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# SEEING THE FOREST FOR THE TREES

AN EVALUATION OF USAID/INDONESIA'S FOREST  
RESOURCE SUSTAINABILITY PROGRAM (FOREST)  
FINAL REPORT

**APRIL 29, 2013**

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**Cover photo:** Wehea forest, Kalimantan, Credit: Donald Bason/OCSP

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# ACRONYMS

ADB	Asian Development Bank
AGDC	Aceh Geospatial Development Center
AMAN	<i>Aliansi Masyarakat Adat Nusantara</i> (Indigenous Peoples Alliance of the Indonesian Archipelago)
AMDAL	<i>Analisis Mengenai Dampak Lingkungan</i> (Environmental Impact Analysis)
APBD	<i>Anggaran Pendapatan Belanja Daerah</i> (Regional Development Budget)
APS	Annual Program Statement
ARREST	Asia's Regional Response to Endangered Species Trafficking
AusAID	Australian Agency for International Development
Baplan	<i>Badan Planology</i> (Ministry of Forestry, Directorate General Planology)
BAPPEDA	<i>Badan Perencanaan Pembangunan Daerah</i> (Regional Development Planning Agency)
BAPPENAS	<i>Badan Perencanaan Pembangunan Nasional</i> (National Development Planning Agency)
BCN	Biodiversity Conservation Network
BIG	<i>Badan Informasi Geospasial</i> (Geospatial Information Agency)
BKPRD	<i>Balai Koordinasi Penataan Ruang Daerah</i> (Regional Agency for Coordination of Spatial Planning)
BKPRN	<i>Badan Koordinasi Penataan Ruang Nasional</i> (National Agency for Coordination of Spatial Planning)
BKSDA	<i>Balai Konservasi Sumber Daya Alam</i> (Natural Resources Conservation Agency)
BMP	Best Management Practices
BPKH	<i>Balai Pemantapan Kawasan Hutan</i> (Provincial Central Forest Office)
BSP	Biodiversity Support Program
BUMN	<i>Badan Usaha Milik Negara</i> (State Owned Business Body)
CDCS	Country Development Cooperation Strategy
CI	Conservation International
CIFOR	Center for International Forestry Research
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
CLUA	Climate and Land Use Alliance
CMMP	Conservation and Management Plan
COP	Chief of Party
COR	Contract Officer Representative
CSO	Civil Society Organization
DAD	<i>Dewan Adat Dayak</i>
DCOP	Deputy Chief of Party
DinKes	<i>Dinas Kesehatan</i> (Health Office)
DisHut	<i>Dinas Kehutanan</i> (Forestry Office)
DisHutbun	<i>Dinas Kehutanan dan Perkebunan</i> (Forestry and Plantation Office)

DFID	U.K. Department for International Development
DPRD	<i>Dewan Perwakilan Rakyat Daerah</i> (Local legislature)
DMS	Database Management System
E3	Bureau for Economic Growth, Education and Environment
EC	European Commission
EU	European Union
ESP	Environmental Services Program
FAA	Foreign Assistance Act
FAO	Food and Agriculture Organization [of the United Nations]
FFI	Fauna and Flora International
FIP	Forest Investment Plan
FMU	Forest Management Unit
FORDA	Ministry of Forestry's Research and Development Agency ( <i>Badan Penelitian dan Pengembangan Kehutanan</i> )
FOREST	Forest Resource Sustainability Program
FORPALA	<i>Forum Pala Aceh</i> (Aceh Nutmeg Forum)
FY	Fiscal Year
GCC	Global Climate Change
GDA	Global Development Alliance
GHG	Greenhouse Gas (e.g., CO <sub>2</sub> , CH <sub>4</sub> )
GIS	Geographic Information System
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
GOI	Government of Indonesia
HCVF	High Conservation Value Forest
HGU	<i>Hak Guna Usaha</i> (Business License)
HHBK	<i>Hasil Hutan Bukan Kayu</i> (Non-Wood Forest Product)
HIPKAL	Small-scale logging license
HKTI	<i>Himpunan Kerukunan Tani Indonesia</i>
HPH	<i>Hak Pengusahaan Hutan</i> (Forestry Concession)
IBSAP	Indonesian National Biodiversity Strategy and Action Plan
ICED	Indonesia Clean Energy Development Project
ICITAP	U.S. Department of Justice, International Criminal Investigative Training Assistance Program
ICRAF	International Centre for Research on Agroforestry
IFACS	Indonesia Forest and Climate Support
IFCA	International Forest Carbon
IP	Indigenous Peoples
IPCC	Intergovernmental Panel on Climate Change
IUCN	The World Conservation Union
IUWASH	Indonesian Urban Water, Sanitation, and Hygiene
JICA	Japan International Cooperation Agency
JIKA OISCA	Aceh Information Network for Enterprise Development ( <i>Jaringan Informasi Kewirausahaan Aceh</i> )
JKPP	<i>Jaringan Kerja Pemetaan Partisipatori</i> (Participatory Mapping Network)

KEHATI	<i>Yayasan Keanekaragaman Hayati Indonesia (Indonesia Biodiversity Foundation)</i>
KESRA	<i>Kementerian Koordinator\ Bidang Kesejahteraan Rakyat (Coordinating Minister of Public Welfare)</i>
KFCP	Kalimantan Forests and Climate Partnership
KLH	State Ministry of the Environment
KLHS	<i>Kajian Lingkungan Hidup Strategis (Strategic Environmental Assessment)</i>
KPH	<i>Kesatuan Pemangkuan Hutan (Forest Management Unit)</i>
KPK	<i>Komisi Pemberantasan Korupsi (Anti-Corruption Commission)</i>
LCD	Low-carbon Development
LED	Low-Emission Development
LEDS	Low-Emission Development Strategy
LGBT	Lesbian, Gay, Bisexual, Transgender
LIF	Leuser International Foundation
LinkAR - Borneo	<i>Lingkaran Advokasi dan Riset Borneo (Borneo Research and Advocacy Circle)</i>
Lol	(Norway-Indonesia) Letter of Intent [26 May 2010]
LULUCF	Land use, land-use change and forestry
MCC	Millennium Challenge Corporation
MDGs	Millennium Development Goals
MIS	Management Information System
MoF	Ministry of Forestry
MoHA	Ministry of Home Affairs
MOU	Memorandum of Understanding
MP3EI	<i>Masterplan Percepatan dan Perluasan Pembangunan Ekonomi Indonesia (The master plan for the acceleration and expansion of Indonesian economic development)</i>
MRV	Monitoring, Reporting and Verifying [GHG emissions]
MSF	Multi-Stakeholder Forum
MTE	Mid-Term Evaluation
NGO	Nongovernmental Organization
NP	National Park
NRM	Natural Resources Management
OCSP	Orangutan Conservation Services Program
OR	Overall Results
PAD	Project Approval Document
PAPA	Participating Agency Program Agreement
Perda	<i>Peraturan Daerah (Regional Rule)</i>
PES	Payment for Ecosystem Services
PGR	Partnership for Governmental Reform
PMP	Performance Monitoring Plan
PNPM	<i>Program Nasional Pemberdayaan Masyarakat (National Community Empowerment Program)</i>
PRA	Participatory Rural Appraisal
PtPPMA	<i>Perkumpulan terbatas untuk Pengkajian dan Pemberdayaan Masyarakat Adat Papua (Limited Association for the Assessment and Empowerment of the Traditional Communities of Papua)</i>

RAD GRK	<i>Rencana Aksi Daerah</i> (Provincial Action Plan for GHG Emission Reduction)
RAFT	Responsible Asia Forest Trade
RAN-GRK	<i>Rencana Aksi Nasional – Gas Rumah Kaca</i> (National Action Plan for GHG Emission Reduction)
RDMA	Regional Development Mission for Asia
RENSTRA	<i>Rencana Strategis</i> (Forestry 5-year Strategic Plan)
REDD	Reduced Emissions from Deforestation and Forest Degradation
REDD+	REDD with attention to sustainable forest management, rights and co-benefits
RFP	Request for Proposal
RIG	Regional Inspector General
RIL	Reduced Impact Logging
RPJM	<i>Rencana Pembangunan Jangka Menengah</i> (Medium Term Development Plans)
RPJMD	<i>Rencana Pembangunan Jangka Menengah - Daerah</i> (District Five Year Development Plan)
RPJP	<i>Rencana Pembangunan Jangka Panjang</i> (Twenty-Yearly Development Plans)
RTRW	<i>Rencana Tata Ruang Wilayah</i> (Regional Spatial Plans)
RTRWK	<i>Rencana Tata Ruang Wilayah Kabupaten</i> (District /City Spatial Plans)
RTRWP	<i>Rencana Tata Ruang Wilayah Propinsi</i> (Provincial Spatial Plans)
SEA	Strategic Environmental Assessment
SKPD	<i>Satuan Kerja Perangkat Daerah</i> (Work Unit of Regional Government)
SKTA	<i>Surat Keterangan Tanah Adat</i> (Traditional Land Tenure Certification)
SLP	Sustainable Landscapes Partnership
SME	Small/medium-sized business enterprise
STTA	Short-Term Technical Assistance
STRADA REDD+	Provincial REDD+ Strategy REDD+
STRANAS REDD+	National REDD+ Strategy
SVLK	<i>Standard Verifikasi Legalitas Kayu</i> (Legal Timber Verification Standard)
SWOT	Strengths, Weaknesses, Opportunities and Threats analysis
TA	Technical assistance
TFCA	Tropical Forest Conservation Action
TFF	Tropical Forest Foundation
ToT	Training of Trainers
UKCCU	United Kingdom Climate Change Unit
UKP4	<i>Unit Kerja Presiden Bidang Pengawasan dan Pengendalian Pembangunan</i> (President's Delivery Unit for Development Monitoring and Oversight)
UNDP	United Nations Development Programme
UNEP	United Nation Environment Program
UNFCCC	United Nations Framework Convention on Climate Change
UNORCID	United Nations Office for Redd+ Coordination in Indonesia
UPT	<i>Unit Pelaksana Teknis</i> (Technical Implementation Unit)
USAID	United States Agency for International Development
WWF	Worldwide Fund for Nature
YAPEDA	<i>Yayasan Peduli AIDS</i> (AIDS Concern Foundation)

YGHL

*Yayasan Gampong Hutan Lestari* (Foundation for the Sustainability of Forest Villages)

# EXECUTIVE SUMMARY

The purpose of this evaluation is to provide the United States Agency for International Development (USAID) and the Government of Indonesia (GOI) with an unbiased and transparent review of progress to date of assistance provided to Indonesia under the Forest Resource Sustainability Program (FOREST). This is to include a performance evaluation of the USAID/Indonesia Forest and Climate Support (IFACS) implementing mechanism and a strategic assessment of the FOREST Program's approach to the forest sector in Indonesia. USAID and GOI will use this evaluation in the short term to modify ongoing assistance, and in the longer term to inform strategic planning and the design of future assistance.

In October 2009, USAID authorized FOREST at an estimated funding level of \$40 million to support a five-year program of assistance. The objective of the FOREST Program is to *improve the protection and sustainable use of forest ecosystems as a vital resource upon which Indonesian people and their economy depend*. Through improved forest protections and sustainable management of forest resources, FOREST aims to reduce greenhouse gas emissions (GHG) from Indonesia's leading emissions source and increase resilience to the impacts of climate change.

The FOREST strategy is to provide technical assistance focused on four central components:

1. Land and forest resource governance reform,
2. Improved management and conservation of forest resources,
3. Private sector sustainability, and
4. Integrated climate change responses.

These components are also key elements in the GOI Roadmap for Forestry Sector Climate Change Mitigation, and the Forestry Strategic Plan 2010-2014 (RENSTRA) that were completed in 2010. The FOREST Program includes the following: IFACS as the main implementing mechanism, the U.S. Forest Service (USFS) providing training and technical support, cooperative agreements with Flora and Fauna International (FFI) and YAGASU, the Department of Justice International Criminal Investigative Training Assistance Program (ICITAP), and Conservation International (CI) for the Sustainable Landscapes Partnership (SLP).

In undertaking this Mid-Term Evaluation (MTE), evaluators reviewed relevant technical documents, contracts, and reports and interviewed over 200 people including partners, civil society, private sector, and U.S. government (USG) and GOI staff. The evaluators traveled to IFACS field sites in Papua, Sumatra, and Kalimantan; met with a wide variety of groups and individuals; and observed activities in the field. The evaluators included a team leader, a forestry and natural resources specialist (international), a sustainable forestry and climate change mitigation specialist (US national), a biodiversity conservation specialist (Indonesian), a community resilience specialist (Indonesian), a USAID/E3 representative (US national), and two USAID/Indonesia technical staff.

## IFACS MID-TERM EVALUATION

IFACS has turned around over the last year from a nearly non-performing condition to a project that is making progress, albeit slow, toward contractually agreed-upon outcomes. IFACS could be viewed as a project that is about one year into implementation due to initial and subsequent delays. IFACS faced significant challenges related to USAID and Tetra Tech contractual, administrative, management, and staffing issues during its first year. These challenges resulted in lackluster performance and a failure to achieve results. Despite ongoing recruiting challenges during the last

year, IFACS has recruited able staff and built relationships in the field and in Jakarta that will provide a strong foundation for achieving results over the remaining life of the contract. USAID and Tetra Tech have made changes that are supporting field implementation and improved contract management through a modified matrix management approach, a revised Performance Monitoring Plan (PMP) and a new Chief of Party (COP).

Despite these recent improvements, IFACS continues to struggle with:

- Lack of vision, leadership, and capacity among regional teams;
- A vast project spanning the country that is implemented by a small core of field staff, supported by subcontractors and grantees that focus on deliverables rather than nurturing partnerships;
- A contract that is constraining and prescriptive with overly ambitious goals;
- Making effective use of the landscape approach to engage with key stakeholders; and
- Coordination of FOREST projects.

The above constraints have resulted in regional teams missing strategic entry points, failing to link with key actors who could contribute to achieving project objectives and building momentum with other FOREST components in strategic landscapes. The ‘grand design’ of IFACS was developed top down. IFACS was set up to deliver a package of services to districts including spatial plans, strategic environmental assessments (SEAs) and technical trainings to support Low-Emission Development Strategy (LEDS) pathways; but in many cases the focal districts did not ask for them or have viewed IFACS as simply a support mechanism for training, equipment, and funding.

IFACS, however, has made progress on all fronts with the government, private sector, and civil society. District governments in at least three landscapes are applying forest management approaches promoted by IFACS. Private sector concessionaires have signed memoranda of understanding (MOUs) on Best Management Practices (BMPs) to improve the stewardship of high conservation value forests (HCVFs), and provided resources to support approaches to reduced impact logging and sustainable forestry. Subcontracts and grants to numerous local and international organizations have engaged local partners working with communities to implement activities in all provinces that contribute to the expected overall results for IFACS. They are especially focused on developing sustainable livelihoods designed to support LEDS.

The performance review of IFACS produced the following principal recommendations:

- Extend the contract for up to 12 months.
- Select a sub-set of focal IFACS landscapes for intensification of efforts to achieve meaningful results based on the following criteria:
  - Long-term LEDS vision of local government;
  - Competence, commitment, and joint vision of key partners and stakeholders; and
  - Opportunities for cross-institutional action and the presence of interested private sector actors.
- Redefine IFACS strategies based on realistic goals.
- Forge relationships and work strategically with key institutions for conservation, such as the Natural Resources Conservation Agency (BKSDA) and National Parks Technical Implementation Unit (UPT).
- Develop a functional electronic-based management information system (MIS).
- Revise staffing to guarantee adequate capacity in the field.
- Strengthen multi-stakeholder fora (MSFs) through a concrete action plan.

## FOREST PROGRAM AND SECTOR ASSESSMENT

The FOREST Program was developed to support the USAID/Indonesia Mission Strategy (2009-2014) following significant sector analysis, consultation with a number of GOI ministries, including the Ministry of Forestry (MoF), National Development Planning Agency (BAPPENAS), and Ministry of Home Affairs (MoHA), and with consideration of GOI presidential priorities. FOREST is also a key deliverable under the US-Indonesia Comprehensive Partnership Agreement.

At the national level, the FOREST Program supports at least two GOI priorities on reducing deforestation and biodiversity loss: 1) Indonesia's National Action Plan for GHG Emissions Reduction (RAN-GRK) targets, and 2) The MoF Program on Conservation of Biodiversity and Forest Protection included in the Strategic Plan (RENSTRA) for 2010-2014.

The FOREST assessment included an examination of external factors influencing the FOREST Program, FOREST mechanisms, GOI priorities vis-à-vis FOREST, FOREST sustainability, and approaches used for strategic engagement in the FOREST context. Finally, the evaluators made an additional effort to provide insight into potential strategic directions for USAID to inform planning for the next cycle.

Unlike the turn around observed in IFACS, other FOREST projects are experiencing major difficulties in start-up and momentum building. Weak performance by two of the FOREST mechanisms, the Cyclops Mountain cooperative agreement with FFI and the SLP with Conservation International, is hindering the overall achievement of the FOREST Program objectives. It is unclear to what extent, given the current timeline, these mechanisms will be able to deliver on expected results. As a group, the FOREST mechanisms are unable to contribute to the program objective because of a lack of integration, collaboration, and synergy.

External factors from topography to political economy have influenced FOREST to the extent that FOREST mechanisms are unable to achieve intended results. National-level coordination between GOI and FOREST is not strong because there is little agency interaction between MoF and USAID. Despite this, FOREST mechanisms are in alignment with national priorities.

FOREST implementation is based on the following strategies: a landscape approach, district-level engagement, spatial planning to promote SEA development and LEDS, private sector engagement, livelihood development, and MSF. Although the use of a landscape approach is key, FOREST mechanisms have not used it effectively. District-level engagement was found to be necessary but not sufficient to achieving FOREST objectives. Much the same could be said for FOREST work on spatial planning, which by itself is not sufficient to achieve forest protection, biodiversity conservation, or GHG emission reduction. Private sector approaches, however, have been successful in terms of both cultivating partnerships with timber concessions, and supporting smallholder and community livelihoods.

When FOREST came online in 2009, USAID did not have a gender policy. YAGASU has taken steps to integrate gender, but overall FOREST mechanisms display low staff capacity in gender issues.

Evaluators have made the following recommendations concerning FOREST:

- USAID should identify sites based on the potential of leveraging past USAID investments where USAID has a history of programs in the forest sector.
- USAID should halt the proliferation of management units in the sector to provide for sufficient oversight of existing activities and achievement of results.
- To facilitate project implementation, USAID should prioritize more effective engagement with the MoF.

- USAID/Indonesia can enhance the likelihood for sustainability from its programs by giving them the flexibility and direction to align project agendas with government, communities, and civil society.
- USAID should continue to work with district governments on forestry, biodiversity, and climate change.
- Rather than organizing a new group to create MSF, work with existing groups who already have governance structured and an interest in staying together beyond the life of the project.
- Train FOREST Program staff about the importance of integration of gender and other vulnerable groups (indigenous peoples and lesbians, gays, bisexual, and transgender [LGBT]).

Section 4 of this report presents a set of possible opportunities for future directions that USAID might take. In analyzing and planning for the post-FOREST portfolio, USAID should consider:

- Supporting creative stewardship and financing mechanisms for forest management, biodiversity conservation, and GHG emission reduction through Payment for Ecosystem Services (PES) arrangements;
- Promoting increased transparency and accountability (good governance) in natural resource decision making, particularly within the natural resource licensing system;
- Assisting forest communities to secure their rights during the forest gazettelement process; and
- Enhancing the effective management of protected areas in Indonesia.

# INTRODUCTION

## PURPOSE

This Mid-Term Evaluation (MTE) was conducted to provide USAID and the Government of Indonesia (GOI) with an unbiased and transparent review of progress to date of assistance provided to Indonesia under the five-year FOREST Program (2010-2014). It will be used by USAID and the GOI to modify ongoing development assistance in the short term, and in the longer term to inform strategic planning and the design of future assistance.

## SCOPE

The evaluation was organized around two central components: a performance evaluation of USAID/Indonesia Forest and Climate Support (IFACS); and a strategic sectoral assessment of the FOREST Program approach to supporting Indonesia's forestry sector. The IFACS evaluation examines what the project has achieved midway through the implementation period and the extent to which IFACS activities are producing intended results. It also recommends mid-course corrections, highlighting ongoing challenges and lessons learned thus far. The assessment of the FOREST Program reviews its implementation strategies and mechanisms and examines their effectiveness in achieving the overall objectives of FOREST to support sustainable management of Indonesia's forest resources, promote biodiversity conservation, and reduce greenhouse gas (GHG) emissions. The assessment will provide key inputs into USAID/Indonesia's Country Development and Cooperation Strategy (CDCS) planning process. Although significant attention has been given to both components, the evaluators focused a higher level of effort on the FOREST assessment as this is to provide a critical basis for analyzing USAID's new five-year strategy.

## AUDIENCE

The intended audience of this evaluation are FOREST program managers and decision makers within USAID (primarily at the USAID/Indonesia Mission, but also in the Asia and E3 Bureaus in Washington), and in the GOI. GOI audiences include the Ministry of Forestry (MoF); the Coordinating Ministry for Social Welfare (MenkoKesra), which is the primary contact for the overall USAID Environment program; and district offices of Planning and Development (BAPPEDAs), Forestry, Agriculture, Environment, and Infrastructure.

## EVALUATION QUESTIONS

1. **Implementation Management:** What are the strengths and weaknesses of USAID IFACS implementation management? The evaluation aims to:
  - a. Identify any particular management issues that are hindering performance and provide recommendations as to specific actions that USAID and/or IFACS implementing partners can take to address these issues.
  - b. Point out any management innovations that are particularly effective and suggest ways in which these innovations might be replicated or expanded to other landscapes/districts or components of the IFACS intervention.
2. **Results Achievement:** To what extent are USAID IFACS activities achieving intended results in accordance with annual Work Plan targets and approved Performance Management Plan (PMP) indicators? Are these results being attained within the expected timeframes? The evaluation aims to:

- a. Identify the successes and shortcomings of IFACS to date and key factors contributing to the project's ability to achieve its intended results, and provide evidence as to whether IFACS is on track to realize its overall objectives by the end of the contract period.
  - b. Examine the extent to which IFACS activities have produced tangible outcomes and whether there are measureable differences in the results achieved among the intervention components and/or landscapes, and identify key internal and external factors contributing to these differences.
3. **Partner Engagement:** How effective has USAID IFACS been at engaging with partners and stakeholders? The evaluation aims to:
- a. Describe to what extent IFACS has effectively engaged GOI counterparts at the district and ministry levels, the private sector, nongovernmental organizations (NGOs), and local communities.
  - b. Examine whether local government counterparts and other partners are adopting systems, procedures, and standards developed and/or promoted by IFACS and identify the key internal and external factors contributing to the degree of stakeholder engagement.
4. **Lessons Learned:** What are the major lessons learned from the implementation of USAID IFACS to date? How can these lessons inform the future direction and implementation of the intervention?

## METHODS

The MTE team sought qualitative data from both primary and secondary sources through focus group discussions, structured interviews, document review, and various participatory rural appraisal (PRA) activities. To collect quantitative data, evaluators relied upon secondary resources and the PMP indicators tracked by IFACS.

Key informant interviews constituted a major source of primary data for this evaluation. Given the time constraint for data collection, the evaluators were not able to meet with all the partners, beneficiaries, and relevant experts who could provide valuable information and observations about the FOREST Program components. The evaluators also were not always able to crosscheck key informant characterizations of project activities through direct observation, and language barriers limited communication in some instances as not all the evaluators were fluent in Bahasa Indonesia. Most, if not all, of the interviews were conducted in the presence of IFACS and USAID staff, which might have affected the candor of the informants' responses to interview questions.

To make the most of the limited time available, the evaluators divided into two teams to conduct field visits. This division of the team for portions of the evaluation may have constrained a broader understanding of FOREST Program components.

While private sector engagement is a major component of the FOREST Program, the MTE team did not include a private sector specialist. Therefore, the evaluators made a special effort to ensure sufficient attention to this aspect of the evaluation.

# I.0 PROJECT BACKGROUND

Indonesia is one of USAID's top priorities for biodiversity conservation and climate change mitigation cooperation. The future of Indonesia's forests and biodiversity is fundamental to the country's prospects for broad-based sustainable development and climate change mitigation efforts. Indonesia's wealth of forest resources, highly biodiverse terrestrial ecosystems, and carbon-rich peatlands are important natural capital assets in the country's quest for development. Indonesia's aggressive economic growth targets as articulated in the Master Plan for Acceleration and Expansion of Indonesia Economic Development 2011-2025 (MP3EI), in combination with significant local- and national-level deficiencies in the capacity, enforcement, and constituencies needed for effective natural resource governance, threaten to erode the country's natural capital. The continued high rates of forest and biodiversity loss have grave consequences for Indonesia's forest-dependent communities and critically endangered species, while contributing to rising global levels of GHG emissions and climate change.

Indonesia's forest cover was reduced from an estimated 118.5 million hectares in 1990 to 94.4 million hectares in 2010, according to the United Nations Food and Agriculture Organization (FAO). About 77% of this area was primary tropical forest, the most biologically diverse and carbon-dense forest type (FAO, 2010). It also contains vast areas of peatlands, estimated at about 20 million hectares (both forested and non-forested) in 1987. In 2000, there was an estimated 17 million hectares, 10.5 million hectares under forest cover: 3.56 million in Kalimantan, 3.71 million in Papua, 3.16 million in Sumatra, with small areas on the island of Bangka. Between 2000 and 2005, another 1.04 million hectares of peat swamp forest was deforested, mostly for oil palm plantations. Almost 78% of the loss of peat swamp forests in this period occurred in Sumatra. (IFCA, 2007)

Indonesia's forest area is not only vulnerable ecologically; it is also rife with conflict. Only about 10.4% of the total area has been clearly demarcated in the field (FIP, 2012), and a significant portion of forest falls within the contested domain of 'local, indigenous land rights' (CLUA, 2014). Indonesia's forests are home to many cultures that have longstanding, direct and multifaceted links to forest ecosystems beyond their economic importance for subsistence, livelihood, and economic development. An International Centre for Research on Agroforestry (ICRAF) study revealed that in the first six months of 2012, 531 licenses covering a total of 35.5 million hectares were granted to private sector concessionaires. In contrast, only 57 community forestry licenses (in forms of *Hutan Kemasyarakatan/HKM* (community forest) and village forest/*Hutan Desa*) for a total 0.25 million hectares were issued in the same period. Other data shows that 0.60 million hectares Indonesia reserved for communities in 2002 appeared to fall to 0.23 million hectares by 2008. The new data shows that yearly, less than 100,000 hectares were legally recognized as under local control. This is far short of the MoF's target to devolve at least 500,000 hectares per year. Forest-related conflicts have continued to escalate. MoF research with Bureau of Statistics in 2012 reports 33,000 cases of villages inside the forest zone involved in conflict (RRI, 2012).

Over and above that, a complex management system governs every type of land use with its own legal authority. Land management falls under the Basic Agrarian Law (BAL No.5/1960) but is influenced by sectoral laws such as forestry, mining, and estate plantations. Decentralization and

Special Autonomy (for Papua and Aceh) commenced in 2000 and contributed to unclear roles and responsibilities of various national, provincial, and district level governments. A landscape approach is needed to grapple with these varying governance regimes, where the interests of local claimants, the private sector, and local and national governments compete in the same arena. Local communities within and surrounding forest lands— because of limited capital, human resources and access to political power—are not only the weakest of the three groups, but have the most to lose. Their livelihoods, as meager as they might be, are often totally dependent upon the forest and its continued well- being. Local claimants are, therefore, classically the most committed stewards of the forest.

## FOREST OBJECTIVES

The FOREST Program was developed in support of the USAID/Indonesia Mission Strategy (2009-2014) following significant sector analysis, consultation with a number of GOI ministries, including the MoF, National Development Planning Agency (*Badan Perencanaan Pembangunan Nasional*, BAPPENAS), and Ministry of Home Affairs (MoHA), and with consideration of GOI presidential priorities. The objective of the FOREST Program is to *improve the protection and sustainable use of forest ecosystems as a vital resource upon which Indonesian people and their economy depend*. Through improved forest protections and sustainable management of forest resources, FOREST aims to conserve biodiversity, reduce GHG emissions from deforestation (the leading source of Indonesia's emissions), and increase resilience to the impacts of climate change.

USAID authorized FOREST at an estimated funding level of \$40 million to support a five-year program of assistance. FOREST is a key deliverable under the US-Indonesia Comprehensive Partnership Agreement. At the national level, the FOREST Program supports at least two GOI priorities: 1) Indonesia's National Action Plan to reduce GHG emissions by 26% and 41% with international support, and 2) The MoF Program on Conservation of Biodiversity and Forest Protection included in the Strategic Plan (RENSTRA) for 2010-2014. To achieve program objectives, the FOREST strategy is to provide technical assistance under the following four components:

1. Land and forest resource governance reform,
2. Improved management and conservation of forest resources,
3. Private sector sustainability, and
4. Integrated climate change responses.

To implement this strategy, USAID has designed and contracted assistance from several sources:

1. **USAID/Indonesia Forestry and Climate Support (IFACS)**, implemented by Tetra Tech, is the primary implementing instrument for FOREST.
2. The **US Forest Service (USFS)** since October 2010 has provided training and technical support to USAID IFACS field sites and in Jakarta for the Indonesian Climate Change Center.
3. Two **cooperative agreements** for Cyclops Mountain Conservation in Papua Province with **Flora and Fauna International (FFI)** and another with YAGASU for mangrove ecosystem management on the east coast of North Sumatra Province.
4. The **U.S. Department of Justice's International Criminal Investigative Training Assistance Program (ICITAP)** has provided training to law enforcement personnel in East Kalimantan and Aceh in North Sumatra.
5. The **Sustainable Landscapes Partnership (SLP)**, which is implemented by Conservation International (CI) in western North Sumatra.

USAID/Indonesia also supports two other programs not funded under FOREST but are managed by the Agency's Environment Office and have relevant activities and results for FOREST. These are:

1. **Tropical Forest Conservation Action (TFCA) debt-for-nature swaps.** The first TFCA agreement was approved on June 30, 2009 for forest conservation in Sumatra with the two NGO partners, CI and *Yayasan Keanekaragaman Hayati* (KEHATI). A second TFCA agreement focusing on Kalimantan was finalized in January 2012 with The Nature Conservancy (TNC) and Worldwide Fund for Nature (WWF).
2. **University Partnerships.** An Annual Program Statement (APS) for Supporting Universities to Partner across the Pacific is supporting work of three US universities with five Indonesian universities.

## **USAID SUPPORT FOR NATURAL RESOURCE MANAGEMENT**

FOREST comes on the heels of over 20 years of USAID investment in natural resource management (NRM) in Indonesia and provides important context for this evaluation. USAID has made significant contributions to improved NRM in Indonesia over the past several decades. Unfortunately, the extent to which the FOREST Program has effectively built on this rich legacy remains questionable. Moving forward, there is a need for USAID/Indonesia and the GOI to build on the lessons of past programs and identify opportunities to capitalize on achievements, networks, and relationships before initiating future investments. Some of the principal activities, themes and lessons coming out of past USAID NRM programming are outlined below. (See Annex IV for table showing related USAID projects.)

### **NATURAL RESOURCES MANAGEMENT PROGRAMS I AND II**

USAID NRM programs spanned 14 years of implementation from 1990 to 2004, providing significant support in the decentralization and democratization of environmental governance, especially in the forestry, marine, and protected area management sectors. Key lessons have informed current thinking in USAID's forest governance, natural resources, and biodiversity work. The first NRM project (1990-1997) implemented activities in West and Central Kalimantan, North Sulawesi, and Java. Policy studies were developed to inform government, training, and technical assistance for national park (NP) management and forest management. National park sites included Bunaken NP in North Sulawesi and Bukit Baka Bukit Raya NP in West and Central Kalimantan. The succeeding NRM project was all-encompassing and implemented in Papua, North Sulawesi, and East Kalimantan. Activities focused on biodiversity conservation, policy, and management. These programs focused principally on central government and NGOs in the forestry sector. The legacy of the NRM work during this period includes national policy work on decentralization, collaborative protected areas management, innovative conservation financing and payment for environmental services (PES); and the introduction of low-impact forestry in production forests and foundational work for the Tropical Forest Conservation act Debt-for-Nature Swaps enacted in 2009 and 2012.

### **BIODIVERSITY SUPPORT PROGRAM**

The Biodiversity Support Program (BSP) and Biodiversity Conservation Network (BCN) portfolios of grants, technical assistance, and capacity building in Indonesia straddled NRM I and II (1993-2001). BSP and BCN grants focused on assisting the global keepers of forest and biodiversity and local and national policy actors. It built organizational capacity and provided incentives for biodiversity-based enterprises in key sites of the six main regions of Indonesia, Java, Sumatra, Kalimantan, Sulawesi, Maluku, and Papua. It was able to give over 200 grants, technical assistance, and consistent organizational support for biodiversity actors; and informed policy and practice on rights-based approaches. It supported mapping and conservation management agreements with communities in indigenous territories, and assisted in the formation of the Alliance of Indigenous Peoples of the Archipelago (AMAN) and the Indonesian mapping consortium (JKPP). To this day AMAN and JKPP have led the forest and rights reform agenda not only within the climate change and Reduced Emissions from Deforestation and Forest Degradation (REDD) platforms—leading to the

standardization of community maps by the Geospatial Information Agency (BIG)—but also in legislative and executive agencies for land reform and conflict resolution. The BSP was a cooperative agreement, and DFID and Kemitraan (PGR) adapted its community forest management model in grants, capacity building, and technical assistance provision to local NGOs, community groups and their local government counterparts.

USAID's NRM support through the 1990s into the early 2000s balanced a holistic approach to more transparent and informed environmental governance. The NRM projects focused on government assistance, building capacity and the confidence to progress with decentralization of the NRM sectors. The BSP and BCN work was more targeted toward building the capacity and voice of NGOs to effectively engage in NRM both as government partners as well as through watchdog functions. Together, these two threads contributed to strengthened environmental governance in Indonesia by tackling timely decentralization and democratization challenges. Unique to USAID NRM programs, progress was made primarily through the facilitation of field-based initiatives with government, NGO, and community partners that could be used to inform national policy.

#### **ENVIRONMENTAL SERVICES PROGRAM**

The Environmental Services Program (ESP) was a five-year program, developed by USAID/Indonesia in response to the Presidential Initiative of 2002 to improve sustainable management of water resources. This initiative supported activities in the following three key areas: access to clean water and sanitation services, improved watershed management, and increasing the productivity of water. The project was active in Aceh, North Sumatra, West Sumatra, West Java, Jakarta, Central Java/Jogjakarta, East Java, North Sulawesi, Moluccas, and Papua. While a successful and well-regarded project, ESP represented a significant shift from previous USAID NRM investments. Targeting a ridge-to-reef approach that ultimately ensured water supply to dense urban and peri-urban areas initially in northern Sumatra and across Java, ESP meant a departure from sites and networks—especially in Kalimantan and Sulawesi. ESP staff implemented training and technical assistance. Grants and subcontracts supported the training and technical assistance of ESP. Importantly, in terms of IFACS, the work of ESP in its final year in Papua had a major impact on the production of a provincial plan that placed limits on the amount of forest available for logging activities. Because of this work, a number of people in government know of and value USAID. On the other hand, ESP work in Aceh was focused in Aceh Barat, Aceh Besar, Aceh Jaya, and Banda Aceh, strategically accessible to the provincial capital of Banda Aceh and a 12-hour drive from IFACS landscapes in the southern part of the province.

#### **ORANGUTAN CONSERVATION SERVICES PROGRAM**

The Orangutan Conservation Services Program (OCSP) was active from 2007 through 2010, following up on four years of strict grants making from USAID with the congressional orangutan earmark. OCSP was active in 3.5 million hectares, covering 40% of Indonesia's orangutan habitat in Batang Toru, and Leuser NPs in Aceh and North Sumatra; Dairi and Papak Barat Districts of North Sumatra; Sungai Putri, Bukit Perai, Arus Belantikan in West Kalimantan; and Lesan, Wehea, Kutai NP and Tanjung Putting NP in East Kalimantan. OCSP addressed the major threats driving orangutan extinction: forest conversion, unsustainable logging, and wildlife trafficking. The project used grants to work with 40 international and local organizations, private sector partners, government institutions, and communities, which together supported the design and establishment of best management practices for key habitat conservation of wild orangutan populations. OCSP sites were used as one criterion for the determination of USAID IFACS landscapes.

# 2.0 IFACS PERFORMANCE EVALUATION

## 2.1 IFACS PROJECT DESCRIPTION

The USAID IFACS Project is a Task Order under the Prosperity, Livelihoods, and Conserving Ecosystems (PLACE) Indefinite Quantity Contract, implemented by Tetra Tech. Launched in November 2010, the project aims to reduce GHG emissions through forest and peatland conservation and Low-Emission Development Strategies (LEDS). IFACS activities are focused in eight defined geographic landscapes in four provinces: Aceh, West Kalimantan, Central Kalimantan, and Papua. The overall goal of USAID IFACS is to reduce by half the GHG emissions in at least 10 million hectares within the targeted landscapes. As per the contract's scope of work, IFACS activities aim to achieve the following results:

1. A 50% reduction from baseline in the rate of forest degradation and loss from conversion, illegal extraction, overharvesting, and fires for at least six million hectares of tropical forest located within project landscapes;
2. Improved management in at least 3.5 million hectares of tropical forests with high conservation values, including 1.7 million hectares of priority orangutan habitat;
3. Changes in land use and improved forestry management within targeted landscapes to result in a 50% reduction in GHG emissions based on agreed upon calculations;
4. At least half of local professional government staff directly involved in management of targeted landscapes to receive substantial training in a landscape-level approach to spatial planning and sustainable economic development;
5. Increased financial resources for forest management by at least 20%, with attention to increased transparency and access to information to strengthen capacity of government, civil society, and the private sector for conservation and sustainable management of forest resources, biodiversity, and ecosystem services; and
6. Low-carbon development strategies to be piloted at the local level in at least eight project focal districts located within the targeted landscapes.

In addition to establishing and staffing the IFACS Jakarta office, initial efforts were focused on landscape selection. Several studies and analyses were initially carried out to inform final site selection. These included overlays of potential high conservation value forest (HCVF) areas with orangutan habitat and other land uses to analyze threats, the identification of potential private sector partners and stakeholders, and socioeconomic analyses of prospective sites. The process was protracted and took approximately seven months as it was difficult to identify the required 10 million hectares of landscapes that also contained substantial HCVF and orangutan habitat. There were divergent views among interested parties over which regions should be included, and final landscape selection required substantial discussion. This process delayed hiring of regional staff and subcontracting partners and grants, since all three depended upon final site selections.

Once landscapes were agreed upon, Tetra Tech invested several more months working with district and provincial governments to win their support for the project. Significant fieldwork was not feasible until local government commitments were formalized in signed memoranda of understanding

(MOUs) from mid 2011 to early 2012. During this time, the IFACS Jakarta technical team identified and selected focal districts and villages and carried out further analyses, spatial planning progress evaluations, and vulnerability assessments.

IFACS established field offices and began hiring field staff in early FY 2012. As regional strategies and plans developed, many of the district-level governments showed very little technical and absorptive capacity. All districts in Papua and many in Aceh and Kalimantan are new, created during the expansion of new districts under the decentralization and special autonomy process that commenced in 2000. Spatial planning analyses conducted by IFACS 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 or strategic environmental assessment (SEA) and had little capacity to implement their spatial plans. This limited absorptive capacity was also apparent among most local organizations. Regional strategies and plans in the IFACS landscapes showed a need for further institutional strengthening in geographic information systems (GIS), SEA, land use analyses, decision making, and other key areas.

It was not until mid to late 2012 that IFACS began to make progress. A number of grants and subcontracts were issued to support field implementation. GIS training was provided to assist district governments in developing the technical skills necessary to develop spatial plans. IFACS grants and subcontracts primarily target community conservation and livelihood activities, Best Management Practices (BMP) support to the private sector, and SEA development to promote LEDS in the targeted landscapes. IFACS utilizes multistakeholder fora (MSF) at the district level to engage all stakeholders in the development/conservation process and to increase transparency and sustainability of IFACS activities.

## **2.2 FINDINGS**

This section presents the MTE findings concerning IFACS results achieved to date, management of project implementation, and engagement with partners. The MTE team found overly ambitious targets that are outside the ability of IFACS to impact within the given timeframe and current set of activities. Although IFACS has developed key assets in the form of relationships and pathways for skills, knowledge, and coalition-building efforts in at least three landscapes, these remain insufficient for all landscapes to achieve overall results.

### **2.2.1 PERFORMANCE MONITORING PLAN RESULTS**

Evaluators did not find sufficient data to assess whether IFACS will be able to achieve Overall Results (OR) 1, 3, 5 and 6 (see Section 1, Project Background for list of expected IFACS Overall Results). There is strong potential for IFACS to achieve improved NRM in areas of biological significance in OR 2 based on the definition of the indicator and the activities currently being implemented. Although IFACS reported having exceeded OR 4, the evaluators found that those who were trained have not been strategically identified for training. IFACS has been opportunistic about offering training to a broad swath of MSF and government members whether they are involved in or have influence on LEDS, SEA, or spatial planning. This is consistent with the Regional Inspector General (RIG) audit, which found PMP-based problems that have contributed to unreliable reporting. Although full-blown LEDS may be outside of what is possible for OR 6, IFACS is moving ahead aggressively on SEA development in the focal districts. SEAs set the groundwork for sustainable spatial plans and effective implementation of LEDS. Although both management and design issues present challenges for achievement of results, evaluators found the IFACS contract lacks a framework (within the PMP and elsewhere) that allows for systematic tracking of benchmarks and incremental achievement.

## 2.2.2 LANDSCAPES RESULTS

Three out of the eight IFACS landscapes—West Kalimantan, Mimika, and Asmat—exhibit strong potential for long-term sustainable development and implementation of spatial plans by competent local and national authorities, including the National Parks Authority. These landscapes have the elements necessary for cross-institutional learning for adaptive management. There are local institutions that are technically competent, legitimate, and accountable and have the potential to enforce agreements and uphold indigenous land rights, such as customary land certificates, or *Surat Keterangan Tanah Adat* (SKTA).

IFACS landscapes in Aceh were seen to have medium-to-strong potential for achieving high-level results given the high level of activities under grants and subcontracts. Results in these landscapes will depend largely on the project's ability to better link livelihood activities to conservation.

The Central Kalimantan and Sarimi landscapes were seen as lacking in potential to deliver high-level results due to an overall lack of activities and interest on the part of local officials. Evaluators did not visit the Mamberamo Raya Landscape.

A summary of findings for the landscapes visited are as follows (in order of their potential to contribute to high-level results):

**West Kalimantan** (strong potential to achieve results): This landscape comprises an area of approximately 1.9 million hectares, covering five districts. The indigenous Dayak peoples support sustainable, community-based forest management, with a Dayak governor committed to multi-ethnicity. There is an accessible credit union system that the governor supports. West Kalimantan province is committed to a 20-year vision that integrates all specialized agencies to respond to food security, water, and energy crises (*Peraturan Daerah [Perda] No. 7/2008*).

There are also competent unit managers in the landscape: *Balai Pemantapan Kawasan Hutan* (Provincial Central Forest Office [BPKH]), forestry district offices, *Unit Pelaksana Teknis* (Technical Implementation Unit [UPT]), NPs, and logging concessionaires. The IFACS regional team maintains good relations with these government units. All agree that the main threats to forests in this landscape are large-scale conversion for oil palm and mining concessions (including through illegal, unmonitored issuances of licenses and 'leases' [*pinjam-pakai*]).

Successes include:

1. Five district heads signed MOUs and technical agreements supported by provincial authorities.
2. MSF established has strong links with district forestry offices.
3. There were possible competent users of SEA-LEDS who emerged from training.
4. HCVF and BMPs work with concessionaires, especially Alas Kusuma Group, and guidelines IFACS developed are being applied.
5. Grants are being awarded to support local actors.

Shortcomings include:

1. Lengthy approvals of grants that erode trust.
2. Lack of time for focused facilitation and too many training events, thus losing opportunities for IFACS 'direct influence' in actual land use decision making.
3. The timing and content of GIS, carbon stock assessment, and SEA trainings do not match local challenges, such as monitoring licenses.
4. IFACS' inability to align its plans with those of local governments in the MOU and Technical Assistance (TA).

**Mimika and Asmat:** USAID ‘*Swakelola*’ Spatial Planning support for the Papua province (2009) strongly influenced its position to keep 70% of its current 31 million hectares of forest area. Mimika landscape covers approximately 1.7 million hectares, while Asmat is around 2.2 million hectares. The coastal area of the two landscapes comprises almost 1 million hectares of mangrove and forms a major corridor for protecting Lorentz National Park. IFACS direct implementation in Mimika can benefit from the progress of WWF as a strategic partner in Asmat. Both are familiar with mapping customary tribal lands, and Asmat is making steady progress in promoting and sharing results for mapping and provision of incentives for community cooperatives. The Papua province envisions keeping 70% of forests, and requires help from stakeholders and experts, including green business ideas. Commitment of Mimika and Asmat District heads to this vision is dependent on good incentives and accessible technical information, such as data on the exact area of peatland in the landscape.

Successes include:

1. Alignment of key government agencies, provincial planning and forestry units, and district planning and forestry units in Mimika, Asmat and Jayapura, with IFACS sustainable forest management goals.
2. There are active local stakeholders in both districts, with commitment to engage in IFACS results, i.e., Small Timber Harvesters Association (HIPKAL) to conduct BMPs.
3. Carbon stock assessment is welcomed by Mimika government partners.
4. Capacity building of Regional Land Use Planning Coordination Unit (BKPRD) for implementation of RTRWP has been requested by BAPPEDA.
5. Freeport shows interest in engaging in potential local partnership.

Shortcomings include:

1. Low capacity of staff and of community and NGO partners requiring focused facilitation requires substantial IFACS regional staff time from other PMP targets.
2. There are high expectations regarding the possibility of USAID financial assistance flowing to the district and communities that need to be ‘managed’ by local staff.
3. IFACS regional field staff in the governance and private sector components report feeling ‘disconnected’ from component leadership in Jakarta because of a lack of good communication.
4. There is untapped but good potential for mapping indigenous territories that overlay entire mangrove areas for KPH to achieve co-management objectives.
5. IFACS office is not linked actively with UPT Lorentz National Park, but the provincial forestry and BAPPEDA offices align with provincial vision to keep 70% of natural forest intact and promote sustainable development of Papua.

**Aceh** (medium - strong potential to achieve results): Aceh Selatan, Aceh Tenggara and Gayo Lues focal districts include important conservation areas surrounding Gunung Leuser NP. The districts contain approximately 1.5 million areas of contiguous montane and lowland forest and wetland ecosystems. There is a strong and active MSF, and engaged local government (esp. BAPPEDA) partners. Orangutan, tigers, and elephants can all be found in the region.

Successes include:

1. A large number of grantees and subcontractors are now operating on the ground and there are strong foundations for impacting the core forest and biodiversity-rich areas of the landscape.

2. IFACS influence is palpable in smallholder producers of non-timber forest products — interest groups have formed, including cacao producers and traders, patchouli farmers and local park forest ranger groups that use local monitoring/enforcement systems effectively.
3. Good spatial plan implementation and high-quality data management is a priority.
4. Farmer field schools are training farmers in sustainable agroforestry cacao in Aceh Selatan, Aceh Tenggara and Gayo Lues.
5. Development of BMPs among cocoa (SIF) and patchouli (ADF) producers.
6. GIS Forum was established and will become UPTD.
7. Development of renewable energy sources, starting with hydroelectric powered patchouli distillation in Gayo Lues.

Shortcomings include:

1. It is unclear whether smallholder support will result in protecting HCV forests in the region.

**Central Kalimantan** (weak presence, but can link with efforts in West Kalimantan): This landscape covers approximately 1.6 million hectares, consisting of Katingan and Pulang Pisau Districts and Palangkaraya municipality. Central Kalimantan is a REDD+ pilot province, with the largest areas of peatlands, 0.5 to 3 meters deep, a dominant Sebangau NP that is home to orangutans and a high variety of plant and other animal species. The location of the Katingan landscape offers IFACS proximity to and potential collaboration with Tanjung Puting NP, and the former USAID assisted Bukit Baka Bukit Raya NP. Threats come mainly from licensing of forest areas and other land uses (presumably illegal) for oil palm and mining, wildfire from a concentration of settlements by the highways and plantation clearing. Among the many donors for climate change programs that ‘overlap’ with IFACS in Katingan are the Government of Norway, AusAID’s Kalimantan Forest and Climate Project (KFCP), Japan International Cooperation Agency (JICA) and the United Nations Office for REDD+ Coordination in Indonesia (UNORCID).

Successes include:

1. A representative set of interest groups within the MSF for non-timber forest products, rattan and sustainable logging;
2. There is a general agreement with potential ecosystem restoration concession *Rimba Makmur Utama* (RMU) that includes support for NGO Yayasan Puter to organize 28 villages along the concession perimeters;
3. There are plans to collaborate with smallholder rattan traders and natural forest contractors;
4. Private Sector support included gap assessments for sustainable forest management (SFM) with contractor TFF, and training on Reduced Impact Logging (RIL);
5. Training included GIS and carbon stock assessments;
6. Office space provided by BAPPEDA in Katingan; and
7. There is an MSF preparing for participation in district Medium Term Development Plan RPJM – for Kota Palangkaraya.

Shortcomings include:

1. IFACS’s lack of strategic presence, and inability to tap into the multi-donor momentum for low-carbon development and REDD+ regional strategies. *Rencana Aksi Daerah* Green House Gas Emissions Reduction (RAD-GRK) or Strategy Daerah REDD+ (StraDa REDD+) development and/or used the StraDa document itself to engage government at district-province level.

2. Two staff members cover three MSF with no time to focus on addressing members' special interests such as rattan and anti-mining in existing forest concessions (*Hak Pengusahaan Hutan [HPH]*).
3. IFACS has not optimized relations with Sebangau Park authorities.

**Sarmi** (weak presence, can better link with provincial government): Sarmi is about 17,000 sq. km, with a population of only 38,000 people (which would make community logging feasible). Sarmi has already finished the draft spatial plan (RTRWK) and is prepared for public consultation. Fortuitously, Sarmi also had RAD GRK although not yet translated to SEA. Due to limited access of information, it is only recently that the district was fully aware that SEA is mandatory. Partly as result of IFACS facilitation, the regional government has moved to request a portion of regional budget for SEA. Involvement of local legislature in MSF increased the chances of MSF for being funded by APBD (anticipated leverage of Rp 2 billion). Current concessions waiting in the wings include 20 oil palm concessions and 25 coal concessions.

Successes Include:

1. Three of four timber concessions have been approached for BMP and are interested and have certification potential.
2. BAPPEDA appreciates IFACS help in forming the MSF and acknowledged that FMP supported the coordination role of BAPPEDA.
3. The MSF is needed to strengthen the formal inter-agency coordination that thus far was implemented formally.
4. The forestry agency appreciated IFACS-supported trainings in participatory mapping.
5. Elements of MSF especially the various offices and agencies are now familiar with SEA, HCVF and use of GIS for spatial planning.

Shortcomings Include:

1. Sacred places need to be set aside in conjunction with forest management and conservation.
2. Gender perspective needs to be mainstreamed especially with the MSF.
3. Estate crop agency has not started well due to contradicting interest regarding cacao cultivation strategy (organic vs. chemical uses).
4. There is a need to cement relations between IFACS and local institutions.

### **2.2.3 IMPLEMENTATION MANAGEMENT**

IFACS has been turned around over the last year from a project showing little to no field activity (apart from a handful of training programs). During the first year grant proposals were blocked by lack of clarity about the administrative requirements among potential grantees, and technical assistance programs for forest concessionaires were just beginning. IFACS has since acquired vibrancy and launched various activities in the targeted landscapes, and can be said to be making progress, albeit slow, toward contractually agreed upon outcomes. For a variety of reasons IFACS went through at least a year of delays before launching field activities, and the project can be more accurately viewed as being about one year into implementation.

The IFACS project lacks a sufficient electronic management information system (MIS) for a contract of this size, and the present Excel-based system is an inefficient method for monitoring and reporting of field activities. The project spans an area that stretches across the entire Indonesian archipelago and effective management and reporting is severely constrained by the lack of an electronic MIS.

### **2.2.4 STAFFING CHALLENGES**

Recruiting and retaining quality staff has plagued the project since it was launched in November 2010. Of the 64 operational IFACS positions identified in the January 2013 organogram provided to

the MTE team, only 52 positions were filled. The DCOP identified 24 members of the IFACS team who were on staff when he joined the project in February 2012. This means 28 people, or 54% of the present IFACS roster, have joined IFACS within the last year. Positions filled in the past year include the COP (the fourth since project start-up), DCOP, Grants Coordinator, Communications and Outreach Specialist, Monitoring and Evaluation Specialist and the North Papua Regional Manager, all important leadership positions. The Private Sector specialist position remains vacant, and of the 12 vacant positions, 10 are in the landscapes. Hence, IFACS is struggling to implement with an insufficient number of personnel who are mostly new and yet to fully take on board the IFACS vision.

High staff turnover rates can be attributed to a variety of factors including difficult/remote working conditions, low salary rates, lack of capacity building opportunities and lack of clarity regarding the payment of the legally required separation allowance and staff disaffection. In November 2012, the USAID Contracts Officer eased restrictions regarding the level of salaries for new staff and the possibility exists to bring salary levels of existing staff into agreement with those received by new staff. The end of project separation allowance remains to be clarified.

In addition to filling the staffing plan, IFACS has also had problems ensuring an adequate staffing plan to address the given time and resource constraints. For instance, the number of administration/finance/grants officers in the regions is not enough to cover the administration and finance needs of a ramped-up project in all landscapes. The workload for the occupied positions is also excessive in some cases, as in that of the Outreach and Community Development position. In essence this means one person is assigned two jobs. The joint nature of the position is reportedly undercutting the effectiveness of both the outreach and community development functions. Communications is operating at a less than optimal level, according to IFACS leaders and the communications specialist.

Low morale is an additional factor contributing to the high rate of staff turnover. Evaluators observed a low level of motivation and team spirit among staff, especially staff in the landscapes, though not universally. This could be due to a variety of reasons. Some staff reported feelings of jealousy and competition. The high turnover of COPs and concomitant change in leadership and management styles may also contribute to a lack of team spirit. In some cases, regional leadership has contributed to this.

A full staff annual review process is in place. The DCOP conducts this review on or near a date 12 months after a person joins IFACS and at the end of each succeeding 12-month period. IFACS staff report a lack of clarity around contract procedures. A manual covering contract procedures has been prepared by management for regional offices, and while the manual is short on examples, it seems adequate. However, the manual is in English, which may be a cause for confusion. Regional staff remarked that there were cases where the allowable cost limit for purchases by regional staff was overridden and Jakarta approval was required. Certainly, for those staff participating for the first time in a USAID supported project the procedures required by the contractor and USAID may seem confusing. This confusion can lead to frustration and complaints that procedures consume too much time.

Regional teams in the landscapes seem to lack a vision of where the project needs to go. The Central Kalimantan team could not relate their activities to a vision of expected project outcomes. Staff turnover in the IFACS home office in Jakarta and shifting project visions due to changes in leadership may contribute to this lack of vision, but regional leadership is also a factor, according to IFACS staff and outside observers.

A lack of an understanding of the “big picture,” an aversion to risk and having to implement a long stream of activities and events seem to have led to a narrow vision among field staff where the focus is on making sure that lower-level activities can be “ticked off” as having been completed. In Aceh, synergies among grant supported activities are not being taken advantage of. In the Katingan landscape of Central Kalimantan opportunities with the provincial conservation agency and the national park, both of them responsible for large areas of protected forest in the landscape, were being missed. These missed opportunities constrain both the extent of the results that IFACS might achieve and the sustainability of the results it will achieve. According to the DCOP, the intensity of activity implementation will increase as there is a significant amount of SEA-LEDS training remaining. The time spent organizing training means other important tasks such as supporting grantees or addressing existing opportunities are not attended to. This is compounded in those landscapes that are significantly understaffed such as the West and Central Kalimantan and Papua landscapes.

Grantees and staff indicate that communications related to the granting process have been unclear and contradictory. This has led to extended processing time for grants, in some cases up to 16 months. The grants process, without communication difficulties, is a long process that requires submissions in English (meaning that nearly all grants have had to be translated by Jakarta staff), vetting by IFACS in Jakarta and Tetra Tech and approval by USAID. The bottleneck appears to have been the vetting process by IFACS which often involved grantees having to prepare several iterations of their proposals in order to improve the quality and focus of the proposal to meet USAID contracting office and COR standards. Grantees report that there were several shifts by IFACS (and USAID) on what should be included in a proposal or what the proposals should focus on in terms of objectives and activities.

The COP and DCOP have spent little time in the field. This may be one reason regional teams lack strategic vision. Both of these individuals realize they have spent little time in the field and point to the demands of ramping up the project over the past year as a reason. The DCOP is particularly burdened with management and reporting functions, and this has had impacts on the vision and momentum of regional teams and coordination of private sector efforts. Some of the DCOP's reporting burden will be eased with the recruitment of a staff technical writer.

There seems to be a disconnect between field teams and some component and cross-cutting leadership. In some cases this may be the result of component leadership being too directive or unresponsive to landscape conditions. Landscape-level leadership has had little direct contact time in the landscapes with most but not all of the component and cross-cutting leadership. The lack of component leader field presence is not a general condition, for example, the governance component leader is often in the field.

### **2.2.5 MANAGEMENT INNOVATION AND SUCCESSES**

The following operational or management policy innovations have been critical in the turnaround IFACS has made in the last year.

- During the last eight months the silo-like component based management system was adjusted to allow regional managers to have a larger role in regional decision-making. This was done to allow for local adjustments in project approaches.
- A technical advisor has been brought in as short-term technical assistance (STTA) to support regional leadership in Papua. This has had the benefit of increasing the confidence and direction of regional managers. This also has increased the skills and capacities available to advance IFACS activities. IFACS leadership reports that work in Papua has moved markedly forward since the STTA's presence.

- During the ramping-up period, the grants program has shortened the turn-around time on grants. Time from submission to final approval has been reduced. This has resulted in an increased number of active grants in the field.
- Experienced, respected and strong staff have been recruited in the field. These people have brought their networks and connections to IFACS. This has been of benefit to IFACS activities.
- Regional teams are recognizing and encouraging “local champions”. Both Mimika and West Kalimantan have encouraged Forestry Service district leaders and programs that will enhance IFACS results and their sustainability. This is one result of allowing regional leadership to have a larger role in determining the direction of IFACS in the field.
- The present leadership has instituted an annual planning meeting, quarterly meetings for regional and assistant regional managers and once per year component meetings. The intention is to enhance communications and clarity about project direction. Component and regional leadership meetings would include exchanges of lessons learned.

### **2.2.6 PARTNER ENGAGEMENT**

IFACS works with a wide range of partners in government, civil society and the private sector to achieve project outcomes. The success of those engagements can be gauged to some extent against whether partners are adopting and using the systems or tools advocated by IFACS.

IFACS has had trouble in successfully engaging with the MoF. With USAID’s assistance, a connection was recently made with the Directorate General for Forest Protection and Nature Conservation (*Perlindungan Hutan dan Konservasi Alam, PHKA*) in the MoF. This should help regional IFACS teams in their efforts to connect with the *Balai Konservasi Daya Alam* (Natural Resources Conservation Agency, BKSDA) at the provincial level. This agency is responsible for protected areas outside national parks. IFACS has also engaged with the UKP4 REDD+ working group responsible for geospatial mapping and inventory. Although there is potential to link the IFACS districts/sites with these mapping and inventory efforts, at this time unfortunately the UKP4 REDD+ working group focal districts do not overlap with those of IFACS. This potential opportunity should be pursued further through USFS team’s upcoming assessment, to target adding at least one key IFACS District to the UKP4 working group focal district, and/or include Barito Selatan as priority site of IFACS (in lieu of Pulang Pisau, which up to now has no MOU/TA signed).

IFACS approaches to overall stakeholder engagement include:

- Establishing MOUs, with provincial and district governments
- Establishing MSF that involve government agencies, NGOs and the private sector
- Conducting training focused on GIS and the use of related equipment for determining carbon levels for government agencies and NGOs, BMPs and environmental assessments for government agencies and NGOs
- Technical assistance for the private sector, primarily timber industry concessionaires
- Providing grants to NGOs for training and technical assistance to communities

IFACS is primarily engaged with district-level, and to some extent provincial, government agencies, including the offices of Planning and Development, Forestry, Public Works and Conservation. The extent of this engagement varies according to landscape, district and province. Aceh is an example of the extremes of variance in engagement with government. There is almost no engagement with provincial government except for the provincial planning agency, which participated in GIS training. The district government in Aceh Selatan is not engaged with IFACS except for the forestry department. The district head in Gayo Lues is a positive booster of IFACS and highly

supportive of the project and its activities. Good communications support at all levels could further these engagements, but there was little evidence of such support.

The development of MOUs with provincial and district government was IFACS' first effort to engage with government. This process took up to a year. One district in Central Kalimantan has yet to sign an MOU with IFACS. The nature of the MOUs enables IFACS to be active in a region but establishes no *quid pro quo* wherein both sides make commitments. In other words, there may be untapped potential to develop MOUs that lay out the mutual responsibilities and commitments of the relationship. Currently it is difficult to determine how IFACS benefits from an MOU other than this serves as a 'permission to operate' in the district.

Some districts hold MOUs with IFACS that are no longer valid given the shift to focus on certain districts and not work in others. At least two districts in West Kalimantan have yet to be informed of this change leaving them wondering, "What happened to IFACS?" IFACS leadership has yet to address this issue and inform the districts.

Rather than an MOU, the extent to which IFACS teams can take on the agenda of district government seems to be a determining factor in the success of IFACS' engagement with a district government and the support extended to them by that. In Mimika, for instance, the IFACS team has worked closely with district government and supports their agenda. As a result, the Mimika District government has been contributing to the costs of training activities conducted by IFACS. Gayo Lues in Aceh plans to put a line item in their district budget for MSF support. Newly established districts such as Gayo Lues, Kayong Utara in West Kalimantan and Sarmi in Papua are often under capacity and wholly welcome IFACS support with or without an MOU.

The Regional Secretary (*Sekretaris Daerah*) is the person who is responsible for the civil service in a given region. This person is responsible for making the civil service work. When trying to obtain consistent attendance of key government officials from a variety of government agencies in training activities this is the key person who can guarantee cross-agency staff attendance. Evaluators only saw evidence of IFACS engagement with the regional secretary in Aceh Selatan.

### **2.2.7 MULTI-STAKEHOLDER FORUM**

"Strategic Environmental Assessments, hereinafter abbreviated as SEA, shall be a series of systematic, comprehensive and participatory analyses to ascertain that the principles of sustainable development have become a basis and have been integrated into the development of a region and/or policy, plan and or program." (Article 1, Indonesia's Environmental Protection and Management Act No. 32/2009). This suggests that the development of an SEA is to be a participatory process involving citizens. "SEA as referred to in Article 15 paragraph (1) is implemented by involving communities and stakeholders." (Article 18, Indonesia's Environmental Protection and Management Act No. 32/2009). The involvement of communities and stakeholders in SEA development is thus legally mandated by national law. The Multi-Stakeholder Forum approach is a means for fulfilling this requirement and IFACS has correctly identified the MSF mechanism as a tool for encouraging public participation in land-use decision-making at the district level.

MSF have been critical in engaging with government, the private sector and NGOs with varying degrees of success, depending on the strategic vision (or lack thereof) of the IFACS team in a given region. In terms of opening up avenues of communication with government, NGOs and the private sector, the MSF has been of use, but whether these groups will be able to serve as watchdogs or advocates on environmental issues related and proposed development activities is in question. It is difficult to state that MSF will ensure the adoption of procedures or standards promoted by IFACS because they lack political capital and seem to be without focus and often address issues that have

little relevance to SEAs. MSF often lack a plan or an agenda, or if they have one it does not always relate well to the IFACS vision.

One of the functions of an MSF referred to above is the promotion of good governance. MSF are meant to ensure that spatial plans and SEA-LEDS are adhered to in district land-use planning, development planning, the granting of permits and other processes, but to date MSFs have not fulfilled this function in large part because these tools have not been fully developed.

Other findings include:

- MSF may not contain members with political capital or an interest in sustainable forest management, LEDES and biodiversity conservation. This will affect their ability as SEA watchdogs.
- MSF have helped organize the delivery of GIS and LEDES technical training. MSF members have also participated in trainings while government participants and other stakeholders are absent.
- Several MSF have active members that have the potential to lead, but overall the MSF that IFACS has worked with lack vision, direction, and leadership, particularly those that were convened by IFACS for training programs.
- MSF often include government and non-government members who come together with unequal levels of information and decision-making powers.

### **2.2.8 TRAINING**

Training activities conducted by subcontractors and grantees have engaged government and NGOs. However, training has not always been targeted at key individuals with both a stake and a role in the spatial planning, SEA and carbon counting process at the district level. Further, the utility of training on GIS and equipment supplied to support spatial planning could be questioned as most of the districts in IFACS landscapes have completed their spatial plans. However, it must be said that there are districts asking for follow-up to GIS training such as Kasongan in Central Kalimantan and Mimika. There is much more training to be conducted especially on SEA and that training will help to determine whether government will adopt IFACS promoted systems and tools.

### **2.2.9 TECHNICAL ASSISTANCE**

Technical assistance from IFACS subcontractor Tropical Forest Foundation (TFF) to the timber industry has worked with 10 forest concessionaires around Reduced Impact Logging (RIL) approaches, BMPs and achieving certification. If successful engagement is taken to mean the adoption and use of IFACS-promoted systems, tools and procedures, then this engagement with private sector timber concessionaires has been a most successful engagement. TFF has served as a critical focal point in bringing together IFACS and concessionaires in IFACS landscapes in Kalimantan and Papua.

### **2.2.10 GRANTS**

Grants have helped to advance IFACS-promoted systems and approaches at the community level in Gayo Luwes, Aceh Selatan, Sarmi, West Kalimantan and Central Kalimantan. NGOs and grantees working with communities have been able to transfer relevant technologies to communities. However, grants generally result in communities engaging with the NGO grantee, not with IFACS. Thus IFACS has successfully engaged with NGOs to promote these systems and approaches to communities, but it has not directly engaged with communities in the process.

## 2.3 CONCLUSIONS

- Data concerning results achieved was difficult to find. This was because of several problems, including: higher level results achievements have yet to be made; the PMP and other factors introduce a certain amount of unreliability into results reporting; and this is a project that effectively has been implementing for just 12 months and one would not normally expect many higher level achievements to be made within that timeframe.
- There are three stronger landscapes that bear stronger support because they are likely to contribute to higher-level results: West Kalimantan, Mimika and Asmat. The two Aceh landscapes, Aceh Selatan and Aceh Tenggara, have a medium-to-strong potential for achieving some higher-level results. Central Kalimantan and Sarmi have little likelihood of contributing to higher-level results.
- IFACS has hit its stride, but limited staff capacity does not enable IFACS to implement effectively in eight landscapes. There is a lack of joint vision among some landscape teams and stakeholders and no clear IFACS leadership and guidance in field sites implemented by grantees.
- Recruiting and retaining quality staff continues to constrain results achievement. Staff positions in the staffing plan are not sufficient to successfully implement the project. Presently there is an insufficient number of dedicated staff for administration, finance, grants support, communications and community development.
- The project extends across a wide span of the Indonesian archipelago, and effective management and reporting is severely constrained by the lack of an electronic MIS.
- Central elements of the Tetra Tech/USAID contract for the IFACS project constrain effective adaptive management.
- The IFACS communications program has failed to support effective engagement with partners, the adoption and use of environmental assessment tools and the informing of stakeholders and partners about IFACS.
- There has been little effective engagement with government organizations that control large areas of forest, especially national parks and BKSDA. There has been recent engagement at the national level which should enable greater engagement with BKSDA.
- IFACS has engaged with partners and stakeholders using a variety of approaches including MOUs, grants, subcontracts, training, technical assistance and MSF. One of the most successful engagement strategies has been IFACS teams actively supporting local government agendas and influencing those agendas through the approaches discussed above.
- While training in GIS, SEA and LEDS is necessary to build environmental assessments and environmental sensitivity into spatial plans, it is not sufficient to ensure that those tools will be used. The spatial planning process and SEA development and LEDS are as much governance issues as they are technical issues. MSF are the single IFACS strategy for promoting good governance on spatial planning and the development of SEAs. In the majority of focal districts, MSF are not yet strong enough or focused enough to guarantee good governance.

### 2.3.1 LESSONS LEARNED

**Ambition should be grounded in reality during USAID program design in order to achieve lasting results.** IFACS faces expected overall results that evaluators consider to be both

overly ambitious and beyond the manageable interest of the project. These have resulted in field staff focusing on low-level results in hopes of achieving something that might be better achieved by other means. They have become risk averse, so that instead of increasing the possibility of achieving higher level results, they are increasing the possibility of the opposite. Thus it is important for USAID and its implementing partners to establish realistic objectives and expected results that are based on an understanding of local conditions, capacities and the sphere of influence of activities that support results achievement.

**A landscape should be used as a context for project design and implementation rather than solely as a way to focus site selection and activities.** A landscape approach is meant to be used to understand, identify and address a problem – for instance, the drivers of forest loss, at a specific scale and in a given context. But if interventions focused on those drivers is limited to either only the vertical dimension (from the local to the national level) or only the horizontal dimension (directly within the boundaries of the landscape) the approach loses its value and impact. IFACS offers examples of regional leadership that understands this and leadership that either does not or has yet to act on that understanding. Thus the obvious lesson is that USAID and its partners need to ensure that field interventions related to landscape problems should not be limited to a single dimension.

**Spatial planning and SEA activities are necessary, but insufficient to achieve deforestation, biodiversity loss and GHG emission reduction results.** These types of enabling environment interventions require relationship building, commitment from appropriate government entities and strategic sequencing (i.e., understanding future needs and acting to take advantage of opportunities to influence the decision-making and planning processes). Beyond that spatial plans require good governance in their development and implementation. This requires institutions that can implement and enforce, with objective and transparent adjudication. For IFACS the timing has been off, given that most provincial spatial plans have been completed and district planning processes are either too far along or already completed. SEA activities may also be thwarted by a combination of poor timing and lack of commitment on the part of government. For instance, the spatial plan of Papua (completed with support from USAID) is threatened because there is no institutional mechanism in place to enforce it and Jakarta institutions do not seem to be able to overcome local objections. Embarking on spatial planning and SEA development requires getting the timing right, building political capital and generating public support through education and outreach activities to create an informed and competent civil society.

## 2.4 RECOMMENDATIONS

- I. USAID and IFACS should select a subset of ‘focal’ landscapes for intensification of efforts to achieve meaningful results. Evaluators suggest the Mimika/Asmat, West Kalimantan and Aceh landscapes. Criteria for assessing which landscapes should be included in this sub-set over the next 18 months include the following:
  - Long-term LEDS vision of local government as reflected in local policies and spatial plans (or processes leading to the finalization of spatial plans).
  - Competence, commitment and joint vision of key local government partners and local NGOs, contractors, and MSF groups.
  - Opportunities available for cross-institutional action and learning and presence of interested private sector actors.

Intensifying work in key landscapes means: linking district to province to national jurisdictions within landscapes to include Vertical Data Integration (VDI) of social, ecological and economic data through the Geospatial Information Agency (BIG), with TA from USFS

(e.g., Papua has geo-referenced indigenous peoples areas; West Kalimantan has two million hectares of mapped indigenous territories started from BSP days); and reinforcing spatial plans with multi-level transparency, monitoring and conflict resolution mechanisms to resolve disputes. This may mean selection of a subset management unit (i.e., KPH) as the model area within a landscape. In this area, IFACS can catalyze local actors for detailed spatial plans that integrate low-carbon projects; completion of geo-referenced local/indigenous peoples' resource maps. Localization/modeling within manageable forest management units is significant for monitoring licensing and compliance within the low-emissions spatial plan.

2. In the remaining landscapes, focus on strengthening actors for LEDS monitoring, active use and enforcement mechanisms, or setting up institutions for BMP in subsets of the landscape where key interest groups have control--e.g., logging concessions or national parks.
3. Create opportunistic and flexible regional teams: Craft regional strategies, integrate component tasks and narrow scopes of work to focus on catalytic activities that will assist selected key actors (presumably grantees and/or strong, commodity-driven interest groups), that support overall results.
4. Exercise a contract extension of up to 12 months. This will include the following:
  - A process for selection of focal landscape is done (see Results Achievement Recommendation No.1.2.3); within that landscape, a scoping, joint visioning and prioritization exercise is conducted with key authorities (with relevant national GOI agencies) and actors in the landscape.
  - Redefinition of strategies within IFACS and establishment of realistic goals that can be addressed with joint resources in the next 17 months, (plus extension period).
  - Strategic use and institutional commitment of key district/province partners to apply SEA-LEDS (this will mean revision of SOW of SEA-LEDS contractors to delimit training, and fit this with priorities of key Districts chosen).
  - An internal USAID process to assess the impact of contract modifications resulting from RIG and IFACS MTE to be manifested.

Contract extension for up to 12 months will allow for the following additional products:

- Effective engagement of regional programs with provincial level government to enhance improved regulation and management of forest and land resources for conservation and reduced GHG emissions objectives.
- Expand IFACS grants program through 2015 to increase capacity of NGOs to influence spatial planning and land-use decision-making processes at the landscape level. IFACS has booked about half of its \$3.2 million grants program. An extension could lead to efforts to support a more activist role for NGOs in providing transparency.
- More extensive training and capacity building among relevant district government officials with the goal of deepening IFACS work at Landscape level and leveraging greater government commitment to decision making based on tools such as SEA-LEDS.
- Increased achievements (by 15-25%) in terms of results at the output and outcome level.
- Building a solid experiential base among MSF members in monitoring district government decision making concerning SEA-LEDS, spatial plans and the issuing of permits and licenses by District Government. This experience would serve as

a strong foundation for governance focused activities during the next cycle of USAID programs.

5. The contractor needs to put in place a functional electronic-based MIS, which will increase efficiency and accuracy of tracking and reporting and reduce current vulnerabilities. This may require investing in a system upgrade and improving internet access in field offices and staff skill building.
6. Project staffing needs to be revisited. Aceh and Kalimantan would benefit from the kind of technical advisor support provided to Papua. The general staffing plan of IFACS needs to be adjusted in order to:
  - Increase finance and administration staff in the landscapes to support the grants program and regional implementation in general.
  - Dedicate separate staff for outreach and community development functions to allow for enhanced communications and community development programs.
  - Redress the lack of skill sets related to forestry and biodiversity.
  - Ease the supervisory, administrative and reporting burden of the DCOP.
7. Modify Section C.5.1., which currently constrains the program from taking advantage of opportunities and from being able to adjust effectively to changing field conditions. The contract should be modified to allow for adaptive management to best achieve project outcomes. Salary and benefits have a major impact on the ability of IFACS to retain quality personnel. The contract not only ensured lower salaries for project staff but also creates a lack of clarity around end-of-project severance pay. Both issues have an impact on staff morale. Clarity regarding USAID's position on these issues needs to be provided to IFACS.
8. Increase the strength of MSF by encouraging alliances with groups that have leverage such as AMAN in Kalimantan or the private sector (concessionaires). While encouraging these alliances the MSF will also require strengthening through exercises focused on vision setting and planning. Use the MSF to set up transparency systems for monitoring compliance of low-carbon spatial plans (for licensing and other land use conversions).
9. Focus on local organizations, primarily governmental institutions, which have management responsibility for much of the land area of focal districts, such as national parks and BKSDA. The work with concessionaires is one example of this principle, but government agencies who control large areas of land have not received the same kind or level of engagement. Not only do the national parks and BKSDA have control over large areas of land, that land area is rich in biodiversity.
10. The communications efforts of IFACS need to be adjusted to promote IFACS at national and provincial levels among partners and stakeholders. Also IFACS communications need to support the use of environmental planning tools and the role of MSF.

# 3.0 FOREST STRATEGIC ASSESSMENT

## 3.1 FINDINGS

### 3.1.1 EXTERNAL FACTORS

Factors that lie outside the direct control of the FOREST Program can still have a measurable impact on the ability of implementing partners to achieve their objectives. Geographic, political, sociocultural and institutional factors all play a role in shaping the context within which USAID/Indonesia's interventions in the forest sector operates. These interventions are further influenced, both positively and negatively, by other donor-funded programming in the same sectors and geographies. Consequently, the extent to which USAID/Indonesia and its implementing partners understand and account for these external influences can have important effects on the achievement of Project results and their sustainability.

#### GEOGRAPHY

FOREST partners are implementing across the three islands of Sumatra, Kalimantan and Papua (see Annex V for geographic locations of current FOREST and IFACS sites). IFACS, ICITAP and USFS are active across Sumatra, Kalimantan and Papua, while other FOREST mechanisms are focused in one or two of these locations. Some of the drivers of deforestation, GHG emissions and biodiversity loss are common, others not. Although some FOREST mechanisms are located on the same islands, there is little complementarity. The YAGASU activities, for example, are located on the east coast north of Medan in North Sumatra. This is far from IFACS locations in southwestern Aceh. Although not technically a FOREST mechanism, TFCA I is focused in the Aceh landscape. To date, this co-location has not resulted in cooperation. In Papua there is ample opportunity for FFI and IFACS to cooperate given the proximity of implementation and this may happen when FFI begins implementation.

The locations of all FOREST Program field sites pose challenges in terms of distance, topography and poor road and flight infrastructure. This increases the degree of difficulty for implementation of FOREST activities. IFACS, for example, is active in large landscapes, some very remote, with extremely poor infrastructure. IFACS has decided to hone down its geographical scope by limiting activities to focal districts. Remoteness adds to costs, both operational and living. Moreover, current staffing salary levels appear insufficient to compensate for these geographical challenges and continue to limit the achievement of project objectives. SLP faces the same challenges and so will FFI in Cyclops. Recruiting staff for these remote sites has been a problem for IFACS, SLP and FFI.

The geographic focus of IFACS was a partial departure from those areas where USAID has had a long history of support through ESP, NRM and OCSP. This may have resulted in lost opportunities to consolidate and build on gains in those areas. For example, there is a long history of USAID engagement in the Sungai Wain and Balikpapan corridor area of East Kalimantan. The present FOREST mechanisms have not engaged in the corridor.

All three focal regions of the FOREST Program are of high priority for meeting the objectives of FOREST and addressing the priorities of GOI including high levels of biodiversity, peat content, high

rates of deforestation, GOI's REDD+ priorities, intact forest, mangrove forest, a high level of poverty and special autonomy status. All three regions have been targeted under the GOI master plan for the acceleration and expansion of Indonesian economic development (MP3EI).

The reach of FOREST provides USAID and partners the opportunity to have a seat at the table with a variety of stakeholders, donors and initiatives and the potential to draw directly from field-based programs to influence policy. Additionally, with a diversity of sites there is the possibility for increased coordination, collaboration and cross-site learning.

The current geographic approach poses a challenge for USAID to manage, given limited staff, large distances, multiple sites and a total of 16 mechanisms. Field implementation and management is a challenge. Even though IFACS landscapes are geographically proximate and ecologically contiguous, they are not easily linked by either air or ground transport.

## POLITICS

### Land management

The achievement of effective results for almost all FOREST Program activities depend to some extent on the effective navigation of Indonesia's highly complex land and forest management political and legal regimes. Rather than regulating land through one law, which could have been done through Basic Agrarian Law (BAL) No.5/1960, land management in Indonesia is regulated under several sector-based laws that independently cover forestry, mining and estate plantations. The BAL was suspended during the New Order Era, and since then the problems of overlapping and conflicting authorities over land management have increased. On top of this, almost every type of land use has its own line of authority. In such a situation, the landscape approach has to face various different governance regimes, where the interests of the poor, the private sector and governments from local to national levels all compete in the same arena. For example, in Sarimi, where the IFACS landscape's boundary converges with the district, there are at least four types of land use under four different authorities:

**TABLE I. SARMI LAND USE AND AUTHORITIES**

Type of Land Use	Authority/ Level	Type of authority
1. Forest production concession ( <i>Hutan Produksi</i> )	Ditjen Pengusahaan Hutan – MoF/ National	Concession license (IUPHHK-HA or IUPHHK-HT)
	Dinas Kehutanan/ District	Timber license (IPK)
2. Mamberamo Wildlife Reserve	Ditjen PHKA – MoF/ National	Forest Management Unit
	BKSDA/Province	Forest Management Unit
3. Protected Forest ( <i>Hutan Lindung</i> )	Dinas Kehutanan MoF/ District	Forest Management Unit
4. Non-forest area ( <i>Area Penggunaan Lain/APL</i> )	National Land Agency (BPN)/ National/Provincial/ District	Land licenses (land titles for ownership,rent/lease,management); or if there is timber, then timber harvesting and transporting licenses
5. Large-scale plantation, smallholder plantation, farms, fishery	Dinas Perkebunan, Dinas Pertanian, Dinas Perikanan/ District	Plantation business licenses, Technical management
6. Housing, Offices, Infrastructure	Dinas Pekerjaan Umum/ District	Building licenses, etc.

Those who tend to successfully navigate these governance regimes can be predicted by the “two Indonesias” concept in the sense that power is held by the more urbane who are wealthier and better able to take advantage of the law than the poorer less knowledgeable people living in forest communities. Current forest ownership and management patterns, the economic opportunities forests offer and the constraints to development in each of these areas all impact forest-dependent populations’ prospects.

Theoretically, the Forest Management Units will solve the problem of forest tenure as outlined by Minister of Forestry Reg. PP.6/MenhutII/2009 concerning formation of FMU areas. According to the MoF (Katodihardjo et al 2011) forest management activities conducted by the FMU shall consist of Conservation Forest Management Units (KPHK), Protection Forest Management Units (KPHL), and Production Forest Management Units (KPHP) depending on the dominant forest function by area in the FMU. A management system shall be established in each Forest Management Unit.

### **Local politics**

Local politics can create both advantages and constraints with respect to environmental governance. For instance, newly formed districts may provide conducive environments for collaboration since there are clear needs for technical assistance, there is often less sectoral competition, and coordination among local government agencies can be relatively easy (Examples from within the IFACS landscapes include: Gayo Lues, Kayong Utara and Sarmi).

On the other hand, changes in local governance regimes may produce some setbacks. Most of the FOREST implementing mechanisms have experienced circumstances in which elections for Bupati and/or Governor have slowed down progress in collaboration and raised uncertainties in activity planning and/or implementation following the election (Examples from among FOREST locations include: Aceh and Papua Province, Aceh Selatan District). Local politics provide both advantages and constraints.

The most influential factors impacting land use management are the politics of licensing and spatial plan development and implementation within governmental agencies. These processes tend to often have significant negative impacts on forests, low carbon development, and biodiversity conservation. Components of these factors include both gazettement and concession licensing. Differing development agendas between national and provincial governments, especially in the context of special autonomy in Aceh and Papua, have produced conflicting regulations concerning forest delineation and gazettement, which have the potential to create land tenure problems due to legal uncertainties surrounding forest status. For example, forest degazettement covering 45,000 hectares in Aceh Province has been proposed in the provincial spatial plan. However, the area in question was converted many years ago into non-forest uses through the encroachment of villages and transmigration areas. In Papua, the spatial plan committed 90 percent of total land area for the protection of ecosystem services. However, the MoF has issued a decision to convert a parcel of this planned protected area into production forest.

The politics surrounding licensing and spatial plan development and implementation within government agencies are devastating for forests, low-carbon development and biodiversity protection. The licensing process at the district level is out of control, both technically and institutionally, which makes it difficult to determine compliance with any existing spatial plan or other related regulations on spatial allocation. The agency responsible for spatial plan implementation and control has not yet been established in some FOREST project sites (for example, Papua), making implementation and enforcement difficult. District heads generate income for the district through licensing. The mining sector has been aggressively seeking licenses. The upshot of district heads having licenses to sell and mining companies seeking licenses is that 10,599 licenses for mining were issued in the past decade with over 50%, or 5,940 licenses, found to be not

'clear-and-clean'. (Jakarta Post, 11 March 2013). There is no effective control of the license issuing business at the district level.

Contradictions between local and national government development agendas and within sectors at the national level create a challenge. At the national level, the MP3EI policy advocates the expansion of plantation and mining areas, especially in Kalimantan and Papua. Plantations and mining are recognized as potential drivers of intensive licensing for private sector concessions and deforestation (for example, the land allocation for food estates in West Kalimantan that is targeted for government owned enterprises or BUMNs). This has proceeded in Kalimantan despite the present moratorium on issuing new forest concessions. Nonetheless, some alignment of interests is evident. For instance, Aceh and Papua government programs emphasize the importance of community livelihoods that corresponds positively with the community livelihood aspect in FOREST, particularly IFACS.

### ***National politics***

There are two major national government players in the forestry sector. MoF, and its rules and players, is well known even if present USAID relations with MoF are not at an historical high. The other major player is the Ministry of Home Affairs (MoHA), which is responsible for the national government system including local, district and provincial governments. MoHA establishes all implementing regulations and guidelines related to local, district and provincial governments. MoHA can cancel any local regulation established in a district if the Ministry finds it to be counter to district authority. One of the two sources of funds for districts comes from MoHA. The second source is from local revenue and technically this is where licensing or permitting revenues should enter into district budgets. MoHA is responsible for providing capacity building to district government officials. The FAA 2012 118/119 refers to the lack of knowledge that they found among district level officials related to biodiversity, climate change and environmental issues. These are the people charged with implementing spatial plans and SEA LEDS. MoHA focuses their capacity building on administration, not on managing a district (USAID, December 2012).

### ***Institutional***

The majority of government agencies working in protected forest areas lack sufficient human resources, facilities and management capacity. Assistance provided to relieve some of these burdens has, in some cases, resulted in dependency on the part of the recipient instead of encouraging increases in government budgets to resolve these problems from within. An example of this unintended effect is evident in Leuser International Foundation's (LIF) role in delivering support from TFCA to BKSDA. LIF has taken over many of BKSDA's main tasks, which has dampened the signal indicating a need for increased co-funding from the government despite escalating problems in wildlife trafficking and human-elephant conflict in local villages. Nevertheless, not all assistance arrangements produce dependence. Support provided by IFACS to BAPPEDA Mimika, Gayo Lues and the Aceh Geospatial Development Center (AGDC) has been successful in generating co-funding.

USAID/Indonesia's FOREST Program implementing mechanisms are influenced to some degree by the programming of other donors. In fact, in certain landscapes the donor space is fairly crowded with respect to forest sector initiatives. This creates both positive and negative conditions within which the FOREST partners are implementing their activities. For example, cooperation with RDMA's ARREST Project, through a subcontract with Freeland, has assisted IFACS in implementing law enforcement activities that support the IFACS goals. On the other hand, the presence of major REDD+ projects in Central Kalimantan, as represented by the Kalimantan Forests and climate Partnership (KFCP), while not having a negative influence on IFACS, could best be seen as an opportunity that has not been taken advantage of. Two factors underlie this: IFACS lacks the staffing to effectively collaborate with other projects and the lack of vision of IFACS staff.

### **3.1.2 FOREST MECHANISMS**

The FOREST Program was designed to “improve the protection and sustainable use of forest ecosystems” through the provision of technical assistance focused on enhancing forest governance, management and conservation of forest resources, private sector sustainability, and responses to the threat of global climate change. In support of this objective, USAID/Indonesia engaged several acquisition and assistance mechanisms to implement activities in strategic landscapes and contribute to both USG and GOI priorities. USAID/Indonesia hypothesized that it was necessary to execute these interventions in concert in order to obtain the desired results. Thus it attempted to build into the Project an element of coordination among the FOREST mechanisms through the promotion of certain technical approaches and targeted stakeholders/partners, and through the establishment of a designated coordination role to be filled by IFACS, the flagship FOREST implementing partner.

The approaches, partners and mechanisms engaged by USAID/Indonesia under the FOREST Program have generally complemented one another and independently support elements of the Project objective. From a strategic perspective, the FOREST implementing mechanisms have individually filled either primary programmatic or support functions, and none of the activities implemented by the component mechanisms has directly conflicted with or undermined the efforts of any of the others. Nevertheless, despite the stated vision of the FOREST Program, the constituent mechanisms were not designed as integrated components of a larger entity. Rather, each mechanism was conceived independently and without serious consideration for how it would be incorporated into the greater structure of the FOREST Program. Consequently, as a group, the FOREST mechanisms are constrained in their ability to make any synergistic contributions to the Project objective by a general lack of integration and collaboration and by the existence of certain programming gaps not currently being filled by existing mechanisms. Moreover, lackluster performance by certain FOREST mechanisms has hampered the overall ability of the FOREST Program to make progress toward achieving its objectives.

#### **COORDINATION**

As the flagship implementing mechanism of the FOREST Program, IFACS is charged with coordinating the various USAID/Indonesia forestry sector interventions, to include the implementing mechanisms directly funded by FOREST (USFS PAPA, DOJ-ICITAP PAPA, FFI and YAGASU, and SLP) and other relevant USG programs and activities in the forestry/terrestrial biodiversity sector that receive support from USAID/Indonesia (TFCA I and II and the University Partnerships). This coordination requirement encompasses both the implementation of all IFACS components and performance monitoring and reporting for all USAID/Indonesia forestry sector interventions. However, in practice, IFACS’ technical coordination function with respect to activity implementation has been minimized, and its role has evolved into one focused primarily on convening meetings, compiling data, and providing limited technical assistance. This transformation of IFACS’ coordination function has been influenced most importantly by four principal factors: 1) inconsistent directives from USAID/Indonesia; 2) a lack of leverage on the part of IFACS; 3) disinterest among the FOREST partners; and 4) a narrow vision of coordination opportunities.

Provisions of Component Four of the IFACS contract, in particular those relating to the Forest Resources Program Steering Committee, the umbrella FOREST work plan and coordination with the Ministry of Forestry, are not being implemented by the contractor per instructions from the USAID/Indonesia Environment Office. It is unclear where the inconsistencies between the contract language and these directives originated, as neither current USAID/Indonesia staff nor current IFACS staff have been able to identify their ultimate source. The uncertainty seems to have been exacerbated by turnover among both IFACS staff and USAID/Indonesia management. Regardless of

where these changes originated, the result is that the emphasis on coordination among the FOREST partners has diminished, primarily in terms of technical implementation.

The contract language charging IFACS with leading coordination efforts among the various implementing mechanisms funded under FOREST was not supported by additional measures to provide IFACS with sufficient leverage to convene the other partners in an effective manner. Apart from the requirements to report on common, top-level indicators and attend semi-annual Partners' Coordination Meetings, the other FOREST partners are not obliged to coordinate with IFACS on activity implementation. Thus, in conferring the responsibility for partner coordination upon IFACS without providing it with the means by which to compel participation (for instance without USAID/Indonesia compelling partner participation directly), USAID/Indonesia effectively limited the scope of technical coordination within the FOREST Program.

Moreover, for many of the USAID/Indonesia implementing partners, in particular the US-based universities, USAID funding constitutes only one of multiple sources of support. Consequently, the partners do not share an equal sense of obligation or motivation to engage with IFACS on common technical issues. A telling example of this prevailing attitude is FFI's comment at the Partners' Coordination Meeting on January 28, 2013 in which the Chief of Party noted that the partners need to feel like they are "getting something out of it" if they are to be motivated to collaborate with one another.

The lack of engagement among the FOREST partners extends to the field where partners operating in the same landscapes and/or implementing related or complementary activities are not working together to share best practices and lessons learned. While partner apathy and asynchronous timing with respect to activity implementation may certainly play a role in limiting collaborative efforts, a narrow vision of the landscape approach and associated opportunities for coordination appear to be much more constraining.

## **GAPS**

The existing mechanisms within the FOREST Program employ a fairly comprehensive suite of technical approaches and engage a wide variety of stakeholders. However, there are two notable gaps in current implementation related to the Project's engagement with protected areas that should be filled in order to address more directly the threats to forest resource conservation and build greater capacity for their improved management. The gaps are the capacity of protected areas to fight environmental crimes and to manage forest resources effectively for both conservation and livelihoods benefits.

Since the completion of USAID/Indonesia's buy-in with the DOJ-ICITAP PAPA, no single FOREST mechanism is focusing specifically on the enforcement aspects of forest protection, although a sub-grant to FREELAND has provided limited enforcement training. While the DOJ-ICITAP activities served largely a support, rather than a primary programmatic function within FOREST, they were nevertheless an important piece of the overall Project approach to improved forest governance. This was evident in the Aceh Tenggara landscape where Leuser National Park officials expressed appreciation for training and equipment provided by DOJ-ICITAP but noted that they are still facing both funding and human resources challenges that limit the capacity of the park to monitor and enforce environmental crimes.

Leuser National Park officials also highlighted certain specific management challenges including encroachment, coordination with district-level forestry agencies, establishment of wildlife corridors between the Tripa and Singkil swamps and Leuser National Park, and insufficient revenue from tourism. The capacity of the short-staffed National Park management to address these challenges has

a direct impact on the IFACS Aceh Tenggara landscape, a large proportion of which includes Leuser National Park land.

#### **WEAK PERFORMANCE**

The degree to which each of the FOREST Program implementing mechanisms is contributing as expected to the sound and timely implementation of Project components has an important impact on the overall ability of FOREST to achieve its objective. While none of the FOREST mechanisms is completely free of performance deficiencies, two stand out in their marked lack of progress toward fulfillment of the requirements of their agreements with USAID. The weak performance of these mechanisms limits the collective potential of the FOREST Program to produce sustainable impacts within the five-year Project timeframe.

*“Mitigating Greenhouse Gas Emissions through Reducing Deforestation and Forest Degradation, Plus Forest Rehabilitation in the Cyclops Mountains Program”* - The two-year, roughly \$1.5 million Cyclops Mountain APS mechanism implemented by FFI was signed in June 2012 but has yet to begin implementation. There is currently no approved work plan or PMP, FFI has no office space in the project area, and only one full-time staff member has been employed on the ground. For the four components of the agreement, only one part-time activity coordinator (for Community Forestry) has been hired to date, and his ability to fulfill this role is questionable due to concerns regarding his affiliation and commitments to another IFACS-funded grant in Papua. The project scope is extremely ambitious, and FFI’s capacity to implement all of the components is highly questionable under current circumstances. It should also be noted that the procurement process for this APS took two years, after which point the relevance of the original proposal was decreased and consequently in need of significant modification, particularly with regard to staffing and project scope. Because of this lengthy delay in project approval, proposed project staff accepted other positions and many of the private sector partners changed their minds about working in the Cyclops Mountain area. Consequently, it is doubtful that FFI will be able to produce all of its expected results within the remaining 18 months of the cooperative agreement.

*“The Sustainable Landscapes Partnership (SLP)”* - The five-year, \$20 million SLP Global Development Alliance (GDA) agreement with USAID and the Walton Family Foundation and implemented by CI, has been in the implementation phase for two years, and while CI has produced a few robust baseline studies, assessments and other reports, most notably the Sustainable Investment Action Plan (SIAP), there has been only minimal activity with the Associates Committee and the GDA has yet to award a single grant. Although CI has recently opened a field office in the target landscape, to date it has not implemented any activities on the ground. Moreover, CI has experienced significant leadership difficulties, high staff turnover and an inability to recruit qualified, field-based staff.

SLP is currently looking to expand to a second site, but CI has yet to demonstrate its ability to operate effectively in the initial site of Mandailing Natal. Very little funding from USAID has been expended to date, as most of the funds used so far have come from the Walton Family Foundation’s contribution to the GDA. Over the course of the last two years, there have been significant adjustments in the balance of funding of SLP from the GCC and biodiversity earmarks in order to comply with the requirements of the earmark. Given the scope and focus of the project USAID should ensure that any future funding going into SLP is predominantly GCC/Sustainable Landscapes funds with a minority biodiversity funding, though considering the performance issues and pipeline further funding is not recommended at this time.

While management of SLP was based in Washington for the past two years, it has recently been transferred to Jakarta, and a new chief of party was recently hired to provide much needed leadership on the ground. SLP constitutes a high profile, major public-private partnership, which was announced by President Obama as part of the US Fast Start Financing commitment. However,

despite its initial promise, the ability of CI to ramp up implementation to a sufficient degree in order to meet the terms of the GDA agreement remains to be seen.

### **3.1.2 GOI PRIORITIES**

#### **INTERFACE BETWEEN FOREST AND GOI PRIORITIES**

The FOREST Program was developed in support of the USAID/Indonesia Mission Strategy (2009-2014) following significant sector analysis, consultation with a number of GOI Ministries, including MOF, BAPPENAS and MOHA, and with consideration of GOI Presidential priorities. FOREST is also a key deliverable under the comprehensive partnership agreement.

At the national level, the FOREST Program supports at least two GOI priorities on reducing deforestation and biodiversity loss: 1) Indonesia's National Action Plan for GHG Emissions Reduction (RAN-GRK) targets (26 percent independently and 41 percent with international donor support); and 2) The MoF Program on Conservation of Biodiversity and Forest Protection included in the Strategic Plan (RENSTRA) for 2010-2014.

The FOREST landscape-based approaches that promote LEDS and biodiversity should effectively support a wide range of GOI priorities at both national and regional levels and help to coordinate multi-stakeholders interests. These assumptions are based on GOI needs analysis and development planning documents. At present, USAID is the only donor directly employing landscape-based approaches. However, GOI policy coordination on land use and GHG targets among national, provincial, and district levels remains impossibly challenging. For instance, one of the districts in the IFACS Aceh Selatan landscape has requested the reclassification of forest areas to APL for the purpose of promoting district economic development despite the fact that the area in question is included in the national FOREST moratorium map.

Indonesia's verification standard for legal timber (SVLK) offers an opportunity both to improve sustainable management of forests and support the Ministry of Forestry. A SVLK certification is acknowledged by the EU through a Voluntary Partnership Agreement (VPA) with Indonesia as zero-risk timber. This means SVLK certified timber can be imported into the EU without having to undergo additional due diligence. SVLK implies sustainable management of the forest. In West Kalimantan, all concessionaires are required to have SVLK certification. IFACS will work with the Ministry of Forestry to implement a series of workshops in focal districts on SVLK (including Katingan and Ketapang).

The reporting of FOREST Program achievements with respect to GOI priorities has not been well established. The consolidated report of FOREST indicators that should be prepared under IFACS Component Four has not been made available yet. Consequently, these achievements are not being captured and recognized by the main GOI stakeholders, particularly at the national level.

### **3.1.4 FOREST SUSTAINABILITY**

Predicting the sustainability of a project or its activities is often difficult even at the end of the implementation period, and even more so during the earlier stages in the life of a project. However, an assessment of the robustness of project activities and their expected results, along with the degree of integration into government or civil society systems/ cultures (institutionalization), can provide a reasonable estimation of sustainability.

#### **USFS PAPA**

The USFS PAPA essentially serves as a technical assistance resource for the FOREST Program. That USFS activities have been integrated into IFACS activities means the extent to which IFACS is integrated into government or civil society systems and is targeting the services and technical assistance of USFS into these systems, the greater the likelihood that USFS activities will be

sustainable over the long term. The carbon stock assessment training the USFS conducted for IFACS is an example of robust, participatory assistance that has been well integrated into local government and community development visions. The work of USFS in support of initiatives such as the Climate Change Center and One Map has also made meaningful contributions to government-supported institutions that have strong internal backing independent of the USFS role in their development. Consequently, the USFS contributions to the achievement of the FOREST Program objective are likely to be highly sustainable.

#### **DOJ-ICITAP PAPA**

From 2010-2012, the Department of Justice International Criminal Investigative Training Assistance Program (DOJ-ICITAP) implemented training, technical assistance, and infrastructure development activities to build the capacity of Indonesian law enforcement agencies to address environmental crimes that threaten forest ecosystems. DOJ-ICITAP provided multi-agency coordination and training support to law enforcement personnel from multiple provinces in three target ecosystems - Kutai, Gunung Leuser, and Kerinci Seblat, and supplied database management systems (DMS) for environmental crimes and limited equipment donations to relevant enforcement agencies. However, for the most part, these activities lacked the necessary integration, coordination and scale to have sustainable impacts.

To ensure the sustainability of its activities, DOJ-ICITAP should have made an effort to institutionalize its training curricula via police academies and training-of-trainers (TOT) workshops with target law enforcement agencies. Moreover, the limited scope of DOJ-ICITAP's technical assistance and infrastructure development efforts, and the narrow geographic overlap with other FOREST implementing mechanisms, constrained the scale of its impact. Consequently, DOJ-ICITAP's activities will only have impact as long as those who have been trained remain active, and the equipment/ software donations are unlikely to have long-term sustainability without significant technical follow-up from DOJ-ICITAP and budgetary commitments from the recipient law enforcement agencies. DOJ-ICITAP's desire not to pursue future engagement in the forest crimes sector essentially assures that this will not happen.

#### **SLP**

The Sustainable Landscapes Partnership (SLP), implemented by CI, is focused on catalyzing low carbon private sector investment in specific landscapes in Indonesia. The SLP facility is designed to invest in low-carbon and REDD+ development activities and in business models that reduce or eliminate deforestation and associated GHG emissions. SLP has yet to begin implementing. SLP has failed to award any grants or implement any on-the-ground activities over two years, this calls into question the capacity of CI to secure any sustainable results within the period of performance.

#### **CYCLOPS MOUNTAIN CONSERVATION**

In August 2012, FFI signed a two-year cooperative agreement with USAID/Indonesia for Cyclops Mountain Conservation in Papua Province. The two-year agreement is focused on mitigating greenhouse gas emissions through reducing deforestation and forest degradation. However, to date FFI has not begun implementing activities in the field. Attempting to predict the sustainability of FFI activities given that the lack of implementation, the ambitious nature of FFI's technical proposal, combined with the lack of an approved work plan and field staff to implement it, seriously calls into doubt FFI's ability to deliver any meaningful results within the remaining period of performance.

#### **CARBON CREDITS FOR MANGROVE ECOSYSTEMS**

In July 2012 YAGASU began implementing its activities in the mangrove forests of the East Coast of North Sumatra as part of the GHG mitigation APS issued by USAID/Indonesia. The components of the cooperative agreement include a number of robust, community-focused activities that have

allowed YAGASU to build a strong foundation for sustainability. YAGASU has been active in these communities since at least the time of USAID/Indonesia's Environmental Services Project (ESP) and is well established and respected. Moreover, YAGASU's successful experience implementing similar activities argues for a high likelihood of sustainability for the results of their present work.

### **IFACS**

While IFACS is USAID/Indonesia's flagship intervention in the forest sector, it has had setbacks in implementation that may limit the sustainability of some of its activities. IFACS' work with local government has been very strong in some targeted districts where regional teams have succeeded in aligning their agendas with those of local government. The BMP and RIL work with timber concessionaires is strong and has the potential for a ripple effect among other concessionaires. Efforts at establishing an enabling environment for SEAs and spatial plans have a more challenging path to sustainability, but impacts on the enabling environment can have a significant and long-lasting impact given sufficient follow-through.

Solid SEAs can have effects past the life of the project if the information is actually used by local government and communities. IFACS' work with MSF plays an important role in this respect. MSF will be sustainable to the extent that they have an interest and incentive to work together past the conclusion of IFACS. Elements that support the sustainability of MSF efforts include the following: The MSF that existed before IFACS arrived have a higher likelihood of continuing after IFACS is finished. MSF that have members with a strong interest in LEDES and conservation, or 'keeping the forest standing' independent of IFACS (rattan growers, sustainable forest products companies) have a higher chance of continuing to work to this end regardless of IFACS support.

The sustainability of IFACS' training efforts is unclear since IFACS may or may not be training the right people in terms of uptake and perpetuation of skills/ knowledge, and few, if any, activities focused on application of acquired knowledge have occurred. Technical assistance to forest concessionaires has every indication of long-lasting sustainability. The work with PT Freeport Indonesia in establishing a mangrove conservation offset could be a big win in terms of impact and guarantee a sustainable outcome for IFACS work in Papua, if IFACS can succeed in bringing it to fruition.

### **3.1.5 STRATEGIC APPROACHES**

FOREST Program partners undertake a broad array of technical approaches, although none uniformly, across all sites or partners. IFACS, SLP, YAGASU and the FFI agreement are the principal implementing mechanisms under FOREST. The evaluators identified and assessed technical approaches that are employed across several of the FOREST Program mechanisms including: landscape scale; district-level engagement; spatial planning and SEA; Multi-Stakeholder Fora; private sector; sustainable livelihoods development; and gender. The evaluators analyzed the application and merit of these approaches under FOREST and found there is a significant opportunity to both improve the implementation of these approaches and increase learning across the FOREST portfolio in order to enhance and scale up impact.

#### **LANDSCAPE APPROACH**

IFACS and SLP are both designed around focal landscapes. IFACS landscapes were identified based on a set of technical criteria (i.e., high biodiversity, carbon and economic priority). Within IFACS the landscape approach has not always been well used. While the landscape approach is meant to be a problem-based approach for planning, to identify interventions that would positively impact the focus landscape, IFACS field staff have often taken it to mean that interventions are to be focused within the limits of the landscape. Rather than working to have *impact* on target landscapes, IFACS regional teams have often limited themselves to working *within* the confines of landscapes. This has

constrained strategic engagement and affected overall results achievement. Present IFACS leadership understands the issues and is taking steps to help regional managers take appropriate measures.

USAID experience has shown that a landscape approach can be a powerful tool to identify entry points and opportunities to achieve climate change and conservation results. This experience further suggests that this tool should be considered a core approach in the forest sector moving forward. This approach can be used as an entry point into engaging stakeholders and understanding human and institutional assets in the landscape. Once targets within the landscape are identified, it is necessary to undertake an analysis (or utilize an existing analysis) of drivers/threats to conservation targets, understand the natural resource governance regimes and market/economic influences present and identify human and institutional assets across the landscape. This understanding and information should then form a basis for activity design.

Potential 'big wins' exist for IFACS when the landscape lens is applied and interventions are not constrained within the boundaries of the landscape. Examples of potential big wins include:

- In Papua, former provincial leaders are supporting a proposal for an FMU for mangrove protection in Mimika and Asmat.
- In Papua and West Kalimantan, the provincial coordinating bodies for land-use planning (BKPRD) to map out development of RTRD/RPJP-M need support.
- In West Kalimantan, through collaborations with Ford Foundation, BIG and USFS, there is the opportunity to integrate thematic maps of indigenous people's territory leading to improved forest management.
- In Papua, with the EU-ICRAF project, ParCimMon, jointly implemented with Papua Low Carbon Task Force, there is potential to develop building blocks for effective land-use monitoring through negotiation and conflict resolution mechanisms and application of Spatial Planning Law No. 24/07.

#### **DISTRICT-LEVEL ENGAGEMENT**

Decentralization has increased the importance of district-level engagement, but engagement at this level is insufficient to achieving all the goals of FOREST. Districts have a significant level of power in managing natural resources but all too often a low capacity to do so effectively or efficiently. Although the district-level strategy has resulted in measurable impacts, IFACS has not engaged sufficiently with key stakeholders beyond the district level, except in Papua, and this has been a barrier for effective implementation on the ground in the other landscape. A clear example of this is in West Kalimantan, where IFACS is working with the Katapang District forestry office on a FMU. When MoF learned of this cooperation, they retracted active support of the effort.

#### **SPATIAL PLANNING AND STRATEGIC ENVIRONMENTAL ASSESSMENT (SEA)**

Indonesia's Environmental Protection and Management Act No. 32/2009 includes requirements regarding SEA. Article 17 stipulates that "results of SEAs should become the basis for elaboration of the respective policies, plans and/or programs and that any undertaking and/or activity that has exceeded the environment's carrying capacity and accommodating capacity shall not be allowed to continue." (GOI, 32/2009, Section 17)

Engaging in spatial planning and SEA development at the district level is a key entry point into influencing land-use decisions, but each district has its own needs such that FOREST must understand and tailor its SEA training for each priority district to produce sustainable results. FFI and SLP will work on issues linked with SEA and spatial planning and this work should be aligned with IFACS's lessons.

Mapping is an enabler for spatial planning and is required under UU26/07. ‘Putting people in the map’ was successfully done in the Papua provincial land-use plan (database of geo-located villages), supported by USAID. Participatory mapping, begun by USAID-BSP, is at its peak in West Kalimantan, where formal submission by AMAN and the Participatory Mapping Network (Jaringan Kerja Pemetaan Partisipatori JKPP) of indigenous peoples maps was recognized by BIG. IFACS and FOREST are well positioned to scale this up. Complete spatial information is about people and institutions and balancing human priorities with environmental and economic priorities.

#### **MULTI-STAKEHOLDER FORUM**

The MSF has the potential to be an entry point to encourage increased transparency and good governance in land-use management by first being involved in the participatory process of developing an SEA. The MSF can then be in a position to function as a monitor, particularly as the MSF should have access to and an understanding of key data and information. The field reality of IFACS’s engagement with MSF has been mixed, partly due to institutional and capacity factors and partly due to the approach IFACS has taken. Although SLP has included MSF in its program documents it remains to be seen what results will come from their engagement of MSF until they actually begin implementing.

Diverse political, social and cultural contexts influence the differing functions and effectiveness of MSF to engage in decision-making. Using an MSF approach requires a clear vision of what the goal is and how to organize the group. IFACS-supported MSF offer a variety of typologies of MSF: those organized without a clear vision; those with little, if any, alignment with the vision of sustainable forest management and LEDS; those who were self-organized prior to IFACS and are in essence “interest groups” that share the IFACS vision.

Interest groups such as rattan producers, forest concessionaires or crabbers understand their dependence on the well-being of the forest. They tend to quickly understand sustainability issues and threats to their well-being. An MSF consisting of a single interest group may not bring the diversity needed in an MSF, but interest groups can be important allies and may offer political capital.

#### **PRIVATE SECTOR ENGAGEMENT**

The private timber sector has evolved into an opportunity to achieve sustainable forest management objectives. Although the full potential of private sector engagement has yet to be realized through FOREST due to significant barriers with start-up and staffing, IFACS’ work with the private sector has proven to be quite fruitful. IFACS has worked with concessionaires on the identification of HCV forest and application of BMPs, meeting compliance standards for legality and sustainability and improving supply chains. Further, enterprise approaches are being employed to increase community resilience to climate change.

Work with timber concessionaires has been the highlight of IFACS work in the private sector. Sub-contracts that provide technical assistance to 10 timber concessions have resulted in the concessions adopting and implementing BMPs. Grants have supported livelihood activities to reduce dependence on timber products and increase community resilience to climate change in Aceh, Katingan and Sarmi landscapes. Subcontracts are being used to improve cocoa cultivation activities in Aceh Selatan and Aceh Tenggara. There is potential for IFACS to support a unique carbon offset in Mimika, involving Freeport International and local mangrove communities.

#### **SUSTAINABLE LIVELIHOODS**

Sustainable forest management and biodiversity conservation depends heavily on the extent to which communities living in and around the forest have the rights, capacity and incentives to engage in forest stewardship. This is a key theme within the FOREST Program with YAGASU, IFACS, TFCA and potentially SLP. All of these mechanisms to some extent invest or propose to invest in

improving current livelihood practices and/or introducing new ones within buffer zone and forest communities. Based on a review of these activities, the livelihoods approach within FOREST is to increase sustainable sources of income for forest communities in order to take pressure off forest resources through:

- Substitution of unsustainable forest resource extraction with increased income from sustainable sources;
- Reduction of negative impacts on forest resources of current economic activities in forest areas (patchouli production);
- Improvement of economic activities that depend directly on intact forest ecosystems for their success (mangrove crab enterprise) or;
- Provision of livelihood and health benefits in exchange for conservation and sustainable forest management action (ASRI's work).

Implicit in this approach is the notion that an important driver of forest and biodiversity loss is a lack of sustainable livelihood options for local people and that with the right incentives local people will be forest stewards. In order to adequately test this theory - that sustainable/ alternative livelihoods will decrease drivers of deforestation - there needs to be a complete understanding of the drivers of deforestation and biodiversity loss that influence the design and implementation of the livelihood strategy, combined with baseline data and close monitoring. Evaluators found that in some cases the livelihood activities are linked to FOREST outcomes, but in other cases both the conceptual and practical linkage between the livelihood strategy and forest stewardship is weak.

Examples of FOREST Program livelihood activities and links to forest stewardship:

- IFACS is linking livelihood activities to stewardship through the use of CMMPs and community agreements. This is potentially a good practice but not implemented for long enough to capture and understand results. These types of agreements also may need to be accompanied by a certainty of rights to the resources and land and incentives to participate in order to take pressure off of ecosystems over time.
- Through the sub-grantee ASRI, IFACS is supporting an approach that links the provision of healthcare to forest stewardship and conservation action. ASRI has found that a key driver of unsustainable extraction from the local national park is linked directly to the need to be able to pay for health care and that health care services can be an incentive for conservation, commitment and action. This approach has depended on a thorough understanding of the drivers of unsustainable resource extraction, the livelihood needs of the community and incentives for stewardship underpinned by robust baseline and monitoring.<sup>1</sup>
- Working with a grantee JIKA-OISCA in Aceh, IFACS is supporting the relocation of livelihood activities, patchouli production and processing, from inside the forest and upland areas to a lowland and non-forested location. Relocation has resulted in consolidating scattered plantations into one location that is integrated with the renewed processing plant. The processing plant now uses electricity from micro-hydro, instead of relying entirely on firewood as it was before.
- YAGASU is linking mangrove restoration with the livelihood activities of crabbers that theoretically will strengthen the need of a healthy ecosystem. Women's groups are planting mangrove trees and crabbing. The research facility for ecosystem monitoring is still under construction.

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<sup>1</sup> <http://www.healthinharmony.org/2013/01/24/5-year-survey/>

## GENDER

The 2012 USAID gender policy recognizes “gender equality and female empowerment are now universally recognized as core development objectives, fundamental for the realization of human rights, and key to effective and sustainable development outcomes.” (USAID 2012) In 2009, when much of FOREST came online, USAID did not have a gender policy or requirement for a gender analysis but each of the FOREST mechanisms contain language in their contracts or agreements referring to gender considerations and sex disaggregated indicator reporting. Despite this, the extent to which gender is integrated into design and field activities and reflected in annual reporting and work planning documents is mixed.

Section C.5.7 of the IFACS contract specifies that the program will develop a plan to integrate gender. Although reporting on training indicators is sex disaggregated, a review of the FY13 work plan does not reveal how the implementer is incorporating gender into project activities throughout the landscapes (aside from one mention of gender in the Mamberamo section). Further, the IFACS staffing plan does not contain gender specialists. Women do not hold leadership positions in IFACS. In Aceh evaluators found that women are participating well in cacao field schools and comfortable mixing together with men. In West and Central Kalimantan, only a handful of women take part in MSF and discussion is dominated by men. In Mimika the MSF included a women’s group that seemed active and involved. In Sarimi only a couple of women participants in the MSF were evident.

A brief overview of several of the other FOREST mechanism’s gender efforts: USFS PAPA includes a sex disaggregated reporting indicator, but nothing is in their work plan or SOW regarding gender integration or women’s empowerment through training. The YAGASU agreement states: “The Recipient should outline explicit gender (male and female) considerations and opportunities for any proposed activity to be implemented under this Agreement.” The work plan mentions the inclusion of women’s groups in activities in several places and at the field-level there has been some success in involving women in mangrove conservation through the crab business and related revolving fund. A notable best practice is the segregation of cooperatives to facilitate participation of women. SLP includes sex disaggregated reporting in the PMP and mention of gender considerations in the communications activity of the work plan but aside from that it is unclear how this activity will integrate gender considerations.

## 3.2 CONCLUSIONS

- Geographic, political and institutional factors combine to create a challenging environment for project implementation. FOREST implementing mechanisms themselves tend to be distant from one another, and this hinders synergistic collaborations that could help to achieve objectives. In addition, FOREST has not taken full advantage of historical investments and relationships.
- There are multiple types of land use with different governance mechanisms and authorities in a single landscape that complicate the ability of implementing partners to determine the relevant management authorities to coordinate with for FOREST initiatives and programs. Sensitivity to and adequate understanding of local cultural settings and political contexts, particularly with respect to gauging the potential impacts of staffing decisions, can significantly influence the ability of implementing partners to achieve results at the local level.
- Synergies with other forest sector projects are determined by the compatibility of target geographies, approaches and objectives, as well as staff capacity to build local networks. The existence of other donor-funded projects in a landscape does not inherently create a constraint to achievement of objectives. In fact, other projects may create opportunities to enhance impact. Geographical, political and institutional factors combine to create difficulties

for project implementation. FOREST activities themselves tend to be distant from each other and this contributes to hindering synergistic collaborations that could help to achieve objectives.

- The existing FOREST implementing mechanisms are necessary, but insufficient to achieve Project objectives. Increased coordination is needed among the current FOREST implementing partners - and with other USG initiatives not funded under FOREST - to fill targeted programming gaps within the larger FOREST Program. The lack of coordination has led to a number of missed opportunities; however, improved communication and collaboration among FOREST partners can make an important contribution to improved results and avoidance of future problems.
- Weak performance by two of the FOREST mechanisms, the Cyclops Mountain cooperative agreement with FFI and the SLP GDA collaboration with CI, is hindering the overall achievement of FOREST Program objectives. Given the current timeline and staffing constraints, it is unclear how much these mechanisms will be able to deliver on expected results. Both mechanisms hold much promise, however, and have the opportunity to make significant contributions in the sector if well managed.
- FOREST is making contributions to GOI priorities in FOREST-based sources of GHG emissions, biodiversity conservation and FOREST management. There are excellent opportunities to capture the extent to which FOREST is contributing. Furthermore, these contributions should be made evident to the GOI and other collaborators and stakeholders, thereby enhancing the relationship.
- Despite a lack of ministerial level signals to support IFACS, some district government agencies are actively supporting IFACS. This district-level support is a consequence of IFACS teams cultivating relationships with district government offices and providing training for their staff.
- Trainings including district and provincial officials are crucial for improving capacities in the regions, however, training does not equate to adoption. Improved spatial planning would not necessarily be followed by political will to implement. Thus training should ensure full ownership by local political stakeholders by ensuring they are involved in the needs assessment stages.
- Sustainability occurs when organizations, communities and local governments internalize the interventions of a project. The USFS, YAGASU and IFACS all have or will have sustainable impacts resulting from their efforts because of their successful integration with government, local communities and the private sector. Project engagement with partners has helped them to internalize the various inputs.
- Indonesian law enforcement's suspicions over the invasiveness of DOJ-ICITAP's DMS will likely render that system unsustainable. Moreover, the training and technical assistance activities implemented by DOJ-ICITAP may have less long-term sustainability because DOJ-ICITAP did not make concerted efforts to integrate its training curricula and technical assistance interventions with the appropriate systems.
- The longer SLP and Cyclops Mountain Conservation delay on-the-ground implementation the less likely they will be to achieve sustainable results, as both will lack the time necessary to build the relationships necessary to guarantee sustainability.

- The landscape approach has not always been well applied within IFACS. Leadership in both IFACS and USAID apparently failed during the early stages of the project to ensure that the approach was more robustly applied.
- There is a need and opportunity to anchor a landscape-level approach with a focus on priority protected areas that remain vulnerable to illegal and unsustainable exploitation (logging, agriculture, mining and infrastructure). Although laws often exist the will, finances and capacity for application and enforcement still remains lacking in these core forest areas.
- Finally, the use of a systems approach to design and implement at the landscape level is a best practice USAID should consider, including: the Multidisciplinary Landscape Assessment model (MLA); USAID's SCALE process and MIT's systems modeling tools.
- District-level engagement is a strong approach given the district government's influence on forest management and land-use decisions, the availability of resources to leverage (in the case of Papua) and the general lack of capacity. There is ample opportunity, openness and need at the district level. District-level implementation must be complemented by other approaches to have impact on the overall landscape and to achieve FOREST objectives.
- In districts that already have draft or finalized spatial plans there is still a benefit in supporting the development of a robust SEA since this information is a critical input into any revisions or changes to the spatial plan and future processes. Additionally the SEA can be used by a diversity of stakeholders (MSF's, CSO's, NGO's) as a basis for their planning and advocacy efforts for increased sustainability of land-use.
- Spatial planning over the long term has the potential to shift the development paradigm in districts, but must be accompanied by district-level leadership who understand and support sustainable development and LEDS. Good leadership must then be complemented by a strong constituency, such as the MSF, that can push for improved decision-making and good governance. Spatial planning is not the way to achieve reduced deforestation and GHG targets over the short term; even if everything goes well continuity and follow-through by donors, civil society and GOI are essential.
- There is a need to work along the entire governance value chain to have on-the-ground impact through SEA and spatial planning work. In order for SEA and spatial planning to have an impact on land use in landscapes there needs to be more than training and equipment provision, as is currently being provided through IFACS.
- The MSF has the potential to be a key entry point for public participation in the spatial planning process and the development of SEA-LEDS and could support increased transparency in land-use decisions. The extent to which the MSF mechanism will influence decision making with impacts on forest management is a function of whether they have access to information and data, the capacity to use this information to advocate, the knowledge of their rights regarding land-use decisions, competent leadership, and a clear vision/strategy based on common interest. But at present MSF do not reflect these criteria. The MSF could be an important entry point and opportunity to influence decision making for those groups and individuals that have an interest in spatial planning and sustainable forest management, but the MSF is not an interest group in and of itself. This poses vision, cohesion and sustainability challenges.
- Integrating interest groups, e.g., rattan producers or their agenda into MSF may provide rallying points for MSF as well as cohesive support from organizations outside the MSF network. An MSF needs to develop an agenda that will enhance its strength and direction.

The more it incorporates well integrated groups in its agenda or vision, the better it will be able to confront and successfully derail the agendas of those who would misuse the forest and its natural resource base.

- The evaluators found that those MSF that existed prior to IFACS intervention appear to have a higher likelihood for sustainability past the term of the contract.
- IFACS is poised to develop private-public partnerships although this has yet to be realized. There is ample opportunity to align and support coalitions with private sector and others interested in sustainable forest management at the local, landscape and national levels. There is much untapped potential for USAID to engage the private sector within FOREST and in the future.
- The engagement of the private sector through IFACS has made use of grants and subcontracts to provide training and technical assistance to timber concessionaires, SME's, smallholders and communities focused on BMPs, livelihoods and resilience to climate change.
- Work with Freeport International provides a unique mangrove conservation opportunity in one of the largest contiguous mangrove areas in the world, but has yet to be realized. Communication between IFACS Jakarta and the regional team about this opportunity and progress in its development is neither routine nor inclusive and needs to be improved so that both regional and national teams have a common understanding and share a common vision.
- IFACS interventions have improved community household incomes and are effective in diversifying livelihoods, but it is not clear how they are linked to slowing deforestation. The village priorities selection does not adequately assess the relation between the impacts expected from project activities with drivers of deforestation.
- While there are basic contract and agreement commitments regarding gender there has been no degree of intentionality about the incorporation of gender issues in any of the current FOREST portfolio activities. Social and cultural barriers make this a challenge, but gender integration would improve the effectiveness and sustainability of FOREST, along with advancing gender equality and women's empowerment in Indonesia.

### **3.3 RECOMMENDATIONS**

1. In addition to the criteria used in IFACS site selections, USAID should identify sites based on the potential of leveraging past USAID investments where USAID has a programming history in the forest, biodiversity and climate change sectors. This would allow USAID projects to build on and consolidate gains in those areas.
2. Focus the geographic scope of a given portfolio by trying to strategically integrate mechanisms spatially to avoid having a mechanism isolated in a given region.
3. IFACS should support MSF to develop a monitoring program in the Mimika, West Kalimantan and Aceh landscapes, and future USAID programming should build on efforts to increase transparency in licensing. This would include determining what licenses have been issued, the location affected and the resources and communities being threatened by the license. This information should then be shared with all stakeholders and relevant organizations in an effort to build coalitions that might be able to slow the issuing of licenses in HCV forests.

4. The potential conflicting development agenda between local and national levels, especially in the forestry sector, needs to be identified in order to be able to determine a strategic approach toward such problems. With the direct support of IFACS, the FOREST Program should convene a series of workshops for donors, partners and stakeholders in Jakarta and key landscapes on this topic, resulting in a series of actions or approaches that could be taken by IFACS and USAID.
5. IFACS should strengthen partner coordination by focusing the semiannual Partners Coordination Meetings on selected technical implementation themes, in addition to holding targeted coordination meetings focused on issues relevant to specific partners at the landscape level. These meetings should be mandated by USAID for all mechanisms funded under the FOREST Program, and invitations should be extended to appropriate USG-funded partners and grantees outside of FOREST. In order to provide IFACS with greater leverage in encouraging participation in these meetings, the invitations should be sent by USAID with a clear expectation of participation by all relevant partners.
6. IFACS should consider the provision of targeted incentives to support theme-based learning agendas among FOREST partners to enhance collaboration and mutual learning around priority topics such as: “Pathways to enhancing transparency in the natural resource licensing system in Indonesia,” or “Case study of [model district’s] SEA and spatial planning process for LEDS and forest management.”
7. USAID should strengthen partner coordination by facilitating specific collaborative opportunities via targeted coordination meetings with relevant partners and grantees and establishing goals for collaboration activities. In particular, USAID should facilitate linkages between University Partnerships and flagship mechanisms like IFACS and SLP to encourage information sharing and provide opportunities for pilot-testing and relationship-building with local partners and stakeholders.
8. USAID should take advantage of the opportunity to engage the Department of Interior’s International Technical Assistance Program (DOI-ITAP) through the current PAPA buy-in with USAID/Washington’s E3 Bureau in FY2013, and subsequently through the new PAPA with RDMA beginning in FY14, in order to explore opportunities for enhanced collaboration with national parks and protected areas within IFACS landscapes.

DOI-ITAP has experience working with protected areas on management capacity building, tourism development and community involvement. It could contribute to implementation of the FOREST landscape approach by engaging the principal managers and community stakeholders of the national parks and protected areas that make up a significant portion of the IFACS landscapes. Moreover, DOI-ITAP also has experience providing training for protected area law enforcement, and could help to fill the gap left by the completion of the DOJ-ICITAP PAPA buy-in. In the immediate term, USAID/Indonesia should communicate to the DOI-ITAP scoping team the need to fill the gap within FOREST regarding engagement with national parks, and encourage the team members to consider ways in which DOI-ITAP can provide technical assistance within the IFACS landscapes. Leuser National Park would be a fine initial park to work with.

9. USAID should also dedicate sufficient staff time to managing current mechanisms in the forest sector to ensure that they are able to deliver on their commitments. If they are not performing, there should be a process for identifying barriers to action and overcoming those. If that does not work then warnings should be given and a set of administrative actions taken to resolve the situation. To that end:

- USAID should address performance issues by meeting with FFI as soon as possible to review the proposed work plan and evaluate FFI's capacity to implement its ambitious programming objectives, given the now-reduced timeframe and lack of staff on the ground. USAID should also address immediately the issue of the Community Forestry Activity Coordinator's level of effort on the Cyclops Mountain cooperative agreement in light of his additional involvement with a grant under IFACS in the Sarmi Landscape.
  - USAID should continue to review SLP's performance challenges and work with CI to revise expectations and determine whether or not to expand activities to a second site.
  - FFI should consult with BKSDA, which has activities in Cyclops. Helping BKSDA achieve their agenda will increase the potential for sustainable results from FFI's work (Papua).
10. USAID should halt the proliferation of management units in the Agency's Environment Office to provide for sufficient oversight of existing activities and achievement of results. Given the CDCS process and impending design of a significant new forestry/ biodiversity and climate change program, USAID should use this pause in procurement to learn from the experience of FOREST, and solidify future strategic directions and technical approaches to directly inform future program design. Future investments in the sector should be designed as a comprehensive program with multiple implementing mechanisms that will coordinate and contribute to realistic overall objectives.
  11. A strategic reporting mechanism to GOI stakeholders needs to be developed. Under IFACS Component Four, there should be a consolidated report from all FOREST mechanisms. At least four main FOREST indicators that link up with GOI priorities should be highlighted.
  12. In order to facilitate project implementation, more effective engagement with the MoF needs to be prioritized. USAID should explore a number of strategic opportunities to engage with the MoF. For example, involve the Ministry's Sub Directorate on KPH and the Ministry's Ongoing Education and Training program (DIKLAT) for building forest governance and sustainable forest management knowledge/training systems that can be set up at provincial universities, in partnership with local and foreign (i.e., USFS) experts. Additional entry points to engage include the FIP, given the USG financial contribution, as well as collaboration on forest biodiversity training/ research through collaboration with FORDA.
  13. USAID/Indonesia can enhance the likelihood for impact sustainability from its programs by giving them the flexibility and direction to align project agendas with government, communities and civil society. For instance, IFACS should seek to enhance its integration with local government in those focal districts where this has not yet happened. The SEA-LEDS training program can help achieve this, but it will require positive and focused outreach.
  14. For the priority FOREST landscapes perform an MLA or comparable process: Start from existing data/convergence points of current work -- SEA-HCV for IFACS and Vertical Data Integration of USFS for FOREST and combine data in subset sites of key landscapes. Undertake a multidisciplinary landscape assessment that reviews drivers of deforestation and engage competent local and national institutions.
  15. USAID should continue to work with district governments on forestry, biodiversity and climate change. In order to maximize the benefit of district-level work, all USAID activities should contribute also to national-level efforts to influence policy, share lessons learned and scale-up what is working. One identified opportunity for this is the REDD+ Knowledge Management Working Group and through the Vertical Data Integration and BIG efforts.

16. If USAID is going to engage in support for spatial planning there is a need to ‘tailor’ work with willing districts, at the right time in the planning cycle and identify leverage points for using SEA in influencing the course of the spatial planning development and implementation process. Civil society needs to have not only a voice but power in the process and a role that guarantees good governance in the implementation of resulting spatial plans.
17. USAID should promote an asset-based approach to MSF organizing. This approach takes the position that rather than convening/establishing an MSF one should “go where the energy is” and work with those groups who already have:
  - A common goal and a vision and governance structure in place;
  - An interest in staying together post-project; and
  - An incentive to advocate for sustainable forest management, biodiversity, and LEDS.Potential organizations would include interest groups concerned with indigenous peoples’ rights, rattan and nutmeg producers, private sector forest concessionaires that apply sustainable forest management. The asset-based approach would potentially solidify movement toward a common interest in sustainable forest management in a landscape.
18. USAID should continue to explore ways to scale up and make more effective collaboration with the private sector and build on past USAID-supported efforts such as RAFT<sup>2</sup> and GFTN<sup>3</sup>.
19. Establish a clear relationship between sustainable livelihood activities and the conservation of biodiversity by: collecting baseline data and monitoring to understand impact; ensuring that livelihood activities address biodiversity threats; determining that activities affect a high-biodiversity area; and monitoring biodiversity indicators.
20. Perform a gender analysis of FOREST to identify ways to increase gender integration and train FOREST Program staff using the results of the analysis concerning integration of gender and other vulnerable groups. Use the forthcoming USAID Biodiversity Policy gender analysis as a resource for current FOREST implementers for the CDCS process and for future USAID design in the sector. Finally, USAID should make sure that the design and Project Approval Document process of the next generation of USAID/Indonesia biodiversity and climate programming involve a significant analysis of gender and vulnerable people considerations.

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2 Responsible Asia Forestry and Trade <http://www.responsibleasia.org/>

3 Global Forest and Trade Network <http://gftn.panda.org/>

# 4.0 FUTURE PROGRAM DIRECTIONS

Each of the FOREST Program's strategic approaches discussed in the previous section, when strategically and effectively applied, has the potential to achieve results and support improved forest management and biodiversity conservation while reducing GHG emissions. USAID's 2012 Forestry and Biodiversity Analysis (FAA 118/119) provides a detailed analysis of the proximate threats and drivers of tropical forest and biodiversity loss in Indonesia and identifies the actions necessary to conserve biodiversity and sustainably manage tropical forests. The ideas proposed here build on, validate and hone the results of the FAA 118/119 Analysis, which remains a key resource for USAID in future strategic planning and program design.

A central theme of both the 'actions necessary' section of the FAA 118/119 and this evaluation report point USAID toward the need to redouble efforts in supporting the enabling conditions, both governance and economic conditions, to support sustainable forest and ecosystem management. Greed, corruption and poor enforcement of regulations remain a critical driver of forest and biodiversity loss in the forest sector. Poor natural resource governance not only impacts forest-dependent communities but also destroys efforts to create the conditions for investment by those in the private sector who are interested in sustainable business models.

Insecurity surrounding the rights and responsibilities of forest concessionaires and a system that allows for overlapping and illegal licensing further erodes sustainable forest management and conservation efforts. Forest concessionaires in Central Kalimantan that are implementing sustainable forest management approaches complained of illegal mining concessions showing up in the midst of their forest concessions and not having any effective recourse. Finding 'common cause' through a forest concessionaires interest group, or asset-based approach to collective action, is a crucial lever to align investments and decision-making to support sustainable forest management and conservation in these landscapes.

None of these challenges are particularly new in the natural resource sector. Key themes for future USAID programming start with focusing efforts on governance and economic enabling conditions such as increased transparency, effective enforcement, empowered communities and civil society and targeted economic incentives. These efforts should build on using existing assets in terms of organizations and capacity, in combination with targeted and creative private sector partnerships and market mechanisms. USAID/Indonesia should consider the following approaches and areas of focus:

## **PAYMENT FOR ECOSYSTEM SERVICES**

Ample opportunity exists both in current FOREST sites and more broadly in Indonesia to support creative stewardship and financing mechanisms for forest management, biodiversity conservation and GHG emission reduction through Payment for Ecosystem Services arrangements. Although payment for reduced GHG emissions through REDD+ mechanisms is likely to remain a priority for the USG and GOI, a focus on bundling ecosystem services to increase both the potential economic incentives for sustainable FOREST management and biodiversity conservation and the reach of such mechanisms across ecosystem types, makes good sense.

This is particularly important given the diversity of services that intact ecosystems provide, a “softening” of carbon-centric markets and the interest of potential buyers on the voluntary carbon market to include other environmental and social benefits.<sup>4</sup> Further, there is an opportunity to bundle and value the services provided to society by intact ecosystems for sale or offset (water provision and cycling, biodiversity, forest carbon) and to link those services to service providers (local communities, national parks, FMUs) with buyers at the local or national-level within Indonesia (districts, private sector etc.) Determining an economic value for sale of the service (‘tons of carbon’ or ‘gallons of water’) should consider more than just the ‘market rate’ for the service to include the economic requirements for sustainable management and continued provision of that service. USAID has experience in the establishment of legal instruments and systems to facilitate effective PES arrangements that should be taken into account in considering this approach.<sup>5</sup> Indonesia’s sub-directorate of Ecosystem Services under MoF/PHKA issues licenses for ecosystem services that provide a platform for the development of PES systems (PP 36/2010 and PP 48/Menhut II/2010).

Several examples of opportunities within FOREST sites for possible PES efforts include the forests of the Cyclops Mountains in Papua province, including the protected area, have significant carbon value and provide the water supply for Jayapura, a city of 200,000. USAID and FOREST partners with activities in Cyclops/Jayapura area (namely FFI and Tetra Tech) should explore the opportunity to lay the groundwork for a PES effort (focused on water for local users and potentially forest carbon outside the PA) through FOREST. Although yet to be explored, the development of hydropower in the Mimika landscape (Urumuka River) may provide an opportunity for a PES arrangement or royalty payments for conservation, given Freeport’s role as principle consumer of electricity produced in area.

## **COALITION AND CONSTITUENCY BUILDING**

Informed constituencies that understand their rights are a key component for sustainable natural resource governance. USAID should look to the human and institutional assets that exist in key geographies and favor coalition and alliance building with groups that may have a common interest in healthy forest ecosystems from a variety of perspectives over the creation of new organizational structures. Several FOREST partners have chosen to work with MSF and have encountered the strengths and weaknesses of this (see Strategic Approaches section). In cases where there are weak MSF or no MSF, working with existing interest-based groups with momentum may be a better approach. USAID should consider the opportunity to support and help a movement for sustainable forest management coalesce between private sector, civil society and government actors who have a stake in healthy forests. In some cases the MSF can serve this role, and in other cases it is best to work directly with stakeholders who may already have momentum. Additionally, indigenous peoples, women and youth are critical to building a solid constituency to advocate for sustainable forest management and biodiversity conservation in Indonesia, but they have not been a strong focus of FOREST.

## **TRANSPARENCY, ACCOUNTABILITY AND CONFLICT PREVENTION/RESOLUTION**

Increasing transparency and accountability in natural resource decision making, particularly within the natural resource licensing system has been identified as a significant gap when working with the

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<sup>4</sup> Rethinking REDD: Benefiting the Environment and Forest People. Asia REDD Working Group [http://www.communityforestryinternational.org/pdfs/Rethinking\\_REDD\\_FINAL\\_4.pdf](http://www.communityforestryinternational.org/pdfs/Rethinking_REDD_FINAL_4.pdf)

<sup>5</sup> The Katoomba Group. <http://www.katoombagroup.org/> and; Payment for Forest Environmental Services. January 2011. USAID and Winrock International. <http://www.winrock.org/fnrm/files/PaymentForForestEnvironmentalServicesARBCPCaseStudy.pdf>

spatial planning/SEA process. Spatial Planning Law No. 26/2007, article 69 on criminal liability provides the platform for monitoring issuances of permits and licenses in violation of the spatial plan, and building capacity for investigative work among civil servants and CSO. The experience of IFACS and other projects show land-use conversion decisions and processes are fraught with legality issues and corruption. Transparency in spatial planning should go hand-in-hand with commitments by government and efforts to improve accountability. This is an area where USAID has the potential to build and leverage relationships with the democracy and governance communities inside and outside of the Agency for increased impact.

## **LEGALITY AND SUSTAINABILITY IN TRADE**

Many of the drivers of biodiversity and forest loss are facilitated and exacerbated by illegal and unsustainable trade. On the flip side, trade and markets can be an opportunity for improving sustainable use of forest and biodiversity resources. This is one reason IFACS private sector partners apply standards under sustainable forest management and the recently passed Timber Legality Verification System (SVLK). Legality requirements in international timber markets and demand for certified “green” products provide a continued opportunity to engage with interested private sector players to meet and maintain these standards. Additionally, the illicit trade in wildlife is an important driver of biodiversity loss in Indonesia and a high-profile foreign policy concern of the US government. There is a need to scale up efforts to strengthen the spectrum of enforcement and link directly to likely source sites where USAID is already working (Lueser NP, Asmat in Papua) and mobilize constituencies on this issue.

## **ASSIST FOREST COMMUNITIES TO SECURE THEIR RIGHTS DURING THE FOREST GAZETEMENT PROCESS**

There is opportunity to engage nationally with the CSO-MoF Tenure Working Group, the National Forestry Council (DKN) and Indigenous Peoples Alliance (AMAN) to assist forest communities to secure their rights during the forest gazetement process. Over a dozen NGOs participate in this process by contributing data, piloting villages with district governments for conflict resolution, facilitating dialogue. IFACS and future USAID investments in the sector can build capacity and support forest mapping, in tandem with Tenure Working Group processes. They can be set up to receive data from IFACS and FOREST priority landscapes. Handling tenure conflict means securing access to land and assisting in improvement of rural livelihoods.

## **CONSOLIDATION OF THE EFFECTIVE MANAGEMENT OF INDONESIA'S PROTECTED AREAS**

Although the number and area of protected areas (PAs) in Indonesia has increased over the last decade by a total of 57 PAs (equaling nearly 13 million hectares), the system is plagued by serious institutional, management, resource and capacity shortcomings. With the assistance of USAID a connection was recently made with PHKA in the MoF. The PHKA is the directorate general in which the BKSDA is located. The BKSDA is responsible for protected areas outside of national parks. There is a low level of political will and leadership within this system resulting in weak PA management, financing and investment in human resources.<sup>6</sup> For the most part the management of the country's protected areas has not been inclusive of local people pitting the quest to secure livelihoods against efforts to enforce and maintain the integrity of individual PA's. These systemic, institutional and management weaknesses facilitate and magnify the proximate threats to biodiversity in protected areas and to the wealth of biological marvels that they contain.

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<sup>6</sup> USAID Tropical Forest and Biodiversity Analysis (118/119). 2012.

At the same time Indonesia's protected areas represent an opportunity to both improve the stewardship of the country's terrestrial biodiversity and forest resources and increase economic returns. The involvement and engagement of local people is crucial to the long-term sustainability of protected areas, local development and is a key approach to preventing and mitigating conflict with these communities. The potential to develop domestic and international tourism focused on Indonesia's protected areas and new legislation, like that pertaining to the operation of the private-sector to provide services to national park visitors, could be harnessed to support the conservation and improved management of PAs while increasing economic opportunities and the value of the PAs to local people. The country's protected areas should form the backbone for the identification of future target landscapes and are a strategic opportunity for investment of future USAID biodiversity funds.

## **MAINSTREAM BIODIVERSITY AND SUSTAINABLE LANDSCAPE EFFORTS**

Although addressing the enabling environment for best management practices of HCV forests as IFACS has done is an important approach to conserving biodiversity, the FOREST Program mechanisms, including IFACS, have not fully mainstreamed biodiversity, climate change adaptation and REDD+. An overly narrow focus on GHG emissions and deforestation rates in programming will not necessarily result in the conservation of biodiversity resources in target landscapes. This becomes even more relevant if drivers of biodiversity loss aren't exclusively linked to deforestation. For instance, illicit trade in wildlife is a considerable threat to Indonesia's forest ecosystems that won't necessarily be addressed through decreasing rates of deforestation, though this may help to slow loss. This issue is both a technical best practice and a biodiversity earmark compliance question within FOREST and future programs.

## **UNDERSTANDING THE MINISTRY OF HOME AFFAIRS**

As mentioned in III.1 above, MoHA holds an immense amount of power vis a vis local/district government systems and their functioning. Just what their role could be in terms of licensing and land conversion has never been thoroughly investigated. MoHA might be a venue for limiting rampant licensing. A second reason for thinking about MoHA is building capacity in districts beyond spatial planning related to district management and biodiversity and forest loss as suggested in the 2012 FAA 118/119.

## **STRUCTURING THE NEXT PORTFOLIO**

FOREST has had its share of problems. Coordination has been difficult, two large mechanisms have been very slow to start and management of the plethora of mechanisms has been burdensome for the USAID team. A reasonable way to streamline the Project portfolio while increasing both efficiency and impact is needed. To that end USAID might find that limiting its next portfolio to two contracted projects of reasonable size while avoiding a "flagship" project to be useful. The two projects should be distinct entities, but activities could be integrated either around themes, landscapes or objectives. One project would be more in the nature of government to government. This project would focus on piloting innovative approaches to some of the issues that have been mentioned earlier such as management of protected areas and national parks, establishing effective FMUs, establishing community forests or increasing the number of private sector concessionaires operating with SVLK certification. The project would pilot and carefully monitor its activities in order to be able to assist MoF in replicating successful pilot activities in other areas. The second project would rely on subcontracts and possibly grants to support NGOs to respond to issues concerning land tenure, biodiversity, livelihoods, good governance and wildlife trafficking.

# ANNEXES

## ANNEX I: EVALUATION STATEMENT OF WORK

### I. SUMMARY

The objective of the performance evaluation is to provide USAID/Indonesia (USAID) and the Government of Indonesia (GOI) an unbiased and transparent review of progress to date of assistance provided by USAID to Indonesia under the FOREST Resource Sustainability Program (FOREST).

### II. BACKGROUND

In October 2009, following analyses of the needs of Indonesia to address key issues related to its responsibility for managing forestry resources and mitigating climate change emissions from land use change, USAID authorized the FOREST Resource Sustainability Program (FOREST) at an estimated funding level of \$40 million to support a five-year program of assistance (2010–2014).

The objective of the FOREST Program is to improve the protection and sustainable use of forest ecosystems as a vital resource upon which Indonesian people and their economy depend. The Program was planned to reduce the threats of deforestation and help stabilize ecosystems for some of the most important tropical forests remaining on Earth. Part of the forest protection effort was dedicated to orangutan habitat. Through forest protection and management, the Program would reduce greenhouse gas emissions from Indonesia's leading source and build resilience to the impacts of climate change.

The FOREST Program has four components:

1. Land and forest resource governance reform
2. Improved management and conservation of forest resources
3. Private sector sustainability
4. Integrated climate change responses

These components were chosen based on studies carried out to support USAID's strategy development that recommended continued investment in forest conservation using approaches that were consistent with experiences gained under earlier USAID projects including the Orangutan Conservation Services Program (OCSP), the Environmental Services Support Project (ESP) and the Responsible Asia Forest and Trade (RAFT) Program. Additionally because of Indonesia's great store of carbon in its forests and peat lands, investments were planned to integrate climate change mitigation throughout activities while also maintaining healthy ecosystems and forest environmental services to assist Indonesia to adapt to climate change.

The FOREST Program fits within the USAID Operational Plan framework's Economic Growth Program Area, Natural Resources and Biodiversity Element. It addresses sub-elements for Natural Resource Policy and Governance, Sustainable Natural Resource Management and Production, Biodiversity Policy and Governance, Biodiversity Conservation, and Climate Change. The activity responds to the Cross-Cutting Result: Strengthened Response to Climate Change. This program primarily responds to the USAID/Indonesia Assistance Objective: "Sustainable Management of Natural Resources."

These investments are also key elements in the GOI Roadmap for Forestry Sector Climate Change Mitigation and the Forestry Strategic Plan 2010-2014 (RENSTRA), which were completed in 2010.

Subsequent to authorization of the FOREST Program, USAID designed and contracted for assistance from several sources.

1. The USAID/Indonesia Forestry and Climate Support (IFACS) implemented by Tetra Tech/ARD (Contract number: AID-EPP-I-00-06-00008-00, Task Order Number: AID-497-TO-11-00002) with funding of \$40 million was started in November 2010 as the main implementing mechanism for FOREST.
2. Assistance from the U.S. Forest Service (USFS) through a Washington managed Participating Agency Program Agreement (PAPA) with initial funding of \$1 million was started in October 2010 to providing training and technical support at IFACS field sites as well as in Jakarta for the Indonesian Climate Change Center (Center).
3. An Annual Program Statement (APS Indonesia 10-011) for Climate Change Mitigation was issued in February 2010 to seek applications from U.S. and Indonesian Non-Governmental Organizations (NGOs) on approaches to reduce greenhouse gas emissions in both the land use/forestry sector and the energy sector. Two APS grants were eventually award by USAID/Indonesia for Cyclops Mountain Conservation in Papua Province with Flora and Fauna International (FFI) for approximately \$1.5 million and for mangrove ecosystem management in the east coast of North Sumatra Province with YAGASU for approximately \$1 million.
4. A PAPA with the U.S. Department of Justice, International Criminal Investigative Training Assistance Program (ICITAP) for \$700,000 was implemented during 2010-2011 to provide technical assistance to build the capacity of Indonesian law enforcement organizations to engage and prosecute environmental criminal activities to protect forest ecosystems. A portion of this project provided training to law enforcement personnel in East Kalimantan and Aceh/North Sumatra.
5. In response to a USAID Global Development Alliance (GDA) APS for Climate Change, USAID/Washington awarded a \$10 million Cooperative Agreement to Conservation International (CI) for the Sustainable Landscapes Partnership which combined \$10 funding from the Walton Family Foundation (WFF) into an initial \$20 million Facility focused on catalyzing low carbon private sector investment in specific landscapes in Indonesia. This Sustainable Landscapes Partnership (SLP) facility was designed to invest in low carbon and Reduced Emissions from Deforestation and Forest Degradation (REDD+)<sup>7</sup> development activities and in business models that reduce or eliminate deforestation and associated CO<sub>2</sub> emissions.

In addition, USAID/Indonesia supports two other programs that were not funded under FOREST, but are managed by the Environment Office (ENV) and have relevant activities and results for FOREST. These are:

1. Tropical Forestry Act (TFCA) debt swaps. The first TFCA agreement was approved on June 30, 2009 for forest conservation in Sumatra with the Governments of the U.S. and Indonesia and two NGO partners, Conservation International (CI) and Yayasan Keanekaragaman Hayati (KEHATI) with funding of \$30 million over eight years. A second TFCA agreement focusing on Kalimantan was finalized in January 2012 as a partnership of the Governments of

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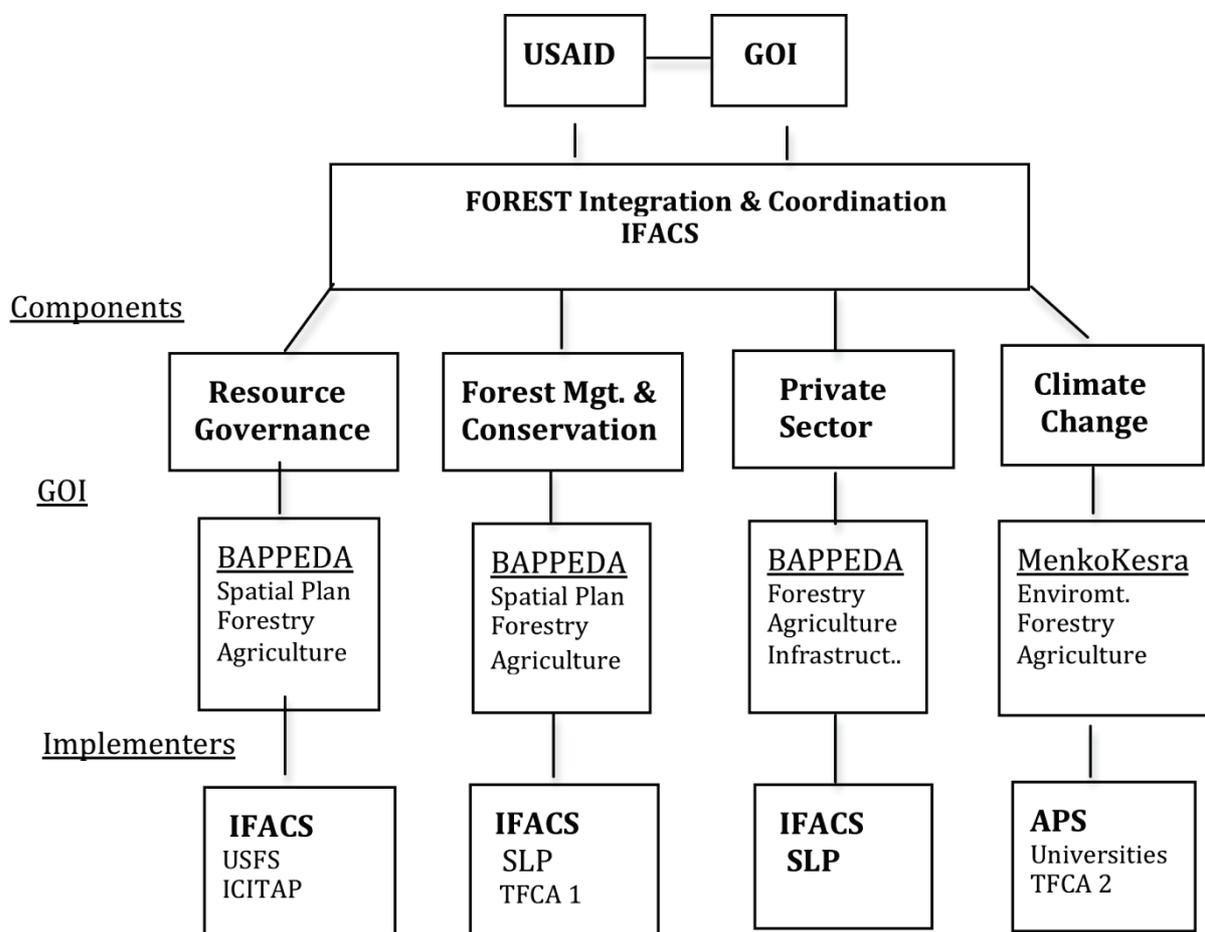
<sup>7</sup> "REDD+" means REDD "plus" conservation, the sustainable management of forests, and enhancement of forest carbon stocks.

the U.S. and Indonesia with The Nature Conservancy (TNC) and World Wide Fund for Nature (WWF) with funding of \$28 million over eight years.

- University Partnerships. A university partnership (UP) program was started in 2010 through USAID educational funding using the USAID Annual Program Statement (APS) for “Supporting Universities to Partner Across the Pacific.” The first partnership was with Texas A&M University (TAMU) and three Indonesian partner universities for tropical plant conservation. The second with University of Southern California (USC) and the University Indonesia (UI) was for mitigation of climate change from Forestry and land use, and the third was with University of Texas El Paso (UTEP) and University of Mulawarman (UNMUL) was for conservation social marketing in East Kalimantan. The awards from USAID were each for approximately \$650,000 each over 3 years, plus another 30% of this amount was given as cost share contributions from the universities.

The structure of FOREST is shown in the following diagram.

**FIGURE I. FOREST STRUCTURE**



### III. EVALUATION OBJECTIVE

The objective of the performance evaluation is to provide USAID/Indonesia (USAID) and the Government of Indonesia (GOI) an unbiased and transparent review of progress to date of assistance provided by USAID to Indonesia under the Forest Resource Sustainability Program (FOREST).

The evaluation of performance will focus on what the program has achieved midway through the implementation period and will review the following: how the program is being implemented; how it is perceived and valued; whether expected results are occurring; and other pertinent questions such as its district and local government focus and its geographic priorities, particularly that of Papua. Special emphasis will be given to the evaluation of the IFACS project, since it is the largest implementing mechanism and most critical to the overall success and impact of the FOREST Program.

The evaluators will identify which elements are having the greatest impact, which elements are not, and which aspects of the design need to be adjusted. The evaluators will focus on assessing the achievements versus the stated objectives and goals, identifying which elements have had the most significant impact and recommending which aspects need to be considered for continuation under possible future USAID funding.

The evaluators shall provide USAID and the GOI with:

- A. Analysis of the performance of projects under FOREST: focus will be on the progress of IFACS in relation to the objectives and results specified in the contract, as well as in relation to USAID development objectives concerning biodiversity conservation, climate change mitigation and adaptation, and sustainable economic growth. The evaluators will assess the quality and impact of project deliverables, including the systems, strategies, and services provided by each project mechanism.
- B. Analysis of implementation management effectiveness of projects including: providing training and technical services and establishing coordination and working relationships with local governments, NGOs, communities, and other relevant partners.
- C. Analysis of performance of projects, including: establishing a clear results framework with well-defined indicators and targets; monitoring of changes due to project interventions; measuring achievement of targets; and in reporting and using performance information to influence decision-making and resource allocation.
- D. Documentation of lessons learned, challenges and opportunities in terms of achievements to date that can be attributed to the FOREST Program activities; direct and indirect benefits, and factors that are contributing to the achievement of outputs, results and impacts. The IFACS project strives to demonstrate clear links between LEDS, improved natural resources management planning and implementation, and reduction in both forest degradation and greenhouse gas emissions. The performance evaluation is expected to provide specific recommendations on the project design, inputs or interventions in relation to impacts of governance on biophysical conditions of natural resources and the environment. The evaluators should assess whether project strategies (including focusing at the district level and putting an emphasis on Papua) are valid and are relevant, and if activities are effectively and efficiently carried out to address environmental challenges in Indonesia. The evaluation will include project achievements for gender, sustainability and replicability of initiatives.
- E. Recommendations as to possible courses of actions concerning: policies, practices, and partnerships that are vital to the success of the FOREST; actions needed to respond to emerging concerns on climate change, forest management, biodiversity conservation, and sustainable economic development; or new approaches that USAID should consider for the remaining years of FOREST and for a follow-on forestry and climate change program.
- F. The intended audience of this performance evaluation are program and project decision-makers for the FOREST Program in USAID (primarily USAID/Indonesia, but also the Asia

and EGAT Bureaus in Washington) and in the GOI. The Coordinating Ministry for Social Welfare (MenkoKesra) is the primary contact for the overall USAID environment program. The FOREST Program also works with the Ministry of Forestry, and locally with District Offices of Planning (BAPPPEDA), Forestry, Agriculture, Environment, and Infrastructure.

## **IV. STATEMENT OF WORK**

### **A. ANALYTICAL APPROACH**

The evaluators shall analyze the performance of FOREST to include:

1. Analysis of the management of projects under FOREST (efficiency of inputs for achievement of outputs);
2. Analysis of performance of projects (results achieved and effectiveness of project approaches); and
3. Analysis of project strategies (strategic impacts achieved).

#### **I. Project Management**

The evaluation of individual projects will focus on the progress of each implementing mechanism that USAID used to provide technical assistance under the FOREST Program. Greatest emphasis will be given to IFACS. This project management evaluation will include but not be limited to: a) effectiveness of the projects' delivery of technical services in accordance with approved work plans; b) capacity of project teams to implement activities in an efficient and timely manner (including utilization of grants, subcontracts, and other resources); and, c) important policy actions, institutional relationships, and partnering arrangements that facilitated project success. The following are some guide questions that USAID would like the evaluators to address. These questions should not constrain the evaluators from pursuing other relevant issues that might be identified.

The evaluation of implementation management should address the following questions:

- For the past two years of implementation, how efficient have IFACS and other projects been in mobilizing personnel, organizing training, and working with local government and other partners in order to plan and deliver technical services? Identify project implementation strengths and weaknesses.
- What are the systems, processes and standards that IFACS and other projects have put in place to enhance the capacities of the local government counterparts and other stakeholders that contributed to the achievement of the project's intended results? At what extent have these been used, adopted and sustained, by the partner organizations?
- Are IFACS and other projects using appropriate (i.e., effective and efficient) sets of systems, processes and standards as part of their innovations in improving governance of natural resources? Identify how governance systems and practices introduced by the projects have helped resource managers to improve their job performance.
- Is gender being used to inform project approaches?
- How have partnerships with NGOs, community based organizations (CBOs), and other grassroots organizations influenced project outcomes? Are there other potential partnerships that the projects could pursue to improve implementation?
- Have projects under FOREST communicated and coordinated with other donor projects undertaking similar activities in order to compare lessons learned and apply best management practices?

## 2. **Project Performance**

The evaluation of FOREST performance will review the individual and the combined results of the projects under each of the four FOREST components. This performance evaluation will be focused on IFACS, since it has been the largest implementing mechanism.

The overall results expected to be achieved by the end of the FOREST Program are:

- A 50% reduction in the rate of forest degradation and loss from conversion, illegal extraction, over-harvesting and fires for at least six million ha of tropical forest located within targeted landscapes from baseline.
- The improved management of at least 3.5 million hectares of selected HCVF tropical forest in targeted landscapes, including 1.7 million hectares priority orangutan habitat.
- Changes in land use practices and improved forestry management within targeted landscapes result in a 50% reduction in Greenhouse Gas (GHG) emissions based on agreed upon calculations.
- At least half of local professional government staff directly involved in management of targeted landscapes receives substantial training in a landscape level approach to spatial planning and sustainable economic development.
- At least a 20% increase in financial resources for forest management, increased transparency, and access to information strengthen capacity of government, civil society and the private sector for conservation and sustainable management of forest resources, biodiversity and ecosystem services at targeted landscapes.
- Low-carbon growth development strategies piloted at the local level in at least eight districts located within targeted landscapes.

The evaluation of implementation performance should address the following questions:

- What progress has been achieved so far in terms of performance deliverables and results in each component, and in each district?
- Are there significant differences in performance results achieved among the components, or among districts or provinces?
- What progress is being made toward institutional development in target districts for forest resource governance, including: improving spatial planning; strengthening policies and regulations; improving technical training; strengthening communications; and responding to priority development needs?
- Have FOREST projects effectively identified important areas for biodiversity conservation, including orangutan habitat, and high conservation value forest (HCVF) areas and taken effective management steps to ensure protection of these areas?
- How effective are IFACS and other projects in engaging with the private sector? What private sector approaches have worked the best and the least?
- Have FOREST projects had any measureable effect on improving livelihoods and influencing social behaviors to be more supportive of sound FOREST management and conservation and of low carbon economic development?
- What low carbon emission development approaches have been pursued and is there any evidence of impact on carbon emissions from these?
- What facilitating and/or hindering factors have affected the ability of IFACS or other projects to achieve development results? Identify factors that are within the control of IFACS and those factors that are outside its influence.
- What are the long-term prospects for sustainability of efforts? Identify whether provincial and local government counterparts and other partners are adopting systems, procedures,

and standards being developed by the projects. Identify reasons why or why not, and provide recommendations.

- How can the IFACS project contribute to sustain development results and achieve synergies within USAID portfolio?

### **3. Project Strategies**

The USAID development hypothesis for FOREST was that improvements in forest governance, management and private sector practices would lead to improved management of forest ecosystems, and contribute to improved management of natural resources in Indonesia. The FOREST Program strategy was “to provide technical assistance that would strengthen Indonesia’s reform of land use policy and governance, improve forest resource management and conservation in priority sites, and increase private sector sustainability through better harvesting, processing and trade practices.”

The evaluation of FOREST project strategies will review the lessons of learned from the evaluation of projects’ management and performance and will recommend revised strategies or approaches to enhance the performance, relevance, transparency, and impact of projects under the FOREST Program. This evaluation of strategies is also expected to focus on IFACS, since it has been the largest project.

Illustrative issues and questions for the team to pursue include:

- Have the BAPPEDA and other local government agencies embraced FOREST? Has FOREST helped the district local governments to develop and communicate a clearer strategic vision?
- Which elements of the program are having the greatest impact? Which elements are not and why? Which aspects of the overall program design need to be adjusted?
- How well is this program achieving its objectives? What factors contribute most to the achievement of its objectives? Are there challenges and/or hindrances? What are these and how are these addressed?
- Are the existing programs, which comprise the FOREST (IFACS, USFS, SLP, APS grants, and ICITAP) sufficient for the FOREST to achieve its objectives? Are there other approaches, projects or institutions that could be included to help achieve the objectives further?
- How have other USAID forestry and climate programs that are outside of FOREST (TFCA, University partnerships, USAID/RDMA Regional projects, Embassy Climate Center) assisted and complemented, or hindered FOREST implementation? Should these other programs be better coordinated and integrated within FOREST? If so, how?
- Is there sufficient and significant integration between the different existing projects and components and activities of other donors? What factors contribute to this integration? Are there challenges and/or hindrances? What are these and how are these addressed? What could help achieve further integration?
- Is the district government and local focus of FOREST, particularly IFACS, appropriate and effective? Is there sufficient vertical communication and coordination among levels of government – national, regional/provincial, and local?
- Is the geographic focus and selection of priority provinces and districts appropriate and effective? Should USAID maintain its priority for working in Aceh and Papua?
- In the context of the USAID sector guidance and Mission strategic priorities, how do the emerging lessons and gaps inform future direction and implementation of the project, especially in Aceh and Papua?

### **B. METHODOLOGIES**

The evaluators should consider a range of possible methods and approaches for collecting and analyzing the information required to assess FOREST performance. Further guidance is found on the

USAID website (<http://usaid.gov/results-and-data/information-resources/program-evaluations>). The methodology will be discussed with and approved by the USAID team as part of the evaluation work plan once the team has arrived in Indonesia. Evaluation methodology shall be explained in detail and all tools used in conducting the evaluation such as questionnaires, checklists, and discussion guides shall be included in an Annex to the final report. Evaluation findings will assess impacts on males and females. Any limitations to the evaluation shall be disclosed in the report, with particular attention to any limitations associated with the methodology. Evaluation findings should be presented as analyzed facts and data, not based on anecdotes, and sources of information need to be properly identified and listed in an annex. Recommendations need to be supported by a specific set of findings and should be action-oriented, practical, and specific with defined responsibility for the action.

The evaluators are expected to review relevant documents, contracts, and reports from each component and project, as well as existing monitoring and evaluation data collected by the project implementers. They will interview USAID staff, partners, and stakeholders of each project. They will also interview GOI staff. The evaluators will travel to selected field sites, identify and interview communities and organizations receiving support from USAID through the FOREST Program ensuring geographic representation. During the site visits, the team will observe on-the-ground activities and impact. Travel site selection will depend on what is most cost effective and practical to get knowledge and information about the projects without sacrificing the quality and validity of data.

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

- USAID/Indonesia.
- District Government offices – BAPPEDA, Forestry, Agriculture, other.
- GOI institutions at the national and provincial levels.
- Contractors, Grantees and Subcontractors (particularly IFACS, SLP, FFI, YAGASU, USFS, ICITAP).
- Private sector representatives.
- Community members.

### **C. FIELD TRAVEL**

The evaluators should propose sites and itinerary for field visits in its work plan for discussion with USAID. The final locations that the evaluators will visit for the evaluation shall be decided by USAID from among the FOREST's current or recent intervention areas.

### **D. DELIVERABLES**

1. Work Plan for the performance evaluation including design (assessment framework) and timeframe.
2. PowerPoint Presentation of findings to USAID and GOI (MenkoKesra).
3. Draft Evaluation Report, covering:
  - a. Executive Summary;
  - b. Purpose, scope, and audience of the evaluation;
  - c. Evaluation questions;
  - d. Context (relevant history, demography, socio-economic status, and basic political arrangements of the country, districts, communities) in which the program and projects were designed and implemented;
  - e. Description of the program, its objectives, scope, and activities;
  - f. Conceptual framework underlying the program;

- g. Data collection – the unit of analysis, sample, type of data collected, quality of data, and analytic technique used;
- h. Evaluation Findings – the empirical facts gathered by the evaluators about the performance, cost effectiveness, relevance, sustainability, and impacts of the program.
- i. Conclusions – the evaluators’ interpretations and judgments based on the findings and the empirical data gathered and analyzed;
- j. Recommendations – the proposed actions that the evaluators recommends to management; (These should be logically derived from findings and conclusions.)
- k. Lessons learned – the broader implications for future activities or for similar programs in other areas; and,
- l. Annexes – scope of work, resources, methodologies, itinerary, contacts, and other relevant materials.

4. Final report covering same elements as draft.

The final version of the evaluation report should be submitted electronically to USAID/Indonesia for approval within five working days of the receipt of USAID 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. 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.

Printed and bound copies (five copies in English and 15 copies of the Public Executive Summary in Bahasa Indonesia) will be submitted within two weeks of approval of the final report. The evaluators will submit an electronic copy of the final report to the Development Experience Clearinghouse at <http://dec.usaid.gov> or M/CIO/KM, RRB M01, USAID, Washington DC 20523.

## **E. RESOURCES, PROCEDURE, AND SCHEDULE**

### **I. Data Sources**

The performance evaluators will review the following FOREST Program documents:

- Contracts or Agreements
- Annual Work Plans
- Annual and Quarterly Reports
- Key deliverables and other outputs
- Results Frameworks
- Performance Management Plans
- GOI Geographic Priorities for Forest Biodiversity Conservation
- USAID FAA 118/119 Tropical Forest and Biodiversity Assessment
- Other key documents

At the start of the evaluation work in Indonesia, the team will meet with USAID to receive a briefing. The briefing will review and answer any questions on the evaluation scope of work, discuss the evaluation timeline, the deliverables, the proposed data collection methods, instruments, tools, and guidelines, and review and clarify any logistical and administrative procedures for the evaluation.

The evaluators will be introduced to the key leaders of each program/project who will then arrange the schedule of visits to selected GOI offices and project sites. Meetings and interviews with priority government partners, stakeholders, community groups, private sector partners, and experts/consultants will be set during the first few days of the evaluation period.

## 2. **Data Collection**

Copies of the most relevant documents will be given in advance by USAID to the evaluators prior to their arrival in Indonesia. The evaluators will prepare a draft of their itinerary and the itinerary will be finalized in their work plan after the in-country planning meeting with USAID. The work plan will include an evaluation design and timeline (assessment framework), interview plans, and travel plans. USAID, as well as IFACS, will help ensure timely access to key individuals to be interviewed. The first few activities will include interviews with the USAID Technical Officer (COR) and Contracts Officer (CO), and with the key individuals in the GOI. A list of key contact persons and their contact numbers will be provided to the team by USAID to facilitate communication. Any questions and clarifications about the evaluation that the team has should be presented to USAID and will be addressed at the meeting.

## 3. **Duration and Timing of the Evaluation**

The evaluation of the FOREST Program will be completed in 45 workdays. An illustrative schedule is below.

<b>Task</b>	<b>Duration</b>
Review background documents and other preparation	4 days
Travel to Indonesia	2 days
Work Planning. Team planning meeting with USAID and others. Evaluation work plan and time frame agreed on. Schedule and itinerary finalized	4 days
Meetings with GOI representatives, and key officers and staff of FOREST	5 days
Field visits, meetings, interviews, and other data gathering activities	15 days
Production of draft report	5 days
Delivery of Draft Report to USAID. Debrief meetings. PowerPoint presentation of key preliminary findings with USAID, GOI, other key stakeholders.	2 days
Travel home	2 days
Continue to draft report and receive comments from USAID	3 days
Final Report preparation	3 days
<b>Total</b>	<b>45 days</b>

## 4. **Logistical Support**

The evaluators will be responsible for all logistical expenditures of the team, including: flights, hotels, local air/car/boat transportation, and work/office space, computers, internet access, printing, and photocopying. The evaluators are responsible for arranging all meetings required during the course of this evaluation and advising USAID/Indonesia prior to each meeting. In Indonesia, the IFACS project will provide the team limited administrative support and travel logistics assistance. USAID/Indonesia personnel will be available for consultations regarding sources and technical issues throughout the evaluation process.

## V. **ILLUSTRATIVE TEAM COMPOSITION**

The evaluators are to be comprised of experts/evaluators who are independent of FOREST project implementers and the implementers' staff. The contractor will propose a team that it feels is best able to perform the Statement of Work. An illustrative team would consist of two expatriate and two national staff. USAID and GOI staff may also participate, but would be funded separately. The evaluators should have technical expertise in forest management, biodiversity conservation, climate change mitigation and adaptation, and local economic development and livelihood improvement.

**A. TEAM LEADER, FORESTRY AND NATURAL RESOURCES SPECIALIST (U.S. NATIONAL)**

The Team Leader should have: (1) strong managerial and operational experience with complex, national and sub-national activities involving coordination of multiple program partner institutions; (2) subject matter expertise in forestry and natural resources management, environmental policy, institutional development, sustainable management challenges, policy and market constraints, and effective development approaches; and (3) strong task output leadership and communications skills. Familiarity with the political, social and cultural context of Indonesia and Bahasa language is a strong plus. A U.S. national is preferred.

The Team Leader will be responsible for management of the team and for the timely preparation and submission of all deliverables. The Team Leader will be responsible for analysis of activities with the FOREST Program component of land and forest resource governance reform and the preparation findings and conclusions for this component. The team leader will lead the preparation of the evaluation findings, conclusions and recommendations, as well as 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.

**B. SUSTAINABLE FORESTRY AND CLIMATE CHANGE MITIGATION SPECIALIST (U.S. NATIONAL)**

The Sustainable Forestry Specialist should have strong sustainable forestry and natural resources management expertise, especially related to spatial planning, low impact logging, land use 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 have strong written and oral communications skills in English. Familiarity with the Indonesian political, social, and cultural context and of Bahasa Indonesia is a strong plus.

The Sustainable Forestry Specialist will be responsible for analysis of activities with the FOREST Program components of improved forest management and of private sector sustainability, and for the preparation findings and conclusions and recommendations for these components.

**C. BIODIVERSITY CONSERVATION SPECIALIST (INDONESIAN)**

The Biodiversity Conservation Specialist should have strong expertise and experience in biodiversity conservation, forest protected area management, institutional development and strengthening complex institutions in developing countries. The Specialist should have a good knowledge of the operation of local governments and of environmental NGOs in Indonesia. The Specialist must demonstrate exceptional program leadership and management skills as well as written and oral communications skills in English. Familiarity with the Indonesian political, social, and cultural context and good communications skills in Bahasa Indonesia are a strong plus.

The Biodiversity Conservation Specialist will be responsible for analysis and preparation of findings, conclusions and recommendations for activities under the conservation of forest resources component and assist with the private sector and climate aspects of the FOREST Program.

**D. COMMUNITY RESILIENCE (INDONESIAN)**

The Community Resilience and Climate Change Adaptation Specialist should have strong exceptional local community development and behavioral change expertise, especially in empowering rural poor for improved livelihoods. The Specialist should have a good knowledge of the operation of local governments and of activities for local economic development. The Specialist must demonstrate

strong written and oral communications skills in English. Familiarity with the Indonesian political, social, and cultural context and good communications skills in Bahasa Indonesia are a strong plus.

The Community Resilience and Climate Change Adaptation Specialist will be responsible for analysis and preparation of findings, conclusions and recommendations for activities under the climate change component of the FOREST Program.

**E. USAID REPRESENTATIVE (U.S. NATIONAL)**

The USAID Representative will be a USAID employee or contractor who has broad knowledge of the forest sector, extensive USAID project management experience, and thorough understanding of USAID regulations and procedures for project design and implementation, performance management, and evaluation. Familiarity with the Indonesian political, social, and cultural context and of Bahasa Indonesia is a strong plus.

The USAID representative will assist the team with guidance on USAID procedures for monitoring and evaluation and with access to relevant USAID project and program information, and on analysis of institutional and management issues.

**F. GOI REPRESENTATIVE (INDONESIAN)**

GOI Representative will be a government employee who has broad knowledge of the forestry sector, extensive GOI project management experience, and thorough understanding of GOI regulations and procedures for project design and implementation, performance management, and evaluation. The GOI Representative must demonstrate strong expertise and experience in institutional development and strengthening complex institutions. The Representative should have good program leadership and management skills as well as written and oral communications skills in English. Familiarity with the Indonesian political, social, and cultural context and good communications skills in Bahasa Indonesia are a strong plus.

The GOI representative will assist the team with guidance on Government of Indonesia procedures for monitoring and evaluation, with access to relevant GOI project and program information, and with analysis of local government and NGO institutional relationships.

## **ANNEX II: EVALUATION WORK PLAN**

### **EVALUATION OF USAID INDONESIA'S FOREST RESOURCE SUSTAINABILITY PROGRAM (FOREST)**

JANUARY 2013

#### **DISCLAIMER**

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

#### **INTRODUCTION**

This document provides a detailed implementation plan for the evaluation of USAID's FOREST Resource Sustainability Program (FOREST). It outlines an evaluation design framework including the evaluation methodology, data collection plan, key evaluation questions, limitations of the evaluation methodology, evaluation calendar, a draft field visit itinerary, a provisional consultation list/key informants, and roles and responsibilities of members of the evaluators. The evaluation will be carried out by a six-person team composed of expert consultants and USAID technical staff over a period of 56 days from mid-January to mid-March 2013. The Scope of Work (SOW) outlines the key deliverables and benchmarks for the evaluators and basic objectives of the evaluation. The evaluation work plan operationalizes the SOW and details basic methods and approaches for the evaluators and USAID/Indonesia management.

#### **I. BACKGROUND**

The purpose of this evaluation is to provide USAID and the Government of Indonesia with an unbiased and transparent review of progress to date of assistance provided by the Agency to Indonesia under the five-year FOREST Program (2010 – 2014), to include a Performance Evaluation of the USAID/Indonesia Forestry and Climate Support-IFACS implementing mechanism and a Strategic Assessment of the FOREST Program's approach to the forest sector in Indonesia. This evaluation will be used by USAID and the Government of Indonesia (GOI) in the short-term to modify ongoing assistance, and in the longer-term to inform strategic planning and the design of future assistance.

The intended audiences of this evaluation are FOREST Program managers and decision-makers within USAID (primarily at the USAID/Indonesia Mission, but also in the Asia and E3 Bureaus in Washington) and in the GOI, to include the Coordinating Ministry for Social Welfare (MenkoKesra), which is the primary contact for the overall USAID Environment program, and the Ministry of Forestry and District Offices of Planning (BAPPEDA), Forestry, Agriculture, Environment, and Infrastructure.

The evaluation of the FOREST Program will include two components: 1) a Performance Evaluation of the USAID IFACS implementing mechanism, and 2) a Strategic Sectoral Assessment of the FOREST Program's approach to the forest sector in Indonesia. Although significant attention will be given to each of the two evaluation components, the evaluators will focus a higher level of effort on the Strategic Sectoral Assessment as this will be an important analytical input for USAID's new five-year strategy.

The Performance Evaluation of USAID IFACS will focus on what the intervention has achieved at approximately midway through the implementation period, the extent to which USAID IFACS activities are producing intended results, recommended mid-course corrections and any particular challenges or lessons learned thus far.

The Strategic Sectoral Assessment will focus on defining the strategic approaches employed by the various mechanisms that make up the FOREST Program and examining whether these approaches are combining effectively to achieve the overall objectives of FOREST. The Strategic Assessment will also examine the FOREST interventions in the context of their support for and integration of GOI priorities on mitigation of GHG emissions, sustainable forest management and biodiversity conservation and provide a key input into USAID/Indonesia's Country Development and Cooperation Strategy (CDCS) planning process.

## **II. EVALUATION DESIGN**

The FOREST evaluation will have two principle elements: 1.) A Performance Evaluation (PE) and 2.) a Strategic Sectoral Assessment (SSA) with a roughly 30/70 split of attention between the two purposes. The IFACS performance evaluation will focus on descriptive and normative questions. Per the USAID Evaluation Policy a PE should consider: what a particular project or program has achieved (either at an intermediate point in execution or at the conclusion of an implementation period); how it is being implemented; how it is perceived and valued; whether expected results are occurring; and other questions that are pertinent to program design, management and operational decision making. Performance evaluations often incorporate before-after comparisons, but generally lack a rigorously defined counterfactual.<sup>8</sup> Strategic Assessments typically involve an evaluation of a coherent set of activities in terms of policies, institutions or finances generally covering a number of related projects as they come together in one country. It involves applying a wider perspective, for extracting experience for the future.

The evaluation SOW identifies the following key questions:

### ***IFACS Performance Evaluation:***

- What are the strengths and weaknesses of USAID IFACS implementation management?
- To what extent are USAID IFACS activities achieving intended results in accordance with annual Work Plan targets and approved Performance Management Plan indicators?
- Are these results being attained within the expected timeframes?
- How effective has USAID IFACS been at engaging with partners and stakeholders?
- What are the major lessons learned from the implementation of USAID IFACS to date?
- How can these lessons inform the future direction and implementation of the intervention?

### ***Strategic Sectoral Assessment of FOREST:***

- What strategic approaches are FOREST implementing mechanisms employing and how have these approaches helped or hindered the ability of the FOREST Program to achieve its objective?
- How are factors external to the Project affecting the ability of FOREST to achieve its objective?
- How have FOREST activities supported and integrated GOI priorities and to what extent do GOI partners at the District and Ministry levels support the implementation of the FOREST Program?
- To what extent are the results achieved under the FOREST Program likely to be sustainable following the end of the Project implementation period?

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<sup>8</sup> USAID Evaluation Policy January 2011.

## DATA COLLECTION

### A. *Data and Data Collection Methods:*

Given the proposed evaluation questions and the evaluation's dual role of performance review and strategic sectoral assessment the data that will be required in the evaluation will include both qualitative and quantitative data. Qualitative data will be sought from both primary and secondary sources. Qualitative data will be collected via methods that include: Focus Group Discussions, Structured Interviews, document review and possibly various Participatory Rural Appraisal (PRA) activities. Quantitative data collection will rely upon secondary resources and the Performance Management Plan indicators being tracked by IFACS. The social science methods and tools for data collection suggested above will be applied in a manner that reduces the need for evaluator-specific judgments.

### B. *Data Collection Plan:*

This evaluation will collect information through interviews (group and individual), PRA methods, etc. Key informants for the evaluation include those people associated with project supported activities in the various IFACS landscapes that might be categorized as civil society, government and the private sector. The same categories of key informants exist in Jakarta. Data from key informants in the IFACS landscapes collected during a series of landscape visits conducted from 4 -13 February (Aceh and Kalimantan landscapes) and 18 - 22 February (Papua). These landscape visits will not only cover those key informants directly associated with IFACS and FOREST, but those such as government officials who also have influence on landscapes and can provide greater context for both the performance evaluation and the strategic sectoral assessment.

So that efficient use of time can be made, the evaluators will be divided with one sub-team going to Aceh (Aceh Selatan and Tenggara Landscapes) and another to Kalimantan (Ketapang andKatingan Landscapes)during the same time period. In Papua, the evaluators will again be divided so that two large widely separated landscapes can be visited at the same time (Sarmi and Mambaramo Landscapes). The evaluators developed a set of criteria that assisted in the selection of landscapes to visit (see Annex VIII).

A set of guiding questions has been developed to provide a framework for data collection that will support both a similarity in approach and in data collection. Meetings will be conducted in Jakarta before, between and after landscape visits to allow for data collection with key informants in Jakarta. Landscape visits will be designed to include time for reflection and analysis of data. The period between the Aceh/Kalimantan and Papua trips will also allow for data analysis plus reflection on the methods and progress of the evaluation activity.

Data collected through key informant interviews, meetings and roundtables will be captured by the evaluators in a standardized data matrix to include the name of the individual/ institution, the question/topic, data collected and then interviewer comments/thoughts. This will help to standardize data collection and ease the data analysis process. The evaluators will undertake a document review process to include both technical and project documents. Some illustrative examples include: FOREST AAD, 2012 FAA I 18/I 19 Analysis, Y2 Annual Report, Y3 Work Plan, Y2 PMP, Indonesia's National Biodiversity Strategy and Action Plan, McKinsey's recent report titled: The archipelago economy: Unleashing Indonesia's potential,and Indonesia's National REDD+ Strategy.

## DATA ANALYSIS

The evaluation design and team structure means that information will be collected as independent data sets and, at least initially, analyzed as independent data sets means that data analysis will use a

"parallel analytical method".<sup>9</sup> Essentially the evaluation design is based on a "triangulation approach" that should lead to a convergence of findings. The parallel data analysis approach is very appropriate to this kind of evaluation design.

On a more informal, but more essential level data analysis will be an on-going activity within the evaluators basically through discussions. This process might be described as an "action-reflection" model of data analysis. Data collection (e.g., an interview) forms the action and active analysis through means of discussions among team members or writing by team members forms the reflection process. This process will be critical in leading to a convergence around findings.

Overall in a design which includes a long series of data collection opportunities a "learning cycle" is established. This cycle consists of hypothesis setting - data collection - analysis - resetting of hypothesis - data collects. etc. In the wake of a data collection opportunity the following format will be used for analytical purposes. The format below nicely supports a "learning cycle" approach as well as the triangulation design of the evaluation and will be used to standardize and organize data collection.

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<sup>9</sup> USAID Evaluation Tips: <http://transition.usaid.gov/policy/evalweb/documents/TIPS-ConductingMixedMethodEvaluations.pdf>

**TABLE A-1: ILLUSTRATIVE KEY QUESTIONS**

No	SOW	Issues	Evaluation Questions	Guiding questions for interview/discussions	Sources			Dates
					Docs	Field sites	Infor-mants	
1	USAID IFACS: Perform evaluation	1.1 Implementation management	a. What are particular management issues that are hindering performance	From centralized to decentralized structure: decision making in IFACS and USAID → how it impacts to specific project components?				
			b. What are management innovations that are effective → opportunities to scaling up	<i>Pick at least 2 challenging management issues you can identify in IFACS, how/what did you/your team manage it?</i>				
		1.2 Results achievement	c. What are the successes and shortcoming of progress to date (identify key internal and external factors)	Verifications of PMP: What do partners/stakeholders care about/interests? What are stakeholders/ partners' indicators of success? Why (identify direct/indirect; internal/external factors)? Internal factors: decisions on mechanism, External: spin off, unintended			IFACS and stake-holders	
			d. What are the tangible outcomes/ measurable differences (identify key internal and external factors) comparative to different landscapes	What changes? Biophysical, institutions/regulations, etc. → intersect with PMP → unintended benefits or consequences? (Attribution/sphere of influence issues)				
		1.3 Partner engagement:  What was IFACS' theory of change?	e. How effective in engaging GOI counterparts (District and Ministerial level), private sector, NGOs and communities	Context: Criteria of partners selection? What partners did before IFACS and after? How IFACS enables that?  Effectiveness: MOU and contracts				

No	SOW	Issues	Evaluation Questions	Guiding questions for interview/discussions	Sources			Dates
					Docs	Field sites	Infor-mants	
				What is happening to these agreements? What has been doing differently? Level of alignment and interests? [space of working together]				
			f. How far the adoption of systems, procedures, and standards by partners (identify key internal and external factors)	[Results of engagement or function of effectiveness of engagement] Level of complementarity, synergies to stakeholders' agendas?				
			g. How has IFACS been able to coordinate with other USG projects and other donors					
		1.4 Lessons learned	h. What are the major lessons learned	What tangible measures:What happened? What changes? (Leave it open, then categorize via the PMP framework and then also reflect anything outside that-what isn't being reported in the PMP). <ul style="list-style-type: none"> <li>And why/what factors?</li> <li>Rely on a story and see it/verify it/take a photo of it.</li> </ul>				
			i. How these inform the future direction and implementation of intervention?	What has/hasn't gone well? What/how have you done to enhance/addressed these?				
2.	Strategic Assessment	2.1 Strategic approach	j. What are the common strategies of FOREST implementing mechanisms and technical approaches?	For TFCA: What are the approaches you are taking in the FOREST/biodiversity sector? Which ones are the most effective? (team will categorize this later); For TFCA partners/stakeholders: What is your strategic approach/es and how				

No	SOW	Issues	Evaluation Questions	Guiding questions for interview/discussions	Sources			Dates
					Docs	Field sites	Infor- mants	
				effective are they?				
		Context; What are the catalytic roles of USAID engagement in FOREST sector?	Address approaches of geographic focus (Sumatra, Kalimantan, Papua), partnering with decentralized institutions (District government), emphasis on spatial planning, and gender	A look at history: What past/current approaches taken were effective/promising? Did we integrate what worked well there? (Governance/Landscapes/Nat Resources, ie water)				
		2.2 External factor influence	k. How are factors external to the project affecting the ability to achieve objectives: <ul style="list-style-type: none"> <li>Geographical, political, socio-cultural, institutional factors</li> <li>Other FOREST projects: synergies and conflicts, contribution and detracton</li> </ul>	What issues were predominant at the time of designing this project? (sectoral analyses of political economy 2009-12) What were the trends in Climate Change response? What commitments did GOI have? What was the response of the donor community (bilateral/multilateral) What was the response of the private sector? What was the 'social' response? farmers/indigenous peoples Are these the same issues now? What have changed? What were the trade offs?				
		2.3 FOREST mechanisms	l. Are the existing implementing mechanisms necessary and sufficient to achieve objectives?: <ul style="list-style-type: none"> <li>Coordination among mechanisms: complimentary or conflicting, highlight</li> </ul>	Are working with working with other sectors/donors/projects? How? What potential approaches/what have we learned so far? What are we missing?				

No	SOW	Issues	Evaluation Questions	Guiding questions for interview/discussions	Sources			Dates
					Docs	Field sites	Infor-mants	
			<p>the ones that benefit the collaboration</p> <ul style="list-style-type: none"> <li>• Potential approaches, mechanisms, institutions</li> <li>• Activities that are not contributing to achievement</li> </ul>					
		2.4 GOI priorities	m. How has FOREST activities supported and integrated GOI priorities on mitigation of GHG emissions, sustainable forest management and biodiversity conservation?	What are the GOI priorities in this sector/region? (team: how this comes together, impact of GOI on the program)				
			n. To what extent do GOI partners at the District and Ministry levels support the implementation of the FOREST Program? <ul style="list-style-type: none"> <li>• Evidences of GOI buy-in at the level of individual mechanism</li> </ul>	Do you know of any USAID programs in the region? Do you know about IFACS program? (Explain the program) Does it fit in any way to your programs in the region?				
		2.5 FOREST sustainability	o. Sustainability of the results achieved?	Ecological, social, economic-financial: What impacts/outcomes (ecological, social, economic, and financial) of this sector program do you think will last?				

## LIMITATIONS OF DESIGN

Key informant interviews constitute a major source of primary data for this evaluation. Given the time constraint for data collection, the evaluators will not be able to meet with all of the partners, beneficiaries, and relevant experts that could provide valuable information and observations about the FOREST Program components. Moreover, the team may not always be able to cross-check key informant characterizations of project activities through direct observation. In addition, not all of the evaluators are fluent Bahasa Indonesia speakers, and may rely on interpretation for some key informant interviews. Consequently, some linguistic and/ or cultural differences may impact the interview process, and thus the full intent or meaning offered by the key informants may not be conveyed to all members of the team. Additionally, most, if not all of the interviews will be conducted in the presence of IFACS and USAID staff, which could affect the candor of the informants' responses to interview questions. Adaptive measures will be taken if there are particular informants who would feel more comfortable without USAID or IFACS present.

In order to make the most of the limited time available, the evaluators will divide into two teams to conduct visits to the field. This division of the team for portions of the evaluation may constrain a broader team perspective on FOREST Program components and approaches, and therefore the resulting conclusions and recommendations, since the direct and shared interaction of each team member with Project partners and beneficiaries will be more limited.

In order to allow for sufficient time for analysis, the evaluators will rely on secondary sources for contextual, background information as well as some quantitative and qualitative data. The evaluators must therefore operate under the assumption that these secondary sources are reliable.

Finally, the evaluators do not include a private sector specialist. Private sector engagement is a major component of the FOREST Program; therefore, evaluators will have to allow for sufficient attention to this aspect of the evaluation.

## VII EVALUATION CALENDAR

### FOREST Evaluation Calendar - DRAFT (1/2/2013)

\* based on six-day work week

Tasks and Deliverables	Location	Date	Duration	Notes
Background information review and pre-evaluation preparation	US & Indonesia	TBD	6 days	
Work planning: Evaluators in briefing with USAID/Indonesia (tentative: 1/22); Work Plan development; Deliverables: Draft Work Plan; Oral Briefing for USAID/Indonesia (tentative: 1/25)	Jakarta	1/21 - 1/26	6 days	US Holiday (1/21); Indonesian Holiday (1/24)
Data collection: Meetings with key informants; FOREST Partners' Meeting (tentative: 1/28)	Jakarta	1/28 - 2/2	6 days	
Written sections submitted	Jakarta	28/1		
Data collection: Field visits, additional meetings/ interviews/ other data collection activities	Indonesia (TBD)	2/4 - 2/23	18 days	US Holiday (2/18)
Written sections submitted	Jakarta	15/2		
Written sections submitted	Jakarta	22/2		
Data synthesis and analysis	Jakarta	2/25 - 2/28	4 days	
Final sections written and submitted	Jakarta			
Presentation of findings; Deliverable: Oral Briefing (PowerPoint presentation) for USAID/Indonesia and key stakeholders (due: 3/1)	Jakarta	3/1	1 day	
Draft Report preparation; Deliverable: Draft Report (due: 3/6)	Jakarta	3/2 - 3/6	4 days	
Hannah Fairbank Return Travel	US	3/9 - 3/10	(2 days)	
USAID/Indonesia Draft Report review and comment (due: 3/11)	Jakarta	3/7 - 3/11	(3 days)	
Final Report preparation: Follow-up interviews (as needed); Report revision; Deliverable: Final Report (due: 3/16)	US and Indonesia	3/7 - 3/16	9 days	Indonesian Holiday (3/12); Hannah Fairbank will edit final report from US
<b>Total LOE</b>			<b>54 days</b>	

## VIII SITE VISIT CRITERIA

Site Visit Criteria	Aceh	Papua	Kalbar	Kalteng
Variety of Stakeholders+MSF accessible	GayoLuwes: Vibrant MSF, DOJ partners BKSDA North Sumatra	Sarmi: Vibrant MSF with 80% govt; local community strong  Mimika: MSF, well counterparted by Pokja-Govt; NGOs weak; AMARTA I-Kornel Gardner (now wt Freeport)	Ketapang: Vibrant CSO, and pvt sector/logging areas big: Alas Kusuma	Katingan: logging, 3 companies: Graha, Dwima; NGO: Puter, Bupati is great, wt 'different' vision of growth
Multiple FOREST Programs + IFACS direct grantees	TFCA, Leuser DOJ; Kutacane, Ketambe TFCA: North Sumatra University?	APS: FFI Direct Grants: WWF/TNC/CI	Ketapang: TFF  TFCA?	Katingan: TFF  DOJ
Local Govt buy in+/ trouble wt engaging local govt	Banda Aceh: Provincial Govt buy in, BKSDA GayoLuwes: Bupati is North Sumatra: Bupati very open	Jayapura: Provincial Govt buy in Sarmi: Bupati, vision of 'development'=\$ Mimika: Bupati budget counterpart	Ketapang: Melawi:	Katingan: high political will
Physical Accessibility/Places to see...	Medium Accessibility Tapak Tuan: Distiller for Patchouli; Cacao Orchards; Nutmeg Forum – For PALA (weakening, exacerbated by climate change GayoLuwes: Cacao, Coffee	Asmat: inaccessible Mamberamo: inaccessible Sarmi/Jayapura: OK Mimika: Ok	Ketapang: CMMP conservation mgmt. and monitoring plan, site visit possible  TFF: RIL, 3 companies	Katingan: High accessibility SekBer TFF: RIL, PtDwima, PT Rimba Raya (No MOU but launched) et al (3 companies); Columbia Univ UNREDD
Local Champions	Gayo Lues: Tapaktuan: North Sumatra: NGO-Lintera, IPI, high potential	Papua Low Carbon Devt Task Force:AgusRumansara  Local ADAT community groups: political voice Local Church	Ketapang: strong, Via SEA Katingan, PulauPisau: weak, MOU approach too long	RMU: Ecosystem restoration? Local community: AMAN

Site Visit Criteria	Aceh	Papua	Kalbar	Kalteng
Private Sector interaction	Smallholders	Mimika: Freeport Sarmi: Wapoga	Ketapang: REDD+: donors not welcome G.Palung: DOJ, enforcement; G.Palung: MOU with national park; CMMP	3 companies/logging
Other donors with +FOREST/biodiversity focus, ie, CC	Leuser Ulu Masen: REDD: EU via FFI, \$5m	UKCCU: Low Carbon Devt: Green Investment/Spatial planning CLUA: Low Carbon Task Force Linkaging	Kalbar: No REDD	REDD+: Norway, CLUA, AusAid-KFCP
Scaling-expanding biodiversity: OCSP	OCSP, Leuser			Katingan: OCSP? Bukit Baka: OCSP
Level of threat to resources	Medium threat: Logging, Tapaktuan/ Gayo Lues: Buffering at way point/policing/community based enforcement	Potential medium-high threat: less actual threat Issuances of licenses on large areas by Bupati (1.5 yrs of caretaker governor signed 110 concessions –ijinprinsip-- were signed)	Ketapang: High threat, Sukadana FOREST already gone	High threat for conversion/fire on peat
National Priority	Not REDD pilot	REDD+ Pilot: peatland	REDD+ pilot	REDD+ Pilot: peatland

#### IX SITE VISIT ITINERARY

Date	Team Aceh (Laksmi, Didi, Ashley, Nassat, with Sigit, et al)	Team Kalimantan (Nonette, John, Hannah, with Daz/Nev/Nassat)	
4-Feb	JKT-Medan (06:35-08:50 GA 142)  10:00 BBTNGL 12:00 YLI 14:00 YAGASU Field Visit	Jakarta - Pontianak (06:00-07:30 GA500) Provincial level mtgs 09:00 Dr. GustiHardiansyah (Deden), Universitas Tanjungpura and PT. Alas Kusuma Group 10:00 Assisten II Administrasi Perekonomiandan Kesejahteraan Sosial Setda Prov Kalbar; 11:30 Kepala BPKH (Balai Pemantapan Kawasan Hutan) Kalbar 14:00 CSO (TBD by MTE team)	With Daz

<b>Date</b>	<b>Team Aceh (Laksmi, Didi, Ashley, Nassat, with Sigit, et al)</b>	<b>Team Kalimantan (Nonette, John, Hannah, with Daz/Nev/Nassat)</b>	
5-Feb	06:00 Depart Medan for <b>GayoLues</b> 13:00-14:30 En route visit Swisscontact farmer field school in Marpunge	08:00 Pontianak - <b>Ketapang</b> (07:00-07.34 KD922)  10:00DinasKehutanandanhostMtg with PemdaKetapang 13:00 MSF mtg (Office IFACS) 16:00 Certified Plywood Mill	With Daz
6-Feb	<b>Gayo Lues</b> 09:00-11:00 Meeting and discussion with Gayo Lues Government: Bupati, Head of BAPPEDA, Head of Environmental office, Head of FORESTry and other stakeholders (FMUL, Swisscontact, JIKA-OISCA, Redelong Institute) 11:00-17:00 Field trip to JIKA OISCA site (Tripe jaya) Lunch at site.	08:00 Depart Ketapang for ( <b>Tj.Asam</b> ) 12:00 Arrive Tj. Asam 13:00-18:00 Concession RIL activities  Lodging in Tj.Asam	With Daz
7-Feb	0600: Depart GayoLues for <b>Tapaktuan</b> 14:00-16:00: Visit YLI Trumon Corridor Site (TFCA Grantee)	06:00 Drive to <b>KKU</b> direct from Tj. Asam 09:00 Meeting with PU 11:00 Meeting with MSF (inclu FFI) 14:00 Grantee metings and ASRI Kinari Clinic	With Daz
8-Feb	<b>Tapaktuan</b> 0900-1200: Head of BAPPEDA; Head of Forestry; Assistant II Government Sekretariat 1400-1700: MSF and Grantee meeting (KPHAS, FORPALA, YGHL, Swisscontact, JIKA-OISCA, ADF Consortium)	07:00-17:00 TNGP field trip  Lodge in Ketapang	With Daz
9-Feb	0700: Depart Tapaktuan for <b>B.Aceh</b> 0900: Visit YGHL and Swisscontact field sites in Jambo Papeun village, MeukekSubdistrict	Ketapang - Pontianak (07:10-07:50 TGN120) Pontianak - <b>Jakarta</b> (11.15-12.40 GA505)	
	<b>Team Aceh (Laksmi, Didi, Ashley)</b>	<b>Team Kalimantan (Nonette, John, Hannah, Nassat)</b>	
10-Feb	Rest Day ( <b>B. Aceh</b> )	Rest Day	

<b>Date</b>	<b>Team Aceh (Laksmi, Didi, Ashley, Nassat, with Sigit, et al)</b>	<b>Team Kalimantan (Nonette, John, Hannah, with Daz/Nev/Nassat)</b>	
11-Feb	<b>Banda Aceh (TBD)</b> 09:00IFACS partner BAPPEDA - Aceh Geospatial Data Centre AGDC (Pusat Data Geospasial Aceh/PDGA) PM: Other stakeholders (EU, FFI, YLI)	Jakarta-Palangkaraya(05.55-07.40 GA550)  AM: ProvGovmtgs, BKSDA, TN Sebangau PM: MSF Mtg	Nev, Nassat joins the team
12-Feb	Banda Aceh - <b>Jakarta</b> (11.20-15.30 GA143)	AM: Drive <b>Kasongan</b> AM: Pemda and MSF mtgs PM: FDG private sector	
13-Feb		Palangkaraya - <b>Jakarta</b> (GA551 8.30-10.05)	
14-Feb	Regroup and Share notes, meet John H.		
15-Feb	Resume some meetings		
	Weekend	Weekend	

<b>Date</b>	<b>South Papua (Hannah, Nonette, John, Nassat)</b>	<b>North Papua (Laksmi, Didi, Ashley)</b>	
17-Feb	Weekend	Fly from Jakarta - Timika - <b>Jayapura</b> - Cyclops Mtn visit FFI	
18-Feb	Jakarta to <b>Timika</b> (GA652 20:45-06:30) 09:00 Meeting with BAPPEDA 11:00 Meeting with MSF and potential grantees 14:00 eeting with WWF (Asmat partners)	Travel to <b>Sarmi</b> (Susi Air) AM-PM : MSF, Govt and Partners Mtgs	
19-Feb	<b>Timika</b> 09:00-17:00 Mangrove site visit with MSF (BAPPEDA, WWF, and grantees)	<b>Sarmi</b> AM-PM : MSF, Govt and Partners Mtgs	
20-Feb	Timika - <b>Jayapura</b> (GA 652 07:30-08:40) PM: Meet Papua Govt and Project partners	Sarmi – <b>Jayapura</b> (Susi Air) PM: Meet Papua Govt and Project partners	
21-Feb	<b>Jayapura</b> AM-PM: Meet Papua Govt and Project partners	<b>Jayapura</b> AM-PM: Meet Papua Govt and Project partners	

Date	<b>South Papua</b> <b>(Hannah, Nonette, John, Nassat)</b>	<b>North Papua</b> <b>(Laksmi, Didi, Ashley)</b>	
22-Feb	Jayapura to <b>Jakarta</b> (GA 651 08:00-13:40)	Jayapura to <b>Jakarta</b> (GA 651 08:00-13:40)	
23-Feb	Weekend	Weekend	

## X PROVISIONAL KEY INFORMANT LIST

Key Informant List for Jakarta Based-Consultations			
ORGANIZATION	NAME	EMAIL	PHONE
<b>NGOs/Civil Society</b>			
TNC	ED, T Nugroho	<a href="mailto:t.nugroho@tnc.org">t.nugroho@tnc.org</a>	
CI	ED, K Sarjana Putra		
WWF	ED		
WCS	Noviar Andayani	<a href="mailto:nandayani@wcs.org">nandayani@wcs.org</a>	0811116994
KEHATI	ED, Sembiring		
Kemitraan	ED, Wijak		
AMAN	SecGen, A Nababan	<a href="mailto:Abdon.nababan@aman.or.id">Abdon.nababan@aman.or.id</a>	
JKPP	Kasmita Widodo	<a href="mailto:kwidodo@jkpp.or.id">kwidodo@jkpp.or.id</a>	
Telapak, PemantauanHutan	KhusnulZaini	<a href="mailto:khusnul@telapak.org">khusnul@telapak.org</a>	
FGD:	Silverius Unggul	<a href="mailto:onte@telapak.org">onte@telapak.org</a>	
Patiro	ED		
Samdhana Institute	Martua Sirait	<a href="mailto:m.sirait@cgjar.org">m.sirait@cgjar.org</a>	
CS WG on FOREST Tenure Reform	Myrna Safitri	<a href="mailto:Myrna.safitri@epistema.or.id">Myrna.safitri@epistema.or.id</a>	
FKKM	Andri Santoso	<a href="mailto:seknas@fkkm.org">seknas@fkkm.org</a>	
FORINA			
ICEL			
Agrarian Reform Consortium (KPA)	Noer Fauzi Rachman	<a href="mailto:Noer_fauzi@yahoo.com">Noer_fauzi@yahoo.com</a>	
TFCA TNC IFACS PARTNER	Lex Hovani		
TFCA TNC IFACS PARTNER	Wahyudi Wardoyo		
TFCA TNC IFACS PARTNER	Y. Iskandar		
TFCA KEHATI IFACS PARTNER	Arnorld Sitompul		
TFCA KEHATI IFACS PARTNER	Samedi, PHd		
TFCA Kalimantan KEHATI IFACS PARTNER	Puspa Dewi Liman		
<b>Key Individuals</b>			
Mubariq Ahmad			
Arief Wicaksono		<a href="mailto:awicaks@gmail.com">awicaks@gmail.com</a>	
Farah Sofa			
<b>Research Organization</b>			
CIFOR			
ICRAFT	Ujjwal Pradhan	<a href="mailto:u.pradhan@cgjar.org">u.pradhan@cgjar.org</a>	
RECOFT	Yosef Arihadi	<a href="mailto:Yosef.arihadi@recoft.org">Yosef.arihadi@recoft.org</a>	
<b>University</b>			
UI Cimate Change Center	Jatna Supriatna		
IPB CC ROM	Rizaldi Boer		
UGM – Rutger Univ IFACS	Emily Crowley		

<b>Key Informant List for Jakarta Based-Consultations</b>			
<b>ORGANIZATION</b>	<b>NAME</b>	<b>EMAIL</b>	<b>PHONE</b>
Partner			
UGM – Rutger Univ IFACS Partner	Erin Vogel		
UNAS IFACS Partner	Dr. Sugardjito		
UI – Columbia Univ	Dr. Don Melnick		
Oregon State Univ	Vicky Watkins		
Oregon State Univ	Boone Kaufman		
Partnership to Build Capacity for Adaptation to Climate Risks in Indonesia - CCROM SEAP - IPB	Dr. Rizaldy Boer		
Tropical Plant Curriculum - SEAFast IPB	PurwiyatnoHariyadi		
<b>Private Foundations</b>			
Ford Foundation	Steve Rhee	s.rhee@fordfoundation.org	
CLUA	Chip Fay	Chip.fay@climateworks.org	
TIFA			
Clinton Foundation			
Asia Foundation	Blair Palmer		
WWF	Hanif Fathi		
WWF COR	Yoke Sudarbo		
<b>Government</b>			
MoForInt' Cooperation	Agus Warsito		
MoFor KPH			
MoFor LITBANG	Iman Santoso		
MoFor PHKA			
MoFor DKN (National Forest Council)	Agus Setyarso		
MoFor Special Advisor	San Afri Awang		
MENKO Kesra			
MENKO Ekuin			
UKP4	Heru Prasetyo		
DNPI	Agus Purnomo		
KLH	Roy		
PU - BKPRN			
UP4B			
KOMNAS HAM-Human Rights Commission	Sandra Moniaga	sandram@cbn.net.id	
KPK			
KIP - Public Information Commission			
Menteri DAGRI			
US DOJ/ICITA	Gerald H. Heuett, Jr		
US DOJ/ICITAP	Dina Ernawati		
Deputi LH and Bencana Lingkungan	Laksamana Pertama Williem Rampangilei		Septi: 021-3864244
Director of International	Ir. Sri Murningtyas	ning.FORESTry@gmail;	021-5730165

<b>Key Informant List for Jakarta Based-Consultations</b>			
<b>ORGANIZATION</b>	<b>NAME</b>	<b>EMAIL</b>	<b>PHONE</b>
Cooperation Center	(Secretary of Tim Teknis)		
Director of Forestry and Water Resources	Ir. Basah Hernowo (Member of Tim Teknis)	<a href="mailto:basah@bappenas.go.id">basah@bappenas.go.id</a>	(021) 319 36209 ext . 2209 Faks. (021) 2533321;
Asisten Deputi Urusan Kajian Kebijakan Wilayah dan Sektor	Drs. Heru Waluyo, <u>M.Com.</u>		Telp/Fax: 85906676, 8517148 ext. 221
Ketua Sekretariat DNPI	AgusPurnomo		Tel: +(62)-21- 3511400 Fax: +(62)-21- 3511403
Direktur Tata Ruang dan Fasilitas Lingkungan, Kementerian Dalam Negeri	Dr. Drs, Sofjan Bakar (Member of Tim Teknis)		021-7942642
Dewan Kehutanan Nasional (DKN)		<a href="mailto:sekretariat@dkn.or.id">sekretariat@dkn.or.id</a>	(021) 5790-3082 ; 5703246 Ext 5388
Director of Wilayah I (Sumatra, Java, Kalimantan), DG of Tata Ruang / Spatial Planning, DepPU	Lina	<a href="mailto:marlia_lina@yahoo.com">marlia_lina@yahoo.com</a>	0818178769
Secretary to DG of PMD / People & Village Empowerment, DepDagri	Pak Nuryanto	<a href="mailto:nuryanto@cbn.net.id">nuryanto@cbn.net.id</a>	0816 182 1593
Secretary to DG of BANGDA / Regional Development, DepDagri	Pak Sofjan Bakar	<a href="mailto:sofjan_bakar@yahoo.com">sofjan_bakar@yahoo.com</a>	08158846547
Aceh Selatan	Bestari Raden		0852 7793 0231, 0812 8865 0787, 0813 6013 4655
Head of Institute Green Aceh	Adie Usman	<a href="mailto:adie.usman@gmail.com">adie.usman@gmail.com</a>	0813 7727 6968
Head of WALHI Aceh	TM Zulfikar	<a href="mailto:tmzulfikar@yahoo.com">tmzulfikar@yahoo.com</a>	0812 690 1283
<b>Private Sector</b>			
TFF			
TFT			
Carbon Service Provider:	Agus Sari		
RSPO			
Santoso Group			
PTFI			
APHI			
GAPKINDO			
ASMINDO			
PT DAEMETER	AisyahSileuw		
<b>Bilateral/ Multilateral</b>			
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Norway	Joar Lunning Strand	<a href="mailto:Joar.Lonning.Strand@mfa.no">Joar.Lonning.Strand@mfa.no</a>	
Japan	Ina Yasuharu	<a href="mailto:yasuharu.ina@MoFa.go.jp">yasuharu.ina@MoFa.go.jp</a> ;	O: 021 39839755, M: 0811153692
World Bank	Tim Brown	<a href="mailto:tbrown2@worldbank.org">tbrown2@worldbank.org</a>	6221 52993039 (direct) M:

<b>Key Informant List for Jakarta Based-Consultations</b>			
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World Bank	Werner L. Kornexl	wkornexl@worldbank.org	
MCC	Chris Bennett		
ADB	Ancha Srinivasan	asrinivasan@adb.org	T: +632632 4786
UNREDD	Laksmi Banowati	laksmi.banowati@un-redd.or.id	O: 6221 5795 1505, 5790 2950, M: 0815 920 8124, 812 8177 8096
GIZ-KFW	Sean Foley	sean.foley@gfa-group.de	+62 21 5785 2987, +62 811 199 7560
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AFD France	Vincent Rousset	roussetv@afd.fr	6221 2992 1501, M 62 815 11177351
AusAID	Didi S. Marjimi	didi.marjimi@ausaid.gov.au	021 3924322 ext.569
CIDA	Jefrey Elzinga	jeffery.elzinga@international.gc.ca	(+62-21) 2550 7853 (direct) +62 815 1000 0072
DANIDA	Soren Moestrup	some@life.ku.dk	M: 62 816 704 579
IFC	Ernest E. Bethe III	ebethe@ifc.org	021 2994 8001
JICA	Shigeru Takahara	takahara@jica-dephut.or.id	6221 5720218, 62 8118892205
UK Climate Change	Farah Sofa	<a href="mailto:f-sofa@dfid.gov.uk">f-sofa@dfid.gov.uk</a>	O: +6221 2356 5200
UNDP	Budi Sayogo	budhi.sayoko@undp.org	O: 0213141308 M:08121038454
<b>USAID Office</b>			
Enviro Office	Nassat D Idris	nidris@usaid.gov	
Enviro Office	Antonius PY Djogo		
Enviro Office	Triageny Linggoatmojo		
Enviro Office	J Ashley Netherton		
Enviro Office	Heather D'Agnes		
Mission Director	John Hansen		
USAID IFACS	Reed Merrill		
USAID IFACS	Nugroho Wienarto		
USAID/DG, Project Devt	Yoke Sudarbo		
USAID/DG Officer	Miranda Joliceour		
USAID/DG, Rule of Law	Dondy Sentya		
<b>Others</b>			
Cooperative Agreement – Mangrove Carbon Credit in North Sumatra	Bambang Suprayogi		
Increasing Coastal Resiliency and Climate Change Mitigation through Sustainable Mangrove	Josef Viandrito		

<b>Key Informant List for Jakarta Based-Consultations</b>			
<b>ORGANIZATION</b>	<b>NAME</b>	<b>EMAIL</b>	<b>PHONE</b>
Management in Sumatera - Lutheran World Relief (LWR)			

#### **XI TEAM ROLES AND RESPONSIBILITIES**

<b>Position</b>	<b>Personnel, (main expertise)</b>	<b>Responsibilities</b>
Team Leader	Nonette Royo (Governance in NRM, and Forestry policy)	Management of team; Facilitate forward movement; Turn in deliverables (work plan, oral briefing, any other benchmarks); Impart primary expertise on land and forest resource governance; Ensure good relations of team and coordination with USAID, including through Director of Environment Office, and Forest Advisor of USAID/Indonesia;
USAID Representative	Hannah Fairbank (Biodiversity and Forestry; CBNRM; landscape-level conservation; economic approaches)	Contribute USAID perspective including USAID procedures for monitoring and evaluation, relevant USAID project and program information, and analysis of institutional and management issues; Serve as a technical forestry and biodiversity resource person; Responsible for editing the final draft of the evaluation report;
Lead Drafter	John Pontius (Management, Evaluation, Climate Change, Private Sector)	Write initial draft of evaluation report; Write final draft of evaluation report (including the roles for coordination of inputs, and synthesis of information); Impart expertise as Sustainable Forestry and Climate Change specialist, and as Evaluation specialist.
Community Development, and Governance Specialist	Laksmi A Savitri (Community Development, participatory land use, biodiversity, climate change adaptation)	Review and analyze aspects of governance and climate change resilience, especially under the Climate Change component of the FOREST Program;
Biodiversity Conservation Specialist	Mochamad Indrawan (biodiversity, climate change mitigation, governance)	Analysis and preparation of findings, conclusions and recommendations for activities under the Improved Management and Conservation of Forest Resources component; Assist with the Private Sector Sustainability and Climate Change aspects of the FOREST evaluation.
USAID/Indonesia Liason/ Point of Contact	J. Ashley Netherton (NRM and international development)	Facilitate communications with Mission, partners from IFACS, and FOREST networks; Provide Mission perspective, Country Development Cooperation Strategies, and technical NRM support.
USAID/Indonesia/ IFACS Advisor	Nassat Idris (Mission Forestry Specialist, climate change, management, political-ecology landscape)	As a key resource person advise on technical, administrative and logistical aspects of the evaluation and strategic assessment;
GOI Representative	<i>To be named</i>	Better understanding of USG – GOI relationship; Contribute to evaluation; Engage GOI in planning/ ranking; Identify individuals to meet with and go on site visit

## ANNEX III: SOURCES OF INFORMATION: BIBLIOGRAPHY

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## ANNEX IV: USAID NATURAL RESOURCE RELATED PROGRAMS MATRIX

USAID/Indonesia Terrestrial NRM and Climate Change Programming 1992 to 2013											
Program	Scope	Implementer	Year	Papua	Maluka	Suluwesi	Sumatera	West Kalimantan	East Kalimantan	Central Kalimantan	Java
<b>Natural Resource Management Program (NRMP)</b>	Policy Studies; Training; Nat'l Park Mgt; Forest Mgt; Clean Indust.	Associates in Rural Development (ARD) & World Environment Center (WEC)	1990-1997			North Sulawesi - Bunaken NP		Bukit Baka Bukit Raya NP		Bukit Baka Bukit Raya NP	Policy Secretariat; Training; Clean Industry
<b>Biodiversity Support Program (BSP)</b>	Local NGO Strengthening for Biodiversity Conservation	WWF-US via KEMALA Program									
<b>NRM/EPIQ-NRM 2&amp;3</b>	Biodiversity conservation policy and management	IRG	1997-2004	Jayapura/Cyclops; Manokwari Birds Head		North and Central Sulawesi			West Kutai District & Sungai Wain		
<b>Environmental Support Program (ESP)</b>	Watershed conservation and water service provision	DAI	2005-2010	Jayapura	Ambon	Manado	North Sumatra, West Sumatra, Banda Aceh, Aceh Besar, Aceh Jaya, Aceh Barat		Balikpapan		East & West Java, Central Java/Yogya
<b>Biodiversity Conservation Network (BCN)</b>	AID/W grants for Protected Areas Conservation	WWF-US TNC	CI								
<b>OCSF</b>	Orangutan Conservation	DAI	2007-2010				Batang Toru; Leuser Ecosystem in Aceh and North Sumatra and Dairi & Pakpak Bharat District.	Sungai Putri; Bukit Perai; Arus Belantikan	Lesan, Wehea; Kutai National Park, Tanjung Puting NP		
<b>TFCA I</b>	Biodiversity Conservation in Sumatera Island	Multiple local grants administered by KEHATI	2009-19				Multiple sites around national parks in Sumatera				

**USAID/Indonesia Terrestrial NRM and Climate Change Programming 1992 to 2013**

<b>TFCA II</b>	protect biodiversity, secure forest carbon, and improve community livelihoods	Multiple local grants administered by KEHATI	2012-22					Kapuas Hulu	West Kutai; Berau		
<b>IFACS</b>		Tetra Tech/ ARD	2010-2014	Sarmi, Mamberamo, Asmat, Mimika			Aceh Tenggara, Aceh Selatan, Gayo Lues	Katapang, Kayong Utara, Melawi.		Katingan, Palangka Raya, Pulang Pisau	
<b>Sustainable Landscapes Partnership</b>	develop, test new solutions to avoid deforestation and associated GHG emissions	CI	2011-2016	TBD			Mandailing Natal				
<b>KEHATI</b>	Indonesia Biodiversity Foundation established and supported	KEHATI administered multiple small grants	1995-2005				Multiple small grants	Multiple small grants	Multiple small grants		

## ANNEX V: LOCATOR MAP OF FOREST AND IFACS SITES



## ANNEX VI: RESULTS ACHIEVEMENTS LANDSCAPE TABLES

### Aceh Selatan Landscape

Land use classification (Aceh Selatan sample)	Authority	Level of interaction with IFACS/MSF
Production State Forests	Ministry of Forestry – Dirjend BUK  Provincial presence of Ministry of Forestry Baplan In collaboration with Dinas Kehutanan Kabupaten	No direct contacts with BUK,  No BPKH  Dinas Kehutanan a partner
Concessionaires – (HPH?) Community Plantations - Forum	Nutmeg and Cacao	Support for BMP via RIL, HCVF, member of MSF Forum Pala, member of MSF
Concessionaires	<i>Pinjam Pakai</i>	No mining
Deep Peat lands - in Rawa Tripa, at the border of Nagan Raya District	Ministry of Forestry – Ecosystem Restoration?	UKP4 recommends that IFACS takes this up
Conservation State Forest,  Gunung Leuser National Park (7929 km <sup>2</sup> )	Ministry of Forestry – Dirjend PHKA; UPT GL; BKSDA YLI	Only started contacts with PHKA at Ministry Level; Limited interaction with BKSDA (only met recently, when the review team came) Contact with Management of TNGL Bad relationship with YLI (grant was not processed, no collaboration, but YLI is a main actor in Leuser and in TFCA)
Other Uses – APL,  Plantations	District Government, BAPPEDA  Perkebunan Masyarakat	Bupati and BAPPEDA are not partners, at odds with IFACS MSF from perkebunan rakyat host; MSF members are active NGOs; MSF role not utilized/maximized (vs. Aceh Tenggara NGO ‘fatigue’ in MSF) Training on GIS/KLHS/SEA-LEDS, but not the right partner to lead this; also ask money from IFACS for its operations Dishut Kehutanan Kabupaten, others
Indigenous Lands	IP organization, AMAN	No direct institutional linkage with IP Organization. Grants to NGOs to support mapping/livelihoods that impact IPs

## West Kalimantan Landscape (Katapang)

Land use classification	Authority/technical competence	Level of interaction with IFACS/
Other Uses –APL, (980,000 hectares in Ketapang, Kayong U, Hutan Lindung-Mangrove	Provincial Government (expect collaboration), Perda 7/08 RPJM District Government open: Regional Planning Bappeda, Forestry (Dishut), Public Works (PU), Oil Palm	Training on GIS/SEA-LEDS via Multi-Stakeholder Forum (MSF), wt Bappeda District Forestry, others
State Forest Classification  Kesatuan Pengelolaan Hutan, (KPH), for Sungai Lawor, (70,000 has) KPH for Hutan Lindung	Ministry of Forestry – Director General Planology  Provincial presence of Ministry of Forestry Baplan – BPKH In collaboration with District Forestry	No direct contacts with Baplan  BPKH – key to KPH Sungai Lawor processing)
Concessionaires – Logging/plantations in Ketapang total 2,092,000 has/Dishut data  Plantations (Ketapang, 901,000 has)	Alas Kusuma Group, (five concessionaires)  7 Oil Palm Concessions: Sinar Mas, Cargill Sapta Odang, HKTl (Himpunan Kerukunan Tani Indonesia);	Dishut – key player/partner of IFACS member of MSF, has complete information of landscape)  Support for BMP via RIL, HCVF, member of MSF  Unclear contacts with Plantations, (Cargill Oil Palm partner)  Other influential figures/MSF
Concessionaires – mining	PT Karya Tambang; MoF <i>Pinjam Pakai</i> arrangements (overlaps with Alas Kusuma concession)	No contacts with miners, not member of MSF
Deep Peat lands in the Kayong-Southern Ketapang (250,000 hectares)	Ministry of Forestry – Ecosystem Restoration	Former Flora Fauna International (FFI) Area in Muara Pawon, IFACS extend to half of this area, no clear strategy
Conservation State Forest, in Kayong Utara  Gunung Palung National Park (90,000 hectares in Kayong Utara)	Ministry of Forestry – Dirjend PHKA;  UPT Gunung Palung National Park; Natural Resources Conservation Agency (BKSDA	Only started contacts with PHKA at Ministry Level;  Limited interaction with BKSDA Contact with Management of Gunung Palung via NGO partner, ASRI
Indigenous Lands  Mapped areas: 500,000 approx.	IP organization, DAD, AMAN	No direct institutional linkage with Indigenous Peoples (IP), Organization. Dewan Adat Dayak member participates in MSF in Kayong Utara Grants to NGOs to support mapping/livelihoods that impact IPs

## Central Kalimantan Landscape (Katingan)

Land use classification	Authority	Level of interaction with IFACS
<p>Timber Concessionaires – logging</p> <p>Ecosystem Restoration Plan, (approx. 240,000 hectares)</p> <p>Non-Timber Forest Products - Rattan Trade, Rubber farming, etc.</p>	<p>8 timber concessions, total</p> <p>PT Rimba Makmur Utama (RMU) awaiting forest department license</p> <p>PT KDP/Katingan Jaya Mandiri- Perda2004 for processing</p>	<p>Work with 3 for BMP via TA support RIL, HCVF, and Conservation and Management Plan (CMMP) development; member of ‘Concession MSF’</p> <p>MOU with RMU;</p> <p>Planned support for Yayasan Puter on community development or RMU</p> <p>Rattan Processing Factory of the District, not yet fully operational</p> <p>Forum Komunikasi Pengusaha Non Kayu (Non-Wood Forest Product HHBK) for Rattan, Bamboo, Damar, Gaharu and Walet</p> <p>Rattan export ban: Community grown rattan (must inventory/map); wild rattan (banned)</p> <p>Industry needs high: must stock at least 100 ton in Katingan to keep prices up.</p> <p>Helping rattan farmers = help prevent forest fires</p> <p>IFACS can link with local govt, maintain rattan information network, help in storage/factory support</p>
<p>Concessionaires – mining (gold), plantations</p>	<p>Licensees, large and small scale, issued via <i>pinjam pakai</i></p>	<p>Not clear contacts; some via community planners that don’t earn enough from rattan; not members of MSF; mercury tailings to Katingan River - directly affecting water supply, fish</p> <p>Can use Env’t Impacts Assessment – AMDAL</p>
<p>Conservation State Forest:</p> <p>Sebangau National Park (568,700 hectares);</p> <p>Bukit Baka Bukit Raya (BBBR)</p>	<p>Ministry of Forestry – DirJend PHKA;</p> <p>UPT Sebangau; BKSDA UPT; (mining is coming into the park)</p>	<p>Only started contacts with PHKA at Ministry Level;</p> <p>Limited interaction with BKSDA</p> <p>Limited interaction with Management of Sebangau (Park Management open and willing);</p> <p>2 KPHPs at the border of Sebangau and Pulang Pisau facilitated by Japanese Sumitomo for a Bilateral Offset Credit Mechanism (BOCM) – Governor has appointed a Joint Study Team with Unpar and MoF</p>
<p>District Government</p> <p>Other land Uses – APL, no access to maps of National Parks (asked IFACS to facilitate this)</p>	<p>District Government of Katingan:</p> <p>District planning and forestry</p> <p>35 licenses for oil palm (only 2 have proper business license-HGU from govt)</p> <p>62 licenses for mining (gold, coal, iron) overlaps occur</p>	<p>Election of new Bupati in April 2013. RTRW of Katingan is stuck at legislative office!</p> <p>District budgets: RP 750 billion, with Forestry Allocation (DAK) 154 billion (2012); 161 billion (2013) but cannot be spent on reforestation, too strict.</p> <p>Training on GIS/SEA-LEDS with Bappeda but Bappeda is not consulted in issuances of licenses, issued by Sekda/District’s office – Bupati signs, didn’t know the technical issues!</p> <p>Law on Public Information must apply (Bappeda says)</p>

Land use classification	Authority	Level of interaction with IFACS
		Spatial Data Info in Katingan: Want a policy on ONE MAP. IFACS has unclear relations with Dishut District.
Indigenous Lands	IP organizations, Permen Agraria 5/ Kedamangan – Perda 16/08; Pergub 9/12 - Surat Keterangan Tanah Adat (SKTA) land titles; predominant culture Kaharingan (sustainability principles)	No direct institutional linkages with Dewan Adat Dayak (DAD) or Aliansi Masyarakat Adat Nusantara (AMAN) in Palangkaraya; Grants to NGOs to support mapping/livelihoods that impact IPs Sustainable livelihoods assessment done; strengthened 'Rattan MSF' coalition

### Mimika Landscape

Land use classification (sample for Mimika only)	Authority	Level of interaction with IFACS
Production Forests Peat swamp forest (approx. 1,000,000 has)	Ministry of Forestry	No direct contacts
Protected Forests, Mangrove (approx. 400,000 has, but if including Asmat can go up to 1 million)	Ministry of Forestry with Provincial and District Forestry	Plans for KPHL for Mangrove being developed
Concessionaires – large logging Concessionaires – Small logging	Logging Concessionaires HIPKAL-Association of local timber harvesters (write a memo: verify the MOF/Govt regulation that supports community harvesting up to 20 cubic meters)	No direct contacts Support for BMP, member of MSF,
Concessionaires – mining	Freeport Mc Moran/PTFPI	No formal 'discussion' of co- management of landscape 'slice' that overlap National Park, lowland forest and mangrove areas including Freeport tailing sites; Ongoing discussion for Carbon offset proposal wt PTFI; IFACS regional team is not aware/involved with PTFI conversations by IFACS team PTFPI not member of MSF
Conservation State Forest: Lorentz National Park (+ 500,000 hectares?)	Ministry of Forestry – Dirjend PHKA; UPT TN Lorentz; BKSDA	Only started contacts with PHKA at Ministry Level;  Very limited interaction with BKSDA  PTFI is degazetting TN Lorentz  No known discussions with UPT TN Lorentz so far

Land use classification (sample for Mimika only)	Authority	Level of interaction with IFACS
Other Uses – APL: District Government	District Government: Bappeda, DisHut	Training on GIS/KLHS/SEA-LEDS with Bappeda Dishut Kehutanan Kabupaten, others, PU
Indigenous Lands	IP organizations of Kamoro and Amungme	No clear institutional linkages with IP Organizations representing the area of Kamoro and Amungme. Grants to NGOs to support mapping/livelihoods that impact IPs MSF must be at provincial level with them IP as key actors

### Sarmi Landscape

Land use classification	Authority	Level of interaction with IFACS/MSF
Production State Forests  4 KPHs	Ministry of Forestry – Dirjend BUK  Provincial presence of Ministry of Forestry Baplan – BPKH  In collaboration with Dinas Kehutanan Kabupaten	No direct contacts with BUK,  BPKH, Pk Sutardi at the province is very open and waiting for donors to support KPH  Dinas Kehutanan – Pk Marsudi, with backstopping from Pak Kayoi (key player, complete information, supportive of IFACS;  Papua should have MSF at provincial level!
Concessionaires –  Community Concession - IPKMA  Plantations (Ijin lokasi Oil palm issued...)	PT Wapoga Other HPH are non-active, but concessions are still in their name. By law this should be 'returned' to the Ministry  PtPPMA- support system Kooperasi – IPKMA  20 Oil Palm Concessions currently reevaluated as former Bupati issued this	Support for BMP via RIL, HCVF  Not member of MSF Kayoi can assist in 'processing'  Part of MSF, areas overlap with PT Wapoga, and an Oil Palm plantation  Provincial Bappeda unaware, and will review this
Concessionaires – (Ijin prinsip – initial negotiation)	25 Mining concession with 'ijin prinsip' ... <i>Pinjam Pakai</i> arrangements with MoF	Not clear contacts, current Pk Bupati not know where these are; Provincial Bappeda unaware
APL - Cacao Plantations –	Dinas Perkebunan Kabupaten	In open conflict with IFACS TA- assistance to local cacao traders.
Hutan Lindung	MoFor/Dinas Kehutanan	Not explored by IFACS
Forestry and Other Uses – APL,	District Government: Bappeda	Training on GIS/KLHS/SEA-LEDS with Bappeda Dishut Kehutanan Kabupaten, etc.
Indigenous Lands	IP organization, LMA	Part of MSF, want to map 5 Sucus Grants to NGO (Lentera) to support mapping/livelihoods (IPI, Lentera, STC) that impact IPs

## ANNEX VII: INTERFACE BETWEEN GOI PRIORITIES AND USAID PROJECT ACTIVITIES

Interface between GOI Priorities and FOREST Program Activities		
Level of Government	GOI Priority	FOREST Support
National	MOF Strategic Plan (RENSTRA) for 2010-2014	Of RENSTRA's seven programs, two have been supported by FOREST activities, namely Conservation of Biodiversity and Forest Protection, and Strengthening Functions and Supporting Capacities of Watersheds based on Empowerment of Communities. *Note* Due to lack of communication with MOF the attributed link has not been substantiated.
National Provincial	National Action Plan for GHG Emissions Reduction (RAN-GRK)	IFACS has conducted outreach activities in remote districts (e.g., Sarmi, Mimika, Gayo Lues) to provide local governments and communities with information on LEDS.
	One MAP	USFS has provided technical assistance to BIG.
	Peat Carbon Assessment	USFS has completed carbon stock assessment workshops in IFACS' Ketapang, Kayong Utara, and Aceh Selatan landscapes; Mimika and Sarmi are underway. Approximately 100 participants have been trained so far, (130 anticipated), representing multiple government agencies, universities, NGOs, and the private sector.
	Indonesia Biodiversity Strategy and Action Plan (IBSAP) for 2003-2020	No direct links at the national level. IFACS support (mainly in Kalimantan) has been realized through sustainable forest management and spatial planning activities. ICITAP has provided training and equipment for environmental investigators (Leuser National Park).
	FMU	Nationally, there have been no clear links. FMU considered by Aceh Selatan Forestry Office whom also suggested need for management plan for FMU. In Sarmi, Head of Forestry Office appreciates that FMU need to be set out with dimensions including mapping, management, and personnel. In Papua for Bintuni there is option for FMU-Conservation that may be pursued.
	National Parks and protected areas management	Especially in Kalimantan but also in Aceh, engagement with national parks did not appear to be strong. TFCA support for establishing wildlife corridor in Rawa Trumon can have potential impacts for extending habitats for Orangutan and the Sumatran Tiger.

**Interface between GOI Priorities and FOREST Program Activities**

<b>Level of Government</b>	<b>GOI Priority</b>	<b>FOREST Support</b>
	HCV	IFACS HCV may find better support in the private sector, but less with government sectors, including at district level. Weaknesses stemmed mainly from lack of legal basis and the land swap would be time consuming and often political process.
	Orangutan protection,	This project is supported by TFCA, but included here because it has impacts on the FOREST landscape. TFCA support to Habitat protection of Orangutan in Rawa Trumon (Aceh) is ongoing but a greater threat in the form of de-classification.
	CITES commitments	Trade in parts of CITES species (and also top priority of Indonesian protected species) has not been addressed, such as traditional Chinese medicine demand for tiger and rhino parts in Sumatra. The local BKSDA in Aceh suggested that even intelligence information could go a long way toward protection of these.
	Millennium Development Goals	YAGASU led project in Percut (Medan) showed how alternative livelihoods (mangrove crab) can be combined with gender mainstreaming (cooperative for women) and bring about environmental sustainability. In Gayo Lues, patchouli production helped sustainability.
	MP3EI	In the regions there could have been opportunities to integrate green development mechanisms such as RAD GRK, Strada REDD+ into mainstream development planning, but these opportunities are yet to be taken. Still, it must be acknowledged, green development mechanism is not an inherent part of the MP3EI. On the contrary, Aceh is targeted for growth in mining and palm oil.
	<b>Papua</b> - The draft regional regulation for RTRW outlined that 90 percent of the province should maintain forest cover, and 60 percent of the total province should be captured as protected forests and PAs, including “kawasan lindung bawaan”.	FOREST effective engagement has yet to be made with the provincial government.

**Interface between GOI Priorities and FOREST Program Activities**

<b>Level of Government</b>	<b>GOI Priority</b>	<b>FOREST Support</b>
<b>Provincial</b>	<b>Papua</b> - Vision: Papua sustainable development 2100 (has been captured by the present RTRW).	IFACS work in Sarmi with Cocoa and in Mimika with the effort to develop mangrove carbon off set with Freeport.
	<b>Aceh</b> - Empowerment of community economy; plan to distribute lands for combatants; limit the expansion of large scale plantation; no mining concessions will be given.	FOREST has yet to engage with the main thrust of Aceh Government's plans.
	<b>Central Kalimantan</b> - STRADA REDD+ (Provincial plan) and RAD GRK.	There is the potential to use these two documents to provide technical support, but IFACS has yet to effectively engage.
	<b>West Kalimantan</b> – Five year development plan (RPJM Propinsi) and SEA.	Because the governor has signed an MOU and Technical agreement with IFACS there is an opportunity to engage with RPJMP, but IFACS landscape and focal district focus mean this opportunity is not being captured. A recent request from the governor supporting integration of SEA into RPJMP was not taken up by IFACS.
<b>District</b>	<b>Sarmi</b> - Understanding SEA as mandate of the law.	Providing SEA and RAD GRK training on this newly established district.
<b>District</b>	<b>Sarmi</b> : Investment: oil palm plantation and mining, consolidated smallholders plantation (cacao) – nucleus plasma model.	Cocoa plantation is actually a provincial priority, and IFACS has been supporting with technical assistance for planting and marketing cocoa.
	<b>Sarmi</b> - forest delineation based on customary territory (wilayah adat).	A new plan for which IFACS is yet to formally link up with.
	<b>Mimika</b> - The first kabupaten in Papua to have RTRW of its own.	SEA training and carbon counting work will support spatial plan implementation.
	<b>Gayo Lues</b> - Low Emission Development, Spatial planning, Spatial	IFACS facilitated MSF has moved to support the regional government's annual plans relating to LEDS, and provided a pilot for producing patchouli using

**Interface between GOI Priorities and FOREST Program Activities**

<b>Level of Government</b>	<b>GOI Priority</b>	<b>FOREST Support</b>
	Data Infrastructure,	kernel and micro-hydro, the latter of which was picked up by the district for its future investment.
	<b>Aceh Selatan</b> - Nutmeg and cacao smallholder plantations.	IFACS supporting champion (Head of Outreach Division of Aceh Selatan Agency for Food Security and Outreach) took initiative to secure budget to support cacao smallholders.
	<b>Aceh Tenggara</b> - Spatial planning, Spatial Data Infrastructure.	Together with Gayo Lues, Aceh Selatan received GIS training and requested assistance for further help with spatial planning.
	<b>Ketapang</b> - HCV	In Katapang the head of the district forest office is a keen supporter of IFACS objectives. He has used HCVF's to conserving peat land in Katapang District. He is engaged with IFACS despite having been discouraged by provincial government.

## ANNEX VIII: FINAL LIST OF INTERVIEWEES

### ACEH

No	Name	Organization	No Contact
1	Safrie Gani	Aceh Geospatial Data Center (Division of Regional Planning Board of Aceh Province)	0811682192
2	Emma	Aceh Geospatial Data Center	
3	Amon Zamora	Nature Conservation Agency for Aceh Province	082169313999
4	Sofyan	Mount Leuser National Park Agency (head office in Medan), Administration Division	
5	Dody	Mount Leuser National Park Agency, Planning sub-division	
6	Irfan Jailani	Aceh Parliament	08126018380
7	Bambang Suprayogi	YAGASU (head office in Medan)	
8	Gaut Pengasih	Lembaga Suar Galang Keadilan	
9	Yulia Sudjatmiko	Lembaga Suar Galang Keadilan	
10	Matthew Linkie	Flora Fauna Int'l	
11	Afridal Darmi	IFACS	
12	Eliakim Sitorus	IFACS	
13	Ivan Krisna	IFACS	
14	Sutisnawaty Nando	IFACS	
15	Erwin Alamsyah	IFACS	

### A. ACEH SELATAN

No	Name	Organization	No Contact
1	Mardaleta	Regional Planning Board	081370795019
2	Zulacki	Forestry and Plantation Office	08126995257
3	T. Masrul	Planning Division, Forestry and Plantation Office	
4	Said Azhar	Regional Secretariat	081364404900
5	Nasarurrahman	Regional Secretariat	0812692535
6	Khairani Nyakneh	Agency for Food Security and Outreach	
7	T. Masrizar	Konsorsium Perduli Hutan Aceh Selatan(KPHS)	
8	Abu Hanifah	Leuser Int'l Foundation	
9	Bestari Raden	Aceh Development Forum Consortium	
10	Sarbunis	Yayasan Gampong Hutan Lestari (YGHL)	
11	Mulyadi	Yayasan Gampong Hutan Lestari (YGHL)	

No	Name	Organization	No Contact
12	Safruddin	Yayasan Gampong Hutan Lestari (YGHL)	
13	Firdaus Darwis andi	Forum Pala Aceh (FORPALA)	
14	Khairul Azmi	PT. STC (Sustainable trade & consulting) -	
15	Anton Siregar	PT STC	
16	Juanda	JIKA OISCA	
17	Anom	JIKA OISCA	

## GAYO LUES

No	Name	Organization	No Contact
1	Ibrahim	Regional Planning Board	
2	Zaimah Hasibuan	Regional Planning Board	
3	Ferry Siswanto	Agency for Mitigation of Environmental Impacts	
4	Alimin	Forestry and Plantation Office	
5	Mashuri	Yayasan Swisscontact Indonesia	
6	Nazli	Yayasan Swisscontact Indonesia	
7	Kitri Widearetna	Yayasan Swisscontact Indonesia	
8	Herryana	JIKA OISCA	
9	Fachruddin	Redelong Institute	

## B. CENTRAL KALIMANTAN

No	Name	Organization	No Contact
1	Matheus Bibin	DAD	081256325214
2	Jiluo Irtonito	Kantor LH	081352210000
3	Fransiska Wardiani	Kantor DinKes	081345579167
4	Agus Afrianto	Kantor DinKes	082157177897
5	Sisma Hardianty	DAD	085252420917
6	Jumadi	MSF	081343409707
7	Hotlin Ompusunggu	ASRI	081345141734
8	Miftah Zaki Aekid	ASRI	081227571305
9	Elysa	PNPM	085246818468
10	Yulita Sinta	PNPM - MPD	081345168366
11	Ahmad Johari	PNPM - MPD	0813454480147
12	Graham Applegate	IAFCP - AusAID	08121101393
13	Timothy Jessup	IAFCP - AusAID	08119845635

No	Name	Organization	No Contact
14	Ade B. Kurniawan	CI	08170417115
15	Ir. Sonny A. Pribadi	PS. Katingan Jaya Mandiri	0811526533
16	Tito Purwanto Indrawan	Yayasan Palung	081345415503

### C. WEST KALIMANTAN

No	Name	Organization	No Contact
1	Nur Fadly	DISHUT	081257204818
2	Edi Rahman	YP	081256s39360
3	L. Sikat Gudag	DISBUN	081345966332
4	Rudiyanto	RM	085240686162
5	Adi	IBR	
6	Lutfi F. Hasan	LSM-K3	081345098018
7	Raden Abdillah	LSM-K3/FK3 I	085393775555
8	Dany Isyuliadi	Tagana	<u>085752833904</u>
9	Fransiska Nelly	DISBUN Ketapang	08125732002
10	Rahmawatis	FFI	081345906667

### D. PONTIANAK

No	Name	Organization	No Contact
1	Kristian	USAID IFACS	
2	Muharno AR	LINK-AR BORNEO	
3	Wawan	Yayasan Dian Tama	
4	M. Syamsuri	Pref-Indonesia	
5	Y. Janting	Lanting Borneo	
6	Manul Huda	Pref-Indonesia	
7	Severianus Endi	Bio Damar	-
8	Jalung	Lanting Borneo	
9	Alwan	Pref-Indonesia	
10	Jumadi Asnawi	LPS-AIR	
11	Fajri Nailus	Sampan	
12	Daman Huri	LPS-AIR	
13	Denni N	Sampan	

No	Name	Organization	No Contact
14	C. Kanyan	CBDT	
15	Hermawansyah	Gemawan	
16	Ignatius	Bio Damar	
17	Agapitus	AMAN Kalbar	

#### E. MIMIKA

No	Name	Organization	No Contact
1	Hsaan Sainus	MBF	081354024998
2	Agustina Yatanea	JPM (Jaringan Perempuan Mimika)	085344804108
3	Alvarina F. Merabano	JPM (Jaringan Perempuan Mimika)/MSF	091340316973
4	Maria Kambirok	JPM (Jaringan Perempuan Mimika)/MSF	081240099529
5	Siswo Utomo	HIPKAL	08124006051
6	Apris Tidayoh	HIPKAL	085254822989
7	Abraham Simbial	MSF - Papua Forest Crysist	<u>081240271037</u>
8	Rolando Tamtalahitu	YAPEDA	08114910033
9	Daniel Nafulery	MSF - Papua Forest Crysist	081240220037
10	Roland Balubun	MSF - Papua Forest Crysist	085344404847
11	Gesang Setyadi	PT Freeport Indonesia	

#### F. PAPUA

No	Name	Organization	No Contact
1	Agus Rumansara	Papua Low Carbon Development Task Force	
2	Peter Kamarea	Papua Low Carbon Development Task Force	
3	Sutoto	Regional Planning Board	
4	Marten Kayoi	Forestry and Conservation Office	
5	Gunung Nababan	Nature Conservation Agency for Papua Province	
6	Benja S Mambai	WWF Indonesia – Sahul Region	
7	Rosye Tanjung	Universitas Cendrawasih	
8	Stephen Ray Leon Matthias	IFACS	

No	Name	Organization	No Contact
9	Tommy Alan Wakum	IFACS	-
10	Evie Adipati	IFACS	
11	Robert Hewat	IFACS	

#### G. SARMI

No	Name	Organization	No Contact
1	M. Manibor	Sarmi district (Regent)	82115555876
2	A.Suripno	Sarmi district (Vice Regent)	
3	Sudarsono	Regional Secretary Office	
4	D.Warwe	Regional Planning Agency	81344602402
5	Robby M.Faisal.	Regional Planning Agency	81240052888
6	Fredy Latumahina	Forestry Office	81344324088
7	Marethe C Wersemewar	Regional Planning Agency, Program Planning Division	81527966882
8	Rafael Haven	Yayasan LENTERA	81392722819
9	Ahmadi	Institut People of Independen (IPI)	82115555876
10	Lyndon Pangkali	Perkumpulan terbatas untuk Pengkajian dan Pemberdayaan Masyarakat Adat Papua - PtPPMA	

#### H. NATIONAL LEVEL (JAKARTA AND BOGOR)

No	Name	Organization	No Contact
1	Asep P Muhammad	Coordinating Ministry of Public Welfare	
2	Pudjo Hardianto	Coordinating Ministry of Public Welfare	
3	Asril	Coordinating Ministry of Public Welfare	
4	Sri Murniningtyas	Ministry of Forestry, Secretariat General, Center of Int' Cooperation	
5	Willistra Danny	Ministry of Forestry, Secretariat General, Center of Int' Cooperation	
6	Heru Prasetyo	UKP4	
7	Joar L. Strand	Royal Norwegian Embassy	
8	Lorna Hall	UK Climate Change Unit (Indonesia)	
9	Farah Sofa	UK Climate Change Unit (Indonesia)	
10	Tim Brown	World Bank	

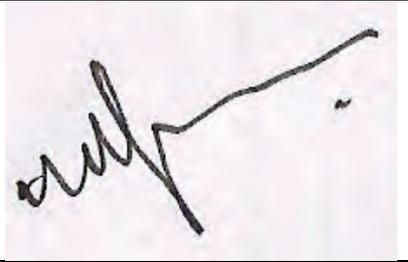
No	Name	Organization	No Contact
11	Yoke Sudarbo	USAID Office of Democratic Governance	
12	Miranda G Jolicoeur	USAID Office of Democratic Governance	
13	Dondy Sentya	USAID Office of Democratic Governance	
14	John Hansen	USAID Environment Office	
15	Heather D'Agnes	USAID Environment Office	
16	Nassat Idris	USAID Environment Office	
17	Antonius P.Y Djogo	USAID Environment Office	
18	Bill Rush	US Dept. of Agriculture Forest Service	
19	Rini Sulaiman	US Dept. of Agriculture Forest Service	
20	Dina Ernawati	Dept. of Justice ICITAP, Environmental and Natural Resource Protection	
21	Arief Wicaksono	MCC	
22	Chris Bennet	MCC	
23	Steve Rhee	Ford Foundation	
24	Ujwal Pradhan	ICRAF – World Agroforestry Centre	
25	Chip Fay	Climate Land Use Alliance	
26	Deddy Hadriyanto	Mulawarman University, Center for Climate Change Studies	
27	Gusti Zakaria Anshari	Tanjungpura University, Center for Wetlands People and Biodiversity	
28	Fitri Chaerunisa	FREELAND	
29	Darmawan Liswanto	Flora Fauna Int'l Indonesia Programme	
30	Suzanne Billharz	Conservation Int'l, <i>Sustainable Landscape Program</i>	
31	Noviar Andayani	Wildlife Conservation Society – Indonesia Program	
32	Abdon Nababan	AMAN	
33	Noer Fauzi Rahman	Agrarian Reform Consortium	
34	Andiko	HUMA – Perkumpulan untuk Pembaharuan Hukum	
35	Silverius Oscar Unggul ( <i>Onte</i> )	Telapak	
36	Iwan Nurdin	Consortium for Agrarian Reform	
37	Reed Merrill	IFACS	
38	Nev Kemp	IFACS	
39	Darrel Kitchener	IFACS	

<b>No</b>	<b>Name</b>	<b>Organization</b>	<b>No Contact</b>
40	Sigit M Widodo	IFACS	
41	Erlinda Ekaputri	IFACS	
42	Nugroho Wienarto	IFACS	
43	Kusdijono	IFACS	
44	Luciana Barliantari	IFACS	
45	Rully Prayogo	IFACS	
46	Sih Yuniarti	IFACS	
47	Musnanda	IFACS	
48	Wahyu Samudrastuti	IFACS	

## ANNEX IX: DISCLOSURE OF ANY CONFLICTS OF INTEREST

<b>Name:</b>	Mochamad Indrawan
<b>Title:</b>	
<b>Organization:</b>	Independent evaluator
<b>Evaluation Position? Team</b>	Team member
<b>Evaluation Award Number</b> (contract or other instrument)	
<b>USAID Project(s) Evaluated</b> (Include project name(s), implementer name(s) and award number(s), if applicable)	Indonesia Forest and Climate Support
<b>I have real or potential conflicts of interest to disclose.</b>	Yes <b>No</b>
<p><b>If yes answered above, I disclose the following facts:</b></p> <p><i>Real or potential conflicts of interest may include, but are not limited to:</i></p> <ol style="list-style-type: none"> <li>1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.</li> <li>2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.</li> <li>3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.</li> <li>4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.</li> <li>5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.</li> <li>6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</li> </ol>	

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

<b>Signature</b>	
<b>Date</b>	12 March 2013

<b>Name:</b> JOHN PONTIUS	
<b>Title:</b>	
<b>Organization:</b>	
<b>Evaluation Position? Team</b> Member	Team Leader <del>Team member</del>
<b>Evaluation Award Number</b> (contract or other instrument)	
<b>USAID Project(s) Evaluated</b> (Include project name(s), implementer name(s) and award number(s), if applicable) Indonesia Forest and Climate Support AID-EPT-1-00-06-00008	
<b>I have real or potential conflicts of interest to disclose.</b>	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
<p><b>If yes answered above, I disclose the following facts:</b>  Real or potential conflicts of interest may include, but are not limited to:</p> <ol style="list-style-type: none"> <li>1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.</li> <li>2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.</li> <li>3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.</li> <li>4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.</li> <li>5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.</li> <li>6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</li> </ol>	

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<b>Signature</b>	
<b>Date</b>	

John Pontius  
18 March 2013

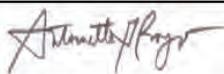
<b>Name: LAKSMI ADRIANI SAVITRI</b>	
<b>Title: Dr.</b>	
<b>Organization: Gajah Mada University</b>	
<b>Evaluation Position? Community Resilience/Governance Specialist</b>	<b>Team member</b>
<b>Evaluation Award Number(contract or other instrument) STTA</b>	
<b>USAID Project(s) Evaluated(Include project name(s), implementer name(s) and award number(s), if applicable) Indonesia Forest and Climate Support USAID IFACS and FOREST</b>	
<b>I have real or potential conflicts of interest to disclose.</b>	<b>Yes No</b>
<b>If yes answered above, I disclose the following facts:</b> <i>Real or potential conflicts of interest may include, but are not limited to:</i> <ol style="list-style-type: none"> <li>1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.</li> <li>2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.</li> <li>3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.</li> <li>4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.</li> <li>5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.</li> <li>6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</li> </ol>	

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

<b>Signature</b>	
<b>Date</b>	03/14/2013

<b>Name: ANTOINETTE G. ROYO</b>	
<b>Title: EXECUTIVE DIRECTOR</b>	
<b>Organization: SAMDHANA INSTITUTE</b>	
<b>Evaluation Position? Team</b>	Team Leader Team member
<b>Evaluation Award Number</b> <i>(contract or other instrument)</i>	
<b>USAID Project(s) Evaluated</b> <i>(Include project name(s), implementer name(s) and award number(s), if applicable) Indonesia Forest and Climate Support</i>	IFACS- TetraTech
<b>I have real or potential conflicts of interest to disclose.</b>	Yes No✓
<p><b>If yes answered above, I disclose the following facts:</b>  <i>Real or potential conflicts of interest may include, but are not limited to:</i></p> <ol style="list-style-type: none"> <li>1. Close family member who is an employee of the USAID operating unit managing the project(s) being evaluated or the implementing organization(s) whose project(s) are being evaluated.</li> <li>2. Financial interest that is direct, or is significant though indirect, in the implementing organization(s) whose projects are being evaluated or in the outcome of the evaluation.</li> <li>3. Current or previous direct or significant though indirect experience with the project(s) being evaluated, including involvement in the project design or previous iterations of the project.</li> <li>4. Current or previous work experience or seeking employment with the USAID operating unit managing the evaluation or the implementing organization(s) whose project(s) are being evaluated.</li> <li>5. Current or previous work experience with an organization that may be seen as an industry competitor with the implementing organization(s) whose project(s) are being evaluated.</li> <li>6. Preconceived ideas toward individuals, groups, organizations, or objectives of the particular projects and organizations being evaluated that could bias the evaluation.</li> </ol>	

I certify (1) that I have completed this disclosure form fully and to the best of my ability and (2) that I will update this disclosure form promptly if relevant circumstances change. If I gain access to proprietary information of other companies, then I agree to protect their information from unauthorized use or disclosure for as long as it remains proprietary and refrain from using the information for any purpose other than that for which it was furnished.

<b>Signature</b>	
<b>Date</b>	13 March 2013

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