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INDONESIA FOREST AND CLIMATE SUPPORT

# FINAL IMPACT ASSESSMENT

APRIL 2015



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↑ USAID IFACS FINAL IMPACT ASSESSMENT

**Cover photo:** *The Final Impact Evaluation team meeting with the head of Pigapu village and members of the 'clan' or Tuparu. This village is located near Timika in the Papua province. Here the majority of people work as fisherman, dependant on the mangrove forest.*

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## **DISCLAIMER**

The author's views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

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# ACRONYMS

BAPPEDA	District Development and Planning Agency
BAPPENAS	National Development and Planning Agency
BAU	Business as Usual
CCLA	Community Conservation and Livelihood Agreement
CCVA	Climate Change Vulnerability Assessment (RAPI in Bahasa)
CMMP	Conservation Management and Monitoring Plans
DPRD	Local Parliament
FMU	Forest Management Unit
FSC	Forest Stewardship Council
GIS	Geographic Information Systems
GOI	Government of Indonesia
HPH	Hak Pengusahaan Hutan (Forest Concession)
HCV	High Conservation Value
HCVNI	High Conservation Value Network Indonesia
IFACS	Indonesia Forest and Climate Support
KPH	Kesatuan Pengelolaan Hutan (Forest Management Unit)
KUBK	Kelompok Usaha Bersama Karet or Rubber Farmer Business Group
LCP	Landscape Conservation Plan
LEDS	Low Emissions Development Strategy
LESTARI	A USAID / Indonesia Forest Project
M&E	Monitoring and Evaluation
MSC	Most Significant Change
MSF	Multi-Stakeholder Fora
NAMA	Nationally Appropriate Mitigation Action
NGO	Nongovernmental Organization
OECD-DAC	Organization for Economic Cooperation and Development – Development Assistance Committee
PHPL	Sustainable Production Forest Management
PMP	Performance Monitoring Plan
REDD+	Reducing Emission from Deforestation and Degradation
SEA	Strategic Environmental Assessment
SKPD	Satuan Kerja Perangkat Daerah (Regional or Local Government Working Units)
tCO <sub>2</sub> e	Tonnes of carbon equivalents
TFF	Tropical Forest Foundation
USAID	United States Agency for International Development
VCC	Village Cacao Clinic
ZSL	Zoological Society of London

# EXECUTIVE SUMMARY

Indonesia is home to some of the world's largest tropical rainforests and peatlands. Their stature is such that they are often referred to as the "lungs of the world." These areas sustain rich biodiversity and are the habitat of many keystone species including the orangutan, the Sumatran tiger, and the clouded leopard, to name a few. Approximately 30 million culturally diverse people live in and around these forests. They are reliant on the forests both for their livelihood and for the ecosystem services they provide.

In recent times, extensive deforestation has occurred and uncontrollable forest fires continue to be a problem. Together, these factors have made Indonesia a major emitter of CO<sub>2</sub> and therefore a significant contributor to global climate change.

The Indonesian Forestry and Climate Support (IFACS) is a United States Agency for International Development (USAID) contract managed by Tetra Tech. USAID established IFACS to assist the Government of Indonesia (GOI) to reduce the country's greenhouse gas (GHG) emissions from forest degradation and loss. Although it is too soon to attach attribution to changes in emissions, USAID IFACS has made significant inroads and intermediary results are happening. Environmental change takes a long time.

Implementation of IFACS began in late 2010 and will finish in September 2015 with a budget of approximately US \$40 million. The aims of the project were and are (i) the reduction or sequestering of six million tons of carbon dioxide equivalents (tCO<sub>2</sub>e), (ii) improved conservation management of three million hectares of natural forest and peatlands, (iii) 12 districts with spatial plans that incorporate (improved) strategic environmental assessments (SEAs), and (iv) improved livelihoods for 12,000 forest-dependent beneficiaries. To achieve these aims, USAID IFACS opted to work on eight landscapes where the primary forest cover remains almost intact and carbon stocks are greatest. These landscapes are spread across three of the largest islands—Sumatra, Kalimantan, and Papua—and in total embrace 13 districts and municipalities, either fully or partially, in four provinces. More information about USAID IFACS is provided on the website, [www.ifacs.or.id](http://www.ifacs.or.id)

The main purpose of this assessment is to evaluate the project's final planned results (impact) and identify key lessons for use in USAID's new LESTARI project, a follow-on project that will build on the platform established by USAID IFACS. The mandate for this evaluation further specified a focus on the project's four strategic themes it developed or redeveloped to support its delivery:

1. Multi-stakeholder fora (MSF) to engage key stakeholders,
2. Improved SEAs with low emissions development strategies (SEA-LEDS) to improve spatial planning in districts,
3. Community conservation and livelihoods agreements (CCLAs) to assist villages to plan livelihoods in the context of climate change,
4. Sustainability and conservation management and monitoring plans (CMMPs) to work with the private sector on their environmental responsibilities.

Detailed findings on these four themes are presented in the main body of the report.

The scope of the Final Impact Assessment was defined by key evaluation questions:

- i. What differences have been made in the landscapes (impact)?
- ii. How and why has that happened (causal mechanism)?

iii. Is it sustainable or applicable elsewhere (the future)?

The contracted members of the final assessment team have expertise in forest management, natural resource planning, community resilience, climate change, and evaluation. By coincidence, this team's expertise also included the disciplines of economics, rural policy and agricultural research, and extension, which are also relevant to this project.

After a document review and initial desktop research, assessment team members made on-the-ground visits to seven districts (Ketapang, Kayong Utara, Palangka Raya, Katingan, Pulang Pisau, Mimika, and Gayo Lues) and interviewed 188 people: 37% spoke about SEA-LEDS and/or MSF, 19% about CMMPs, and 34% about CCLAs. Eight percent spoke to all strategic themes, while two percent spoke about communications. A full list of respondents can be viewed in Annex 3.

The first two years of USAID IFACS were problematic; this has been well documented and addressed. For example, it took much longer than expected to select the landscapes to work in. Consequently, USAID IFACS has had reduced time to realize its planned impact while simultaneously having to deal with residual stakeholder attitudes about initial delivery issues. The project has worked hard to make up for lost time.

To date, none of the SEA-LEDS incorporated into district USAID IFACS-supported spatial plans has produced on-the-ground results (impacts) due to the long approvals pathway through various levels of government. However, potential impact in the medium to long term is enormous. Further, initial results from some village livelihood agreements (CCLAs) are encouraging, and while conservation plans with the private sector (CMMPs) are challenging, both tools have the potential to make a significant contribution.

The landscapes and districts where USAID IFACS works are vastly different in terms of culture, landscape types, socioeconomic circumstances, and local capability. It was clear one approach would not suit all. To optimize service delivery in the landscapes, USAID IFACS implemented two fundamental approaches. The first was to provide the staff with guiding principles or approaches to service delivery rather than formulaic recipes. The second was to build on what exists, such as using existing regulatory frameworks (for example, the SEA process) and existing structures (district or local fora). It also sought to leverage the capability of other agencies and organizations through contracts and grants. The emphasis was to *use what is available rather than start from scratch*.

## **STRATEGIC ENVIRONMENTAL ASSESSMENTS AND LOW-EMISSION DEVELOPMENT STRATEGIES**

SEAs are a mandatory requirement in all district spatial plans. USAID IFACS has contributed to the improving the quality of SEAs and has promoted inclusion of LEDES into spatial plans. Eleven districts either have completed improved spatial plans or have committed to improved plans when they come up for redevelopment. Respondents were unanimous about the positive contribution of the project's efforts regarding SEA-LEDES. The impact is some way off though, as these improved plans have yet to complete transiting through all the approval processes of three levels of government.

While USAID IFACS assisted SEAs by working on environmental issues, the assessment team noted limited economic analysis in the spatial plans. Environmental conservation must link directly to the economic prosperity of the people. All economic activities take place in the environment but undeniably and understandably, poor people prioritize economic prosperity over environmental conservation. Land allocation to local people must be prioritized due to high dependence just for survival. Respondents commented that sometimes decisions were

biased toward granting public lands to large private companies, resulting in alienation of the local people. Should LESTARI opt to strengthen SEAs further, it is suggested that a pilot study be undertaken, overseen by an expert or experts, to examine options for applying robust economic theory to land use decision making.

## THE MULTI-STAKEHOLDER FORA

MSF are a mechanism used by USAID IFACS to enable all key stakeholders within a district to collaboratively learn about sustainable land use planning and ultimately to develop a district landscape conservation plan.<sup>1</sup> The MSF then submit this plan to the district government as a communication about their views and priorities on land use planning and conservation.

MSF are district specific, and in some cases, built around an existing forum or fora. Over time, MSF have also debated other issues and undertaken specific related activities, sometimes with financial support from USAID IFACS. Respondents indicated unanimous support for MSF to continue. The challenge for USAID IFACS—and LESTARI in the future—will be how to help maintain current energy levels and enthusiasm to facilitate change. USAID IFACS faces four key challenges in MSF facilitation:

1. Maintaining a shared common vision and purpose in a forum;
2. Maintaining enthusiasm, perhaps through participants seeing the fruition of their work;
3. Including all the right stakeholders; and
4. Ensuring MSF's voices continue to be heard, especially by district governments.

## COMMUNITY CONSERVATION AND LIVELIHOOD AGREEMENTS

CCLAs operate at a village level and in some ways represent a local spatial plan. Many CCLAs have only been completed recently and so are not yet fully implemented. Nonetheless, some examples of positive actions (or outcomes) are emerging. It is the view of the assessment team that while USAID IFACS has contributed to knowledge about sustainable land use in villages, a commensurate change in practice related to climate change, sustainable agriculture, and conservation has yet to be observed, maybe because many CCLAs have not yet been implemented. Moving forward into LESTARI, the key principles for CCLAs remain:

1. Participatory governance;
2. Strengthened local institutions and systems to increase participation in sustainably managing forest land;
3. Strengthened and broadened livelihood agreements recognized by relevant stakeholders (particularly local government) that provide a real contribution to addressing climate change, conserving biodiversity, protecting people's livelihoods, and mitigating land tenure conflict; and
4. Intensive facilitation to improve farmers' knowledge and capacity to access economic resources, microfinancing, and innovative community product marketing.

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<sup>1</sup> A Landscape Conservation Plan (LCP) gathers and analyzes all the important information about the conservation value of an area. USAID IFACS uses LCPs to guide and inform spatial planning in its project sites. An LCP does three main things: 1) it assesses the conservation value in the landscape; 2) it identifies any threats to these valuable areas, such as deforestation for agriculture or mining, building of roads and other infrastructure, or risk of erosion, wildfires or pollution; and 3) the information is used to identify the most important, or priority, areas for conservation and to suggest interventions to avert threats to these areas. Source and more information available at <http://www.ifacs.or.id/what-we-do/landscape-conservation-plans-a-roadmap-to-a-sustainable-future/>.

## CONSERVATION MANAGEMENT AND MONITORING PLANS

CMMPs were designed to enable working with the private sector. This strategic theme has been the most challenging of the four for USAID IFACS, although there have been some successes. The challenge is that CMMPs require companies to voluntarily enact practice change for conservation purposes, when they are motivated primarily to focus on profit. One significant impact is companies with CMMPs now have staff who, following training, have increased skills in reduced impact logging and biodiversity monitoring. Where CMMPs have been developed, impacts on conservation are potentially significant, as the plans move into company management plans and eventually practice change.

Prior to the commencement of LESTARI, CMMPs should be refreshed and involve key stakeholders (central government, district government, trainers, companies with experience of CMMP and USAID IFACS) in the process. A workshop is one suggestion. The aim would be to make CMMPs more adaptive to various businesses in different situations, with better integration or coordination with policy and regulations. The key to supporting the remaining “good” natural production forests in Indonesia will be responsible and accountable managers.

## CROSSCUTTING CONSIDERATIONS

In the process of undertaking the assessment, a number of crosscutting challenges emerged. These offer LESTARI opportunities to strengthen impacts. The main suggestions are:

- a) **Retain the four strategic themes** but between now and startup of LESTARI, there is an opportunity to refresh them all. While there are options specific to each theme and these are presented in the report’s findings or above, one strategy is to ensure the themes are integrated more fully to strengthen each other and avoid conflict.
- b) **Retain the practice of providing guiding principles** to staff rather than being prescriptive, as well as leveraging existing regulations, local structures, and providers as much as possible, building on the existing abilities of local people.
- c) **Develop a wider range of capability-building tools** besides training and discussion groups; develop an environment supportive of change, tools such as access to one-to-one advice, local conferences, networking between villages and between landscapes, mentoring and job swaps, to name a few.
- d) **Focus more on tracking the implementation** of spatial plans, CCLAs, and CMMPs and the consequences of these.

This Final Assessment Report provides a general description of the evaluation and the context in which it sits, detailed findings for each of the four strategic themes, description of the crosscutting challenges and overall conclusions. The report also presents supplementary reports from three of the specialists in the team to provide USAID IFACS with additional specific findings. Finally, there are a number of annexes: the Scope of Work, Output 1-the Final Impact Assessment Plan, key informant interviews, definitions, and references.



# RINGKASAN EKSEKUTIF

Indonesia adalah rumah bagi sebagian dari hutan hujan tropis dan lahan gambut terbesar di dunia. Karena kondisinya, hutan di Indonesia sering dianggap sebagai 'paru-paru dunia'. Hutan dan lahan gambut ini menyimpan kekayaan keanekaragaman hayati dan menjadi habitat bagi spesies-spesies kunci termasuk orangutan, harimau sumatera, macan tutul, dan sebagainya. Kurang lebih 30 juta jiwa dengan kebudayaan berbeda tinggal dan menetap di sekitar hutan. Mereka sangat bergantung kepada hutan sebagai sumber penghidupan dan jasa lingkungan.

Dalam dasawarsa terakhir, deforestasi dan kebakaran hutan yang tidak terkendali terus menjadi masalah. Keduanya menjadi faktor penyebab Indonesia dianggap sebagai pengemisi (emitter) CO<sub>2</sub> utama dan kontributor signifikan atas terjadinya perubahan iklim global.

*The Indonesia Forestry and Climate Support (IFACS)* adalah kontrak kerja dari *United States Agency for International Development (USAID)* yang dikelola oleh Tetra Tech. USAID IFACS didirikan untuk membantu Pemerintah Indonesia mengurangi emisi gas rumah kaca yang disebabkan oleh degradasi dan berkurangnya area hutan. Meskipun terlalu dini untuk mengatakan bahwa apa yang diupayakan telah mengakibatkan pengurangan emisi, USAID IFACS telah membuat terobosan signifikan dan hasil antara (intermediary results) sudah mulai tampak. Perubahan lingkungan membutuhkan waktu yang lama.

IFACS dimulai pada akhir 2010 dan akan selesai pada bulan September 2015 dengan anggaran sekitar \$ 40 juta USD. Tujuan dari proyek ini sejak semula adalah (i) pengurangan atau penghilangan enam juta ton karbon dioksida ekuivalen (tCO<sub>2</sub>e), (ii) perbaikan pengelolaan konservasi untuk tiga juta hektar hutan alam dan lahan gambut, (iii) 12 kabupaten yang mengakomodir rekomendasi Kajian Lingkungan Hidup Strategis (KLHS) ke dalam Rencana Tata Ruang Wilayah, dan (iv) 12.000 masyarakat desa hutan dengan perbaikan mata pencaharian. Untuk mencapai tujuan tersebut, USAID IFACS memilih untuk bekerja pada delapan lanskap dengan tutupan hutan primer yang masih utuh dan stok karbon terbesar. Lanskap-lanskap tersebut tersebar di tiga pulau terbesar yaitu Sumatera, Kalimantan dan Papua, dan secara total mencakup tiga belas kabupaten dan kota, baik secara menyeluruh atau sebagian, di empat provinsi. Informasi lebih lanjut tentang USAID IFACS disediakan di website, [www.ifacs.or.id](http://www.ifacs.or.id)

Tujuan utama dari kajian ini adalah untuk mengevaluasi hasil akhir (dampak) proyek yang direncanakan dan mengidentifikasi pembelajaran penting yang dapat digunakan dalam proyek USAID berikutnya yaitu LESTARI, suatu proyek tindak lanjut yang akan dibangun pada landasan yang sudah didirikan oleh USAID IFACS. Mandat untuk evaluasi ini lebih lanjut ditekankan pada empat tema strategis -yang telah dibangun atau diperkuat- untuk mendukung pelaksanaan proyek, yaitu

1. Forum Multi Pihak (atau dalam bahasa Inggris MSF), sebagai media pelibatan para pemangku kepentingan;
2. Penguatan Kajian Lingkungan Hidup Strategis (KLHS) melalui penambahan komponen Strategi Pembangunan Rendah Emisi (SPRE) untuk perbaikan perencanaan ruang daerah;

3. Kesepakatan Masyarakat untuk Pelestarian Lingkungan dan Penghidupan (atau dalam bahasa Inggris CCLA) untuk membantu desa-desa merencanakan sumber penghidupan yang adaptif terhadap perubahan iklim;
4. Rencana Pengelolaan dan Monitoring Area Konservasi (atau dalam bahasa Inggris CMMP), bagi sektor swasta untuk memenuhi tanggung jawab mereka terhadap lingkungan.

Temuan rinci pada empat tema tersebut disajikan dalam batang tubuh laporan.

The scope of the Final Impact Assessment was defined by key evaluation questions:

- i. Perubahan apa yang telah terjadi di lanskap-lanskap tersebut sebagai hasil dari proyek (dampak)?
- ii. Bagaimana dan mengapa (perubahan) itu terjadi (mekanisme sebab-akibat)? dan
- iii. Apakah perubahan-perubahan tersebut berkesinambungan atau dapat diterapkan di tempat lain (masa depan)?

Anggota tim Penilaian Dampak Akhir memiliki keahlian di bidang tata kelola hutan, perencanaan sumber daya alam, ketahanan masyarakat, perubahan iklim dan evaluasi. Secara kebetulan, keahlian tim ini juga mencakup bidang ekonomi, kebijakan pedesaan dan penelitian dan penyuluhan pertanian, yang juga relevan bagi proyek ini.

Setelah menelusuri dan mengadakan penelitian dokumen awal, anggota Tim Penilai mengadakan kunjungan langsung ke tujuh kabupaten (Ketapang, Kayong Utara, Palangka Raya, Katingan, Pulang Pisau, Mimika dan Gayo Lues), dan mewawancarai 188 orang dimana 37% berbicara tentang KLHS/SPRE dan/atau MSF, 19% membahas CMMP dan 34% membahas CCLA. Delapan persen responden berbicara tentang semua tema strategis dan dua persen sisanya mengangkat topik komunikasi. Daftar lengkap responden dapat dilihat pada Lampiran 3.

Dua tahun pertama implementasi USAID IFACS merupakan masa yang problematik, dimana hal tersebut telah didokumentasikan dan ditangani dengan baik. Sebagai contoh, diperlukan waktu yang cukup lama (dari yang diharapkan) untuk menentukan lanskap. Akibatnya, USAID IFACS tidak mempunyai cukup waktu untuk mencapai dampak yang direncanakan, dan pada saat yang bersamaan proyek masih harus berhadapan dengan sikap para pemangku kepentingan yang masih kecewa dengan implementasi awal proyek. Meskipun demikian proyek telah bekerja keras untuk mengejar ketertinggalan.

Sampai saat ini, tidak ada satupun rekomendasi KLHS-SPRE yang diakomodir dalam Rencana Tata Ruang Wilayah Kabupaten (RTRWK) yang telah diimplementasikan di tingkat tapak. Hal ini terutama disebabkan oleh panjangnya alur yang harus dilalui oleh pemerintah daerah untuk mendapatkan persetujuan RTRWK. Meskipun demikian, potensi dampak dalam jangka menengah hingga jangka panjang sangat besar. Lebih lanjut, hasil awal dari CCLA sangat menjanjikan, dan meskipun rencana konservasi dengan sektor swasta (CMMP) penuh dengan tantangan, kedua tema tersebut berpotensi untuk memberikan kontribusi yang berarti.

Masing-masing lanskap dan kabupaten tempat USAID IFACS bekerja sangat berbeda dalam hal budaya, tipe lanskap, keadaan sosial-ekonomi dan kapasitasnya. Sangat jelas bahwa menggunakan satu pendekatan tidak akan sesuai untuk semua. Oleh karena itu, untuk mengoptimalkan implementasi proyek di tingkat lanskap, USAID IFACS menggunakan dua pendekatan mendasar. Pertama adalah membekali staf proyek dengan prinsip-prinsip atau pendekatan dasar untuk memfasilitasi hasil yang ingin dicapai dan bukan rumus-rumus

pasti. Yang kedua adalah menggunakan apa yang telah ‘tersedia’ untuk melaksanakan proyek, seperti menggunakan kerangka peraturan yang ada (misalnya, proses KLHS) dan struktur-struktur yang telah ada (forum-forum di tingkat kabupaten atau lokal). USAID IFACS juga berusaha untuk meningkatkan kapabilitas lembaga dan organisasi lainnya melalui mekanisme kontrak dan hibah. Penekanannya adalah pada *menggunakan sumber daya yang telah tersedia daripada memulai dari awal*.

## **KAJIAN LINGKUNGAN HIDUP STRATEGIS DAN STRATEGI PEMBANGUNAN RENDAH EMISI**

KLHS merupakan persyaratan yang wajib ada dalam Rencana Tata Ruang Wilayah Kabupaten. USAID IFACS telah berkontribusi pada peningkatan kualitas dokumen KLHS dan telah mempromosikan inklusi SPRE dalam rencana tata ruang. Sebelas kabupaten telah menyelesaikan perbaikan rencana tata ruang atau berkomitmen untuk memperbaiki rencana tata ruang mereka pada saat fase peninjauan. Semua responden sepakat tentang kontribusi positif yang telah diberikan oleh proyek terkait dengan KLHS-SPRE. Meskipun demikian, dampak dari rekomendasi KLHS terhadap perubahan (lingkungan) masih jauh, karena perbaikan rencana tata ruang ini masih harus melewati semua proses persetujuan pada tiga tingkat pemerintahan (kabupaten, propinsi, nasional).

Sementara USAID IFACS membantu memperbaiki kualitas KLHS melalui penanganan isu-isu lingkungan, Tim Penilai mencatat keterbatasan penggunaan analisis ekonomi dalam rencana tata ruang. Konservasi lingkungan harus terkait langsung dengan kemakmuran ekonomi rakyat. Tidak dapat dipungkiri bahwa semua kegiatan ekonomi berlangsung di lingkungan, akan tetapi adalah wajar jika masyarakat miskin memprioritaskan kesejahteraan ekonomi lebih dari pelestarian lingkungan. Alokasi lahan untuk masyarakat lokal harus diprioritaskan karena ketergantungan mereka yang tinggi pada lahan untuk dapat bertahan hidup. Responden berkomentar bahwa kadang-kadang keputusan yang diambil berpihak kepada perusahaan swasta besar yang diberi lahan-lahan publik, yang mengakibatkan keterasingan masyarakat setempat. Apabila LESTARI memilih untuk melanjutkan penguatan KLHS, maka disarankan agar dilakukan *pilot study* di bawah pengawasan seorang ahli atau beberapa pakar, untuk mengkaji pilihan-pilihan dalam penerapan teori ekonomi untuk proses pengambilan keputusan tata guna lahan.

## **FORUM MULTI PIHAK (MSF)**

MSF adalah mekanisme yang digunakan oleh USAID IFACS untuk memungkinkan semua pemangku kepentingan kunci di kabupaten untuk bersama-sama belajar tentang tata guna lahan berkelanjutan dan kemudian mengembangkan rencana konservasi bentang alam (RKBA)<sup>2</sup>. MSF kemudian menyerahkan RKBA kepada pemerintah kabupaten sebagai media komunikasi tentang pandangan dan prioritas MSF dalam konservasi dan tata guna lahan.

MSF bersifat spesifik di tiap kabupaten dan dalam beberapa kasus dibangun dari forum-forum yang telah ada. Seiring berjalannya waktu, MSF juga memperdebatkan isu-isu lain (di luar tata ruang) dan melaksanakan kegiatan terkait isu tersebut, kadang-kadang dengan

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<sup>2</sup> Rencana Konservasi Bentang Alam (RKBA) mengumpulkan dan menganalisa semua informasi penting tentang nilai konservasi dari suatu wilayah. USAID IFACS menggunakan RKBA untuk memberikan panduan dan informasi pada rencana tata guna lahan di lokasi-lokasi proyeknya. RKBA memuat tiga hal: 1) kajian nilai konservasi di tingkat lanskap; 2) identifikasi ancaman terhadap wilayah-wilayah penting ini, seperti deforestasi untuk lahan pertanian atau pertambangan, pembangunan jalan atau infrastruktur lainnya, atau risiko erosi, kebakaran liar atau polusi; dan 3) informasi yang ada digunakan untuk mengidentifikasi area-area paling penting atau prioritas untuk dikonservasi dan memberikan rekomendasi berupa intervensi-intervensi yang dapat dilakukan untuk mengalihkan ancaman dari area-area tersebut. Informasi lebih lanjut tersedia di <http://www.ifacs.or.id/what-we-do/landscape-conservation-plans-a-roadmap-to-a-sustainable-future/>.

dukungan dana dari USAID IFACS. Responden memberikan dukungan bulat untuk MSF agar tetap berlanjut. Tantangan untuk USAID IFACS saat ini, dan untuk LESTARI di kemudian hari, adalah bagaimana membantu mempertahankan semangat dan antusiasme MSF untuk menciptakan perubahan. USAID IFACS menghadapi empat tantangan utama dalam memfasilitasi MSF:

1. Mempertahankan visi dan tujuan bersama dalam forum;
2. mempertahankan antusiasme, mungkin melalui usaha untuk memperlihatkan pada anggota forum bahwa pekerjaan mereka membuahkan hasil;
3. mengikutsertakan semua pemangku kepentingan yang tepat; dan
4. memastikan bahwa suara MSF terus didengar, terutama oleh pemerintah kabupaten.

## **KESEPAKATAN MASYARAKAT UNTUK PELESTARIAN LINGKUNGAN DAN PENGHIDUPAN (CCLA)**

CCLA beroperasi pada tingkat desa dan dalam beberapa hal merepresentasikan rencana tata ruang lokal. Banyak CCLA yang baru saja diselesaikan dan oleh karena itu (kesepakatan di dalamnya) belum sepenuhnya dapat dilaksanakan. Meskipun demikian, beberapa contoh tindakan positif (atau hasil) telah mulai muncul. Tim Penilai berpendapat bahwa sementara USAID IFACS telah berkontribusi terhadap pengetahuan tentang tata guna lahan berkelanjutan di desa-desa, perubahan yang sepadan dalam praktek yang berkaitan dengan perubahan iklim, pertanian berkelanjutan dan konservasi belum banyak terlihat, mungkin karena banyak CCLA belum masuk ke tahap implementasi. Menyongsong LESTARI, prinsip-prinsip utama untuk CCLA tidak berubah, yakni:

1. Tata kelola pemerintahan yang partisipatif;
2. memperkuat lembaga dan sistem lokal untuk meningkatkan partisipasi dalam pengelolaan lahan hutan yang berkelanjutan;
3. memperkuat dan memperluas CCLA yang diakui oleh pihak terkait (terutama pemerintah lokal) yang memberikan kontribusi nyata untuk mengatasi perubahan iklim, melestarikan keanekaragaman hayati, melindungi mata pencaharian masyarakat, dan mengurangi konflik kepemilikan lahan; dan
4. memberikan fasilitasi intensif untuk meningkatkan pengetahuan dan kapasitas petani untuk mengakses sumber daya ekonomi, pembiayaan mikro dan pemasaran produk masyarakat yang inovatif.

## **RENCANA PENGELOLAAN DAN MONITORING AREA KONSERVASI (CMMP)**

CMMP dirancang untuk memungkinkan kerja sama dengan sektor swasta. Tema strategis ini merupakan tema yang paling menantang di antara keempat tema yang digunakan USAID IFACS, meskipun telah ada beberapa keberhasilan. Tantangan yang dihadapi adalah bahwa CMMP mengharuskan perusahaan untuk secara sukarela melakukan perubahan dalam operasi bisnis mereka untuk tujuan konservasi, ketika motivasi utama dari perusahaan-perusahaan ini adalah memperoleh keuntungan. Salah satu dampak yang signifikan adalah bahwa perusahaan dengan CMMP sekarang memiliki staf -yang setelah mengikuti pelatihan- dengan keterampilan yang lebih baik dalam mengurangi dampak penebangan dan pemantauan keanekaragaman hayati. Di lokasi-lokasi dimana CMMP telah dikembangkan, potensi dampak terhadap konservasi sangat signifikan, terutama karena CMMP disertakan dalam rencana kelola perusahaan, yang akan berujung pada perubahan.

Sebelum dimulainya LESTARI, perlu diadakan 'penyegaran' CMMP dengan melibatkan pemangku kepentingan utama (pemerintah pusat, pemerintah daerah, pelatih, perusahaan dengan pengalaman CMMP dan USAID IFACS) dalam proses tersebut. Salah satu saran

adalah melalui lokakarya. Tujuannya adalah untuk membuat CMMP lebih adaptif terhadap berbagai tipe bisnis dalam situasi yang berbeda, diikuti dengan integrasi atau koordinasi yang lebih baik dengan kebijakan dan peraturan yang ada. Kunci untuk mendukung usaha mempertahankan hutan produksi yang masih tersisa di Indonesia adalah keberadaan para manajer yang akuntabel dan bertanggung jawab.

## TEMA LINTAS SEKTORAL

Dalam proses melakukan kajian, sejumlah tantangan yang bersifat lintas sektoral muncul. Hal ini memberikan peluang bagi LESTARI untuk memperkuat dampak. Saran-saran utama adalah:

- a) **Mempertahankan keempat tema strategis**, namun sejak sekarang sampai LESTARI dimulai ada kesempatan untuk ‘menyegarkan’ semua tema tersebut. Sementara ada rekomendasi khusus untuk setiap tema yang disajikan dalam laporan ini, salah satu strategi adalah memastikan tema-tema itu diimplementasikan secara lebih terintegrasi agar dapat saling memperkuat dan menghindari konflik.
- b) **Mempertahankan praktek ‘memberikan prinsip’** kepada staf dan bukan rumusan pasti, serta tetap memanfaatkan regulasi, struktur lokal dan para penyedia jasa (providers) yang ada sebanyak mungkin, dengan meningkatkan kemampuan masyarakat setempat.
- c) **Mengembangkan berbagai ‘alat’ peningkatan kapabilitas** selain pelatihan dan diskusi kelompok, mengembangkan lingkungan yang mendukung perubahan, perangkat seperti akses pada *one-to-one advice*, konferensi lokal, jaringan antar desa dan lanskap, pembinaan (mentoring) dan sebagainya.
- d) **Berfokus pada ‘pelacakan’ (tracking) pelaksanaan** dari RTRWK (yang telah memuat rekomendasi KLHS/SPRE), CCLA dan CMMP, serta dampak dari implementasi rekomendasi-rekomendasi tersebut.

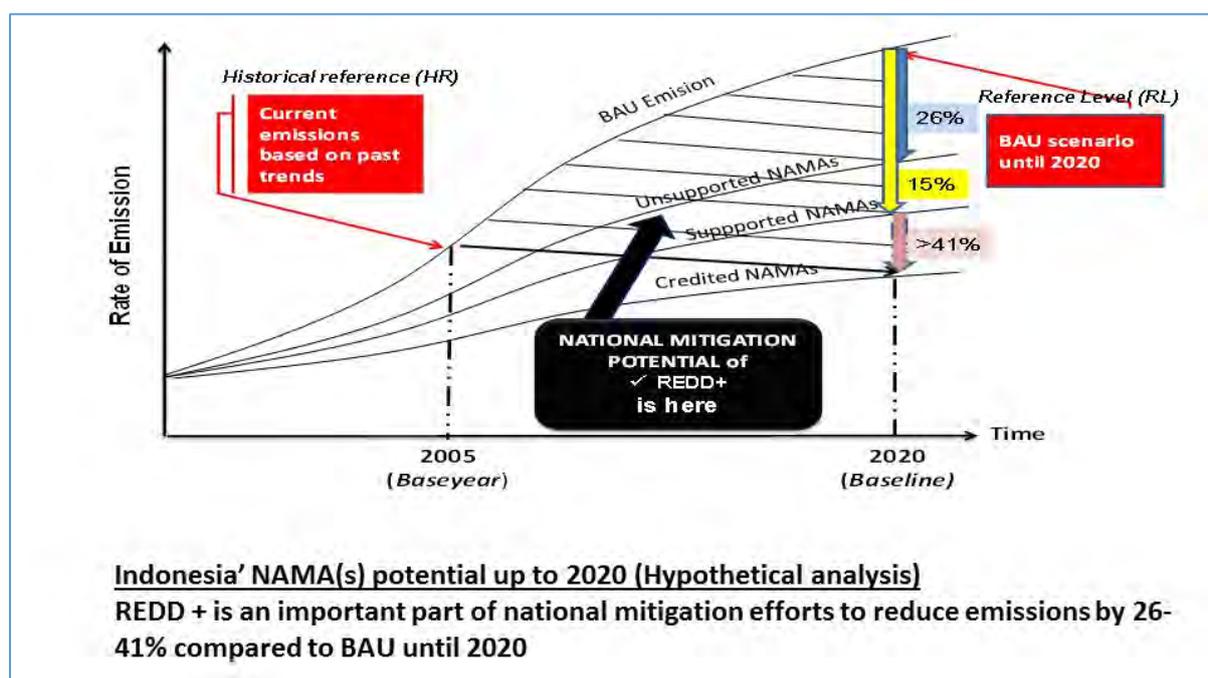
Laporan Penilaian Akhir ini memberikan gambaran umum tentang evaluasi dan konteks terkait, temuan-temuan yang rinci untuk masing-masing dari keempat tema strategis, gambaran tentang tantangan lintas sektoral dan kesimpulan secara keseluruhan. Laporan ini juga menyajikan laporan tambahan dari tiga spesialis anggota Tim, yang menyediakan tambahan temuan spesifik bagi USAID IFACS. Pada akhir laporan ini terdapat beberapa lampiran: Kerangka Acuan Kerja, Output 1-Rencana Kerja Penilaian Dampak Akhir, daftar informan kunci, definisi, dan referensi.

# 1.0 INTRODUCTION

Indonesia is home to some of the world's largest tropical rainforests and peatlands. Their stature is such that they are often referred to as the "lungs of the world." These areas sustain rich biodiversity and are the habitat of many keystone species including the orangutan, the Sumatran tiger, and the clouded leopard, to name a few. Approximately 30 million culturally diverse people live in and around these forests. They are reliant on the forests both for their livelihood and for the ecosystem services they provide.

In recent times, extensive deforestation has occurred and uncontrollable forest fires continue to be a problem. Together, these factors have made Indonesia a major emitter of CO<sub>2</sub> and therefore a significant contributor to global climate change. While there are debates about the precise volumes of emitted CO<sub>2</sub> and the difficulties of tracking emissions from forests, Indonesia has pledged to reduce emissions (Figure 1). Overall, Indonesia seeks to reduce its CO<sub>2</sub> emissions from forestry and peatlands between 2010 and 2020 by 1,018 gigatonnes. (The total figure from all sectors is 3,622 gigatonnes)

**Figure 1. Indonesia's Scenarios For CO<sub>2</sub> Reduction**



Source: National Development Planning Agency (Bappenas, 2013)

The challenge for Indonesia does not stop with CO<sub>2</sub>. For people dependent on the forests, deforestation is leading to degradation of both land and water supply as well as compromising traditional practices. For example, women may have to walk much longer distances to access usable water. Further, the private sector has emerged in the establishment of plantations, including palm oil, and in mining activities. Illegal logging and land clearing practices are also problematic.

Forests in Indonesia have three functions: (1) protection, (2) conservation, and (3) production. Forests can be divided up into these three functions: (1) protection forest areas; (2) conservation forest areas; and (3) production forest areas. It is important to understand

these differences as these categories influence the land use decisions made and the future of conservation and protection. Designation of production forest areas are for producing forest products, mainly timber, where concessions can be granted to private enterprises. These may be natural production forests or plantation production forests. It is hard to maintain sustainability of the natural production forests. First, natural forests show a characteristic of a common pool of resources (Ostrom, 1999)<sup>3</sup> as the size is usually very large, leading to overexploitation. Common pool resources have two properties: non-excludable and rivalry. Non-excludable implies that anyone can use the resource and it is very costly to prevent someone from using it. One factor contributing to this non-excludable characteristic is when the resource is large. However, these forests are actually “private goods” and are divisible—smaller sizes can be protected more easily so that exclusion is cheaper and feasible.

Second, for an investment in natural production forests to be profitable, “the sum of percentage growth rate of [a] forest stand and the rate of price increase of timber must not be less than the discount rate” (Klemperer, 1996).<sup>4</sup> The growth rate of a natural forest stand is extremely low and the domestic timber price has been relatively constant for a very long time, with log exports banned since the 1990s. This means that there are institutional, biological, and financial issues that need to be addressed for the sustainability of natural production forests. This provided context for the assessment team when examining the impacts and outcomes of the project..

## 1.1 DESCRIPTION OF THE USAID IFACS PROJECT

The *Indonesia, Forest and Climate Support* project (USAID IFACS) was designed to support Indonesian efforts in reducing its CO<sub>2</sub> emissions both through conservation of its forests and peatlands, and improving land management in and around these areas. The project commenced in 2010 and will finish in September 2015. Examples of USAID IFACS work include improving land use planning at the local government level, and helping local farmers to adopt sustainable farming practices. The overall high-level aims of the USAID IFACS project stated in its contract are as follows:

1. Six million tCO<sub>2</sub>e reduced or sequestered through improved natural resource governance and forest management, leading to reductions in deforestation and degradation of USAID IFACS landscapes (~11 million hectares);
2. Three million hectares of natural tropical forest and peatlands, at least 1.7 million of which is priority orangutan habitat, under improved management by the private sector, communities, and government;
3. Twelve districts with draft spatial plans incorporating SEA recommendations; and
4. Twelve thousand forest-dependent beneficiaries receiving economic benefits from LEDS.

To achieve these aims, USAID IFACS opted to work on eight landscapes where the primary forest cover remains almost intact and carbon stocks are greatest. These landscapes are spread across three of the largest islands—Sumatra, Kalimantan, and Papua—and in total embrace 13 districts and municipalities, either fully or partially, in four provinces. The following map illustrates the areas where USAID IFACS operates.

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<sup>3</sup> Ostrom E. (1999). Self-governance and forest resources. Technical report, Center for International Forestry Research. Occasional Paper No. 20.

<sup>4</sup> Klemperer, W. D. (1996). *Forest Resource Economics and Finance*, McGraw-Hill, Inc., New York.

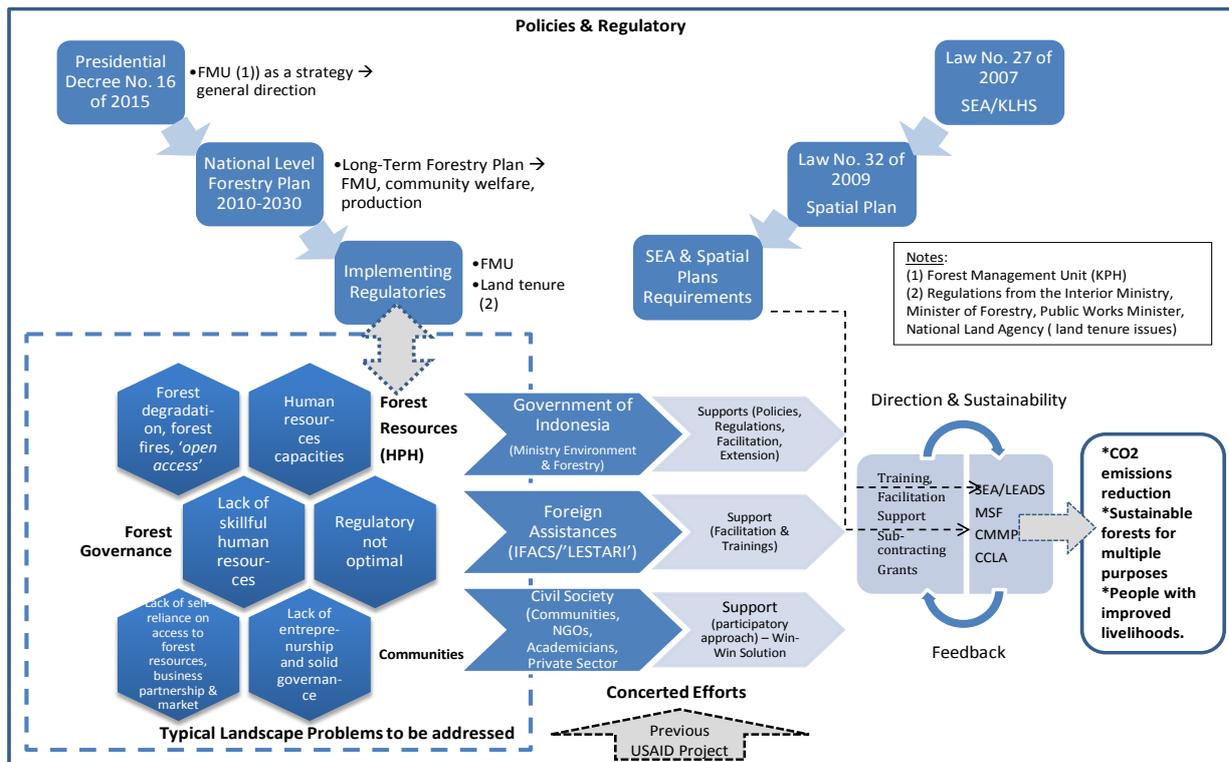
**Figure 2. Where USAID IFACS works**



See <http://www.USAID IFACS.or.id/where-we-work/> for more detail on the landscapes or in the Scope of Work (Annex 1).

USAID IFACS is a contextually complex project where the same outcomes are not necessarily guaranteed in each district, province, or landscape. Each district is different and varies according to cultural contexts, socioeconomic backgrounds, and the nature of the landscapes. These factors are often beyond the control of the USAID IFACS team. Figure 3 outlines the context in which USAID IFACS sits. It shows the two main regulatory themes, landscape problems, the key sources of intervention, and where USAID IFACS and the new LESTARI projects sit.

**Figure 3. The Context of USAID IFACS<sup>5</sup>**



<sup>5</sup> Figure prepared by Aulia Aruan.

### 1.1.1 STRATEGIC THEMES USED BY USAID IFACS

To make a positive contribution to these complex situations, USAID IFACS established four strategic themes incorporating approaches, processes, and tools. Some of these are very specific, especially when dealing with technical issues, while others are governed by principles to allow for local flexibility. Some are new, whereas others are improvements on existing tools and approaches, depending on what exists in the districts. Administratively, these themes were key tools and approaches used across IFACS' four programs: i) land and forest governance; ii) forest management and conservation; iii) private sector and local enterprise; and iv) market linkages, and project coordination and management. The four themes are as follows:

#### 1. Strategic Environmental Assessments/Low Emissions Development Strategies

**(SEA-LEDS):** These are mandatory; they were before USAID IFACS commenced and remain so. SEAs are necessary for district governments to formulate spatial plans that travel through multi-level government approval processes for inclusion into development plans and implementation. USAID IFACS roles included promoting LEDES, ensuring quality SEAs are produced, building capability, providing technical advice, and promoting inclusion of a broader stakeholder base.

SEA-LEDS principles, as per Environmental Minister Regulation Number 9/2011, are:

1. Self-assessment
2. Continuous improvement of Policy-Plan-Program
3. Improved capacity and social learning about social development issues
4. Positive influence on decision makers
5. Accountability
6. Participation and transparency

Appropriate LEDES categories used by IFACS focus on:

1. Changing land uses that have high emissions (degradation and deforestation)
2. Improved peatland management.
3. Participatory and collaborative management in forest and conservation areas, particularly engagement with the community

#### 2. Multi-Stakeholder Fora (MSF):

These are community fora where key stakeholders can determine district priorities for conservation and land use management. Their composition varies with location but membership typically covers local government, other government agencies, nongovernment agencies, local specialists, and the private sector and community representatives. The fora provide greater participation and transparency to land use decisions, with priorities communicated to local government via a Landscape Conservation Plan (LCP). USAID IFACS has been instrumental in either establishing fora or rejuvenating existing fora, providing both capability-building opportunities and some funding to ongoing support activities such as workshops.

**3. Community Conservation and Livelihood Agreement (CCLAs):** These are voluntary agreements within a village, facilitated by USAID IFACS, used to ensure that developing improved livelihoods for communities by intensification of sustainable agroforestry does not have negative environmental consequences (e.g., ensuring improved cacao yields do not contribute to deforestation through an expanded cultivation area). Over time, CCLAs have represented an opportunity to place more hectares of high conservation value (HCV) forest under conservation/improved management. They form an agreement within a community that defines what can and cannot be done in the forests. A further development has been the synergistic development of a community-level climate change vulnerability assessment and subsequent action plan (RAPI is the Bahasa; CCVA in English). Overall, USAID IFACS assists capacity and awareness to improve response to the impacts of climate change, optimize agriculture production, and increase household income. These outcomes are facilitated through providing training, socializing (disseminating information), and opening market access and resources people need to put their plans into action.

- 4. Conservation Management and Monitoring Plans (CMMPs):** These voluntary plans provide a framework for private sector entities to develop and implement their corporate responsibilities in land use and conservation. USAID IFACS forms a partnership with a private sector company regarding the future of HCV areas/assets within the company's concessions. USAID IFACS works with the company to develop strategies to manage these areas/assets and then provides training in good management practices to staff. These management strategies are formalized in a CMMP, which also includes a social impact assessment.

Information on each of these themes is provided at [www.ifacs.or.id](http://www.ifacs.or.id).

## **1.2 DESCRIBING FEATURES OF THE FINAL IMPACT ASSESSMENT**

Any evaluation needs to describe the components that determine its nature. This section of the report describes its purpose, the team brought together to do the assessment, key evaluation questions, the approaches and methods, and the audiences; and comments on existing evidence and the limitations. The functional definition of impact for this assessment is that defined by USAID: *A results or effect that is caused by or attributable to a project or program. Impact is often used to refer to higher level effects of a program that occur in the medium or long term, and can be intended or unintended and positive or negative.* (USAID, 2009)

In a hierarchical sense, impacts are typically the consequence of lower-order outcomes emerging, such as spatial plans, practice change by village farmers, or the private sector implementing CMMP to name but three. Measurement of the emergence of outcomes is within a shorter timeframe compared to impacts. USAID defines outcomes as *a result or effect that is caused by or attributable to the project, program or policy. Outcome is often used to refer to more immediate and intended effects.*

This evaluation has, therefore adhered to these definitions when discussing the effects of the project.

### **1.2.1 THE PURPOSE**

The primary objective of this Final Impact Assessment is to “provide USAID and the Government of Indonesia with an unbiased and transparent review of the success and impact of USAID IFACS over the life of the Project. The Final Impact Assessment will be used by USAID and the Government of Indonesia to inform strategic planning and the design of future assistance.<sup>6</sup> Project outcomes identified in the Final Assessment will be shared during USAID IFACS lessons learned and closeout workshops both at the landscape and national levels.” (USAID IFACS, 2014, Scope of Work ).

The assessment team was specifically asked to focus on the impact of the four strategic themes described previously. During the evaluability assessment<sup>7</sup> phase of this work, the Chief of Party for USAID IFACS emphasized the need to learn from the present project to inform future work.

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<sup>6</sup> The immediate piece of future work is LESTARI, the follow-up from USAID IFACS.

<sup>7</sup> Evaluability assessment is the deliberate process of determining the “extent to which an activity or project can be evaluated in a reliable and credible fashion” (OECD-DAC).

## 1.2.2 THE ASSESSMENT TEAM

USAID IFACS put together a panel of independent experts to undertake this impact assessment, comprising:

Bronwen McDonald	Lead, Evaluation Specialist
Sudarsono Soedomo (Ph.D.)	Spatial Planning/SEA Specialist
Aulia Aruan (Ph.D.)	Forest Management Specialist
Yani Septiani	Community Resilience and Climate Change Specialist
Erlinda Ekaputri	USAID IFACS, M&E Specialist
Uji Paskasari Panjaitan	Technical Support (USAID IFACS M&E Officer)

Inclusion of USAID IFACS staff in the team may raise questions of compromising the evaluation's independence. However, this step became necessary due to unforeseen circumstances and care was taken to avoid such compromise.

## 1.2.3 THE KEY EVALUATION QUESTIONS

The Scope of Work (Annex 1) states: "(i)n order to assess the potential impact of major interventions at the end of the project, USAID IFACS will focus its Final Assessment on four main strategic themes of SEA-LEDS, CMMP, CCLA and livelihoods benefit, and MSF. Final assessment questions will strive to *explain causality* and *address sustainability*, with three main lines of questioning."

The key evaluation questions were refined and adapted for each of the strategic themes, based on document reviews, initial interviews and the experience of the team. The leading questions, therefore, became:

1. Have (each of the strategic themes) made a difference and in what way?
2. How and why have (each of the strategic themes) made a difference (or not)?
3. Will the contents of each of the strategic themes continue to work and work elsewhere (outside the designated land use areas)?

In each instance, potential topics that had emerged for each theme during the evaluability assessment phase were defined to help guide interviews. Following are three summary examples:

### Figure 4. Examples of Key Evaluation Questions and the Topics

#### ***Have CCLAs made a difference?***

Topics to be covered include the following:

- Extent of implementation of CCLAs
- The economic or other benefits
- The impact of intensifying agriculture on conservation
- Changes in income at the village level
- Community response to the effects of climate change
- Improved dialogue/consultation between villages and other institutions
- The motivation of village people to lead and act
- Inclusiveness of women's voices in the agreements

or

***What difference has the SEA-LEDS made to spatial plans and as a consequence what has happened in the landscapes?***

Topics to be covered include the following:

- The range of impacts (positive and negative)
- The utilization of Spatial Plans (that include SEA-LEDS) and the consequences of utilization
- The differences between districts that have and have not introduced SEA-LEDS
- The reflection of the local peoples' aspirations in the Spatial Plans and the supporting evidence
- The past or potential role of the private sector

The full complement of evaluation questions and their related topics is detailed in Annex 2.

#### **1.2.4 THE APPROACH AND METHODS**

The team used the following processes in the Final Impact Assessment:

- a) Evaluability Assessment:<sup>8</sup>
  - a. Document review of the project and its evaluative reports;
  - b. Initial interviews with the Chief of Party, Deputy Chief of Party, and three Component Team Leaders of USAID IFACS;
  - c. Determination of an initial logic model based on the four strategic themes alone, followed by a workshop with USAID IFACS Jakarta staff to clarify the model (see Logic Model in Annex 2);
  - d. Approval of a final plan of action for the Final Impact Assessment (Annex 2); and
  - e. Collection of Most Significant Change (MSC) stories.<sup>9</sup>
- b) Semi-structured interviews with key informants in Jakarta and Bogor. A list of interviewees is provided in Annex 3.
- c) Field trips to West Kalimantan, Central Kalimantan, Aceh and Papua provinces to observe USAID IFACS work and interview key informants. A list of interviewees is provided in Annex 3.
- d) Synthesis of findings using contribution analysis.
- e) Preparation of a draft report by March 9.

#### **1.2.5 AUDIENCE**

There are two categories of people interested in this report: those who will use the findings, and those with an interest in knowing what has happened. People who will use the findings include both USAID and USAID IFACS for accountability and learning to inform the new LESTARI project designed to build upon the platform created by USAID IFACS. People who have an interest in the findings include those interviewed, who will receive a summarized version for their information.

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<sup>8</sup> A study conducted to determine a) whether the program is at a stage at which progress toward objectives is likely to be observable; b) whether and how an evaluation would be useful to program managers and/or policymakers; and c) the feasibility of conducting an evaluation. (USAID definition)

<sup>9</sup> Stories of significant change are used in this report. They are a monitoring tool and more information is available at [www.mande.co.uk/docs/MSCGuide.htm](http://www.mande.co.uk/docs/MSCGuide.htm). The stories in the report have attempted to maintain the voice of the person telling the story. They were originally told in Bahasa. Translation and editing was deliberately kept minimal to avoid interpretation of the story teller's words.

## 1.2.6 COMMENT ON EXISTING EVALUATIVE EVIDENCE

A review of past documentation showed that USAID IFACS has and continues to commit to monitoring and evaluation (M&E) with five staff on the M&E team—three of whom are in the regions. This team has:

- a) Documented a Performance Monitoring & Evaluation Plan (PMP), 2013;
- b) Established data management systems;
- c) Standardized reporting;
- d) Tracked 16 performance targets since a mid-term audit;
- e) Commissioned surveys (baseline and final) to track changes in knowledge, attitudes, and practice changes since 2011; and
- f) Designed an initial results framework (detailed in Annex 1).

Apart from the commissioned surveys, most of the data for measurement against the targets has come from reports from subcontractors or USAID IFACS (e.g., the number of SEA-LEDS completed based on the project's intervention or the number of CCLAs completed). The survey data, however, cannot be used for attribution because of difficulties in recognizing control and treatment areas—a common problem with complex projects. However, it does describe trends in the target landscapes regardless of their causes. Issues such as measuring CO<sub>2</sub> reduction are problematic, here and everywhere, but these issues are outside the remit of this evaluation.

## 1.2.7 LIMITATIONS OF THIS EVALUATION

As well as the challenges identified above, the major weakness in this assessment is the reliance on key informant interviews and stories of change. John Mayne in his paper *Strengthening CPWF Project Evaluations – Assessing Research-for-Development Projects* (2011) referred to the limited options facing evaluators in this situation. He wrote “The evaluations, perforce, involve the evaluator reviewing documents including prior evaluations, visiting one or more sites, interviewing some stakeholders and writing a report. ‘Before’ and ‘after’ comparisons may be weak in cases where there are no, or limited, prior baseline data and weak monitoring data during the lifetime of the project. As a result the evaluations may have difficulty in measuring the size of changes, and certainly difficulty in concluding the extent to which the project had made a difference, beyond the opinions of those involved.”

USAID IFACS has put effort into tracking targets, albeit in the latter years of the project after targets were revised following an audit. This is discussed in the section on findings. The suitability of these indicators for this project is another issue beyond the remit of this contract. Mayne goes on to discuss the use of theory of change approaches (e.g., logic modeling), and this is the course this evaluation has taken. The performance story described earlier in this report is a start of that process.

The Final Impact Assessment team considered the feasibility of including economic evaluation to address questions of whether or not the USAID IFACS project was good value for money. The options considered were as follows:

- a) **Ex-poste cost benefit analysis:** this was not feasible because many USAID IFACS impacts have not had time to emerge or be measured, other service providers with related goals are operating in the same landscapes and it is difficult to disaggregate “USAID IFACS-caused” impacts from those of other providers.
- b) **Computable General Equilibrium:** this measures the impact on the whole economy but the size of the USAID IFACS project investment is too small for such a model to detect impact.
- c) **Quantitative and qualitative data of specific or individual accounts of change against a theory of change.**

In reality, none of these options was feasible. There may be options for LESTARI to do economic evaluation. This assessment team believes there could be a deliberate effort to capture all inputs (economic, quantitative, and qualitative) and measure the changes in terms of economic return, and quantitative or qualitative impacts, possibly weighting the three types of data.

## 2.0 FINDINGS

*Impact: A results or effect that is caused by or attributable to a project or program. Impact is often used to refer to higher level effects of a program that occur in the medium or long term, and can be intended or unintended and positive or negative (USAID, 2009)*

*Outcome: A results or effect that is caused by or attributable to the project, program or policy. Outcome is often used to refer to more immediate and intended effects. (USAID 2009)*

The first two years of USAID IFACS were problematic and this has been well documented and addressed. For example, it took much longer than anticipated to identify which landscapes to work in. This put the project back in terms of its work schedule although the last two years have seen an acceleration of activity. The consequence is that USAID IFACS has had less time to realize its planned impact while simultaneously having to deal with residual stakeholder attitudes about initial delivery issues. Bringing about land use change and delivering environmental impacts take a long time. In reality, USAID IFACS is only starting to have an impact, but LESTARI will have a strong platform to build upon.

In summary, none of the SEA-LEDS incorporated into district spatial plans has resulted in change on the ground because of the time it takes to move through the approval processes of various levels of government. However, the potential for delivering impact is enormous. Initial results from some CCLAs are encouraging while CMMPs have been challenging. Both have the potential to make a difference. A performance story for USAID IFACS is presented on the next page that links inputs to impacts without great leaps of causal faith. Also included in this section are the following sub-sections:

- Reports on the findings of each of the strategic themes,
- A report of performance targets and their role in monitoring impact,
- A report on crosscutting themes, and
- Conclusions.

This evaluation covers 11 of the 13 districts, but focuses on areas visited during the field trips (Ketapang, Katingan, Mimika, and Aceh Tenggara landscapes). In the two remaining districts of Asmat and Mamberamo (Papua), USAID IFACS worked in partnership with the World Wildlife Fund and Conservation International, who had been working on similar issues for some time. These districts contain large swaths of untouched forests. Specifically USAID IFACS worked in Asmat supporting 39 villages undertake participatory mapping, and five villages in Mamberamo. In Asmat, USAID IFACS supported education programs through schools, GIS capacity building for government staff, communications and outreach through churches.

Approximately 188 people contributed information to this assessment. Of these, 37% spoke about SEA-LEDS and/or MSF, 19% about CMMPs, and 34% about CCLAs. Eight percent spoke about all strategic themes while two percent discussed communications. The team consulted a wide range of people, including directors or deputy directors in Jakarta or Bogor, local government officials in the districts, private sector representatives, NGOs, and local farmers. A full list of respondent is listed in Annex 3.

## 2.1 PERFORMANCE STORY FOR USAID IFACS

Table 1. The USAID IFACS Performance Story

<p><b>The current situations</b></p>	<p>USAID IFACS is not there yet in terms of final impact—but the potential is huge and there is work to do in LESTARI to build on the gains already achieved; work such as supporting the implementation of the spatial plans, CMMPs, and CCLAs. This project was set up to assist Indonesia to reduce its emissions by 6 million tCO<sub>2</sub>e and improve land use management in selected forests and peatlands by 3 million hectares. Outcomes are emerging but environmental change takes time. The themes promoted by USAID IFACS, though, are beginning to have impact.</p>
<p><b>What USAID IFACS did</b></p>	<p>With US \$40 million from USAID, and building on existing knowledge, USAID IFACS selected eight landscapes to work within and established a central office with four regional offices. The project then focused on i) building the capability of local people to make more informed decisions about sustainable land use, ii) linked into current regulatory requirements and existing fora, iii) listened to local aspirations, iv) provided grants, and v) partnered or subcontracted work to other agencies already working in the area, thereby leveraging capacity and knowledge.</p>
<p><b>Reach, using the Strategic Themes</b></p>	<p>Underpinning all of this were four strategic themes designed to reach key target groups —some components of these themes were new, others were improvements on existing local structures and requirements. These themes were a) SEA-LEDS for improving district spatial plans; b) MSF in district communities to bring key stakeholders together; c) CMMPs for use in the private sector; and d) CCLAs for villages.</p>
<p><b>Practice Change</b></p>	<p>USAID IFACS research shows local knowledge and attitudes have improved regarding sustainable approaches to land use and water supply, but more practice change is required. Attribution is difficult. The assessment team also observed limited practice change. Eleven districts now have or will have improved spatial plans, 233 CCLAs are signed, and 13 CMMPs have been completed.</p>
<p><b>Intermediate Outcomes</b></p>	<p>Anecdotal evidence show examples of some farmers increasing their livelihoods; some private enterprises are now embracing environmental practices to safeguard the forests and peatlands, and the MSF have successfully undertaken or supported bespoke activities that are delivering environmental outcomes. Simultaneously, the increasingly consultative and participatory processes being used by local governments and others, and promoted by USAID IFACS, have resulted in greater transparency and hence improved governance.</p>
<p><b>Emerging Impacts (Final results)</b></p>	<p>It is too early to talk about final impacts, especially as the directions in the spatial plans have not been implemented and many of the CCLAs have only been recently completed. CMMPs are proving to be difficult.</p>
<p><b>But there is work to do.</b></p>	<p>USAID IFACS's job is not complete. When LESTARI commences, it has the opportunity to embrace the lessons learned from IFACS and work more intensely in fewer landscapes. For example, there are options to develop each of the themes as well as integrating them, further develop capability-building approaches, become more focused on impact now that the groundwork is almost done, and assist districts to include rigorous economic analysis to partner with environmental assessments and social impact analysis thereby enhancing sustainable land use decision making.</p>

## 2.2 Strategic Environmental Assessments /Low Emissions Development Strategies

Table 2. Summary of Findings for SEA-LEDS

Summary of the Main Findings for SEA-LEDS	
<b>Main outcomes (It is too early for impacts)</b>	<ul style="list-style-type: none"> <li>a) Inclusion of HCV areas, vulnerable areas, strategic areas, and high risk areas in the spatial plans;</li> <li>b) A range of other activities triggered by districts participating in an improved SEA process have occurred such as discontinuing inappropriate mining licenses, relocating activities and allocation of land to local people; and</li> <li>c) Bridge building and a wider participation of people in the planning processes.</li> </ul>
<b>Main drivers that promote success</b>	<ul style="list-style-type: none"> <li>a) The processes USAID IFACS used to increase the quality of the SEA-LEDS documents and hence improve the quality of spatial plans were valued;</li> <li>b) USAID IFACS eventually being seen to be both efficient and effective; and</li> <li>c) Increased participation of the locals as mentioned in the outcomes.</li> </ul>
<b>Main barriers to success</b>	<ul style="list-style-type: none"> <li>a) Other political decisions that were not aligned with spatial planning; and</li> <li>b) Lack of economic analysis and application of economic theory, which would strengthen land use decision making.</li> </ul>
<b>Main messages to LESTARI</b>	<ul style="list-style-type: none"> <li>a) Determine how to improve economic analysis SEA-LEDS/spatial plans decision making based on sound economic theory. A pilot study?</li> <li>b) Develop a strategy for supporting the implementation of recommendations from spatial plans once development plans are in place, then monitor and evaluate progress to assess causality.</li> <li>c) Continue strategies that improve the participation of local people in land use decisions.</li> <li>d) Ensure the processes around SEA-LEDS/spatial plans engage with CMMPs and CCLAs as much as possible.</li> <li>e) Take action to ensure a level playing field in implementing change, favoring those who face explicit or implicit discrimination. LESTARI should promote such affirmative action.</li> </ul>

## WHAT DIFFERENCE HAS SEA-LEDS MADE TO SPATIAL PLANS AND AS A CONSEQUENCE, WHAT HAS HAPPENED IN THE LANDSCAPES?

In general, it is too early to assess the main impacts of SEA-LEDS on the landscapes because none have completed the full circle of multi-level government approvals and inclusion into development plans. In each district it involves:

- a) Development of a district spatial plan, including input from MSF and public consultations;
- b) Submission of a plan to the national government for approval and possible modification;
- c) Submission of a revised plan to the provincial government for approval and possible modification;
- d) Submission back to the district government and inclusion into five-year development plans and funding; then
- e) Successful implementation and monitoring.

Spatial plans are reviewed every five years, so timing was a factor in USAID's IFACS intervention. The point at which USAID IFACS, a four-year project, entered into a district government's spatial planning cycle was critical to results. Consequently, in the case of Aceh Tenggara and Mimika, only a commitment to embrace SEA-LEDS principles for the next plan was obtained. All this was outside of the control of USAID IFACS. Progress within each district is given in Table 3 below, which was sourced from the USAID IFACS Management Information System.

**Table 3. Table of Districts in the USAID IFACS Landscapes and their Response to SEA-LEDS**

District	SEA integrated into a new spatial plan	Some SEA-LEDS principles integrated into an existing development plan	Will use SEA-LEDS principles when the spatial plan is reviewed.
Ketapang	X		
Kayong Utara	X		
Melawi	X		
Katingan	X		
Pulang Pisau	X		
Palangka Raya	X		
Aceh Selatan	X		
Aceh Tenggara			X
Gayo Lues		X	
Sarmi		X	
Mimika			X
Mamberamo	No Action – Under the umbrella of the Conservation International		
Asmat	No Action – Under the umbrella of the World Wildlife Fund		

There were three outcomes noted by the assessment team as precursors to eventual impact. The most significant broad outcome was the inclusion of high conservation forests or areas, vulnerable areas, strategic areas, and high risk areas into the spatial plans and therefore the potential for these issues to be included in development plans and other activities is enormous.

Despite the lag between developing the spatial plan and its eventual fulfilment, some districts were initiating actions where they could such as stopping inappropriate mining permit issuance in Sarmi, relocation of an industrial estate in Palangka Raya City, or the specific allocation of land for local people recommended in the SEA-LEDS of districts of Sarmi and of Mimika.

Bridge building was the third outcome observed. It had resulted from USAID IFACS-generated interaction between the governments and their respective communities, especially via the MSF and the consultation processes utilized to produce the SEA-LEDS/spatial plans. Such participatory approaches encouraged local people to speak up and express their aspirations. In general, there has been improved awareness of the role of civil society in developing or revising the plans and thus increased transparency and governance. The role of the private sector, however, has been very limited. In Kayong Utara, a palm oil plantation company (PT. Cipta Usaha Sejati) was involved in the SEA-LEDS processes, while two state-owned companies in Gayo Lues, a water supply company (PDAM) and Power Company (PLN), were involved. In the near future, without further intervention, the role of the private sector will be minimal in the SEA-LEDS processes. This issue is addressed further in the report on CMMPs.

Overall, the following MSC story, *A Paradigm Shift*, shows how USAID IFACS staff made progress with SEA-LEDS.

### Figure 5. A Paradigm Shift<sup>10</sup>

**Title:** A Paradigm Shift

**Who told the Story:** West Kalimantan IFACS Team

**Context:** Visit to the Ketapang IFACS Office by the Final Impact Assessment Team

#### **What Happened:**

The district governments within the Ketapang Landscape were quite familiar with the SEA document from 2010, owing to assistance from the consultants. The district government understands that the SEA is a mandatory document for the regional government to prepare. Several regional government staff were sent to participate in a training on SEA even before the IFACS; however, no staff was able to prepare an SEA-LEDS document. The district government had constraints in developing the SEA, which is actually required in the spatial and regional plan to be proposed to the governor.

The approach applied by IFACS in assisting the regional governments in preparing the SEA-LEDS is by organizing serial training-workshops for the relevant staff of the line agencies. IFACS, in collaboration with URS (subcontractor), programmed nine main workshops (within the time frame of two years) so that the district team would be able to produce their SEA. Before implementing the workshop for each theme, IFACS would first facilitate the SEA district team in organizing pre-workshop meetings for preparation and then hold post-workshop meetings to clarify and reconcile the data and information gathered from the workshops. This type of approach evidently was effective in building the capacity of the participants to independently work on the SEA. Under this method, the participants of the workshop (district team for SEA) are required to search for the necessary data by themselves.

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<sup>10</sup> This is the first MSC story in the report. The reader is reminded that translation from Bahasa is minimal to avoid translation unintentionally taking away from the voice of the storyteller or its meaning.

This process of independent data searching provided a positive result as it has stimulated (inspired) the participants to collaborate across the different line agencies to establish a data bank and at the district level to establish a data center, not only relying on data from BPS (Central Bureau of Statistics). This issue on establishing a data bank has been a serious topic of discussion among the workshop participants and it will become one of the work programs in the Multi-stakeholders Forum as the district SEA team was quite active in the multi-stakeholders' meetings.

**Why is this Story Significant:**

As a result, the significant impact of the serial workshops is the paradigm shift of the regional government, particularly the SEA-LEDS team in maintaining the quality of the data and information that should be made available by each line agency. The awareness of the importance of quality SEA documents has become more evident in the process of obtaining approval from the governor as stipulated in the Regulation of the District on Spatial and Regional Planning that requires the SEA document as an attachment.

**What is the main lesson for IFACS?** One-off training workshops do not work. A bundle with participatory preparation and follow-up does.

As part of the evaluation, an interview was conducted to examine the processes of developing a SEA without USAID IFACS facilitation. The District of Kapuas, which is adjacent to the District of Pulang Pisau, had no input from the project. In Kapuas, compared to Pulang Pisau:

- a) There were no participatory processes.
- b) SEA development was done by a third party appointed by provincial government.
- c) Although Kapuas government staff were asked for some data, they were never fully consulted.
- d) Staff acted mostly as data providers, then a full SEA document was given to them.
- e) There was no consideration of carbon stock/emission in land use decision making.
- f) There was no capacity building.

**HOW AND WHY HAVE SEA-LEDS MADE A DIFFERENCE?**

This question is seeking to look at causal mechanisms—to understand how impacts and outcomes occur (or not) is typically where the lessons lie for LESTARI. The assessment team looked for the facets that helped (drivers) or hindered (barriers) the planned short-term and long-term effects occurring.

Three drivers that support change were identified during the evaluation. The first was about addressing a real need. SEA and spatial plans were and still are regulatory requirements in Indonesia. Implicitly or explicitly, district governments were uncomfortable with the quality of the existing plans and therefore were receptive to the USAID IFACS assistance provided, including the inclusion of LEDS. Along the way, “champions” emerged who have taken the principles espoused by SEA-LEDS and applied that thinking beyond regulatory needs. USAID IFACS provided training (for example, GIS and writing skills) and one-to-one/group support to ensure the correct application of required technical principles, especially among the SEA working group members. This can be seen in the story of *the Paradigm Shift* shown previously where there is, tacit acknowledgement that behaviour change is more than training.

Evidence was found of instances of inefficient practice with some SEA-LEDS working groups being confused by the delivery of seemingly unconnected and unsystematic material at the beginning. As the project progressed and staff learned from the experience, this changed. At the end of the process, working groups realized the usefulness of the training and support

they have received. LESTARI will need to monitor service delivery constantly to ensure it retains the confidence and engagement of stakeholders.

A third driver was the significantly larger participation of people involved in the spatial planning processes as mentioned previously when reporting on the difference the USAID IFACS intervention made. This demonstrated the role of civil society in improving decision making.

The main obstacle was and will be political interests that have an eye to economic gain from exploiting natural resources, mainly land. The assessment team was informed that some elected leaders use issuance of permits for investments as a fundraiser rather than using other criteria. This may compromise the motivation to commit to SEA-LEDS.

A question arose for the assessment team about the level of economic analysis in the SEA-LEDS/spatial plan continuum. It was not as robust as that for analysis of environmental factors and social impact. It was felt there was value in this being addressed.

### **WILL THE SEA-LEDS CONTINUE TO MAKE A SIGNIFICANT CONTRIBUTION?**

The core of this question is to identify lessons for LESTARI.

1. Using economic theory: If the goal is to reduce emissions from deforestation of natural forest, then a crucial step is to make natural forests more valuable through the improvement of public policies. In general, valuable forests will be managed sustainably if and only if there are well-defined property rights. Most policymakers do not use this mechanism, probably because there is limited understanding of it. Education in this area is important for the future as the growth rate in natural forests is very low, thereby making investment in these forests financially unviable. Commercial utilization of natural forests by private companies, therefore, is not sustainable. Management of the natural forests could be given to local people who have been dependent on the forests for a very long time or could be done by the government itself, which has limited capacity to do this successfully at this time. Recently, the government has been developing the Forest Management Unit (KPH [*Kesatuan Pengelolaan Hutan*]). It is not clear whether this would be a government institution, semi-government institution, or state-owned company. It is an issue subject to much debate. However, the assessment team is recommending a pilot study be undertaken to explore the potential of using more robust economic theory to improve decision making at the district level.
2. Supporting and monitoring implementation: The impacts of SEA-LEDS should emerge during the lifespan of LESTARI and therefore the project has the opportunity to support implementation as planned, and to monitor and evaluate the higher-level outcomes and impacts, establishing quantitative data and causal explanations.
3. Engaged stakeholders: All stakeholders realize the importance of SEA-LEDS and this will ensure that SEA-LEDS are continued. Stakeholders feel their role has been appreciated. Broad participation in decision making regarding development is critical.
4. Integration with CMMPs and CCLAs: Spatial plans provide a critical foundation for sustainable development. Socialization (promotion) of SEA-LEDS must be improved so that planners in local governments further develop their skills in this area and include CMMPs and CCLAs in their considerations.

### **Key direction**

The processes employed by USAID IFACS in supporting and improving the quality of SEAs is to be commended. While there is still a job to do with supporting implementation of spatial plans containing SEA-LEDS, the main gap is a robust economic analysis that would partner with environmental and social impact analysis. Environmental conservation must be connected directly to the economic prosperity of the people. Although all economic activities take place in the environment, poor people prioritize economic prosperity over environmental conservation. Land allocation for the local people should be prioritized, as their dependence on it is still high. There were comments that sometimes decisions had been biased toward granting public lands to large private companies resulting in alienation of the local people.

### **Three principles to consider in LESTARI:**

- **Entrench the right processes.** Entrench transparent, accountable, inclusive and participatory processes in the development of any plan that results in impacts on the local people. Local people should be aware of what is going on in their environment.
- **Work closely with others.** Work closely with the government, provincial governments, district governments, and MSF in any activity related to the implementation of spatial plans.
- **Take affirmative action.** Take action to ensure a level playing field in implementing change, favoring those who face explicit or implicit discrimination. Competition is good as long as all the participants have the same chances, otherwise it will result in economic and social disparities leading to social tension. LESTARI should promote such affirmative action.

More discussion on some of these points follow along with examples, and the identification of key principles as they appeared to the assessment team, while there is a more in-depth discussion on using economic analysis and theory in the Supplementary Report Section (Section 3).

## 2.3 MULTI-STAKEHOLDER FORA

**Table 4. Summary of Findings for MSF**

Summary of the Main Findings for MSF	
<b>Main outcomes</b>	<ul style="list-style-type: none"> <li>a) Quality improved in SEA-LEDS from MSF inputs and USAID IFACS intervention;</li> <li>b) Open and frank discussions between stakeholders regardless of their status;</li> <li>c) Improved transparency and hence governance in land use planning; and</li> <li>d) A range of other outcomes described later in this part of the report including for examples such as:               <ul style="list-style-type: none"> <li>a. Discussions and actions on other topics, and</li> <li>b. Application of the skills learned in other arenas.</li> </ul> </li> </ul>
<b>Main drivers that promote success</b>	<ul style="list-style-type: none"> <li>a) Where possible USAID IFACS worked with existing structures;</li> <li>b) Meeting processes and capability-building opportunities provided by USAID IFACS were valued; and</li> <li>c) MSF members operated as a group, forgetting hierarchy and blame but focusing on content and solutions.</li> </ul>
<b>Main barriers to success</b>	<ul style="list-style-type: none"> <li>a) Not always having the right people in the room; and</li> <li>b) Maintaining enthusiasm.</li> </ul>
<b>Main message to LESTARI</b>	<ul style="list-style-type: none"> <li>a) Continue with MSF and keep doing what USAID IFACS did.</li> <li>b) Work out a strategy for keeping the fora energetic and focused.</li> <li>c) Coordinate with CMMPs and CCLAs, possibly through membership.</li> <li>d) Ensure participants get to see the results of their work and be acknowledged for it.</li> </ul>

For the purposes of USAID IFACS, a MSF is a working group of stakeholders with a “vested” interest in the future of forests, land use, LEDS, —improving livelihoods and the future of their constituency, and mitigating and adapting to climate change in the district. MSF contain key decision makers and stakeholders from the public, private, and civil societies (USAID IFACS, 2013, PMP). As background, MSF were either initiated or redeveloped by USAID IFACS to “provide a vehicle to achieve and ultimately sustain USAID IFACS results ... MSF will provide transparency and participation in decision making, implementation and enforcement surrounding sustainable land uses.” (USAID IFACS, internal document). The same document outlines MSF’s contribution to USAID’s IFACS development hypothesis as follows:

### Figure 6. MSF Contribution to USAID IFACS Development Hypothesis

- If MSF contain key decision makers and stakeholders from the public, private, and civil societies; and
  - If the MSF understand and are committed to sustainable forest and land use management—including LEDS and other conservation BMPs, and
  - If the technical, institutional, and outreach capacity is increased so they are able to develop, communicate, and direct sustainable management, LEDS, and conservation initiatives; and
  - If the MSF operate in a transparent and participative manner;
- then**
- the MSF will have a sustainable and positive impact on the conservation and reduction of emissions in the USAID IFACS Landscape**

### HAVE MSF MADE A DIFFERENCE AND IN WHAT WAY?

Overall, the assessment team found many positive examples the work of MSF and in general, enthusiasm for MSF to continue. The following MSC story was provided to the assessment team and it provides an overall appreciation of the success of MSF.

### Figure 7 Moving in the Right Direction

**Title:** Ketapang and Kayong Utara Fora Moving in the Right Direction

**Who Told the Story:** West Kalimantan USAID IFACS Team

**Where:** After the visit of the Final Impact Assessment Team.

There were already several other fora in each district in the Ketapang Landscape before the intervention of USAID IFACS project in this region. These existing fora each had their own vision and mission; however, none had a clear work plan for their targets and achievements. In the past (before USAID IFACS), the fora served only for discussion of various topics, and were not focused on mitigation and climate change.

USAID IFACS’ vision is to involve multiple stakeholders in every landscape to address the issues of climate change, sustainable forest management, and reduction of greenhouse gas emission. USAID IFACS divided the fora based on the diversity of the participants into thematic discussions of strategic issues in the districts. USAID IFACS further facilitated the expansion of fora membership and encouraged each to establish their own vision and mission statement that should be clear and firm with a measurable work program.

The approach applied by USAID IFACS involved multiple stakeholders (government, NGOs, private companies, and the community) and has turned out to be very positive. Meetings that were usually rather tense in the past have evolved into a more relaxed and conducive atmosphere. Each participant is responsible for supporting others in formulating the vision, mission statement, and the work program, which has to be clear and measurable.

**This story is significant because** it demonstrates that USAID IFACS' approach to MSF can result positive change. The fora now have a well-defined vision and mission statements and work programs that result in a clear roadmap to support sustainable development. USAID IFACS has contributed by facilitating the MSF to become well planned when implementing their activities. MSF members have become more familiar with each other, and could interact more easily with the policymakers such as the regional parliament members and the head of the district.

There were five outcomes identified by the assessment team, but overall many respondents considered MSF a USAID IFACS success story. First, MSF have had a huge potential impact on USAID IFACS higher-level goals, but this impact will not be realized until the district governments' current draft spatial plans have passed through the approval processes and subsequently implemented in development plans. The exception is in the District of Gayo Lues, where the MSF has only had a limited role in the SEA-LEDS but a very strong and productive one in relation to other matters.

Second, in terms of the quality of SEA-LEDS, there is evidence that spatial plans have improved because of both the work of fora and of USAID IFACS itself. LCPs, introduced to the fora by USAID IFACS, were considered a valuable tool to support communication of a forum's view on land use planning and conservation to the district government.

Third, since USAID IFACS began working with the MSF (whose memberships are quite diverse), two key responses have happened. Discussions have become more open and hierarchies are breaking down. Positions are less important; it is the content and quality of the debate that matters. Both responses demonstrate the emergence of trust. Meetings are more regular, especially when there is support from USAID IFACS, and members are more focused on the issues at hand. Respondents also reported that information now flows more freely and openly among the working units in the district. As a result of the MSF, people believe transparency has improved and as a consequence so has governance.

NOTE: The MSF of Kayong Utara and of Gayo Lues are both very influential, and their voices are heard by the Bupatis (mayors). This is not to say it does not happen elsewhere. It is a sampling effect.

The final two broader outcomes were often mentioned by respondents and relate to diffusion effects. MSF gained confidence in the processes used and the influence they have, so other topics beyond land use and conservation are now discussed. Topics such as health or education. The following table shows the range of topics discussed by each of the fora.

**Table 5. Table Topics Covered by MSF beyond SEA-LEDS/Spatial Plans**

DISTRICT (Name of the MSF)	Topics covered beyond SEA-LEDS (if known)
<b>GAYO LUES (FMUL or Forum Masyarakat Utan Leuser)</b>	Religious campaign on climate change; forest fire; adaptation and mitigation; climate change approach through customary leaders; watershed preservation; CCLA
<b>SOUTHEAST ACEH (FOLAT or Forum Leuser Aceh Tenggara)</b>	Religious campaign on climate change; media campaign on general environment issues; strengthening community role in forest management; livelihood development; disaster; natural resource management; facilitating the development of village regulation concerning environment management; LCP; forest village; community forest; National Park preservation; CCLA; also involved in the discussion of road development with head of district
<b>SOUTH ACEH</b>	Communication and outreach on climate change and conservation; initiation

DISTRICT (Name of the MSF)	Topics covered beyond SEA-LEDS (if known)
<b>(FORLAST or Forum Lanskap Aceh Selatan)</b>	of carbon project; natural resource management; water resources as alternative energy; ecotourism; human wildlife conflict; CCLA
<b>MIMIKA (MSF for Climate Change)</b>	Agroforestry; mangrove management; alternative livelihood; participatory mapping; spatial data infrastructure; landscape conservation plan; project carbon concept note; climate change campaign through radio, schools, and village
<b>SARMI</b>	Fisheries; landscape conservation plan; spatial data infrastructure; CCLA; climate change campaign
<b>PALANGKA RAYA</b>	City forest as an opportunity for community welfare; rubber quality improvement; waste management; agroforestry and integrated farming; education forest and customary forest; landscape conservation plan; ecotourism
<b>PULANG PISAU (Forum Lingkungan Hidup)</b>	Management, preparedness, and district policy of land and forest fire; rubber development; landscape conservation plan
<b>KATINGAN</b>	Rattan development; land and forest fire; landscape conservation plan; Katingan Conservation for Borneo (government program)
<b>KETAPANG (Sekretariat Bersama Konservasi Kayong)</b>	Spatial planning; development of village forest; peatland management; rubber development
<b>KAYONG UTARA (Forum Rumah Ide)</b>	Spatial planning; conservation; ecotourism; livelihood; microhydro development; citizen journalist development
<b>MELAWI (Forum Peduli Perubahan Iklim Melawi)</b>	Spatial planning; watershed conservation; landscape conservation plan; field school of climate change

The second broader outcome is that the skills that participants developed in the fora as a result of USAID IFACS resourcing have been applied elsewhere, or in some instances have helped people get promotions. (These skills covered GIS, how to run discussions productively, and how to communicate with various groups of people.) Other specific examples of outcomes are given in Figure 8.

**Figure 8. Specific examples of the positive outcomes for MSF.**

- In Gayo Lues, both formal and informal discussions among MSF members have impacted on awareness raising of the importance of conservation and applying actions in the field. One the most important results was the establishment of the Environmental Office in the Gayo Lues District. Previously, environmental considerations were only a section in the Planning Agency. MSF has been able to encourage district government to establish the Environmental Office separate from the Planning Agency. As a follow up, the district government issued Local Regulation No. 9 Year 2013 concerning environmental management covering the area of forest, river, and the air. This was followed by an allocation of local budget for implementation.
- Also in Gayo Lues, the MSF took a significant role in assisting communities to develop CCLAs. This commitment also came from the district government, as well as the villages who acknowledged this by signing of the Gayo Lues Protocol.
- In Mimika, MSF also evolved as the embryo of the District Mangrove Working Group. This embryo is now working to prepare a local mangrove conservation regulation as well as the mangrove conservation and management plan.

- Concerning spatial planning, the MSF in Kayong Utara is utilizing the knowledge and skills it gained from USAID IFACS GIS training to assist local government to work on village-level spatial planning.
- In all districts, MSF members trained in GIS were pushed and assisted to initiate Spatial Data Infrastructure (SDI). The availability of and access to spatial data in Indonesia has been a complicated problem. Duplication, inconsistency, poor management, and illegal uses of spatial data are some of these problems. SDI was identified as a solution to the problems of availability and access to spatial data. Although it is still in the embryonic phase, the GIS Forum (under the umbrella of MSF) in Gayo Lues for example, has been able to provide data to local government for planning purposes.

## HOW AND WHY HAVE MSF MADE A DIFFERENCE?

This question is seeking to look at causal mechanisms to understand how MSF achieve their results. Drivers, or mechanisms that support success, include the fact that all but one of the MSF visited during the evaluation were built on existing fora. That meant that a degree of social cohesion already existed. In the case of Gayo Lues District, USAID IFACS facilitated its development from scratch. In all other districts visited, USAID IFACS approached existing fora (usually run by NGOs), encouraged diversification of membership, and provided training to address capacity gaps. Where several fora existed, USAID IFACS worked to unite them. (Refer to Figure 9 below for specific information on individual districts).

**Table 6. A General Overview of the MSF**

DISTRICT (Name of the MSF)	USAID IFACS build on existing fora (E) or facilitated a new fora (N)	Member number by category <sup>11</sup> *District Govn , *NGOs, *Academics * Community rep, *Private sector
<b>GAYO LUES (FMUL or Forum Masyarakat Utan Leuser)</b>	N	DG = 20 , NGO = 5, Comm = 10, Private Sector = 5
<b>SOUTH EAST ACEH (FOLAT or Forum Leuser Aceh Tenggara)</b>	N	DG = 7, NGO = 10, Acad = 1, Comm = 9
<b>SOUTH ACEH (FORLAST or Forum Lanskap Aceh Selatan)</b>	N	DG = 17, NGO = 21, Acad = 4, Comm = 20
<b>MIMIKA (MSF for Climate Change)</b>	E	DG = 20, NGO = 8, Comm = 1, PS = none
<b>SARMI</b>	E	DG = 34, NGO = 2, Comm = 2
<b>PALANGKA RAYA</b>	N	DG = 24, NGO = 13, Acad = 2, Comm = 5, PS = 6
<b>PULANG PISAU (Forum Lingkungan Hidup)</b>	N	DG = 11, NGO = 6, Comm = 8, Legislative = 2, PS = 2
<b>KATINGAN</b>	N	DG = 11, Comm = 5, NGO = 2, Legislative = 1
<b>KETAPANG (Sekretariat Bersama Konservasi Kayong)</b>	E	DG = 6, NGO = 8, Acad = none, Comm = 5, PS = 3, Legislative = 1
<b>KAYONG UTARA (Forum Rumah Ide)</b>	E	DG = 17, NGO = 9, Acad = 2, Comm = 5 PS = 3, Journalist = 3

<sup>11</sup> According to Head of District Decree. The number does not reflect those whose are active in MSF activities.

DISTRICT (Name of the MSF)	USAID IFACS build on existing fora (E) or facilitated a new fora (N)	Member number by category <sup>11</sup> *District Govn , *NGOs, *Academics * Community rep, *Private sector
MELAWI ( <i>Forum Peduli Perubahan Iklim Melawi</i> )	E	DG = 23, NGO = 8, Acad = 2, Comm = 5 PS = 2, Legislative = 1

The capability-building program came in for consistent praise. MSF members value it highly and hope that it continues. Also mentioned was the way USAID IFACS facilitated the intervention. MSF are characterized by openness, forgetting hierarchy and focusing on content and solutions.

Other factors such as age and local pride are determinants of the MSF level of activity. In Kayong Utara and Gayo Lues, MSF members are mostly young people. They have high energy levels and a high level of concern about the districts' development. These districts are new. As the MSF in Gayo Lues said *we're living in the remote area where access is difficult and (joking) perhaps we are not listed on the Indonesia Map. We would like to work to develop our district. So Gayo Lues will be known by outsiders.* Gayo Lues is also where the Gayo Tribe resides, and they are different from the other tribes in Aceh. They have their own language. They were a subset of Aceh Tenggara District for many years before gaining autonomy, so Gayo Lues residents acknowledge the need to build their local pride. Realizing that this district is also upstream for rivers that flow into the five other districts, the Gayo Lues government is keen to take a lead on watershed preservation. *They should know that their water availability depends on us.*

Flagged as a potential problem is the prospect of waning interest in the future. This was raised by respondents and tallied with the experience of team members in participatory processes and community development. The following MSC story illustrates this.

### Figure 9. Maintaining the Excitement

**Title:** Maintaining the Excitement in Katingan Landscape

**Who told the story:** USAID IFACS staff in Central Kalimantan

**Where:** Provided after the visit of the Final Impact Assessment Team visit to USAID IFACS team in Central Kalimantan

Prior to USAID IFACS there were several existing fora such as *Forum Perhutanan Sosial (Social Forestry)*, *Aliansi Bumi* (NGOs Forum in Central Kalimantan), *Forum Hijau* (Green Forum), and *Forum Dara Arum* based around specific issues with specific memberships. USAID IFACS was able to build a bridge between these fora and other stakeholders through the formation of a MSF to discuss the environmental conditions jointly in the context of climate change and conservation of forest areas. Achievements include:

Thematic groups address issues such as fires, conservation, climate change and others—and achieve results. For instance, in regard to fire, the Head of Pulang Pisau District issued a *Bupati* letter for palm oil plantations to forbid them using fire to clear land. Working with local police, fire makers were caught. In both districts; local government have also allocated budget for fire prevention. The policy has turned from curative action into a preventive one.

The formation of clusters, whose memberships are increasing, are based on topics such as journalism, rubber, inter-religion and customs, SEA & spatial data infrastructure, and LCPs. Through

this process, cooperation between stakeholders is resulting in joint planning, implementation, and supervision of works related to climate change and sustainable forest management in the Katingan Landscape.

The forum in Palangka Raya has been able to accelerate the development of city forest that covers an area of 1,600 ha. However, the biggest challenge for this is in the forest governance side. Until now, it is unclear which government agency in the city should or will act as a lead for the management of this city forest.

The MSF has promoted areas included in the HCV and LCP areas in some of the villages: Tumbang Rungan, Marang, Petuk Ketimpun, Mungku Baru and Bukit Tunggal. A management map was prepared for each village that led to an allocation of 30% of land for conservation. This was in accordance with the program of the Mayor of Palangka Raya and the Government of Central Kalimantan Province 'Dayak Misik' or Communal Customary Forest.

Jointly, the Palangka Raya MSF and Muhammadiyah University communicated the new legal status of the area to the public as well as building collaborations with the third parties for the management of education forest, such as the Orangutan Tropical Peatland Project, Environment Investigation Agency, Kalaweit Foundation, and so on.

Jointly, with the Market and Cleaning Agency, the MSF promoted waste management in a multi-stakeholder discussion to build collective commitment.

The MFS has assisted the Mungku Baru community to realize customary forest management and the Ulin Customary Forest to obtain legal status in the form of Central Kalimantan Governor Decree.

**Why it is significant?** It demonstrates the range of the activities that MSF can undertake besides input into SEA-LEDS that are still based around good land management and conservation. All this type of activity could cease or be severely impacted upon if the MSF ceased.

**Lessons for USAID IFACS/LESTARI** Although there are many successes from the MSF, the sustainability of MSF is questionable. In Katingan Landscape, the MSF in each district is highly dependent on personalities rather than on systems or organizations. For instance, if the lead person is moved to another non-forest or non-environmental agency, the activity of MSF slows. So, the biggest homework for USAID IFACS/LESTARI is how to produce as many champions as possible, until the spirit of environmental friendliness can be diffused widely.

Other barriers noted include those common to most voluntary community fora such as changing membership. The latter results in reducing tacit knowledge when members leave or when people drop in and out of the training programs. This makes sustainable capability building difficult.

### **WILL THE TOOL CONTINUE TO FOR LESTARI?**

1. **Ongoing MSF:** MSF can and should continue beyond the life of USAID IFACS. Members of all MSF are confident about the future of their forum, and as long as the group intrinsically shares their objectives and purpose, this will happen. A group tends to break down when its purpose becomes diffuse to the point of disagreement within the group.
2. **Maintaining the excitement:** This was a concern. How can the current enthusiasm and performance be maintained? It would be worth USAID IFACS regional staff jointly developing principles or ideas about how to do this before LESTARI commences.
3. **The right stakeholders:** A gap observed by the assessment team was the lack of integration of the four themes at the local level. It was patchy, and now that the basics

have been done, regional staff could look to see if this could be improved to produce synergies and consistency within a region. It offers the potential to reduce conflicts between competing land needs, for example. The team acknowledges regional staff may have tried this but believes it needs to be worked on. How can CCLAs and CMMPs be productively integrated into MSF debates and decisions?

4. Future funding: MSF were concerned about future resourcing to support their role after USAID has finished, as mentioned previously. Respondents inferred resources and/or support is critical to their survival. In general, MSF will need to rely on local resources such as from the district governments or private sectors agencies operating in their district. The question becomes how can LESTARI assist this transition in the landscapes it continues to work in, or with the ones it ceases working in? What needs to be ensured is the maintenance of key stakeholders in decision making in a meaningful way along with the maintenance of a significant relationship with the local government. These are the key for success.

### **Key Direction**

Overall, the assessment indicated that MSF should keep going but there are four challenges ahead for USAID IFACS facilitation:

- a) Participants continue to share a common vision and purpose.
- b) MSF see the fruition of their work to help maintain enthusiasm.
- c) All the right stakeholders are in the fora.
- d) All stakeholder's voices continue to be heard, especially by district governments.

Principles for MSF are laid out in the document *USAID IFACS Stakeholder Communications and Multi-Stakeholder For a (MSF) Strengthening Action Plan*. The assessment sees no reason to change these.

## 2.4 COMMUNITY CONSERVATION AND LIVELIHOOD AGREEMENT

Table 7. Summary of Findings for CCLA

Summary of the Main Findings for CCLAs	
<b>Main outcomes</b>	<ul style="list-style-type: none"> <li>a) In terms of improving livelihoods evidence of this was seen when:               <ul style="list-style-type: none"> <li>a. People used good agricultural practices focusing on the supply chain, and</li> <li>b. People used good agricultural practices to grow their own food;</li> </ul> </li> <li>b) In terms of land use management and conservation examples observed were:               <ul style="list-style-type: none"> <li>a. Emerging examples of improved land use and conservation,</li> <li>b. Increased public commitment to conservation issues, although not uniform,</li> <li>c. Examples of a reduction in inappropriate land use practices, and</li> <li>d. 'Green Village' development.</li> </ul> </li> <li>c) In terms of skills development and practice change, respondents noted:               <ul style="list-style-type: none"> <li>a. Strengthened local institutions and improving leadership, and</li> <li>b. Emerging skills in financial management.</li> </ul> </li> </ul>
<b>Main drivers that promote success</b>	<ul style="list-style-type: none"> <li>a) Engendering local ownership and CCLAs building on local wisdom;</li> <li>b) Using experienced subcontractors or grantees;</li> <li>c) Using leverage;</li> <li>d) Supporting the emergence of champions.</li> </ul>
<b>Main barriers to success</b>	<ul style="list-style-type: none"> <li>a) The limited size and timing of the grants and subcontracts;</li> <li>b) Sometimes the right people were not present at decision-making times, opening the door to potential conflicts;</li> <li>c) Poor understanding of linkages between sustainable livelihoods and conservation;</li> <li>d) No coordination between district government and economic development in rural communities.</li> </ul>
<b>Lessons for LESTARI</b>	<ul style="list-style-type: none"> <li>a) Support champions when they emerge.</li> <li>b) CCLAs need to be connected to MSF and the spatial planning process.</li> <li>c) Consider some form of legal status for CCLAs so they get the recognition they deserve or some other form of recognition.</li> <li>d) Develop bigger grants and subcontracts that run for a longer time span to accommodate some of the difficulties current recipients are experiencing.</li> <li>e) Continue to facilitate access for villagers to finance.</li> </ul>

A CCLA is an agreement among communities in one village covering the conservation of local protected areas and the development of stronger livelihoods, which do not cause environmental harm. To assist villages with this planning task, and to trigger local projects, most of USAID IFACS' investment here was committed to subcontractors and grantees, as this increased the project's capacity to deliver more effectively. Coverage was not universal across the landscapes; focus was on a selection of villages (Table 8).

**Table 8. Landscape areas and CCLA implemented**

Landscape	No of CCLAs developed	Total (ha) of High Conservation Land	Verified (ha) (See note below the figure.)
North Papua (Sarmi)	45	110,661	15,929
Katingan	28	99,431	37,951
Ketapang	27	241,771	241,771
Aceh Selatan	45	48,310	43,665
Aceh Tenggara	80	76,758	76,439
South Papua	8	11,142	0
Total	233	588,073	415,755

**Note on Verification:** At the moment, data verification by USAID IFACS occurred through conducting focus group discussions among community members, followed by field observations, particularly in high conservation areas. There have been instances where verification was withdrawn because of burning off or tree felling. The main purpose of monitoring is not to estimate emissions reduction but rather help communities assess whether their commitments are being acted upon.

Establishment of CCLAs has been very successful, with the number (233) developed representing 138% of the target set by USAID IFACS. It is difficult to make a conclusion about emissions reduction from these figures. CCLAs, though, are contributing to mitigation and adaptation efforts through concrete action at the community level. The above data can be used to support baseline data in the assessment of emissions reduction, both at the district and national levels.

### WHAT DIFFERENCE HAVE CCLA MADE?

CCLAs have started to make a significant difference to livelihoods in some villages, as well as improving environmental sustainability and developing relevant skills. The results are varied and are in response to local contexts, such as cultural background, ecological condition, and the champions or mediators who have emerged. Many CCLAs have only recently been completed and therefore practice changes have yet to happen. Within USAID IFACS, there a high-level target:12,000 people will have better livelihoods as a result of CCLA and grants. Although no formal assessment of the economic benefits has been made, anecdotal evidence reveals some compelling examples. KUBK rubber producers (a farmer group) in the village of Buntoi now receive 10,000 Rp. per kilogram compared with 5,000 Rp. previously. This was accomplished by producers establishing direct access to the factory, thereby cutting out middlemen. Another example is farmers in Aceh adopting the *CocoBEST* program, which helps drive up their productivity of cocoa without triggering environmental damage and opens market access. Disposable household incomes are said to be rising as, for example, people learn how to grow their own vegetables.

With regard to improved land use management and conservation, these practices are beginning to happen at the village level. For example, growing organic vegetables in West Kalimantan is contributing to improved soil quality (and hence to biodiversity), while at the same time farmers are seeking markets to sell their produce at a premium price.

There is increased public understanding of and commitment to conservation issues, especially in protecting HCV areas. For example, in the Gayo Lues District, this effect was observed and resulted from the district government's positive response to CCLAs. A further example is in the Kayong Utara District of West Kalimantan, where deforestation of conservation forest is decreasing.

Related to the above, a reduction in inappropriate land use practices was observed during the evaluation. As a result of CCLAs in Gayo Lues, there is less destruction of the pine forests, reductions in forest clearing, cessation of electric fishing, protection of riparian zones, campaigning for conservation by religious leaders and teachers, and most importantly, a stronger commitment among villages to protect their environment and use it sustainably.

Strengthening community participation in managing and utilizing natural resources in a sustainable way has been another consequence of CCLAs, although the participation of disadvantaged groups such as women is still limited. An example of success is found in Papua, where participatory mapping supported by the CCLA has resulted in clearer definition of land ownership boundaries and so helped recognition of customary lands. In Central Kalimantan, the maintenance of, for example, rubber production prevents transformation to palm oil plantations.

CCLAs have supported "Green Village" development and in some instances they have been referred to in village regulations and village development plans. The Gayo Lues District government has supported CCLAs to show its commitment to becoming a low emissions district. In one case, under the new law that allows funding to villages, the Bupati of Kayong Utara District will use CCLAs to identify funding priorities for village development plans. Similar positive responses to the usefulness of CCLAs were heard from the Head of the District Development and Planning Agency (BAPPEDA) in Mimika.

In terms of skills development and practice change, local institutions have been strengthened and leadership improved. For example, a "chocolate doctor" emerged in Gayo Lues as told in the following MSC story.

### **Figure 10. The Chocolate Doctor**

**Title:** The *Chocolate Doctor* and diffusion of technology

**Who:** The Final Impact Assessment Team

**When:** Visit to Gayo Lues

The process of developing CCLAs is leading to the emergence of new leaders or champion facilitators. One particular facilitator in Gayo Lues has earned himself the name "the Chocolate Doctor" among cacao producers. In a commodity-based approach, he is bringing villages together to share their knowledge and skills and now has begun including groups outside the targeted landscape as well (non-CCLA villages). This is providing a two-way flow of messages about productivity and the environment.

**Why is this significant?** This is an example of how action on the ground can spread and ultimately has the potential to deliver significant benefits to a broader geographic area than just that targeted by IFACS. It is a classic example of using good agricultural extension practice.

**The lesson for IFACS/LESTARI:** This is an example of a commodity-based approach with the potential to cover a broader area, both inside and outside the landscape.

Finally, by participating in livelihood development run by a grantee, villages have been able to increase the skills of people in financial management. For example, the finances of KUBK (the Rubber Farmer Business Group) are now managed by members of the group.

One question posed in the early stages of the assessment was whether increased productivity of small farms may encourage further encroachment of the forest. It is too soon to know, although the odd negative example was mentioned. Conserving forest resources requires stakeholders to trust one another and together commit to sustainable forest use. Often during the process of CCLA development, local authorities such as the relevant National Park Authority or local government institutions were not present, hence the potential for conflict. In the future, CCLAs must build trust among all key stakeholders so that the commitment to the conservation process will be enhanced by the transparency and inclusiveness of their collective decision making. All financial data is documented and accounted for by the members.

### **HOW AND WHY HAVE CCLA MADE A DIFFERENCE?**

So, why do CCLAs appear to be working? Many factors that contribute to the success of CCLAs are dependent on local contexts and personalities. Primarily though, CCLAs engender local ownership and are built on local wisdom. An example of local wisdom was a village in Gayo Lues where villagers had identified the area the living zone, the zone for growing lemon grass and the area further up the mountain to conserve. Their fear was that a private sector company would start to destroy the forests on the top of the mountain and that would force the tigers down into the village.

Using experienced subcontractors or grantees who add their knowledge to the local wisdom is another factor. One successful subcontractor is the ASRI Foundation in West Kalimantan, which provides cheaper health services to villages that demonstrate their “green credentials,” so promoting positive environmental change.

However, there are barriers. Through grantees, USAID IFACS provides resources, for example, a tractor in the West Kalimantan landscape, or equipment for the development of quality palm sugar in Gayo Lues, and so on. Many of the grantees interviewed, however, commented on the limited size of these grants and their limited lifespan (12 months). Locals and subcontractors believed them to be insufficient to achieve the desired enduring change. For example, when working with a Dayak tribe in the forests of West Kalimantan, these people could not be reached during the wet season, and then in the dry season, villagers were out in the forest. There was little time left for providing information on CCLAs or for developing one. In Mimika, a grantee made the point that a longer time period is needed to change the “mind-set” of people. A document produced was just the first step.

In some instances, the right people or mediators were not present when the CCLAs were instigated and this impeded their implementation. While individuals have to act on the plan, it requires villages to do so in a coordinated way. If there is a missing link, implementation becomes problematic. In reality, CCLAs can help mitigate conflicts.

If the implementation of a CCLA is not guarded or monitored, effectiveness may be compromised. As a group, people report that through participatory processes in developing an agreement, they understand more about the impact of damaging nature and the need for forest conservation. However, their commitment to tangible actions to conserve forest or land is still questionable. Most people do not understand the strong link between conservation and sustainable livelihood issues. Current fluctuating and low rubber prices are driving KUBK members in Kanarakan to think about trying other businesses such as unlicensed gold mining (PETI), while other villages are leasing their land to palm oil

companies. Ideally, community leaders who facilitate CCLAs could be mediators in raising awareness of the importance of conserving the environment as well as improving livelihoods.

CCLAs are less connected to the MSFs or SEA-LEDS at the district level of government. This may lead to contradictory actions. For example, the Kendawi village in the Gayo Lues District was concerned at the level of pollution in its river resulting from ecotourism upstream, a consequence that might have been avoided if the CCLA had been strongly connected to the MSF. Without strong connections, there will be no synchronization between a district government's development strategy and the economic development of its rural communities. Villagers may want to develop rubber production while the district government might want to encourage sustainable plantations of commodities other than rubber. At the end of the process, the assessment team also found examples where communication between the CCLA and farmer groups was not happening as illustrated in the example below.

### Figure 11. An example of questionable communications

**Title:** Exactly what linkages are needed?

**Who:** A specialist on the Final Impact Assessment Team

**When:** Interviews in Central and West Kalimantan

KUBK is a farmer group (*kelompok*) formed by a USAID IFACS grantee with a focus on the rubber business in the West and Central Kalimantan landscapes. The group has 20–30 members (rubber farmers) from one village. This grantee also facilitated development of the CCLA though other groups in the same village were included such as traditional leaders, woman, youth group, village officials, and others. One or two KUBK members were involved with the CCLA and they were to act as a bridge between the two groups. Their roles included advocating important conservation messages as well as improving the livelihoods of KUBK members. The assessment team found that this bridging function did not always work well as most members of KUBK interviewed were not aware of the CCLA.

**Why is this story significant?** This story is significant because it demonstrates that the communication links between the CCLA and the rubber farmers is not working as planned. It needs to be noted that the KUKB predated the CCLA but begs the questions of about the merit or otherwise of these two working more closely together. If the farmers, through their skills development are harvesting rubber in a sustainable and environmentally friendly way then what is the role of the bridging function?

**What are/is the lesson for USAID IFACS/LESTARI?** The message for LESTARI is to ensure that both CCLAs and grants work in harmony to improve livelihoods as well as conservation. This example is about anticipating an increase in both the quality of rubber and hence the income, as an alternative to agricultural expansion into forested areas. Alongside this is an expectation of improved awareness of the importance of protecting forests and biodiversity, including changes associated with climate change, rather than damage the forest.

### WILL THE CCLA CONTINUE TO MAKE A SIGNIFICANT CONTRIBUTION IN LESTARI?

The short answer to this question is yes.

1. **Support champions:** Take the example of the *Chocolate Doctor*. He uses cross-facilitation between villages involved in cacao production, both inside and outside of the USAID IFACS target areas to improved productivity and sustainable land use. This approach has been used successfully in other situations, for example, among small farmers in the Mekong Delta (McDonald, 2011). It contributes to stronger commodity groups who can then collectively bargain for resources or other inputs, or even for increased recognition. Examples tend to be locally specific.

2. Connect with MSF/SEA-LEDS: Another theme was connectivity between CCLAs and the development of MSFs and SEA-LEDS. In some cases, this was not happening but if it were, it could provide villages with a broader base for endorsement, offer opportunities for joint action, ensure the right stakeholders are involved, and enable the diffusion of good ideas.
3. Recognition: CCLAs developed by villages require recognition by other stakeholders and if possible, even acquire legal status by Governor/Bupati decree. The documents could also be used as basic information in developing regional spatial plans. The Bupati of Kayong Utara and Head of Bappeda, Mimika mentioned this.
4. Increase grant and sub-contract time and money: In some situations, consider longer periods for grants and contracts to account for difficult situations the applicants are often working in or where real change will take more than 12 months.
5. Access to finance: To support development of sustainable local businesses, villages will require access to finance. This is beginning to happen. For example through facilitation provided by USAID IFACS:
  - a) KUBK has received funding for dry processing from an Indonesian Bank in Buntoi in Central Kalimantan;
  - b) Has resulted in a local bank providing a small credit-scheme for rubber farmers in Central Kalimantan this year, although this is not tied to the CCLA; this was mentioned by the Director of the local bank at a function for the US ambassador in February 2015 (Source: Community Development Office, IFACS Central Kalimantan);
  - c) BRI (an Indonesian bank) will provide funds from its corporate social responsibility budget to assist sustainability in communities.

### **Key Directions**

The key principles for CCLAs to date remain the same into the future:

- **Participatory governance** including transparency and inclusiveness in their decision-making processes;
- **Strengthening of local institutions and systems** to increase participation in managing forest land is critical. *Communities* need to *strengthen* their capacity to organize themselves in new ways, overcome intra- and inter-village conflicts, and work together with other parties /stakeholders in managing protected forest;
- **Strengthening and broadening of CCLAs** to be recognized by relevant stakeholders, particularly local government, will provide a real contribution to:
  - a) Addressing climate change,
  - b) Conserving biodiversity,
  - c) Protecting people's livelihoods, and
  - d) Mitigating land tenure conflict.

Conserving forest resources requires stakeholders to trust one another and commit themselves to sustainable forest use. By broadening agreements, trust will be built among stakeholders and commitment gained in the conservation process and in the transparency and inclusiveness of their decision-making.

- **Open access to economic resources** by continuous and intensive facilitation to improve farmers' knowledge and capacity to access community product marketing and microfinancing.

Further suggested changes regarding planning, implementing and finishing CCLAs were identified by the assessment team and are detailed in the CCLA report in the supplementary section of this document.

## 2.5 CONSERVATION MANAGEMENT AND MONITORING PLAN

Table 9. Summary of Main Findings for CMMP

Summary of the Main Findings for CMMPs	
<b>Main outcomes (It is too early for impacts)</b>	<ul style="list-style-type: none"> <li>a) 13 private sector concessionaires/companies have CMMP in place or nearly in place covering approximately 2.6 million ha;</li> <li>b) Staff are trained in reduced impact logging and in managing biodiversity; and</li> <li>c) Level of implementation unclear.</li> </ul>
<b>Main drivers that promote success</b>	<ul style="list-style-type: none"> <li>a) Attitudes of the company, including higher-level management and field staff;</li> <li>b) The importance of certification;</li> <li>c) Provision of training as mentioned above; and</li> <li>d) Effectiveness of staff in monitoring.</li> </ul>
<b>Main barriers to success</b>	<ul style="list-style-type: none"> <li>a) Not all levels of the company are supportive of environmental objectives;</li> <li>b) When personnel leave the company it is not guaranteed that the next person will be as supportive; and</li> <li>c) “One size fits all” approach to CMMP processes and tools is not appropriate when considering different sectors and different landscapes.</li> </ul>
<b>Messages for LESTARI</b>	<ul style="list-style-type: none"> <li>a) Convene a workshop from central government down to before LESTARI becomes operational to explore options for greater integration into policies and regulations.</li> <li>b) Need to rethink the tool for adaptation to different circumstances.</li> <li>c) The HCV guidelines are changing and continuing to evolve; LESTARI will have to be on top of these changes (Join the HCVNI).</li> <li>d) Maintain the training but look to moving the costs to the company rather than USAID.</li> <li>e) Make sure CMMP cover all vulnerable species, not just orangutan.</li> </ul>

While there has been some success, the CMMPs have been the most challenging for USAID IFACS. It requires voluntary practice change from private sector concessionaires who tend to be driven by financial returns on investment. The table below shows progress with CMMP development, the hectares involved, and the training resourced by USAID IFACS. It does not show implementation.

**Table 10. CMMP with USAID IFACS Strategic Partners**

Name of USAID IFACS Partners	Province District	Concession Type	Concession Area (ha)	(a) Training Subcontractor	(b) CMMP Development Subcontractor	Notes
1. PT. Graha Sentosa Permai	C. Kalimantan Katingan	Natural Forest	44,970	TFF <sup>12</sup>	PT. Re.Mark Asia	(a & b) done
2. PT. Hutan Mulia	C. Kalimantan Katingan	Natural Forest	52,100	TFF	PT. Re.Mark Asia	(a & b) done
3. PT. Dwima Jaya Utama	C. Kalimantan Katingan	Natural Forest	127,300	TFF, ZSL <sup>3</sup>	PT. Re.Mark Asia	(a & b) done
4. PT. Rimba Makmur Utama	C. Kalimantan Katingan	Ecosystem Restoration	203,570	ZSL	PT. Re.Mark Asia	(a & b) done
5. PT. Sari Bumi Kusuma Delang	C. Kalimantan Lamandau	Natural Forest	208,300 60,700	TFF, ZSL	USAID IFACS Direct	(a & b) done
6. PT. Sari Bumi Kusuma Kalbar Tontang	W. Kalimantan Sintang	Natural Forest	75,200	TFF	PT. Re.Mark Asia	(a & b) done
7. CV. Pangkar Begili	W. Kalimantan Melawi	Natural Forest	30,195	TFF, ZSL	PT. Re.Mark Asia	(a & b) done
8. PT. Suka Jaya Makmur	W. Kalimantan Ketapang/Melawi	Natural Forest	171,340	ZSL	not required by PT. Suka Jaya Makmur <sup>13</sup>	(a) done
9. PT. Wanasokan Hasilindo	W. Kalimantan Ketapang/Melawi	Natural Forest	49,000	TFF, ZSL	USAID IFACS Direct	(a & b) done
10. PT. Pasifik Agro Sentosa	W. Kalimantan Pontianak	Palm oil	22,935	ZSL	Daemeter Consulting	(a & b) done <sup>14</sup>
11. PT. Wapoga Mutiara Timber II	Papua Sarmi	Natural Forest	196,900	TFF	PT. Re.Mark Asia	(a & b) done
12. PT. Bina Balantak Utama	Papua Sarmi	Natural Forest	298,710	TFF	Daemeter Consulting	(a & b) done but CMMP waiting final acceptan

<sup>12</sup> Tropical Forest Foundation; The Zoological Society of London.

<sup>13</sup> PT. Suka Jaya Makmur has obtained Forest Stewardship Council certification in 2011; <http://www.wwf.or.id/en/?23101/Pengelolaan-keanekaragaman>.

<sup>14</sup> PT. Pasifik Agro Sentosa; <http://pasifikagro.com/index.php>.

Name of USAID IFACS Partners	Province District	Concession Type	Concession Area (ha)	(a) Training Subcontractor	(b) CMMP Development Subcontractor	Notes
13. HIPKAL <sup>15</sup> & IUPHHK-MHA Permit holders	Papua Sarmi	Natural Forest - smallholder	>70,000	TFF	n/a <sup>16</sup> for numerous smallholders	(a) done
14. Ex PT. Mamberamo Alas Mandiri	Papua Memberamo	Natural Forest	677,300	Abandoned	Daemeter Consulting	(b) done but license not issued
15. PT. Freeport Indonesia	Papua Mimika	Mining	285,000	Not required	Daemeter Consulting	(a) done, CMMP is under company final review

Note on the above table: Training is provided by the TFF on reduced impact logging while the ZSL provides training on biodiversity and its assessment.

### HAVE CMMP MADE A DIFFERENCE?

Where CMMPs have been developed, their impacts on conservation are potentially significant as the recommendations from each CMMP plan move into company management plans and eventually on-the-ground actions. Most of the natural forest concessionaires<sup>17</sup> involved have obtained their mandatory certificates for sustainable production forest management including an environmental impact assessment by Forest Stewardship Council (FSC) but a CMMP goes beyond those requirements.

The second difference is that the companies who participated in CMMPs now have staff with increased skills in reduced impact logging and biodiversity monitoring. During the CMMP process, companies had to train their operational field staff in reduced impact logging (most of HPH concessions), which was provided by the TFF and in biodiversity monitoring provided by the ZSL.

### HOW AND WHY HAVE CMMP MADE A DIFFERENCE?

This question is seeking to look at causal mechanisms although most of the recommendations from CMMPs have yet to be implemented. One of the drivers toward positive change include companies' initial attitudes and aspirations toward the environment. It is easier to work with those already predisposed to such action. Strong commitments from executive management through to their field staff makes for successful implementation.

Another driver is the increasing importance of certification and its potential to open up new international markets that demand products which are sustainably and ethically sourced. FSC certification is a voluntary scheme and is market driven. It is through such international certification that Indonesian natural forest concessionaires are able to prove they manage their forests sustainably. It is the opinion of the assessment team that USAID IFACS facilitation strengthens these companies' commitments toward sustainable forest management based on best management practices.

<sup>15</sup> Association of Local Logging Entrepreneurs.

<sup>16</sup> Not applicable.

<sup>17</sup> Or HPH concessionaires.

The training provided through subcontractors as previously mentioned was considered valuable and all companies acknowledged the benefits their staff have received. Appropriate and well-delivered training that can be applied is critical to success.

At the same time, there were barriers to moving forward. The response was that USAID IFACS is good at the operational level but other levels within companies need to be involved too if the planned impacts of CMMPs are to be fully realized. In reality, this work is subcontracted out but the motivation needs to come from the top as well from the bottom.

Another concern identified was the loss of CMMP skills when personnel leave a company. Where staff move on to other companies, then their skills can be applied. This is not the case with retiring staff, who are often difficult to replace. At least from a CMMP perspective, new personnel can be trained but relationships and experience are lost.

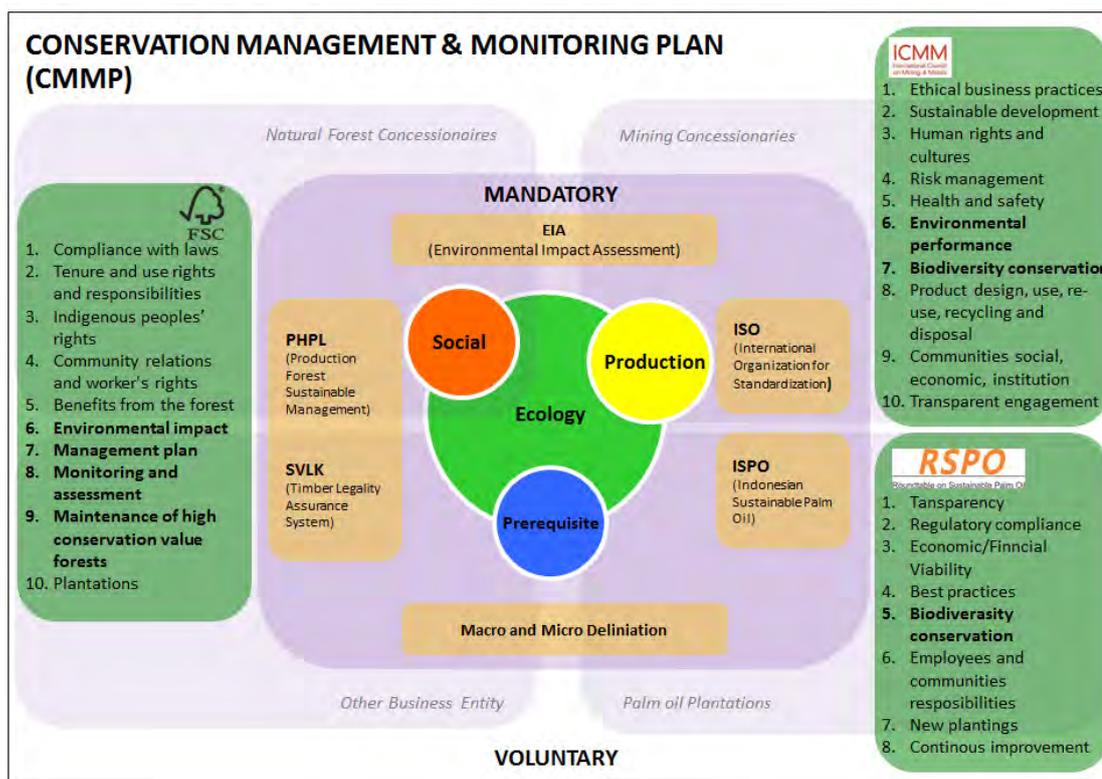
Currently “one size CMMP is meant to fit all” and this is not necessarily appropriate across different sectors (mining, plantations, and forestry), especially as these sectors come under the umbrella of different ministries: Ministry of Environment and Forestry for HPH concessionaires, Ministry of Agriculture for palm oil company, and Ministry of Energy and Mineral Resources for mining companies. CMMPs must be more flexible depending on the contexts in which they are applied. These concerns have already been accommodated in the *CMMP Guideline* but continuous improvement is needed to provide greater flexibility.

#### **WILL CMMPs CONTINUE TO WORK, ESPECIALLY FOR LESTARI?**

This is not a simple question. Perhaps the most accurate answer is it depends.

1. Rethink CMMP before LESTARI: It is time to rethink this tool to assist its expansion to other types of companies in differing landscapes, especially given the slow uptake of CMMPs to date. Some form of engagement with the ministries must occur, possibly in the form of a national workshop that also includes current CMMP companies (concessionaires, mining, and palm oil companies), CMMP subcontractors (Re.Mark Asia and Daemeter), USAID IFACS and the training subcontractors (Tropical Forest Foundation and the Zoological Society of London.) The purpose of the workshop would be to identify the role of CMMPs in meeting Indonesia’s policies in both the environment and climate change, while meeting local aspirations. These options might include transitioning from a voluntary to a mandatory format. Figure 12, on the following page, was adapted by Aulia Aruan from one by Re.Mark Asia with their permission. It shows the complexity of the environment in which CMMPs operate.
2. HCV (High Conservation Value): This concept, a core part of the CMMP, was originally designed for management of timber production in natural forests. The HCV concept, though, is applicable to other industries such as palm oil and mining companies. The Technical Panel of HCV Network Indonesia—supported by USAID IFACS—has developed a *CMMP Guideline* (2013) that does that. These guidelines will be adjusted in response to the dynamism of the climate change and sustainable development. Regional staff should be part of this network to contribute to and learn from it.
3. Continue training but shift the cost: Training in reduced impact logging and biodiversity monitoring is currently resourced by USAID IFACS. The commitment of private companies to utilizing the training is crucial to delivering conservation impacts as well as long-term monitoring. For future sustainability, these companies need to recognize the significance of this training, especially in identifying future threats and risks to the environment so that they fund the training themselves in the longer term.

Figure 12. An outline of the scope and environment of CMMPs



4. **Monitoring:** A critical component of the CMMP is effective monitoring, as this will lead to identifying necessary actions in the future. This CMMP component should be synchronized with other existing or ongoing monitoring efforts such as environmental impact assessments. Such monitoring can effectively contribute to conserving fauna and flora, including key species such as the orangutan and the Sunda clouded leopard (*Neofelis diardi*), for example. CMMPs can help businesses in their conservation effort - as described on the USAID IFACS website (<http://www.USAID-IFACS.or.id/what-we-do/best-management-practices-how-businesses-can-benefit-from-conservation/>). Indonesian forests are already experiencing the effects of climate change, and impacts are expected to increase in the future. Identifying vulnerable species and forests can help landowners, managers, regulators, policymakers, and civil society establish priorities for management and monitoring too.
5. **Partnerships:** Strategic partnerships are possible, and below is an example where LESTARI can continue upon the work of USAID IFACS and make a significant contribution.

## Figure 13. Mining and USAID IFACS

**Title:** Mining and CMMP

**Who told the story:** Environmental Manager at PT. Freeport Indonesia

**When:** During visit by the Impact Assessment Team (17 February 2015)

**Where:** PT. Freeport Indonesia, Timika 99920, Papua

PT. Freeport Indonesia is a mining concession of ±285,000 ha in the Mimika District, Papua and therefore the implications are different compared from those for forestry concessions. It is committed to transforming the natural resources in concession to a prosperous and sustainable growth area through using best practices, and by being creative. It is also prioritizing the welfare and security of its employees as well as the community. Other considerations are human resources development, social and environmental responsibilities, along with industrial safety and health.

This mining concession area covers a large range of ecosystem types including coastal swamps, peat swamps, lowland forest, heath forest, sub-montane, montane, and alpine areas. The main concession borders the Lorentz National Park. PT. Freeport Indonesia has produced a Coastal Management Plan (2014–2020) as it covers a large mangrove ecosystem. It is hoped that the Mimika District will also utilize this plan as well as being synergistic with the district's spatial plan and other programs.

Daemeter (a consulting company) conducted both the CMMP and the HCV processes as well as the implementation of the management and monitoring recommendations contained therein. These meet the standards of the International Council on Mining and Metals Principles for Sustainable Development<sup>18</sup>. PT. Freeport Indonesia is currently reviewing the CMMP final document.

The company would prefer to continue work with USAID IFACS/LESTARI.

**Why this story is significant:** PT. Freeport Indonesia has been operating their mining concession for nearly half a decade. This global mining company is committed to the environment. CMMP has been synergized with its own policies and programs. It is a positive story about USAID IFACS working with the private sector.

**What are the lessons for USAID IFACS from the PT Freeport example:** The main lesson here is about joint learning from the past and into the future. PT Freeport wants to continue to work with USAID IFACS. CMMP has provided an important bridge between the company and increased sustainable development in the landscape. In addition, it shows how to work with the mining sector but suggests it requires adaptation to accommodate this sector. Also, the PT. Freeport example shows how a CMMP voluntary effort can be integrated into a mandatory framework.

### **Key Directions**

LESTARI can play a leading role in the private sector, through strategic facilitation and other efforts in:

- a) Highlighting and promoting sustainable forest management;
- b) Restoring ecosystems in the forests, especially in the palm oil and mining industries; and
- c) Addressing climate change issues in all three sectors (forestry, mining, plantations).

LESTARI has the potential to assist vertical integration of support to the sectors and to advance these issues within the Government of Indonesia (Ministries of Environment and Forestry, Agriculture and Energy and Mineral Resources). Here, the focus would be on:

- a) Strengthening climate change adaptation and mitigation;

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<sup>18</sup> <http://www.icmm.com/our-work/sustainable-development-framework/10-principles>;  
<http://www.ptfi.co.id/id/about/governance/international-council-on-mining-and-metals>

- b) Providing new momentum for moving forward beyond CMMPs (e.g., the certification for forestry and palm oil activities); and
- c) Recognizing the role of the private sector in valuing their intrinsic landscape, climate, ecosystem services, and community benefits.

The key to supporting the remaining “good” natural production forests in Indonesia will be responsible and accountable managers.

Efforts in LESTARI should focus on promoting and operationalizing robust sustainability criteria via the CMMPs for use in both regulatory and voluntary markets. In the longer run, the LESTARI efforts could focus on developing stronger partnerships with key public and private players to strengthen the forestry component (including ecosystem restoration) within future climate policy agreements.

### ***Key Principles***

- **Regulatory framework:** It is important that CMMP as a voluntary effort should be aligned with the mandatory ones.
- **Sustainability:** It is important that the costs associated with the CMMP be eventually borne by the companies rather than LESTARI, perhaps through a phased approach. Eventually, trained field management staff would prepare their own CMMP documents but with assistance from LESTARI management specialists.
- **Credible tool:** Adaptation options vary by ecosystem, landscape, and the socioeconomic environment in which landscapes are embedded. No single approach will work in all ecosystems, and no single approach will work repeatedly over time in a changing climate. Managers will need a portfolio of options, or an improved toolkit, from which a variety of tools and experiences can be used to match current needs.
- **Concerted actions:** “TOGETHER WE CAN” should be the slogan with no isolating barriers internationally, nationally and ministerially, regionally and locally.

The assessment team explored four areas when examining CMMPs: administrative aspects, technical aspects, policy and regulation aspects, and impacts. Throughout these included suggestions for LESTARI; this report is given in Section 3.

## 2.6 PERFORMANCE TARGETS, IMPACT, AND EVALUATION

While the assessment team was not required to review M&E, several issues arose and these are presented as options to strengthen what exists already. These recommendations are directed to USAID IFACS, not just the M&E team, and are consistent with USAID’s current shift in monitoring M&E. Based on the observations and the past experience of the team, the following table summarizes suggestions for LESTARI.

**Table 11. Summary Observation for Performance Targets, Impact, and Evaluation**

Observation	Recommendation
<p><b>Limited use of logic modelling (it is an organizational tool)</b></p>	<p>Implement a form of logic model for use as a project management tool to review the themes, identify problems early, manage stakeholder expectations, and used as a framework for gathering evidence. Montague’s results-based planning for use in project review processes with integration into normal meeting schedules is recommended.</p> <p>Roll out by thinking big but starting small, trialing and testing first that the agreed version is delivering useful information.</p>
<p><b>The assumption that if plans are completed then change will happen</b></p>	<p>To address the assumption, plan formative and summative evaluation of the implementation of the plans and assessments (SEAs, CMMPs, CCLA) seeking explanation and mechanisms of causality.</p>
<p><b>Performance targets have been useful in understanding the four themes</b></p>	<p>Keep measuring the targets but be more explicit about how to interpret the findings and the limitation of the methods. (NOTE: This is not a call for changing the methods of collecting data.)</p>
<p><b>Staff not necessarily focused on higher order outcomes, impacts or causality</b></p>	<p>Along with the review processes above, use MSC stories (and the voting process not included in this assessment) seeking stories of significance rather than just success. (Stakeholders or staff can provide these stories and it can be fun!)</p>
<p><b>Staff using M&amp;E terms in ambiguous ways</b></p>	<p>Remind staff of the definitions in USAID Glossary and encourage correct use of these.</p>

USAID IFACS has had a range of performance targets since its commencement in 2010. Because of a performance audit, this list was reduced to 16 and adjusted to be more realistic. To collect data the project has used self-reporting from subcontractors, undertook surveys to measure broad changes in knowledge, and attitudes and practice change. Some methods provide strong evidence while others of necessity are estimates. These indicators are fully described in detail in USAID IFACS Performance Monitoring and Evaluation Plan (2013). In the table below, indicators are presented in summary form placed against a hierarchy of impact, outcomes, reach, and outputs. It also covers their performance achievements as of March 2015.

**Table 12. Performance Targets and Achievements**

Project Logic Level	Performance target	Target	% Achieved
<b>Impact (Change in environmental, economic and social conditions)</b>	Quantity of CO2 emission benefits per annum from improved forest management, improved forest protection, and afforestation	6 million tCO2e annum	74%
	Number of beneficiaries receiving economic benefits from Low-Emission Development Strategies (LEDS) activities	12,000 people	100%
	Number of hectares under improved sustainable natural resource management	3 million ha	34%
<b>Outcome (Practice Change as a result of IFACS)</b>	Number of private sector entities (concessionaires) that implement CMMPs.	15	73%
	Number of districts with an operational monitoring system in place	11	27%
	Number of Spatial Data Infrastructures (SDIs) with increased capacity to collect, analyse and report valid data.	11	64%
	Number of districts with draft Spatial Plans incorporating recommendations from Strategic Environmental Assessment (SEA)	11	100%
	Number of MSF operational	11 MSF	100%
	Number of regulations and plans promoting sustainable natural resources management developed	5 regs/plans	380%
	Number of CCLAs signed	160	138%
<b>Outcome (Changes in knowledge, attitudes, skills and aspirations)</b>	Number of villages with increased capacity to adapt to the impacts of climate variability and change	54 villages	141%
	% of people with increase capacity to apply spatial planning (% against the total number who attended the course) Spatial Plans,	75%	89%
	% increase in recognition and understanding of major conservation, forestry, and climate issues by governments, stakeholders and local communities in targeted landscapes.	50%	92%
<b>Reach Reach</b>	Number of people receiving USG supported training in natural resource management and/or biodiversity conservation	143,000	247%
	Number of people exposed to USAID IFACS supported information on forest and land use	3,500	307%

Project Logic Level	Performance target	Target	% Achieved
	based conservation issues.		
<b>Output</b>	Amount of investment leveraged in USD from private and public sources for climate change.	US \$4 million	120%

The issues identified for M & E were as follows:

- There is a huge assumption about causing impact – a leap from lower orders to high level impacts,
- Ways of addressing the assumption,
- Suggested logic model to enhance exiting evidence-based practices,
- Reflection and review,
- Most Significant Change as a monitoring and learning tool, and
- Confusion with terms.

1. A huge assumption about causing impact: These performance targets suggest a hypothesis for achieving change. From the point of view of this impact assessment, the hypothesis is saying that **if all three plans or assessments (spatial plans, CMMPs and CCLAs) are completed or approved, then change will happen**. This is a huge assumption. The project is reliant on the plans being successfully implemented, and in many instances this has not yet happened because it is too early, not because of anything the project has done or not done. The assessment team only found anecdotal evidence of causality between the impacts and outcomes, although it would support the maintenance of tracking high-level targets but treat them as hypothetical until stronger evidence of causality.

There are many problems with using targets and indicators such as goal displacement and creaming to name just two and these have been well documented (Perrin, 1998). Targets and indicators also have an inherent contradiction. It is more difficult for a project to measure impact indicators but this is what political masters are more interested in.

2. Ways of addressing the assumption: There is an opportunity for LESTARI to address this challenge. It is intended that a major focus of LESTARI will be on the implementation of the plans (spatial plans, CMMPs, CCLA). Given that this link is the weak link in the logic based on current targets, future evaluation should focus on this to establish explanations of causality and then see if indicators at this level are suitable. As this is a complex project, establishing measures might not be possible. Pawson and Tilley's (2005) realistic evaluation framework may be useful here.
3. Suggested logic model: It is suggested that a stronger form of logic model be used instead of the results framework. It should be a model that is a useful management tool, which would support current evaluative activity, and provide a framework for synthesizing both qualitative and quantitative information. There are many forms to choose from but from a project management perspective, **results-based planning** (a type of logic model) as designed for the Canadian Public Sector by Steve Montague ([www.pmn.net](http://www.pmn.net)) is recommended. This form of logic model (i) accounts for expectations over time, (ii) incorporates stakeholders and beneficiaries more explicitly, and (iii) provides a framework for gathering evidence<sup>19</sup> throughout the life of the project.

<sup>19</sup> An example of using a logic model of an evidence framework can be seen at [http://www.healthscotland.com/ofhi/MentalHealth/logicmodels/MH\\_LM1.html](http://www.healthscotland.com/ofhi/MentalHealth/logicmodels/MH_LM1.html) although it is not a results based model.

4. **Reflection and review:** Although the assessment team is aware that reviews currently happen, it did not explore the processes used. A second suggestion is to instigate reflective practice every six months, building on existing practices. These are based upon the **results-based model** using evidence around four questions of what worked and why, what did not work and why, what needs to change (continuous improvement) to improve the project including changes to the logic model; and with the wisdom of hindsight, what should have been done differently next time (organizational learning)? Performance target achievements would be part of the quantitative evidence but other forms of evidence should be included as well.
5. **Most Significant Change:** The assessment team recommends using stories of significant change where measurement is either difficult or does not tell the whole story. These are excellent in highlighting how change occurs, what can be learned from that, the nature of the impact or outcomes (planned and unplanned impacts); and to provide a sharp focus on what is significant to change within the life of the project. (This could be integrated into existing practices). These stories are excellent for engaging stakeholders because people often respond more to stories than measures.
6. **Confusion with terms:** There is a precursor though. The assessment team observed multiple interpretations of terms like output, outcomes, and impacts from staff and created some confusion. The USAID Glossary of Terms (2009) should be followed.

## 2.7 CROSSCUTTING CHALLENGES

This section deals with the findings that were common across the themes, firstly identifying positive themes and secondly challenges which, if successfully addressed through LESTARI, will enhance benefits.

### CROSSCUTTING THEME 1: ACKNOWLEDGE LOCAL DIFFERENCES

One of the first crosscutting themes to emerge related to how USAID IFACS delivered its program. It acknowledged local differences between and within the landscapes in which its strategic themes were delivered. These differences included cultural factors, socioeconomic status, features of the landscapes, land tenure and the varying capacities of local people. To accommodate these contextual differences, USAID IFACS articulated principles for delivery rather than being highly prescriptive. As a consequence, for example, MSF were different in different districts. Some had more government officials as members, while others had more representation from NGOs. In the same vein, the assessment team recommends that CMMP documents and guidelines become more flexible to accommodate the differences in private sector companies (forestry, plantation, and mining).

### CROSSCUTTING THEME 2: USE WHAT IS AVAILABLE

Another key factor in how USAID IFACS delivered the project was not to start afresh everywhere, but rather to link in with existing regulatory frameworks (for example, with the SEA process) and existing structures such as existing fora. In addition, it leveraged the experience of other agencies and organizations, adding to their programs by establishing subcontracts with partners or issuing grants. It emphasized use what is available rather than start from scratch.

### CROSSCUTTING THEME 3: GREATER TRANSPARENCY AND IMPROVED GOVERNANCE

To date, USAID IFACS has contributed to:

1. Improving the knowledge and skills of many people through direct intervention or through subcontracts;

2. Improving peoples' livelihoods (although current impacts are based on anecdotal evidence);
3. Emerging improved land use, including agricultural practices in the villages;
4. Establishing training structures delivering customized conservation and protection actions, such as the City Forest in Palangka Raya; and
5. More people are participating in sustainable land use decisions that influence their lives.

Logic suggests that all of the above contributions are leading to greater transparency and improved governance, a view that was supported by respondents and never refuted.

#### **CROSSCUTTING THEME 4: CHALLENGES**

Once analysis of the data commenced, some challenges became evident as common across the strategic themes. These crosscutting challenges offer LESTARI opportunities to advance performance and hence increase impacts. This is not criticism of work to date but rather opportunities to build on the performance of the last two years.

Apart from the inevitable time it takes to achieve environmental outcomes, seven crosscutting challenges were identified. They are:

- Building the capacity of people in the landscapes—it is more than training;
  - Growing the capability of USAID IFACS staff;
  - Ensuring greater coordination between the strategic themes and strategic stakeholders;
  - Supporting policy to program issues;
  - Focusing on landscapes; and
  - Commenting on M&E.
1. Building capacity of the people in the landscapes: Much of USAID IFACS work involved delivering or funding training events that were well received and regarded positively by respondents. These events, though essential, are insufficient on their own to achieve sustainable behavior (practice) change. This was confirmed in USAID IFACS' *Knowledge Attitudes and Practise Change* surveys conducted in 2012 and late 2014, which showed that while knowledge was increasing, practice change was not. In a MSC story from the Ketapang landscape, USAID IFACS staff make this point, albeit implicitly. The full story *A Paradigm Shift* is detailed earlier in this section in the findings for SEA-LEDS. Staff observed and believed that when they did more than training, results were stronger. There is an opportunity to change from a training model to a practice change model that includes other approaches partnered with training, and are governed by principles of capability building and driven by demand or need. (McDonald et al., 2003).
  2. Growing the capability of USAID IFACS staff: After the project's slow start, staff for the last two years have been working hard and fast to help USAID IFACS achieve its planned impacts, while still having to manage the legacy of those early years. However, in moving forward, it is time to rethink what other skills and ways that staff need so they can strengthen their role and presence in the community and subsequently have an impact. There were specific examples of gaps in knowledge around the four landscapes, which may have resulted from staff being focused on specific delivery, possibly being blinkered as to other aspects or options for delivery. Examples included some staff not knowing the progress or status of strategic themes being applied locally when components were centrally managed or when managed by other agencies, gaps in technical knowledge and limited understanding of the implications of policy and regulations to the local area. Other respondents identified issues such as lack of clarity of purpose and the uncoordinated nature of documents from USAID IFACS. "It wasn't until the end of the project, after four years, that we understood" was frequently heard from respondents, which raises questions about efficiency and effectiveness. These

gaps were not consistent across every site but were sufficiently widespread as to be notable. This is not necessarily a call for more staff training but rather more analytical thinking about gaps, and what facilitates practice change besides training. Another approach might be increasing staff participation in networks. For example, to improve the current CMMP process, USAID IFACS/LESTARI local staff could become members of the High Conservation Value Network Indonesia (HCVNI) to strengthen their HCV assessment skills.

3. Greater coordination between the strategic themes and strategic stakeholders: A question that challenged the assessment team is the connectivity between the project's strategic themes at the local or district levels. It was noted that the delivery of the four themes was not always coordinated, yet together these could present a consolidated package to address both conservation and land use issues and thereby impact more strongly on final results. In some instances, CMMPs or CCLAs had no connection with the MSF. In one instance, the MSF was not well connected to the SEA-LEDS. Consequently, opportunities to act synergistically were lost. Related to this, it was noted that key stakeholders were not always present, either in the MSF or at other meetings. Locally specific actions are required to address this issue.
4. Implications of policies and practices: Another observation of the assessment team was that people were having to negotiate policies and practices that were sometimes contradictory among various government agencies. This is a challenging issue and begs the question of what role LESTARI might play and how it can make a sustainable difference. For example, how might policymakers better appreciate the impact of their decisions at the grassroots level? How can government departments work with each other and key local stakeholders? How might the activities of LESTARI link more closely with climate change policy and programs in Indonesia? Can economic assessment, beyond finance, help inform decisions? This issue is worth exploring more and it suggests LESTARI do some applied research to identify innovative solutions that have potential to be more broadly applied in other contexts. The assessment team did not have the opportunity to explore this further.
5. The landscape model: USAID IFACS opted to work at a landscape level, which was based on an assessment of conservation values and carbon storage, rather than at a watershed level or recognized administrative area. The assessment team found local people and districts did not relate to the landscape concept or share a common understanding of what it means. To them, watersheds seemed to be a better reason for getting together. However, the assessment team did find examples of where people "ignored the boundary" and added value to both areas inside and outside the landscape. Hence the story of *The Chocolate Doctor* in the CCLA section above. Here, information was flowing both ways between cacao farmers inside and outside the landscape. This is an unplanned positive impact of the project. It is the view of the assessment team that the landscape model provides a focus for a specific pattern of sustainable land use and within that focus there can be a range of factors that bring people together, even those who live outside the landscape.
6. Comment about M&E: As indicated in an early section of the report, this project has tracked targets at a range of levels against a hierarchy of results. There is a contradiction that requires following up. The impact targets were ambitious, and according to data, have been or mostly been achieved. However, most of the activities that USAID IFACS has put in place via target audiences have yet to be implemented (SEA-LEDS, CMMPs, CCLAs). How can this be reconciled with the impact changes reported? Putting aside measurement challenges could it be that the figures for the impact target are assumed based on what is planned rather than implemented. This point needs to be clarified going into LESTARI.

Performance targets are insufficient on their own. Evidence-based explanations of how outcomes or impacts occur, why and why they do not, in which circumstance, and so on are not covered just by targets. USAID IFACS has been undertaking focus group work to support its surveys on knowledge, attitudes, and practice change but a new evaluation plan will be required for LESTARI. This should focus on implementation of the spatial plans, CCLAs, and CMMPs—the big gap in the target regime. That way “monitoring” and “evaluation” will both be addressed. The evaluation team in USAID has come a long way in the last two years, now the next challenge awaits.

## 2.8 CONCLUSIONS

Given the short time the project has been in full delivery mode (two years), USAID IFACS has produced many of the critical building blocks for achieving CO<sub>2</sub> reduction and sustainable land use in the targeted forests and peatlands of Indonesia. It has launched a complicated and complex project across eight very different landscapes, where much of the primary forest cover remains intact and carbon stocks are the greatest. These landscapes encompass 13 eclectic districts. The areas targeted are diverse in many ways, so while there was consistency in the project’s approach to each of the landscapes it was governed by principles rather than by prescription to accommodate the differences amongst the districts. The project was delivered through the four strategic themes described earlier in this report. USAID asked the question whether any of the strategic themes should be stopped or substantially redesigned. The emphatic answer is no, they are delivering. There is evidence, though, that each could be further developed to increase their effectiveness and sustainability in LESTARI.

### WHAT DIFFERENCE HAS USAID IFACS MADE?

While the assessment team found little evidence of measurable impact (or final results), intermediary outcomes necessary to achieving impact are evident. This suggests the project will contribute to reducing emissions in Indonesia through improved sustainable land use. Significant environmental change takes time, as ecosystems gradually respond to changing circumstances and climate change. Consequently, the project should not be measured on its impact achievements to date. A performance story summarizing the status of USAID IFACS is given on the second page of this section (Page 10). Overall, it is saying LESTARI has a strong platform to build on<sup>20</sup>. The USAID IFACS story does not reflect everything done by the USAID IFACS project but just the main points. It links inputs to impacts. While it is in the form of a summary, performance stories can vary in length and detail, according to need—from a “lift grab” to a lengthy document.

### HOW HAS IT MADE THE DIFFERENCE?

To achieve impacts, USAID IFACS has worked on increasing the participation of a wide range of people in sustainable land use decisions, including local government staff, key stakeholders, villages and concessionaires. First, this has meant building their capacity to participate so training has been provided in skills such as using land use data, writing skills, and processes of engagement. Second, because of the differences between and within districts, USAID IFACS designed its themes around principles rather than be prescriptive.

Most of the observable practice changes to date have been in people participating in plans and meetings but beyond that there was only anecdotal evidence of emerging change at a higher level. This may be because of the time lag between planning and implementation or for other reasons. Achieving practice change is difficult and but this could be enhanced by

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<sup>20</sup> Performance stories are a way of succinctly describing a project and its achievements and can be as short as a few paragraphs or as long as a full report

looking at an integrated package of approaches. A well-understood approach is to think about the means (knowledge and skills), motivation (the attitudes and aspirations of people), and opportunity (a community of place or interest that encourages change). USAID has relied heavily on training, which is essential but insufficient on its own. Other activities might include different ways of providing peer support, access to one-to-one professional advice, increased networking, having the right stakeholders are around the table, integration of the themes for maximum utility, and so on. This applies across the board to key stakeholders, villagers, and project staff, although staff were not in the survey and their inclusion here is the result of the assessment team's field visits.

Another key approach used by USAID IFACS was to build its strategic themes around existing policies and structures. It “hooked” into relevant regulations as they were being applied on the ground; it built its engagement around existing structures as much as possible and it spread its capacity to deliver by using subcontractors and grants. In other words, it built on what was locally available. This enabled a more rapid take-up of USAID IFACS products rather than starting from scratch.

### WHAT ARE THE LESSONS FOR LESTARI?

When USAID IFACS ceases, LESTARI will commence. The key lessons are as follows:

1. **Retain the four strategic themes** but between now and the beginning of the new project, there is an opportunity to refresh them all. While there are options specific to each theme and the assessment team's suggestions are given in earlier parts of this section, where they are dealt with individually, one strategy is to ensure the themes are more coordinated and strengthen each other. Part of this is about making sure all the right stakeholders are in the room.
2. **Retain the practice of providing principles** rather than being prescriptive as well as leveraging the existing regulations, local structures, and providers as much as possible, building on the existing abilities of local people.
3. **Develop a wider range of capability-building tools** besides training and discussion groups and how to develop an environment supportive of change, tools such as access to one-to-one advice, local conferences, networking between villages and between landscapes, mentoring and job swaps, to name a few.
4. **Have a stronger focus on tracking the implementation** of spatial plans, CCLAs, and CMMPs and the consequences of this, including both monitoring and evaluation through the life of LESTARI (see page 35 for more information and suggestions).
5. Each of the themes has suggestions for improvements and these are given in summary form earlier in this part of the report than with even more detail or explanation in Section 3. What is presented here are key suggestions based on the lessons learned, but the others should not be ignored:
  - a. **SEA-LEDS** address land use planning issues, conservation and protection, and social impact at the local government level. It is the view of the assessment team that more robust economic analysis is required, going beyond just finances to conflict resolution and informing decisions that impact in the longer term. These are new capabilities and perhaps warrant a pilot project in one of the landscapes—a “thinking big but starting small” approach (see Section 2.2 for more information and suggestions).
  - b. For **MSF**, it is about maintaining their energy and enthusiasm including:

- Ensuring participants in these fora continue to share a common vision and purpose;
  - Ensuring forum participants see the fruition of their work to help maintain their enthusiasm;
  - Ensuring all the right stakeholders are in the fora and their roles are clear; and
  - Making sure, as far as LESTARI can, that their voices continue to be heard, especially by district governments. The relationship with district governments is critical (see Section 2.3 for more information and suggestions).
- c. **CCLAs**, in some instances, struggle for status and recognition, and have trouble getting the right people around the table. The next step for CCLAs is to ensure their inclusion in spatial plans and the rights of villagers are protected. Consideration should be given to CCLAs even gaining legal status (see Section 2.4 for more information and suggestions).
- d. **CMMPs** and working with the private sector has been challenging. The assessment team suggests that CMMPs are “refreshed” before LESTARI. The mechanism could be convening a workshop that includes the three relevant ministries, companies with experience in CMMPs, relevant training subcontractors, and USAID IFACS/LESTARI, and tasked to examine the lessons and explore the role of all in the future (see Section 2.5 for more information and suggestions.)
- e. Consider how CMMPs and CCLAs, in addition to SEA-LEDS, can be integrated more into the spatial plans, ensuring equity and fairness across all sectors and avoiding social tensions and conflicts amongst categories of beneficiaries.

# 3.0 SUPPLEMENTARY REPORTS

Supplementary reports allow each of the three content specialists to provide more information on each of their specialties beyond what is in the main body of the report. There are three reports:

1. Strategic Environmental Assessment and Multi-Stakeholder Fora
2. Community and Conservation Livelihood Assessments
3. Conservation and Monitoring Plans

The first supplementary report argues the rationale for improving the economic well-being of people i to address environmental issues based on a hierarchy of need. It also includes the role of developing social capital in this process.

## 3.1 STRATEGIC ENVIRONMENTAL ASSESSMENT (SEA) AND MULTI STAKEHOLDER FORA (MSF)

*Sударsono Soedomo*

### 3.1.1 INTRODUCTION

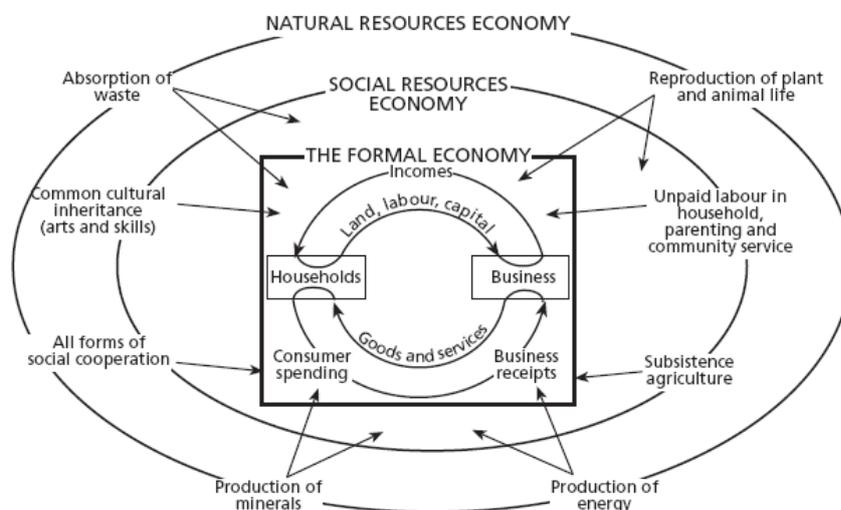
This brief report provides more data and analysis of information from the Final Impact Assessment regarding strategic environmental assessments (SEAs) associated with spatial planning at the district level and the development of multi-stakeholder for a (MSF). The field trips included visits to Gayo Lues, Ketapang, Kayong Utara, Katingan, Pulang Pisau, and Palangka Raya City. In particular, the assessment was exploring the impact of USAID IFACS on both SEA and the fora. This paper is organized in four sections. After this brief introduction, Section 3.1.2 discusses SEA, 3.1.3 explains the development of MSF and their role in assisting local governments, and 3.1.4 is the closing.

### 3.1.2 STRATEGIC ENVIRONMENTAL ASSESSMENT

#### A) SUSTAINABLE DEVELOPMENT

One of the major themes in USAID IFACS is sustainable land use development. In general, there are various definitions of sustainable development, and the understanding and application of one definition may vary. However, almost everyone agrees that the word “sustainable” includes aspects of economic, social, and environmental life, but how these three aspects are incorporated in development plans can differ and in fact may contradict each other. In practice, the concern about sustainable development can be reflected in initiatives such as expanding conservation areas or by converting land into conservation areas. In many cases, conservation of wildlife or nature is the core concept of sustainable development (Adams, 2009). Since the natural environment resource economy and the social resource economy as well as the formal economy are all interrelated, as presented in Figure 14 below, then the choice to protect the natural resources and environment is a sound choice. Based on experience and observation, however, humans may place self-survival as a priority to fulfil their basic needs, which is more closely related to economic activities.

**Figure 14. Sustainable Development (Cato, 2009)**



For low-income people, the natural living environment is a luxury. The environment is positioned higher in a hierarchy of need compared to necessities. In the Kuznets environment curve, the forest is recognized as an environmental indicator (Mather et al., 1999). This means that improvement of the people's welfare will encourage them to appreciate the forest more as part of their environment. Unfortunately, local people are often marginalized by development programs that adopt the "trickle-down effect" paradigm, therefore it is necessary to introduce a new development paradigm.

Data published by the World Bank shows that the economic growth is strongly correlated with emission rates. If there is no change in the economic structure, the decline of the emission rate will have implications for economic growth. This means, to reduce emissions without constraining, if not accelerating economic growth, then the current economic structure needs to be re-structured. Reducing the subsidy for fuel prices, or in other words, changing people's behavior in inducing the greenhouse effect, is one important such step and there are other elements that also need to be addressed.

## **B) SEA AND ITS IMPACT**

SEA is the appropriate tool to improve the spatial plan (RTRWK) of the district. The main objective is to ensure that the principles of sustainable development are applied in the spatial plan. In short, the SEA itself is regarded as a planning tool. The members of the SEA working group are from various line agencies within the district government and representatives from civil society. The chair of the working group is usually from the Public Works Service Agency or from the Local Development Planning Board. The process of developing the SEA is also used as a means to voice the interests of the local people, which are often ignored in the decision-making process.

There have been some changes in the people's perception on how development should be carried out by the members of the SEA working group. However, in contrast, the forestry sector was too rigid and in fact sometimes static. In the name of conservation, the forestry sector seemed to take it for granted that they were able to claim whichever area they wanted within the Republic of Indonesia to convert areas into forest land with no objection from local communities. A clear example is the phenomenon of the expansion of the Gunung Palung National Park in the districts of North Kayong and Ketapang, where the initial area of around 60,000 ha was to be expanded to 100,000 ha. Parts of the area designated for inclusion in the national park were not physically feasible. However, because of this rigidity, the proposed spatial plan was not optimal.

The most critical stage in the SEA is defining the strategic issues and the trend of future strategic issues, which are influenced by policies, plans, and proposed programs. Identifying or defining the strategic issues is not an easy task. Strategic issues are summarized issues that the populations regards as important. Even with a method to define the strategic issues, SEA working groups still faced difficulties. There appears to be an imbalance in the identification of issues. Although still limited, USAID IFACS has taken a role in building the capacity of the SEA working groups to identify strategic issues in their respective districts.

In addition, **the significant different between IFACS SEA and non-IFACS SEA** is the integration of the carbon calculation result into land use decision making as one manifestation of low-emissions development strategies (LEDS).

The impact of SEA on spatial planning will be in the long term. In terms of procedure, several recommendations from the SEA document must first be incorporated into the Medium-Term Development Plan (RPJMD), which follows a five-year cycle for budgeting. In case the timing of the SEA and the RPJMD do not match, then recommendations from the SEA can be incorporated into the next RPJMD. In addition, the revision of the spatial plan also follows a

five-year cycle. In brief, recommendations from the SEA cannot be automatically implemented, as these must first be budgeted for in the RPJMD and must also wait for the revision cycle for the spatial plan.

The spatial plan accommodates various interests, including those of the political elite or group that often conflict with the public interest. For example, licenses for land utilization were repeatedly approved but actually did not comply with the spatial plans. The high political cost often becomes the explanatory variable for the many cases of land utilization discrepancy.

Considering the procedures and the various political interests related to land utilization, the impact from SEAs, which received assistance from USAID IFACS, is difficult to assess. Apart from these factors, examples of immediate effects include the suspension of the granting a mining license in Sarmi District and the pending relocation of the industrial area in Palangka Raya since it was too close to the Sebangau National Park. The location was also situated on peatland. In addition, because of its SEA, the spatial plan of Sarmi District was also amended in qualitative terms, but not as much in quantitative terms. These were some examples of USAID IFACS support to the principles of low emission development. The processes around SEA are just as important when considering impact. One of the respondents, a Jakarta-based donor, commented that the processes were a means for facilitating dialogue.

There are two significant impacts from the SEA supported by USAID IFACS: the technical impact and the non-technical impact. A technical impact that can be immediately observed is the enhanced capacity of the working group in developing a SEA. USAID IFACS conducted a series of trainings on GIS using a competent instructor. This training included report writing. In the case of Gayo Lues, the SEA working group plans to link the spatial data of Gayo Lues District with the Infrastructure Data Spatial (SDI). The ability to identify strategic issues has improved after USAID IFACS was involved, as can be seen in the KLHS documents **before and after the IFACS initiatives** (District of Ketapang, District of Kayong Utara, District of Melawi, District of Katingan, District of Pulang Pisau, and Palangka Raya city) or by observing the SEA documents with or without the involvement of IFACS. An example of a SEA without facilitation from USAID IFACS is the SEA from the District of Kapuas, which is adjacent to the District of Pulang Pisau. In Kapuas, compared to Pulang Pisau:

1. There were no participatory processes.
2. SEA development was done by the third party appointed by provincial government.
3. Although Kapuas government staff were asked for some data, they were never fully consulted.
4. Staff acted mostly as data providers, then a full SEA document was given to them.
5. There was no consideration of carbon stock/emission in land use decision making.
6. There was no capacity building.

All the SEA working groups interviewed believed that they were able to develop the SEA to establish policies, plans, and other programs and that outsourcing would no longer be required. Meanwhile, the non-technical impact included an improved ability to build networks, and to absorb and communicate ideas. The process of developing a participatory SEA is one of the drivers for the non-technical impact.

### **3.1.3 MULTI STAKEHOLDER FORUM**

Except for the District of Gayo Lues, all MSFs visited were developed from existing community groups in their respective districts or city. In Gayo Lues, USAID IFACS established the MSF from scratch and developed it into the strong forum it is now. Meanwhile in other districts or cities, USAID IFACS established the MSF by developing

existing community groups. Some of the MSF were formed from several groups and were then gathered as one large group without disbanding the original smaller groups, such as the group formed in the District of Ketapang. The most common approach observed was by starting with one community forum and then expanding this to involve other people who had different backgrounds. Membership of the MSF included elements from civil society, line agencies from local government, and elements from the private sector.

Again, except for the District of Gayo Lues, most of the members of the MSF were also involved in developing the SEA for district spatial planning. In the District of Gayo Lues, only one or two MSF members became members of the SEA working group. The reason for this may have been that USAID IFACS regional staff responsible for assisting SEA working group did not interact with the MSF members to the same degree. However, the relationship between the MSF of Gayo Lues and the local government is considered as very productive. Interestingly, MSF members in Gayo Lues divided themselves into several sub-groups tackling discrete areas such as the forum for agriculture consultation, the forum for forest ranger patrol, the water forum, the gender forum, the ulema forum, and the GIS forum.

The MSF of Kayong Utara is also very interesting. The embryo of MSF was the “Rumah Ide,” initiated and managed by the younger generation that were and are concerned about development in the district. The meetings were usually held in the afternoon before sunset, therefore the term “sunset meeting” became known. If a member had/has an idea, then the idea is brought to the Rumah Ide to be further discussed, although not necessarily by all members. USAID IFACS’ role is to facilitate the meetings by providing the venue, the facilitators, and the mentor. The Rumah Ide is characterized by a flexible membership, egalitarian principles, voluntary service, inclusivity, and the non-judgemental and open way it deals with issues. It is apparent that Rumah Ide has strengthened social trust, and everyone feels comfortable to speak up and voice their interest. One of the original ideas to emerge was to link the conservation of the natural resources with public health services. Each village in the Gunung Palung National Park is assigned a certain color such as red, yellow, or green that indicates activities of any illegal logging, for example log dumping, saw-mills, and other activities. If in one village, there is no indication of illegal logging, then the village would be labeled as green. On the other hand, if in one village, several indicators related to illegal logging were found, then the village would be labeled with a red color. The tariff for health services is linked to the assigned color of the village where the patients come from. Patients from green color-labeled villages would pay the lowest tariff while the red color-labeled villages must pay the highest tariff for health services. This approach may encourage social control among the community themselves.

The MSF of the District of Ketapang was initiated by several existing NGOs that worked in the field of conservation. Since they were working in the same field, they agreed to establish a meeting forum known as the Joint Secretariat for the Conservation of Kayong (Sekber Konservasi Kayong). USAID IFACS enriched the Sekber Konservasi by inviting new members that have various backgrounds such as from the local government, the private sector, and civil society. The MSF of the District of Ketapang was designed as a formal institution; however, the representatives from the local forestry agency suggested keeping the forum as an informal institution. The material for the meeting presented by IFACS initially caused confusion as it was not structured and was not organized to link with material from the previous meetings. Eventually the MSF members were able to understand the purpose and the benefit of the material brought forward in the forum.

The MSF of the District of Katingan mostly consists of representatives from the government. USAID IFACS often found attendance an issue. When interviewed, only three representatives attended the meeting: one from the local parliament (DPRD) and two from the regional development planning board (BAPPEDA). Nevertheless, there is an enhanced awareness of the importance of conserving natural resources. The MSF recommended that

the spatial plan should identify the areas in the south of the Sebangau National Park and the areas in the north of the Bukit Baka National Park to be preserved. They were, and the MSF are also concerned about the damage to the environment as a result from the mining activities by the local people. The MSF recommended that the local leaders (elders or cultural leaders) be involved to balance representation in the MSF. They claim that the capacity-building programs offered by USAID IFACS were and are useful.

Several NGOs in Palangka Raya city established a forum named as the "Aliansi Bumi" or Earth Alliance, which convenes every month with very flexible membership. Various issues were discussed in the forum. One of important issues raised in the forum is the SEA and the Landscape Conservation Plan (LCP). According to the Second Assistant of the Municipality Government of Palangka Raya, USAID IFACS has facilitated the forum to gain skills and knowledge on the systematic procedures needed in preparing a plan. The word "plan" is immediately associated with USAID IFACS. In any development, it necessary to have a plan and without a plan it would result in disaster.

According to the Second Assistant of the Economic and Development Division in the Government of the District of Pulang Pisau, the impact from USAID IFACS activities cannot be seen now as a certain span of time needs to pass. What is apparent though is the enrichment of information, skills enhancement (particularly in GIS), and stronger understanding of SEA among the MSF members. IFACS expanded the membership of the MSF by including the local leaders (Damang). The MSF of the District of Pulang Pisau will be retained but with a new name (the Conservation Forum). The forum suggested that the entrance gateway of Sebangau National Park should be guarded in shifts. In addition, vehicles should be provided for patrolling and for mitigating forest fires.

An important contribution of MSF is the strengthening of social trust among the stakeholders. According to Yamagishi (1998), the low trust of a society may lead to a large "social waste," and create uneasiness for the people. In a society in which all members are trusted, there would not be any social waste despite stifling regulations or rules in the society. Trust becomes the social lubricant to encourage social interaction among people. If this momentum of building social trust is maintained, then social capital would be strengthened. Fukuyama (2001) defines social capital as "an initiated informal norm that promotes cooperation between two or more individuals." More or less, the MSF has instigated a new informal norm that can facilitate the relationship among members that have various backgrounds.

### **3.1.4 CLOSING**

All respondents interviewed stated that the MSF is regarded as a significant USAID IFACS success. It facilitated meetings with regular schedules, which has provided discipline, and probably commitment from members. USAID IFACS has also held training programs (GIS, developing SEAs, report writing) facilitated by competent instructors. Capacity building through these trainings was highly appreciated by members. With enhanced capacity, MSD members can produce better quality planning documents. Meetings are held in an egalitarian and democratic manner, which certainly helped to bring about a more conducive atmosphere compared to that previously experienced, which tended to be more bureaucratic due to the various positions, background, and social status of the members. Trust among NGOs, the private sector, and government has strengthened significantly. The local government appreciated the participatory process in the fora and as a result, relations between intergovernmental institutions have improved. In brief, the social trust and awareness of the people toward environment conservation has been enhanced.

In the future, conservation of natural resources and environment should be directly linked to the welfare of local people. Economic needs in the hierarchy of human need is placed lower

that environmental needs so therefore needs to be addressed if environmental imperatives are to be enacted. The economic interest of people should be more seriously considered and there should be affirmative action to assist local people in building their economy. To ensure that the program runs smoothly, it is necessary to engage and maintain good relationships between the central government and the local government at the district level.

## 3.2 COMMUNITY CONSERVATION AND LIVELIHOOD AGREEMENTS (CCLAS)

*Yani Septiani*

Continuation of the IFAC project into the future would be enhanced by consideration of a number of issues related to the CCLA strategic theme during planning, execution, and closeout. Improving the economic well-being of people is an important precursor to achieving environmental goals.

### 3.2.1 PLANNING STAGE

**Choosing commodities to be developed.** Villagers should first examine the potential of their own local natural resources that could be developed to improve their livelihoods. Intensive discussions with the villagers would gather information regarding the natural resources local people normally use to support their daily needs. It is important that the commodities to be developed are chosen not by the grantees, but by the people themselves. In this way, the final products of developed commodities will form a local market among the villagers.

A good example of this process is found in Lueme village in Gayo Lues District. Before the USAID IFACS intervention, village livelihoods were based on chocolate farming and a rotation between chocolate and corn crops. However, without good maintenance of cropping patterns, and with chocolate products sold through middlemen at low prices, livelihoods were affected. Farmers were no longer motivated to manage their land by planting cocoa. Then the IFACS grantees facilitated “intensification of sustainable agroforestry” in the village, basing it on chocolate production. The capacities of local farmers were improved, first through field school/training to improve production and second by opening direct access to the market for the chocolate products they produced. As well, a village community clinic (VCC) was established.

Another example is in Papua where the women of Komoro tribe collect crabs from the mangrove forest. Developing crab husbandry would be the best option to improve the people’s livelihood, since they are already familiar with this commodity.

**Considering effects that may arise from successful commodity development.** After selecting the commodities to be developed, the grantee and villagers need to consider any consequences that may rise when they try to scale up the project and plan how they will be prevented or addressed. For example, developing a rubber/cocoa plantation may be regarded as a good choice as people are familiar with these commodities. Extending the area of rubber plantation, though, may require more land and this could lead to encroachment into nearby forest areas. A similar issue has occurred in several national parks, such as Gunung Leuser National Park where encroachment occurred for coffee plantations, and in Lore Lindu National Park for cocoa plantations. CCLA development can mitigate such negative consequences, if the dialogue process involved representatives of government authorities. This happened in West Kalimantan where the CCLA facilitated by a USAID IFACS grantee through a multi-stakeholder process, mitigated a land dispute with the National Park Authority.

**Selecting a champion among villagers.** The community development program needs to be a sustainable, not temporary. It is important to identify a local champion, a person who has high sense of responsibility and a willingness to improve local people’s livelihoods, regardless of funding. For example, in Central Kalimantan, there is a champion (agent of change) in the group who is willing to devote his time, knowledge, and energy for free to help other farmers in developing the rubber. In some target villages in Aceh a facilitator/senior

mediator who had graduated from field school became known as the “chocolate doctor” as he shared cocoa farming knowledge with other villagers, even to interested parties outside the nominated landscape. Overall, the champion would also have a role as mediator in conservation issues.

**Deciding on stakeholders to be involved.** Initially, the grantees and villagers should decide jointly on which people, institutions, and organizations should be involved, both in developing the CCLA and in deciding which commodities should be developed for alternative income. This step is important also in enabling the exit strategy of the grantees.

**Strengthening the status and scope of the CCLA.** Local government institutions (especially the ones responsible for developing the regional/district spatial plan) and the national park authority should be involved from the start of the CCLA development process. In this way, the CCLA developed by villagers will receive recognition and if possible proceed to achieve legal status, such as by Governor/Bupati decree. The document could also be used as basic information in developing the regional spatial plan. For example, from the beginning of the CCLA development process in a target West Kalimantan village, facilitation by the ASRI foundation has led to strengthening communications with park authority (Gunung Palung National Park [GPNP]). This has resulted in participatory mapping in the villages surrounding the park that is recognized by the GPNP authority.

**Leveraging USAID IFACS.** When government and other institutions observe the positive impact of USAID IFACS programs, (e.g., rising incomes and raised conservation awareness) they are likely to provide the funding required to continue and further develop these programs. An example is Buntoi village, where KUBK (rubber growers’ organization) has leveraged a local bank to allocate funds to build a drying house for rubber processing, and further, to establish a small credit scheme for rubber farmers.

**Becoming the model and the training center.** When USAID IFACS is successful and considered important by stakeholders, targeted villages could function as models and training centers for other villages that developing similar commodities. For example, KUBK in Buntoi village can be the model village for development of a high-quality community rubber plantation and rubber product(s). The village can also function as a center of training for other villages developing rubber production. (This has happened also in Aceh.) This process could apply also to community cocoa plantations and products. Close collaboration with respected authorities related to rubber and cocoa production should be developed from the start, such as government training centers, factories, etc.

**Broadening the training.** Developing alternative local incomes requires training not just in developing the commodity but also in entrepreneurship to create local businessmen. Such business skills enable villagers to recognize market demand and maximize returns from their final products. For example, a businessman in Papua could recognize market demand and diversify his production into the seeds from the mangroves and sago. These products are raw materials for the baking industry, for example, baking sponge cakes and making snacks.

**Supporting intensive and continuous facilitation for rural communities.** Some findings in Aceh, Kalimantan, and Papua indicate that the successful improvement of community livelihoods was achieved by continuous and intensive facilitation.

**Conducting a gender analysis.** In several community development programs, the program has been more successful when women are involved and take the lead in the program. For example, in Ngata Toro community in Central Sulawesi, women decide the maximum number and the timing of non-timber forest products and their collection in Lore Lindu National Park, based on the optimum number to support family daily needs. In Papua, women are responsible for producing agricultural products for the family diet. So delivering

agricultural practice training to men fails as a strategy, since it is women who work on the farm, while men till new agricultural fields, and go to war.

### 3.2.2 EXECUTION STAGE

**Maintaining coordination and communication among stakeholders.** Successful collaboration with government institutions and other stakeholders not only demands formal communications (e.g., meetings and report submission), but also requires informal meetings and regular informal discussions with related officials. This is important to create smooth two-way communication between parties and the government receives regular updated information about the program. All stakeholders should be involved in monitoring the progress of the community development program.

**Recording lessons learned.** In any community development activity, participants always can identify lessons learned as the program proceeds. For example, people learn not to open a new farm field by slashing and burning, as they have experienced that out-of-control fires destroy other fields and create health issues. It is important to record lessons learned as USAID can use them as a reference when similar community development programs are funded. Documentation of RAPI activities could be used as guidelines in implementing grassroot-level adaptation programs in other areas.

### 3.2.3 FINISHING STAGE

**Conducting surveys/assessments at the beginning and end of the program.** For any training conducted by the grantees (e.g., in improving rubber or cocoa quality) the training committee should conduct an initial survey to gather baseline information on participants' knowledge of the subject and the level of community income. Before training begins, a questionnaire could be distributed or a participatory facilitated meeting (or in Bahasa is "pertemuan" at village level) to measure participants' knowledge of the commodity in question. After the training, the process could be repeated to see if there is change in knowledge. The same process could be followed to identify community income.

**Holding a wrap-up meeting.** When a community development program is approaching its end, the grantees and villagers should gather together to discuss all they have been through, listing important achievements and lessons learned, and the future of the existing programs. This will help people's understanding of the whole program process and offer foresight as to further programs and activities to both strengthen the existing CCLA and further improve people's welfare.

### 3.3 CONSERVATION MANAGEMENT AND MONITORING PLAN (CMMP)

*Aulia Aruan*

The following is a summary of findings related to Conservation Management and Monitoring Plans (CMMP). The context for CMMPs is given in Figure 15 in this section and Figure 12 on page 31. Indonesia's natural forest management is still facing challenges. Policies and regulatory frameworks have been evolving while concerted efforts toward sustainable forest management have continued. USAID IFACS (and future LESTARI) can be part of this important concerted effort toward sustainable development.

#### 3.3.1 ADMINISTRATIVE ASPECT

Administrative aspects cover standard mechanisms, communication, and a wrap-up strategy.

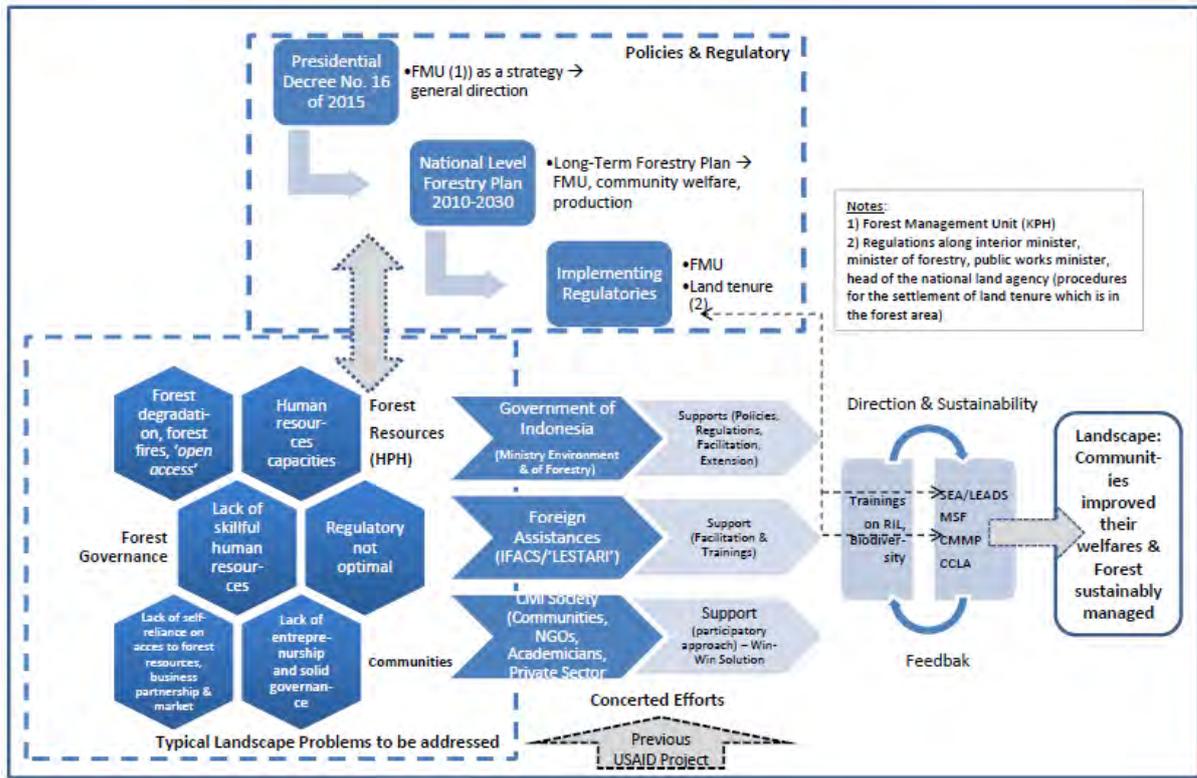
1. The CMMP process needs to be **updated regularly with a standard mechanism** put in place to do this. This mechanism has already been designed. The Technical Panel of HCV Network Indonesia (HCVNI), supported by USAID IFACS, has developed a CMMP Guideline in 2013. This guideline will be adjusted in response to the dynamism of climate change and sustainable development. These updates should be readily available online to those consultants including IFACS subcontractors (Daemeter, Re.Mark Asia, TFF, ZSL) and included as requirements for their final reporting, and should be accessible to concessionaires.
2. There are CMMP documents received and approved/accepted by HPH management that have not yet been implemented. This is a timing issue especially concerning biodiversity monitoring. Implementation of CMMP recommendations have been hampered by the absence of support from top company management for their field management staff. It could be the absence of funding or the absence of leadership to lead the implementation in the field. Thus, **initial communication and socialization** between USAID IFACS (Jakarta and relevant regional IFACS staff) and both top company management and field management is important. This process should be taken into consideration when LESTARI begins and improved. The new branded project offers an opportunity to enhance existing processes.
3. Before LESTARI commences, it is suggested that a **wrap-up and sharing experiences workshop** and discussion on CMMP be held. Participants could be from USAID IFACS, Ministry of Environment and Forestry, Ministry of Agriculture, Ministry of Energy and Mineral Resources, existing USAID IFACS strategic partners (i.e., 13 HPH concessionaires, 1 palm oil company, 1 mining company) and the training subcontractors (TFF and ZSL).

#### 3.3.2 TECHNICAL ASPECT

This section covers technical aspects of CMMP such as aligning mandatory and voluntary (certification and environmental/biodiversity monitoring) schemes. The CMMP process is a complicated and difficult process for improving land use management within the private sector but it has many strong benefits for sustainable land use and conservation (Figure 15). For example, CMMP is aligned with FSC certification, CMMP monitoring is a critical aspect in Sustainable Production Forest Management (PHPL), and several HPH concessions/companies have no problem in terms of budgeting for CMMP implementation. Ongoing training, however, is not included in this budget. Other challenges include:

1. The CMMP tool could present a problem to HPH concessions when they have to fund the whole cost, including the training.

**Figure 15. Building on USAID IFACS Experience for LESTARI**



2. Biodiversity monitoring was limited before the recognition of high conservation value (HCV) areas was introduced. As HPH concessions/companies have a mandate to undertake environmental impact assessment, which covers an Environmental Management and Monitoring Plan (RKL/RPL), there is an opportunity to synchronize biodiversity monitoring (voluntary) with the RKL/RPL (mandatory).
3. All surveys and monitoring protocols are necessarily site-specific, and one uniform approach cannot be recommended for all situations.
4. Although the HCV toolkit includes useful practical information, much of the guidance on HCVs is general.

Suggestions for moving forward on technical aspects include:

1. **Further training or other forms of support** in every level in the HPH concessionaires/palm oil company/mining company, from top management to field personnels including the camp managers, need to be identified, initiated, and be feasible given the size of LESTARI.
2. **For LESTARI, revise the CMMP** tool to accommodate the nature of different business such as palm oil companies and mining companies and it depends on individual company's condition (see Figure 12 on page 31).
3. **Criteria for selection** of CMMP partners within USAID IFACS landscape should include criteria from the forestry business unit as stipulated by government regulation, under the umbrella of Forest Management Unit (FMU). These criteria should include: (i) people

(social aspects), (ii) planet (environmental aspect), and (iii) profit (production aspect). These three have been used in the processes of certification (mandatory) for production forest. This will need to be adapted for non-forestry industries.

4. Although the HCV toolkit includes practical information, much of the guidance on HCVs is general but all surveys and monitoring protocols are necessarily site-specific, and **one uniform approach cannot be recommended for all situations**. It is suggested LESTARI staff become part of the HCVNI to contribute to, and learn improved HCV skills, and therefore provide a stronger role in adapting to different contexts.
5. There needs to be consideration of a **broader range of species** (beyond orangutan) in biodiversity monitoring. For example, include all species in the food chain, an example is the macan dahan (Sunda cloud leopard – *Neofelis diardi* or kucing-kucingan).

### 3.3.3 POLICY/REGULATORY ASPECT

#### POLICY AT THE DISTRICT GOVERNMENT LEVEL:

**CMMP occurs without reference to the SEA.** While a SEA is mandatory and it covers areas where companies operate, it is suggested that companies be consulted in the SEA development process so actions for environmental protection in both SEA and CMMP documents are harmonized.

#### POLICY AT THE GOVERNMENT OF INDONESIA LEVEL:

1. **CMMP is not well connected to recent policies and legislation** and therefore this reduces its effectiveness in responding to existing and future issues. This needs to be addressed to ensure its relevance to the Indonesian policy environment. As an example, SVLK (Sistem Verifikasi dan Legalitas Kayu or the Timber Legality Assurance System) has a review process to improve its system.
2. The Indonesian forestry business still faces a long-term challenge with the **professionalism of forestry sector management**. Sustainability is not in tune with current competitive business principles and practices. There are many regulatory rules, which together are complicated, while there is lack of recognition of professionalism within sector from government, or incentives to promote such professionalism. USAID IFACS (or in the future LESTARI project) could be part of the Indonesian's better forest management nationwide through networking in relevant forums.
3. Related to the above is the question of how technical support or facilitation from donors, such as USAID, can **align with and strengthen the existing policies**. When defining future IFACS work in the landscapes (LESTARI), criteria for existing forested areas and threatened forest areas should be aligned with the new KPH/FMU through Presidential Decree 16 of 2015 about the Ministry of Environment and Forestry. This is about operating in partnership—LESTARI with the Government of Indonesia—to ensure an integrated program for sustainable forest management and reducing carbon emissions

### 3.3.4 OUTCOMES

It is too early to identify specific impacts on reducing carbon emissions but some intermediary outcomes have eventuated. These include the following:

1. TFF/ZSL provided trainings in reduced impact logging and biodiversity conservation monitoring for increasing capacity building and competency, which has been well received.

2. The focus of the TFF training activity has given the participants an understanding of sustainable forest management based on community ownership; provided technical capabilities on forest inventory, measuring, and mapping correctly; and biodiversity. These training packages need to be retained. HPH concessions require skilled field staff to undertake CMMP work. Perhaps these training packages could be extended to the Ministry of Environment and Forestry and their implementing agencies or units such as BKSDA, BP2HP, and BLH at the district level. Moreover, in every forest service, at the district level, there could be a nominated person in charge of CMMP.
3. ZSL has provided effective training on biodiversity aligned with the CMMP implementation. Collaboration with Ministry of Environment and Forestry (i.e., Center for Education and Training) is recommended. This center has training programs on biodiversity for private sector companies as well as having their own local training centers in different locations nationwide. Synergies between CMMP and LESTARI will optimize resources at the district and national levels.
4. Better HPH management along with fulfilled conservation and social obligations could be supported by **direct incentives from the government** perhaps through public-private partnerships, so that better HPH management will eventuate and maintain production forest areas, including conservation areas. Furthermore, harmonizing the three pillars—production/profit, planet/environment, and social/local communities—is critical.

# ANNEX 1: SCOPE OF WORK

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**NAME: TBD – FINAL ASSESSMENT TEAM OF 3-4 PROFESSIONALS**  
**TITLE: USAID IFACS Final Assessment**

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## **Background/Work Description:**

The USAID IFACS project supports the Government of Indonesia's commitment to lower greenhouse gas emissions through the conservation of high-value forests and peatlands. The period of performance is from November 5, 2010 to March 30, 2015. USAID IFACS strives to reduce greenhouse gas (GHG) emissions in Indonesia's land use sector through the integration of forest and peatlands conservation with Low-Emission Development Strategies (LEDS). This is achieved by working with government and civil society to ensure effective preparation and enforcement of spatial plans that promote sustainable forest management. The Project also works with private sector partners in the forestry, plantation and mining sectors as well as local community organizations to balance LEDS with forest conservation.

USAID IFACS activities are targeted in eight strategic landscapes on three of Indonesia's largest islands, where primary forest cover remains most intact and carbon stocks are greatest. In northern Sumatra, the Project landscapes – Aceh Selatan and Aceh Tenggara – comprise the focal districts of Aceh Selatan, Gayo Lues and Aceh Tenggara, located within the Leuser Ecosystem, which hosts a wide range of endemic wildlife species and the third largest tropical rainforest in the world. In Kalimantan, USAID IFACS works in two landscapes: the West Kalimantan landscape of Ketapang, comprising the focal districts of Ketapang, Kayong Utara and Malawi; and the Central Kalimantan landscape of Katingan, comprising the focal districts of Katingan, Pulang Pisau and Palangka Raya. The Project also works in four Papua landscapes, Sarmi and Mamberamo in the north, and Mimika and Asmat in the south.

The Overall Results required by the end of the USAID IFACS project are:

- 6 million tCO<sub>2</sub> reduced or sequestered through improved natural resource governance and forest management leading to reductions in deforestation and degradation in USAID IFACS landscapes (~11 Million hectares).
- 3.0 million hectares of natural tropical forest and peatland, at least 1.7 million of which is priority orang-utan habitat, under improved management by the private sector, communities and government.
- 12 Districts with draft Spatial Plan incorporating SEA recommendations
- 12,000 forest dependent beneficiaries receiving economic benefits from low-emission development activities within USAID IFACS landscapes.

The purpose of this Final Assessment is to provide USAID and the Government of Indonesia (GOI) with an unbiased and transparent review of success and potential impact that USAID

IFACS has made over the life of the project. The Final Assessment will be used by USAID and the GOI to inform strategic planning and the design of future assistance.

Indonesia Forest and Climate Support (USAID IFACS) is a development program focused on integrated climate change, sustainable forest management, and low carbon emissions. Working with the Government of Indonesia (GOI) and other partners on three islands of Indonesia, the program is designed to reduce deforestation rates and greenhouse gas (GHG) emissions in target landscapes, conserve forests and wildlife resources, and maintain ecosystem services that support economic development and enhance food security. This is being accomplished via three core program areas: (1) land and forest resource governance; (2) improved management and conservation of forest resources in a changing climate; and (3) expansion of private sector, local enterprise and market linkages.

In order to assess the potential impact of major interventions at the end of the project, USAID IFACS will focus its Final Assessment on four (4) main strategic themes of SEA-LEDS<sup>21</sup>, CMMP<sup>22</sup>, CCLA<sup>23</sup> and livelihoods benefit, and MSF<sup>24</sup>. Final assessment questions will strive to *explain causality* and *address sustainability*, with three main lines of questioning. These include: a) has the intervention made a difference? b) how and why has the intervention made a difference?; and c) will the intervention continue to work and work elsewhere?

## **Objective**

The Primary objective of the final assessment is to identify successes and impacts that USAID IFACS has made over the life of the project. Results from the final assessment will be shared during USAID IFACS lessons learned and closeout workshops at the landscape and national levels.

A team should be combined of an evaluation specialist and relevant technical specialists. USAID IFACS has included this final assessment as an important Final Work Plan activity.

## **Evaluation Team Tasks / Methodology**

The final assessment should reflect principles of USAID's Evaluation Policy that include: (1) Unbiased in measurement and reporting; (2) Relevant; (3) Based on the best methods; and (4) Transparent.

The evaluation will be carried out in Indonesia by a team of up to four (4) independent, external consultants over a four to five week period, and include multiple qualitative and quantitative methods. One or more USAID staff and GOI representatives are welcomed to join the evaluation team during the team planning meetings and in briefings, site visits, debriefings, and report preparation.

According to the USAID IFACS Performance Monitoring Plan (PMP) Annex Evaluation Plan, the final assessment will focus on the four main themes of SEA-LEDS, CMMP, CCLA and livelihoods benefit, and MSF. Final assessment questions will strive to **explain causality and address sustainability**, with three main lines of questioning. These include: a) has the intervention made a difference? b) how and why has the intervention made a difference?; and c) will the intervention continue to work and work elsewhere?

Assessment methods will be discussed with and approved by USAID IFACS as part of the Final Assessment work plan. All methods shall be explained in detail, and any tools used in

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<sup>21</sup> SEA-LEDS: Strategic Environmental Assessment/Low Emission Development Strategies

<sup>22</sup> CMMP: Conservation Management and Monitoring Plan

<sup>23</sup> CCLA: Community Conservation and Livelihood Agreement

<sup>24</sup> MSF: Multi Stakeholder Forum

conducting the assessment, to include questionnaires, checklists, and discussion guides, among others, shall be included in an annex to the final report. Any limitations to the assessment shall be disclosed in the report, with particular attention to those associated with the methodology. Assessment findings should be presented as analysed facts, evidence and data and not based on anecdotes, hearsay or the compilation of people’s opinions. Findings should be specific, concise and supported by strong quantitative or qualitative evidence. Sources of information should be properly identified and listed in an annex to the final report. Findings should assess outcomes using gender-disaggregated data. Recommendations should be supported by a specific set of findings and should be action-oriented, practical, and specific, with defined responsibility for the action. Table 1 presents the discussion of how assessment tools, suggested methods and designs relate to the assessment questions posed.

**TABLE 1 SUMMARY OF TOOLS, METHODS AND DESIGN IMPLICATIONS FOR ASSESSMENT QUESTIONS<sup>25</sup>.**

Key Assessment Question	Related Assessment Questions	Underlying assumptions and requirements	Suggested tools, methods and designs
Has the intervention made a difference?	<p>What changes have been made to draft spatial plans that incorporate recommendations from USAID IFACS supported SEAs?</p> <p>Was the intervention likely a contributory cause?</p> <p>What role did the intervention play?</p>	<p>There are several relevant causal factors that need to be disentangled.</p> <p>Supporting factors can be identified</p>	Case-based comparable designs
How and why has the intervention made a difference?	<p>Are CMMPs effectively guiding the management and monitoring of HCV areas in USAID IFACS supported concessions?</p> <p>Are MSF’s adequately functioning as fora to build transparency and Multi-Stakeholder input into LEDS based land use planning?</p> <p>How have the impacts come about?</p>	<p>There is understanding of how supporting and contextual factors connect intervention with effects.</p> <p>Supporting factors can be identified</p>	Theory-based evaluation design, e.g. contribution analysis <sup>26</sup>

<sup>25</sup> Adopted from Stern, et.al (2012) Broadening the range of design and methods for Impact Evaluation

<sup>26</sup> Contribution analysis is one of theory-based approaches to evaluation. Contribution analysis confirms: a) that the expected result occurred; b) that the causal package is sufficient; c) that the intervention is a necessary part of the causal package.

Key Assessment Question	Related Assessment Questions	Underlying assumptions and requirements	Suggested tools, methods and designs
Will the intervention continue to work and work elsewhere?	<p>Are economic benefits sustained by USAID IFACS beneficiaries?</p> <p>Are economic benefits sufficiently incentivizing those beneficiaries to minimize their encroachment of forests?</p>	<p>The benefits from the intervention will continue to be realized</p> <p>Future benefits can be reliably estimated</p> <p>What has worked in one place can work somewhere else</p> <p>Innovation diffusion mechanism exist</p>	Scenario approaches

The assessment team will examine a range of primary (new) and secondary (existing) data sources during the course of the assessment. The team is encouraged to elaborate the utilization of theory-based evaluation design to obtain strong evidence and address attribution when identifying impact. However, the evaluation methodology must include at a minimum the following:

**Literature and Documentation Review:** The Assessment Team will review a wide range of reports and other documents to include contracts and contract modifications, work plans, performance management plans, annual and quarterly reports, strategy and technical approach documents, and monitoring and evaluation data collected by the Project implementers.

Key Resources

After convening in Jakarta, the Assessment Team will meet with USAID and USAID IFACS leadership to discuss the Scope of Work and to be provided all necessary documentation and information.

The Assessment Team will be provided the following background documents in preparation for the assignment:

- USAID IFACS Cooperative Agreement (Contract), including all major modifications
- USAID IFACS Annual Work Plans
- USAID IFACS 2011, 2012, 2013, 2014 Annual Reports
- USAID IFACS Quarterly Reports
- USAID IFACS Mid-Term Evaluation Report
- USAID IFACS Performance Monitoring and Plan as well as Monitoring Data
- USAID IFACS Technical Reports (SEA-LEDS, CMMP, CCLAs, LCP, etc)
- USAID IFACS Project Maps
- Other key USAID IFACS documents

**Key Informant Interviews, Field Visits and Stakeholder Consultations:** The Assessment Team will conduct interviews with USAID IFACS staff and implementing partners involved in project implementation.

The Assessment Team will travel to selected USAID IFACS field sites and identify and interview communities and organizations, ensuring geographic representation across the three focal regions—Sumatra, Kalimantan and Papua. During the site visits, the team will

observe on-the-ground activities and Project outcomes. These consultations and observations will be used to assess the level of impact the Project made in targeted areas. The Assessment Team should make efforts to ensure that both men and women are represented in any discussions with stakeholders. The Assessment Team will identify field sites during work plan development, and should focus site selection on those sites that are most cost-effective, relevant and practical to obtain information about the project initiatives without sacrificing the quality and validity of data.

The following is a list of possible resources for this evaluation:

- USAID/ Indonesia Staff
- USAID IFACS Staff
- District Government Officials (BAPPEDA, Forestry, Agriculture, SEA-LEDS Technical Team, others)
- GOI Institutions (national and provincial levels)
- Concessionaires representatives
- MSF members
- Grantees and Subcontractors
- Community Members

### **Deliverables**

1. **Work Plan Including Evaluation Design:** The evaluation team shall complete a Work Plan including the Evaluation Design within one week of convening in Jakarta. The Work Plan will include a detailed Evaluation Design framework, comprising key questions, methods and data collection plan to address each question, draft questionnaires and other data collection instruments, as well as known limitations to the evaluation design. The Work Plan will also include an evaluation calendar, along with a draft field visit and consultation itinerary, and will delineate the roles and responsibilities of members of the evaluation team. The Assessment Team will present the proposed design to USAID IFACS for comment and approval during the first Oral Briefing.
2. **Oral Briefings:** Within one week of convening in Jakarta, the evaluators will brief USAID and USAID IFACS leadership on its proposed Work Plan and Evaluation Design. The evaluators will provide a second Oral Briefing upon completion of the draft report, to include a PowerPoint presentation of the team's findings to be delivered to USAID IFACS and key stakeholders.
3. **Draft Report:** The evaluators will provide USAID IFACS with a Draft Report that includes all the components of the Final Report (electronic format only). USAID IFACS will provide comments on the Draft Report to the evaluation team within three working days.
4. **Final Report:** The format of the Final Report should include the following:
  - Title Page;
  - Table of Contents;
  - Executive Summary: no more than five pages in length, detailing salient findings, conclusions and recommendations and summarizing the evaluation purpose, Project background, key evaluation questions and methods;
  - Introduction: purpose, scope, and audience of the evaluation
    - a. Description of the Project: overview of USAID IFACS objective, strategy and components, to include Project context (relevant history, demography, socio-economic status, and basic political arrangements of the country, districts, communities in which the Project was designed and implemented);

- b. Evaluation Purpose and Methodology: description of evaluation questions, evaluation design, analytical and data collection methods, and evaluation limitations;
- Findings and Conclusions
  - a. *Potential Impact Assessment*: qualitative and quantitative information gathered by the evaluation team about the potential impact of USAID IFACS has been made; interpretations and judgments based on evaluation findings;
  - b. *Sustainability*: qualitative and quantitative information gathered by the evaluation team about the extent to which intervention will continue to work and work elsewhere;
  - c. *Lessons Learned*: best practices and broader implications for future activities.
- Annexes: to include the Scope of Work; Evaluation Design and Methodology; Itinerary; List of Persons Interviewed; List of Documents Reviewed.

The final version of the evaluation report should be submitted electronically to USAID IFACS for approval within five working days of the receipt of USAID IFACS's comments on the draft report. The report should use Microsoft Word, Excel, and Power Point formats, with 12-point type font, and 1' page margins. The report should not exceed 40 pages, excluding references and annexes. A second public version of this report should be prepared and submitted at the same time which excludes any potentially procurement-sensitive information—to be determined by USAID IFACS staff. The public version is for dissemination among implementing partners and stakeholders. Both reports will be in English, but the Executive Summary for the final public report should be translated into Bahasa Indonesia.

### **Level of Effort (LOE)**

The USAID IFACS Final Assessment will be completed in no more than 60 working days. Below is a list of tasks and deliverables with the corresponding level of effort for the evaluation:

Tasks and Deliverables	Duration
Background information review and pre-evaluation preparation	8 days
Work planning: Assessment Team in briefing with USAID and USAID IFACS leadership; Work Plan development; Deliverables: Draft Work Plan	6 days
Data collection: Meetings with key informants	6 days
Data collection: Field visits, additional meetings/ interviews/ other data collection activities	18 days
Data synthesis and analysis	6 days
Presentation of findings; Deliverable: Oral Briefing (PowerPoint presentation) for USAID and USAID IFACS leadership.	1 day
Draft Report preparation; Deliverable: Draft Report	4 days
Final Report preparation; Deliverable: Final Report	11 days
<b>Total LOE</b>	<b>60 days</b>

### **Schedule**

December 2014 – March 2015, with fieldwork conducted in January-February 2015.

## **Supervision**

The Monitoring and Evaluation Specialist will manage the Final Assessment team and be the primary point of contact. The Final Assessment team will report directly to the USAID IFACS Chief of Party and the Monitoring and Evaluation Specialist.

During evaluations with stakeholders, the Final Assessment team will work largely autonomously with logistical support coordinated by the Monitoring & Evaluation Specialist in Jakarta or her designate in the field.

## **Final Assessment Team Qualifications / Specific Roles**

An illustrative team would consist of up to four professionals with combined expertise in project impact evaluation, spatial planning/forest governance, forest management, climate change mitigation and adaptation, and local economic development and livelihood improvement.

### **Team Leader, Evaluation Specialist**

The Team Leader should have: (1) subject matter expertise in forestry, biodiversity and natural resources management, environmental policy, institutional development, sustainable management challenges, policy and market constraints, and effective development approaches; (2) knowledge and experience about different kinds of evaluation designs and methods, especially theory-based evaluation design; (3) past evaluation experience in dealing with measuring impact and attribution of complex or abstract concept such as governance, climate change adaptation and mitigation, etc; (4) familiar with the American Evaluation Association's Guiding Principles for Evaluators ([www.eval.org/Publications/GuidingPrinciples.asp](http://www.eval.org/Publications/GuidingPrinciples.asp)); (5) ability to communicate with broad range of people; (6) strong task output leadership and communication skills. Familiarity with the political, social and cultural context of Indonesia and of Bahasa Indonesia is a strong plus.

The Team Leader will be responsible for management of the team and for the timely preparation and submission of all deliverables, including the initial draft of the evaluation report. The team leader will lead the overall preparation of the evaluation findings, conclusions and recommendations, and preparation of the executive summary of the report. The Team Leader will also ensure the efficient operation of the team and good relationships with USAID and GOI.

### **Spatial Planning/SEA Specialist**

The Spatial Planning/SEA Specialist should have strong experience in the field of development or review of spatial/land use plans and expertise in developing the Strategic Environmental Assessment (SEA) for land use planning. The Specialist should have a good understanding of national to sub-national planning process in Indonesia as well as governance issue in land use planning and legislation. The Specialist should also have a good understanding of methodological frameworks and social science approaches to evaluation. The Specialist should have strong written and oral communication skills in English. Familiarity with the Indonesian political, social, and cultural context and of Bahasa Indonesia is a strong plus.

The Spatial Planning/SEA Specialist will be responsible for analysis of potential impact resulted from SEA-LEDS and LCP integration into district Spatial Plans. The Specialist will also analyse the processes of SEA-LEDS development to determine if good governance principles-transparency, participation, and accountability-promoted through MSF has been effective in influencing Spatial Plans. The Specialist will be responsible for the preparation of findings, conclusions and recommendations for this component.

**Forest Management Specialist**

The Forest Management Specialist should have strong sustainable forestry and natural resources management expertise, especially related to low impact logging, climate change mitigation from forestry and land use, and practices to reduce illegal logging and destructive forestry practices. The Specialist should have a good understanding of private sector operations, particularly forestry concessions. The Specialist should also have a good understanding of methodological frameworks and social science approaches to evaluation. The Specialist should have strong written and oral communication skills in English. Familiarity with the Indonesian political, social, and cultural context and of Bahasa Indonesia is a strong plus.

The Forest Management Specialist will be responsible for analysis of CMMP intervention under the component of improved management and conservation of forest resources. The Specialist will be responsible for the preparation of findings, conclusions and recommendations for this component.

**Community Resilience and Climate Change Adaptation Specialist**

The Community Resilience and Climate Change Adaptation Specialist should have exceptional local community development and behaviour change expertise, especially in empowering rural poor for improved livelihoods. The Specialist should have solid understanding of climate change issues and climate-related impacts on rural development especially those living adjacent to forest area. The Specialist must demonstrate strong written and oral communication skills in English. Familiarity with the Indonesian political, social, and cultural context and good communication skills in Bahasa Indonesia are a strong plus.

The Community Resilience and Climate Change Adaptation Specialist will be responsible for analysis of potential impact of CCLA and livelihood program and preparation of findings, conclusions and recommendations for the program.

## ANNEX A. USAID IFACS FINAL ASSESSMENT BACKGROUND INFORMATION

USAID IFACS activities are targeted in eight strategic landscapes on three of Indonesia's largest islands, where primary forest cover remains most intact and carbon stocks are greatest. In northern Sumatra, the Project landscapes – Aceh Selatan and Aceh Tenggara – comprise the focal districts of Aceh Selatan, Gayo Lues and Aceh Tenggara, located within the Leuser Ecosystem, which hosts a wide range of endemic wildlife species and the third largest tropical rainforest in the world. In Kalimantan, USAID IFACS works in two landscapes: the West Kalimantan landscape of Ketapang, comprising the focal districts of Ketapang, Kayong Utara and Melawi; and the Central Kalimantan landscape of Katingan, comprising the focal districts of Katingan, Pulang Pisau and Palangka Raya. The Project also works in four Papua landscapes, Sarmi and Mamberamo in the north, and Mimika and Asmat in the south. The Cyclops Nature Reserve was added as a special focus area by USAID in 2013. Services provided to each landscape include technical advisory and consulting services, watershed restoration, policy dialogue and support, training and capacity building services, workshops, and logistical support. The following map illustrates USAID IFACS working areas.



Forests play a central role in climate change. Since 1850, deforestation and forest degradation, especially in the tropics, have contributed to 90 percent of the greenhouse gas (GHG) emissions from Land use,

Land Use Change, and Forestry (LULUCF). The Government of Indonesia (GOI) documents, recognize that Land Use, Land Use Change and Forestry (LULUCF) and peatlands sectors are the biggest contributors of GHG emissions in Indonesia.

From the national total emission of 1.4 Gt CO<sub>2</sub>e in 2000, as much as 0.8 Gt CO<sub>2</sub>e (or 60%) came from the LULUCF sector (MoE 2010, cited in GOI 2011). The National Action Plan to reduce GHG emissions (also referred to as RAN GRK and released as a Presidential decree no. 61/2011 in September 2011) projects that total GHG emissions per year by 2020 would be 3.0 Gt CO<sub>2</sub>e, of which 1.6 Gt CO<sub>2</sub>e (53%) would be from LULUCF and peatlands. Recent projections by the National Council on Climate Change (DNPI) show that total emissions would reach 3.3 Gt CO<sub>2</sub>e by 2030, but contributions from LULUCF and peatlands are expected to remain around 1.6 Gt CO<sub>2</sub>e (48%). Deforestation, peatland degradation, and forest fires have put Indonesia among the top three largest emitters of greenhouse gases in the world.

The GOI divides deforestation into planned and unplanned deforestation. Loss of forest from areas that have been excised from state forest land for the purposes of establishing non-forestry land uses is considered 'planned deforestation.' Such planned deforestation can be caused by the conversion of forests based on regional spatial plans (RTRW), conversion to other uses such as plantations, as well as mining. Within state forest land, unplanned forest clearance and degradation is triggered by: (i) illegal logging and unsustainable forest

management; (ii) forest fires; (iii) conversion of natural forest to industrial timber plantations and mining; and (iv) weak enforcement of forest management regulations.

A number of perceived underlying drivers of deforestation and degradation has been identified by GOI that include:

**(i) *Ineffective spatial planning and weak tenure;***

Regional Spatial Plan (RTRW) development has been hampered by a lack of accurate data and information and lack of coordinated and sustainable sectoral development plans. Spatial planning is further impeded by the unclear status of land ownership, lack of boundaries, lack of recognition of customary and local rights to land and lack of ownership at the local level. This has led to conflict between different land claimants, and underinvestment in long-term sustainable land uses.

**(ii) *Ineffective forest management;***

Implementation of acceptable forest management practices has been ineffective due to weak institutional capacity at the local level. Regional governments which are in charge of managing Protection Forests have not performed well in this role.

**(iii) *Inadequate governance and poor legal framework and law enforcement;***

Lack of coordination between institutions providing land use licenses has contributed to overlapping land claims and conflict over the use of forest areas often with local communities who have been excluded from the licensing process this has often contributed to a poor business enabling environment in the forestry sector.

### **Spatial Planning and SEA Development**

Spatial planning analyses conducted by USAID IFACS in 2011 found that most local governments had contracted out the development of their spatial plans to comply with nationally established deadlines. However, many district officials had very little understanding of the spatial planning process dictated by law. Many districts had not carried out a public consultation process and had little capacity to implement their spatial plans. This limited absorptive capacity was also apparent among most local organizations.

Whilst Indonesian law requires all governments to conduct a Strategic Environmental Assessment (SEA) as part of the spatial planning process, the analyses also found that many districts had not carried out this obligation. Coupled with the fact that there were different status of district spatial plans (some were draft, some were enacted as local regulation) at the time the project initiated, USAID IFACS then determined the completion of SEA as the project main and uniform intervention to the district spatial planning, so district governments can make quality spatial plans focused on sustainability and low-emission development strategies. SEA enriched with LEDS principles is USAID IFACS unique approach. USAID IFACS believe that spatial plan incorporating SEA-LEDS principles is one of the most powerful tools for influencing land allocation and use decisions that have the greatest impact on forest integrity, conservation of environmental resources, and provide the ability to cope with impacts of climate change as well as to mitigate against it.

### **Multi-Stakeholder Forum Strengthening and Landscape Conservation Plan Initiative**

A Multi-Stakeholder Forum (MSF) is a local working group on forests, conservation, land use, and livelihoods. Members have the same objectives as USAID IFACS: achieving forest and biodiversity conservation, strengthening governance, and improving local welfare. MSF members come from local government agencies, non-governmental organizations, cultural or religious organizations, private sector, universities, media, and local communities.

In all districts USAID IFACS working in, USAID IFACS develop new or strengthen the existing MSF. USAID IFACS see MSF as a precondition for improved governance. This is because strong MSF will bring strengthened voice, better informed plans, strengthened capacity of citizens and governments, better understanding, enhanced transparency and

accountability, and strengthened participation in the districts. MSF can provide input and watch what the government is doing. This encourages government processes and policies to consider a wide range of interests, not only those of a small dominant elite. As residents, MSF members want what is best for their area and have an interest in its future. This ensures relevance and builds local ownership over activities, which is essential if efforts are to continue beyond the life of the project.

USAID IFACS support to MSF is designed to strengthen members' voice and influence in their district. MSF receive training in conservation techniques, GIS (Geographical Information System), and communication strategies. They also learn about issues related to biodiversity, forests, climate change, and government. USAID IFACS also works with the MSF to make a Landscape Conservation Plan (LCP), which maps the conservation value of an area, including its biodiversity, along with associated threats.

LCP development in synergy with SEA-LEDS initiative becoming USAID IFACS strategy in the districts to influence spatial plans leading to forest and peatland conservation, LEDES, and as a result, reducing greenhouse gas emissions. The SEA-LEDS work was based on Indonesian government regulations. While this provided an incentive for government agencies to engage, it also led to a focus more on administrative rather than ecologically-determined drivers. To compensate for this, and to broaden engagement of spatial plan discussion beyond government agencies, USAID IFACS augmented the SEA-LEDS work with facilitation of MSF to prepare Landscape Conservation Plans (LCPs) in 12 focal districts. LCPs were developed based on an ecological assessment of HCVs (High Conservation Values) in each focal district, and provide specific opportunities for refining district spatial plans to better reflect USAID IFACS conservation, LEDES and reduced GHG emissions objectives.

By the end of Program Year 2014, both the SEA-LEDS and LCP activities achieved significant results through process and product. The in-depth and year-long training courses have been delivered to 11 districts in Aceh, Kalimantan, and Papua. The process reached more than 1,500 government officials and MSF members in SEA-LEDS and/or LCP preparation. Together with previous and ongoing GIS training, this provides enabling conditions for 11 of 13 focal districts to lead in future spatial plan development and/or revisions. The products include 11 SEA-LEDS reports and 12 LCP working drafts that covering more than 3 million hectares of conservation focus areas.

As a final initiative, commenced in the final month of Program Year 4, USAID IFACS is facilitating government and MSF partners to integrate the results of the SEA-LEDS Optimal Scenario and LCP recommendations into recommendations for refining district spatial plans to clearly incorporate ambitious targets for forest and peatlands conservation, LEDES and reduced GHG emissions. Therefore, this final assessment will seek if changes have been made to district spatial plans as a result of SEA-LEDS and LCP intervention.

### **Improved Forest Management through Best Management Practices (BMPs) Initiative**

In the context of forest management in Indonesia, it is well recognized that millions of hectares of Indonesian forests are inside concessions, for timber, industrial plantations or mining. Although these businesses generate revenue for the economy now, the destruction of forest has serious consequences for environmental and socio-economic sustainability, as well as impacting climate change. Bearing this in mind, USAID IFACS is then helping businesses to apply Best Management Practices (BMPs) which is critical for forest and biodiversity conservation.

The project activities to promote the use of BMPs include broad training in conservation BMPs for stakeholders, both at site specific levels and at the landscape scale. Further, there is a specific focus to provide more directed training and capacity building on BMPs to large private companies, especially natural resource concessionaires; smaller companies and SMEs; and local communities.

To date the Project has a partner portfolio of some 15 large companies, mostly natural forest concessionaires (HPHs), but also including an Ecosystem Restoration Concession, Mining Concession, and Palm oil Concession, that it is working with to build their capacity to plan and implement BMPs. Most of these are located in Central and Western Kalimantan. These partners have committed to this working relationship by signing MoUs with the Project. In the case of the HPHs, the project has partnered with the Tropical Forest Foundation (TFF), which is providing to them an aspect of BMP training, namely reduced impact logging (RIL). The Project has a small group of BMP trainers and advisors who are working with its partner companies. This team provides training on BMPs based on the USAID 2009 BMP Guides developed for orang-utan for the four natural resource concession sector types: natural forests, industrial timber plantations, palm oil and mining. The focus in these natural resource concessions is to provide training on BMPs, identify the High Conservation Values (HCVs) numbers 1 to 6 (as described in [www.fscus.org/standards\\_criteria/standards\\_revision\\_process.php](http://www.fscus.org/standards_criteria/standards_revision_process.php)) in these concessions and then assist concession staff develop Conservation Management and Monitoring Plans (CMMPs). These plans in natural resource concessions will meet most requirements of FSC with the possible exception of some issues dealing with land tenure, indigenous people rights and downstream impacts on communities. Management of HCVs will maintain biodiversity, key habitats, ecosystems, areas needed by local communities, environmental services, and important cultural areas and objects. Developing Conservation Management Plan for conservation best management practices is an essential tool to seek the better ways to design, manage, and measure the impacts of their conservation actions (RIL, HCVF, better management, and certification process).

By the end of Program Year 2014, USAID IFACS has produced seven (7) CMMP documents whereas the companies are encouraged to incorporate the CMMP into their Standard Operating Procedures (SOP). Recent monitoring done internally for few companies found various degree of CMMP implementation due to various internal and external factors. It is therefore this final assessment is expected to provide a better understanding if CMMPs effectively guiding the management and monitoring of HCV areas in USAID IFACS supported concessions, and if businesses benefit from BMPs as to make them stay competitive and sustainable.

The Project also works with local communities to promote and implement BMPs to manage forest adjacent to their settlement area. According to Indonesia statistical data 18.46 million (63.43%) of 29.13 million poor people are living inside or around forest area. In addition, 27% of villages in Indonesia are adjacent to forest. Many of these poor people cut down trees because the need to make a living. Some clear forestland so they can grow more crops. Others illegally cut down trees and sell the timber for cash. Or sometimes people clear land simply to stake their claim over it.

Having that situation, USAID IFACS introduced a concept called Community Conservation Livelihood Agreement or CCLA. The Project defines CCLA as a voluntary commitment of the community to enhance conservation and sustainable use of natural resources, thus safeguarding future low-emission livelihoods. Through the process of developing agreements, communities are engaged by the project and their awareness about sustainable natural resources management and the need for conservation increased. Commitments for conservation and reduction of the threats that cause deforestation or forest degradation contribute to a reduction in greenhouse gas emissions.

A CCLA consists of a statement of commitment from a community to manage natural resources or forests sustainably and locally agreed regulations about what is and is not allowed in the forest landscape impacted by the village. A CCLA is equipped by a map that depict area whereas agreed upon by community to be preserved. A community-based monitoring system is established as part of the CCLA development to ensure and verify compliance of the agreement (and used to measure the scale forest conservation and

sustainable management and GHG emission reductions). As a consequence of this commitment, USAID IFACS then helps local communities to find ways to make a good living without harming the forest or biodiversity.

New or improved livelihood strategies are rolled-out across some CCLA villages. These include improve cacao productivity through land intensification, planting rubbers in already degraded areas, increase incomes through intensification organic farming, increase value added of coconut oil, facilitating access to finance and markets. Trainings reached more than 8,000 farmers across USAID IFACS landscapes that covers Good Agricultural Practices (GAP) and Good Environmental Practices (GEP). This is not to mention other trainings such as business management, financial management, organizational management, etc. At the end, the Project is expected that communities that enter into a CCLA will have greater resilience and ability to adapt to climate change as well as improved skills to mitigate against it.

By October 2014, a hundred and ninety (190) villages have enter into CCLAs. This number is beyond initial target of 160 villages and it is likely to increase as many villages are still attracted to it. Interestingly, not all out of 190 villages enter into commitments are provided with livelihood programs as an incentive. For those provided, more than 4,000 people are recorded as continuing receive economic benefits from low-emission livelihood activities. This situation then challenge the Project with development question: are or are not economic benefits sufficiently incentivizing those beneficiaries to minimize their encroachment of forests?

A Results Framework that clearly demonstrates causality and the logical linkages between USAID IFACS various interventions is presented below.

## Greenhouse Gas Emissions from Improved Land use Practices (Forest Degradation and Loss) Within Targeted Landscapes

1] Quantity of CO<sub>2</sub> emission benefits per annum from improved forest management, improved forest protection, and afforestation

*Forest Governance, Participation, Transparency*

*Forest Management Improved*

- 2] # of districts with draft Spatial Plans incorporating recommendations from SEA
- 3] Percentage of people with increase capacity to apply spatial planning

- 4] # of beneficiaries receiving economic benefits from LEDS activities
- 5] # of hectares under improved sustainable natural resources management
- 6] Number of villages with increased capacity to adapt to the impacts of climate variability and change.

7] Amount of investment leveraged in USD from private and public sources for climate change, conservation, and spatial planning

8] Percentage increase in recognition and understanding of major conservation, forestry and climate issues by government, stakeholders and local communities in targeted landscapes

Structures to improve governance in place

Capacity to develop, implement, and monitor SEA and spatial planning increased

Government's ability to manage forest areas increased

Private sector's ability to implement best management practices increased

Communities' ability to positively influence natural resource conservation increased

9] Number of multi-stakeholder fora (MSF) operational

10] Number of SDIs with increase capacity to collect, analyze, and report valid data

12] # of regulations and plans promoting sustainable natural resources management developed

13] Number of private sector entities (concessionaries) that implement CMMP

14] Number of CCLAs signed

15] Number of people exposed to USAID IFACS supported information on forest and land use based

11] Number of districts with an operational monitoring system in place

16] Number of people receiving USG supported training in NRM and/or biodiversity

# ANNEX 2: OUTPUT 1 FINAL IMPACT ASSESSMENT PLAN

## INDONESIA FOREST AND CLIMATE SUPPORT

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January 27, 2015

Document prepared by the Impact Assessment Team and the USAID IFACS M&E Specialist

### **Introduction**

The USAID IFACS (2014) *Scope of Works* for the final impact assessment of the USAID IFACS project states that this evaluation is required to identify successes and impacts that USAID IFACS has made over the life of the project. Results from the final assessment will be shared during USAID IFACS lessons learned and closeout workshops at the landscape and national levels<sup>27</sup>. Results will also inform start-up for the USAID IFACS follow-on LESTARI project. Furthermore it goes on to outline the framework for the key evaluation questions, suggested methods, the makeup of the Final Impact Assessment Team, key informants and the deliverables. This document is the first deliverable, the Work Plan and Evaluation Design.

This document does not intend to duplicate what is in the *Scope of Work*, instead it adds to it. This document:

1. outlines a description of what is to be evaluated in the form of a programme theory context, which will then inform final analysis of the findings;
2. develops the key evaluation questions, reiterate the methods; and
3. outlines a summary work schedule.
- 4.

In preparing this evaluation plan the following theoretical positions and methods have influenced its design:

1. **Utilisation Focus:** During initial discussions with USAID and USAID IFACS staff it was clear that the main purpose for this evaluation was to identify lessons for implementation of the follow-on LESTARI and other similar projects. Hence the question from Realistic Evaluation of what works for whom in which circumstances and why or why not, and its converse, what doesn't work<sup>28</sup> is used. Also included are components of participatory approaches to facilitate learning.

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<sup>27</sup> The USAID IFACS *Scope of Work* document for this evaluation will be forwarded with this plan

<sup>28</sup> [http://betterevaluation.org/approach/realist\\_evaluation](http://betterevaluation.org/approach/realist_evaluation)

2. Contribution Analysis: It was suggested by USAID IFACS that a contribution analysis approach, as described by John Mayne<sup>29</sup>, be used. This analysis provides a way of assessing impact in complex projects where experimental design is not appropriate. A compounding factor in this instance is the lack of or little baseline data.
3. ORID<sup>30</sup>- Having Focused Conversations: Most of the interviews being used in this process are utilising a semi-structured interview format. In order to obtain some consistency across a wide range of topics an ORID (objective – reflective-interpretive – decisional) sequencing of questions will be used. By using this sequence the quality of respondent interpretations and suggestions for change are likely to be more balanced and thoughtful. It is a strategy to avoid just picking-up on what people are most passionate about.
4. Ethical Considerations for Interviewing: The core ethics principles for interviewing germane to this work are:
  - a. Having full consent of the person or people being interviewed
  - b. Protecting the privacy and confidentiality of all being interviewed
  - c. Ensuring the interviewer does not interject their views into the interview and interview records
  - d. Ensuring a summary report in Bahasa is returned to each person who contributes to the interview
  - e. Compensating for expenses incurred in the interview

USAID IFACS has drawn together a team of four people including one expatriate and three Indonesians to do this evaluation with expertise in:

- Impact evaluation
- Spatial planning/Strategic Environmental Assessment specialist
- Forest management specialist
- Community resilience and climate change adaptation specialist

In order to collect information, the Impact Assessment Team will be visiting the following focal districts in USAID IFACS four landscapes representing each main island:

One of the strategies for answering the questions is to undertake field trips:

- In West Kalimantan the districts of Kayong Utara and Ketapang
- In Central Kalimantan the districts of Palangka Raya , Pulang Pisau, Katingan and Kapuas (the latter is for comparison in a non-intervention district for SEA works)
- In Aceh, the district of Gayo Lues
- In Papua, the district of Mimika

### ***Program Theory***

A program theory is usually done when a project or program is first designed. It is a hypothesis of how change will occur linking project inputs to the final results without assumed great leaps. It can then be used to monitor progress throughout its delivery and form a framework for evaluation. The successful development and use of a program theory<sup>31</sup> requires three significant pieces of information. Firstly, an understanding of the problem the intervention is

<sup>29</sup> [http://www.cgjar-ilac.org/files/ILAC\\_Brief16\\_Contribution\\_Analysis\\_0.pdf](http://www.cgjar-ilac.org/files/ILAC_Brief16_Contribution_Analysis_0.pdf)

<sup>30</sup> Brian Stanfield R, (2008) *The Art of Focused Conversation. 100 ways to Access Group Wisdom in the Workplace*. Canadian Institute for Cultural Affairs.

<sup>31</sup> Funnell, S & PJ Rogers (2011) *Purposeful program theory: effective use of theories of change and logic models*, Jossey-Bass

endeavouring to address, secondly what success for the intervention looks like and thirdly an examination of how these first two components are connected to the actions of the intervention. This is typically done in the form of a project logic model. The role of contribution analysis is therefore to substantiate or refute this theory based on evidence. In the *Scope of Work* there is an initial results framework that was designed to describe the project as it was then understood and to demonstrate where performance indicators would be used. This was used to help develop the logic model shown later in this section.

### ***The Problem Being Addressed***

The first step for the Impact Assessment Team is to understand the problem being addressed. In this instance the problem is well laid out in the *Scope of Work*.

#### ***a. What success looks like***

This is a detailed statement of what will be different if a project is successful that is done at the beginning of a project. It is the helicopter view of what is likely to be observed as a result of an intervention. In a final impact assessment this description would be checked as it should cover everything from the higher goals to what people are doing differently and inputs used. The documents reviewed by the Impact Assessment Team collectively contain most of this information but because of the evolutionary nature of this project, describing what success looks like kept changing although the focus on the higher goals was retained throughout the life of the project.

#### ***b. The Logic Model***

This draft logic model (on the next page) will be the framework around which evidence is gathered during this evaluation. The model is focused on the four main tools utilised by USAID IFACS (Multi-Stakeholder Fora (MSF), Strategic Environmental Assessments/Low Emission Development Strategies (SEA-LEDS), Conservation Management and Monitoring Plans (CMMP) and Community Conservation Livelihood Agreements (CCLA)) to achieve its goals. This model, which connects inputs with final achievements, at this point in time, represents a theory of causal change. The evaluation will seek to make it less theoretical endeavouring to explain gaps where assumptions currently exist. Essentially it is a series of if/then statements - if this is achieved then that will happen. It will be used as a means of collecting and synthesising evidence, both qualitative and quantitative and is diagrammatically presented on the next page. The boxes in the diagram typically answer the 'how many' question but the explanation between the boxes is the causal evidence explaining 'why and why not'. It does not represent all the work of USAID IFACS

## Outline of the USAID IFACS Logic Model

	MSF	SEA-LEDS	CMMPs	CCLAs and Livelihoods
Final Result Against higher levels goals	<p>6 million tCO<sub>2</sub> reduced or sequestered through natural resource governance and forest management leading to reductions in deforestation and degradation in USAID IFACS landscapes</p> <p>3.0 m hectares of natural tropical forest and peatlands, at least 1.7 million of which is priority orang-utan habitat, under improved management by the private sector</p> <p>Economic benefits to the communities (12,000 forest dependent beneficiaries receiving economic benefits from LED activities with the IFAC landscapes)</p>			
Intermediate Result	<p>Strengthened Multi-Stakeholder landscape planning and monitoring for balanced conservation and development at the district (or landscape) level</p>	<p>Improved governance and land management</p> <p>Licenses that ensure a conservation/GHG approach issued.</p> <p>Effective enforcement</p> <p>Reduced encroachment and forest fires</p> <p>Incorporation into district medium-term 5yr action plans (e.g Sarmi)</p>	<p>Improved environmental management of land in the concessions for forestry, mining and plantations.</p>	<p>GAP (Good Agricultural Practices) and GEP (Good Environmental Practices) resulting in increased productivity and reduced emissions</p> <p>Economic and other benefits, including increased resilience to climate change, to the community</p> <p>Community commitments to HCV forest conservation</p>
Immediate result	<p>Increased transparency and accountability in spatial plans</p> <p>A stronger relationship between local government and the district's people</p>	<p>Districts with Spatial Plans incorporating SEA-LEDS recommendations</p> <p>(12 draft plans is the indicator) – include 2 consultations with the local people</p>	<p>CMMPs prepared, implemented and are valued by the private sector</p>	<p>Community product value-chain improvement including access to markets</p> <p>Community commitments to conservation of HCV forest</p> <p>Implementation of Community Resilience Action Plan funded by the Government</p>
Practice Change – what people (external to USAID IFACS) do differently	<p>Input into the spatial plans and other government documents (SEA-LEDS; budgets; development plans) based on the identification of high value conservation priorities / Land Conservation Plans</p> <p>Increased local participation in decision making</p>	<p>SEAs and LEDS developed that are locally appropriate and improved by the application of skills learnt through the USAID IFACS lead or sponsored training.</p>	<p>CMMPs prepared by the private sector that include Best Management Practices for the environment</p>	<p>Villages get together to consider environmental issues and impacts, consequently developing options for the future</p> <p>Emergence of local leadership in land management at village level</p>

	MSF	SEA-LEDS	CMMPs	CCLAs and Livelihoods
The people who use USAID IFACS products and services	MSF membership	Local Government (SEA-LEDS people); focal district SEA-LEDS Drafting Team	Forest concessionaires; Palm oil companies; mining companies	Villages and NGOs
The tangible products and services USAID IFACS produced	USAID IFACS facilitates: Facilitates development of MSF Provides training and support Supports implementation	Either USAID IFACS or people subcontracted by USAID IFACS: Deliver training in GIS, sustainable development and/or consultation processes Hold focus group discussions	USAID IFACS and/or subcontractors undertake: CMMP preparation Conservation training RIL training	Grants to communities Market Access/ Value chain support subcontracted out for provision  Facilitate grantee delivering training in sustainable farming
USAID IFACS actions	Initial contract SOW <sup>32</sup> and Mod #8 revised SOW	Initial contract SOW and Mod #8 revised SOW	Initial contract SOW and Mod #8 revised SOW	Initial contract SOW and Mod #8 revised SOW
Inputs General	USAID financial resources Knowledge of previous work Central GOI policy, legislation and regulation			

<sup>32</sup> Sow –Scope of Work

### **Key Evaluation Questions**

USAID IFACS presents a contextually complex project where the same outcomes are not necessarily guaranteed in each district, province or landscape. It is also complicated by having a varied service delivery and a range of factors interacting at any one time, often beyond the control of the USAID IFACS team. The pathways to final impact and contribution to the project's higher goals will depend on many local as well as national drivers of change. The following suite of questions are intended for use in all interviews although the interview schedules for either individuals or groups will vary accordingly and be semi-structured so that contextual differences can be accommodated.

The questions:

- are focused on four tools that USAID IFACS has used through its strategic interventions and not on other aspects of the project's work. These tools are:
  - Multi-Stakeholder Fora;
  - Strategic Environmental Assessments and Low Emission Development Strategies;
  - Conservation Management and Monitoring Plans; and
  - Community Conservation and Livelihood Agreements (CCLA), and livelihood development.
- have been deliberately designed to:
  - identify positive and negative impacts, planned and unplanned impacts and
  - explore explanations of why things happened the way they did; and
  - elicit lessons for the future
- are not designed to undertake a thorough analysis of contextual factors except where these impact directly on the project. Time and resources do not allow for this analysis; and
- efforts will be made to make comparisons between intervention and non-intervention areas but the practicality of doing so within the resource constraints may prove too challenging.

As well as asking specific questions during the interviews in Jakarta, Bogor and the field trips, effort will be made to collect first-person stories of significant change (or failure). This is part of the Most Significant Change method and while these stories give strong clues to causal mechanisms they could also be the first step as a new monitoring tool for future work<sup>33</sup>.

#### **a. Multi-Stakeholder Fora (MSF)**

MSF have been a major vehicle for USAID IFACS to involve the local stakeholders in the landscape in the decisions that impact on their lives.

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<sup>33</sup> [http://betterevaluation.org/resources/guides/most\\_significant\\_change](http://betterevaluation.org/resources/guides/most_significant_change)

Key Evaluation Questions	Evidence Source
<p><i>Have MSF made a difference and in what way?</i></p> <p>Topics to be covered include the following:</p> <ul style="list-style-type: none"> <li>• The ways in which MSF have made a difference in the landscape focal districts.</li> <li>• The impact of the MSF and LCPs on spatial plans</li> <li>• Besides spatial plans, what other impacts have the MSF had on local environmental governance (conservation, LEDS and reduced GHG emissions). For example any: <ul style="list-style-type: none"> <li>○ negative impacts</li> <li>○ unexpected impacts</li> <li>○ leverage for projects on climate change</li> <li>○ bridging function between sectors, within sectors</li> <li>○ dialogue that ignores hierarchy</li> <li>○ synergies</li> <li>○ support for implementation</li> <li>○ other</li> </ul> </li> </ul>	<p>Existing evidence:</p> <ul style="list-style-type: none"> <li>• Performance indicators</li> <li>• USAID IFACS reports</li> <li>• Past evaluation and performance assessments</li> </ul> <p>Semi-structured interviews in the central agencies and the field</p> <p>Group work with USAID IFACS staff in Jakarta and the field</p>
<p><i>How and why has the tool made a difference?</i></p> <p>Topics to be covered include the following:</p> <ul style="list-style-type: none"> <li>• The membership and selection of each forum, and method of operating</li> <li>• Ways of working that worked and ways that didn't – and why</li> <li>• What MSF might do differently if they had their time over again</li> <li>• The extent USAID IFACS has been effective and efficient in supporting MSF</li> <li>• Identification of any general principles for operating MSF</li> </ul>	
<p><i>Will the tool continue to work and work elsewhere?</i></p> <p>The topics to be covered include the following:</p> <ul style="list-style-type: none"> <li>• The role of USAID IFACS in MSF and the consequences of their intervention (positive and negative)</li> <li>• The likelihood of MSF continuing beyond the life of USAID IFACS</li> <li>• Future resourcing issues</li> <li>• Principles for that might be applied in other districts</li> </ul>	

***b. Strategic Environmental Assessments /Low Emission Development Strategies (SEA-LEDS)***

USAID IFACS have supported and promoted the development of SEA-LEDS for inclusion in spatial plans in all districts it worked in.

Key Evaluation Questions and Topics	Evidence sources
<p><i>What difference has the SEA-LEDS made to spatial plans and as a consequence what has happened in the landscapes?</i></p> <p>Topics to be covered include the following:</p> <ul style="list-style-type: none"> <li>• The range of impacts (positive and negative) the utilisation of SEA-LEDS has had on: <ul style="list-style-type: none"> <li>○ draft and final spatial plans;</li> <li>○ the focal districts in the landscape;</li> <li>○ permit issuance for mining, plantations, and so on;</li> </ul> </li> </ul>	<p>Existing evidence:</p> <ul style="list-style-type: none"> <li>• Performance indicators</li> <li>• USAID IFACS reports</li> <li>• Past evaluation and performance assessments</li> <li>• Spatial Plans</li> <li>• SEAs of Katingan and of Palangka Raya written prior to</li> </ul>

Key Evaluation Questions and Topics	Evidence sources
<ul style="list-style-type: none"> <li>○ specific allocation of land for local people;</li> <li>○ bridge building from the consultation processes; and</li> <li>○ other impacts not covered by the above</li> <li>● The utilisation of spatial plans (that include SEA-LEDS) and the subsequent consequences of utilisation</li> <li>● The difference between districts that have and have not introduced SEA-LEDS (Note: This is the comparative evaluation questions to be investigated in Kalimantan.)</li> <li>● The reflection of the local peoples' aspirations in spatial plans and the evidence that supports this</li> <li>● The role, past or potential, of the private sector</li> </ul>	<p>USAID IFACS participation</p> <p>Semi-structured interviews in the field with SEA-LEDS technical teams:</p> <ol style="list-style-type: none"> <li>1. Officials of land-based sectors such as plantation, agriculture, transmigration.</li> <li>2. The local NGO participating in the KLHS.</li> <li>3. Officials of Bappeda</li> <li>4. Kapuas District for comparison.</li> </ol>
<p><i>How and why have SEA-LEDS made a difference?</i></p> <p>Topics to be covered include the following:</p> <ul style="list-style-type: none"> <li>● Identification of where SEA-LEDS worked well in delivering results, in what circumstances, and why (and the where did these NOT work so well, in what circumstances and why).</li> <li>● Obstacles in: <ul style="list-style-type: none"> <li>○ Incorporating SEA-LEDS into spatial plans</li> <li>○ Implementing spatial plans incorporating SEA-LEDS.</li> </ul> </li> <li>● Comment of the resource level for implementation</li> <li>● The extent of USAID IFACS effectiveness and efficiency in supporting SEA-LEDS</li> </ul>	<p>Group work with USAID IFACS staff in Jakarta and the field</p>
<p><i>Will the SEA-LEDS continue to make a significant contribution in the future work and work elsewhere?</i></p> <p>Topics to be covered include the following:</p> <ul style="list-style-type: none"> <li>● The role of USAID IFACS in spatial plans and the consequences of their specific interventions (positive and negative).</li> <li>● Options for improving the tools to ensure a more positive impact on land use systems</li> <li>● How the use of SEA-LEDS might be changed or maintained in the future</li> <li>● The main lessons to emerge from this process to date</li> <li>● Advice to other areas about incorporating SEA-LEDS into Spatial Plans</li> </ul>	

### **c. Conservation Monitoring and Management Plans (CMMP)**

This is primarily the domain of the private sector and, in total, 15 concessions have entered into a CMMP. 14 have been in Kalimantan and 1 in Papua. This tool is designed to address the role of this sector in environmental management and conservation.

Key Evaluation Questions	Evidence Sources
<p><i>Have CMMPs made a contribution to USAID IFACS landscapes?</i></p> <p>Topics to include the following:</p> <ul style="list-style-type: none"> <li>● The effectiveness of CMMPs on best management practices on sustainable forest management</li> <li>● The effectiveness of CMMPs guiding management and monitoring of HCV areas in USAID IFACS supported concessions – or not.</li> <li>● The direct impacts (positive and negative) of implementing CMMPs, for example, on prices</li> <li>● The relationship between more intensive agriculture on conservation (if applicable)</li> <li>● The nature and consequences of corporate responsibility experienced in the USAID IFACS project</li> </ul>	<p>Existing evidence:</p> <ul style="list-style-type: none"> <li>- CMMP documents</li> <li>- RIL report</li> <li>- Performance indicators</li> <li>- USAID IFACS reports</li> </ul> <p>Semi-structured interviews in the field with:</p> <ul style="list-style-type: none"> <li>- Representatives of forest concessions</li> <li>- Provincial/District Forest Services</li> </ul>

Key Evaluation Questions	Evidence Sources
<p><i>How and why have CMMPs made a difference?</i></p> <p>Topics to be covered include the following:</p> <ul style="list-style-type: none"> <li>• The budgetary implications of CMMPs introduced in forest commissions.</li> <li>• Identification of what worked, what didn't work, in which circumstances, why and why not</li> <li>• Challenges of engagement</li> <li>• The role and results of certification</li> </ul>	<p>Semi-structured interviews in in Jakarta/Bogor:</p> <ul style="list-style-type: none"> <li>- USAID IFACS USAID Jakarta</li> <li>- Ministry of Forestry (Bina Usaha Kehutanan)</li> <li>- Remark Asia</li> <li>- Daemeter</li> <li>- TFF</li> <li>- ZSL</li> </ul>
<p><i>Will CMMPs continue to work and work elsewhere?</i></p> <p>Topics to be covered the following:</p> <ul style="list-style-type: none"> <li>• Ways in which forest governance can be improved in the future through the use of CMMP</li> <li>• If yes, what needs to be done to ensure the greater development, implementation of CMMPs</li> <li>• If no, why and there any options for changing this view</li> <li>• The protected areas not covered in this project – should CMMPs change in the future and what would this mean for design</li> <li>• The role of USAID IFACS in CMMP and the consequences (positive and negative)</li> </ul>	<p>Group work with USAID IFACS staff in the field and USAID IFACS USAID Regional Office</p>

#### **d. Community Conservation Livelihood Agreements (CCLA)**

23 NGOs, 3 subcontractors, 3 MSF (in Aceh) have entered into CCLAs and numerous villages have been covered.

Key Evaluation Questions	Evidence Source
<p><i>Have CCLAs made a difference?</i></p> <p>Topics to be covered include the following:</p> <ul style="list-style-type: none"> <li>• To what extent have the CCLAs been implemented and resources provided for such implementation?</li> <li>• The economic or other benefits have flowed from this implementation</li> <li>• The impact of intensifying agriculture on conservation</li> <li>• Changes in income at the village level</li> <li>• Community response to climate change</li> <li>• Improved dialogue between villages and other institutions</li> <li>• The motivation of village people to lead and act</li> <li>• Inclusiveness of women's voices in the agreement issue and the impact of this</li> </ul>	<p>Existing evidence:</p> <ul style="list-style-type: none"> <li>• Performance indicators</li> <li>• USAID IFACS reports</li> <li>• Past evaluation and performance assessments</li> <li>• Key Documents reviewed <ul style="list-style-type: none"> <li>○ USAID Agreement/contract</li> <li>○ CCLA document Aceh province, central and west Kalimantan and Papua.</li> <li>○ Annual target village report</li> </ul> </li> </ul> <p>Semi-structured interviews:</p> <p><u>In a sample of villages where CCLA exist:</u></p> <ul style="list-style-type: none"> <li>• Heads of villages</li> <li>• Community/customary /religious leaders</li> <li>• Technical team/Members of CCLA</li> <li>• Facilitator/grantees IFAC-USAID Jakarta</li> </ul>
<p><i>How and why has the tool made a difference?</i></p> <p>Topics to be covered include the following:</p> <ul style="list-style-type: none"> <li>• The main aspects required to make agreement work in village level, issues covered in agreement and the processes in developing agreement</li> <li>• Leadership in community village</li> <li>• What worked well (and not so well) <ul style="list-style-type: none"> <li>○ USAID IFACS – CCLA</li> <li>○ CCLA – Implementation in the community</li> </ul> </li> <li>• Identification of what should be done differently if USAID IFACS were to do more of this work</li> <li>• The extent USAID IFACS has be effective and efficient in</li> </ul>	<ul style="list-style-type: none"> <li>• USAID IFACS-USAID staffs</li> <li>• FIELD</li> <li>• Yayasan Sahabat Cipta</li> <li>• PT Hydro</li> <li>• TFCA-Kalimantan</li> </ul>

Key Evaluation Questions	Evidence Source
<p>supporting CCLAs, and what messages (positive and negative) can this evaluation take back to them</p> <ul style="list-style-type: none"> <li>• If they had their time over again would they do anything differently</li> <li>• What villages believe are the general principles that work in CCLAs</li> </ul>	<p><u>Government Partners in national level</u></p> <ul style="list-style-type: none"> <li>• Ministry of Environment and Forestry</li> <li>• Bappenas (the Ministry of National Development Planning - because of its coordination of international development)</li> <li>• Coordinating Ministries of Human Development (Menko Pembangunan Manusia) as Executing Agency</li> </ul>
<p><i>Will the tool continue to work and work elsewhere?</i></p> <p>Topics to be covered include:</p> <ul style="list-style-type: none"> <li>• Maintenance Sustainability of CCLA activities after project support (donor) leave</li> <li>• Should CCLAs be used in the future in this area? In other areas?</li> <li>• What needs to happen to make CCLAs work without external support, including the principles?</li> <li>• If no, the reasons for this and exploration of these views.</li> </ul>	

### Summary Work Schedule

The dates given in this table are approximate and dependent on scheduling of travel and the availability of key informants. Any variation will be minor.

Date	Key Activities
Jan 26/Jan 31	<p>Interviews in Jakarta and Bogor, including with USAID IFACS staff and those external to USAID IFACS.</p> <ul style="list-style-type: none"> <li>• This will also include a half-day workshop with USAID IFACS staff to seek their views on the project to date.</li> </ul>
Feb 2/Feb 7	<p>Field trip West Kalimantan (Note all field trips will include a 2 hour workshop from USAID IFACS field staff at the beginning of the visit to seek their initial views and secondly, a workshop at the end of the field trip to debrief)</p>
Feb 9/Feb 14	<p>Field trip Central Kalimantan</p>
Feb 16/Feb 21	<p>Field trips to Aceh and Papua</p>
Feb 23/March 7	<p>Evidence synthesis and draft preparation:</p> <ul style="list-style-type: none"> <li>• A workshop will be held with USAID IFACS staff to seek their views of the synthesis of evidence</li> <li>• An oral briefing to be presented to USAID/USAID IFACS</li> </ul>
March 14	<p>Release of Draft for a week of comment The Impact Assessment Team leader will return to Australia this week.</p>
March 21/March 28	<p>Preparation of the final report</p>

# ANNEX 3: KEY INFORMANTS INTERVIEWED

## JAKARTA AND BOGOR

Name	Position	Agency
Ekaputri, Erlinda	M & E Specialist	USAID IFACS
Endrawati	Expert	YIPD Papua
Ermayanti	Database Advisor	Forum Orangutan Indonesia (FORINA)
Hadiperkasa, Joki	Environmental Staff	Remark Asia
Idris, Nassat D.	Climate Change and Forestry Specialist Environment Office	USAID INDONESIA
Jaax, Ross	Private Sector Coordinator	USAID IFACS
Kemp, Neville	Deputy Chief of Party	USAID IFACS
Kitchener, Darrel	Forest, Biodiversity and Climate Change Advisor	USAID IFACS
Kusdijono	Community Development Specialist	USAID IFACS
Laura	ZSL Trainer	Zoological Society of London (ZSL), Bogor
Merrill, Reed	Chief of Party	USAID IFACS
Muhtaman, Dwi Rahmat	President Director	Remark Asia
Mulyadi, Rezki	Communications & Public Outreach Specialist	USAID IFACS
Neneng	Management representative and PIC for CMMP process (Jakarta)	PT. Bina Balantak Utama
Oksen, Peter	National Programme Advisor	DANIDA Environmental Support Programme
Pontius, John C.	Team Leader	FIELD-Indonesia
Prihanto, Budi	Expert	YIPD Papua
Punuh, Javelina	Institutional Development/ Governance Advisor	USAID IFACS
Putra, IB W	Certification and Environment Manager	PT. Wanasokan Hasilindo, Jakarta
Sarwoto, Kabul	Senior Governance Advisor	YIPD Aceh
Selamat, Fawziah	Communication Advisor	USAID IFACS
Setiawan, Arrie T.	Senior Consultant	PT Hydro

Name	Position	Agency
Setyoko, Heru	Knowledge Management Specialist	FIELD-Indonesia
Streed, Erik	Senior Forestry Advisor	USAID INDONESIA
Suhadi , Dollaris R.	Executive Director	Yayasan Sahabat Cipta
Suparna, Nana	Forestry, Private SectorTrade and Finance	Forum Orangutan Indonesia (FORINA), Bogor
Susi Rosdianasari, Eko	Senior Program Manager	YIPD Aceh
Susilo, Ign Herry	Chairman	Forum Orangutan Indonesia (FORINA), Bogor
Utami, Sri Suci	Orangutan Advisor	Forum Orangutan Indonesia (FORINA), Bogor
Wells, Philip	Director of Spatial Planning and GIS/RS	Daemeter Consulting, Bogor
Wibowo, Prianto	BMP Specialist	USAID IFACS
Wid, Agus	Expert	YIPD Papua
Wiratno	Director	Ministry of Environment and Forestry
Yunianto, Fajar T.	Head of Section	Center of International cooperation, Ministry of Environment and Forestry
Yuniawan, Haris	Management Representative	PT. Dwima Jaya Utama, Jakarta

## KETAPANG LANDSCAPE

Name	Position	Agency
Abdillah, Raden	Member/NGO K3 (Khatulistiwa Kota Kita/ <i>Khatulistiwa Our City</i> )	MSF and SEA-LEDS Technical Team of Ketapang
Abdurrahman	Farmer	Farmer Group of Harapan Sejahtera, Dusun Paya Itam, Desa Sutera, Kayong Utara
Afrianto, Agus	Member/Health Agency of Kayong Utara	MSF and SEA-LEDS Technical Team of Kayong Utara
Amad	Farmer	Farmer Group of Harapan Baru,Dusun Semunting, Desa Benawai Agung, Kayong Utara
Ambari	Farmer	Farmer Group of Harapan Baru,Dusun Semunting, Desa Benawai Agung, Kayong Utara
Apin, Petrus	Community Development Officer Landscape Ketapang	USAID IFACS
Arbain	Farmer	Farmer Group of Harapan Baru,Dusun Semunting, Desa Benawai Agung, Kayong Utara
Arief, Muhammad	MSF/Journalist	MSF Kayong Utara
Asralian	Plantation Office ( <i>Dinas Perkebunan</i> ) of Ketapang	MSF and SEA-LEDS Technical Team of Ketapang

Name	Position	Agency
Astar	Farmer	Farmer Group of Harapan Sejahtera, Dusun Paya Itam, Desa Sutera, Kayong Utara
Atok, Kristianus	Governance Specialist	USAID IFACS
Basar	Farmer	Farmer Group of Harapan Sejahtera, Dusun Paya Itam, Desa Sutera, Kayong Utara
Bibin, Matheus	Member/Dayak Customary Board ( <i>Dewan Adat Dayak</i> )	MSF and SEA-LEDS Technical Team of Kayong Utara
Bos, Pen	Farmer	Farmer Group of Harapan Baru, Dusun Semunting, Desa Benawai Agung, Kayong Utara
Bujang	Farmer	Farmer Group of Harapan Baru, Dusun Semunting, Desa Benawai Agung, Kayong Utara
Bussiri	Farmer	Farmer Group of Harapan Sejahtera, Dusun Paya Itam, Desa Sutera, Kayong Utara
Edy	Farmer	Farmer Group of Harapan Baru, Dusun Semunting, Desa Benawai Agung, Kayong Utara
Effendi	Farmer	Farmer Group of Harapan Baru, Dusun Semunting, Desa Benawai Agung, Kayong Utara
Erika	Manager of Conservation	Yayasan ASRI, Kayong Utara
Fauzi	Planning	PT. Wanasokan Hasilindo, Ketapang (Camp)
Gudag, L Sikat	MSF Chairman/Plantation Office of Ketapang	MSF and SEA-LEDS Technical Team of Ketapang
Hamid, Hildi	Bupati/Head of MSF	MSF, Kayong Utara
Hartyan, Ari	Member/Office of Culture, Tourism, Youth and Sport of Kayong Utara	MSF Kayong Utara
Hasan	Farmer	Farmer Group of Harapan Sejahtera, Dusun Paya Itam, Desa Sutera, Kayong Utara
Irtonito, Julio	Member/ Office of Environment Kayong Utara	MSF and SEA-LEDS Technical Team of Kayong Utara
Iswinanto	Private Sector Officer	USAID IFACS
Jamludin	Farmer	Farmer Group of Harapan Baru, Dusun Semunting, Desa Benawai Agung, Kayong Utara
Khoir, Abdul	Member/Journalist	MSF Kayong Utara
Kurniawanto, Adrian	Environment Manager	PT. Wanasokan Hasilindo, Ketapang (Camp)
Madi	Farmer	Farmer Group of Harapan Baru, Dusun Semunting, Desa Benawai Agung, Kayong Utara

Name	Position	Agency
Malluru	Member/Planning Agency of Ketapang	MSF and SEA-LEDS Technical Team of Ketapang
Marden	Farmer	Farmer Group of Harapan Sejahtera, Dusun Paya Itam, Desa Sutera, Kayong Utara
Matora	Farmer	Farmer Group of Harapan Sejahtera, Dusun Paya Itam, Desa Sutera, Kayong Utara
Meyrisia	Member/Staff of PT CUS (private company)	MSF Kayong Utara
Muryanto, Dodik	Member/Office of Public Work	MSF and SEA-LEDS Technical Team of Kayong Utara
Nelly, Fransiska	Member/ Plantation Office (Dinas Perkebunan) Ketapang	MSF and SEA-LEDS Technical Team of Ketapang
Nirmala, Monica R.	Executive Director	Yayasan ASRI, Kayong Utara
Noor, M	Farmer	Farmer Group of Harapan Baru, Dusun Semunting, Desa Benawai Agung, Kayong Utara
Rantan, Donatus	Deputy Regional Manager	USAID IFACS
Rosid	Farmer	Farmer Group of Harapan Sejahtera, Dusun Paya Itam, Desa Sutera, Kayong Utara
Sistanto, Nugroho W	Member/ Forestry Office Ketapang	MSF and SEA-LEDS Technical Team of Ketapang
Srikandi	Farmer	Farmer Group of Harapan Baru, Dusun Semunting, Desa Benawai Agung, Kayong Utara
Sukartia, Ignatius M.	Head of foundation	YUSABA-CKK, Ketapang
Sumroto, H	Farmer	Farmer Group of Harapan Sejahtera, Dusun Paya Itam, Desa Sutera, Kayong Utara
Suparman	Farmer	Farmer Group of Harapan Sejahtera, Dusun Paya Itam, Desa Sutera, Kayong Utara
Supianto, Agus	Member/ASRI Foundation (USAID IFACS Grantee)	MSF and SEA-LEDS Technical Team Kayong Utara
Tarmiji	Farmer	Farmer Group of Harapan Baru, Dusun Semunting, Desa Benawai Agung, Kayong Utara
Yulianto, Irwan Dwi	Member/Office of Environment	MSF and SEA-LEDS Technical Team of Ketapang
Zam Achid, Miftah	Programme Coordinator of sustainable agriculture	Yayasan ASRI, Kayong Utara

## KATINGAN LANDSCAPE

Name	Position	Agency
Kung, Darius	Member/Customary Leader of Kahayan Hilir	MSF Pulang Pisau
Ardiansyah	Head	RAPI Group in Dahian Tunggal village, Katingan district
Betlina, Setni	Chairwoman	Yayasan Citra Borneo LESTARI (YCBL), Katingan
Dambrah, Ali	Member/Assistant II of Division of Economic Development, Pulang Pisau District	MSF and SEA-LEDS Technical Team of Pulang Pisau
Habib	Head of KUBK (Kelompok Usaha Bersama)	KUBK in Kanarakan village, Palangka Raya
Hadi, Irwan	Camp Manager	PT. Graha Sentosa Permai, Katingan (Camp)
Hadipriyanto, Mohamad Anwar	Monitoring & Evaluation Coordinator	USAID IFACS
Herusly	Forestry Branch Officer	PT. Graha Sentosa Permai, Katingan, Palangka Raya
Hanggara, Ari	Member	RAPI Group in Dahian Tunggal village, Katingan district
Helmas, Alfred H	Member	RAPI Group in Tewang Darayu village, Katingan district
Holdi	Head of KUBK (Kelompok Usaha Bersama)	KUBK in Sei Gohong village, Palangka Raya
Intan	Head	Lembaga Pendidikan dan Pemberdayaan Masyarakat (elPam), Katingan
Juheri	Member/Palangka Raya Water Company	MSF and SEA-LEDS Technical Team of Palangka Raya
Karyadi	Member/Legislative (Head of Commission I)	MSF and SEA-LEDS Technical Team of Katingan
Kaspinoor	Member/Assistant II Division of Economic Development, City of Palangka Raya	MSF and SEA-LEDS Technical Team of Palangka Raya
K. Ganti, Karlin	Member/Forest Village Board ( <i>Lembaga Pengelolaan Hutan Desa Buntoi, Pulang Pisau</i> )	MSF of Pulang Pisau
K. Ratu, Ungguk	Member/Customary Leader of Jabiren Raya	MSF of Pulang Pisau
Maimunah, Siti	Member/Academist	MSF and SEA-LEDS Technical Team of Palangka Raya
Mangkin, Tommy	Secretary	KUBK in Buntoi village, Pulau Pisang district

Name	Position	Agency
Margono	Member/Religious Leader of Budha	MSF of Palangka Raya
Marsono, Mursid	Head of Environmental Agency	Central Kalimantan Province, Palangka Raya
Pagalla, Andarias	Community Development Officer	USAID IFACS
Rario, Budi	Head of Infrastructure Division	Planning Agency of Kapuas District
Rohim, Abdul	PHPL Technical/Sustainable Forest Management	PT. Graha Sentosa Permai, Katingan (Camp)
Rusdi	Social Aspect Officer	PT. Graha Sentosa Permai, Katingan (Camp)
Rusmana, Iman	Head of Monitoring and Utilization Production Forest (BP2HP)	Ministry of Environment and Forestry, Palangka Raya
Saksono, Herie	Member/Assistant III Government of Palangka Raya	MSF and SEA-LEDS Technical Team of Palangka Raya
Stephen	Treasury	KUBK in Buntoi village, Pulau Pisang district
Sukadi	Head	KUBK in Buntoi village, Pulau Pisang district
Supandi, Rusdi	Production Assistant Manager	PT. Graha Sentosa Permai, Katingan (Camp)
Supriadi, Benong	Member/Planning Agency of Katingan	MSF and SEA-LEDS Technical Team of Katingan District
Talawang	Secretary	Dahian Tunggal village, Katingan District
Wahyudi, Didit	Member/Planning Agency of Katingan	MSF and SEA-LEDS Technical Team of Katingan
Winarto, Aris Adrian	GIS/Spatial Planning Specialist	USAID IFACS
Yoyo	Head of KUBK (Kelompok Usaha Bersama)	KUBK in Sei Gohong village, Palangka Raya

## MIMIKA, PAPUA

Name	Position	Agency
Allo, Hilar Limbong	Member/Planning Agency	MSF and Technical Team of SEA-LEDS
Apoka, Vinsensus	Member/Youth Organization	MSF and District Mangrove Working Group ( <i>Kelompok Kerja Mangrove Daerah</i> )
Atame, Gerardus	Farmer	Community leader
Bert, Peter	Member/AIDS Foundation ( <i>Yayasan Peduli Aids/YAPEDA</i> )	MSF and Grantee of USAID IFACS
Burawau, Safarus	Farmer	Community leader
Edwart, Ucok Toni	Member/ Lorentz National Park	MSF and District Mangrove Working Group ( <i>Kelompok Kerja</i> )

Name	Position	Agency
		<i>Mangrove Daerah)</i>
Enakete, Robert Roy	Secretary	Pigapu Village
Haipilia, Yohanis	Farmer	Youth Organization
Haley, Adolf	Member/Head of Planning Agency	MSF and Technical Team of SEA-LEDS
Hamadi, Maryana J. E	Member/Office of forestry	MSF; Technical Team of SEA-LEDS; District Mangrove Working Group ( <i>Kelompok Kerja Mangrove Daerah</i> )
Hangendoorn, Lambertus	Director	Yayasan Yapeda (Yayasan Peduli Aids Timika)
Hewat, Robert	Jayapura Regional Advisor	USAID IFACS
Iwitiyu, John Felix	Farmer	Community leader
Kaipia, Antoneta	Farmer	Community leader in Pigapu
Kaipika, Bernardus	Farmer	Village official
Kawane, Kris	Farmer	Community leader in Pigapu
Kemaku, Fransina	Farmer	Community leader in Pigapu
Kemalen, L	Member/Religious leader	MSF
Krey, Andina A	GIS/Spatial Planning Specialist	USAID IFACS
Letsoin, Emanuel E	Member/Customary Board ( <i>Lembaga Masyarakat Adat Kamoro/LEMASKO</i> )	MSF and District Mangrove Working Group ( <i>Kelompok Kerja Mangrove Daerah</i> )
Mapareyau, Sebastian	Member/Head of Pigapu Village	District Mangrove Working Group ( <i>Kelompok Kerja Mangrove Daerah</i> )
Mitapo, Vinsensius	Member/Head of Ayuka Village	District Mangrove Working Group ( <i>Kelompok Kerja Mangrove Daerah</i> )
Muruhuwan, Yustinus	Farmer	Community
Natipea, Longginus	Farmer	Community
Rumaikewi, Joe Luis	Program Coordinator	Lembaga Pengkajian Pemberdayaan Peerempuan dan Anak Papua (LP3A-P)
Rumbiak, John	Member/ Office of Forestry	MSF
Rumaropen, Deky	Regional Manager	USAID IFACS
Sebastian	Head of village	Pigapu village, Mimika district
Setyadi, Gesang	Environment Manager	
Siahainenia, Febie L.	Member/Office of Forestry	MSF; Technical Team of SEA-LEDS; District Mangrove Working Group ( <i>Kelompok Kerja Mangrove Daerah</i> )
Sofyandy, Dendy	Asmat Deputy Regional Manager	USAID IFACS
Sulistiyawati, Rini	Communication Officer	USAID IFACS
Suryanata, Agus	Private Sector/Finance	USAID IFACS

Name	Position	Agency
Syahrial	Development Officer Chairman of MSF/Head of Forestry Office	MSF; Technical Team of SEA-LEDS; District Mangrove Working Group ( <i>Kelompok Kerja Mangrove Daerah</i> )
Tahrpau, Faustinus	Member/Public Protection	MSF
Timang, Septinus	Government staff	Planning Agency
Wahyuni, Surya	Member/Planning Agency	MSF; Technical Team of SEA-LEDS; District Mangrove Working Group ( <i>Kelompok Kerja Mangrove Daerah</i> )
Widiati, Iis Roin	Monitoring & Evaluation Coordinator	USAID IFACS
Wonatorey, Marthina	Community Development Officer	USAID IFACS

## GAYO LUES DISTRICT

Name	Position	Agency
A, Mashuri	Secretary	FMUL/MSF
A, Zulhanuddin	Head of protection section ( <i>Kasie Perlindungan</i> )	KPH
Abidin, Zainal	Head of Resort Blangkejeren ( <i>Ka Seksi Blangkejeren</i> )	TNGL (Leuser National Park Agency)
Aliasa	Head	Cocoa Farmer Group in Leume village, Gayo Lues
Angkasa, Indra	Staff	TNGL (Leuser National Park Agency)
Anhar, Alpin	Staff	YOSL-OIC (Orangutan Information Center)
Armansyah	Member of MSF/Forest Ranger, Forestry Office	FMUL/MSF
B, Kamaruddin	Head of Resort Jambur Gelo	TNGL (Leuser National Park Agency)
Belian	Secretary	Pangur village, Gayo Lues district
Edison	Member of MSF/Extension Worker of Forestry, Agriculture Extension Office of Gayo Lues	FMUL/MSF
Erwansyah	Head of Sagir Resort	TNGL (Leuser National Park Agency)
Harun	Secretary	Kendawi village, Gayo Lues District
Julaeha, Eha	Monitoring & Evaluation Coordinator	USAID IFACS

Name	Position	Agency
Krisna, Ivan	Deputy Regional Manager	USAID IFACS
Marwan	Member of MSF/Head of Environmental Religious Forum, Gayo Lues	FMUL/MSF
Mustaqim	Program Coordinator	YOSL-OIC (Orangutan Information Center)
Nando, Tisna	Communication Officer	USAID IFACS
Nasution, Dina Kartikasari	Community Development Officer	USAID IFACS
Ningsih, Yusna	Facilitator leader	FIELD Aceh
Ramadhansyah	Member	FMUL/MSF
Rapi, Mawardi	Leader	FAJEM (Water forum/One forum under MSF)
Sagala, Harlen	Forest ranger	TNGL (Leuser National Park Agency)
Sahrifin	Member	FMUL/MSF
Sahripin	Member/Journalist	FMUL/MSF
Siswanto, Ferry	Implementation team leader/Head of Environmental Office	FMUL/MSF
Thoyib	Facilitator	Yayasan Cipta Sejahtera (YCS)
Ujud, M	Member	Farmer group in Uring village, Gayo Lues
Yusnaningsih	Landscape Coordinator	FIELD-Indonesia

# ANNEX 4: DEFINITIONS

Definitions abound in evaluations and vary from organization to organization to evaluation societies. The following definitions for those terms used in this report are based of the USAID Glossary (pdf.[usaid.gov/pdf docs/PNADO820.pdf](https://pdf.usaid.gov/pdf_docs/PNADO820.pdf) ·PDF file) In some instances further comment has been made to provide extra clarity with reference to this Final Impact Assessment context.

## **Evaluability Assessment:**

A study conducted to determine a) whether the program is at a stage at which progress toward objectives is likely to be observable; b) whether and how an evaluation would be useful to program managers and/or policymakers; and c) the feasibility of conducting an evaluation.

## **Evaluation:**

A systematic and objective assessment of an ongoing or completed project, program, or policy. Evaluations are undertaken to (a) improve the performance of existing interventions or policies, (b) assess their effects and impacts, and (c) inform decisions about future programming. Evaluations are formal analytical endeavours involving systematic collection and analysis of qualitative and quantitative information.

## **Impact:**

A results or effect that is caused by or attributable to a project or program. Impact is often used to refer to higher-level effects of a program that occur in the medium or long term, and can be intended or unintended and positive or negative. *(For the purposes of this Final Impact Assessment ‘ the term ‘impact’ refers to the long term goals of the project (reduction in CO<sub>2</sub> emissions, increased economic benefits to beneficiaries, number of hectares under improved sustainable natural resource management.)*

## **Impact Evaluation:**

A systematic study of the change that can be attributed to a particular intervention, such as a project, program or policy. Impact evaluations typically involve the collection of baseline data for both an intervention group and a comparison or control group, as well as a second round of data collection after the intervention, sometimes even years later.

## **Independent Evaluation:**

An evaluation carried out by entities and persons not directly involved in the design or implementation of a project or program. It is characterized by full access to information and by full autonomy in carrying out investigations and reporting findings.

## **Logic Model:**

A logic model, often a visual representation, provides a road map showing the sequence of related events connecting the need for a planned program with the programs’ desired outcomes and results. *(It is an if-then statement outlining a sequence of consequences. Many logic models do not explicitly include people but good logic models will. For example:*

- 1. Reach: the people who use the projects outputs*
- 2. Beneficiaries: the people who gain the benefit from the program in relation to the final goals.*

3. *Partners: the people who sit around the table with the project or program team who actively plan and share resources. (Often confused with reach and beneficiaries)*

**Monitoring:**

The performance and analysis of routine measurements to detect changes in status. Monitoring is used to inform managers about the progress of an ongoing intervention or program, and to detect problems that may be able to be addressed through corrective actions.

**Outcome:**

A results or effect that is caused by or attributable to the project, program, or policy. Outcome is often used to refer to more immediate and intended effects. *(In IFACS case examples are changes in people's knowledge, awareness of climate change issues, developing plans, and so on.)*

**Outputs:**

The products, goods, and services which result from an intervention.

**Performance Indicator:**

A particular characteristic or dimension used to measure intended changes. Performance indicators are used to observe progress and to measure actual results compared to expected results.

**Target:**

The specified result(s), often expressed by a value of an indicator(s), that a project, program, or policy is intended to achieve.

**Target Group:**

The specific individuals, groups, or organizations for whose benefit the intervention is undertaken. *(Sometimes called beneficiaries)*

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