project management**

There were delays in the first year of the project, due response time by government to requests for approval of the ProDoc, recruitment of PMU staff and implementation partners and replacement of the Project Manager.

### **Recommendations**

Rec. No	Recommendation	Entity responsible
<b>Corrective actions for the design, implementation, monitoring and evaluation of the project</b>		
1	Extend the project timescale, to compensate for time lost during Inception, recruitment and launching of implementation. There should not be significant financial implications, but there may be need for additional funds in UNDP for project management/ oversight, and with RTF/ TEI for management/ administrative costs.	BEDO, PMU, UNDP
2	If a no extension is considered possible by UNDP-GEF, there should be accelerated efforts on a few key priority areas. These include: <ul style="list-style-type: none"> <li>• Accelerating the certifying process for pilot CbSEs products.</li> <li>• Developing BEDO's staff capacity based on a systematic needs assessment.</li> <li>• Building a roster/database of potential funders for CbSEs</li> <li>• Seeking and agreeing more MoUs to sustain support after the project ends.</li> </ul>	BEDO, PMU, UNDP
3	Results Framework revision. The RF should be revised to create greater coherence between some Indicators, Baselines and Targets. The changes proposed would appear to need consideration and approval by the PMU, UNDP CO and Regional Technical Advisor and Project Board. An appropriate process of approval should be set underway following consideration of this MTR report. Quarterly reports should make more specific reference to progress towards RF Targets.	BEDO, PMU, PSC UNDP
<b>Actions to follow up or reinforce initial benefits from the project</b>		
4	Outcome 1.1: Greater momentum is needed to increase BEDO institutional and staff capacity. A comprehensive training needs assessment of BEDO's staff	BEDO

	should be developed and linked to the Organizational competency profile and staff performance assessment.	
5	Outcome 1.2: Considerably more attention is needed towards developing a more broadly based, multi-sectoral and sustainable Partner Network. BEDO should play a more active role in bringing together relevant agencies such as Industrial Promotion Department, which works extensively with SMEs throughout the country and Community Development Department, focal point for the OTOP. Academic and private sector service providers should also be engaged more thoroughly, to support BEDO's work with communities. The role of BEDO's National Assembly should be further strengthened to serve as a platform for knowledge, resources and market exchange among participating communities.	BEDO
6	Outcome 2.2: Work with experts on measuring harvesting/ offtake in forestry and fisheries to estimate MSY as a benchmark to set conservative, sustainable offtake levels, and include such measures in the community biodiversity monitoring programme of Outcome 2.1. In addition, get assistance to develop methods for estimating and improving revenue/cost ratios.	BEDO, RTF, TEI, consultant expert(s)
7	Outcome 2.3: Continue support efforts at community level, focusing on developing comprehensive business and conservation plans, improving product design and quality to meet market demand/preferences, accelerating the process of getting certifications from relevant bodies, including BEDO brand, and strengthening CbSE management capacity to ensure its long term sustainability.	BEDO, RTF, TEI
8	Outcome 3.1: There should be product development and marketing strategies based on market research. The 'high-end market' should be broadened to include the domestic niche market in the first instance, with the international market as a longer term goal. The possibility of a "low-end/ high volume" contract to supply biodegradable bamboo pots for forestry seedlings should be followed up.	BEDO, consultant expert(s)
9	Outcome 3.3: There should be systematic study to identify potential investment options/ windows to support pilot CbSEs, and efforts made to develop such opportunities. Efforts should be made to encourage private financial institutions to provide "micro-credit" or other investment options to CbSEs, and to encourage greater support through corporate social responsibility.	BEDO, consultant expert(s)
10	Implementation and sustainability: Greater direct involvement of BEDO staff at site level would assist RTF and TEI with needed expertise on product development/ marketing, contribute to BEDO staff development and promote post-project sustainability.	BEDO, RTF, TEI
<b>Proposals for future directions underlining main objectives</b>		
11	Analyse the lessons learned from the pilot efforts, with respect to different factors presented by their specific conditions, documentation of impacts on biodiversity indices, all leading to documentation of opportunities for future implementation and scaling-up. In the context of such an analysis, consider the factors that are known to promote small businesses and CbSEs, including the enabling environment, the specifics of community composition that require special attention in mobilisation and participation, the availability of support services and the access to markets of different types.	BEDO, UNDP
12	Sustainability and Impact <ul style="list-style-type: none"> <li>It is essential to begin now on developing a Sustainability Plan, with an Exit Strategy.</li> <li>Although not needed until EoP, the PMU and UNDP should consider now an approach to Reviewing Outcomes to Impacts (ROtI).</li> </ul>	BEDO, PMU, UNDP
13	The Sustainability Plan should consider whether there should be follow-up activities to extend the lifespan of the existing initiatives. If this follow-up forms part of the plan, BEDO should consider incorporating the project activities into its Community Economy Development Program, with help if needed from the	BEDO, PMU

	Marketing Strategy Program. Plans should be made and initiated without delay for relevant BEDO staff to coordinate actively with the PMU, so that there is a smooth transition at project completion.	
14	<p>Where possible, CbSE project experiences from pilot sites should be replicated by other communities under the Assembly. Replication plans should be developed and should consider:</p> <ul style="list-style-type: none"> <li>• Whether to work with implementation partners, as in the current project, or whether BEDO field staff could take it on.</li> <li>• Which new communities, and which products</li> <li>• What budget would be needed – costed plans would be needed</li> <li>• Where funding would come from – directly from BEDO or through a new project.</li> </ul>	BEDO

## บทสรุปผู้บริหาร (ภาษาไทย)

### ตารางแสดงข้อมูลโครงการ

<p>ระยะการดำเนินงาน: พ.ศ. ๒๕๕๔—๒๕๕๘</p> <p>ประเภทของโครงการ: ความหลากหลายทางชีวภาพ</p> <p>PIMS#: ๓๖๔๒ รหัสโครงการของ GEF: ๓๙๔๐</p> <p>ชื่อโครงการ:</p> <p>โครงการบริหารจัดการอนุรักษ์และการใช้ประโยชน์ทรัพยากรจากฐานชีวภาพอย่างยั่งยืน</p> <p>Award ID: ๐๐๐๖๑๓๗๐</p> <p>รหัสโครงการ: ๐๐๐๗๗๗๒๐</p> <p>ระยะเวลาโครงการ: ๔ ปี</p> <p>รูปแบบการบริหาร: การบริหารโดยหน่วยงานของรัฐบาลไทย (NIM)</p>	<p>งบประมาณทั้งหมด US\$๗,๔๕๘,๐๐๐</p> <p>หน่วยสนับสนุนงบประมาณ</p> <ul style="list-style-type: none"> <li>- กองทุนสิ่งแวดล้อมโลก US\$๑,๙๔๐,๐๐๐</li> <li>- สำนักงานพัฒนาเศรษฐกิจจากฐานชีวภาพ (สพภ.) US\$๕,๕๑๘,๐๐๐</li> </ul>
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### คำอธิบายเกี่ยวกับโครงการ (Project Description)

รัฐบาลไทยโดยกระทรวงทรัพยากรธรรมชาติและสิ่งแวดล้อมและกระทรวงเกษตรและสหกรณ์ได้ใช้ความพยายามอย่างยิ่งในการป้องกันและแก้ไขปัญหาความเสื่อมโทรมของความหลากหลายทางชีวภาพในพื้นที่ป่าสงวนรวมถึงพื้นที่อื่นๆ ยุทธศาสตร์สำคัญประการหนึ่งคือการจัดตั้งสำนักงานพัฒนาเศรษฐกิจจากฐานชีวภาพ (สพภ.) ซึ่งเป็นองค์กรมหาชน มีหน้าที่ส่งเสริมการอนุรักษ์ความหลากหลายทางชีวภาพในพื้นที่การผลิต ให้ความรู้แก่ชุมชนเกี่ยวกับแนวปฏิบัติที่ดีในกระบวนการผลิตแบบยั่งยืน และขยายขอบเขตตลอดจนขีดความสามารถในการพัฒนาเศรษฐกิจจากฐานชีวภาพ ประเด็นท้าทายในระยะยาวของ สพภ. ได้แก่การบูรณาการให้ประเด็นการอนุรักษ์ความหลากหลายทางชีวภาพเข้าไปเป็นส่วนหนึ่งของกระบวนการผลิตและการตลาดของธุรกิจภาคการเกษตร ป่าไม้และการประมงเพื่อสร้างแรงจูงใจให้แก่ชุมชนในการอนุรักษ์และฟื้นฟูความหลากหลายทางชีวภาพในพื้นที่การผลิตทั้งบนแผ่นดินและในทะเลของประเทศ ไทยและในขณะเดียวกันก็มีรายได้ที่เพียงพอในการยังชีพและการพัฒนาคุณภาพชีวิต

ความพยายามในการบูรณาการข้างต้น มีอุปสรรค/ข้อจำกัดสำคัญ ๓ ประการ ได้แก่ (๑) ในระดับประเทศ องค์การยังไม่มีขีดความสามารถและระบบสนับสนุนต่างๆที่เพียงพอในการตอบสนองความต้องการที่เกิดขึ้นของภาคธุรกิจจากฐานชีวภาพ ที่เน้นกระบวนการเก็บเกี่ยวและการผลิต/แปรรูปที่ยั่งยืน (๒) ในระดับชุมชน กระบวนการผลิตที่พยายามรักษารูปร่างทรัพยากรธรรมชาติควบคู่กันไปยังทำได้จำกัดเนื่องจากระดับรายได้ของชุมชนจากผลิตภัณฑ์จากฐานชีวภาพยังไม่เพียงพอ (๓) รายได้ที่จำกัดของชุมชนเกิดจากราคาผลิตภัณฑ์ที่ซื้อขายในตลาดผู้บริโภคค่อนข้างต่ำในขณะที่ค่าใช้จ่ายในการดำเนินการผลิตและการจำหน่ายตลอดห่วงโซ่อุปทานค่อนข้างสูง โครงการจึงมุ่งแก้ไขข้อจำกัดดังกล่าวโดยดำเนินการไปพร้อมๆกันทั้ง ๓ ด้าน ได้แก่

๑. พัฒนาศักยภาพและขีดความสามารถในองค์กรระดับประเทศเพื่อส่งเสริมธุรกิจจากฐานชีวภาพ
๒. พัฒนาและทดลองรูปแบบการดำเนินงานวิสาหกิจชุมชนเพื่อสังคมในพื้นที่การผลิตที่มีความสำคัญเชิงสิ่งแวดล้อมและความหลากหลายทางชีวภาพ
๓. ส่งเสริมให้ธุรกิจจากฐานชีวภาพเข้าไปอยู่ในห่วงโซ่อุปทานของตลาดผู้บริโภคระดับสูง

### สรุปความก้าวหน้าของโครงการ (Project Progress Summary)

โครงการซึ่งได้รับการสนับสนุนงบประมาณจากกองทุนสิ่งแวดล้อมโลกร่วมกับสำนักงานพัฒนาเศรษฐกิจจากฐานชีวภาพ (สพภ.) ได้ทุ่มเทความพยายามที่จะพัฒนาและทดลองรูปแบบการดำเนินงานวิสาหกิจชุมชนเพื่อสังคมที่เน้นการใช้ประโยชน์จากความหลากหลายทางชีวภาพอย่างยั่งยืน และการเอื้ออำนวยให้ชุมชนในพื้นที่ที่มีรายได้จากวิสาหกิจดังกล่าวเพื่อสร้างแรงจูงใจในการช่วยกันอนุรักษ์ทรัพยากรธรรมชาติอันเป็นฐานการผลิตของตน โครงการเริ่มดำเนินการล่าช้ากว่ากำหนด เมื่อดำเนินการไปได้ระยะหนึ่งได้เริ่มพัฒนาวิสาหกิจชุมชนเพื่อสังคมในพื้นที่เป้าหมายสี่แห่ง ได้แก่พื้นที่ป่าในจังหวัดกาญจนบุรีและปราจีนบุรีภายใต้การประสานงานของมูลนิธิรักษ์ไทย และพื้นที่ป่าชายเลนในจังหวัดระนองและพังงาภายใต้การประสานงานของสถาบันสิ่งแวดล้อมไทย การดำเนินงานมีความก้าวหน้าต่อเนื่องมาเป็นลำดับ

ผลิตภัณฑ์ของกลุ่มทดลองประกอบด้วยของใช้จากเศษไม้ไผ่และพืชทะเล และอาหารแปรรูปจากสัตว์ทะเล รวมถึงกิจกรรมการท่องเที่ยวเชิงอนุรักษ์ โดยมีหน่วยงานต่างๆ ได้แกกรมป่าไม้ มหาวิทยาลัยในภูมิภาคและหน่วยงานอื่นๆในพื้นที่ให้คำแนะนำในเรื่องเทคนิควิชาการ สมาชิกของกลุ่มวิสาหกิจชุมชนได้รับการอบรมในเรื่องการบริหารธุรกิจ การอนุรักษ์สิ่งแวดล้อม และเทคนิควิธีการที่ใช้ในการติดตามสถานการณ์ด้านความหลากหลายทางชีวภาพในพื้นที่การผลิตของชุมชน และมีการเชื่อมโยงกับช่องทางการตลาดต่างๆ ได้แก่ โรงแรมในท้องถิ่น การออกร้าน/จัดนิทรรศการในงานต่างๆ และการประชาสัมพันธ์ผ่านสื่อ

ในระดับประเทศ โครงการได้เสริมสร้างปัจจัยและบริบทแวดล้อมที่เอื้อต่อการพัฒนาธุรกิจจากฐานชีวภาพ

ได้แก่การเสนอพระราชบัญญัติการสร้างเศรษฐกิจจากฐานชีวภาพ การทบทวนกฎหมายที่เกี่ยวข้อง

และการพัฒนาขีดความสามารถของสำนักงานพัฒนาเศรษฐกิจจากฐานชีวภาพในฐานองค์กรสนับสนุนการดำเนินงานตามกรอบนโยบายและกฎหมายข้างต้น

ในระดับชุมชน กิจกรรมภายใต้โครงการนี้ ทำให้เกิดการพัฒนาวิสาหกิจชุมชนเพื่อสังคมที่ยั่งยืนในพื้นที่เป้าหมาย มีแนวโน้มการขยายผลในพื้นที่อื่นๆในประเทศ รวมถึงมีการสรุปองค์ความรู้เกี่ยวกับแนวทางการ

บูรณาการเรื่องการอนุรักษ์ความหลากหลายทางชีวภาพเข้าไปในกิจกรรมการผลิตในพื้นที่การผลิตประเภทต่างๆ

ในการประเมินระดับความสำเร็จในระยะครึ่งโครงการ คณะผู้ประเมินใช้เกณฑ์ตามข้อกำหนดของกองทุนสิ่งแวดล้อมโลก ดังต่อไปนี้

การประเมินประสิทธิภาพ ประสิทธิผล การบริหารจัดการและการติดตามประเมินผล

HS (Highly Satisfactory)

โครงการไม่มีข้อบกพร่องในการบรรลุวัตถุประสงค์ในส่วนที่เกี่ยวข้องกับประสิทธิผล ประสิทธิภาพ และความสอดคล้องกับสภาพปัญหา/นโยบาย

S (Satisfactory)

มีข้อบกพร่องแต่เป็นเรื่องที่ไม่สำคัญ

M (Moderately Satisfactory)

มีข้อบกพร่องในระดับปานกลาง

MU-Moderately Unsatisfactory

มีข้อบกพร่องในเรื่องที่สำคัญ

U-Unsatisfactory

มีข้อบกพร่องอย่างมากในเรื่องประสิทธิผล ประสิทธิภาพ

และความสอดคล้องกับสภาพปัญหา/นโยบายจนทำให้โครงการไม่สามารถบรรลุวัตถุประสงค์

HS-Highly Unsatisfactory

โครงการมีข้อบกพร่องที่รุนแรงมาก

การประเมินความยั่งยืน

L (likely)

มีปัจจัยความเสี่ยงที่จะทำให้ไม่ยั่งยืนเพียงเล็กน้อย

ML (Moderately Likely)

มีความเสี่ยงที่จะไม่ยั่งยืนในระดับปานกลาง

MU (Moderately Unlikely)

มีความเสี่ยงที่จะไม่ยั่งยืนในระดับสูง

U (Unlikely)

มีความเสี่ยงที่จะไม่ยั่งยืนในระดับรุนแรง

#### ตารางสรุป การประเมินการระดับความสำเร็จในระยะครึ่งโครงการ (MTR Ratings and Achievement Summary Table)

ประเด็นการประเมิน	ระดับความสำเร็จ	คำอธิบาย/เหตุผลสนับสนุน
<b>ยุทธศาสตร์และการออกแบบโครงการ</b>		
การกำหนดประเด็นปัญหาและการตั้งสมมติฐาน	(ไม่มีการให้คะแนน)	สมมุติฐานหลักมีความสมเหตุสมผลและสอดคล้องกับแนวปฏิบัติที่ดีในเรื่องการบูรณาการหลักการอนุรักษ์ทรัพยากรธรรมชาติในกิจกรรมการผลิตทางเศรษฐกิจ
ความสอดคล้องสัมพันธ์กับนโยบายการพัฒนาประเทศ	(ไม่มีการให้คะแนน)	การออกแบบโครงการสัมพันธ์กับนโยบายระดับนานาชาติและระดับชาติซึ่งเน้นความครอบคลุมทั้งในเรื่องประสิทธิผลของการพัฒนา ความยั่งยืน การมีส่วนร่วมของผู้มีส่วนได้ส่วนเสีย และบทบาทหญิงชาย
<b>ความก้าวหน้าของการดำเนินงานเปรียบเทียบกับเป้าหมาย</b>		
วัตถุประสงค์ของโครงการ	MS (Moderately Satisfactory)	เป็นไปในทางที่สอดคล้องกับเป้าหมาย แต่ยังมีสิ่งที่จะต้องดำเนินการต่อเนื่อง ได้แก่การช่วยให้วิสาหกิจชุมชนเพื่อสังคมสามารถพัฒนาห่วงโซ่อุปทานในตลาดสำหรับผลิตภัณฑ์จากฐานชีวภาพ การรับรองมาตรฐานผลิตภัณฑ์ และการเพิ่มระดับรายได้ของชุมชนควบคู่ไปกับการอนุรักษ์ความหลากหลายทางชีวภาพและการขยายรูปแบบวิสาหกิจชุมชนเพื่อสังคมไปยังพื้นที่อื่นๆ
องค์ประกอบ/แผนงานที่ ๑	MU (Moderately Unsatisfactory)	มีการเสนอกฎหมายและนโยบายที่เอื้อต่อการดำเนินธุรกิจจากฐานชีวภาพอย่างยั่งยืน สภก. มีขีดความสามารถเพิ่มขึ้น และโครงการควรเร่งดำเนินการในประเด็นนี้ให้มากขึ้น ส่วนการสร้างเครือข่ายยังมีความก้าวหน้ามากและจำเป็นต้องเร่งดำเนินการให้เกิดผลก่อนสิ้นสุดโครงการ
องค์ประกอบ/แผนงานที่ ๒	S (Satisfactory)	กลุ่มวิสาหกิจชุมชนเพื่อสังคมและกิจกรรมอนุรักษ์สิ่งแวดล้อมในพื้นที่เป้าหมายมีความก้าวหน้าที่น่าพอใจ ชุมชนมีระบบและเครื่องมือในการติดตามสถานะความหลากหลายทางชีวภาพในระดับพื้นที่ มีการพัฒนาผลิตภัณฑ์จากฐานชีวภาพ และมีช่องทางการตลาดขึ้นต้น กลุ่มวิสาหกิจมีศักยภาพใน
ประเด็นการประเมิน	ระดับความสำเร็จ	คำอธิบาย/เหตุผลสนับสนุน
องค์ประกอบ/แผนงานที่ ๓	MU (Moderately Unsatisfactory)	การผลิตตามมาตรฐานรับรองของหน่วยงานและมีระบบการบริหารจัดการบนหลักธรรมาภิบาล ความก้าวหน้าค่อนข้างช้าเนื่องจากต้องรอผลิตภัณฑ์ของกลุ่มวิสาหกิจชุมชนให้พร้อมก่อนทำการตลาด กลุ่มกำลังดำเนินการขอการรับรองมาตรฐานจาก อ.ย. และ สภก. และพัฒนาเสริมผลิตภัณฑ์จากฐานชีวภาพให้ครบทุกขั้นตอนตลอดห่วงโซ่อุปทานในขั้นต่อไป ส่วนการประชาสัมพันธ์เกี่ยวกับผลิตภัณฑ์จากฐานชีวภาพมีการดำเนินการอย่างต่อเนื่อง อย่างไรก็ตามการกำหนดยุทธศาสตร์สำหรับการพัฒนาผลิตภัณฑ์และการตลาดในโครงการนี้ไม่ได้ใช้การวิจัยตลาดเป็นต้นมา

		และยังขาดการศึกษาเกี่ยวกับแหล่งสนับสนุนงบประมาณหรือแหล่งทุนเพื่อให้วิสาหกิจชุมชนอยู่ได้ในระยะยาว ซึ่งโครงการควรเร่งดำเนินการในเรื่องเหล่านี้ในช่วงเวลาที่เหลือ
ผลประโยชน์ทางสังคม	S (Satisfactory)	ครัวเรือนมีรายได้เพิ่มขึ้นจากผลิตภัณฑ์จากฐานชีวภาพ มีผู้หญิงที่เข้าร่วมกิจกรรมของโครงการจำนวนมากใกล้เคียงกับจำนวนผู้ชาย กลุ่มวิสาหกิจชุมชนใช้หลักธรรมาภิบาลในการบริหารจัดการ
<b>การบริหารโครงการและความยืดหยุ่นในการบริหาร</b>		
กลไกการบริหาร: หน่วยงานที่รับผิดชอบในการดำเนินงาน	S (Satisfactory)	สำนักงานโครงการซึ่งตั้งอยู่ที่ สพท. บริหารโครงการได้มีประสิทธิภาพ มีการติดตามผลการดำเนินงานอย่างสม่ำเสมอ และประสานงานกับ UNDP อย่างใกล้ชิด
กลไกการบริหาร: การสนับสนุนจาก UNDP	S (Satisfactory)	UNDP ให้คำแนะนำและสนับสนุนการดำเนินงานโครงการ มีการติดตามผลและประสานงานกับกระทรวงที่เกี่ยวข้องอย่างใกล้ชิดทำให้กิจกรรมของโครงการขับเคลื่อนและมีความก้าวหน้าอย่างต่อเนื่อง
กระบวนการวางแผน	S (Satisfactory)	การวางแผนโดยคณะทำงานของโครงการมีระบบที่ดี โดยมีแผนการปฏิบัติการประจำปี มีการประชุมคณะกรรมการบริหารโครงการทุกปีเพื่อประเมินความก้าวหน้าของงานในปีที่ผ่านมาและพิจารณา
<b>ประเด็นการประเมิน</b>	<b>ระดับความสำเร็จ</b>	<b>คำอธิบาย/เหตุผลสนับสนุน</b>
		อนุมัติแผนงานสำหรับปีต่อไป
งบประมาณและงบประมาณสมทบ	S (Satisfactory)	การบริหารงบประมาณของโครงการมีประสิทธิภาพ
ระบบการติดตามผล	S (Satisfactory)	มีระบบการติดตามผลโดยยึดผลสัมฤทธิ์ที่ละเอียดครอบคลุม
การบริหารความเสี่ยง	S (Satisfactory)	มีการระบุความเสี่ยงและการบริหารความเสี่ยงอย่างมีประสิทธิภาพ
การมีส่วนร่วมของผู้มีส่วนได้ส่วนเสีย	S (Satisfactory)	การออกแบบและดำเนินงานของโครงการเน้นการมีส่วนร่วมของผู้มีส่วนได้ส่วนเสียทุกฝ่าย
การรายงาน	S (Satisfactory)	โดยภาพรวม มีการรายงานผลความก้าวหน้าและปัญหาเกี่ยวกับการบริหารจัดการอย่างเพียงพอ
การสื่อสาร	MS (Moderately Satisfactory)	ทุกฝ่ายใช้ความพยายามร่วมกันในการสื่อสารผลการดำเนินงานแต่ยังสามารถพัฒนาให้ดียิ่งขึ้นได้ในช่วงหลังของโครงการ
ความยั่งยืนของผลลัพธ์	ML (Moderately Likely)	มีปัจจัยที่เป็นความเสี่ยงต่อความยั่งยืนด้านเศรษฐกิจ สังคม องค์กร และสิ่งแวดล้อม โครงการได้มีการดำเนินงานเพื่อป้องกันและจัดการปัจจัยความเสี่ยงเหล่านี้ในระดับหนึ่งและจำเป็นต้องดำเนินการต่อไป

### สรุปภาพรวม

โดยภาพรวม โครงการมีความก้าวหน้าที่ดี และเป็นไปตามบทบาทหน้าที่ของ สพท.

กิจกรรมของโครงการถูกบูรณาการเข้าเป็นส่วนหนึ่งของงานในความรับผิดชอบของ สพท.

วิสาหกิจชุมชนเพื่อสังคมในพื้นที่สาธิตทดลองมีความสามารถในการพัฒนาผลิตภัณฑ์จากฐานชีวภาพ

บทเรียนที่ผ่านมามีส่วนช่วยให้เห็นถึงความจำเป็นที่จะต้องทุ่มเทและให้ความสำคัญกับการสร้างขีดความสามารถและกระบวนการธรรมาภิบาลในระดับชุมชนให้มากยิ่งขึ้นเพื่อปรับทัศนคติจากการคิดว่าผลิตภัณฑ์จากฐานชีวภาพเป็นเพียงแหล่งรายได้เสริมของอาชีพหลักจากการเกษตร ป่าไม้และการประมง  
ให้เห็นถึงความเป็นไปได้ที่จะพัฒนาวิสาหกิจชุมชนจากฐานชีวภาพให้เป็นอาชีพหลัก

ในระยะที่ผ่านมา โครงการมีความก้าวหน้าในการสร้างระบบและปัจจัยเกื้อหนุนธุรกิจจากฐานชีวภาพ

ได้แก่การออกกฎหมายตลอดจนนโยบายและระเบียบปฏิบัติ การพัฒนาขีดความสามารถของ สพท. ซึ่งเป็นองค์กรหลักในเรื่องนี้  
ตลอดจนการสร้างเครือข่ายองค์กรสนับสนุนการพัฒนาธุรกิจจากฐานชีวภาพ นอกจากนี้วิสาหกิจชุมชนในพื้นที่ได้พัฒนาผลิตภัณฑ์ สร้างช่องทางการจำหน่าย  
จนถึงการนำผลิตภัณฑ์เข้าสู่ตลาด

ด้วยเหตุผลข้างต้นจึงมีโอกาสดังโครงการจะสุบ่งความรู้ที่เกิดขึ้นเพิ่มเติมในช่วงเวลาที่เหลือของโครงการเพื่อการขยายผลหลังจากโครงการสิ้นสุดแล้ว

อย่างไรก็ตามการดำเนินงานในบางผลผลิตมีความล่าช้าและโครงการจำเป็นต้องเร่งดำเนินการเพื่อให้บรรลุตามเป้าหมายที่กำหนดไว้ ได้แก่

- การพัฒนาขีดความสามารถของ สพท.  
อย่างต่อเนื่องในระดับที่เห็นผลกระทบอย่างชัดเจนโดยมีการศึกษา/วิเคราะห์ความจำเป็นในการพัฒนาองค์กรด้านต่างๆ อย่างเป็นระบบ (Training Needs Analysis)

- การพัฒนาเครือข่ายความร่วมมือ (Partner Networks)  
โดยให้มีสถาบันวิชาการและภาคเอกชนจากทั่วทุกภูมิภาคเพื่อสนับสนุนวิสาหกิจชุมชนในพื้นที่ซึ่งการดำเนินงานของ สภท. ยังไม่ครอบคลุม  
แม้ขณะนี้ สภท. จะส่งเสริมให้เกิดเครือข่ายระหว่างชุมชนในทุกภาค (BEDO's Assembly) แต่ยังไม่เพียงพอ
- การบูรณาการวิธีคำนวณปริมาณสูงสุดของวัตถุดิบจากฐานทรัพยากรธรรมชาติซึ่งสามารถนำมาใช้ในการผลิตได้โดยไม่ส่งผลกระทบต่อความยั่งยืนของ  
ฐานทรัพยากร (Sustainable Yield Limits) และการประเมินปริมาณวัตถุดิบที่มีอยู่ในธรรมชาติและที่ถูกใช้ไปแล้ว  
ให้เข้าไปเป็นส่วนหนึ่งของระบบการติดตามสถานการณ์ด้านความหลากหลายทางชีวภาพของชุมชน
- การวิจัยและการพัฒนายุทธศาสตร์ทางการตลาดเพื่อให้ผลิตภัณฑ์จากฐานชีวภาพของชุมชนสามารถเข้าถึงตลาดผู้บริโภคระดับสูงได้
- การศึกษาและพัฒนาโอกาสในการลงทุนสำหรับวิสาหกิจชุมชนในโครงการ

เนื่องจากโครงการเริ่มต้นช้ากว่ากำหนด จึงมีการเสนอให้ขยายเวลาการดำเนินงานโครงการไปอีกหนึ่งปีเพื่อชดเชยเวลาที่เสียไป โดยไม่ใช้งบประมาณเพิ่มเติม  
หาก GEF ไม่อนุญาตให้มีการขยายเวลา

โครงการจะต้องเลือกดำเนินการในกิจกรรม/ผลผลิตที่มีความจำเป็นเร่งด่วนและมีความสำคัญมากที่สุดก่อนในช่วงเวลาที่เหลือ

#### การออกแบบโครงการ

การระบุสภาพปัญหาและสมมติฐานในการออกแบบโครงการมีความสมเหตุสมผล

อย่างไรก็ตามสมมติฐานที่ว่าชุมชนสามารถที่จะพัฒนาวิสาหกิจชุมชนที่ยั่งยืนและเข้าถึงตลาดระดับสูงได้ภายในเวลาสี่ปีค่อนข้างจะเป็นไปได้ไม่มากนัก  
อาจมีการทบทวนใหม่ให้โครงการทำหน้าที่เป็นโครงการทดลองเพื่อสรุปองค์ความรู้เกี่ยวกับองค์ประกอบต่างๆที่จำเป็นสำหรับการส่งเสริมวิสาหกิจชุมชนจากฐาน  
ชีวภาพให้ประสบผลสำเร็จ เพื่อการนำไปขยายผลในที่อื่นๆ

การออกแบบโครงการสอดคล้องกับความเป็นเร่งด่วนในการพัฒนาทั้งในระดับโลกและระดับประเทศ

#### ความก้าวหน้าในการดำเนินงาน

##### จุดแข็ง

##### วัตถุประสงค์ของโครงการ

วิสาหกิจชุมชนในพื้นที่เป้าหมายได้พัฒนาผลิตภัณฑ์จากฐานชีวภาพ ๖ ประเภทซึ่งเกินเป้าหมายที่คาดไว้  
กลุ่มวิสาหกิจมีการเตรียมความพร้อมเข้าสู่กระบวนการรับรองมาตรฐานโดย อย. และ สภท. ทุกกลุ่มมีข้อตกลงที่จะจัดสรร ๑๐%  
ของกำไรสุทธิจากการจำหน่ายผลิตภัณฑ์เพื่อสนับสนุนกิจกรรมฟื้นฟูและอนุรักษ์ทรัพยากรธรรมชาติและ ความหลากหลายทางชีวภาพในพื้นที่  
และมีการจัดกิจกรรมรณรงค์สร้างจิตสำนึกในหลายชุมชน

##### องค์ประกอบ/แผนงานที่ ๑

###### ผลลัพธ์ ๑.๑

การออกพระราชบัญญัติส่งเสริมเศรษฐกิจจากฐานชีวภาพอยู่ระหว่างการดำเนินการจัดทำร่างและเสนอให้คณะรัฐมนตรีอนุมัติ  
นอกจากนี้ยังมีการทบทวนกฎหมายอื่นๆที่เกี่ยวข้อง ชัดความสามารถขององค์กรและบุคลากรของ สภท. เพิ่มขึ้น

###### ผลลัพธ์ ๑.๒

มีการพัฒนาเครือข่ายความร่วมมือกับมหาวิทยาลัยบางแห่ง กรมป่าไม้ และเครือข่ายชุมชนทั่วทุกภาคที่รวมตัวกันเป็นเครือข่ายระดับประเทศภายใต้ BEDO's  
Assembly นอกจากนี้ชุมชนในพื้นที่เป้าหมายมีการพัฒนาศักยภาพเพื่อเชื่อมโยงเครือข่ายกับชุมชนและหน่วยงานในระดับพื้นที่

##### องค์ประกอบ/แผนงานที่ ๒

###### ผลลัพธ์ ๒.๑

ชุมชนเป้าหมายได้รับการฝึกอบรมเกี่ยวกับระบบการติดตามสถานการณ์ด้านความหลากหลายทางชีวภาพของชุมชนและนำไปใช้ แต่ยังอยู่ในระยะเริ่มต้น  
ชุมชนได้จัดทำแผนกิจกรรมอนุรักษ์และฟื้นฟูความหลากหลายทางชีวภาพในพื้นที่

###### ผลลัพธ์ ๒.๒

กลุ่มวิสาหกิจชุมชนมีการจัดทำแผนพัฒนาและบริหารธุรกิจเบื้องต้นและได้ระบุไว้ในแผนว่าจะจัดสรร ๑๐%  
ของรายได้สุทธิเพื่อสนับสนุนกิจกรรมอนุรักษ์และฟื้นฟูทรัพยากรธรรมชาติ

###### ผลลัพธ์ ๒.๓

กลุ่มวิสาหกิจชุมชนเริ่มผลิตสินค้าจากฐานชีวภาพ และดำเนินการขอการรับรองมาตรฐานจาก อย. และตราสินค้าผลิตภัณฑ์ชีวภาพจาก สภท.  
การบริหารจัดการของกลุ่มใช้หลักความโปร่งใส การมีส่วนร่วม และหลักธรรมาภิบาล สตรีมีส่วนร่วมในกิจกรรมอย่างเข้มแข็งในจำนวนใกล้เคียงกับผู้ชาย

##### องค์ประกอบ/แผนงานที่ ๓

###### ผลลัพธ์ ๓.๑

ในบางพื้นที่เป้าหมาย กลุ่มวิสาหกิจชุมชน ได้รับการสนับสนุนงบประมาณและวัสดุอุปกรณ์ จาก อบต.

###### ผลลัพธ์ ๓.๔

มีการสร้างความตระหนักเกี่ยวกับการส่งเสริมผลิตภัณฑ์จากฐานชีวภาพผ่านช่องทางต่างๆ ได้แก่ รายการโทรทัศน์ หนังสือพิมพ์ วารสารเผยแพร่ของ สภท.

การจัดนิทรรศการ และสถาบันฝึกอบรม/วิชาการของ สพภ. (BEDO Academy)

#### จุดอ่อน

##### วัตถุประสงค์ของโครงการ

ผลิตภัณฑ์ของกลุ่มวิสาหกิจชุมชนยังเข้าไม่ถึงตลาดระดับสูงภายในประเทศและต่างประเทศ และระดับรายได้ของครัวเรือนยังไม่เพิ่มขึ้นอย่างมีนัยสำคัญ

##### องค์ประกอบ/แผนงานที่ ๑

###### ผลลัพธ์ ๑.๑

การพัฒนาขีดความสามารถขององค์กร สพภ. ค่อนข้างล่าช้า จำเป็นต้องเร่งดำเนินการให้เข้มข้นยิ่งขึ้นโดยการวิเคราะห์ความจำเป็นในการอบรม/พัฒนา วางแผน และดำเนินการพัฒนาองค์กรอย่างเป็นระบบ

###### ผลลัพธ์ ๑.๒

มีการพัฒนาเครือข่ายระหว่างองค์กรพัฒนาเอกชนกับชุมชนในพื้นที่เป้าหมาย รวมถึงการก่อตั้งเครือข่ายระหว่างชุมชนทั่วประเทศภายใต้โครงการ BEDO's Assembly แต่การพัฒนาเครือข่ายผู้เชี่ยวชาญและแหล่งทุนในการสนับสนุนวิสาหกิจชุมชนยังไม่มี ความก้าวหน้ามากนัก จำเป็นต้องเร่งดำเนินการ

##### องค์ประกอบ/แผนงานที่ ๒

###### ผลลัพธ์ ๒.๑

ยังไม่มี การประเมินปริมาณสูงสุดของทรัพยากรธรรมชาติซึ่งสามารถนำมาใช้ในการผลิตได้โดยไม่ส่งผลกระทบต่อความยั่งยืนของฐานทรัพยากร (Sustainable Yield Limits) เพื่อนำมาเป็นเกณฑ์กำหนดระดับการใช้ทรัพยากรที่คำนึงถึงการอนุรักษ์ควบคู่กันไป และยังไม่มีการคำนวณอัตราส่วนที่เหมาะสมระหว่างรายได้กับรายรับ โครงการควรดำเนินการในเรื่องดังกล่าวให้เกิดผล

##### องค์ประกอบ/แผนงานที่ ๓

###### ผลลัพธ์ ๓.๑

การดำเนินงานมีความก้าวหน้าเพียงบางส่วน ผลผลิตส่วนใหญ่อยู่ในระยะเริ่มต้นและยังไม่ได้รับการรับรองมาตรฐาน ช่องทางการเข้าสู่ตลาดผู้บริโภคระดับสูงยังไม่ชัดเจนแม้จะมีติดต่อบ้างแล้ว ในช่วงเวลาที่เหลือของโครงการ ยังมีความจำเป็นที่จะต้องพัฒนาคุณภาพของผลิตภัณฑ์ ช่องทางการตลาด และการดำเนินงานในทุกขั้นตอนของห่วงโซ่อุปทานให้ได้มาตรฐานยิ่งขึ้น

###### ผลลัพธ์ ๓.๒

ยังไม่มี การลดต้นทุนการจัดส่งสินค้าเนื่องจากสินค้าส่วนใหญ่ยังขายในตลาดท้องถิ่นมากกว่าการขายผ่านระบบของห่วงโซ่อุปทาน

###### ผลลัพธ์ ๓.๓

การพัฒนากลไกสนับสนุนการลงทุนหรือการให้เงินกู้สำหรับวิสาหกิจชุมชนยังมีความก้าวหน้า น้อยมาก

#### ความยืดหยุ่นของการบริหารจัดการ

ในภาพรวม โครงการมีความยืดหยุ่นในการบริหารจัดการเพื่อให้บรรลุเป้าหมายที่กำหนดไว้

#### จุดแข็ง

สำนักงานบริหารโครงการมีกระบวนการจัดทำแผนที่เหมาะสม การบริหารงบประมาณ การเงิน โดยรวมเป็นไปตามขั้นตอนและกระบวนการที่ GEF กำหนด การบริหารโครงการเป็นไปตามหลักความคุ้มค่า (Cost-effective) งบประมาณสมทบจาก สพภ. ในรูปของบุคลากร อาคารสถานที่ วัสดุอุปกรณ์ และอื่นๆ เมื่อเทียบเป็นต้นทุนแล้วเป็นจำนวนที่ค่อนข้างสูงและเป็นไปตามข้อตกลงร่วมกับ GEF

การติดตามผลการดำเนินงานใช้ช่องทางที่หลากหลายได้แก่การประชุมคณะกรรมการบริหารโครงการ การประชุมรายไตรมาส และการลงไปเยี่ยมกิจกรรมในพื้นที่เป้าหมาย ซึ่งจัดว่าเป็นระบบที่มีประสิทธิภาพและประสิทธิผล มีระบบการรายงานความก้าวหน้าของโครงการ ปัญหาที่เกิดขึ้น ปัญหาส่วนใหญ่ได้รับการแก้ไข

มีการบริหารจัดการความเสี่ยงที่เหมาะสมซึ่งประกอบด้วยรายการงานสถานการณ์ต่อผู้เกี่ยวข้องและความเห็นย้อนกลับจากผู้รับผิดชอบ

#### จุดอ่อน

การติดตามและรายงานผลโดยโครงการไม่ได้อ้างอิงกรอบ Result Framework มากเท่าที่ควร

รายงานการเงินควรมีรายละเอียดเกี่ยวกับรายการใช้จ่ายในแต่ละแผนงานและผลลัพธ์ แม้ว่าความเสี่ยงสำคัญ เช่น สถานการณ์ทางการเมืองจะค่อนข้างควบคุมได้ในขณะนี้ แต่อาจเกิดความไม่แน่นอนขึ้นมาได้อีกในอนาคต

#### กลไกการบริหารจัดการ

#### จุดแข็ง

##### ประสิทธิภาพของการบริหารโครงการ

โครงการมีการบริหารจัดการที่ดีในทุกระดับ รวมถึง UNDP หน่วยงานของรัฐบาล และผู้ให้บริการที่เกี่ยวข้อง

มีการประชุมรายไตรมาสร่วมกับภาคีที่เกี่ยวข้องตั้งแต่ปี ๒๕๕๕ การประชุมคณะกรรมการบริหารโครงการซึ่งมีคณะกรรมการเข้าร่วมประชุมครบถ้วน

เริ่มต้นต้นปี ๒๕๕๕ เช่นเดียวกัน

โดยมีสำนักงานบริหารโครงการจัดทำรายละเอียดเกี่ยวกับความก้าวหน้าและปัญหาอุปสรรคของโครงการนำเสนอต่อที่ประชุมเพื่อการตัดสินใจแก้ไข/ปรับเปลี่ยนที่จำเป็นเพื่อให้การดำเนินงานบรรลุผลตามวัตถุประสงค์และเป้าหมายของโครงการ

#### การบริหารโดยหน่วยงานที่รับผิดชอบ/หน่วยงานให้ทุน

สพท. และสำนักงานบริหารโครงการทำหน้าที่ในการบริหารจัดการโครงการได้ดี หน่วยงานสนับสนุนทางวิชาการของ UNDP มีความเข้มแข็งและทำหน้าที่ติดตามผลและสนับสนุนการดำเนินงานได้อย่างมีประสิทธิภาพ

#### จุดอ่อน

#### ประสิทธิภาพของการบริหารโครงการ

การดำเนินงานในปีแรกมีความล่าช้าจากหลายสาเหตุ ได้แก่ การลงนามรับรองเอกสารโครงการโดยรัฐบาลไทยล่าช้ากว่ากำหนด กระบวนการคัดเลือกและว่าจ้างเจ้าหน้าที่ของสำนักงานบริหารโครงการรวมถึงการสรรหาผู้จัดการโครงการมาแทนผู้จัดการคนแรกที่ลาออกไปใช้เวลาค่อนข้างมาก

#### ข้อเสนอแนะ

ที่	ข้อเสนอแนะ	หน่วยรับผิดชอบ
<b>ข้อเสนอแนะในการปรับปรุง/แก้ไขเกี่ยวกับกรอบออกแบบโครงการ การดำเนินงาน และการติดตามประเมินผลโครงการ</b>		
๑	ขยายระยะเวลาของโครงการเพื่อชดเชยเวลาที่เสียไปในช่วงต้นของโครงการโดยไม่ใช้งบประมาณเพิ่มหรือหากจำเป็นก็เพิ่มเพียงเล็กน้อยในส่วนงบบริหารจัดการและการนิเทศติดตามผลของ UNDP แลงบบริหารจัดการของมูลนิธิริชชีไทยและสถาบันสิ่งแวดล้อมไทย	สพท. สนง. บริหารโครงการ UNDP
ที่	ข้อเสนอแนะ	หน่วยรับผิดชอบ
๒	หากไม่สามารถขยายเวลาของโครงการได้ โครงการควรเร่งรัดดำเนินการในเรื่องต่อไปนี้เป็นพิเศษ ให้เกิดผลที่เป็นรูปธรรมในช่วงเวลาที่เหลือของโครงการ <ul style="list-style-type: none"> <li>การรับรองมาตรฐานผลิตภัณฑ์ของกลุ่มวิสาหกิจชุมชน</li> <li>การพัฒนาขีดความสามารถของบุคลากรของ สพท. โดยเชื่อมโยงกับการวิเคราะห์ความจำเป็นในการฝึกอบรม/พัฒนาอย่างเป็นระบบ</li> <li>จัดทำฐานข้อมูลแหล่งสนับสนุนงบประมาณสำหรับวิสาหกิจชุมชนเพื่อสังคม</li> <li>สร้าง/ลงนามสัญญาความร่วมมือ (MoU) กับหน่วยงานภาคีเครือข่ายให้มากขึ้นเพื่อให้การสนับสนุนวิสาหกิจชุมชนอย่างต่อเนื่องหลังจากโครงการสิ้นสุดแล้ว</li> </ul>	สพท. สำนักงานบริหารโครงการ UNDP
๓	ปรับปรุงกรอบการดำเนินงาน (Results Framework) ของโครงการเพื่อให้มีความสอดคล้องกันระหว่างตัวชี้วัด สถานการณ์ก่อนเริ่มโครงการ และเป้าหมายบางข้อให้มากยิ่งขึ้น กรอบที่มีการปรับเปลี่ยนใหม่ต้องได้รับความเห็นชอบร่วมกันระหว่างสำนักงานบริหารโครงการ UNDP ที่ปรึกษาทางวิชาการ (Technical Advisor) และคณะกรรมการบริหารโครงการ โดยมีกระบวนการในการปรับปรุง/แก้ไขที่ทุกฝ่ายตกลงร่วมกัน ส่วนการจัดทำรายงานรายไตรมาส (Quarterly Report) ควรอ้างอิงตัวชี้วัดและเป้าหมายในการกรอบการดำเนินงานโครงการทุกครั้งและอย่างเป็นระบบ	สพท. สนง. บริหารโครงการ คณะกรรมการบริหารโครงการ UNDP
<b>ข้อเสนอแนะเกี่ยวกับกิจกรรมต่อเนื่องเพื่อเสริมการดำเนินงานที่ได้ผลดีอยู่แล้ว</b>		
๔	ผลลัพธ์ ๑.๑ : ควรเร่งเพิ่มขีดความสามารถในระดับองค์กรและบุคลากรของ สพท. ให้เข้มข้นและต่อเนื่อง มีการวิเคราะห์ความจำเป็นในการฝึกอบรมที่ครอบคลุมและเชื่อมโยงกับระบบสมรรถนะขององค์กรและระบบการประเมินผลการทำงานของบุคลากร	สพท.
๕	ผลลัพธ์ ๑.๒ : โครงการต้องให้ความสำคัญกับการสร้างเครือข่ายสนับสนุนธุรกิจจากฐานชีวภาพให้กว้างขวางและยั่งยืนยิ่งขึ้น โดยประกอบด้วยผู้เกี่ยวข้องจากหลากหลายภาคส่วน สพท. ควรมีบทบาทสำคัญในการประสานความร่วมมือระหว่างภาคีต่างๆ เช่นกรมส่งเสริมอุตสาหกรรมซึ่งมีหน้าที่ส่งเสริมผู้ประกอบการธุรกิจขนาดกลางและขนาดย่อม และกรมการพัฒนาชุมชนซึ่งเป็นหน่วยงานหลักในการประสานงานโครงการหนึ่งตำบลหนึ่งผลิตภัณฑ์ นอกจากนี้ โครงการควรแสวงหาความร่วมมือจากสถาบันวิชาการและภาคเอกชนในการสนับสนุนวิสาหกิจชุมชนในระดับพื้นที่ให้มากขึ้น ควรมีการขยายบทบาทของเครือข่ายชุมชนภายใต้ BEDO's Assembly ให้เป็นเวทีสำหรับแลกเปลี่ยนองค์ความรู้ ปักจจัยการผลิต ตลอดจนตลาดสำหรับผลิตภัณฑ์ระหว่างชุมชนที่เป็นสมาชิก	สพท.
ที่	ข้อเสนอแนะ	หน่วยรับผิดชอบ
๖	ผลลัพธ์ ๒.๒ : ทำงานร่วมกับผู้เชี่ยวชาญในการวัดปริมาณการเก็บเกี่ยว/การใช้ผลผลิตจากป่าและทะเลเพื่อกำหนดระดับผลผลิตที่สามารถใช้ได้สูงสุดโดยไม่กระทบต่อความยั่งยืนของระบบนิเวศ และบูรณาการวิธีการวัด/ประเมินดังกล่าวเข้าไปเป็นส่วนหนึ่งของระบบการติดตามสถานการณ์ความหลากหลายทางชีวภาพของชุมชนตามผลลัพธ์ที่ ๒.๑ นอกจากนี้ควรหาวิธีการในการปรับปรุงอัตราส่วนระหว่างผลตอบแทนกับการลงทุนให้สูงขึ้น	สพท. มูลนิธิริชชีไทย สถาบันสิ่งแวดล้อมไทย และผู้เชี่ยวชาญ
๗	ผลลัพธ์ ๒.๓ : สนับสนุนการทำงานในพื้นที่เป้าหมายอย่างต่อเนื่องโดยเน้นการพัฒนาแผนธุรกิจและแผนการอนุรักษ์ที่มีรายละเอียด ครอบคลุมประเด็นสำคัญทั้งหมด ปรับปรุงรูปแบบและคุณภาพของผลิตภัณฑ์ให้สอดคล้องกับความต้องการของตลาดระดับสูง เร่งรัดดำเนินการที่ได้รับการรับรองมาตรฐานจากหน่วยงานที่เกี่ยวข้องรวมถึงตราผลิตภัณฑ์ สพท. และพัฒนาขีดความสามารถในการบริหารธุรกิจของกลุ่มวิสาหกิจชุมชนเพื่อให้เกิดความยั่งยืนในระยะยาว	สพท. มูลนิธิริชชีไทย สถาบันสิ่งแวดล้อมไทย
๘	ผลลัพธ์ ๓.๑ : ควรมีการวิจัยทางการตลาดเพื่อจัดทำยุทธศาสตร์การพัฒนาผลิตภัณฑ์และการตลาด ในการเข้าถึงตลาด “ระดับสูง” ควรเน้นผู้บริโภคเฉพาะกลุ่มที่มีความสนใจสินค้าจากฐานชีวภาพภายในประเทศเป็นกลุ่มเป้าหมายแรก และตลาดต่างประเทศเป็นเป้าหมายระยะยาว นอกจากนี้โครงการควรศึกษาความเป็นไปได้ในการทำการตลาดระดับล่างซึ่งสามารถรับซื้อผลิตภัณฑ์ได้ในปริมาณมาก (low-end/high	สพท. และผู้เชี่ยวชาญ/ที่ปรึกษาด้านการตลาด

	volume market) เช่นการทำสัญญาจำหน่ายกระถางเพาะชำที่ทำจากเศษไม้ซึ่งสามารถย่อยสลายในดินได้กับกรมป่าไม้ เป็นต้น	
๙	ผลลัพธ์ ๓.๓: ควรมีการศึกษาช่องทางและโอกาสในการลงทุนแบบต่างๆอย่างเป็นระบบ และสนับสนุนกลุ่มวิสาหกิจชุมชนในพื้นที่เป้าหมายให้เข้าถึงโอกาส/ช่องทางดังกล่าวตามความเหมาะสม นอกจากนี้โครงการควรแสวงหาความร่วมมือจากสถาบันการเงินภาคเอกชนเพื่อสนับสนุนโครงการเงินกู้ขนาดเล็ก (Micro-credit) หรือช่องทางการลงทุนแบบอื่นๆให้แก่กลุ่มวิสาหกิจชุมชน รวมถึงการแสวงหาการสนับสนุนจากโครงการเพื่อสังคมของผู้ประกอบการภาคสังคม (CSR) ให้มากขึ้นด้วย	สพภ. และผู้เชี่ยวชาญ
๑๐	การดำเนินงานและความยั่งยืน: บุคลากรของ สพภ. ควรเข้ามามีส่วนช่วยเหลือมูลนิธิริรักษ์ไทยและสถาบันสิ่งแวดล้อมไทยในกิจกรรมระดับพื้นที่ให้มากขึ้นโดยเฉพาะในเรื่องการพัฒนาผลิตภัณฑ์และการตลาด ในขณะเดียวกันบุคลากรจะได้มีโอกาสพัฒนาความรู้ทักษะจากการลงมือปฏิบัติจริงไปพร้อมๆกันซึ่งจะทำให้เกิดความยั่งยืนหลังจากโครงการสิ้นสุดลงแล้ว	สพภ. มูลนิธิริรักษ์ไทย สถาบันสิ่งแวดล้อมไทย
ที่	ข้อเสนอแนะ	หน่วยรับผิดชอบ
<b>ข้อเสนอเกี่ยวกับทิศทางการดำเนินงานที่เกี่ยวข้องกับวัตถุประสงค์ของโครงการ</b>		
๑๑	วิเคราะห์บทเรียนจากการดำเนินงานในพื้นที่เป้าหมาย โดยเน้นปัจจัยต่างๆที่เกิดขึ้นในสถานการณ์เฉพาะที่แตกต่างกันไปในแต่ละแห่ง บันทึกผลกระทบ/ความเปลี่ยนแปลงที่เกิดขึ้นกับระบบนิเวศโดยมีดัชนีชี้วัด และจัดทำเป็นข้อเสนอถึงโอกาส/ความเป็นไปได้ในการนำรูปแบบจากแต่ละแห่งไปขยายผลในอนาคต ทั้งนี้การวิเคราะห์ควรระบุถึงปัจจัยซึ่งเอื้อต่อความสำเร็จของวิสาหกิจชุมชนเพื่อสังคม สภาพแวดล้อมและบริบทที่เอื้อ/ส่งเสริม ลักษณะและองค์ประกอบเฉพาะของชุมชนซึ่งผู้ดำเนินการต้องให้ความสนใจเพื่อกระตุ้นให้เกิดการมีส่วนร่วม ตลอดจนบริการสนับสนุนต่างๆที่มีอยู่ในพื้นที่และโอกาสในการเข้าถึงตลาดประเภทต่างๆ	
๑๒	ความยั่งยืนและผลกระทบ: <ul style="list-style-type: none"> <li>โครงการต้องเร่งจัดทำแผนส่งเสริมให้เกิดความยั่งยืน (Sustainability Plan) และกลยุทธ์การถอนตัว (Exit Strategy) โดยเร็ว</li> <li>สำนักงานบริหารโครงการและ UNDP ควรเริ่มพิจารณาแนวทางการศึกษาผลกระทบซึ่งนำไปสู่ผลลัพธ์ของโครงการ ซึ่งจะใช้ตอนจบโครงการ</li> </ul>	สพภ. สำนักงานบริหารโครงการ UNDP
๑๓	ในแผนการส่งเสริมความยั่งยืน (Sustainability Plan) โครงการอาจพิจารณาว่าควรจะมีกิจกรรมต่อเนื่อง/ต่อยอดจากสิ่งที่โครงการได้ดำเนินการไว้ในพื้นที่หรือไม่ หากจะมีกิจกรรมในลักษณะดังกล่าว สพภ. ต้องบูรณาการกิจกรรมต่อเนื่องดังกล่าวไว้ในแผนปฏิบัติการด้านการพัฒนาเศรษฐกิจชุมชน โดยมีการสนับสนุนบางส่วนจากแผนงานด้านกลยุทธ์การตลาด (หากจำเป็น) แผนงานดังกล่าวจะต้องเกิดขึ้นโดยเร็วเพื่อให้บุคลากรของ สพภ. ได้เริ่มทำงานอย่างใกล้ชิดกับสำนักงานบริหารโครงการ เพื่อให้มีการมองถ่ายงานอย่างราบรื่นตอนจบโครงการ	สพภ. สำนักงานบริหารโครงการ
๑๔	หากเป็นไปได้ ควรมีการนำเสนอประสบการณ์จากการดำเนินงานวิสาหกิจชุมชนเพื่อสังคมไปขยายผลในชุมชนอื่นๆที่เป็นสมาชิกของเครือข่าย BEDO's Assembly โครงการควรจัดทำแผนการขยายผล โดยพิจารณาประเด็นต่อไปนี้ <ul style="list-style-type: none"> <li>สพภ. จะทำงานร่วมกับภาคีเครือข่ายเช่นเดียวกับในโครงการนี้ หรือจะดำเนินการโดยบุคลากรของ สพภ. โดยลำพัง</li> <li>ชุมชนใหม่ควรเป็นชุมชนใด และผลิตภัณฑ์ที่จะส่งเสริมคืออะไร</li> <li>จะใช้งบประมาณเท่าไร อาจจำเป็นต้องจัดทำแผนการเงิน/งบประมาณ</li> <li>งบประมาณจะมาจากแหล่งใด-จากงบประมาณปกติของ สพภ. หรือจากโครงการใหม่</li> </ul>	สพภ.

## 2 Introduction

### 2.1 Purpose of the Mid-Term Review and objectives

The *GEF Monitoring and Evaluation Policy*<sup>2</sup> has two overarching objectives:

- to promote accountability for the achievement of GEF objectives through the assessment of results, effectiveness, processes and performance of the partners involved in GEF activities, and contribution to global environmental benefits;
- to promote learning, feedback and lessons learned among the GEF and its partners, as basis for decision-making on policies, strategies, program management, and projects and to improve performance.

For all UNDP-GEF full-sized projects, and some mid-sized projects, M&E policy requires a Mid-Term Review (MTR) be undertaken at the halfway stage. As outlined in the *Guidance for conducting Midterm Reviews*<sup>3</sup>, the MTR is an opportunity to provide an independent, unbiased overview of the project that identifies the potential for improvement and produces actionable, realistic, results-oriented and concrete recommendations. At this stage, the project still has time to recover from problems and improve its prospects for delivery; a successful MTR can catalyze change in a project by outlining how recommended changes have the potential to improve the project's results.

UNDP Thailand has instituted an MTR of the Sustainable Management of Biodiversity in Thailand's Production Landscape project ("SMBT Project"), which was undertaken in November 2014.

### 2.2 Scope and Methodology

Two consultants, W Keith Lindsay (International lead consultant) and Walaitat Worakul (National consultant), were selected to conduct the MTR, which will assess early signs of project success or failure and identify the necessary changes to be made. The project performance will be measured based on the indicators of the project's logical framework and various Tracking Tools.

Specific tasks of the evidence-based review are outlined in the Terms of Reference (**Annex 1**). The review team will assess the following three categories of project progress. For each category, the review team is required to rate overall progress using a six-point rating scale as required by GEF evaluation criteria (**Annex 2**):

1. Project Strategy
  - Project Design
  - Results Framework/Logframe
2. Progress Towards Results
  - Progress towards outcomes analysis
  - Remaining barriers to achieving the project objective
3. Project Implementation and Adaptive Management\*
  - Management Arrangements

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<sup>2</sup> GEF (2010) *The GEF Monitoring and Evaluation Policy 2010*. Global Environment Facility, Evaluation Office. Evaluation Document No.4, November 2010.

<sup>3</sup> GEF (2014) *Guidance for conducting Midterm Reviews of UNDP-supported, GEF-financed projects*. UNDP-GEF Directorate.

- Work planning
  - Finance and co-finance
  - Project-level monitoring and evaluation systems
  - Stakeholder engagement
  - Reporting
  - Communications
4. Sustainability
- Financial risks to sustainability
  - Socio-economic to sustainability
  - Institutional framework and governance risks to sustainability
  - Environmental risks to sustainability

To achieve these tasks, the Consultant team followed standard methodology for UNDP-GEF reviews, as outlined in the *Guidance* document. This methodology sought to ask questions in the key analysis areas in three phases of a participatory and consultative approach:

1. Review of relevant documents
2. Semi-structured interviews with all stakeholders and field visits:
  - UNDP and Implementing Partner (BEDO) staff who have project responsibilities
  - Project partner staff – Raks Thai Foundation (RTF) and Thailand Environment Institute (TEI)
  - Project stakeholders
    - Government ministries at national and local level
    - Local government representatives
    - Community members
3. A Presentation/ Briefing Meeting with the key stakeholders, with discussion of and feedback on the initial findings, followed by development of the draft and final report

Questions were asked of stakeholders were based on an Evaluative Matrix (**Annex 3**), but interviews were conducted in a conversational, interactive style and the questions were modified appropriately to suit the specific respondents. The observations from these different data sources were cross-checked against each other, in a process of "triangulation".

After the contract was concluded, discussions by email with UNDP Country Office (CO) personnel confirmed the logistics of the mission, and its itinerary of consultations and site visits. Key documents were assembled and initial study began.

The Consultant team arrived in Bangkok on 16 November 2014. Consultations and meetings began on 17 November 2014. A full itinerary of visits and meetings can be found in **Annex 4**. The first briefing meeting was held with the Programme Analyst, Environment Unit, at the UNDP Offices, where the team was briefed on the background of the programme, documentation sources and stakeholder identification, deliverables expected and the timing of such delivery. This initial meeting was followed by meeting in the BEDO Project office, during which the consultant team was further briefed on PMU arrangements and implementation modalities.

A field visit to a sample of project sites in Kanchanaburi, Prachinburi, Ranong and Phang Nga provinces was made during 17-21 November. Further consultation of stakeholders in Bangkok occurred on 24 November; a list of persons met during the site visits and other consultations is given in **Annex 5**. Document collection and review has occurred throughout the mission and during periods both preceding and following it; a list of the documents examined is provided in **Annex 6**.

A briefing meeting was held on 25 November in the BEDO meeting room, to present initial findings to key stakeholders for their comment and feedback.

The findings from the evaluation mission, together with comments received during the briefing meeting, are summarized in this draft version of the MTR report. Comments received on the draft text will be incorporated into a final version, with an audit trail summarizing these comments and the Consultant's response.

### **2.3 Structure of the MTR report**

The review report is comprised of:

- an Executive Summary, with Project Summary Table, a brief project description, a Review rating table and a summary of conclusions, recommendations and lessons learnt
- an introduction, summarizing the review's purpose, scope and methodology
- a brief description of the project and its development context, including the background to the project
- the findings, conclusions and recommendations of the Mid-Term Review
- annexes including information about the review process, project co-financing, a proposed revised Strategic Results Framework, capacity development scorecard.

The following Annexes provide additional supporting documentation to the Report:

Annex 10. UNDP-GEF MTR Audit Trail

Annex 11. Signed UNEG Code of Conduct Form is attached as Annex

Annex 12. Signed MTR final report clearance form

### **3 Project description and background context**

#### **3.1 Context of the project and problems it seeks to address**

##### **3.1.1 Background and context**

The Royal Thai Government authorities, with MONRE and MOAC as lead ministries, have made large efforts to arrest degradation of biodiversity inside Protected Areas, as well as in areas outside. An important initiative was the establishment of the Biodiversity-based Economy Development Office (BEDO) as a public organization, which was given the mandate of promoting conservation of biodiversity in production landscapes, improving local community knowledge of best practice for sustainable production and enhancing biodiversity-based economic development. The long-term challenge for BEDO is to ensure that biodiversity conservation is mainstreamed into production and marketing of agricultural, forestry and fishery business, in order to create community incentives to conserve and enhance biodiversity in Thailand's land- and seascapes while maintaining appropriate incomes to satisfy family needs for livelihood and wellbeing.

##### **3.1.2 Problems to be addressed**

There are three main barriers to achieve this mainstreaming: (i) At the national level, the institutional framework is not sufficiently capacitated to address the needs of an emerging biodiversity-based business sector, based on sustainable harvesting and production principles, (ii) At the community-level, sustainable production approaches and biodiversity conservation efforts are inadequate due to low incomes from present product categories, and (iii) Community revenues are limited due to low prices in the commodity market, as well as to high transaction costs in the supply chains.

The project directly addresses these barriers through the three major components of the project:

1. Building national capacity for support of biodiversity business
2. Piloting community-based social enterprises in valuable Eco-regions
3. Mainstreaming biodiversity business into the supply chains of high-value consumer markets

#### **3.2 Development context**

The policy framework for the biodiversity-based product sector in Thailand is found mainly in the National Economic and Social Development Plan. The biodiversity-based development concept is highlighted in the Strategies for Development of Biodiversity and Conservation of the Environment section of the National Policy, Strategies and Action Plan for the Tenth National Economic and Social Development Plan (2007-2011). The objective is to strengthen economic, social, environmental and natural resource capital to create a balanced and sustainable base for national development. One of the major principles used in the development strategy is to be cautious about utilisation of natural resources and environment and to protect existing ways of live at the community level. In doing so, the Plan emphasises the utilisation of biodiversity to ensure local and community economic stability as well as to develop the country's capacity and initiate innovations from biological resources unique to the country.

The donor-level context of the project is related to the UN Partnership Assistance Framework (2007-2011, 2012-2016) and Country Programme Action Plan. Outcomes and Outputs from these levels are as follows:

***UNPAF Outcome 4***

Improved sustainable utilization and management of natural resources and environment at the community and national policy levels.

***UNDP Strategic Plan Environment and Sustainable Development Primary Outcome***  
Mainstreaming Environment and Energy

***CP Outcomes***

1. Efficient community-based natural resources and environmental management in selected ecosystems with effective engagement of people's organizations in policy- and decision-making processes affecting the environment and the use of local natural resources;
2. Increased capacity of national agencies to set policy priorities and remove barriers to pursuing sustainable management of biodiversity, renewable energy, and water resources in response to national priorities and in compliance with international treaties;
3. Promoting community-based knowledge management by supporting the formation of community networks and promoting evidenced-based policymaking at all levels.

***CPAP Outputs***

1. Demonstration of co-management mechanisms and practices between CBOs and government authorities with policy support and budget for local sustainable development initiatives
2. Improved availability of data at national and sub-national levels to support evidence-based planning, policy and decision-making
3. Dissemination of good practices on sustainable natural resource management and use
4. A knowledge system that integrates scientific and indigenous knowledge and is accessible to community networks and policy makers.
5. A knowledge management mechanism and facilities available for community learning, sharing experiences and networking.

### **3.3 Project description and strategy**

The Objective of the SMBT Project is to: **Strengthen national and local capacity for mainstreaming biodiversity into the management of ecologically important production landscapes by transforming the supply and market chain of biodiversity based products.**

The project is designed to provide technical assistance for capacity development to key actors in the national framework for promoting biodiversity conservation and sustainable production. In particular it aims at capacitating BEDO and partners during their vulnerable start up stages to assume the prescribed mandate and roles for biodiversity conservation and income generation. Equally important, the project will focus on capacitating local communities in valuable eco-regions. And finally, the project will focus on the need to transform the supply chain to consumer markets, so that farm-gates prices can be increased and economic incentives provided.

As noted above, the barriers to this long term solution are: (i) The institutional framework, which is not sufficiently capacitated to address the needs of an emerging biodiversity-based

business sector; (ii) The sustainable production approaches and biodiversity conservation efforts, which are inadequate due to low incomes from present product categories; and (iii) Community revenues, which are limited by low prices in the commodity market, and high transaction costs in the supply chains.

The project is removing these three barriers through its three Component/ Outcome areas:

- Component 1 has Indicators, Outputs and Activities for national capacity building and policy development for support of biodiversity business;
- Component 2 has Indicators, Outputs and Activities for piloting community-based social enterprises in key eco-regions;
- Component 3 has Indicators, Outputs and Activities for mainstreaming biodiversity business into the supply chains of high-value consumer markets.

Some indicators for the Objective and each of the Outcome areas are summarized below:

**Objective:**

- The national governance system provides positive incentives and effective business facilitation and marketing support for biodiversity business development in communities through BEDO and its partner network;
- Community-based social enterprises and commercial supply chains for biodiversity-based products increase family income, biodiversity conservation incentives and market share of certified sustainable production;
- Percentage of target landscapes and seascapes under community-based sustainable management or co-management.

**Component 1: Building national capacity for support of biodiversity business**

**Indicators of achievement**

**Outcome 1.1:** Institutional capacity and staff competences for national support to biodiversity business established

- Enabling national policies, laws and regulations introduced by appropriate government departments
- BEDO has the capacity as an institution, and its staff have the technical capacities, requiring them to act as national biodiversity business facility to facilitate development of CbSEs

**Outcome 1.2:** Collaboration with and capacities in Partner Networks of the Biodiversity Business Facility are strengthened

- Through the partner network, BEDO has the capacity to assess market needs and demands, and to develop targeted solutions to issues
- Through the partner network, local communities and CbSEs have increased access to extension and business development services

**Component 2: Piloting community-based social enterprises in key ecoregions**

**Indicators of achievement**

**Outcome 2.1:** Community-based sustainable production and in-situ biodiversity conservation and rehabilitation is strengthened.

- Appropriate methods for community-based monitoring of biodiversity status
- Number and coverage of biodiversity projects by communities using CbSE revenues.

**Outcome 2.2:** Pilot Models for Community-based Social Enterprises (CbSE)

- CbSE business plans and increase in revenues

- CbSE business/ management plans allocate net revenues for conservation

**Outcome 2.3:** Human/ technological capacities in communities are strengthened

- CbSEs make products which meet the requirement for certification
- CbSEs have a transparent and participatory governance mechanism.

### **Component 3: Mainstreaming Biodiversity Business into the Supply Chains of High-value Consumer Markets**

#### **Indicators of achievement**

**Outcome 3.1:** Demand-driven design and branding of high-value products

- Mainstreaming products from biodiversity businesses is increased through products designs focused on niche-markets of consumers in Thailand and export markets
- Quality/ value of CbSE products are increased, meeting BEDO certification standard

**Outcome 3.2:** Reduction of transaction costs through transformation in the supply chains

- Transformation of supply chains has been demonstrated with products from the target regions.

**Outcome 3.3:** Increased investment and subsidy options for CbSEs

- Appropriate investment options for pilot CbSEs have been identified
- Subsidies raised for pilot CbSEs

**Outcome 3.4:** Strengthened awareness about commercial potentials in biodiversity business.

- Information, Education, and Communication materials for general public on CbSE and biodiversity business

### **3.4 Project implementation arrangements**

The Project Board (PB) – changed during the Inception period to the Project Steering Committee – is responsible for making management decisions for the project, in particular when guidance is required by the Project Management Unit. It is chaired by the BEDO Executive Director. The composition includes representatives from ONEP, DNP, DMCR, MOAC, NESDB and appropriate representatives from research- and development, as well as from the private business sector. It meets at least twice a year, to approve the annual work plans and annual progress reports, and it provides overall guidance for the project throughout implementation.

The Project Management Unit (PMU) is in charge of overall project administration and coordination with project sites and relevant organizations, under the overall guidance of the PB/ PSC. The National Project Director is a BEDO staff member, while the Project Manager works under a contract for the duration of the project. The PM is supported by a Project Coordinator and a Project Finance and Administration officer.

Technical support is provided by an Advisory Group. In the ProDoc, this was to be a Technical Advisory Group (TAG) drawn from a range of experts, but during Inception it was replaced by a BEDO Advisory Group drawn from staff members with a variety of expertise relevant to CbSEs in the Biodiversity Business sector. The ProDoc also envisaged four Implementation Task Forces, covering a range of relevant areas, to assist the PMU with field implementation. These Task Forces were replaced by two Partner organisations – RTF and TEI – who became contractors responsible for activities under Component 2, and some parts of Component 3, in the two bamboo and two marine field pilot sites respectively. In each pilot area, a Field Coordinator/Facilitator is employed.

Project assurance and oversight is provided by the UNDP CO.

### 3.5 Project timing and milestones

A summary of the key project milestones and their dates is provided in Table 1.

**Table 1. Project milestone dates**

Milestone	Date
Project Designed	2009 - 2011
GEF approval	May 2011
Agency Approval (UNDP ProDoc signature, after cabinet endorsement)	December 2011
Project launch	Jan-Mar 2012
Inception workshop	June 2012
Contracts signed with RTF and TEI	September 2012
Actual field implementation start	November 2012
Mid-term Evaluation	November 2014
Terminal Evaluation due	September 2015
Expected project ending date (revised)	December 2015

### 3.6 Main stakeholders

A summary list of stakeholders is provided below.

#### *Government stakeholders (national)*

- Biodiversity-Based Economy Development Office - BEDO
- Office of Natural Resources and Environmental Policy and Planning - ONEP
- National Economic and Social Development Board - NESDB
- Community Development Department - CDD
- Department of Marine and Coastal Resources – DMCR
- Department of National Parks, Wildlife and Plant Conservation – DNP
- Department of Agriculture Extension (DOAE)
- Department of Fisheries (DOF)
- Department of Export Promotion (DEP)
- Office of Small and Medium Enterprise Promotion (OSMEP)
- Bank of Agriculture and Agricultural Cooperatives (BAAC)

#### *Local governments*

- Tambon Administrative Organisation (TAO)
- District Administration

#### *Civil society stakeholders*

- Universities, Research Institutions and Academic Institutions
- Local Technology and Vocational Colleges
- Non-Profit Organisations and Associations
- Community Groups

#### *Private sector stakeholders*

- Hotels
- Tourism operators
- Green Net Coop (not at present, but hoped for eventually)

## 4 Findings

### 4.1 Project strategy

#### 4.1.1 Project Design

##### *Project identification and assumptions*

Key elements of project design include the identification of problems and the development of suitable solutions through systematic planning with key stakeholders, and effective coordination of different agencies and actors.

It appears that there was a thorough process of problem identification, culminating in the Project Document. This process included a situation analysis, with an assessment of the drivers of biodiversity loss and the barriers to effective conservation of species and ecosystems in Thailand. A combination of population pressure, rural poverty and economic development have over the last 50 years put critical pressures on natural resources and caused significant negative impact to the country's biodiversity. In particular, this applies to production lands, where the formerly rich – and valuable – biodiversity of traditional farming and forestry systems has been replaced by forest clearance, wetland loss and coastal depletion, as well as by more intensive and destructive farming and fishing approaches. It has become clear that local communities resident in many key habitats will not follow advice, voluntary agreements and even rules and regulations, unless they have clear economic incentives and social rewards for doing so.

The Royal Thai Government authorities, with MONRE (Ministry of Natural Resources and the Environment) and MOAC (Ministry of Agriculture and Agricultural Cooperatives) as lead ministries, have made large efforts to arrest this degradation.

Problem analysis was accompanied by a thorough stakeholder consultation and analysis, and a baseline analysis of the policy, institutional and regulatory environment in relation to community-based organisations, businesses and markets for biodiversity-based products.

The **key assumption** at the outset was that the long-term solution for biodiversity conservation is for it to be mainstreamed "into production and marketing of agricultural, forestry and fishery business, in order to create community incentives to conserve and enhance biodiversity in Thailand's land- and seascapes while maintaining appropriate incomes to satisfy family needs for livelihood and wellbeing." This could be approached by a combination of:

- Improving the enabling environment of legislation and policy, coupled with a supportive government agency;
- Developing momentum and learning lessons in some pilot communities through the production of biodiversity-based products for high-end consumers;
- Improvements in the market and supply chain.

Under such a scenario, the project would deliver significant environmental and development benefits, in terms of improved conservation status of biodiversity, as well as improved local livelihoods. The project was designed to use GEF funds to stimulate a coordinated approach to biodiversity mainstreaming in typical production landscapes.

The scope of the project was intended to encompass both nationwide impact, creating enabling conditions through the development of guidelines and strategies in natural resource and commercial sectors, and District/ Tambon and grass-roots level intended to create momentum in community forestry, marine/ coastal fisheries and tourism.

Pilot areas were selected in four provinces in the production landscapes adjacent to globally significant biodiversity areas: the Huai Khae Kaeng, Tenasserim and Kaeng Krachan forest complex in Kanchanaburi Province and the Khao Yai/Tap Lan forest complex in Prachinburi Province and the mangrove stretch off the coast of the Andaman sea in the provinces of Ranong and Phang Nga.

These “pilot provinces” are intended to generate lessons that can be replicated nationwide, as well as resulting in fully functioning biodiversity-based businesses for the participating communities. Selection of sites within the target provinces was developed during Project preparation and refined in coordination with the project Partners RTF and TEI after their recruitment as they prepared for implementation.

### *Assessment of assumptions*

The main assumptions seem reasonable and in line with international best practice on biodiversity mainstreaming. It is sensible to work at both national level on enabling conditions, and at the site level to test approaches with communities.

There are, however, some difficulties with the assumption that pilot communities identified in the ProDoc could move to high end export markets within 4 years’ time. This assumption is too ambitious. Although the communities were selected on basis of their awareness and on-going conservation activities, they have limited experience in doing a “real” business. Some of these communities had producer groups from bio-based resources but at a relatively low scale and some communities had no experiences working together as a group before. Experiences from other ongoing community enterprises programme (e.g. OTOP) illustrate that it usually takes several years before the business could be levelled-off and sustained through the regular market mechanism. Meeting an international market standard is another big challenge as it involves more complicated work process and longer time.

Rather than to expect sustainable enterprises by the end of the project, it is perhaps better to view the business development aspects of both as experiments, with the chief result being an analysis of the successes and obstacles to progress. It may also be worthwhile, in the context of such an analysis to consider the factors that are known to promote small businesses and community-based enterprises, including a positive business environment, the availability of business support services and access to financial services<sup>4</sup>.

### *Relevance to international and country priorities*

This section reviews the relevance of the project design to international and country priorities.

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<sup>4</sup> Tomaselli, M.F. & Hajjar, R. (2011) Promoting Community Forestry Enterprises in National REDD+ Strategies: A Business Approach. *Forests*, 2, 283-300; doi:10.3390/f2010283

## **International agreements/ frameworks**

Thailand ratified the Convention on Biological Diversity (CBD) in 2003 and the project is compliant with Strategic goals B, C and D of the Nagoya Strategy. The project contributes toward Millennium Development Goal 7 "Ensure Environmental Sustainability".

The project design is in accordance with the United Nations Partnership Assistance Framework (UNPAF 2007-2011 and 2012-2016) in Thailand. It is aligned with UNPAF Outcome 4, UNDP Country Programme (2012-2016) Outcomes relating to community-based natural resource management and sustainable use of biodiversity and the Country Programme Action Plan Outputs relating to community co-management of natural resources and knowledge systems.

The project design also recognises the importance of operating at multiple levels, with interventions under its Outcome 1 focused on the higher national level of institutional capacity building and regulatory frameworks, which correspond closely with the comparative advantage of UNDP, and the increasingly local levels of pilot/ experimental investments and capacity building at provincial, district and community level under Outcomes 2 and 3. The testing of approaches at field level will be supported essential for the credibility of the upstream activities, as well as for the delivery of concrete global and livelihood benefits.

## **National priorities**

The project is in line with the Thailand's National Policy, Strategies and Action Plan on the Conservation and Sustainable Use of Biodiversity (NBSAP 2008-2012), especially with Strategy 2: Encouraging the Sustainable Use of Biodiversity and the action plans on sustainable use of biodiversity, and on access and benefit sharing. This vision is also anchored in the environmental strategies of the 10th (2007-2011) and 11<sup>th</sup> (2012-2016) National Economic and Social Development Plans. These plans refer to the sustainable use of biodiversity to benefit community enterprise as producers well as the health and well-being of consumers.

Other projects underway, in partnership between UNDP and the Royal Thai Government include:

- Catalysing Sustainability of Thailand Protected Area System (with DNP) – 2010-2014
- Integrated Community-based Forest and Catchment Management through Ecosystem Services Approach (with MONRE, OME and REOs) - 2011-2015
- Assessing Ecosystem Services for Pro-Poor Development Planning (MOI with MONRE and REO 8, REO10, REO3) – 2010-2012

The first two of these projects fall under GEF IV funding, while the third is under the Poverty and Environment Initiative.

## **Broader development effects**

The project's objective, to mainstream biodiversity conservation into community-based social enterprise, has implications for development of government policies at national level and capacity to implement the new approaches, for diversifying rural livelihoods across the country, and for the linking of civil and commercial sectors in sustainable natural resource use and conservation.

The second Project Component has direct Outcomes and Outputs targeted at income generation and livelihood benefits, gender equality and women's empowerment, and improved governance.

### **Lessons from other projects and programmes**

The concepts for project design bring together developing trends in Thai government initiatives promoting community enterprises, e.g. the Royal Decree on small-medium community enterprise (SMCE) and the One Tambon One Product (OTOP) programme, and biodiversity business, leading from the creation of BEDO in 2007.

The SMBT Project extends UNDP's partnership with Thai counterparts in a number of key development areas, promoting policy linkages and community participation in natural resources and environmental management. Current UNDP projects complementing the SMBT Project were described above.

The SMBT Project is working alongside the Mangroves for the Future (MFF) Programme, a regional collaboration of nine member countries initiated by IUCN and UNDP with its Secretariat in Bangkok. One of the geographical focal areas of the Thailand MFF is the Andaman Coast, where it rehabilitate mangrove stretches damaged by the 2004 Asian tsunami compounded by the impact of human activities. Its three main objectives, to which the SMBT is aligned, are to:

1. Improve, share and apply knowledge to support the conservation, restoration and sustainable use of coastal ecosystems.
2. Strengthen integrated coastal management institutions and empower civil society, including local communities, to engage in decision-making and management that conserves, restores and sustainably uses coastal ecosystems.
3. Enhance governance at all levels to encourage integrated management programmes and investments that are ecologically and socio-economically sound, and promote human well-being and security.

### **Sustainability and viability considerations**

Sustainability of outcomes was a key element in developing the project strategy, with emphasis on all four areas – environmental, financial, social and institutional. Sustainable use of natural resource and protection/ rehabilitation of ecosystems are key themes running through the whole project. The development of financial revenue streams, and subsidy/ investment sources, are linked to an allocation for conservation as a key aspect of project design. Strengthening governance and business practices of CbSEs is aimed at creating a social momentum for sustainable biodiversity use. The central role played by BEDO in project implementation, and the actions aimed building its mandate, capacity and support network are intended to ensure its central institutional role.

Sustainability remains vulnerable to externalities beyond the control of project actors. The effects of climate change on biodiversity resources are hard to anticipate, although protection of mangrove areas should increase the security of coastal zones to storm damage that may occur with increasing frequency. Protection of bamboo forests could also assist climate change adaptation. Global economic changes, particularly downturns, could affect the demand for consumer products and ecotourism, although this would also be the case for any project involved in enterprise development with an international market focus. The building of a high-end domestic market for CbSE products could offset this vulnerability, to the extent that Thai society is buffered from global financial processes. Changes in the national political and government situation remain a threat to any programme with targets

for national institutions and networks. Fortunately, the project component aimed at grassroots social change appears able to operate somewhat independently of political upheaval at the central level, at least in its recent manifestation, but the other components would be affected adversely. The previous and current governments remain committed to a greener path to national development, and this appears to have survived the recent change at the top of the political establishment. It is important that this commitment continues.

### **Stakeholder involvement in decision-making processes**

There is evidence, in the ProDoc and background studies, that the project design involved stakeholder consultation. BEDO has had an involvement for several years in enterprise development with communities in the Ban Dong Bang area, Prachinburi province. Detailed interviews with communities and leaders occurred in Ban Nong Khon, Kanchanaburi province, Ban Sam Nak in Ranong province, and Ban Bang Tib in Phang Nga province.

### **Gender issues**

In discussing social sustainability, ProDoc notes that the project will give strong emphasis on promoting gender equity in its actions, especially in the set-up of community social enterprises. In the Results Framework Outcome area for on CbSE governance, there is a target for clear mechanism for gender parity. There is no specific emphasis on gender in staff capacity building in BEDO.

#### **4.1.2 Design of the Results framework**

The SMBT Project Results Framework is a standard GEF framework, using the terminology of Objectives, Components and Outcomes. It appears largely sound but there is some lack of coherence between Indicators, Baselines and Targets for some of the Outcomes. This lack of coherence makes reporting and monitoring a bit problematic, and it is advisable for the PMU to take a good look at these parameters with a view to aligning them with better parallel construction, including some changes of Baselines and Targets. The changes proposed make some adjustment in the indicators but these do not affect significantly the scope of project Targets. Modifications of the Results Framework are proposed to improve the coherence – the modified Results Framework is presented in **Annex 7**.

Some of the proposed changes would appear to require approval or confirmation by the Project Board. These include:

#### **Outcome 2.2**

##### **1<sup>st</sup> Indicator**

There is a question whether sub-Indicator a. "CbSEs are using maximum sustainable yield as a benchmark to set production levels." is appropriate. Since a more conservative approach is generally preferable, it should be made clear that MSY in sub-Indicator and Target a. should be an upper "limit" for production levels, not a "benchmark" or "variable".

#### **Outcome 2.3**

##### **2<sup>nd</sup> Indicator**

The target number of CbSEs with governance mechanisms needs to be specified, at 4 CbSEs.

#### **Outcome 3.2**

For the Target sub-Indicator a. " Percentage reduction in transaction costs along supply chain ", there needs to be a Specific, quantitative % reduction in transaction costs. It is suggested that this reduction be 10%, but the Project Board may wish to apply a different figure.

### Outcome 3.3

#### 1<sup>st</sup> Indicator

The Indicator text for sub-Indicators a. and b. should be changed to Specific Target numbers a. of investments in public and private sector, and b. of investment funds, and these Targets should be specified. It is suggested that a Target number is 4 for each of a. and b., corresponding to the 4 target communities.

### Outcome 3.4

According BEDO sources, there were 80 communities working with BEDO in 2012 before the project started. Therefore there is a Baseline of 80 communities. The Target for sub-Indicator b. s should be 50% increase in communities contacting BEDO; according to BEDO sources, they intend to add 10 communities per year, so by 2015, there should be 40 additional communities, or an increase of 50%.

The changes proposed would appear to need consideration and approval by the PMU, UNDP CO and Regional Technical Advisor and Project Board. An appropriate process of approval should be set underway following consideration of this MTR report. The Results Framework should be seen as a working framework that can be subject to periodic review by stakeholders, at least insofar as identifying indicators or targets that implementation has revealed may no longer be relevant. Such review should be undertaken in the context of annual project meetings, for approval by the PB/PSC.

## 4.2 Progress towards Results

Progress in implementation of the SMBT Project Objective and Components/ Outcomes is discussed in this section. The narrative will follow the structure of the monitoring and reporting against the Results Framework. A summary matrix of progress towards Results is provided in **Annex 8**.

### 4.2.1 GEF Tracking Tool

#### *Project landscape/ seascape coverage*

The "Actual at mid-term" measure for area of bamboo forest covered directly by the project in the two sites in Kanjanaburi and Prachinburi, (2,842ha.), was higher than that foreseen at project start (2,500ha). For mangrove forest, for the mid-term figure for area directly covered at Ranong and Phang Nha sites (2,500ha) was less than that foreseen (3,700ha). It appears that these differences could reflect refinement in measurement of areas at actual implementation sites, compared to estimates made at the outset, rather than indications of progress being made.

For area of bamboo forest covered indirectly by the project, the estimate foreseen (2000ha) was taken to be the buffer zones of bamboo forest in KhaoYai National Park and Thungyai-HuaiKhaKhaeng Wildlife Sanctuaries. At mid-term, this area was estimated to be 2,672ha; again, the difference between this value and that foreseen is most likely due to refinement of the estimation method rather than an actual increase in area affected by project implementation. It is noted that there are other forests that could apply as buffer zones, in Thailand's western forest located around the Thai-Myanmar border. It is said that the project is "not involved at this stage" in those areas, and it should be clarified whether this area is likely to be included by End of Project.

In mangrove areas, the estimates for indirect coverage were the total area of mangrove in Rangong and Phang Nha provinces (63,000ha) foreseen at project start, compared to the mangrove area in the two Districts where the study sites are (19,000ha) at mid-term. It is said that at mid-term "the indirect impact of the project is still not as wide" as the entire provinces, and it should be clarified whether it is anticipated that the indirect figure would extend this far by End of Project.

### *Payment for ecosystem services*

Estimates are given for areas of bamboo forest (2,500ha) and mangrove forest (2,000ha) that were foreseen to be covered by PES schemes, with payment rates of <US\$10/ha/year. At mid-term, both of these measures were reported as showing no quantitative achievement, although some progress in preparation was noted. At the Prachinburi site, negotiations had not yet started but the Kabinburi industrial estate has been identified as a potential private partner in a PES scheme. For the mangrove areas, the SMBT team has made initial contacts in Ranong with soft-shell crab exporters, including hotels and resorts, who buy from crab farmers in the Ban Sam Nak site, and in Phang Nga with large shrimp farms to participate in PES activities in both areas.

It is possible that there will be an active PES scheme in one or more of these areas by EoP, but it is unlikely that all will be in operation unless there is a significant push made in the time remaining.

### *Management practices applied*

The areas foreseen for application of sustainable natural resource management in bamboo forest (2,500ha) and mangrove forest/ marine animal catch (4,800ha) were estimated at 2,842ha and 5,500ha respectively at mid-term. There was no justification provided for the "foreseen" figures, although the bamboo forest value is the same as that for "area directly covered" (as above). The coastal zone figure is composed of 2,500ha of mangrove forest and 3,000ha of marine/ estuarine lagoon areas. The values at mid-term seem to be derived in the same way as those of "area directly covered", i.e. more precise measurement rather than any change in implementation from the project start to mid-term. Activities are described for the two habitat types, including: establishing community committees and networks; mapping of boundaries and natural resources; issuing rules and agreements of community use; reforestation; education; and, in the case of the coastal area, reduced use of chemicals.

It does appear that these management systems will be well applied by EoP.

### *Market transformation*

The products identified for market transformation in this TT are not well-aligned with those of the project and its Outcomes. The unit measures of market impact are US\$ of sales of wild bamboo and of marine products that include "blue and black crabs, shells, etc.", and of "cubic tons" (presumably "metric tonnes") of bamboo residues. The products identified during Inception and implementation, with value added to bamboo fibre and charcoal, and to shrimp, clams and sea holly, are not specified. No bamboo or marine product sales were reported at mid-term, although preparatory measures were described, including CbSE establishment and capacity building, product design & development, and studying/generating product marketing channels.

### *Discussion of indicators*

Overall, there is apparent progress in many of the result areas in the GEF TT. As has been

noted, there is some question whether the changes between start-up and mid-term are the result of implementation or more precise estimation.

These indicators may be prescribed by GEF for assessing the contribution of the project towards their Objective to "measure progress in achieving the impacts and outcomes established at the portfolio level under the biodiversity focal area". However, there does appear to be a need for greater communication and feedback between the UNDP-GEF regional office and the PMU on the language of reporting progress in the indicators.

This is a general issue that appears in many GEF projects and also occurs with the SMBT, the fact that "area affected" is not always straightforward to define or assess. Apart from one sub-Indicator at Objective level, geographical coverage is not a Target for project intervention, and it may also not be a very sensitive or particularly meaningful measure of progress in implementation of the specific project results. In the current SMBT project, for example, it is felt by BEDO that improving the quality of biodiversity conservation within target community areas, rather than increasing the area of community stewardship, is a more realistic target.

#### **4.2.2 Progress towards Project Objective**

The Project Objective is: "To strengthen national and local capacity for mainstreaming biodiversity into the management of ecologically important production landscapes by transforming the supply and market chain of biodiversity based products."

In the Results Framework, there are three indicators at Objective level. These indicators are:

1. The national governance system provides positive incentives and effective business facilitation and marketing support for biodiversity business development.
2. Community-based social enterprises (CbSE) and commercial supply chains for biodiversity-based products increase market share of certified sustainable production, contribution to family incomes, and biodiversity conservation incentives in target areas.
3. Increase in percentage of target landscapes and seascapes under community-based sustainable management or co-management.

Actions towards the first indicator are making reasonable progress, with more expected in the remainder of the project, and some work remaining to be done. For this reason, its progress is judged to be "On target":

- a) Six (6) types of diversity-based products/ services have been developed and sold locally by CbSEs in 4 pilot sites - 4 marine and 2 bamboo-related.
- b) There has been movement towards integration in supply chains, but the products have not yet been distributed to national or export target markets, as progress in developing the products has occurred only recently.

Progress on the second indicator has been steady, with work remaining to be done to achieve the targets. This work is underway.

- a) One out of the six products (Bamboo charcoal soap) has been certified by BEDO under its BioEconomy Mark. Two products (Bamboo charcoal and shrimp paste) are in preparation stage to apply for FDA certificates. They are building production shops to satisfy FDA requirements.
- b) No systematic survey on impact on household income has been conducted so far, but the prospect for increased average incomes appears good. The project plans to conduct the survey 6 months after the products are being sold in target high-value markets (towards the end of the project)

- c) All CbSE groups have indicated in their plans that they will allocate 10% of the net revenue to support conservation and rehabilitation activities. No measureable funds have been allocated yet, since the businesses are in their early development stage. However, in all CbSE communities, conservation awareness is evident and conservation activities supported by other funding sources have been on-going. Surveys to assess this indicator will be conducted in 2015.

The indicator on increasing the area of target landscapes under community management may have been unrealistic; the focus for change has been towards improving the management of existing areas where communities are active. However, the promotion of “Family Forest” under the National Assembly should lead to increase in forest coverage under families' private land, depending on numbers of participating families and areas allocated to establish the family forest. In addition, within the existing target areas the percentage of land area under improved sustainable management should increase in buffer zones of indirect coverage noted in the METT, as there is a spill-over effect of improved conservation status in buffer zones. While improved management is taking place, it seems unlikely that's the Target of a doubling of the area under sustainable management can be reached by EoP.

## UN Development Objectives

It is beyond the scope of this MTR to assess progress towards the development objectives of the UN Development Assistance Framework and the UNDP Country Programme.

UNPAF Outcome 4, CP Outcomes and CPAP Outputs are mentioned at the top of the Results Framework. The project Objective makes an indirect contribution towards these Outcomes, by increasing capacity of national organisations in addressing policy barriers, and by strengthening community networks, in relation to sustainable use of natural resources.

Under the SMBT project, there has been no reporting on progress towards the UNPAF Outcome 4, or the CP Outcomes and CPAP Outputs. This is perhaps to be expected, since the report to UNPAF and CPAP is in UNDP ROAR (Report of Annual Results), which is the corporate outcome level reporting, and does not appear at project level.

Since two of the three indicators are "On target", but with work remaining to help CbSEs develop supply chains to target markets, achieve certification of products, contribute to household incomes and biodiversity conservation, and increase the area covered by successful community bio-business, progress towards the Objective is judged to be Moderately Satisfactory.

*Progress toward the Project Objective is rated as **Moderately Satisfactory**.*

### 4.2.3 Progress towards Outcomes

#### *Component 1: Building national capacity for support of biodiversity business*

##### *Outcome 1.1: Institutional capacity and staff competencies for national support to biodiversity business established.*

There are two indicators under this Outcome:

1. Enabling national policies, laws and regulations introduced by appropriate government departments with respect to:
  - a) land use rights for biodiversity business
  - b) CBSE establishment and operation
  - c) incentives for community-based biodiversity conservation
2. BEDO has the institutional structure and resources required to act as national biodiversity business facility to facilitate development of CbSEs, as measured by the Capacity Scorecard.

The progress towards the first indicator is assessed as “On Target”.

The Biodiversity-based Economy Promotion and Development Act is under the process of public review before submission for Cabinet’s approval. The project is a main driver for this initiative and contributed to the development of the Act in various ways, including outlining key questions for the ToR of the drafting group and sponsoring professional fees for consultants, costs for stakeholder consultations and public hearing processes, and meetings of the working group from BEDO and academics. The funding from the project enabled BEDO to conduct a thorough review of existing policies, their implications and limitations in promoting sustainable bio-businesses in all sectors and to formulate a more comprehensive and well-structured policy framework.

The Act comprises five chapters including: Prelude (Rationale and Definition); Chapter 1: Biodiversity-based Economic Development Board (structure, composition, qualifications and roles); Chapter 2: Measurements (Biodiversity business regulations and registrations and Bio-products certifications/labelling); Chapter 3: Biodiversity listing; Chapter 4: Biodiversity Management in landscapes; and Chapter 5: Penalty. It is expected that the Act will be submitted for Cabinet Approval in January 2015. After the Act is approved, policies of all concerned ministries regarding the promotion of biodiversity-based business will have to follow with appropriate revisions.

Legal issues relating to community-based bio-business include:

### **1. Land use rights for bio-business**

The Act does not directly address land rights for bio-business, so as not to duplicate or contradict existing laws relating to individuals' rights for their own lands, and mechanisms that allow communities temporary permits for land use on public land such as forest areas. There is scope, however, for BEDO to liaise with the Land Department and Forestry Department to clarify or establish acceptable legal conditions to enable the CbSEs to use land specifically for their bio-businesses.

### **2. Community-based Social Enterprise establishment and operation**

There are already rules and regulations allowing interested groups apply for registration as community enterprises at the Office of Agricultural Extension in their district. However, the Act has sections provide criteria for community enterprises to be protected/supported:

Section 18: Businesses which could be registered as bio-businesses / CbSEs must have ALL of the following qualifications:

- (1) Sustainable uses of biodiversity resources that are legally obtained and that are produced/harvested within the country; or that apply local knowledge about sustainable use of biodiversity;
- (2) The business must be safe to human health and also for the biodiversity;
- (3) The business should protect and conserve sources of biodiversity as well as be responsible for its impact on the biodiversity;
- (4) The products must be manufactured/produced in factories /shops which operate in

compliance with related laws and standards.

Section 19: Businesses that meet ALL of the qualifications under Section 18 are entitled to apply for bio-business status with BEDO, which – once approved – will be announced in the Royal Gazette.

Section 21: A registered bio-business is entitled to receive the following benefits and support from BEDO and other concerned authorities:

- (1) Certifying letter from BEDO, which is effective for one year since it is issued;
- (2) Use of BEDO Brand Logo at production shop(s) or outlets or for marketing products;
- (3) Support for development of its bio-products from concerned agencies;
- (4) Support in coordinating with government and private organizations to promote its bio-products, and in establishing marketing networks within and outside the country;
- (5) Support in advertising its products or information useful for product development;
- (6) Once the Cabinet has approved support to any bio-business, concerned government agencies must issue successive rules and regulations to allow that business to get full support/benefits;
- (7) Other relevant support.

### **3. Incentives for community-based biodiversity conservation**

The Act provides conservation incentives by opening up sources of support as outlined in Section 21 for bio-businesses meeting the requirement under Section 18(3) of a conservation component.

BEDO has also started the process to review bio-business promotion laws by engaging a group of experts to conduct an analysis of laws that are enabling or obstructing the promotion of bio-business and to provide recommendations. The next step will be national consultation with concerned agencies and stakeholders.

Progress towards the second indicator is also considered "On target". BEDO's institutional and staff capacities are showing improvement as a result of project-supported activities, although work remains to be done to reach the target.

BEDO's institutional capacity was rated with the use of the UNDP Capacity Development Scorecard, with ratings for 32 criteria in five categories that look at the capacity of the institution as a whole (23 criteria) and of its staff (9 criteria). The baseline scores were established in the Project Document. The Capacity Development Scorecard can be found in **Annex 9**.

For institutional criteria alone, the rating was 42/69 (61%) at baseline and 45.5/69 (66%), representing an increase of 8% from baseline to mid-term. Increases in rating have occurred in areas that are supported by allocations in the project budget. These include increases in: number of and ecosystem coverage by bio-product systems, promotion of bio-products, BEDO's sense of mission and public dialogue.

In terms of staff capacity, BEDO's staff competency scores are rated as 14/27 (52%) at baseline, and 15/27 (56%) at mid-term; this is an increase of 7% over the baseline. BEDO's staff members have participated in relevant training courses and study tours using the project budget. The project's activities are mainstreamed into BEDO's regular workplan, which also allows BEDO's staff to gain skills in supporting CbSEs through their engagement in the implementation of project activities.

Both of these scores are well short of the EoP target of 50% increase in relation to baseline. More concerted action is needed to increase the momentum for improvement of both

institutional and staff capacity. For the institution as a whole, areas in need of improvement include: an expansion of the Partner Network, improved internal monitoring, an expanded information base, and greater public awareness and dialogue. For BEDO staff, there is need for more comprehensive training needs assessments and planning, based on the organizational competency profiles and gaps.

***Outcome 1.2 Collaboration with and capacities in Partner Networks of the Biodiversity Business Facility are strengthened***

There are two Indicators for this Outcome:

1. Through the Partner Network, BEDO has the capacity to assess market needs and demands, and to develop targeted solutions to issues such as sustainable harvesting, waste minimization and reuse, low-impact packaging, etc.
2. Through the Partner Network, local communities and CbSEs have increased access to extension and business development services, as measured by:
  - a) Number of community enterprises receiving support on sustainable harvesting and production
  - b) Number of community enterprises receiving support for biodiversity business development and management
  - c) Number of communities receiving support on biodiversity conservation and rehabilitation

The first Outcome Indicator is rated as “Not on target”. It is our view that there has been little progress in developing a Partner Network of governmental, non-governmental, academic and private sector practitioners that can support BEDO in its work with CbSEs, and that concerted action must be taken if it is to be developed sufficiently before EoP.

Under the project, BEDO has established network links with Raks Thai Foundation (RTF) and Thailand Environmental Institute (TEI) by engaging them in the implementation of activities under Component 2. Through RTF and TEI, collaborative links between BEDO and Bangkok-based and local universities, and with the Royal Forestry Department, were developed to improve CbSE production and packaging to meet high-end consumers. These project partners and limited linkages should be extended much further to provide BEDO with the capacity it needs in assessing market needs and in addressing issues of sustainability.

The Partner Network at national level is established through the Project Advisory Group where concerned agencies/organizations are engaged in discussions to provide technical advice to BEDO on specific issues related to promotion of bio-business, including market assessment, and sustainable harvesting and production methods. Composition of the Advisory Group is not fixed, but is modified according to the issues to be discussed at each meeting. This fluidity means that there is a lack of a consistent, committed partnership to sustain/support BEDO initiatives in the longer run after the project ends.

The Partner Network, as envisaged in the ProDo, is supposed to support BEDO in its mission as a biodiversity business facility with established linkages to a wider research and implementation community beyond the two project service providers, and the specific partners of the project. Such partners should include research and training institutions and private sector enterprises, as well as international conservation organisations and programmes. There remains much work to do to develop a more broadly based, multi-sectoral and sustainable Partner Network by EoP.

The second Outcome Indicator is also rated as "Not on target".

Both RTF and TEI have long experience working on community-based natural resources management and they have employed action-based research in developing CbSEs in all 4 project target communities, in development of 6 bio-product-based CbSEs. Results of these activities have included: a) engaging the communities in bio-diversity surveys and identifying bio products and sustainable production methods; b) developing bio products and strengthening CbSE management and marketing capacity; c) formulating rules and plans to allocate net revenue and human resources from the CbSEs for conservation and rehabilitation of natural resources. There have been regular sessions for target community groups to analyse factors contributing to or constraining their business and conservation activities and to identify better solutions.

Target communities have also received support in resource mobilization and networking skills and have been able to engage support from local government (TAOs). Lately, an MoU between the Royal Forestry Department and BEDO has been signed, outlining that BEDO will support the Forestry Department to conduct researches on product development from forest-based resources (e.g. bamboo chips) and train community groups on sustainable production of bio-products, based on their research findings.

BEDO's National Assembly on Sustainable Conservation and Utilization of Biodiversity Resources has been established to include the four project pilot sites and local communities in another 5 provinces where BEDO has been working, with 322 villages involved across the country. The overall concept of the Assembly is to build cooperation among stakeholders in and near SMBT pilot sites to increase the local communities' access to support on sustainable business development and management and biodiversity conservation and rehabilitation from BEDO and its network.

All this research aims toward support of communities at project target sites, but the Project Document specifies the development of a national research and extension network of collaborators "to provide appropriate applied research and solutions development support, as well as extension services by Government departments, NGO's and the private sector". As with the previous Indicator, there remains much work to do to develop a more broadly based, multi-sectoral and sustainable Partner Network by EoP.

### **Progress toward Component 1**

The project has made progress in building capacity for biodiversity mainstreaming, with more work still needed. Legislation and policies enabling sustainable bio-business are being advanced through the actions of the project, and capacity development of BEDO is progressing (although it should be accelerated). However, development of the Partner Network has lagged behind and needs special efforts if it is to be well-established by EoP. In view of the need for special attention to address these shortcomings, progress towards this Component at Mid-Term is considered Moderately Unsatisfactory.

*Progress toward Component 1 is rated as **Moderately Unsatisfactory**.*

## ***Component 2: Piloting Community-based Social Enterprises in Key Eco-regions***

### ***Outcome 2.1: Community-based sustainable production and in-situ biodiversity conservation and rehabilitation is strengthened***

There are two Indicators for this Outcome:

1. Appropriate methods for community-based monitoring of biodiversity status for data collection.
2. Number and coverage of biodiversity conservation and rehabilitation projects planned and implemented by communities using revenues derived from CbSEs.

The target for the first indicator has been achieved. Systems for monitoring the status of biodiversity have been piloted and adopted at all the project sites. There may be scope for the addition of other specific measurements, including target product offtake rates, to this solid basis at some of the sites once yield limits becomes established (see Outcome 2.2 below).

In all project sites, community-based monitoring of biodiversity status has been established and adopted by the local communities. In Kanchanaburi and Prachinburi, local communities were engaged in biodiversity surveys and identification of monitoring plots in community forest areas. A system to monitor community forest has been introduced to conservation groups who conducted the monitoring every six months. The data are compiled in a computer programme managed by Raks Thai Foundation. In the following year, RTF will install a computer in the community's office and train the community to use the programme and interpret the data by themselves. In Phang Nga and Ranong pilot sites, marine eco-system monitoring tools (e.g. an underwater camera) have been provided to conservation groups in the communities to strengthen their existing monitoring activities based on their traditional knowledge system. This equipment will allow documentary evidence to accompany observations in assessment of the status of the marine environment. The data collected appear appropriate for informing decisions about the levels of resource offtake and protection or rehabilitation actions needed.

Pilot communities rely on forest and marine resources for their livelihoods. Prior to the project, the communities applied traditional knowledge on sustainable use and management of their production bases. In most cases, their conservation activities were supported by government agencies, TAOs or CSR schemes of private sector. Community contributions were mainly in kind. The CbSE concept introduced by the project sets forth a more systematic channel for community's financial contribution to biodiversity conservation. Although all of the CbSEs are still in an early stage, there are plans in place to allocate 10% of the revenue to support conservation activities in various forms, such as tree ordination, rehabilitation of degraded forest areas, engaging school children in biodiversity survey, promoting eco-tourism linked with learning centres on bio-products processing, etc. In some areas, such as mangrove forests, there has been the establishment of seedling nurseries for re-vegetation of degraded areas. In the community forest in Prachinburi, eco-tourism trails have been established, accompanied by vegetation monitoring. Thus, while examples of implementation activities are still relatively few, the plans for conservation action appear to be in place.

### ***Outcome 2.2: Pilot models for community-based Social Enterprises with combined objectives of income generation, sustainable production and biodiversity conservation are established***

There are two Indicators for this Outcome:

1. Indicator 1:
  - a) CbSEs are using maximum sustainable yield as a benchmark to set production levels

- b) Change in marginal revenue per unit of resource use
2. CbSE business plans and management strategies include explicit objectives to allocate net revenues from conservation and rehabilitation

The first Indicator, that CbSEs aim to be using maximum sustainable yield as a bio-production benchmark, is "Not on target" and is far from being achieved. Although regular biodiversity monitoring has been conducted by the communities (noted for the previous Outcome), this monitoring is not aimed at comparing current offtake levels to the theoretical maximum sustainable yield (MSY). The MSY concept, which is applicable to all natural resources but has had its greatest development in fisheries, is not necessarily appropriate for some products, such as ecotourism or even the use of bamboo waste. It is also now considered by most authorities to be a precautionary upper limit to offtake rather than a target harvesting level, especially where there are broader concerns over biodiversity and ecosystem conservation<sup>5</sup>. In most of the four CbSEs sites, the focus up to this point has been on improving the product design and production process, with marketing to markets. Since production is still at a low level, offtake is probably not yet a threat to stocks. However, even if offtake is to be kept well below MSY in setting conservative harvesting limits of bamboo for charcoal, and ultimately, soap production), sea holly for soap, and shrimp/ shellfish for chilli pastes, it remains necessary to assess where the boundary of "overexploitation" lies. The project should seek advice from ecologists with expertise in natural resource exploitation to advise the CbSEs on whether or how the monitoring programme developed in Outcome 2.1 may need to be adjusted to provide additional, appropriate information on indicators of harvesting effort and offtake/ mortality levels as well as the biomass of the target species<sup>6</sup>.

The second Indicator is considered to be "On target". Although at all four project CbSE sites there are no comprehensive business plans yet in place, members of the CbSEs were coached by RTF and TEI to develop simple production and marketing plans. The purpose has been to introduce the production groups to a systematic way of running a business. Despite the lack of real business plans with clear revenue targets, every group has made common agreement that 10% of their CbSE revenue will be allocated to support biodiversity conservation.

***Outcome 2.3: Human and technological capacities in producer communities are strengthened***

There are two Indicators for this Outcome:

1. CbSEs have the necessary skills and tools to produce products which meet the requirement for certification
2. CbSEs have a transparent and participatory governance mechanism

The first Indicator is "On target", but remains in need of further development during the remaining period of the project. CbSEs in four communities have identified viable bio-products and have been trained in skills necessary to improve the product design and quality to meet market demands, and to seek certification by BEDO and FDA.

The BEDO Promotion Brand certification is available to CbSEs and SMEs, who must have:

- been established for at least 1 year
- an internal resource mobilization mechanism (from group members)

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<sup>5</sup> Punt, A. & Smith, A.D.M. (2001) The gospel of maximum sustainable yield in fisheries management: birth, crucifixion and reincarnation. In: Reynolds, J.D., Mace, G.M., Redford, K.H., & Robinson, J.G. (eds.) *Conservation of Exploited Species*. Cambridge University Press, Cambridge, pp.41-66.

<sup>6</sup> FAO (1999) Indicators for sustainable development of marine capture fisheries. *FAO Technical Guidelines for Responsible Fisheries*. No. 8. Food and Agriculture Organisation, Rome, 68p

- a group leader
- a group management system/rules/regulations
- a fair system for profit distribution (among group members)
- followed group's rules, regulations, and systems in its operation.

The Promotion Brand has three criterion areas, concerning local involvement, and environmental/ biodiversity sustainability:

1. Local content – Use of local raw materials and local knowledge in production process
2. Eco-friendly product - Environmentally friendly production process, including sustainable harvesting.
3. "Future of the origin" - Revenue from bio products contributes to supporting conservation and rehabilitation activities.

Certification by the Thai Food and Drug Administration (FDA) is intended to protect consumers' health, and especially to ensure the safety, quality and efficacy of health products. Such products include the food and cosmetics that are produced by CbSEs under the current project. FDA responsibilities relevant to the SMBT project cover the area of "pre-marketing", which involves control of manufacturing facilities, product quality and advertising before product launch to the market. CbSEs must have:

- an established premises for manufacturing of the product
- consistency of product contents, documented through approved analysis
- product labeling and advertising material.

In Kanchanaburi, the CbSE group was established and trained by the Royal Forestry Department (RFD) to make particle board from bamboo chips left over from the production of bamboo baskets and mats, a supplementary source of the community's income. RTF has provided them with machines to process the bamboo waste and a heat press to create the boards, which can then be used to make a variety of products, including containers, picture frames and decorative panels, for sale to visitors to the area. The group has further improved the design of these products, and a new potential product is a biodegradable pot for seedlings to be used by the RFD. Under the MoU between the RFD and BEDO, the RFD has responsibility to conduct research on new forest-based products based on BEDO certification criteria and transfer the knowledge to the CbSEs in the project. Progress on this activity has been delayed by the lack of a secure, high capacity electrical connection to the processing site, but this supply has just now been provided.

In Prachinburi, there were producer groups producing bamboo charcoal, and soap from such charcoal, prior to the project start. The value added by the project has been to help the community develop skills for making a greater variety of bamboo-based charcoal products and to provide them with standard equipment to improve the production process and upgrade quality of the products and their packaging. The Tambon Administrative Organization will also provide the group with a space to set up a production shop, which meets the FDA certification requirements for a manufacturing premises. The bamboo charcoal group was also trained to construct and use more efficient kilns. A charcoal powder making machine was provided to the group by RTF, and the powder was supplied to the soap making group.

For marine-based products, including shrimp-based and clam-based chilli pastes, TEI has engaged consultants from Bangkok-based University to conduct laboratory tests and to improve the ingredient, production, and packaging of the products to meet the FDA content standards. Marketing materials and trademarks reflecting the linkage between the products and their contribution to sustainable biodiversity management have been developed.

CbSEs in the four pilot areas have a clear structure and management procedures, developed through a participatory process. Groups in Kanchanaburi and Prachinburi have been trained

by the Office of Cooperative Auditing on accounting and book keeping and will receive regular auditing/counseling services by the office. In Ranong, accounting procedures were developed by one of the CbSE management committee members, who is a trainer on accounting to all Cooperative groups in the province. The CbSE in Phang Nga had received no formal training on accounting but have prepared simple book keeping system and accounts which are made available to group members upon request.

For all groups, women comprise half of the members and play active roles, especially in the production process. The CbSE in Kanchanaburi is headed by a woman and the proportion of men and women representatives in the management committee is roughly 50:50, as required by the group's rules. In Ranong and Phang Nga pilot sites, although women played a key role in making the products, men take a lead in planning and marketing process. This divergence is due mainly to the patriarchal culture of Muslim communities in the southern coastal region.

## **Progress toward Component 2**

Overall, implementation progress is on course to achieve most of the targets under this Component/ Outcome; one Indicator target has already been achieved, while another is Not on target, but all others are on course. CbSE business and conservation practices in the pilot communities have made good progress, with establishment of community-based biodiversity monitoring and management, progress in product development, production and initial marketing, and capacity built in communities for producing certifiable products, under sound governance arrangements.

*Progress toward Component 2 is rated as **Satisfactory**.*

## **Component 3: Mainstreaming biodiversity business into the supply chain of high-value consumer markets**

### **Outcome 3.1: Demand driven design and branding of high-value products**

There are two Indicators for this Outcome:

1. Mainstreaming of high-value products from biodiversity business is increased through development of appropriate products designs, focused on niche-markets of lifestyle consumers in Thailand and selected export markets, as demonstrated by number of CbSE products successfully designed, branded for introduction into target markets.
2. Quality and value of CbSE products have been increased and meet BEDO certification standard for selected markets

Progress towards the first Indicator is "Not on target". The mainstreaming of high-value products from biodiversity business from pilot sites has been limited, mainly because most products are still in their development stage and have not yet been certified for high-end markets. BEDO has initiated marketing mechanisms/channels for high quality products from the communities under its regular programmes. For example, a MoU was signed with the Modern Trade Alliance, comprising more than 40 traders, which allows for bio-business products to be displayed and sold in their outlets. Other channels include the BEDO shop at the large government complex, TOPS Supermarket, Green Embassy shop, Bangkok Airways in-flight shop, vending machines at BTS stations, and on-line shops. This marketing is a good start in attempting to begin "mainstreaming" the SMBT products, so does represent a positive trend. However, but there has been little study of the market share achieved by SMBT products in these outlets, and it is not clear that they represent the "high-end" lifestyle consumers that are the target for the Outcome. Certainly, the export market has not yet been

tapped into.

Design of the CbSEs' products was not clearly based on thorough analysis of demand in high-end markets. Although efforts have been made to improve the design and quality of the products, the work is more driven by the technology or in-house know-how of service providers/ consultants. For example, the design of furniture from bamboo particles depends very much on capacity of existing machines/ technology at the RFD. Improving marine-based food products in the southern pilot sites engages both food science and product design for niche market experts but it is still very much a work in progress. An alternative and potentially lucrative market for bamboo products, producing biodegradable pots for seedlings for the RFD is now a possibility, but it would be going in a different direction. All these activities are more the result of contingent events than strategic planning.

The second Indicator is judged to be "On target". Two types of CbSE products , (i.e.. bamboo soaps and seafood chili pastes) are in the process of acquiring certification under the FDA and Community Product Industrial standard. Steps are being taken to achieve certification for the other products.

### ***Outcome 3.2: Reduction of transaction costs through transformation in the supply chain***

There is one Indicator for this Outcome:

- Transformation of supply chains have been demonstrated in relation to products from the target regions, as demonstrated by optimum of alternative supply chains provided.

This Indicator is "On target" but in its very early stages. Most products are just beginning to enter markets. In most cases, they are sold locally or through existing networks, such as government agencies in their annual fairs/ exhibitions and outlet shops, local hotels for high-end tourists, and local shops. BEDO has also set up online shops for local products.

As and when there is wider marketing of products, with longer supply chains reaching higher end markets, attention should focus on development and selection of supply chains with the lowest transaction costs.

### ***Outcome 3.3: Increase investment and subsidy options for Community-based Social Enterprises***

There are three Indicators for this Outcome:

1. Appropriate investment options for pilot CbSE's have been identified, as demonstrated by:
  - a) No.of dedicated investment windows in public and private sector
  - b) No.of non-profit social and environmental investment funds
2. Subsidies raised for pilot CbSE's in relation to:
  - Government subsidies
  - CSR
  - NGO support
3. No. of projects from increased CSR collaborations on CbSE and biodiversity conservation in target areas

Progress towards the first Indicator is "Not on target". There has been no systematic study to identify potential investment options/ windows to support pilot CbSEs, and no efforts made to develop such opportunities. Such efforts should be made to ensure achievement of the target by EoP and sustainability of the CbSEs in the longer term.

The second Indicator is "On target". There has been an increase in government subsidy (in cash and in kind) to support bio-business as well as conservation activities of CbSEs in pilot sites. For example, Lum Sum TAO in Kanchanaburi provides THB 40,000 (approximately US\$ 1,300) to improve bamboo particle products of the CbSE while in Prachinburi, Dong Bung TAO has provided a space in its new building to establish a production shop for the bamboo charcoal soap group. The Provincial Forestry Office has also allocated a budget to develop bike-routes in the community forest as part of the CbSE's eco-tourism project. In Ranong, support from the TAO was less clear but the CbSE was established under the umbrella of the Community Learning Network Center, which comprises 40 activity groups. All subsidies from external sources have to come through this Center to avoid overlapping and to build synergy in the support. Through this channel, the shrimp paste and eco-tourism CbSE has been linked to the Annual Family Camping Event to be held in February 2015 by the Kaper District. It is expected to have thousands of family participating and the CbSE will be benefiting from its services to the participants, which include diving, rafting, boat racing, and freshly cooked seafood. In the Phang Nga pilot site, the CbSE received subsidy from TAO as well as the World Vision Foundation to support its conservation activities.

In terms of investment options and loan opportunity from the private sector, however, very little progress has been made. There is no clear plan to engage private sector in the development of business plan or in providing low-interest loan schemes to the CbSEs. The project needs to put more efforts to engage loan schemes from private sector, e.g. commercial banks to enhance investment options for the CbSEs, especially in entering high value consumer markets.

The third Indicator is also "On target". As noted in **Section 4.2.1** above, in the discussion of the GEF Tracking Tool in relation to PES schemes, the Kabinburi industrial estate at the Prachinburi bamboo site has been identified as a potential private sector partner in a PES scheme, and the mangrove areas there have been initial contacts made in Ranong with soft-shell crab exporters and in Phang Nga with large shrimp farms, both to participate in PES activities. These initiatives demonstrate the potential for such collaboration, although much more effort should be made to explore and extend these opportunities to these and other sites before EoP.

#### ***Outcome 3.4: Strengthened awareness about commercial potentials in biodiversity business***

There is one Indicator for this Outcome:

- Types of IEC<sup>7</sup> materials on the potential of CbSE for biodiversity business for general public

The progress for this Indicator is "On target". Most of the activities under this outcome are implemented as part of BEDO's advocacy programme. These include a VTR on sustainable biodiversity business, which was produced and presented in launching ceremony of the SMBT project and at BEDO's annual EXPO. BEDO's mandates and programmes of services have been introduced to a wider public through three television scoops and newspapers. Other IEC materials including websites, quarterly BEDO magazines, posters, exhibition sets have also been developed as part of BEDO's advocacy programme.

The Biodiversity Economy, or BioEconomy, Academy (BEA) was developed in a UNDP-supported collaborative project between BEDO and Rouse, a global consultancy firm specialising in the creation and management of intellectual property (IP) rights. The BEA, co-located with Rouse's offices in Bangkok, supports the use within Thailand of intellectual

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<sup>7</sup> IEC = Information, Education, and Communication

property, environmental legal tools such as the Convention on Biological Diversity, and patents to protect and utilise in a sustainable manner the country's bio-resources and traditional knowledge. It also provides training and technical assistance to local communities, with training and awareness-raising workshops across the country, and is to house a permanent exhibition on Thai indigenous products and traditional knowledge. In addition, there is as a biodiversity law library making material available on the value of biodiversity and the steps that community enterprises can take to protect it.

Although most of the IED materials described here are not specific to the SMBT project, they do help to raise public awareness on the commercial potentials of CbSE for biodiversity business among generic public, which in turn benefits CbSEs under the project.

### **Progress toward Component 3**

The Outcome areas under this Component have a mixed level of delivery, with some on target and others still in early stages. For this reason, progress is rated as Moderately Unsatisfactory.

*Progress toward Component 3 is rated as **Moderately Unsatisfactory**.*

### **Overall progress towards Project Outcomes**

An overall rating for progress towards all Project Outcomes is a summation of the progress made on Objective and individual Components. With ratings of Moderately Satisfactory for Objective Indicators and Moderately Unsatisfactory, Satisfactory and Moderately Unsatisfactory for the three Components, the overall rating is Moderately Satisfactory.

*Progress toward Project Outcomes is rated as **Moderately Satisfactory**.*

#### **4.2.4 Contribution to beneficial development effects**

##### ***Income generation***

The results of the project specifically include income generation of community members as a target. Although there has been no specific measurement of this Indicator, there has been progress in the manufacture and sales of bio-products, and thus an apparent addition to household income generation, even by project Mid-term.

##### ***Gender perspective***

The ProDoc aims to assure gender mainstreaming in the Project, with a Target in Outcome 2.3 aimed at gender equity in CbSE governance. Indeed, there is considerable participation by women in project activities, and in decision-making roles. Women comprise at least half of the members and play active roles in most of the groups, especially in production processes. The CbSE in Kanchanaburi is headed by the village head-woman and a group rule specifies that the representation of men and women in the management committee is 50:50. In Ranong and Phang Nga pilot sites, Muslim culture predominates, and while women are strongly represented in making the products and earning income, men take a lead in planning and marketing process. The project team has sought ways to address the latter point, by encouraging women to speak up in planning discussions.

As noted in the discussion of project design (Section 4.1.1), there was no specific target for

gender equity within the BEDO organization in the ProDoc. However, since 1989 the Royal Thai Government has had a policy on gender equality and the empowerment of women, with an Office of Women's Affairs and Family Development in the Ministry of Social Development and Human Security<sup>8</sup>. A Women's Development Plan must be developed as a part of each National Economic and Social Development Plan, and each Ministry should appoint a Chief Gender Executive Officer, with a Gender Focal Point in each agency.

### *Improved governance*

Governance aspects of community organisation have received considerable attention by the project Partners. Decision-making systems for the CbSEs and over the management of conservation activities in the target forests and mangrove areas are the key focus of action, and equitable systems of decision-making are enshrined in CbSE guiding rules and regulations.

*Contribution to beneficial development effects is rated as Satisfactory.*

## **4.3 Project implementation and adaptive management**

Adaptive management has been defined as "accommodating changes in project design and implementation to changes in context (implementation environment), if any, with the overall objective of meeting project goals and objectives"<sup>9</sup>. Knowledge of the state of the implementation environment will come from project monitoring and evaluation, from information sources provided by external evaluation or from within the project.

### **4.3.1 Management Arrangements**

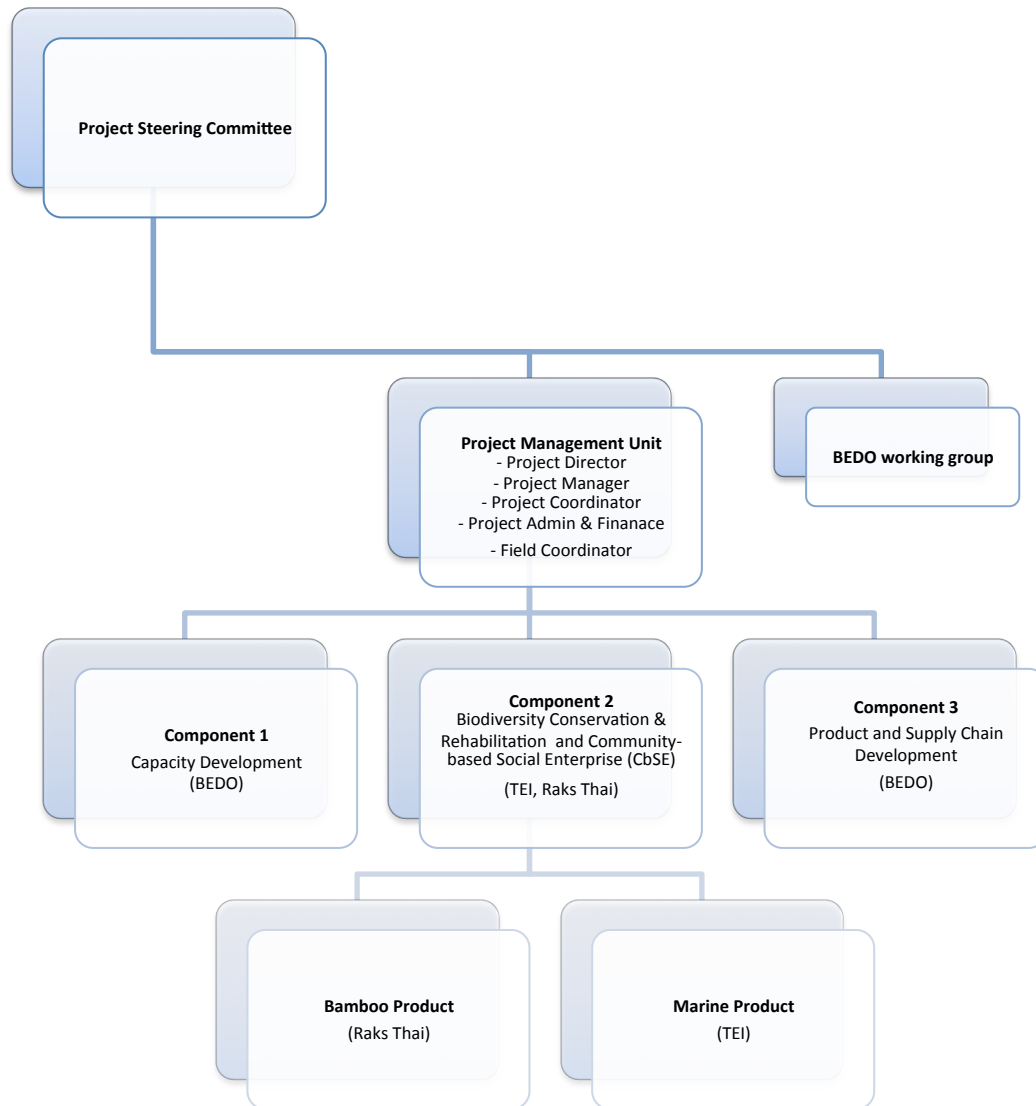
#### *Overall project management*

In the ProDoc, it was stated that project management arrangements would follow the NIM (National Implementation) modality, which is the UNDP format for a Program Based Approach (PBA) on donor harmonization and government ownership. Under the NIM, the RTG exercises full ownership of a partnership that includes all relevant stakeholders in a common effort. BEDO is the Implementing Partner. The Project Management Structure is shown in Figure 1. It is modified structure as proposed in the ProDoc, with a roles for the TAG replaced with a BEDO Advisory Group, and Task Forces replaced by the project Partners, RTF and TEI. The Project Board has been re-branded "Project Steering Committee".

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<sup>8</sup> Kusakabe, K. (2005) Gender mainstreaming in government offices in Thailand, Cambodia, and Laos: Perspectives from below. *Gender & Development*, 13:2, 46-56.

<sup>9</sup> GEF/C24/Inf.5 2004. *GEF Project Cycle Update: Clarification of Policies and Procedures for Project Amendments and Drop/Cancellations*. Washington, D.C. October 2004; GEF (2005) OPS3: *Progressing toward Environmental Results. Third Overall Performance Study of the GEF*. ICF Consulting & Office of Monitoring and Evaluation of the Global Environment Facility, Washington, D.C. June 2005



**Figure 1. Current Project Management Structure**  
(from the Inception Report)

#### *Quality of execution by Implementing Partner*

The PMU based in BEDO has done a thorough and effective job of project management and administration since the inception phase, with regular monitoring of the work of the Partner organizations and close coordination with the project support provided by the UNDP CO.

*Project management by the Implementing Partner is rated as **Satisfactory**.*

### ***Quality of support provided by UNDP***

UNDP is the responsible GEF Agency for the project, and carries general backstopping and oversight responsibilities. The Project Document outlines UNDP's responsibilities on management arrangements and the section on monitoring and evaluation. The UNDP CO's Program Officer has fulfilled the Project Assurance role. As part of the assurance function, UNDP arranged the Mid-Term Review of the project. It has supported the Project Board/Steering Committee in carrying out its objectives and independent project oversight and monitoring functions.

UNDP has provided supervision and backstopping to the Project and project performance is a result of it, and a commitment to frequent monitoring and communication with ministries will maintain the momentum of implementation progress.

*Quality of support provided by UNDP is rated as **Satisfactory**.*

### **4.3.2 Work planning**

The approach to management of work planning followed the NIM Guidelines. This management approach is discussed in more detail below in **Section 5.1.4**.

Work planning was accomplished by the Project Team, comprised of the Project Management Unit, Partners and UNDP CO, on an annual schedule, using as a basis the original Project Workplan. Project meetings were held each year to assess progress and to confirm or adjust the workplans for the upcoming year.

### ***Use of Results Framework as a management tool***

Results-based adaptive management was practiced with work planning, in that adjustments to upcoming plans were made based on performance against existing milestones, which were in turn based on the Results Framework (see below **Section 4.3.4**). If necessary, and according to any obstacles met, there was discussion on approaches to addressing challenges and re-setting quarterly or annual milestones. If higher-level changes were needed, such as changes to Project targets, they were referred to the PB for discussion and approval.

The SMBT Project management and its Board have made decisions on project design based on information gained during monitoring of project progress. The project document itself has not been changed, but some changes to the SRF were proposed during inception. These changes involved the grouping together of some SRF elements at Output and, particularly, Activity levels. The changes were apparently approved by the Project Board and enacted as they appear in Quarterly Reports. The changes appeared to streamline and improve the delivery of achievable results and to demonstrate a degree of adaptive management.

### ***Delays in start-up and implementation***

It is very commonly the case with UNDP-GEF projects that there are delays in the early stages, generally involved with the establishment of the PMU, coordinating and convening initial meetings of the Project Steering Committee/ Project Board, contracting of any project consultants/ implementation partners, and the conduct of project Inception. Implementation and expenditure typically gather momentum towards and beyond mid-term.

The SMBT project experienced similar early problems in project start-up. According to QPRs and PIRs, the start date took some time to follow the process required for National Implementation to get endorsement of the GEF Project Document from the RGT Cabinet. Since all GEF projects include elements on co-financing from Implementing Partners, they need cabinet approval before the agency can sign on any agreement; this process can take 3-6 months depending on how engaged and active the IP is in promoting the ProDoc to the national cabinet. In the case of the SMBT Project, BEDO managed to facilitate the process within 3 months, which in UNDP experience is apparently rather quick. This approval was achieved in December 2011.

Processes of recruitment and appointment of the National Project Manager and PMU took until March and June 2012 respectively. The Inception workshop took place in June 2012, with its recommendations of replacing the proposed Technical Advisory Group with a Working Group implemented in September 2012, and of contracting national NGOs RTF and TEI as implementing partners also completed in September. The first Project Steering Committee meeting took place in August and the second was in December 2012. Although some site visits and consultations by the PMU had occurred during 2012, with further site visits by RTF and TEI in November, most implementation began in early 2013.

The first Project Manager resigned in December 2012, and recruitment of the replacement took until May 2013. This second PM also resigned (promptly), but it was possible to replace him immediately with a BEDO adviser, who has continued in the PM role to date. Although this change in PM did introduce some additional delays to project administration, the PMU was able to cover most of his duties, and implementation by the partners proceeded more or less on schedule. There has been no more disruption of project staffing and implementation is now well underway.

With the delays noted, disbursement on project activities was apparently slow in the early stages but has now been accelerated, so that the project now appears on course in terms of expenditure.

The delays in implementation of almost the whole of 2012 have prompted the proposal of a time extension to allow complete implementation of activities. Although there are financial resources that remain unspent and that could be used for implementation of Outcomes 1-3, there would be project management and M&E costs, which could well add to project budget requirements. The possible time extension, and other aspects of a project Exit Strategy are discussed below in **Section 4.4.2**.

*Work Planning is rated as Satisfactory.*

#### **4.3.3 Finance and co-finance**

The GEF funding commitment to the project at the outset amounts to a grant of US 1,940,000. Co-finance commitments were provided by BEDO, with in-kind contribution of human and financial resources over the course of the project period proposed to total US\$ 5,518,000.

A breakdown of financing commitments and amounts materialized at the time of this MTR is provided in Table 2 below. The ratio of GEF funding to co-financing commitment is 1:2.84.

The UNDP-GEF funding reported<sup>10</sup> as disbursed by September 2014 was US\$ 1,045,490, which is some 54% of the project budget commitment. BEDO co-financing materialized to date, according to information provided by the PMU, is estimated at US\$ 4,550,851, or 83% of the original proposed co-financing. If the current rate of BEDO in-kind contribution continues, the co-financing target will be well exceeded.

**Table 2. Project co-financing (in US\$)**

Sources of Co-financing	Name of Co-financer	Type of Co-financing	Amount Confirmed at CEO endorsement / approval	Actual Amount Materialized at Midterm	Amount % of Expected Amount
GEF	GEF	Grant	1,940,000	1,045,490	53.9%
National Government	BEDO	In-kind contribution	5,518,000	4,550,851	82.5%
TOTAL Project funds			7,458,000	5,596,341	75.0%
Ratio Co-finance: GEF funds			2.84	4.35	

Source: Project Document; Quarterly Project Report July-September 2014; data supplied by PMU

Financial transactions are apparently recorded in the financial accounting system, according to standard NIM procedures that should allow for proper control, reporting and monitoring of expenditure. An independent review<sup>11</sup> of the financial management capacity at BEDO was undertaken in 2012; it noted that BEDO internal audits had indicated "certain internal control weakness noted by the auditors from the audit of BEDO's other projects". However, they also noted that BEDO's audits "monitor and control overall operations, covering funds supported by other parties" and "all audit findings need to be reported to Board of BEDO to acknowledge and approve for actions". The report recommends that such remedial actions be undertaken, and was confident that procedures would be operated correctly in future.

A program implementing plan between UNDP, BEDO and the implementing partners (RTF and TEI), including funds transfer arrangements, was agreed. According to the implementing partners, this financial management has operated efficiently.

The financial reporting on Quarterly Project Reports and Project Implementation Reviews do not provide a detailed breakdown against project components, to allow the MTR team to assess expenditure against Outcomes or such categories as M&E and Administration. The PIR for 2014, however, does report that financial procedures are acceptable. It would be helpful, indeed we feel essential, for greater detail in financial accounting to be provided in future QPRs. The project is due to have an audit once the expenditures reach 70% of the project budget. For SMBT, this audit process took place in December 2014, with document review and the audit team visiting BEDO in Jan 2015. The audit report is expected by early Feb 2015.

It appears safe to conclude that project funds have been managed efficiently, and cost-effectively. As discussed above, there are good financial management practices in place.

<sup>10</sup> Quarterly Project Progress Report, 15 October 2014.

<sup>11</sup> KPMG (2012) *Financial management capacity assessment report*. Biodiversity-based Economy Development Office (BEDO), 6 July 2012.

*Finance and co-finance are rated as **Satisfactory**.*

#### **4.3.4 Project-level monitoring and evaluation systems**

##### *Results-based management process*

The ProDoc emphasized the importance of Results-Based Management, and included with the Results Framework a plan for measurement of project indicators, with timings (annual, mid-term, end of project) indicated for each.

Reporting of the project progress has used the framework of the Results Framework in its Quarterly Reports (see below **Section 4.3.6**), which are prepared by the Project Manager and shared with the PB, based on information supplied by the project Partners, as well as independently gathered observations. The Quarterly Reports did report on progress, although often the narrative is more about Outputs and Activities, i.e. things being done, than achievement of Outcomes themselves.

Annual Project Implementation Reviews (PIRs), using much of the same information, have been submitted to the GEF. The PIRs are focussed specifically on the Outcome level. In addition, the UNDP CO and the UNDP RCU have conducted periodic field visits to assess project progress, as have members of the PMU.

As part of the M&E plan, external evaluations are scheduled for project mid-term and end. A mid-term review (MTR) has now been conducted. Towards the end of the project (three months before termination of project), a terminal evaluation should be conducted, again contracting independent consultants. The final evaluation will analyse the delivery of the project results as targeted in the project plan. It will assess impact, sustainability, efficiency and effectiveness of the project results. It also noted lessons learned and provide recommendation for follow-up activities.

The monitoring tools used in this process have involved all the key project partners, using the most up-to-date existing information.

The financial allocation of GEF funds to M&E in the ProDoc budget was US\$ 44,000, or some 2.3% of the total. This is somewhat low compared to international best practice, which some donors feel should be as much as 10% of overall budgets (Norad official, pers. comm.). Nevertheless, these resources appear to have been managed and allocated effectively.

##### **Overall assessment of monitoring systems**

The application of results-based monitoring by the Project Team has been thorough.

*Monitoring systems are rated as **Satisfactory**.*

##### *Risk management*

The ProDoc provided a risk assessment, which looked at threats and barriers to project implementation and laid the basis for a risk identification and mitigation strategy. APR/PIRs have similarly identified similar risks. The risks identified by these documents appear to be comprehensive, with appropriate ratings applied.

A discussion of risks is part of the quarterly Project Progress Report. They are updated regularly by the Project Manager to facilitate tracking and resolution of potential problems or requests for changes by Project Management and, if necessary, the approval of the PB.

There have been 11 Quarterly Project Reports to date, and two PIRs, and they show evidence of good risk identification and significant efforts to mitigate those risks.

An example of a strong risk identified was the disruption caused by the political uncertainty and changes in personnel caused by the change of government in 2014. This caused closure of the BEDO offices in Bangkok for some time, and the replacement of government officials at District and Tambon level, which affected relationships and understanding that had been developed at these local levels. The project management responded to this risk by re-focussing implementation activities at the grass-roots level, which was less affected by the political changes.

*Risk management is rated as **Satisfactory**.*

#### 4.3.5 Stakeholder engagement

In the design phase (as noted in **Section 4.1.1** above), the ProDoc described substantial consultation with stakeholders at national, provincial, district, commune and village levels, and the Inception Report noted further consultation activities of a wide range of similar stakeholders.

This inclusive approach has continued during implementation, with the partnerships that have been developed between the project and different government agencies at provincial level and with government and community groups at the local level. University groups and relevant government agencies have been brought in to provide direct technical support to community activities. There has been substantial engagement with community groups from early stages of project implementation.

*Stakeholder inclusion is rated as **Satisfactory**.*

#### 4.3.6 Reporting

The M&E plan is being implemented as part of a system of reporting and approval as envisioned in the ProDoc, and refined and clarified in the Inception Report, in line with UNDP-GEF policies.

Quarterly Progress Reports are prepared each quarter and PIRs at the end of each year, according to the Atlas standard format, covering:

- progress of implementation:
  - progress towards outcomes/ outputs of the Project,
  - lessons learned;
- project implementation challenges
  - risks and issues, with actions taken
  - financial status summary.

The Quarterly Progress Report (QPR) is prepared by the Project Manager and Project Coordinator, using information supplied by the project Partners, and is submitted by the Project Manager to the Project Board/ PSC. The annual Project Implementation Review (PIR), also prepared in part by the Project Manager as well as the UNDP CO, is shared with the Project Board. Project Management ensure that the UNDP CO receives quarterly progress reports providing updates on the status of planned activities, the status of the overall project schedule, the achievement of milestones, and an outline of the activities and milestones planned for the following quarter.

The quality of the Quarterly Reports has improved over the course of project implementation. Reports in 2012 were more like implementation summaries; a new format was introduced in January 2013, with more information and clearer linkage to the Outcomes in the Results Framework. As noted above in **Section 4.3.4**, reporting was largely on the Activity and Output level, rather than progress towards Outcome Indicator Targets. And, as noted above in **Section 4.3.4**, financial reporting was of financial commitment and expenditure totals, with no breakdown against Components/ Outcomes. Technical and financial reporting should provide more detail at Outcome level in future, to allow more effective monitoring of progress.

From the quarterly reports, the UNDP CO has prepared Quarterly Operational Reports which have been forwarded to the UNDP-GEF Regional Coordination Unit, and in turn submitted to UNDP HQ and to the GEF. The major findings and observations of all these reports have been given in annual reports, the Project Implementation Review (PIR), which is also submitted by the Project Team to the UNDP-CO, UNDP Regional Coordination Unit, and UNDP HQ for review and official comments, followed by final submission to the GEF. The PIRs report progress at the Outcome level. All key reports were presented to PB/PSC members ahead of their half-yearly meetings and through this means, the key national ministries and national government has been kept abreast of the Project's implementation progress.

It appears that, overall, the progress of implementation and management issues have been well reported by the project management to the PSC and to UNDP, with lessons learned shared and taken on board by the project partners. PSC meetings have been presented with issues needing decisions, and such decisions have been taken.

*Reporting is rated as Satisfactory.*

#### 4.3.7 Communication

The project has made concerted efforts to communicate its results to a wider regional and national audience via radio and television brief spots. A web presence has also been developed, to spread awareness of the project but also bio-products more widely, as part of BEDO's mission. There remains a need for continued and extended communication.

*Communication is rated as Moderately Satisfactory.*

## 4.4 Sustainability of project outcomes

### 4.4.1 Risks to sustainability

It is early, at project mid-term, for an assessment of sustainability prospects but it is important to consider the risks facing project outcomes and possible actions to deal with them. The approach of the project to risk management is discussed in **Section 4.3.4** above, and the risks to sustainability are discussed below.

#### *Financial risks*

According to the ProDoc, financial sustainability will be achieved via better management of revolving funds available at the community level and a more systematic mechanism for fund allocation to conservation. At the time of the mid-term review, such a management system/mechanism has not yet been developed or strengthened in pilot communities. For this reason, a financial sustainability risk exists.

An additional financial risk is that the developed products may not reach sufficient levels of sales to cover costs and achieve financial self-sufficiency for the CbSEs. As noted above, there should be an examination of the markets for products, with possible adjustment of either the products or the proposed markets, or both,

It is the case that pilot communities have demonstrated the ability to attract subsidies from external agencies and CSR schemes. In addition, most government agencies tend to prefer working with communities with demonstrable capacity and to build upon their existing programmes/activities, rather than reinventing the wheel. Both of these avenues of potential external support should provide a funding stream after the end of project support, but there is need to correctly identify and develop these prospects during the project, as well as consolidating the internal financial management mechanisms.

#### *Socio-economic risks*

The project design recognises the importance of inclusion and empowerment of stakeholders at all levels, so there has been attention to social risks during implementation. Gender equity principles are integrated into the planning and implementation of project activities especially in setting up CbSEs. Active participation of the stakeholders in all pilot sites has been encouraged, and there is evidence of the engagement of participants in the decision-making processes. These achievements, if continued and extended, should contribute to the social sustainability of their CbSEs in the longer term.

#### *Institutional framework and governance risks*

BEDO is a fast growing organization in terms of its staffing and services. Its mandate is consistent with the project objectives. The SMBT project activities are becoming increasingly mainstreamed with BEDO's regular workplan and implemented side-by-side with BEDO activities. This process must be developed more extensively so that the CbSEs established under the project will continue to get technical and institutional support after the end of the project.

The CbSE concept is also reinforced by the Sufficiency Economy philosophy, which underlies national as well as sectoral development policies.

### ***Environmental risks***

This project has a strong theme of environmental protection, so there are few environmental impacts created by project actions themselves.

The only environmental risks that appeared to the MTR team were that, in some of the coastal areas, there was the potential of pollution from commercial shrimp farms, and from palm oil plantations on the mainland. These risks were in no way resulting from project activities, but could pose a long term threat to the sustainability of outcomes. With the high degree of environmental awareness of community members, it is expected that any such pollution would be immediately identified, and it would be reported to District authorities for action. For this reason, the environmental risk is considered to be low.

Financial, socio-economic, institutional and environmental risks to sustainability exist; most of these have been identified and are being addressed, with need for continued attention. Overall, the sustainability of project Outcomes is considered to be Moderately Likely.

*Sustainability of project Outcomes is rated as **Moderately Likely**.*

#### **4.4.2 Approaches for improving sustainability**

The project team should make a directed effort, beginning now, to develop a Sustainability Plan and Exit Strategy that propose specific actions to promote sustainability of all Outcome areas beyond the end of the project period. Such a plan should include reduction of the risks identified in the preceding section, with specific actions that could be taken, and should be initiated at the earliest opportunity during the remainder of the project. The Sustainability Plan and Exit Strategy should include actions to be taken both at the field and national levels, based on the risks identified.

#### ***Exit Strategy***

During the first half of the project, the focus was on developing capacity of CbSEs in pilot sites, where RTF and TEI took a lead together with field-based BEDO coordinators. BEDO staff members from central level have not been closely engaged in field level activities. Although RTF and TEI are effective in mobilising communities for conservation and rehabilitation activities, they are not experts on CbSEs promotion.

In order to prepare the way for a smooth transition to the post-project situation, the strategy for the remaining period of project implementation should focus on creating closer links between field-level work (Component 2) with BEDO's established high-value markets (Component 3), and by building capacity in BEDO to carry on implementation (Component 1). Firstly, it is essential to ensure that pilot CbSEs receive necessary support to improve and sustain their bio-business after the end of the project, and secondly there should be, if at all possible, the integration of field level project activities into BEDO's 2015 workplan. These actions should be supplemented by the mainstreaming of activities under Components 2 and 3 into regular programmes of relevant units in BEDO. This process has already taken begun, but it should be accelerated.

The project outcomes could be further sustained by expanding the program to other communities in the focal regions and more broadly in the country. This scaling up could be achieved effectively with partner organisations, as in the current project, or with additional

BEDO staff, or both. It is important to consider where funding for such expansion would come from, directly from BEDO or through a new project. Draft plans and budget estimates would be needed.

### *Extension and no-extension scenarios*

There is a strong case for an extension of the project implementation period for an additional year, given that time taken for approval, personnel and partner recruitment and Inception delayed effective start-up by some 12 months (see above **Section 4.3.2**) to early 2013. The timing of interventions is to some extent sequential, in that many of the Outcome areas in Component 3 are dependent on the establishment of CbSEs and development of bio-business products under Component 2. It was always planned that many activities under Component 3 would take place during and after the third year of implementation, which would be 2015. If the project is terminated before implementation of Component 3 can really get underway, it will threaten the achievement of its Outcome Targets, as well as satisfactory implementation of Components 1 and 2.

As noted in **Section 4.3.3** above, a one-year time extension need not have serious financial implications. Since full implementation was delayed by a year, so was most expenditure on implementation. For this reason, a no-cost extension would be possible.

It is the case, apparently, that GEF has instituted new rules to discourage the granting of extensions. If a no-extension scenario is to be followed, and there is to be no additional time to implement fully the project Components, the project team should focus on priority areas in the limited time available. There are gaps that BEDO could fill to advance the sustainable mainstreaming of bio-business in the remaining period of the project:

1. Accelerating the certifying process for pilot CbSEs products, especially those under BEDO's brands.
2. Developing BEDO's staff capacity based on a systematic needs assessment.
3. Building a roster/database of potential funders for CbSEs from government sector (national and local), private sector, NGOs, which includes information on the organisations, their respective mandates, funds available, specific purpose of the funds, channels/requirements to access the funds, and contact details.
4. Seeking and agreeing more MoUs, similar to that signed with the RFD last year, with other partners engaged in this project to sustain mutual support under BEDO's regular programmes after the project ends.

## 5 Conclusions and Recommendations

### 5.1 Conclusions and summary of findings

Overall, the project rating is Moderately Satisfactory. It has worked through the mandate of BEDO, demonstrating CbSEs are capable of producing bio-products. Lessons are being learned about the need for considerable investment in building capacity and governance at local level, to change the mindset of local people from sustainable use of bio-products as a supplement to livelihoods based primarily on their agricultural, forestry or fishing to bio-products as a mainstream livelihood activity.

The project has made good progress on creating enabling conditions, through development of necessary legislation, regulations and policy, building capacity of the main government agency BEDO and initiating development of a Partner Network. It has established pilot CbSEs and has begun work on the supply chain to markets. Through all this effort, there is the opportunity for lessons to be learned by EoP, for application to further work.

Progress has been slow in some areas and needs critical attention if targets are to be achieved. These include:

- Capacity building in BEDO – Need for greater momentum and a Training Needs Analysis
- Partner Networks – inclusion of more academic institutions and private sector partners on a nationwide basis to provide support outside BEDOB for CbSEs; a network of communities is not enough on its own
- Estimation of sustainable yield limits and incorporation of offtake and stock assessment into the community monitoring programme.
- Market research and strategies for reaching high-end markets with community bio-products.
- Identification and development of investment opportunities.

A no-cost extension of one year has been proposed to make up for lost time at start-up and is supported. If no extension is allowed by GEF, a selection of high-priority actions must be made.

#### 5.1.1 Project design

##### *Strengths*

Project identification and assumptions were largely sound, although the assumption that communities could develop successful, sustainable enterprises, penetrating high-end markets with their products in just four years was overly ambitious. It is perhaps better to consider the project as an experiment, with the result an analysis of the elements that would lead to successful CbSEs. The project design was relevant to international and national priorities. Gender issues addressed in Component 2

##### *Weaknesses*

The Results Framework has some minor flaws, making it difficult to report to, and to measure progress against targets. Future project design exercises should ensure closer alignment of project results frameworks with the higher level goals of UNPAF and CPAP. Gender issues were not addressed specifically in Component 1 in relation to BEDO capacity, although RGT has gender policies for government agencies.

## 5.1.2 Progress in implementation of Outcomes

### *Strengths*

#### **Project Objective**

CbSEs have developed six bio-products, with more expected. Certification processes have begun for BEDO and FDA standards. All CbSEs have indicated a commitment to allocate 10% of net revenue to conservation, with awareness and activities underway.

#### **Component 1**

##### Outcome 1.1

The process for enactment of the Biodiversity-based Economy Promotion and Development Act is well underway, and the review of bio-business promotion laws also started. There has been some increase in BEDO institutional and staff capacity.

##### Outcome 1.2

Some partnership links have been developed with universities and the Royal Forestry Department, and with a national network of communities. Target communities are developing capacity to form their own links.

#### **Component 2**

##### Outcome 2.1

Biodiversity monitoring by target communities is in place, although implementation is still at an early stage. Plans are in place for biodiversity and rehabilitation projects.

##### Outcome 2.2

Business/ management plans are in development, in which there are allocations of net revenues for conservation

##### Outcome 2.3

CbSEs have begun making bio-products, the processes for certification are in progress, and transparent and participatory governance mechanisms are being established; gender balance is strong.

#### **Component 3**

##### Outcome 3.3

Subsidies to some CbSEs are being provided by TAOs

##### Outcome 3.4

Awareness of bio-business has been strengthened through television and newspaper coverage, BEDO publications and exhibitions, and the BioEconomy Academy.

### *Weaknesses*

#### **Project Objective**

Products have not yet entered national and international markets, and improvement of household incomes is not yet evident.

#### **Component 1**

##### Outcome 1.1

Progress in BEDO capacity building is slow and needs more impetus, including a Training Needs Assessment and follow-up action.

##### Outcome 1.2

Some partnerships have been developed between project NGOs and the Assembly network

of communities, but there has been little progress on a wider Partner Network of expertise and funding to support community bio-business. Much more attention needed.

## **Component 2**

### **Outcome 2.2**

There has been no estimation of MSY as a benchmark to set conservative, sustainable offtake levels, and no attempts to estimate revenue cost ratios. There should be effort to get this back on track

## **Component 3**

### **Outcome 3.1**

This Outcome is only partially on target. Most products are only recently developed, and not yet certified. Channels to high-end consumers are being made, but not yet established (if they can be at all). Products and their marketing and supply chains are still under development.

### **Outcome 3.2**

Reduction of transaction costs has not proceeded yet because most products are still sold locally, rather than through long supply chains.

### **Outcome 3.3**

There has been very little progress on investment or loan mechanisms from the private sector.

## **5.1.3 Adaptive management**

Overall, the project does practice effective adaptive management.

### ***Strengths***

Work planning is well-managed by the PMU. Financial management and disbursement procedures are generally followed well. The project is judged to be managed cost-effectively. Co-financing of the project through BEDO staff in-kind contribution is substantial and meets GEF requirements. Monitoring systems employed by the PMU, using annual workplans and milestones, with verification by site visits, have been efficient and effective. Progress in implementation, and problems affecting progress have been identified and solutions have generally been found. Risk management and mitigation are handled well, with reporting and feedback.

### ***Weaknesses***

The Results Framework is not used fully in project reporting. Financial reporting should provide more detail on expenditure against Components and Outcomes. Some key risks, including political dynamics, are stable at the moment but could still pose a challenge.

## **5.1.4 Management arrangements**

### ***Strengths***

#### **Effectiveness of project management**

The project is now well-managed at all levels: UNDP, Government, Service Providers. Quarterly coordination meetings of partners level have been taking place in Bangkok since 2012. PSC meetings, with full participation of Responsible Parties, began in 2012. Meetings

are supplied by the PMU with updates on progress and any obstacles, and decisions on any necessary changes are made.

### **Implementing Partner/ donor execution**

BEDO has managed its role as IP well, and the PMU is effective in performance management. The UNDP technical team is strong, providing effective monitoring of progress and support

### **Weaknesses**

#### **Effectiveness of project management**

There were delays in the first year of the project, due response time by government to requests for approval of the ProDoc, recruitment of PMU staff and implementation partners and replacement of the Project Manager.

## **5.2 Recommendations**

### **5.2.1 Corrective actions for the design, implementation, monitoring and evaluation of the project**

The following actions are proposed to aid project implementation and M&E:

1. Extend the project timescale, to compensate for time lost during Inception, recruitment and launching of implementation. There should not be significant financial implications, but there may be need for additional funds in UNDP for project management/ oversight, and with RTF/ TEI for management/ administrative costs. It will be necessary to discuss, receive proposals and negotiate.
2. If a no extension is considered possible by UNDP-GEF, there should be accelerated efforts on a few key priority areas. These include:
  - Accelerating the certifying process for pilot CbSEs products.
  - Developing BEDO's staff capacity based on a systematic needs assessment.
  - Building a roster/ database of potential funders for CbSEs
  - Seeking and agreeing more MoUs to sustain support after the project ends.
3. Results Framework revision. The RF should be revised to create greater coherence between some Indicators, Baselines and Targets. The changes proposed would appear to need consideration and approval by the PMU, UNDP CO and Regional Technical Advisor and Project Board. An appropriate process of approval should be set underway following consideration of this MTR report. Quarterly reports should make more specific reference to progress towards RF Targets.

### **5.2.2 Actions to follow up or reinforce initial benefits from the project**

The following actions are proposed to help reinforce the progress made by the project thus far:

4. Outcome 1.1: Greater momentum is needed to increase BEDO institutional and staff capacity. A comprehensive training needs assessment of BEDO's staff should be developed and linked to the Organizational competency profile and staff performance assessment.

5. Outcome 1.2: Considerably more attention is needed towards developing a more broadly based, multi-sectoral and sustainable Partner Network. BEDO should play a more active role in bringing together relevant agencies such as Industrial Promotion Department, which works extensively with SMEs throughout the country and Community Development Department, focal point for the OTOP. Academic and private sector service providers should also be engaged more thoroughly, to support BEDO's work with communities. The role of BEDO's National Assembly should be further strengthened to serve as a platform for knowledge, resources and market exchange among participating communities.
6. Outcome 2.2: Work with experts on measuring harvesting/ offtake in forestry and fisheries to estimate MSY as a benchmark to set conservative, sustainable offtake levels, and include such measures in the community biodiversity monitoring programme of Outcome 2.1. In addition, get assistance to develop methods for estimating and improving revenue/cost ratios.
7. Outcome 2.3: Continue support efforts at community level, focusing on developing comprehensive business and conservation plans, improving product design and quality to meet market demand/preferences, accelerating the process of getting certifications from relevant bodies, including BEDO brand, and strengthening CbSE management capacity to ensure its long term sustainability.
8. Outcome 3.1: For this Outcome's target is to be achieved, there should be product development and marketing strategies based on market research. The 'high-end market' should be broadened to include the domestic niche market in the first instance, with the international market as a longer term goal. The possibility of a "low-end/ high volume" contract to supply biodegradable bamboo pots for forestry seedlings should be followed up.
9. Outcome 3.3: There should be systematic study to identify potential investment options/ windows to support pilot CbSEs, and efforts made to develop such opportunities. Efforts should be made to encourage private financial institutions to provide "micro-credit" or other investment options to CbSEs, and to encourage greater support through corporate social responsibility.
10. Implementation and sustainability: Greater direct involvement of BEDO staff at site level would assist RTF and TEI with needed expertise on product development/ marketing, contribute to BEDO staff development and promote post-project sustainability.

### **5.2.3 Proposals for future directions underlining main objectives**

Taking the project achievements forward would involve building on the lessons learned and making use of opportunities for replication and scaling-up of the CbSEs.

The following proposals would support future directions for the project to underline the main objectives:

11. Analyse the lessons learned from the pilot efforts, with respect to different factors presented by their specific conditions, documentation of impacts on biodiversity indices, all leading to documentation of opportunities for future implementation and scaling-up. In the context of such an analysis, consider the factors that are known to promote small businesses and CbSEs, including the enabling environment, the specifics of community composition that require special attention in mobilisation and participation, the availability of support services and the access to markets of different types.

12. Sustainability and Impact
  - It is essential to begin now on developing a Sustainability Plan, with an Exit Strategy.
  - Although not needed until EoP, the PMU and UNDP should consider now an approach to Reviewing Outcomes to Impacts (ROtI).
13. The Sustainability Plan should consider whether there should be follow-up activities to extend the lifespan of the existing initiatives. If this follow-up forms part of the plan, BEDO should consider incorporating the project activities into its Community Economy Development Program, with help if needed from the Marketing Strategy Program. Plans should be made and initiated without delay for relevant BEDO staff to coordinate actively with the PMU, so that there is a smooth transition at project completion.
14. Where possible, CbSE project experiences from pilot sites should be replicated by other communities under the Assembly. Replication plans should be developed and should consider:
  - Whether to work with implementation partners, as in the current project, or whether BEDO field staff could take it on.
  - Which new communities, and which products
  - What budget would be needed – costed plans would be needed
  - Where funding would come from – directly from BEDO or through a new project.

## **Annexes**

1. MTR Terms of Reference
2. Rating Scales
3. MTR Evaluative Matrix
4. MTR mission itinerary
5. List of persons interviewed
6. List of documents reviewed
7. Revision of project Results Framework
8. Summary Matrix of progress towards results
9. UNDP Capacity Development Scorecard
10. UNDP-GEF Mid-Term Review Audit trail
11. Signed UNEG Code of Conduct Form
12. Signed MTR final report clearance form

## Annex 1. Terms of Reference

### 1. INTRODUCTION

These terms of reference (TOR) sets out the expectations for the Mid-Term Review (MTR) for Sustainable Management of BD in Thailand's Production Landscape (SMBT)".

The essentials of the project to be evaluated are as follows:

#### PROJECT SUMMARY TABLE

Project Title:	BD FSP: Sustainable Management of BD in Thailand's Production Landscape (SMBT)			
GEF Project ID:	PIMS # 3642		<i>at endorsement (Million US\$)</i>	<i>At MTR (Million US\$)</i>
UNDP Project ID:	00077720	GEF financing:	<b>1,940,000</b>	
Country:	Thailand	IA/EA own:	<b>5,518,000</b>	
Region:	Asia-Pacific	Government:	0	
Focal Area:	Biodiversity	Other:	0	
FA Objectives, (OP/SP):		Total co-financing:	<b>5,518,000</b>	
Executing Agency:	The Biodiversity-based Economy Development Office (BEDO) as a public organization under the Ministry of Natural Resources and Environment (MONRE)	Total Project Cost:	<b>7,458,000</b>	
Other Partners involved:	Ministry of Natural Resource and Environment (MONRE), Ministry of Agriculture and Cooperatives (MOAC), and Ministry of Commerce (MOC)	ProDoc Signature (date project began):		29 December 2011
		(Operational) Closing Date:	Proposed: 2015	Revised Closing Date:

### 2. PROJECT BACKGROUND INFORMATION AND OBJECTIVE SCOPE

Thailand is rich in biodiversity. It is the home of 12,000 vascular plant species, 302 species of mammals, and 982 species of birds. There are more than 2,100 marine and 720 freshwater fish species in the country, accounting for 10 percent of the estimated total fish species worldwide. IUCN Red List indicates that 200 significant portions of several WWF Eco-regions fall inside Thailand - including Northern Indochina Subtropical Moist Forests, Kayah-Karen/Tenasserim Moist Forests, Peninsular Malaysian Lowland and Mountain Forests, and Cardamom Mountains Moist Forests. It has coastal and marine ecosystems of the Gulf of Thailand on one side and the Andaman Sea's marine and coastal ecosystem on the other side with substantially different species assemblages. The establishment of Protected Areas (PAs), Buffer Zones (BZs) and biodiversity corridors have been the primary approach for biodiversity conservation in Thailand with over 400 PAs currently gazette. However, only 18% of Thailand's total land area is under PAs. Therefore, much of the globally significant biodiversity in Thailand is found in "production landscapes" outside PAs - in agricultural areas and production forests and wetlands. Increasing population pressures and rapid economic development during recent decades are adding pressure to biodiversity both inside and outside PAs.

The Royal Thai Government authorities, with MONRE and MOAC as lead ministries, have made large efforts to arrest this degradation, also outside the PA's. An important initiative was the establishment of the Biodiversity-based Economy Development Office (BEDO) as a public organization. BEDO was given the mandate of promoting conservation of biodiversity in production landscapes, improving local community knowledge of best practice for sustainable production and enhancing biodiversity-based economic development. The long-term challenges for BEDO is to ensure that Biodiversity conservation is mainstreamed into production and marketing of agricultural, forestry and fishery business, in order to create community incentives to conserve and enhance biodiversity in Thailand's land- and seascapes while maintaining appropriate incomes to satisfy family needs for livelihood and wellbeing. There are three main barriers to achieve this: (i) At the national level, the institutional framework is not sufficiently capacitated to address the needs of an emerging biodiversity-based business sector, based on sustainable harvesting and production principles, (ii) At the community-level, sustainable production approaches and biodiversity conservation efforts are inadequate due to low incomes from present product categories, and (iii) Community revenues are limited due to low prices in the commodity market, as well as to high transaction costs in the supply chains.

The project will directly address these barriers through the three major components of the project:

1. Building national capacity for support of Biodiversity Business
2. Piloting Community-based Social Enterprises (CbSE) in valuable Eco-regions
3. Mainstreaming Biodiversity Business into the supply chains of high-value consumer markets

Please refer to the indicators in Annex 3 for more information.

### **3. OBJECTIVE OF THIS MID-TERM REVIEW**

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The objective of the MTR is to gain an independent analysis of the progress of the project so far. The MTR will identify potential project design problems, assess progress towards the achievement of the project objective, identify and document lessons learned (including lessons that might improve design and implementation of other UNDP-GEF projects), and make recommendations regarding specific actions that should be taken to improve the project. The MTR will assess early signs of project success or failure and identify the necessary changes to be made. The project performance will be measured based on the indicators of the project's logical framework (see Annex 3) and various Tracking Tools.

The MTR must provide evidence based information that is credible, reliable and useful. The review team is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region and key stakeholders. The review team is expected to conduct field missions to Thailand, including the following project sites: **Prachinburi, Kanchanaburi, Ranong, Pang Nga.**

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

- Project Director
- Project Manager
- Representative of Responsible Parties, including Raks Thai Foundation and Thailand Environment Institute
- Field Officers

- Representatives from pilot communities
- Project Administrative Officer
- Project Financial Officer
- Members of Project Steering Committee
- UNDP Country Office in Bangkok in-charge of the ‘Sustainable Management of Biodiversity in Thailand’s Production Landscape’ Project.

The team will review all relevant sources of information, such as the project document, project reports – including Annual APR/PIR, project budget revisions, progress reports, GEF focal area tracking tools, project files, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review. A list of documents that the project team and UNDP Country Office will provide to the team for review is included in Annex 2 of this Terms of Reference.

#### 4. SCOPE OF THE MTR

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The review team will assess the following three categories of project progress. For each category, the review team is required to rate overall progress using a six-point rating scale outlined in Annex 3:

##### 4.1 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.
- 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.

## 4.2. 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 <sup>12</sup>	Baseline Level <sup>13</sup>	Level in 1 <sup>st</sup> PIR (self-reported)	Midterm Target <sup>14</sup>	End-of-project Target	Midterm Level & Assessment <sup>15</sup>	Achievement Rating <sup>16</sup>	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
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In addition to the progress towards outcomes analysis:

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

## 4.3 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.

<sup>12</sup> The MTR will populate with data from the Logframe and scorecards

<sup>13</sup> The MTR will populate with data from the Project Document

<sup>14</sup> If available

<sup>15</sup> The MTR will colour code this column only

<sup>16</sup> The MTR will use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

#### Work Planning

- a) Are work planning processes result-based? If not, suggest ways to re-orientate work planning to focus on results.
- b) Examine the use of the project document logical/results framework as a management tool and review any changes made to it since project start. Ensure any revisions meet UNDP-GEF requirements and assess the impact of the revised approach on project management?

#### Finance and co-finance:

- a) Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.
- b) Complete the co-financing monitoring table (see Annex 4).
- c) Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.

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

- a) Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required?
- b) Ensure that the monitoring system, including performance indicators, meet GEF minimum requirements. Apply SMART indicators as necessary.
- c) Ensure broader development and gender aspects of the project are being monitored effectively. Develop SMART indicators, including disaggregated gender indicators as necessary;
- d) Review the mid-term GEF Tracking Tool (s) as appropriate and comment on progress made, quality of the submission, and overall value of the GEF Tracking Tool.
- e) Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to M&E? Are these resources being allocated effectively?

#### Stakeholder Engagement:

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

#### Reporting:

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

#### Communications:

- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback

mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?

- Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)
- For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.

#### **4.4 Sustainability**

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

##### Financial risks to sustainability:

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

##### Socio-economic risks to sustainability:

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

##### Institutional Framework and Governance risks to sustainability:

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

##### Environmental risks to sustainability:

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

#### **Conclusions & Recommendations**

The MTR team will include a section of the report setting out the MTR's evidence-based conclusions, in light of the findings.<sup>17</sup>

Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report's

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<sup>17</sup> Alternatively, MTR conclusions may be integrated into the body of the report.

executive summary. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for guidance on a recommendation table.

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

#### 4. MTR DELIVERABLES

Deliverable	Content	Timing	Responsibilities
<b>Inception Report</b>	Consultant provides clarifications on timing and method	No later than 2 weeks before the evaluation mission.	Consultant submits to UNDP CO
<b>Presentation*</b>	Initial Findings	End of evaluation mission	To project management, UNDP CO
<b>Draft Final Mid-Term Review Report</b>	Full report, (per template in annex 5) with annexes	Within 1 week of the evaluation mission	Sent to CO, reviewed by RTA, PCU, GEF OFPs
<b>Final Mid-Term Review Report**</b>	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final review report).	Within 1 week of receiving UNDP comments on draft	Sent to CO for uploading to UNDP ERC.

\* A power-point presentation of the findings of the review. Depending upon the complexity of the findings, UNDP CO in Thailand may consider organizing a half-day stakeholders meeting at which to make a presentation to the partners and stakeholders.

\*\*When submitting the final evaluation report, the MTR team is required also to provide an 'audit trail', detailing how all received comments have (and have not) been addressed in the final evaluation report. The review report will be produced in the Thai and English language with executive summary (for both versions), highlighting important observations, analysis of information and key conclusions including its recommendations. Based on the scope of the MTR described above, the Review Report will include, among others:

- Findings on the project implementation achievements, challenges, and difficulties to date;
- Assessments of the progress made towards the attainment of outcomes;
- Recommendations for modifications and the future course of action;
- Lessons learned from the project structure, coordination between different agencies, experience of the implementation, and output/outcome

The report will be initially shared with the Project's PMU to solicit comments or clarifications and will be presented to the UNDP Country Office (CO) in Thailand for further deliberations. Consequently, the final MTR Report (in three copies) will be made and submitted to the UNDP CO with a copy furnished to the Project's PMU.

## 5. IMPLEMENTATION ARRANGEMENT

The principal responsibility for managing this review resides with the UNDP Country Office (UNDP CO) in Thailand. The BEDO project team will be responsible for liaising with the review team to set up stakeholder interviews, arrange field visits with missions to Prachinburi, Kanchanaburi, Ranong, Pang Nga.

In preparation for the review mission, the project manager, with assistance from UNDP country office, will arrange for the completion of the tracking tools (METT, Financial and Capacity scorecards for mid-term stage). The tracking tools will be completed/endorsed by the relevant implementing agency or qualified national research /scientific institution, and not by the international consultant or UNDP staff. The tracking tools will be submitted to the mid-term review team for comment. These comments will be addressed by the project team, and the final version of the Tracking tools will be attached as annexes to the Mid-term evaluation report.

## 6. TIMEFRAME

Twenty working days (20) days over the tentative period of **2-27 June 2014**. There will be an orientation meeting with UNDP CO, UNDP APRC and a briefing session with the project management team at the start.

The total duration of the review will be 20 days according to the following plan:

Activity	Timing	Tentative Period
Preparation	2 days	2-3 June 2014
Evaluation Mission	7 days	4-10 June 2014
Draft Evaluation Report	7 days	11-17 June 2014
Final Report	4 days	18-27 June 2014

## 7. TEAM COMPOSITION

The Mid-term Review team will be composed of **one international lead consultant and a national consultant**. The consultants shall have prior experience in evaluating similar projects. Experience with GEF financed projects is an advantage. The consultants of the selected bidder should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

The Team is expected to combine international standards of evaluation expertise, excellent knowledge of Climate Change Adaptation projects and national context of project and program implementation in Thailand.

At the minimum, the members of the MTR Team shall have the following professional background and responsibilities:

### A. International Lead Consultant

#### Profile

- Post-Graduate in environmental studies, development studies, social sciences and/ or other related fields.
- Minimum of ten years accumulated and recognized experience in biodiversity conservation and sustainable utilisation areas, and sustainable livelihoods

- Minimum of five years of project evaluation and/or implementation experience in the result-based management framework, adaptive management and UNDP or GEF Monitoring and Evaluation Policy
- Familiarity in similar country or regional situations relevant to that of 'Sustainable Management of Biodiversity in Thailand's Production Landscape' Project
- Experience with multilateral and bilateral supported biodiversity conservation and sustainable utilisation projects
- Comprehensive knowledge of international biodiversity conservation and sustainable utilisation best practices
- Very good report writing skills in English

### ***Responsibilities***

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

## **B. National Consultant**

### ***Profile***

- Post-graduate in environmental studies, development studies, social sciences and/ or other related fields with at least ten years of project development and implementation.
- A minimum of five years of project management experience in biodiversity conservation and sustainable utilisation
- Multilateral and bilateral funded project development and implementation
- Familiarity with Thailand national development policies, programs and projects

### ***Responsibilities***

- Documentation review and data gathering
- Contributing to the development of the review plan and methodology
- Conducting those elements of the evaluation determined jointly with the international consultant and UNDP
- Contributing to presentation of the review findings and recommendations at the wrap-up meeting
- Contributing to the drafting and finalization of the review report.

**THE MEMBERS OF THE TEAM MUST BE INDEPENDENT FROM BOTH THE POLICY-MAKING PROCESS AND THE DELIVERY AND MANAGEMENT OF THE UNDP/GEF ASSISTANCE. THEREFORE, CANDIDATES WHO HAD ANY DIRECT INVOLVEMENT WITH THE DESIGN AND IMPLEMENTATION OF 'SUSTAINABLE MANAGEMENT OF BIODIVERSITY IN THAILAND'S PRODUCTION LANDSCAPE' PROJECT WILL NOT BE CONSIDERED**

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## 8. PAYMENT MODALITIES AND SPECIFICATIONS

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%	Milestone
10%	Following submission and approval of Inception Report
40%	Following submission and approval of the 1ST draft midterm review report
50%	Following submission and approval (UNDP-CO and UNDP RTA) of the final midterm review report

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## Annex 2. Rating scales

### Progress towards results:

<b>Highly Satisfactory (HS)</b>	Project is expected to achieve or exceed all its major global environmental objectives, and yield substantial global environmental benefits, without major shortcomings. The project can be presented as “good practice”.
<b>Satisfactory (S)</b>	Project is expected to achieve most of its major global environmental objectives, and yield satisfactory global environmental benefits, with only minor shortcomings.
<b>Moderately Satisfactory (MS)</b>	Project is expected to achieve most of its major relevant objectives but with either significant shortcomings or modest overall relevance. Project is expected not to achieve some of its major global environmental objectives or yield some of the expected global environment benefits.
<b>Moderately Unsatisfactory (MU)</b>	Project is expected to achieve its major global environmental objectives with major shortcomings or is expected to achieve only some of its major global environmental objectives.
<b>Unsatisfactory (U)</b>	Project is expected not to achieve most of its major global environment objectives or to yield any satisfactory global environmental benefits.
<b>Highly Unsatisfactory (U)</b>	The project has failed to achieve, and is not expected to achieve, any of its major global environment objectives with no worthwhile benefits.

### Adaptive management AND Management Arrangements:

<b>Highly Satisfactory (HS)</b>	The project has no shortcomings and can be presented as “good practice”.
<b>Satisfactory (S)</b>	The project has minor shortcomings.
<b>Moderately Satisfactory (MS)</b>	The project has moderate shortcomings.
<b>Moderately Unsatisfactory (MU)</b>	The project has significant shortcomings.
<b>Unsatisfactory (U)</b>	The project has major shortcomings.
<b>Highly Unsatisfactory (HU)</b>	The project has severe shortcomings.

### Sustainability

<b>Likely (L)</b>	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.
<b>Moderately Likely (ML)</b>	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review.
<b>Moderately Unlikely (MU)</b>	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on.
<b>Unlikely (U)</b>	Severe risks that project outcomes as well as key outputs will not be sustained.

### Annex 3. MTR Evaluative Matrix

Evaluative Questions	Indicators	Sources	Methodology
<b>Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?</b>			
To what extent are lessons from other relevant projects incorporated into the project design?	Lessons learned identified and appearing in project documents.	Project documents; UNDP CO	Document analysis
To what extent does the project address country priorities and is country-driven? Is the project concept in line with national development priorities and plans of the country (or of participating countries in the case of multi-country projects)?	Policy, legislation and safeguard analyses	Project documents; UNDP documents; Government documents; Inception report	Document analysis
Were stakeholders thoroughly consulted?	Stakeholder analysis	Project documents; stakeholders	Document analysis;; Stakeholder consultation
How well are gender issues identified and addressed?	Gender strategies	Project documents	Document analysis
How thoroughly were environmental and social risks – including externalities – identified, and addressed with mitigation strategies?	Risk management strategies; Sustainability plan	Project documents	Document analysis
<b>Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?</b>			
By each Outcome, to what progress has been made towards the Mid-Term target?	Progress towards project indicators	Project documents; Project Annual & Quarterly Reports; APRs; PIRs; GEF Tracking Tool; Stakeholders in Project Team and implementing partners	Document analysis; Stakeholder consultation; Site visits
What are the reasons for success in reaching/ exceeding Mid-Term targets? What are the reasons/ challenges in slower-than-expected progress?	Candid and useful project commentaries	Project Annual & Quarterly Reports; APRs/ PIRs; GEF TT; Stakeholders in Project Team and implementing partners	Document analysis; Stakeholder consultation; Site visits
<b>Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project's implementation?</b>			
<b>Management arrangements</b>			
How do current management arrangements compare with those originally outlined? Have changes been made and are they effective? Are reporting and responsibility lines clear? Is decision-making transparent and timely?	Clear and effective project implementation manual, management arrangements	Project documents; Project Annual & Quarterly Reports; UNDP/ Project team	Document analysis; Stakeholder consultation
Is there appropriate focus on results, by Partner Agency and Implementing Partner? Is reporting candid and realistic?	Results-based, cogent reporting by UNDP and BEDO	Project documents; Project Annual & Quarterly Reports	Document analysis
Is technical support by UNDP and consultants to Implementing Partner adequate?	Form and results of support provided	Project Annual & Quarterly Reports; APRs/ PIRs; Stakeholders	Document analysis; Stakeholder consultation
Are risks to progress – environmental, social, administrative – identified and mitigated in a timely manner?	Risk management approaches and outcomes	Project Annual & Quarterly Reports; APRs/ PIRs	Document analysis

<b>Work planning</b>			
Were there any delays in project implementation" If so, what were the reasons and have they been solved?	Achievement of project implementation milestones	Project Annual & Quarterly Reports	Document analysis; Stakeholder consultation
Are work-planning processes results-based? How is the Results Framework used as a management tool, (including any changes made)?	Quality of work planning; "Correct" Results Framework	Project documents; Results Framework; Project Annual & Quarterly Reports; APR/s PIRs	Document analysis; Stakeholder consultation
<b>Finance and co-finance</b>			
Are financial controls, allowing transparent decision-making and timely flow of funds, well established?	Effectiveness of financial controls	Inception Report; Project Annual & Quarterly Reports; Audit reports	Document analysis; Stakeholder consultation
Are funds well-managed? Have there been any well-justified budget revisions, based on evidence from reporting?	Effectiveness, efficiency of financial management	Project Annual & Quarterly Reports; Audit reports; Project Team	Document analysis; Stakeholder consultation
What co-financing has been mobilised since inception, and what (if any) additional funds have been leveraged?	Co-financing sustained and extended	Project documents; Project Annual & Quarterly Reports; Project Team	Document analysis; Stakeholder consultation
<b>Project level Monitoring &amp; Evaluation</b>			
Has the M&E plan been appropriate, sufficiently funded and well-implemented?	Active implementation of M&E plan	Project documents; Inception Report; Project Annual & Quarterly Reports	Document analysis; Stakeholder consultation
Has adaptive management been implemented in response to PIRs?	Adaptive management applied	Project Annual & Quarterly Reports; APR/s PIRs; Project Team	Document analysis; Stakeholder consultation
Are monitoring tools and systems relevant, cost-effective and inclusive of stakeholder concerns?	Monitoring tools developed and in use	Project Annual & Quarterly Reports; Project Team; Stakeholders	Document analysis; Stakeholder consultation
Are risks identified and managed via the M&E system?	Risks identified and mitigated	Project Annual & Quarterly Reports; APR/s PIRs; Project Team	Document analysis; Stakeholder consultation
<b>Stakeholder engagement</b>			
Has the project engaged local and national stakeholders effectively in support of project objectives and sustainability?	Stakeholders at different levels engaged	Project Team; Stakeholders	Stakeholder consultation; Site visits
<b>Reporting</b>			
How has adaptive management been reported by the Project Team and shared with the Project Board? How have any lessons from adaptive management been documented and incorporated into project management?	Regular reporting to Project Board, used for decision-making	Project Annual Reports; Minutes of Project Board meetings; Project Board members	Document analysis; Stakeholder consultation
How well does the Project Team fulfil GEF reporting requirements?	GEF reporting requirements satisfied	APRs/PIRs; UNDP CO	Document analysis; Stakeholder

			consultation
<b>Communication</b>			
Is internal and external communication with project and national stakeholders regular and effective? Does this communication contribute to sustainability?	Communications by project active and engaging	Communication material; Stakeholder reports	Document analysis; Stakeholder consultation
Are there ways to extend the communication aspects of the project?	Communication strategy in place	Project documents; Project Team	Document analysis; Stakeholder consultation
<b>Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?</b>			
What risks or opportunities are there for financial sustainability once GEF financing ends? Are there plans, or steps taken, for establishing mechanisms for financial sustainability?	Financial sustainability plans and actions	Project documents; Project Team	Document analysis; Stakeholder consultation
What are the social or political risks to stakeholder ownership allowing sustainability of project outcomes? Are the project's successful aspects being transferred to appropriate parties for replication or scaling up?	Social and political risk mitigation strategy, with actions taken	Project documents; Project Team	Document analysis; Stakeholder consultation
Are there institutional or governance structures or processes that pose risks to sustainability of project outcomes, or is the project putting such structures/ processes into place to encourage sustainability?	Institutional sustainability plans and actions	Project documents; Project Team	Document analysis; Stakeholder consultation
Has the project developed appropriate institutional capacity that will be self-sufficient after the End of Project date? Has the project identified "champions" in government or civil society who will promote sustainability of outcomes?	Institutional capacity built and/or identified and encouraged.	Project documents; Project Annual & Quarterly Reports; Project Team; Stakeholders in government and local areas	Document analysis; Stakeholder consultation; Site visits
Does the project have a Theory of Change and/ or a sustainability strategy?	Theory of Change; Sustainability strategy developed	Project documents; Project Team	Document analysis; Stakeholder consultation

## Annex 4. MTR mission itinerary 16-25 November 2014

Time	Activity	Remarks
Sunday 16 November	WK Lindsay, International Consultant, and W Worakul, National Consultant, arrive Bangkok	
Monday 17 November	10:00am: Opening Meeting with UNDP: <ul style="list-style-type: none"> <li>Ms. Sutharin Koonphol, Programme Analyst, UNDP Thailand</li> </ul> 12th Floor, UN Secretariat Building	Contact persons (UNDP): Ms.Nisakorn Puangkamlard 02-3049100 ext 2134  Ms. Sutharin Koonphol 02-3049100 ext 2148 (M) 081-8075488
	1:00pm: Meeting with Implementing Partner: BEDO Senior Management and PMU	Contact persons (BEDO): Mr. Rachai Cholsindusongkramchai Project Manager (M) 089-668-6100  Ms. Sasipa Jarusukthaveekul, Project Coordinator (M) 085-9097668
	4:00pm: Travel to Kanchanaburi (3.5 hours)	Accommodation (booked on behalf of evaluators): Jaruwan resort, Amphoe Sai Yok, Kanchanaburi Rate: THB 1,200/night
Tuesday 18 November	9:30 am: Kanchanaburi (Bamboo Products) <ul style="list-style-type: none"> <li>Communities</li> <li>TAOs</li> <li>Other key partners in the area (RFD)</li> </ul>	Raks Thai Foundation: Ms. Boonthida Ketsomboon (M) 084-676-0676
	4:30-8:00pm: Travel from Kanchanaburi to Prachinburi	Hotel in Prachinburi to be booked by RTF for evaluators.  Note: Evaluators to wear trekking shoes/sneakers and appropriate clothing for 40 minutes waling in the forest.
Wednesday 19 November	Prachinburi (Bamboo Products) <ul style="list-style-type: none"> <li>Communities</li> <li>TAOs</li> <li>Other Key Partners in the Area</li> </ul>	Raks Thai Foundation: Ms. Boonthida Ketsomboon (M) 084-676-0676
	4:30-7:30pm: Return to Bangkok	
Thursday 20 November	09.35am: Arrive in Ranong by Nok Air DD7312 Ranong Province (Marine Products) <ul style="list-style-type: none"> <li>Communities</li> <li>TAOs</li> </ul> Other Key Partners in the Area	Thailand Environment Institute: Ms. Benjamas Chotethong (M) 084-6113428
	Accommodation: Kuraburi Green View Resort	

Friday 21 November	Phang Nga Province (Marine Products) <ul style="list-style-type: none"> <li>• Communities</li> <li>• TAOs</li> <li>• Other Key Partners in the Area</li> </ul>	Thailand Environment Institute: Ms. Benjamas Chotethong (M) 084-6113428
	6.35-8.10pm: Depart for Bangkok from Ranong by Nok Air DD7319	
Saturday 22 November	Information review/initial conclusions	Flexible, possibly extension of field visit
Sunday 23 November	Information review/initial conclusions	
Monday 24 November	10:30am: Meeting with Mr. Woratham Aonpichaijit, Director of Wood Industry Development Division at Forest Research and Development Building, Royal Forestry Department, Jatujak Road, Bangkok	National Partner – NESDB/ ONEP/RFD
	2:00pm: Meeting with Mrs. Pattama Pimdumrongapol, Biological Diversity Section at Office of Natural Resources and Environmental Policy and Planning (ONEP), Rama 6 Road, Bangkok	
Tuesday 25 November	Debriefing with BEDO and UNDP Thailand Venue: BEDO	
	W Worakul departs from Bangkok	
Wednesday 26 November	WK Lindsay departs from Bangkok	

## Annex 5. List of persons interviewed

### *National level organisations*

#### **BEDO**

- |                                     |                                      |
|-------------------------------------|--------------------------------------|
| 1. Asst. Prof. Veerapong Malai      | Director General & CEO               |
| 2. Mr. U-thai Auereechit            | Deputy Director General              |
| 3. Mr. Tanit Changthavorn           | Acting Deputy Director               |
| 4. Mr. Somdet Choontanom            | Director of General Affairs Division |
| 5. Mr. Charles B. Mehl              | Assistant for International Matters  |
| 6. Mr. Rachai Cholsindusongkramchai | SMBT Project Manager                 |
| 7. Ms. Sasipa Jirasuktaveekul       | SMBT Project Coordinator             |

#### **ONEP**

- |                             |                                   |
|-----------------------------|-----------------------------------|
| 8. Ms. Pattama Dumrongapol  | Biological Diversity Sub-division |
| 9. Ms. Krisana Sukniwatchai | Biological Diversity Sub-Division |
| 10. Mr. Prinya Leelahanon   | Biological Diversity Sub-Division |

#### **Royal Forestry Department**

- |                               |                                                |
|-------------------------------|------------------------------------------------|
| 11. Mr. Woratham Oonjittichai | Specialist, Wood and Forest Product R&D Center |
|-------------------------------|------------------------------------------------|

#### **UNDP**

- |                                                      |                                       |
|------------------------------------------------------|---------------------------------------|
| 12. Ms. Sutharin Koonphol                            | Programme Analyst, UNDP Thailand      |
| 13. Mr. Johan Robinson<br>(to be contacted by Skype) | Regional Technical Advisor, UNDP APRC |

### *Stakeholders met during site visits in Kanchanaburi, Prochinburi, Ranong, and Phang Nga Provinces on 17-21 November 2014*

#### **Kanchanaburi**

- |                                |                                                                          |
|--------------------------------|--------------------------------------------------------------------------|
| 14. Ms. Lawan Majiakjon        | Chairperson of Lumsum CbSE and Village # 5 chief                         |
| 15. Ms. Bamrung Chanta-eh      | Deputy Chairperson, CbSE                                                 |
| 16. Mr. Tiwa Sudprasert        | Chairperson, Community Forest Committee                                  |
| 17. Ms. Wantanee Moonkhunthong | Treasurer, CbSE                                                          |
| 18. Ms. Chantra Majiakjon      | Secretary, CbSE                                                          |
| 19. Ms. Hunsa Charoensuk       | Accountant, CbSE and Assistant Village Head (Vill#5)                     |
| 20. Mr. Kamol Jitbunjong       | PR Affairs, CbSE and Assistant Village Head (Vill#8)                     |
| 21. Mr. Taweesak Sriwilai      | Member, Community Forest Committee                                       |
| 22. Mr. A-nu Jaemsri           | QC Section, CbSE                                                         |
| 23. Mr. Manot Tuto             | Production Section, CbSE                                                 |
| 24. Mr. Udom Chanchai          | Production Section, CbSE                                                 |
| 25. Mr. Roongsuri Srisuwan     | Production Section, CbSE                                                 |
| 26. Mr. Chuang Nakthongkham    | Mayor, Lumsum Tambon Administration Organization                         |
| 27. Mr. Surasit Nontasut       | Plan and Policy Analyst, Lumsum TAO                                      |
| 28. Mr. Sutat Laosakul         | Chief, Silvicultural Research Station, Central Region                    |
| 29. Mr. Chuchart Gasa          | Center for Technology Transfer on Non-timber Forest Products Utilisation |
| 30. Mr. Chatahawan Ngern-khai  | Center for Technology Transfer on Non-timber Forest Products Utilisation |
| 31. Ms. Ladda Duangprateep     | Auditor, Kanchanaburi Cooperative Auditing Office                        |

### **Prachinburi**

- |                                    |                                                                                                              |
|------------------------------------|--------------------------------------------------------------------------------------------------------------|
| 32. Mr. Preecha Ngam-ngern         | Chairperson of Dongbung CbSE and Village # 3 chief                                                           |
| 33. Ms. Nongluck Inlai             | Secretary of Soap Production Group                                                                           |
| 34. Mr. Tanusin Phuenbaat          | CbSE member (in charge of charcoal burning and powdering)                                                    |
| 35. Ms. Thongthip Marit            | CbSE member                                                                                                  |
| 36. Ms. La-Ong Udomsup             | CbSE member                                                                                                  |
| 37. Mr. Bunlue Chodok              | Village # 5 Headdman                                                                                         |
| 38. Mr. Thong-yoi Chodok           | Chairperson, Community Forest Committee                                                                      |
| 39. Mr. Somnuek Somjai             | Mayor, Dongbung TAO                                                                                          |
| 40. Mr. Chamras Sattaya            | Chairperson, Dongbung TAO Council                                                                            |
| 41. Ms. Nonticha Pidsup            | Chief Administrator, Dongbung TAO                                                                            |
| 42. Mr. Sombat Khomdamdin          | Deputy Mayor, Dongbung TAO                                                                                   |
| 43. Mr. Warit Trachoo              | Chief Agricultural Extension Office, Prachantakham District                                                  |
| 44. Asst. Anirat Mingkwan          | Dean, Faculty of Industrial Technology and Management, King Mongkut Technology Institute, Prachinburi Campus |
| 45. Ms. Sumitra Chai-yaat          | Lecturer, King Mongkut Technology Institute, Prachinburi Campus                                              |
| 46. Ms. Parichart Watcharachokasem | Auditor, Prachinburi Cooperative Auditing Office                                                             |

### **SMBT Project's Field Team, Kanchanaburi and Prachinburi**

- |                               |                                              |
|-------------------------------|----------------------------------------------|
| 47. Ms. Boontida Setsomboon   | Senior Project Officer, Raks Thai Foundation |
| 48. Ms. Suthirat Kotsawat     | Field Coordinator, Raks Thai Foundation      |
| 49. Mr. Pattawee Suksawat     | Senior Field Worker, Raks Thai Foundation    |
| 50. Mr. Charasrawee Chaithong | Field Worker, Raks Thai Foundation           |
| 51. Mr. Sarit Pheng-a-ram     | BEDO's Field Coordinator, Kanchanaburi       |
| 52. Ms. Maliwan Chuen-a-rom   | BEDO's Field Coordinator, Prachinburi        |

### **Ranong**

- |                                  |                                                      |
|----------------------------------|------------------------------------------------------|
| 53. Mr. Chanakarn Tipprasertsook | Kaper Chief District Officer                         |
| 54. Mr. Preecha Hasjak           | Chief of Mounkloung District Learning Center,        |
|                                  | Head of Community-based Eco-tourism group            |
| 55. Mr. Watchara Sooksawat       | Member, Community-based Eco-tourism                  |
| 56. Mr. Sayan Maiyuso            | Member, Community-based Eco-tourism                  |
| 57. Mr. Sahun, Mr. Nui           | Member, Community-based Eco-tourism                  |
| 58. Mrs. Aun, Mrs. Nee           | Member, Community-based Eco-tourism                  |
| 59. Mr. Somchai Hasjak           | Advisor of shrimp paste group                        |
| 60. Mr. Somsak Sebsabai          | Chief of Sub-District Community Organization Council |

### **Phang-Nga**

- |                               |                               |
|-------------------------------|-------------------------------|
| 61. Mrs. Supaporn Rawang-ngan | Head of Chili paste group     |
| 62. Mrs. Sims Bobetong        | Accountant, Chili paste group |
| 63. Ms. Jira Tula             | Member, Chili paste group     |
| 64. Mrs. Sakorn Jaroenjit     | Member, Chili paste group     |
| 65. Mrs. Rumpa Soison         | Member, Chili paste group     |
| 66. Mrs. Rapeepan poech-chon  | Member, Chili paste group     |
| 67. Mrs. Rattiya Kawijit      | Head of herbal products group |

- |                               |                                                                |
|-------------------------------|----------------------------------------------------------------|
| 68. Mrs. Arree Samankij       | Accountant, herbal products group                              |
| 69. Mrs. Wanpen poech-chon    | Member, herbal products group                                  |
| 70. Ms. Boonroen Changlek     | Member, herbal products group                                  |
| 71. Ms. Krissana Songnak      | Member, herbal products group                                  |
| 72. Mr. Pracha Kawijit        | Bang Tip village headman<br>Advisor of Herbal Group            |
| 73. Mr. Dolramahn Rawang-ngan | Member of Bang Wan TAO council<br>Advisor of chili paste group |

**SMBT Project's Field Team, Ranong and Phang-Nga**

- |                                  |                                              |
|----------------------------------|----------------------------------------------|
| 74. Ms. Benjamat Phothong        | TEI Senior Project Officer                   |
| 75. Ms. Chalermluck Dissayapanya | TEI Project Coordinator                      |
| 76. Mr. Pradit Boonplod          | TEI Field Coordinator, Ranong                |
| 77. Ms. Kanjane Dounghoi         | TEI Field Coordinator, Phang-Nga             |
| 78. Mr. Pachoensak Jeakkajorn    | BEDO Field Coordinator, Ranong and Phang-Nga |

## Annex 6. List of documents reviewed

### Project design and inception

- Project Document, including Annexes A-E
- Request for CEO Endorsement
- Response to comments by GEF Secretariat dated March 9, 2011
- Inception Report 2012

### Progress reports and workplans

- Quarterly Progress Reports – Jan-Mar 2012 to Jul-Sep 2014
- PIR-2013-GEF ID3940 - PIMS3642; PIR-2014-GEF ID3940 - PIMS3642
- Annual workplans – 2012 to 2014
- GEF Tracking Tool Midterm
- Local Project Appraisal Committee Meeting - 24 June 2011

### Project management

- KPMG (2012) Financial management capacity assessment report. Biodiversity-based Economy Development Office (BEDO), 6 July 2012.
- Mehi, C. (2014) Report on the recommendations for the improvement or revision of the project, and on follow-up activities after the project is completed. AND Progress on the Monitoring and Evaluation System for the Development of Biodiversity-Based Economic Activities Under the GEF-funded Sustainable Management of Biodiversity in Thailand's Production Landscape Project.

### UNDP/GEF

- GEF (2010) The GEF Monitoring and Evaluation Policy 2010. Global Environment Facility, Evaluation Office. Evaluation Document No.4, November 2010.
- GEF (2014) Guidance for conducting Midterm Reviews of UNDP-supported, GEF-financed projects. UNDP-GEF Directorate
- Country programme for Thailand 2012-2016
- SMBT MTR Opening Session 17 November 2014 – PowerPoint presentation

### Literature

- FAO (1999) Indicators for sustainable development of marine capture fisheries. *FAO Technical Guidelines for Responsible Fisheries. No. 8*. Food and Agriculture Organisation, Rome, 68pp.
- Punt, A. & Smith, A.D.M. (2001) The gospel of maximum sustainable yield in fisheries management: birth, crucifixion and reincarnation. In: Reynolds, J.D., Mace, G.M., Redford, K.H., & Robinson, J.G. (eds.) *Conservation of Exploited Species*. Cambridge University Press, Cambridge, pp.41-66.
- Tomaselli, M.F. & Hajjar, R. (2011) Promoting Community Forestry Enterprises in National REDD+ Strategies: A Business Approach. *Forests*, 2, 283-300; doi:10.3390/f2010283

## Annex 7. Revision of project Results Framework

### A7.1 Original Results Framework

Project Strategy	Objectively verifiable indicators	Baseline	Target	Source of verification	Risks and assumptions
Objective: To strengthen national and local capacity for mainstreaming biodiversity into the management of ecologically important production landscapes by transforming the supply and market chain of biodiversity based products.	1. The national governance system provides positive incentives and effective business facilitation and marketing support for biodiversity business development through BEDO and its partner network, demonstrated by: a. No. of enterprises for community-based biodiversity business assisted b. No and turnover from of commercial supply chain actors from project sites involved in marketing of sustainable biodiversity-based products in target markets	a. National framework for establishment of community enterprises based on local products in place via OTOP program b. BEDO has provided targeted support approx. 35 community enterprises, but with limited focus on mainstreaming c. Very few cases of systematic and comprehensive mainstreaming of biodiversity d. Limited focus on export markets for biodiversity business	At least 10 pilot products of community-based social enterprises (CbSE) supported in making high-value a) bamboo and other NTFP products, b) agricultural and horticultural products, c) marine products, d) tourism and recreation services successfully mainstreamed into the commercial markets - at least 5 of the pilot products successfully selling into national and export markets	Surveys of target sites	The private sector will see commercial advantages in supporting biodiversity business  The producers will be able to produce high quality products in sufficient amount to attract interest from major actors in the market
	2. Community-based social enterprises and commercial supply chains for biodiversity-based products increases family income, biodiversity conservation incentives and market	a. No certification schemes are currently in use in target sites. b. Interviews at target sites indicate Bt 5,000-10,000 per household/month derived from existing	a) At end-project at least 30% of total product output from target sites is certified sustainable. b) At end-project, percentage of household incomes derived from certified products	Surveys of target sites	Success of the CbSE model does not result in purely commercial competitors attempting to hijack the markets created. (Free-rider risk)

Project Strategy	Objectively verifiable indicators	Baseline	Target	Source of verification	Risks and assumptions
	share of certified sustainable production in target areas, demonstrated by a. Percentage of certified sustainable bamboo, marine- and other biodiversity-based products produced from project sites (percentage of total product output) b. Percentage of CbSE revenue allocated for biodiversity conservation and rehabilitation	biodiversity-based products. c. No systematic community funding specifically allocated for biodiversity conservation.	averages at least 25%. c) At end-project at least 10% of net annual CbSE revenue allocated to conservation and rehabilitation activities.		CbSEs are able to generate net profits within the project period.
	3. Increase in percentage of target landscapes and seascapes under community-based sustainable management or co-management.	Less than 2.5% land- and sea-scapes managed by target communities is under sustainable management.	By end-project at least 5% of land and sea-scape managed by target communities is under sustainable management.	Community-based monitoring reports from their production landscapes	External economic forces do not alter significantly to induce communities to convert or sell land.
<b>Component 1: Building National Capacity for Support of Biodiversity Business</b>					
Outcome 1.1 Institutional capacity and staff competences for national support to biodiversity business established.	1. Enabling national policies, laws and regulations introduced by appropriate government departments with respect to: a) land use rights for biodiversity business b) Community based Social Enterprise establishment and operation	a. Overall policies, laws and regulations for biodiversity conservation and for mainstreaming of biodiversity business largely in place b. several unsolved conflicts about community land use rights not settled c. No regulation directly targeted to promote and	A comprehensive policy and regulatory framework for CbSEs is developed, and submitted to the relevant Government authorities.	Documentation of submissions to relevant Government authorities.	Departments and – subsequently – the parliament will agree to pass the proposed policy and regulatory framework.

Project Strategy	Objectively verifiable indicators	Baseline	Target	Source of verification	Risks and assumptions
	c) incentives for community-based biodiversity conservation	facilitate CbSEs.			
	2. BEDO has the institutional capacities, organizational structure and resources required to act as national biodiversity business facility to facilitate development of CbSEs, as measured by the Capacity Scorecard.	BEDO has been mandated in law and established, however institutional capacities for business facilitation are at the average level, as indicated in the Capacity Scorecard assessment.	The institutional capacity scores for business facilitation are raised 50% relation to baseline at end of project	Survey reports From evaluations	BEDO board is strongly motivated to create a biodiversity business facility.
	3. BEDO staff have the technical capacities (skills, technical qualifications and experience) needed by a biodiversity business facility, as measured by the Capacity Scorecard	Baseline technical capacities assessed as low to medium, as indicated in the Capacity Scorecard.	The staff Capacity Scores are raised 50% relation to baseline at end of project	Survey reports From evaluations	BEDO staff is both motivated and professional equipped to perform the tasks of a biodiversity business facility
Outcome 1.2: Collaboration with and capacities in Partner Networks of the Biodiversity Business Facility are strengthened	1. Through the Partner Network, BEDO has the capacity to assess market needs and demands, and to develop targeted solutions to issues such as sustainable harvesting, waste minimization and reuse, low-impact packaging, etc.	Individual and ad-hoc analysis of various aspects of biodiversity business have been undertaken by partners, however no systematic and comprehensive analytical capacity.	By project mid-point, the Partner Network clearly demonstrates the capacity and willingness to partner with BEDO in identifying, analyzing and resolving sustainable production and market development issues identified in the development of CbSEs.	Mid-term evaluation assessment	Research institutions and other partners are willing to support BEDO and CbSE needs and to cooperate constructively in multi-disciplinary studies.
	2. Through the Partner Network, local communities and CbSEs	Limited collaboration mechanism among BEDO partners for providing	Comprehensive and systematic collaboration mechanism with BEDO	Collaboration guidelines and minutes of	Commitment of BEDO partners to strengthen

Project Strategy	Objectively verifiable indicators	Baseline	Target	Source of verification	Risks and assumptions
	have increased access to extension and business development services, as measured by: a. Number of community enterprises receiving support on sustainable harvesting and production b. Number of community enterprises receiving support for biodiversity business development and management c. Number of communities receiving support on biodiversity conservation and rehabilitation	extension services of biodiversity business development for CbSE	partners established to provide the extension services of biodiversity business development for CbSE	meetings	collaboration on extension services
<b>Component 2: Piloting Community-based Social Enterprises in Valuable Eco-regions</b>					
Outcome 2.1: Community-based sustainable production and <i>in-situ</i> biodiversity conservation and rehabilitation is strengthened.	1. Appropriate methods for community-based monitoring of biodiversity status for data collection.	Inadequate system of biodiversity status collection of data conducted by community.	Appropriate system developed for community monitoring of biodiversity status by the end of second year. At least, 4 communities actively applied by the end of year 3	Mid-term Review	Community engages in the development and implement of monitoring system.
	2. Number of biodiversity conservation and rehabilitation projects planned & implemented by communities using revenues derived from	No community-initiated conservation projects financed by CbSEs.	At end-project at least four conservation and/ or rehabilitation projects under way, financed by revenues from CbSEs.	Project monitoring reports.	CbSEs generate sufficient profits to finance conservation/ rehabilitation projects during

Project Strategy	Objectively verifiable indicators	Baseline	Target	Source of verification	Risks and assumptions
	CbSEs.				project lifetime.
Outcome 2.2 : Pilot Models for Community-based Social Enterprises (CbSE) with Combined Objectives of Income generation, Sustainable Production and Biodiversity conservation are established.	1.a.CbSEs are using maximum sustainable yield as a benchmark to set production levels. 1.b.Change in marginal revenue per unit of resource use.	1. Existing community enterprises do not have capacity to assess maximum sustainable yield. 2. Marginal revenue per unit of resource use varies depending on product.	1. CbSE business plans incorporate maximum sustainable yield as a variable in setting production levels. 2. Marginal revenue per unit of resource use increases by at least 10% on average across all product lines.	Business plans and reports of CbSEs.	Maximum sustainable yield levels can be easily approximated for all major products.
	2. CbSE business plans and management strategies include explicit objectives to allocate net revenues for conservation and rehabilitation.	Existing community enterprises do not have specific objectives to allocate revenues for conservation or rehabilitation.	Every CbSE supported by the project has explicit objectives to allocate net revenues for conservation and rehabilitation.	CbSE business plans and marketing strategies.	CbSEs have transparent governance and accountability mechanisms.
Outcome 2.3: Human and technological capacities in producer communities are strengthened	1. CbSEs have the necessary skills and tools to produce products which meet the requirement for certification.	Community has basic skill in product development and productions.	CbSE in 4 communities are producing products which meet relevant certification standard	Data collected by BEDO (e.g. technical reports)	Community members have motivation and willingness to develop sufficient skill.
	2. CbSEs have a transparent and participatory governance mechanism.	Community enterprises have basic rule and regulation for governance.	set governance mechanism which clearly includes participation, inclusiveness and gender parity.	CbSE rule and regulation.	Communities are aware of governance issue and willing to participate in the development of CbSE governance.
<b>Component 3: Mainstreaming Biodiversity Business into the Supply Chains of High-value Consumer Markets</b>					
Outcome 3.1: Demand-driven design and	1. Mainstreaming of high-value products from biodiversity businesses is	Present community-based products are designed for local	a. At least 50% of CbSE products are designed for high-value consumer	Data collected by BEDO (e.g. technical reports)	The CbSE products' design is protected by Intellectual

Project Strategy	Objectively verifiable indicators	Baseline	Target	Source of verification	Risks and assumptions
branding of high-value products	increased through development of appropriate products designs, focused on niche-markets of lifestyle consumers in Thailand and selected export markets, as demonstrated by number of CbSE products successfully designed, branded for introduction into target markets	markets with little coherence with high-value consumer demand	markets b. 25% of the products from pilot communities are successfully introduced into high-value markets		Property (Copy Right) to prevent plagiarism.
	2. Quality and value of CbSE products have been increased and meet BEDO certification standard for selected markets	No certified CbSE products in the pilot sites	80% of BEDO certified products recognised by and 20% endorsed by other relevant certifications e.g. FDA, Community Product Industrial standard	Data collected by BEDO (e.g. technical reports)	Risks of pollution and contamination can be monitored and mitigated.
Outcome 3.2: Reduction of transaction costs through transformation in the supply chains	Transformation of supply chains have been demonstrated in relation to products from the target regions, as demonstrated by optimum of alternative supply chains provided.	No data on optimum alternative supply chains available for project sites  The wholesale and retail actors keep the majority of value added	a. At least 50% of the pilot cases have introduced optimum alternative supply chains to increase gate revenue; b. Transaction costs are reduced in comparison to existing transaction costs	Reports from project evaluations	Private Sector is positive to collaborate to provide optimum alternative supply chains
Outcome 3.3: Increased investment and subsidy options for Community-based Social Enterprises	1. Appropriate investment options for pilot CbSE's have been identified, as demonstrated by a) No. of dedicated investment windows in	Numerous public and private investment facilities available but not dedicated to small-scaled investment for CbSE's	80% of finance needs for pilot CbSE's are being met	Data collected by BEDO (e.g. technical reports)	Sufficient community capacity for investment management  Communities are

Project Strategy	Objectively verifiable indicators	Baseline	Target	Source of verification	Risks and assumptions
	public and private sector b) No. of non-profit social and environmental investment funds				willing to make investment for CbSE
	1.Amount of subsidies raised for pilot CbSE's in relation to: <ul style="list-style-type: none"> <li>National Government subsidies;</li> <li>Local Government Organisations;</li> <li>Not-for-Profit organisations/ Foundations</li> </ul>	There are several national and local subsidy schemes provided by government and not-for-profit organisations There is limited collaboration with CSR on CbSE and biodiversity conservation and rehabilitation in the target areas	10% of costs for biodiversity conservation activities are supported via Government and NGO subsidy programs At least 4 projects from CSR collaboration in the target areas	Data collected by BEDO (e.g. technical reports)	Sources of fund from different agencies are available and accessible Private Sector is willing to engage CbSE and biodiversity conservation into their CSR agenda
	2. No. of projects from increased CSR collaborations on CbSE and biodiversity conservation in the target areas				
Outcome 3.4: Strengthened awareness about commercial potentials in biodiversity business.	Types of IEC <sup>18</sup> materials on the potential of CbSE for biodiversity business for general public	There is limited awareness, campaigns, advocacy, on the potential of CbSE for biodiversity business	IEC materials developed in the form of print, audio-visual, internet At least 0.5% of the total communities across the country have contacted BEDO for support for possible replication	IEC Materials	Project partners and stakeholders are willing to disseminate IEC Materials.

<sup>18</sup> IEC = Information, Education, and Communication

## A7.2 Proposed revision of Results Framework

Project Strategy	Objectively verifiable indicators	Baseline	Target	Source of verification	Risks and assumptions
Objective: To strengthen national and local capacity for mainstreaming biodiversity into the management of ecologically important production landscapes by transforming the supply and market chain of biodiversity based products.	1. The national governance system provides positive incentives and effective business facilitation and marketing support for biodiversity business development through BEDO and its partner network, demonstrated by: a. No. of enterprises for community-based biodiversity business assisted b. No of sustainable biodiversity-based products in target markets	a. BEDO has provided targeted support approx. 35 community enterprises, but with limited focus on mainstreaming b. Limited focus on export markets for biodiversity business	a. At least 10 pilot products of community-based social enterprises (CbSE) supported in making high-value a) bamboo and other NTFP products, b) agricultural and horticultural products, c) marine products, d) tourism and recreation services successfully mainstreamed into the commercial markets b. at least 5 of the pilot products successfully selling into national and export markets	Surveys of target sites	The private sector will see commercial advantages in supporting biodiversity business  The producers will be able to produce high quality products in sufficient amount to attract interest from major actors in the market
	2. Community-based social enterprises and commercial supply chains for biodiversity-based products increases family income, biodiversity conservation incentives and market share of certified sustainable production in target areas, demonstrated by a. Percentage of certified sustainable bamboo, marine- and other	a. No certification schemes are currently in use in target sites. b. Interviews at target sites indicate THB 5,000-10,000 per household/ month derived from <i>existing</i> biodiversity-based products; Percentage from <i>certified</i> products is zero. c. No systematic community funding specifically allocated for	a) At end-project at least 30% of total product output from target sites is certified sustainable. b) At end-project, percentage of household incomes derived from certified products averages at least 25%. c) At end-project at least 10% of net annual CbSE revenue allocated to conservation and rehabilitation activities.	Surveys of target sites	Success of the CbSE model does not result in purely commercial competitors attempting to hijack the markets created. (Free-rider risk)  CbSEs are able to generate net profits within the project period.

Project Strategy	Objectively verifiable indicators	Baseline	Target	Source of verification	Risks and assumptions
	biodiversity-based products produced from project sites (percentage of total product output) b. Percentage of average household income derived from certified biodiversity products. c. Percentage of CbSE revenue allocated for biodiversity conservation and rehabilitation	biodiversity conservation.			
	3. Increase in percentage of target landscapes and seascapes under community-based sustainable management or co-management.	Less than 2.5% land- and sea-scapes managed by target communities is under sustainable management.	By end-project at least 5% of land and sea-scape managed by target communities is under sustainable management.	Community-based monitoring reports from their production landscapes	External economic forces do not alter significantly to induce communities to convert/ sell land.
<b>Component 1: Building National Capacity for Support of Biodiversity Business</b>					
Outcome 1.1 Institutional capacity and staff competences for national support to biodiversity business established.	1. Enabling national policies, laws and regulations introduced by appropriate government departments w respect to: a) land use rights for biodiversity business b) Community based Social Enterprise establishment and operation c) incentives for community-based biodiversity conservation	a. Several unsolved conflicts about community land use rights not settled b. Overall policies, laws and regulations for biodiversity conservation and for mainstreaming of biodiversity business largely in place, but no regulation directly targeted to promote and facilitate CbSEs. c. No specific enabling policies, regulations etc.	A comprehensive policy and regulatory framework for CbSEs is developed, and submitted to the relevant Government authorities, which addresses: a. Land use/ tenure rights for communities operating CbSEs b. Enabling and promoting CBSE establishment and operation; c. Incentives for CbSEs	Documentation of submissions to relevant Government authorities.	Departments and – subsequently – the parliament will agree to pass the proposed policy and regulatory framework.

Project Strategy	Objectively verifiable indicators	Baseline	Target	Source of verification	Risks and assumptions
		on incentives for CbSEs	and conservation.		
	2. BEDO has the institutional capacities, organizational structure and resources required to act as national biodiversity business facility to facilitate development of CbSEs, as measured by the Capacity Scorecard.	BEDO has been mandated in law and established, however institutional capacities for business facilitation are at the average level, as indicated in the Capacity Scorecard assessment (42/69).	The institutional capacity scores for business facilitation are raised 50% in relation to baseline at end of project	Survey reports From evaluations	BEDO board is strongly motivated to create a biodiversity business facility.
	3. BEDO staff have the technical capacities (skills, technical qualifications and experience) needed by a biodiversity business facility, as measured by the Capacity Scorecard	Baseline technical capacities assessed as low to medium, as indicated in the Capacity Scorecard (14/27).	The staff Capacity Scores are raised 50% in relation to baseline at end of project	Survey reports From evaluations	BEDO staff is both motivated and professional equipped to perform the tasks of a biodiversity business facility
Outcome 1.2: Collaboration with and capacities in Partner Networks of the Biodiversity Business Facility are strengthened	1. Through the Partner Network, BEDO has the capacity to assess market needs and demands, and to develop targeted solutions to issues such as sustainable harvesting, waste minimization and reuse, low-impact packaging, etc.	Individual and ad-hoc analysis of various aspects of biodiversity business have been undertaken by partners, however no systematic and comprehensive analytical capacity.	By project mid-point, the Partner Network clearly demonstrates the capacity and willingness to partner with BEDO in identifying, analyzing and resolving sustainable production and market development issues identified in the development of CbSEs.	Mid-term evaluation assessment	Research institutions and other partners are willing to support BEDO and CbSE needs and to cooperate constructively in multi-disciplinary studies.
	2. Through the Partner Network, local communities and CbSEs have increased access to extension and business development services, through a comprehensive	Limited collaboration mechanism among BEDO partners for providing extension services of biodiversity business development for CbSE	Comprehensive and systematic collaboration mechanism with BEDO partners established to provide the extension services of biodiversity business development for	Collaboration guidelines and minutes of meetings	Commitment of BEDO partners to strengthen collaboration on extension services

Project Strategy	Objectively verifiable indicators	Baseline	Target	Source of verification	Risks and assumptions
	and systematic collaboration mechanism providing support on sustainable harvesting and production; biodiversity business development and management; and biodiversity conservation and rehabilitation.		CbSE.		
<b>Component 2: Piloting Community-based Social Enterprises in Valuable Eco-regions</b>					
Outcome 2.1: Community-based sustainable production and <i>in-situ</i> biodiversity conservation and rehabilitation is strengthened.	1. Appropriate methods for community-based monitoring of biodiversity status for data collection: a. Appropriate monitoring systems developed for project sites. b. No. of communities applying monitoring systems.	Systems of biodiversity status data collection conducted by communities are: a. Inadequate/ insufficiently site-specific. b. Not applied by target communities	a. Appropriate systems developed for community monitoring of biodiversity status by the end of second year. b. At least 4 communities actively applying appropriate monitoring systems by the end of year 3.	Project reports; Mid-term Review	Community engages in the development and implement of monitoring system.
	2. Number of biodiversity conservation and rehabilitation projects planned & implemented by communities using revenues derived from CbSEs.	No community-initiated conservation projects financed by CbSEs.	At end-project at least four conservation and/ or rehabilitation projects under way, financed by revenues from CbSEs.	Project monitoring reports.	CbSEs generate sufficient profits to finance conservation/ rehabilitation projects during project lifetime.
Outcome 2.2: Pilot Models for Community-based Social Enterprises	1.a.CbSEs are using maximum sustainable yield as a limit to set production levels.	a. Existing community enterprises do not have capacity to assess maximum sustainable	a. CbSE business plans incorporate maximum sustainable yield as a limit in setting production	Business plans and reports of CbSEs.	Maximum sustainable yield levels can be easily approximated for

Project Strategy	Objectively verifiable indicators	Baseline	Target	Source of verification	Risks and assumptions
(CbSE) with Combined Objectives of Income generation, Sustainable Production and Biodiversity conservation are established.	b.Change in marginal revenue per unit of resource use.	yield. b. Marginal revenue per unit of resource use varies depending on product.	levels. b. Marginal revenue per unit of resource use increases by at least 10% on average across all product lines.		all major products.
	2. CbSE business plans and management strategies include explicit objectives to allocate net revenues for conservation and rehabilitation.	Existing community enterprises do not have specific objectives to allocate revenues for conservation or rehabilitation.	Every CbSE supported by the project has explicit objectives to allocate net revenues for conservation and rehabilitation.	CbSE business plans and marketing strategies.	CbSEs have transparent governance and accountability mechanisms.
Outcome 2.3: Human and technological capacities in producer communities are strengthened	1. No. of CbSEs that have the necessary skills and tools to produce products which meet the requirement for certification.	Communities have only basic skills in product development and production.	CbSEs in 4 communities are producing products which meet relevant certification standard	Data collected by BEDO (e.g. technical reports)	Community members have motivation and willingness to develop sufficient skill.
	2. No. of CbSEs that have a transparent and participatory governance mechanism.	Community enterprises have only basic rules and regulation for governance.	4 CbSEs set a governance mechanism which clearly includes participation, inclusiveness and gender parity.	CbSE rule and regulation.	Communities are aware of governance issue and willing to participate in the development of CbSE governance.
<b>Component 3: Mainstreaming Biodiversity Business into the Supply Chains of High-value Consumer Markets</b>					
Outcome 3.1: Demand-driven design and branding of high-value products	1. Mainstreaming of high-value products from biodiversity businesses is increased through development of appropriate products designs, focused on niche-markets of lifestyle	Present community-based products are designed for local markets with little coherence with high-value consumer demand	a. At least 50% of CbSE products are designed for high-value consumer markets b. 25% of the products from pilot communities are successfully introduced into high-	Data collected by BEDO (e.g. technical reports)	The CbSE products' design is protected by Intellectual Property (Copy Right) to prevent plagiarism.

Project Strategy	Objectively verifiable indicators	Baseline	Target	Source of verification	Risks and assumptions
	consumers in Thailand and selected export markets, as demonstrated by: a. Percentage of CbSE products successfully designed and branded for introduction into niche-markets of lifestyle consumers in Thailand and selected export markets. b. Percentage of CbSE products successfully introduced into high-end markets.		value markets		
	2. Quality and value of CbSE products have been increased: % of products meeting BEDO certification standard also meeting other certification for selected markets	No certified CbSE products in the pilot sites	80% of BEDO certified products recognised by and 20% endorsed by other relevant certifications e.g. FDA, Community Product Industrial standard	Data collected by BEDO (e.g. technical reports)	Risks of pollution and contamination can be monitored and mitigated.
Outcome 3.2: Reduction of transaction costs through transformation in the supply chains	Transformation of supply chains have been demonstrated in relation to products from the target regions, as demonstrated by: a. Percentage of CbSEs with optimum alternative supply chains b. Percentage reduction in transaction costs along	a. No optimum alternative supply chains available for project sites b. The wholesale and retail actors keep the majority of value added	a. At least 50% of the pilot cases have introduced optimum alternative supply chains to increase gate revenue; b. Transaction costs are reduced by 10% in comparison to the existing transaction costs	Reports from project evaluations	Private Sector is positive to collaborate to provide optimum alternative supply chains

Project Strategy	Objectively verifiable indicators	Baseline	Target	Source of verification	Risks and assumptions
	supply chain				
Outcome 3.3: Increased investment and subsidy options for Community-based Social Enterprises	1. Appropriate investment options for pilot CbSEs have been identified, as demonstrated by a) No. of dedicated investment windows in public and private sector b) No. of non-profit social and environmental investment funds	Numerous public and private investment facilities available but not dedicated to small-scaled investment for CbSEs	a) 4 dedicated investment windows in public and private sector b) 4 non-profit social and environmental investment funds	Data collected by BEDO (e.g. technical reports)	Sufficient community capacity for investment management. Communities are willing to make investment for CbSE
	2. Percentage of CbSE conservation costs are supported by subsidies raised through: • National Government subsidies; • Local Government Organisations; • Not-for-Profit organisations/ Foundations	There are several national and local subsidy schemes provided by government and not-for-profit organisations	10% of costs for biodiversity conservation activities are supported via Government and NGO subsidy programs	Data collected by BEDO (e.g. technical reports)	Sources of fund from different agencies are available and accessible
	3. No. of projects with increased CSR collaborations on CbSE and biodiversity conservation in target areas	There is limited collaboration with CSR on CbSE and biodiversity conservation and rehabilitation in target areas	At least 4 projects with CSR collaboration in the target areas	Data collected by BEDO (e.g. technical reports)	Private Sector is willing to engage CbSE and biodiversity conservation into their CSR agenda
Outcome 3.4: Strengthened awareness about commercial	Awareness of the potential of CbSE for biodiversity business for general public is	a. There is limited awareness, campaigns, advocacy, on the potential of CbSE for biodiversity	a. IEC materials developed in the form of print, audio-visual, internet	a. IEC Materials b. BEDO Community-based Economy	Project partners and stakeholders are willing to disseminate IEC

Project Strategy	Objectively verifiable indicators	Baseline	Target	Source of verification	Risks and assumptions
potentials in biodiversity business.	developed through a. new IEC <sup>19</sup> materials in different media: print, audio-visual, internet. b. % expansion of the network of communities contacted by BEDO.	business b. 80 communities were part of BEDO network	b. At least 50% increase in number of communities across the country that have contacted BEDO for support for possible replication	Development Group (staff name: Mr.Tanakorn Udomruksasup)	Materials.

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<sup>19</sup> IEC = Information, Education, and Communication

### A7.3 Summary of proposed changes to Results Framework

Element of Original SRF	Change made	Justification
<b>Project Objective</b>		
1 <sup>st</sup> Indicator	<ul style="list-style-type: none"> <li>Indicator b. Delete "and turnover from of commercial supply chain actors from project sites involved in marketing of "</li> <li>Baseline: Delete a. and c.</li> </ul>	<ul style="list-style-type: none"> <li>The structure of the Baseline and Target should parallel that of the Indicator. In the original logframe, all three have different sub-indicators. We have retained the two in the Indicator column, with slight modification. These are the indicators that have been reported on during implementation.</li> <li>Indicator b. "turnover from of commercial supply chain actors from project sites involved in marketing of " is a separate measure from "sustainable biodiversity products" entering markets and is not addressed in either the Baseline or Target (or any Quarterly Reports or PIRs); it is also difficult to quantify and is a perhaps less meaningful than net income.</li> <li>The original Baseline points a. and c. about national framework and systematic mainstreaming are not reflected in either the Indicators or Targets. Deleting them does not reduce the scope of the Indicators or provide a meaningful Baseline, since they are not Targets.</li> </ul>
2 <sup>nd</sup> Indicator	<ul style="list-style-type: none"> <li>Insert Indicator "b. Percentage of average household income derived from certified biodiversity products." Change current Indicator b. to c.</li> <li>Baseline: Note that while there is income from <i>existing</i> biodiversity products, the "Percentage of average household income from <i>certified</i> biodiversity products is zero".</li> </ul>	<ul style="list-style-type: none"> <li>Both the Baseline and Target refer to indicators of household income, so this should be reflected in the Indicator text.</li> <li>The measure "Percentage of household income" is more meaningful, and in line with the Target, than absolute amount in THB, so this wording should be used in the Indicator and Baseline texts. The Baseline was 0% <i>certified</i> products.</li> </ul>
3 <sup>rd</sup> Indicator	No change needed	•
<b>Outcome 1.1</b>		
1 <sup>st</sup> Indicator	<ul style="list-style-type: none"> <li>Baseline: <ul style="list-style-type: none"> <li>Move "Several unsolved conflicts text..." to a.;</li> <li>Combine and link a. "Overall policies..." and c. "No regulation...";</li> <li>Add c. No specific enabling policies, regulations etc. on incentives for CbSEs</li> </ul> </li> <li>Target: Add text ", which addresses: <ul style="list-style-type: none"> <li>a. Land use/ tenure rights for communities operating CbSEs</li> <li>b. Enabling and promoting CBSE establishment and operation;</li> <li>c. Incentives for CbSEs and</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>The Baseline sub-indicators should parallel those in the Indicator column.</li> <li>The Target should be separated into the three components noted in the Indicator and Baseline text. It would also be a clearer way to report progress on the different aspects of the policy and regulatory framework for CbSEs.</li> </ul>

Element of Original SRF	Change made	Justification
	conservation. "	
2 <sup>nd</sup> Indicator	<ul style="list-style-type: none"> <li>Baseline: Give the baseline score for institutional criteria = 42/69</li> </ul>	<ul style="list-style-type: none"> <li>The Capacity Scorecard baseline values for institutional development are available in the ProDoc and should be specified.</li> </ul>
3 <sup>rd</sup> Indicator	<ul style="list-style-type: none"> <li>Baseline: Give the baseline score for institutional criteria = 14/27</li> </ul>	<ul style="list-style-type: none"> <li>The Capacity Scorecard baseline values for individual staff development are available in the ProDoc and should be specified.</li> </ul>
<b>Outcome 1.2</b>		
1 <sup>st</sup> Indicator	<ul style="list-style-type: none"> <li>No change, but reservations noted.</li> </ul>	<ul style="list-style-type: none"> <li>This Indicator and Target are not very Specific or Measurable. The Timeframe (Mid-Term) is clearly not realistic, and was identified as such in PIRs. However, it cannot be changed now.</li> </ul>
2 <sup>nd</sup> Indicator	<ul style="list-style-type: none"> <li>Indicator: Combine sub-indicators a-c. into aspects of a comprehensive support mechanism</li> </ul>	<ul style="list-style-type: none"> <li>Make the Indicator text parallel the Baseline and Target. Original Indicator were not measureable.</li> </ul>
<b>Outcome 2.1</b>		
1 <sup>st</sup> Indicator	<ul style="list-style-type: none"> <li>Indicator: Add two specific sub-Indicators: " a. Appropriate monitoring systems developed for project sites.; b. No. of communities applying monitoring systems."</li> <li>Change Baseline to " Systems of biodiversity status data collection conducted by communities are: a. Inadequate/ insufficiently site-specific.; b. Not applied by target communities"</li> <li>Target: Add sub-headings a. and b.</li> </ul>	<ul style="list-style-type: none"> <li>Make Indicator specific and in parallel with the Target</li> <li>Make the Baseline reflect the Indicator and Target.</li> </ul>
2 <sup>nd</sup> Indicator	<ul style="list-style-type: none"> <li>No change needed</li> </ul>	<ul style="list-style-type: none"> <li></li> </ul>
<b>Outcome 2.2</b>		
1 <sup>st</sup> Indicator	<ul style="list-style-type: none"> <li>Change "benchmark" in Indicator and "variable" in Target to "limit"</li> <li>Change numbers in Baseline and Target to letters, a, b.</li> </ul>	<ul style="list-style-type: none"> <li>Minor editing changes to improve parallel structure of sub-indicators</li> <li>MSY in sub-Indicator and Target a. should be an upper limit for production levels, not "benchmark" or "variable".</li> </ul>
2 <sup>nd</sup> Indicator	<ul style="list-style-type: none"> <li>No change needed</li> </ul>	<ul style="list-style-type: none"> <li></li> </ul>
<b>Outcome 2.3</b>		
1 <sup>st</sup> Indicator	<ul style="list-style-type: none"> <li>Indicator: Specify that a "No. of CbSEs" should have the necessary skills</li> <li>Baseline: Note that "Communities have only basic skills..."</li> <li>Target: Specify 4 CbSEs</li> </ul>	<ul style="list-style-type: none"> <li>The Indicator should be Specific; the Target specifies a number of CbSEs with skills.</li> <li>Clarify the language of the Baseline</li> <li>There should be a target number of 4 CbSEs with governance mechanisms.</li> </ul>
2 <sup>nd</sup> Indicator	<ul style="list-style-type: none"> <li>Indicator: Specify that a "No. of CbSEs" should have a ... governance mechanism."</li> <li>Baseline: Note that "Communities have only basic rules..."</li> <li>Target: Specify 4 CbSEs.</li> </ul>	<ul style="list-style-type: none"> <li>The Indicator should be Specific; the Target specifies CbSEs in 4 communities.</li> <li>Clarify the language of the Baseline</li> <li>There should be a target number of 4 CbSEs with governance mechanisms.</li> </ul>
<b>Outcome 3.1</b>		
1 <sup>st</sup> Indicator	<ul style="list-style-type: none"> <li>Indicator: Change to " a. Percentage</li> </ul>	<ul style="list-style-type: none"> <li>Separate into two sub-indicators, in</li> </ul>

Element of Original SRF	Change made	Justification
	of CbSE products successfully designed and branded for introduction into niche markets... b. Percentage of CbSE products successfully introduced into high-end markets."	parallel with the Target.
2 <sup>nd</sup> Indicator	• Indicator: Add "% of products meeting BEDO certification standard also meeting other certification..."	• Make text more Specific and parallel to the Target
<b>Outcome 3.2</b>		
Indicator	• Indicator: Change to " a. Percentage of CbSEs with optimum alternative supply chains b. Percentage reduction in transaction costs along supply chain" • Target: b. Specify XX% reduction in transaction costs.	• Indicator: Separate transformation of supply chains into two sub-indicators, in line with the Target. • Make Target b. parallel to Indicator, - and Specific, thus quantitative: e.g. 10% reduction in transaction costs, rather than just "reduced".
<b>Outcome 3.3</b>		
1 <sup>st</sup> Indicator	• Target: Change to " a) 4 dedicated investment windows in public and private sector b) 4 non-profit social and environmental investment funds"	• The Target text should be coherent and parallel with the Indicator • Target numbers of investments in public and private sector, and of investment funds, should be specified. Suggest a Target of 4 for each of a. and b., based on one for each project site.
2 <sup>nd</sup> Indicator	• Indicator: Change to "2. Percentage of CbSE conservation costs are supported by subsidies raised through..."	• Indicator text should be coherent and parallel with Target
3 <sup>rd</sup> Indicator	• Make 3 <sup>rd</sup> Indicator for No. of projects with CSR collaboration	• This is a separate Indicator from that of % of costs from subsidies.
<b>Outcome 3.4</b>		
Indicator	• Indicator: Change to " Awareness of the potential of CbSE for biodiversity business for general public is developed through a. new IEC materials in different media: print, audio-visual, internet. b. % expansion of the network of communities contacted by BEDO. " • Baseline: Add sub-indicator "b. 80 communities were part of BEDO network" • Target: Make sub-indicators a & b.; Change b. to "...50% increase in number of communities... that have contacted BEDO..."	• Indicator text should be coherent and parallel to the Target text. • Baseline: According BEDO sources, there were 80 communities working with BEDO in 2012 before the project started. Therefore there is a Baseline of 80 communities. • Target should be clearly stated as two sub-indicators • Target b. should be 50% increase in communities contacting BEDO; according to BEDO sources, they intend to add 10 communities per year, so by 2015, there should be 40 additional communities, or an increase of 50%.

## Annex 8. Summary matrix of progress towards Results

Project Strategy	Indicator <sup>20</sup>	Baseline Level <sup>21</sup>	Level in 1 <sup>st</sup> PIR (self-reported)	Midterm Target <sup>22</sup>	End-of-project Target	Midterm Level & Assessment <sup>23</sup>	Achievement Rating <sup>24</sup>	Justification for Rating
<b>Objective: To strengthen national and local capacity for mainstreaming biodiversity into the management of ecologically important production landscapes by transforming the supply and market chain of biodiversity based products</b>							<b>MS</b>	The three indicators are On target, with work remaining to help CbSEs develop supply chains to target markets, achieve certification of products, contribute to household incomes and biodiversity conservation, and increase the area covered by successful community bio-business.
<b>Objective</b>	<b>Indicator 1:</b> The national governance system provides positive incentives and effective business facilitation and marketing support for biodiversity business development through BEDO and its partner network, demonstrated by: a) No. of enterprises for community-based biodiversity business assisted b) No and	a.) National framework for establishment of community enterprises based on local products in place via OTOP programme b) BEDO has provided targeted support to approx.. 35 community enterprises, but with limited focus on mainstreaming c) Very few cases of systematic and comprehensive	N/A - pilot products will be launch in 2014. The project partners, working in 4 pilot areas, have cooperated with communities members to identified biodiversity products which have potential to be pilot Community-based Social Enterprise (CbSE) products. Communities had agreed with 6 products namely, Ranong: processed seafood and eco-tourism, Phang		At least 10 pilot products of CbSE supported in making high-value,( a) bamboo and other NTFPs, (b) agricultural and horticultural products, (c) marine products, (d) tourism and recreation services successfully mainstreamed into the commercial markets -at least 5 of the pilot products successfully selling into national and export markets	a)Six (6) types of diversity-based products/ services have been developed and sold locally by CbSEs in 4 pilot sites - 4 marine and 2 bamboo-related. b)There has been movement towards integration in supply chains, but the products have not yet been distributed to national or export target markets, as progress in developing the products has occurred only recently.		Actions towards this indicator are making reasonable progress, with more expected in the remainder of the project, and some work remaining to be done:

<sup>20</sup> The MTR will populate with data from the Logframe and scorecards

<sup>21</sup> The MTR will populate with data from the Project Document

<sup>22</sup> If available

<sup>23</sup> The MTR will colour code this column only

<sup>24</sup> The MTR will use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

Project Strategy	Indicator <sup>20</sup>	Baseline Level <sup>21</sup>	Level in 1 <sup>st</sup> PIR (self-reported)	Midterm Target <sup>22</sup>	End-of-project Target	Midterm Level & Assessment <sup>23</sup>	Achievement Rating <sup>24</sup>	Justification for Rating
	turnover of commercial supply chain actors from project sites involved in marketing of sustainable biodiversity-based products in target markets	mainstreaming of biodiversity d). Limited focus on export markets for biodiversity business	Nga: processed seafood and herbal shampoo, Kanjanaburi: Bamboo particle products, Prachinburi: bamboo charcoal products. - in 2013, study related factors for CbSE establishment					
	<b>Indicator 2:</b> Community-based social enterprises and commercial supply chains for biodiversity-based products increases family income, biodiversity conservation incentives and market share of certified sustainable production in target areas, demonstrated by a) Percentages of certified sustainable bamboo-, marine-and other biodiversity-based products produced from project sites (percentages of total product output)	a) No certification schemes are currently in use in target sites. b) Interviews at target sites indicate Bht 5,000/10,000/h .h/month derived from biodiversity-based product c) No systematic community funding specifically allocated for biodiversity conservation	N/A - BEDO's 'Bio-responsible product' label for CbSE has been designed and developed to promote biodiversity products. - Criteria of product standard certification has been developing under BEDO and related partners' terms: which are, 1) eco-friendly product 2) Local content 3) Future of the origin.		a) At least 30% of total product output from target sites is certified sustainable b) Percentage of household incomes derived from certified products averages at least 25% c) At least 10% of net annual CbSE revenue allocated to conservation and rehabilitation activities, supporting conservation initiatives across at least 100,000 ha of critical landscape including coastal mangrove areas	a) One out of the six products (Bamboo charcoal soap) has been certified by BEDO under its BioEconomy Mark. Two products (Bamboo charcoal and shrimp paste) are in preparation stage to apply for FDA certificates. They are building production shops to satisfy FDA requirements. b) No systematic survey on impact on household income has been conducted but the prospect appears good. The project plans to conduct the survey 6 months after the products are sold in high-value market (towards the end of the project) c) All CbSE groups have indicated in their plan to allocate 10% of the net revenue to support conservation and rehabilitation activities but no measurable funds have been		Progress has been steady, with remaining requirements on target for completion by EoP.

Project Strategy	Indicator <sup>20</sup>	Baseline Level <sup>21</sup>	Level in 1 <sup>st</sup> PIR (self-reported)	Midterm Target <sup>22</sup>	End-of-project Target	Midterm Level & Assessment <sup>23</sup>	Achievement Rating <sup>24</sup>	Justification for Rating
	b)Percentage of CbSE revenue allocated for biodiversity conservation and rehabilitation					allocated yet, since the businesses are in their early development stage. However, in all CbSE communities, conservation awareness is evident and conservation activities supported by other funding sources have been on-going. Surveys to assess this indicator will be conducted in 2015.		
	<b>Indicator 3:</b> Increase in percentage of target landscapes and seascapes under community-based sustainable management of co-management	Less than 2.5% land-and sea-scapes managed by target communities is under sustainable management	Process is in stage of educating communities and coordinating with stakeholders at pilot sites to plan biodiversity conservation and utilization model. This model focuses on portioning out income from sustainable biodiversity products and services to use for ecosystem conservation and rehabilitation.		At least 5% of land and sea-scape managed by target communities is under sustainable management	<ul style="list-style-type: none"> <li>The trend has been towards improving the management of existing areas where communities have direct impact rather than expanding into new areas.</li> <li>Within the existing target areas the % of land area under improved sustainable management should increase as buffer zones of indirect coverage noted in the METT, but likely not to 5%.</li> </ul>		<ul style="list-style-type: none"> <li>Project activities have not been aimed at increasing the size of territory under conservation management, but at building improved capacity for such systems within the land directly occupied by existing communities.</li> <li>This is likely to have a spillover effect of improved conservation status in buffer zones.</li> <li>However, reaching the Target of doubling the area under sustainable management is unlikely.</li> </ul>
<b>Component 1: Building National Capacity for Support of Biodiversity Business</b>							<b>MU</b>	<ul style="list-style-type: none"> <li>Legislation and policies enabling sustainable bio-business are being advanced through the actions of the project, and capacity development of BEDO Is progressing (although it should be accelerated). However, development of the Partner Network has lagged behind and needs special</li> </ul>

Project Strategy	Indicator <sup>20</sup>	Baseline Level <sup>21</sup>	Level in 1 <sup>st</sup> PIR (self-reported)	Midterm Target <sup>22</sup>	End-of-project Target	Midterm Level & Assessment <sup>23</sup>	Achievement Rating <sup>24</sup>	Justification for Rating
<b>Outcome 1:1:</b> Institutional capacity and staff competences for national support to biodiversity business established	<b>Indicator 1:</b> 1. Enabling national policies, laws and regulations introduced by appropriate government departments with respect to: a) land use rights for biodiversity business b) CBSE establishment and operation c) incentives for community-based biodiversity conservation	a) Overall policies, laws, and regulations for biodiversity conservation and mainstreaming of biodiversity business largely in place b) Several unsolved conflicts about community land use rights not settled c) No regulation directly targeted to promote and facilitate CbSEs.	BEDO has organised subcommittee for establishing of national policy - Draft final report of the national policy has been developed (finish in July 2013) - Regulatory on biodiversity business will be reviewed for submitting to government within December 2013		A comprehensive policy and regulatory framework for CbSEs is developed, and submitted to the relevant Government authorities	<ul style="list-style-type: none"> <li>The Biodiversity-based Economy Promotion and Development Act is currently under the process of public review before submission for Cabinet's approval. The project is a main driver for this initiative and contributed to the development of the Act in various ways, including outlining key questions for the ToR of the drafting group and sponsoring consultative meetings of the working group from BEDO and academics.</li> <li>BEDO has also started the process to review bio-business promotion laws</li> <li>National biodiversity business policy proposed by BEDO is in the process of consideration by the Cabinet, via the Permanent Secretary, Ministry of Natural Resources and Environment. A process of public hearing is underway.</li> </ul>		<p>efforts if it is well-established by EoP.</p> <ul style="list-style-type: none"> <li>The Biodiversity-based Economy Promotion and Development Act and the draft policy under development through project support cover measures for biodiversity-based economic development and CbSE bio-business which include all indicators of this outcome.</li> </ul>
	<b>Indicator 2:</b> BEDO has the institutional structure and resources required to act as national biodiversity business facility to facilitate	BEDO has been mandated in law and established, however institutional capacities for business facilitation are at the average	PMU and BEDO have established 'BioEconomy Academy' responsible for development and supporting of biodiversity business. This activity is under in		The institutional capacity scores for business facilitation are raised 50% relation to baseline at end of project.	<ul style="list-style-type: none"> <li>According to the UNDP Capacity Development Scorecard, BEDO institutional capacity has increased by 8% from the baseline (from 42/69 to 45.5/69).</li> <li>Number of BEDO's staff have increased by 83% from the beginning of the</li> </ul>		<ul style="list-style-type: none"> <li>Institutional capacity development has increased through project support, but the momentum needs to be accelerated if the target is to be reached.</li> </ul>

Project Strategy	Indicator <sup>20</sup>	Baseline Level <sup>21</sup>	Level in 1 <sup>st</sup> PIR (self-reported)	Midterm Target <sup>22</sup>	End-of-project Target	Midterm Level & Assessment <sup>23</sup>	Achievement Rating <sup>24</sup>	Justification for Rating
	development of CbSEs, as measured by the Capacity Scorecard	level, as indicated in the Capacity Scorecard assessment	the process of site renovation and designing biodiversity business training programs.			project. • Through the project's initiative and financial support, BEDO has established its National Assembly on Sustainable Conservation and Utilization of Biodiversity Resources with 12 core communities and 322 networked communities across the country.		
	<b>Indicator 3:</b> BEDO staff have the technical capacities (skills, technical qualifications and experiences) needed by a biodiversity business facility, as measured by the Capacity Scorecard	Baseline technical capacities assessed as low to medium, as indicated in the Capacity Scorecard	Set up training programs to build capacity of 55 BEDO staff in Q3 and Q4 of 2013. The programs consist of: 1) study trip in Kasetsart University, Kamphaengsaen campus (July 2013) 2) study trip on PES in Krabi and Naan province (August 2013) 3) study trip on sustainable development by private sector (December 2013)		The staff Capacity Scores are raised 50% relation to the baseline at end of project	• BEDO's staff capacity score has increased by some 7% from the baseline (from 14/27 to 15/27). A systematic training needs assessment linked to the organizational competency profile would be needed to help progress.		• Staff capacity development has increased through project support but the momentum needs to be accelerated if the target is to be reached.
<b>Outcome 1.2: Collaboration with and capacities in Partner Networks of the Biodiversity Business Facility are strengthened</b>	<b>Indicator 1:</b> Through the Partner Network, BEDO has the capacity to assess market needs and demands, and to develop targeted solutions to issues such as sustainable harvesting, waste	Individual and ad-hoc analysis of various aspects of biodiversity business have been undertaken by partners, however no systematic and comprehensive	The level at June 2013 was TEI (coastal and marine product) and RTF (bamboo product) had studied communities potential and biodiversity resources status to identify pilot biodiversity	Partner Network clearly demonstrates the capacity and willingness to partner with BEDO in identifying, analysing and resolving sustainable production and		• Through RTF and TEI, collaborative links between BEDO and Bangkok-based and local universities, and with the Royal Forestry Department, were developed to improve CbSE production and packaging to meet high end consumers. However, the Partner		• Considerably more attention is needed towards developing a more broadly based, multi-sectoral and sustainable Partner Network.

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	minimization and reuse, low-impact packaging, etc.	analytical capacity.	products for CbSEs, including developed CbSEs' structure, set up management procedures, gathered subsidy sources and studied market chain to benefit CbSE products in the future. According to project log frame, activities for this outcome will be accomplished at the end of 2013.	market development of CbSEs		<p>Network is supposed to include linkages to a wider research and support community beyond these two project service providers, and the specific partners of the project.</p> <ul style="list-style-type: none"> <li>The Project Advisory Group has been established to provide technical advice to BEDO on specific issues related to promotion of bio-business. Yet, the composition of the Group is not fixed but modified according to the issues to be discussed at each meeting. This fluidity means that there is a lack of a consistent, committed partnership to sustain/support BEDO initiatives in the longer run after the project ends.</li> </ul>		
	<b>Indicator 2:</b> Through the Partner Network, local communities and CbSEs have increased access to extension and business development services, as measured by: a) Number of community enterprises receiving support on sustainable harvesting and	Limited collaboration mechanism with BEDO partners established to provide the extension services of biodiversity business development for CbSE	N/A : Activities will be launched in 2014 after establishment of CbSEs.		Comprehensive and systematic collaboration mechanism with BEDO partners established to provide the extension services of biodiversity business development for CbSE	<ul style="list-style-type: none"> <li>At local level, 6 product enterprises in 4 pilot communities have been trained in a) sustainable harvesting and production, b) biodiversity business development and management, and c) biodiversity conservation and rehabilitation.</li> <li>Target communities have also received support in resource mobilization and networking skills and have been able to engage support from local government (TAOs)</li> </ul>		<ul style="list-style-type: none"> <li>As noted for the previous Indicator, considerably more attention is needed towards developing a more broadly based, multi-sectoral Partner Network that can offer a comprehensive national-scale mechanism for providing support to bio-business for CbSEs.</li> </ul>

Project Strategy	Indicator <sup>20</sup>	Baseline Level <sup>21</sup>	Level in 1 <sup>st</sup> PIR (self-reported)	Midterm Target <sup>22</sup>	End-of-project Target	Midterm Level & Assessment <sup>23</sup>	Achievement Rating <sup>24</sup>	Justification for Rating
	production b) Number of community enterprises receiving support for biodiversity business development and management c) Number of communities receiving support on biodiversity conservation and rehabilitation					<ul style="list-style-type: none"> <li>TEI and RTF, as project service providers, have developed a mechanism to sustain their support to the pilot CbSEs after the project ends. An MoU with the Royal Forestry Department also ensures long term support from the RFD to pilot communities in bamboo forests.</li> <li>At national level, collaboration with partners works through channels such as the BEDO Board, Project Board with regular meetings, and through bilateral MoUs.</li> </ul>		
<b>Component 2: Piloting Community-based Social Enterprises in Valuable Eco-regions</b>							<b>S</b>	<ul style="list-style-type: none"> <li>CbSE business and conservation practices in the pilot communities have made good progress, with establishment of community-based biodiversity monitoring and management, progress in product development, production and initial marketing, and capacity built in communities for producing certifiable products, under sound governance arrangements.</li> </ul>
<b>Outcome 2.1: Community-based sustainable production and in-situ biodiversity conservation and rehabilitation is strengthened</b>	<b>Indicator 1:</b> Appropriate methods for community-based monitoring of biodiversity status for data collection	Inadequate system of biodiversity status collection of data conducted by community	100%: Biodiversity status has been assessed and monitoring plans have been developed in 4 pilot sites in 2012. The research found out about overall picture of 4 pilot	Appropriate system developed for community monitoring of biodiversity status (by end of second year)	At least, 4 communities actively applied by the end of year 3.	<ul style="list-style-type: none"> <li>In all project sites, community-based monitoring of biodiversity status has been established and adopted by the local communities. Necessary tools have been provided to the communities by RTF and TEI.</li> </ul>		<ul style="list-style-type: none"> <li>Appropriate systems for community monitoring of biodiversity status have been developed at all project sites</li> <li>There is scope for adding monitoring of stock and offtake levels in relation to Outcome 2.2 (below).</li> </ul>

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			areas, consist of following subjects; - topography - socioeconomic condition - land use - biodiversity in the communities - natural resources utilization - opportunity and threat to natural resources - biodiversity monitoring and evaluation (M&E) Biodiversity M&E will be passed on the communities before the end of the project to be proceed by them in the future.					
	<b>Indicator 2:</b> Number and coverage of biodiversity conservation and rehabilitation projects planned and implemented by communities using revenues derived from CbSEs	No community-initiated conservation projects financed by CbSEs	N/A: Activities will be performed in 2014-2015		At least 4 CbSE-financed conservation and/or rehabilitation projects under way, strengthening biodiversity conservation across at least 100,000 ha of critical landscapes including coastal mangroves.	<ul style="list-style-type: none"> <li>Although all of the CbSEs are still in an early stage, there are rules and agreements in place to allocate 10% of the revenue to support conservation activities in various forms, such as tree ordination, rehabilitation of degraded forest areas, engaging school children in biodiversity survey, promoting eco-tourism linked with learning centres on bio-products processing, etc.</li> </ul>		<ul style="list-style-type: none"> <li>Rules, agreements and plans are in place for funding and implementation of community-based conservation projects; there must now be efforts to establish working projects before EoP.</li> </ul>
<b>Outcome 2.2: Pilot Models for CbSE with combined objectives of</b>	<b>Indicator 1:</b> a) CbSEs are using maximum sustainable yield as a benchmark to	a) Existing community enterprises do not have capacity to	N/A: Business plans for pilot products are under development and will be		a) CbSE business plans incorporate maximum sustainable yield as a variable in	a) No research on maximum sustainable yield has been conducted. Although regular biodiversity monitoring has been		a) Since no attempts have been made to assess MSY as an upper limit to offtake levels, support is needed from technical experts in

Project Strategy	Indicator <sup>20</sup>	Baseline Level <sup>21</sup>	Level in 1 <sup>st</sup> PIR (self-reported)	Midterm Target <sup>22</sup>	End-of-project Target	Midterm Level & Assessment <sup>23</sup>	Achievement Rating <sup>24</sup>	Justification for Rating
income generation, sustainable production and biodiversity conservation are established	set production levels b) Change in marginal revenue per unit of resource use	assess maximum sustainable yield. b) Marginal revenue per unit of resource use varies depending on product	implemented in late 2013. - Marginal revenue per unit of resource use will be evaluated in 2015		setting production levels b) Marginal revenue per unit of resource use increases by at least 10% on average across all product lines	conducted by the communities, the information gathered is not used for any planning purpose, nor are the communities trained on how to use the information to determine the production of their bio-products up to the maximum sustainable yield. b) In most of the four CbSEs cases, the focus has been on improving the product design and production process to meet the demand of the market, rather than on optimising revenue/cost ratios. Information is not yet available on this indicator.		harvesting of forest and marine products before EoP. b) Since CbSEs are only just starting serious production and marketing, technical support is needed to assess and advise on increasing marginal revenue per unit of resource use before EoP.
	<b>Indicator 2:</b> CbSE business plans and management strategies include explicit objectives to allocate net revenues from conservation and rehabilitation	Existing community enterprises do not have specific objectives to allocate revenues for conservation or rehabilitation	2012-2013 was the period of coordination among communities and stakeholders for clear understanding about process of communities strengthening according to project log frame. All related partners and community members were clarified about concepts of biodiversity conservation and sustainable utilization in local areas. Some amount		Every CbSE supported by project has explicit objectives to allocate net revenue for conservation and rehabilitation.	<ul style="list-style-type: none"> <li>At all four project CBSE sites, there are no comprehensive business plans yet in place. However, members of the CbSEs have been coached by RTF and TEI to develop simple production and marketing plans, to introduce the production groups to a more systematic way of running a business. Despite the lack of real business plans with clear revenue targets, every group has made common agreement that 10% of their CbSE revenue will be allocated to support</li> </ul>		<ul style="list-style-type: none"> <li>While no formal business plans are yet in place, the principle has been established in all CbSEs of allocating 10% of revenue towards conservation.</li> <li>Business plans, with appropriate allocation for conservation should therefore be in place by EoP.</li> </ul>

Project Strategy	Indicator <sup>20</sup>	Baseline Level <sup>21</sup>	Level in 1 <sup>st</sup> PIR (self-reported)	Midterm Target <sup>22</sup>	End-of-project Target	Midterm Level & Assessment <sup>23</sup>	Achievement Rating <sup>24</sup>	Justification for Rating
			of revenue has to be used for biodiversity conservation. This agreement has to be explicit in pilot CbSEs' management.			biodiversity conservation.		
<b>Outcome 2.3: Human and technological capacities in producer communities are strengthened</b>	<b>Indicator 1:</b> CbSEs have the necessary skills and tools to produce products which meet the requirement for certification	Community has basic skill in product development and productions	N/A: Pilot communities in Kanjanaburi and Prachinburi have been trained on producing value-added products - bamboo piecemeal products / charcoal products Project implementing partners (TEI and RTF) have coordinated with technical specialist and academic to develop manufacturing process, control nutrition and quality for CbSE products from 4 pilot communities.		CbSEs in 4 communities are producing products which meet relevant certification standard.	<ul style="list-style-type: none"> <li>CbSEs in four communities have identified viable bio-products and have been trained in necessary skills to improve the product design and quality to meet market demands.</li> <li>All groups have been provided with necessary tools and equipment by RTF and TEI (e.g. bamboo board making machine, charcoal powdering machine, under-water camera) and have the skills required to use them effectively.</li> <li>Relationships have been established with university departments and government technical groups for support in product development and quality control of contents to meet BEDO and FDA certification requirements.</li> </ul>		<ul style="list-style-type: none"> <li>Progress so far has focussed on development of suitable products, and mechanisms for their production and marketing.</li> <li>Recent efforts have taken these products in initial steps towards meeting the requirements for certification by BEDO and FDA.</li> <li>Achievement of these standards by EoP looks likely.</li> </ul>
	<b>Indicator 2:</b> CbSEs have a transparent and participatory governance mechanism	Community enterprises have basic rule and regulation for governance	N/A: Activities will start in late 2013 along with CbSEs establishment		Set governance mechanism which clearly includes participation, inclusiveness and gender parity	<ul style="list-style-type: none"> <li>CbSEs in the four pilot areas have clear structure and management procedures, developed through a participatory process. Groups in Kanchaburi and Prachinburi have been trained by the Office of</li> </ul>		<ul style="list-style-type: none"> <li>Good progress has been made in building effective governance mechanisms, which include participation, inclusiveness and gender parity.</li> <li>Project support is likely to take this process to the final establishment stages by EoP.</li> </ul>

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						<p>Cooperative Auditing on accounting and book-keeping and will receive regular auditing/ counselling services by the office. In Ranong, accounting procedures were developed by one of the CbSE management committee members, who is a trainer on accounting to all Cooperative groups in the province. The CbSE in Phang Nga had received no formal training on accounting but have prepared a simple book-keeping system, and accounts are made available to group members upon request.</p> <ul style="list-style-type: none"> <li>For all groups, women comprise at least half of the members and play active roles, especially in the production process</li> </ul>		
<b>Component 3: Mainstreaming Biodiversity Business into the Supply Chains of High-Value Consumer Markets</b>							<b>MU</b>	<ul style="list-style-type: none"> <li>Progress on this Component has been slow, since it depends on the development of products by CbSEs that are only just getting underway. Product certification by the FDA and BEDO are on target for achievement, refinement of supply chains should follow, and awareness-raising about bio-business is underway. However, development and marketing of bio-products has not had a strategic lead by the necessary market research, and sources of subsidy and investment for improving sustainability have</li> </ul>

Project Strategy	Indicator <sup>20</sup>	Baseline Level <sup>21</sup>	Level in 1 <sup>st</sup> PIR (self-reported)	Midterm Target <sup>22</sup>	End-of-project Target	Midterm Level & Assessment <sup>23</sup>	Achievement Rating <sup>24</sup>	Justification for Rating
								not been sufficiently identified. These shortcomings need to be addressed.
<b>Outcome 3.1: Demand-driven design and branding of high-value products</b>	<b>Indicator 1:</b> Mainstreaming of high-value products from biodiversity business is increased through development of appropriate products designs, focused on niche-markets of lifestyle consumers in Thailand and selected export markets, as demonstrated by number of CbSE products successfully designed, branded for introduction into target markets.	Present community-based products are designed for local markets with little coherence with high-value consumer demand	N/A: CbSEs' products will be evaluated in 2014-2015		a) At least 50% of CbSE products are designed for high-value consumer markets b) 25% of the products from pilot communities are successfully introduced into high-value markets	<ul style="list-style-type: none"> <li>The mainstreaming of high-value products from biodiversity business from pilot sites has been limited, mainly because most products are still in their development stage and have not yet been certified for high-end markets. BEDO has initiated marketing mechanisms/ channels for high quality products from the communities under its regular programmes, including an MoU with the Modern Trade Alliance, of more than 40 traders, to be display and sell products in their outlets; the BEDO shop at the large government complex; TOPS Supermarket; Green Embassy shop; Bangkok Airways in-flight shop; vending machines at BTS stations; on-line shops.</li> <li>Design of the CbSEs' products has not been clearly based on thorough analysis of demand in high-end markets. Although efforts have been made to improve the design and quality of the products, they are more driven by the technology or know-</li> </ul>		<ul style="list-style-type: none"> <li>Channels to high-end markets have been made, but they have not been based on assessment of whether the existing products are attractive to consumers, or whether other products would achieve greater success in such markets.</li> <li>For this target is to be achieved, there should be market research to support product development and marketing strategies.</li> </ul>

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						how of service providers/ consultants than by strategies for successful penetration of target markets.		
	<b>Indicator 2:</b> Quality and value of CbSE products have been increased and meet BEDO certification standard for selected markets	No certified CbSE products in the pilot sites	N/A: CbSEs' products accomplishment will be evaluated in 2015		80% of BEDO certified products recognized and 20% endorsed by other relevant certifications, e.g. FDA, Community Product Industrial Standard	<ul style="list-style-type: none"> <li>Two types of CbSE products , (i.e. bamboo soaps and seafood chili pastes) are in the process of acquiring FDA and Community Product Industrial standard.</li> </ul>		<ul style="list-style-type: none"> <li>Now that products have been developed, the project is taking them to the next stages, of meeting certification standards.</li> <li>Two products are nearing BEDO and FDA certification and others should follow before EoP.</li> </ul>
<b>Outcome 3.2: Reduction of transaction costs through transformation in the supply chain</b>	<b>Indicator:</b> Transformation of supply chains have been demonstrated in relation to products from the target regions, as demonstrated by optimum of alternative supply chains provided	<ul style="list-style-type: none"> <li>No data on optimum alternative supply chains available for project sites</li> <li>The wholesale and retail actors keep the majority of value added</li> </ul>	N/A: Activities will start in 2015		a) At least 50% of the pilot cases have introduced optimum alternative supply chains to increase gate revenue b) Transaction costs are reduced in comparison to the existing transaction costs	<ul style="list-style-type: none"> <li>Most products are just beginning to enter markets, with very simple supply chains. In most cases, they are sold locally or through existing networks, such as government agencies in their annual fairs/exhibitions and outlet shops, local hotels for high-end tourists, and local shops. BEDO has also set up online shops for local products.</li> </ul>		<ul style="list-style-type: none"> <li>This outcome is on target but in very early stages.</li> <li>As and when higher end markets are reached, attention should focus on developing more supply chains with minimized transaction costs.</li> </ul>
<b>Outcome 3.3: Increased investment and subsidy options for CbSEs</b>	<b>Indicator 1:</b> Appropriate investment options for pilot CbSE's have been identified, as demonstrated by a) No. of dedicated investment windows in public and private sector b) No. of non-profit social and environmental	Numerous public and private investment facilities available but not dedicated to small-scaled investment for CbSE's	N/A: Activities will start in 2014		80% of finance needs for pilot CbSE's are being met	<ul style="list-style-type: none"> <li>There has been no systematic study to identify potential investment options/ windows to support pilot CbSEs, and no efforts made to develop such opportunities.</li> </ul>		<ul style="list-style-type: none"> <li>Since no investment facilities have been identified, specific efforts must be made in these areas before EoP to ensure financial sustainability of the CbSEs in the longer term.</li> </ul>

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	investment funds							
	<b>Indicator 2:</b> Subsidies raised for pilot CbSE's in relation to: <ul style="list-style-type: none"> <li>• Government subsidies</li> <li>• CSR</li> <li>• NGO support</li> </ul>	There is limited collaboration with CSR on CbSE and biodiversity conservation and rehabilitation in the target areas	N/A: Subsidies and financial support option for CbSEs have been studying and identifying. The lists will be finalized at the end of 2013.		10% of costs for biodiversity conservation activities are supported via Government and NGO subsidy programmes	<ul style="list-style-type: none"> <li>• There has been an increase in government subsidy (in cash and in kind) to support bio-business as well as conservation activities of CbSEs in pilot sites. For example, a budget allocation from Lum Sum TAO to support bamboo board production, space provided by Dongbung TAO to set up a production shop for the bamboo soap CbSE, coordinated government and non-government budgets to support eco-tourism in Prachinburi and Phang-nga pilot sites, and in-kind contribution to support marketing activities of Ranong CbSE by the World Vision Foundation.</li> <li>• In terms of investment options and loan opportunities from the private sector, very little progress has been made. There is no clear plan to engage the private sector in the development of business plans or in providing low-interest loan schemes to CbSEs</li> </ul>		<ul style="list-style-type: none"> <li>• Support in the form of subsidies from local government and NGOs has been developed at some project CbSE sites. This should be taken further.</li> </ul>
	<b>Indicator 3:</b> No. of projects from increased CSR collaborations on CbSE and		N/A: Activities will start in 2014		At least 4 projects from CSR collaboration in the target areas	<ul style="list-style-type: none"> <li>• The Kabinburi industrial estate at the Prachinburi bamboo site has been identified for discussion on PES support.</li> <li>• Contact has been made</li> </ul>		<ul style="list-style-type: none"> <li>• Early contacts have been made, and potential contacts identified for CSR collaboration.</li> <li>• More efforts should be made to explore and extend these</li> </ul>

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	biodiversity conservation in target areas					with soft-shell crab exporters, including hotels and resorts, in Ranong and large shrimp farms in Phang Nga to participate in PES activities.		opportunities to achieve the target by EoP.
<b>Outcome 3.4: Strengthened awareness about commercial potentials in biodiversity business</b>	<b>Indicator:</b> Types of IEC <sup>25</sup> materials on the potential of CbSE for biodiversity business for general public	There is limited awareness, campaigns, advocacy, on the potential of CbSE for biodiversity	N/A: Activities will start in 2014		<ul style="list-style-type: none"> <li>• IEC materials developed in the form of print, audio-visual, internet</li> <li>• At least 0.5% of the total communities across the country have contacted BEDO for support for possible replication</li> </ul>	<p>Most of the activities under this outcome are implemented as part of BEDO's advocacy programme. These include:</p> <ul style="list-style-type: none"> <li>• a VTR on sustainable biodiversity business, produced and presented in the launching ceremony of the SMBT project and at BEDO's annual EXPO.</li> <li>• three television scoops and newspapers introducing BEDO's mandates and programmes of services to a wider public.</li> <li>• other IEC materials including websites, quarterly BEDO magazines, posters, exhibition sets.</li> </ul> <p>The BioEconomy Academy was set up to raise public awareness of the value of biodiversity and to strengthen staff capacities for biodiversity business.</p>		<ul style="list-style-type: none"> <li>• Good progress has been made by BEDO, in part through project support, to extend IEC coverage to the general public and, especially, local communities on bio-business value and opportunities.</li> <li>• This effort should be sustained and extended.</li> </ul>

<sup>25</sup> IEC = Information, Education, and Communication

## Annex 9. UNDP Capacity Development Scorecard

Institutional		Individual	
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Strategic Area of Support	Issue	Scorecard	Initial Evaluation	Mid-Term Evaluation	Evaluative Comments
1. Capacity to conceptualize and formulate policies, legislations, strategies and programmes	The Biodiversity-based Economy products agenda is being effectively championed/ driven forward	0 - There is essentially no Biodiversity-based products agenda; 1 - There are some persons or institutions actively pursuing a Biodiversity-based Economy products agenda but they have little effect or influence; 2 - There are a number of Biodiversity-based Economy products champions that drive the Biodiversity-based Economy products agenda but more are needed; 3 - There are an adequate number of "champions" and "leaders" effectively driving forward a Biodiversity-based Economy products agenda.	1.5	2	The agenda has more champions but more are still needed.
	There is a strong and clear legal mandate policy for the establishment and management of Biodiversity-based Economy products	0 - There is no legal policy framework for Biodiversity-based Economy products; 1 - There is a partial legal policy framework for Biodiversity-based Economy products but it has many inadequacies; 2 - There is a reasonable legal policy framework for Biodiversity-based Economy products but it has many inadequacies; 3 - There is a strong and clear legal policy framework for the establishment	2	2	The legal policy framework is present but still under development.

		and management of Biodiversity-based Economy products.			
	There is an institution or institutions responsible for Biodiversity-based Economy products able to strategize and plan.	0 - Biodiversity-based Economy products institutions have no plans or strategies; 1 - Biodiversity-based Economy products institutions do have strategies and plans, but these are old and no longer up to date or were prepared in a totally top-down fashion; 2 - Biodiversity-based Economy products institutions have some sort of mechanism to update their strategies and plans, this is irregular or is done in a largely top-down fashion without proper consultations; 3 - Biodiversity-based Economy products institutions have relevant, participatorially prepared, regularly updated strategies and plans.	2	2	BEDO is the primary (only?) institution with this mandate. It plans and strategizes with a regular cycle
2. Capacity to implement policies, legislation, strategies and programmes	There are adequate skills for Biodiversity-based Economy products planning, promotion and management.	0 – There is a general lack of planning, promotion and management skills; 1 – Some skills exist but in largely insufficient quantities to guarantee effective planning, promoting and management; 2 – Necessary skills for effective Biodiversity-based Economy products management and planning do exist but are stretched and not easily available; 3 – Adequate quantities of the full range of skills necessary for effective Biodiversity-based Economy products planning and management are readily available.	2	2	BEDO is growing, but there is still room for capacity improvement.
	There are	0 – No or very few Biodiversity-based	1.5	2	Geographical coverage is

	Biodiversity-based Economy products systems	Economy products exist and they cover only a small portion of the habitats and ecosystems; 1 - Biodiversity-based Economy products system is patchy both in number and geographical coverage and has many gaps in terms of representativeness; 2 - Biodiversity-based Economy products system is covering a reasonably representative sample of the major habitats and ecosystems, but still presents some gaps and not all elements are of viable use; 3 - The Biodiversity-based Economy products (system?) includes viable representative examples of all the major habitats and ecosystems of appropriate geographical scale.			increasing steadily.
	There is a fully transparent oversight authority for the Biodiversity-based Economy products institutions	0 - There is no oversight at all of Biodiversity-based Economy products institutions; 1 - There is some oversight, but only indirectly and in a non-transparent manner; 2 - There is a reasonable oversight mechanism in place providing for regular review but lacks in transparency (e.g. is not independent, or is internalized); 3 - There is a fully transparent oversight authority for the Biodiversity-based Economy products institutions.	2	2	There is an internal review system.
	Biodiversity-based Economy products institutions are	0 - Biodiversity-based Economy products institutions have a total lack of leadership;	2	2	Leadership of BEDO is strong.

	effectively led	1 - Biodiversity-based Economy products institutions exist but leadership is weak and provides little guidance; 2 - Biodiversity-based Economy products institutions have reasonably strong leadership but there is still need for improvement; 3 - Biodiversity-based Economy products institutions are effectively led.			
	Biodiversity-based Economy products have regularly updated, prepared, comprehensive management plans	0 - Biodiversity-based Economy products have no management plans; 1 - Some Biodiversity-based Economy products have up-to-date management plans but they typically not comprehensive and were participatorially prepared; 2 - Most Biodiversity-based Economy products have management plans though some are old, not participatorially prepared, or are less than comprehensive; 3 - Every Biodiversity-based Economy product has a regularly updated, participatorially prepared, comprehensive management plan.	1.5	2	
	Human resources are well qualified and motivated	0 - Human resources are poorly qualified and unmotivated; 1 - Human resources qualification is spotty, with some well qualified, but many only poorly and in general unmotivated; 2 - Human resources in general reasonably qualified, but many lack in motivation, or those that are motivated are not sufficiently qualified;	1.5	1.5	A Training Needs Assessment is needed.

		3 – Human resources are well qualified and motivated.			
	Management plans are implemented in a timely manner effectively achieving their objectives	0 – There is very little implementation of management plans; 1 – Management plan are poorly implemented and their objectives are rarely met; 2 – Management plans are usually implemented in a timely manner, though delays typically occur and some objectives are not met; 3 – Management plans are implemented in a timely manner effectively achieving their objectives	2	2	
	Biodiversity-based Economy products institutions are able to adequately mobilize sufficient quantity of funding, human and material resources to effectively implement their mandate.	0 - Biodiversity-based Economy products institutions typically are severely underfunded and have no capacity to mobilize sufficient resources; 1 - Biodiversity-based Economy products institutions have some funding and are able to mobilize some human and material resources but not enough to effectively implement their mandate; 2 - Biodiversity-based Economy products institutions have reasonable capacity to mobilize funding or other resources but not always in sufficient quantities for fully effective implementation of their mandate; 3 - Biodiversity-based Economy products institutions are able to adequately mobilize sufficient quantity of funding, human and material resources to effectively implement their mandate.	2	2	BEDO appears well-funded, but could always use more.
	Biodiversity-based	0 – While the Biodiversity-based	2	2	BEDO is well-managed, but

	Economy products institutions are effectively managed, efficiently deploying their human, financial and other resources to the best effect.	Economy products institution exists, it has no management; 1 - Institutional management is largely ineffective and does not deploy efficiently the resources at its disposal; 2 - The institution is reasonably managed, but not always in a fully effective manner and at times does not deploy its resources in the most efficient way; 3 - The Biodiversity-based Economy products institution is effectively managed, efficiently deploying its human, financial and other resources to the best effect.			there is room for improvement, for e.g. in financial management systems.
	Biodiversity-based Economy products institutions are highly transparent, fully audited, and publicly accountable.	0 - Biodiversity-based Economy products institutions are not totally transparent, not being held accountable and not audited; 1 - Biodiversity-based Economy products institutions are not transparent but are occasionally audited without being held publicly accountable; 2 - Biodiversity-based Economy products institutions are regularly audited and there is a fair degree of public accountability but the system is not fully transparent; 3 - The Biodiversity-based Economy products institutions are highly transparent, fully audited, and publicly accountable.	2.5	2.5	BEDO is transparent and accountable.
	There are legally designated Biodiversity-based Economy products	0 - There is no lead institution or agency with a clear mandate or responsibility for Biodiversity-based Economy products;	2.5	2.5	BEDO has a clear mandate, with authority.

	institutions with the authority to carry out their mandate.	1 – There are one or more institutions or agencies dealing with Biodiversity-based Economy products but roles and responsibilities are unclear and there are gaps and overlaps in the arrangements; 2 – There are one or more institutions or agencies dealing with Biodiversity-based Economy products, the responsibilities of each are fairly clearly defined, but there are still some gaps and overlaps; 3 - Biodiversity-based Economy products institutions have clear legal and institutional mandates and the necessary authority to carry this out.			
	Biodiversity-based Economy products are effectively promoted.	0 – No promotion of Biodiversity-based Economy products is taking place; 1 – Some promotion of products but largely ineffective and external threats remain active; 2 - Biodiversity-based Economy products are regularly promoted but are not fully effective and external threats are reduced but not eliminated; 3 - Biodiversity-based Economy products are highly effectively promoted and all external threats are negated.	1.5	2	Promotion of products takes place, but markets and supply chains need more identification.
	Individuals are able to advance and develop professionally	0 – No career tracks are developed and no training opportunities are provided; 1 – Career tracks are weak and training possibilities are few and not managed transparently; 2 – Clear career tracks developed and training available; HR management however has inadequate performance	1	1.5	A Training Needs Assessment is needed.

		measurement system; 3 – Individuals are able to advance and develop professionally.			
	Individuals are appropriately skilled for their jobs	0 – Skills of individuals do not match job requirements; 1 – Individuals have some or poor skills for their jobs; 2 – Individuals are reasonably skilled but could further improve for optimum match with job requirement; 3 – Individuals are appropriately skilled for their jobs.	1.5	1.5	A Training Needs Assessment is needed.
	Individuals are highly motivated	0 – No motivation at all; 1 – Motivation uneven, some are (motivated) but most are not; 2 – Many individuals are motivated but not all; 3 – Individuals are highly motivated.	1.5	1.5	Motivation levels should be surveyed, regularly.
	There are appropriate systems of training, mentoring and learning in place to maintain a continuous flow of new staff.	0 – No mechanisms exist; 1 – Some mechanisms exist but unable to develop enough and unable to provide the full range of skills needed; 2 – Mechanisms generally exist to develop skilled professionals, but either not enough of them or unable to cover the full range of skills required; 3 – There are mechanisms for developing adequate numbers of the full range of highly skilled protected area (?) professionals.	1	1.5	A Training Needs Assessment is needed.
3. Capacity to engage and build consensus among all stakeholders	Biodiversity-based Economy products have the political commitment they require.	0 – There is no political will at all, or worse, the prevailing political will runs counter to the interests of Biodiversity-based Economy products; 1 – Some political will exists, but is not strong enough to make a difference;	2	2	There does appear to be political support for BEDO's mission and products.

		2 – Reasonable political will exists, but it is not always strong enough to fully support Biodiversity-based Economy products; 3 – There are very high levels of political will to support Biodiversity-based Economy products.			
	Biodiversity-based Economy products have the public support they require.	0 – The public has little interest in Biodiversity-based Economy products and there is no significant lobby for the products; 1 – There is limited support for Biodiversity-based Economy products; 2 – There is general public support for Biodiversity-based Economy products and there are various lobby groups such as environmental NGOs pushing them; 3 – There is tremendous public support in the country for Biodiversity-based Economy products.	1	1	There remains a need for awareness-raising.
	Biodiversity-based Economy products institutions are mission oriented.	0 – Institutional mission not defined; 1 – Institutional mission poorly defined and generally not known and internalized at all levels; 2 – Institutional mission well-defined and internalized by not fully embraced; 3 – Institutional missions are fully internalized and embraced.	2.5	3	BEDO has a strong sense of its mission.
	Biodiversity-based Economy products institutions can establish the partnerships needed to achieve their objectives.	0 - Biodiversity-based Economy products institutions operate in isolation; 1 – Some partnerships in place but significant gaps and existing partnerships achieve little; 2 – Many partnerships in place with a wide range of agencies, NGOs, etc., but	1.5	2	Partnerships with institutions is a strong element of the SMBT project.

		there are some gaps, partnerships are not always effective and (they) do not always enable efficient achievement of objectives; 3 - Biodiversity-based Economy products institutions establish effective partnerships with other agencies and institutions, including provincial and local governments, NGOs and the private sector to enable achievement of objectives in an efficient and effective manner.			
	Individuals carry appropriate values, integrity and attitudes.	0 - Individuals carry negative attitudes; 1 - Some individuals have notion of appropriate attitudes and display integrity, but most don't; 2 - Many individuals carry appropriate values and integrity, but not all; 3 - Individuals carry appropriate values, integrity and attitudes.	2	2	Attitudes within BEDO should be monitored, regularly.
4. Capacity to mobilize information and knowledge	Biodiversity-based Economy products institutions have the information they need to develop and monitor strategies and action plans for the management of the Biodiversity-based Economy products system.	0 - Information is virtually lacking; 1 - Some information exists, but is of poor quality, is of limited usefulness, or is very difficult to access; 2 - Much information is easily available and mostly of good quality, but there remain some gaps in quality, coverage and availability; 3 - Biodiversity-based Economy products institutions have the information they need to develop and monitor strategies and action plans for the management of the Biodiversity-based Economy products system.	2	2	
	Biodiversity-based Economy products	0 - Information is virtually lacking; 1 - Some information exists, but is of	1.5	1.5	

	institutions have the information needed to do their work.	poor quality and limited usefulness and difficult to access; 2 – Much information is easily available and mostly of good quality, but there remain some gaps in quality, coverage and availability; 3 – Adequate quantities of high quality, up-to-date information for Biodiversity-based Economy products planning, management and monitoring is widely and easily available.			
	Individuals working with Biodiversity-based Economy products work effectively together as a team.	0 – Individuals work in isolation and don't interact; 1 – Individuals interact in a limited way and sometimes in teams but this is rarely effective and functional; 2 – Individuals interact regularly and form teams, but this is not always fully effective or functional; 3 – Individuals interact effectively and form functional teams.	1.5	1.5	A Training Needs Assessment is needed.
5. Capacity to monitor, evaluate, report and learn	Biodiversity-based Economy products policy is continually reviewed and updated.	0 – There is no policy or it is old and not reviewed regularly; 1 – Policy is only reviewed at irregular intervals; 2 – Policy is reviewed regularly but not annually; 3 – Biodiversity-based Economy products policy is reviewed annually.	2	2	BEDO policy appears up to date, and subject to review.
	Society monitors the state of Biodiversity-based Economy products.	0 – There is no dialogue at all; 1 – There is some dialogue going on, but not in the wider public and restricted to specialized circles; 2 – There is a reasonably open public dialogue going on but certain issues remain taboo;	0.5	1	There is need for awareness-raising and public dialogue.

		3 – There is an open and transparent public dialogue about the state of the Biodiversity-based Economy products.			
	Institutions are highly adaptive, responding effectively and immediately to change.	0 – Institutions resist change; 1 – Institutions do change but only very slowly; 2 – Institutions tend to adapt in response to change but not always very effectively or with some delay; 3 – Institutions are highly adaptive, responding effectively and immediately to change.	2	2	BEDO appears adaptable.
	Institutions have effective internal mechanisms for monitoring, evaluation, reporting and learning.	0 – There are no mechanisms for monitoring, evaluation, reporting or learning; 1 – There are some mechanisms for monitoring, evaluation, reporting and learning but they are limited and weak; 2 – Reasonable mechanisms for monitoring, evaluation, reporting and learning are in place but are not as strong or comprehensive as they could be; 3 – Institutions have effective internal mechanisms for monitoring, evaluation, reporting and learning.	2	2	
	Individuals are adaptive and continue to learn.	0 – There is no measurement of performance or adaptive feedback; 1 – Performance is irregularly and poorly measured and there is little use of feedback; 2 – There is significant measurement of performance and some feedback but this is not as thorough or comprehensive as it might be; 3 – Performance is effectively measured	2	2	

		and adaptive feedback utilized.			
<b>Total score (max=96)</b>			<b>56</b>	<b>60.5</b>	
<b>Total score for Institutional issues (max=69)</b>			<b>42</b>	<b>45.5</b>	
<b>Total score for Institutional issues (max=27)</b>			<b>14</b>	<b>15</b>	

## Annex 10. UNDP-GEF Mid-Term Review Audit Trail

To the comments received on 25 January 2015 from the Midterm Review of (Sustainable Management of Biodiversity in Thailand's Production Landscape (SMBT) Project) (UNDP Project ID-PIMS # 3642)

Author	No.	Para no/ comment location	Comment/Feedback on the draft MTR report	MTR team response and actions taken
Johan Robinson	1	p.14 Component 1 etc.	Please write the outcome text as in Prodoc	Done
	2	p.17 4.1.1 Project Design	This mentioned in Prodoc but the more prominent long-term solution is "The proposed long-term solution is "Biodiversity conservation is mainstreamed into production and marketing of agricultural, forestry and fishery business, in order to create community incentives to conserve and enhance biodiversity in Thailand's land- and seascapes while maintaining appropriate incomes to satisfy family needs for livelihood and wellbeing." This is far more in line with the project thinking	Noted and changed.
	3	p.19	The following also need to be discuss under Project Design: (i) The extent to which lessons from other relevant projects were incorporated into project design; (ii) the sustainability and viability of the project. Externalities relevant to the project strategy; (iii) 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 sources to the process, taken into account during project design processes? And (iv) the extent to which relevant gender issues were raised in the project design.	Noted and added text.
	4	p.19	A critical analysis of the Results Framework should be included here – see guidance document. The MTR should also assess the extent to which broader development effects of the project were factored into project design	Moved from further down, added text.
	5	p.20 Progress towards Results	It [Discussion of Objective indicators] is required and a rating should be provided	Done, inserted here.
	6	p.20 Section 4.2.1 Progress	Please include and complete the "progress towards results matrix"	Done

		towards Outcomes	table in an annex. Please note that for every indicator marked as 'not achieved' (red), the MTR team may recommend actions to be taken.	
	7	p.20 Outcome 1.1	The below does not seem to justify an on-target rating – please justify the rating	Added text
	8	p.20 Outcome 1.1	Please explain how the Act addresses the (1) land use rights for BD business; (2) community-based Social Enterprise establishment and operation; and (3) incentives for community-based BD conservation.	Added text
	9	p.20 Outcome 1.1	Please explain how the project managed to increase the [institutional Capacity Development] score	Added text
	10	pp.20-21	What has project done to raise the technical capacity of BEDO staff	Added text
	11	p.21 Outcome 1.2	Please provide justification to come up with this assessment. Also the indicators are: (1) number of community enterprises receiving support on sustainable harvesting and production; (2) number of community enterprises receiving support for BD business development and management; and (3) number of communities receiving support on BD conservation and rehabilitation. Please discuss around these indicators.	Added text
	12		These are service providers – the network was to do research with their own funds	Noted and changed
	13		Research needs to be national, not only in the project sites	Noted and changed
	14		The network that project is referring to not a community network but a research and extension network – ProDoc “BEDO’s collaborators to provide appropriate applied research and solutions development support, as well as extension services by Government departments, NGO’s and the private sector”. Please review the establishment of this network	Added text
	15	p.22 Progress toward Component 1	Not adequate justification for the rating below – if outcomes are more adequately discussed this might be adequate but as is not – you mention that capacity is not on target – so should be ‘unsatisfactory’....	Noted, added text and changed rating to Moderately Unsatisfactory
	16	p.22 Outcome 2.1	Can you please justify this statement – it is in contrast to what is written below. 2 of 4 sites have monitoring	Noted and added text.

			systems (not sure if appropriate) and no conservation project has yet been undertaken. Please revise	
	17		Please justify why you think these monitoring systems are appropriate and that it will inform management decisions leading to sustainable utilization of BD. Please evaluate this approach – is it an “Appropriate methods for community-based monitoring of biodiversity status”?	Noted and added text
	18		So against the indicator no conservation projects have yet been undertaken?	Added text
	19	p.22 Outcome 2.2	This my question above – are appropriate monitoring systems used?	Added text
	20	p.23 Outcome 2.3	This meets which certification scheme? The idea of the certification scheme is to ensure sustainable harvesting – without such a certification this not necessary a BD-friendly enterprise. Please discuss the certification scheme here in detail. As above, which certification scheme? What? The space? If the products, please state so and discuss this certification scheme and in particular how it ensure sustainable use of BD Please discuss the products Please discuss in more detail – what are these standards (do they certify the products?) and their BD sustainable use criteria	Added text
	21	p.26 Project Objective	Please discuss the results against the indicators in more detail here	Added text and moved to head of the Progress towards Results section
	22	p.27 Contribution to beneficial development effects	Income generation Above you say impacts on household income still to appear, here you say there has been progress.	Noted and changed
	23		Gender perspective And in BEDO?	Added text
	24	p.29 Section 4.3.2 Work planning	Need to discuss: (i) Review any delays in project start-up and implementation, identify the causes and examine if they have been solved. (ii) Examine the use of the project’s results framework/logframe as a management tool	Added text on delays and use of results framework
	25	p.32 Results framework	This should be under project design	Moved to Project Design
	26		Objective, 2nd Indicator	Noted and changed

			Not relevant as this not measure that is being measured. Please delete	
	27		Outcome 2.2 1 <sup>st</sup> indicator You can only set a more conservative yield once you know the Maximum Sustainable Yield – that is why ProDoc mentions “as a benchmark” – please explain why it is difficult to estimate – it is commonly used in forestry and fisheries Not understanding what you mean here? What is unrealistic? To estimate MSY? Or using it as benchmark?	Added text
	28		Outcome 2.3 Ok, but would think 4 is implied	Made target of 4 explicit
	29		Outcome 3.2 Reduction is measurable and specific, as is %	Noted, and made specific target %
	30		Outcome 3.3 Not understanding – you mean the targets need to specific numbers – if so please suggest appropriate numbers	Made specific target numbers
	31		Outcome 3.4 PIR is annual increment – not project period This is if you know the baseline – but assuming it is 60 communities, please suggest an increase %	Revised text; added % increase target
	32	p.33 GEF Tracking Tool	Please provide more information – this is very unclear	Added text, moved to earlier section.
	33	pp.38-39 Section 5.1 Conclusions etc	Can we have a discussion here rather an executive summary of the text? “The MTR team will include a section of the report setting out their conclusions in light of the findings. The conclusions should be comprehensive and balanced, and highlight the strengths, weaknesses and results of the project. They should be well substantiated by the evidence gathered and clearly connected to the MTR findings	Revised text.
	34	p.40 Section 5.2.2 Actions to follow up...	These actions are not clearly linked to the results against the indicator – it might be improved once we have the table and discussion is directed against these results. Will review if clearer link in next revision.	Revised to follow Results Framework
	35	p.42 Section 5.2.3	Can you discuss this [Prospect of scaling up] in more detail –	Added text
	36	pp.89-90 A8.2 Proposed revision of Results Framework	8 requests for estimates of targets and indicators	Added text

	37	pp.92-94 A8.3 Summary of proposed changes to Results Framework	19 suggestions for changes or estimates of targets or indicators	Revised and added text
Sutharin Koonphol	38	p.19 National priorities	Correction of project names	Noted and changed
	39	Various pages	Editorial changes	Noted and revised

**Comments from Stephanie Ulrich, MTR Global Support Team, received on 28 January 2015**

1. There is not enough justification for some of the ratings, especially on progress towards results/outcomes. I agree with the instances Johan has already highlighted where more justification is needed (see his comments for specifics).

*Noted and added text*

2. The analysis will benefit from the evaluators filling out the “Progress Towards Results Matrix” table provided in the TOR and in the Guidance manual, which should be completed and annexed in the final report. This matrix should provide the basis for the ratings given on Progress Towards Results (ratings for Outcomes, Components, and Objective).

*Done*

3. In the conclusions section, the report should not simply re-state/summarize points already made in the report. Conclusions should be comprehensive and balanced, and highlight the strengths, weaknesses and results of the project. They should go beyond the findings and identify underlying priority issues. The conclusions should present logical judgments based on findings and be substantiated by evidence.

*Revised and added text*

4. The proposed revisions to the Results Framework listed on pg. 32 are different than in Annex 8. These inconsistencies should be fixed.

*Revised*

In addition, I have the following comments:

1. I note that one of the recommendations in the MTR is to extend the project timescale. Please note that it is not guaranteed that a project extension will be granted. There are new rules regarding project extensions and they are generally not allowed unless a strong case can be made that significant progress will be made in the final years of project implementation. The UNDP-GEF Executive Coordinator must approve all project extensions.  
*Noted.*
2. The report should therefore include a no-extension scenario outlining the key actions to be taken immediately to secure additional results before project closure on schedule. This will require changes to a number of sections in the report, including the Sustainability Plan/ Exit Strategy and section 4.2.2 Project Objective.  
*A no-extension scenario was added.*
3. In regards to the extensive suggestions to the results framework, please ensure that the total sum of these revisions does not lead to a significant downscaling of the results to be achieved.  
*Noted. There will be no down-scaling.*
4. Additionally, please note that the proposed changes to output level indicators are fine to support adaptive management but should not be included in the 2015 PIR DO tab where progress toward reaching project outcomes only is monitored.

*No changes to Output indicators are discussed or proposed.*

5. In addition to the annexes already listed, following the UNDP-GEF MTR Guidance, the annexes in the final report should additionally include the following:
  - Signed UNEG Code of Conduct form (see attached)
  - Signed MTR final report clearance form: must be signed by the RTA and the CO/Commissioning Unit and annexed in the final report (see attached)

*Noted and added*

**To the comments received on 9 March 2015**

Author	No.	Para no/ comment location	Comment/Feedback on the draft MTR report	MTR team response and actions taken
Johan Robinson	1	pp. 26 & 27 Section 4.2.3	The Biodiversity-based Economy Promotion and Development Act is mentioned and the report then merely states: "The Act addresses: 1) land-use rights for BD business, 2) community-based Social Enterprise establishment and operation; 3) incentives for community-based conservation." Please clarify how the act addresses these three elements so we can ascertain whether it addresses the issues in a meaningful way.	Added text to clarify
	2	p.27 Section 4.2.3	"In terms of staff capacity, BEDO's staff competency are rated as 14/52% at baseline and 15/56% at mid-terms; this is an increase of 7% over the baseline" – I calculate 4% increase over baseline.	You calculated the difference in % rating: 56-52%=4%. I calculated the % increase in rating values: ((15-14)/14)*100=7.1%. I believe the latter shows the relative increase more accurately.
	3	p.41–Table 2	Please replace the last column with "Actual % of Expected Amount" as in template provided	Done
	4	p.92 Annex 7 A.7.2 Proposed revision of Results Framework	Outcome 1.2. 2nd indicator. The targets need to be measurable. The indicators that were now copied into the targets are not targets. Please provide measurable targets or delete additions.	Agreed, the Indicator and Target sub-indicators were not measurable. Returned Target to original wording. Reworded Indicator to encompass sub-Indicators. Revised corresponding text in A.7.3 to reflect these changes
	5	p.93 Annex 7	Outcome 3.4 – in 2014 PIR it was reported that the BEDO Network "expanded from 60 to 85 communities" also in previous draft of this MTR this was	I took PIR 2014 as a source for the baseline estimate (60), but the PIR did not indicate the source of this number. I

			reported. So comes as a bit of a surprise that the baseline for the indicator can now be 80 communities in 2012. Please make a note of this observation in the audit trail, and provide the source in person (not BEDO), so that it can be followed up during terminal evaluation if needed.	went back to BEDO, who provided the estimate of 80, and gave me the source as "BEDO Community-based Economy Development Group (staff name: Mr.Tanakorn Udomruksasup)". I put this information under Sources of Verification.
	6	Annex 8. Summary matrix of progress towards results.	Please refer to the sample matrix in the guidance (also annex 8). It is necessary to provide the midterm level in the column "2014 midterm level and assessment" – in current draft this is not provided.	Edited the table by moving results text into the indicated column. Kept or wrote justification text in the last column.
	7	Annex 8	Objective, indicator 3 – the justification for on-target rating is weak, please improve or change rating	Added more text to justification.
Sutharin Koonphol	8	p.4 & p.48 Executive Summary & Section 5.2 Recommendations	The report stated that "a no-cost extension of one year has been requested to make up for lost time at start-up and is supported. If no extension is allowed by GEF, a selection of high-priority actions must be made." > as far as I know – there is no official request for no-cost extension to the GEF yet. Is this actually meant to be that the no-cost extension has been proposed to the project board and is supported?? If so, pls specify clearly and supported by minutes of the project board.	After checking with BEDO, removed all references to a request being made to Project Board.
	9	p.23 Section 4.2.1 GEF Tracking Tool	Under the sub-heading: Payment for Ecosystem Services, the report stated that "negotiations have started with PTT Public Company Limited regarding Payment of Water Provision Services for their hydroelectric generating facilities downstream" – This doesn't seem right as PTT (Petroleum Authority of Thailand) has no mandate on managing hydropower. Pls check and revise or opt out	Removed reference to PTT.
	10	p.33 Outcome 3.1	The report stated that "for example, a MoU was signed with the Modern Trade Alliance, comprising more than 40 traders, which allows for bio-business products to be displayed and sold in their outlets. Other channels include the BEDO shop at the large	Accepted this point and added text acknowledging this "good start". But noted that "there has been little study of the market share achieved by SMBT products in

			government complex, TOPS Supermarket, Green Embassy shop, Bangkok Airways in-flight shop, vending machines at BTS stations, and on-line shops. However, these outlets and channels could hardly be described as "mainstream". > while I agree that it is not fully "mainstreamed" - I should think having the products outlet in TOPS Supermarket is already a good start for introducing the products in wider market. Just wish to flag this for your consideration - if it can be presented as a positive trend towards achieving outcomes.	these outlets, and it is not clear that they represent the "high-end" lifestyle consumers that are the target for the Outcome. Certainly, the export market has not yet been tapped into."
	11	Page 39: Delays in start-up and implementation	I'd like to add that the delay in the start-up was also due to the process required in Thailand in submitted all approved project document by GEF to Cabinet's approval, before the project document could be signed between the implementing partner and UNDP. This is because all GEF projects include elements on co-financing from IPs, and need cabinet approval before the agency can sign on any agreement. This process takes about 3-6 months depending on how active the IP is in working on the cabinet approval. For BEDO case, the IP was very active and the document actually got approval within 3 months, which was considered quite quick. In any case, this why there is a gap between GEF approval and project document signing. And the delegation of authority could only be made after the signing.	Noted. Existing text describes the 3 month period, but added text to acknowledge that this represents good practice by BEDO in facilitating the approval by Cabinet.
BEDO	12	Section 4.2.1 GEF Tracking Tool	first line, correction should be made as PTT did not make any agreement with the project, nor committed on providing any subsidies. So PTT should not be mentioned in the report.	Noted and removed reference to PTT here and everywhere else in the document.
Raks Thai	13	p.32	"A charcoal powder making machine was provided to the group by TEI." - Pls revise - as the machine was in fact provided by RTF.	Done
		p.35	Regarding PTT - there has been no support/ agreement from PTT to the project site in Kanchanaburi so	Done

			the third paragraph should be revised.	
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## Annex 11. Signed UNEG Code of Conduct Forms

### Evaluators/Consultants:

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

### MTR Consultant Agreement Form

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

Name of Consultant: William Keith Lindsay.

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 Oxford, United Kingdom (Place) on 22 February 2015 (Date)

Signature: 

**Evaluators/Consultants:**

8. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
9. 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.
10. 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.
11. 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.
12. 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.
13. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.
14. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

**MTR Consultant Agreement Form**

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

Name of Consultant: Walaitat Worakul.

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 Chiang Mai, Thailand (Place) on 12 March 2015 (Date)

Signature:



## Annex 12. Signed MTR final report clearance form

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