Corporate Unit Evaluation Central Project Evaluation

KNOWING WHAT WORKS

Central project evaluation

Policy Advice on Environment and Climate Change (PAKLIM III), Indonesia
Project number 2015.2117.8

Evaluation Report

On behalf of GIZ by Gunther Bensch (ecol GbR) and Umi Hanik (MONEV Studio)

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Abbreviations

BAPPEDA	Regional Development Planning Body *id: Badan Perencanaan Pembangunan Daerah*
BAPPENAS	Ministry of National Development Planning of the Republic of Indonesia *id: Badan Perencanaan Pembangunan Nasional*
BMZ	German Federal Ministry for Economic Cooperation and Development *de: Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung*
GHG	Greenhouse gas
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH
KLHK	Ministry of Environment and Forestry of the Republic of Indonesia *id: Kementerian Lingkungan Hidup dan Kehutanan*
KLHS	Strategic environmental assessment *id: Kajian Lingkungan Hidup Strategis*
LCD/LCDI	Low-Carbon Development, Low-Carbon Development Indonesia *id: Pembangunan Rendah Karbon (PRK) Indonesia*
LNOB	Leave no one behind
M&E	Monitoring and evaluation
MER	Monitoring, evaluation and reporting
MoEMR	Ministry of Energy and Mineral Resources of the Republic of Indonesia *id: Kementerian Energi dan Sumber Daya Mineral (K-ESDM)*
MoF	Ministry of Finance of the Republic of Indonesia *id: Kementerian Keuangan (Kemenkeu)*
MoHA	Ministry of Home Affairs of the Republic of Indonesia *id: Kementerian Dalam Negeri (Kemendagri)*
MoI	Ministry of Industry of the Republic of Indonesia *id: Kementerian Perindustrian (Kemenperin)*
MRV	Measurement, reporting and verification
NAMAs	Nationally appropriate mitigation actions
NDCs	Nationally determined contributions
OECD/DAC	Organisation for Economic Co-operation and Development/Development Assistance Committee
PAKLIM III	Policy Advice on Environment and Climate Change project *Id: Program Advis Kebijakan untuk Lingkungan Hidup dan Perubahan Iklim*
RAD-GRK	Indonesian Subnational Action Plans for Reducing Greenhouse Gas Emissions *id: Rencana Aksi Daerah untuk Penurunan Emisi Gas Rumah Kaca*
RAN-GRK	Indonesian National Action Plan for Reducing Greenhouse Gas Emissions *id: Rencana Aksi Nasional untuk Penurunan Emisi Gas Rumah Kaca*
RDF	Refuse-derived fuel
RPJMD	Indonesian five-year Subnational Medium-Term Development Plans *id: Rencana Pembangunan Jangka Menengah Daerah*
RPJMN	Indonesian five-year National Medium-Term Development Plan *id: Rencana Pembangunan Jangka Menengah Nasional*
SDG	Sustainable Development Goal
SPP-SCP	Sustainable Public Procurement towards Sustainable Consumption and Production
SMART	Specific, Measurable, Achievable, Relevant, Time-bound
UNDP	United Nations Development Programme
VICLIM	Vertically Integrated Climate Policies (GIZ project)

The project at glance

Indonesia: Policy Advice on Environment and Climate Change (PAKLIM III)

Project number	2015.2117.8
Creditor reporting system (CRS) code(s)	41010 – Environmental policy and administrative management
Project objective	Climate-relevant ministries and subnational authorities of the Indonesian government have coordinated key policy instruments to achieve Indonesia's climate goals.
Project term	1 April 2017 to 31 March 2020
Project value	EUR 3,000,000
Commissioning party	German Federal Ministry for Economic Cooperation and Development (BMZ)
Lead executing agency	Ministry of National Development Planning of the Republic of Indonesia (BAPPENAS)
Implementing organisations (in the partner country)	Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH
Other development organisations involved	-
Target group(s)	Direct: Indonesian project partners at national and subnational policy levels, particularly within BAPPENAS. Indirect: the people of Indonesia, particularly individuals and groups affected by the consequences of climate change in the pilot areas in South Sulawesi Province and Malang City.

1 Evaluation objectives and questions

This chapter aims to describe the purpose of the evaluation, the standard evaluation criteria and additional stakeholders' knowledge, interests and evaluation questions.

1.1 Evaluation objectives

Central project evaluations of projects commissioned by the German Federal Ministry for Economic Cooperation and Development (BMZ) fulfil three basic functions: they support evidence-based decisions, promote transparency and accountability, and foster organisational learning within the scope of contributing to effective knowledge management. The Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) structures the planning, implementation and use of evaluations so that the contribution made by the evaluation process and the evaluation findings to these basic functions is optimised (GIZ, 2018).

Every year, the GIZ Evaluation Unit chooses a random sample of projects commissioned by BMZ to undergo a central project evaluation. This project (PAKLIM) was one of the sample projects chosen for evaluation in 2020.

German international cooperation has supported climate policy in Indonesia through PAKLIM projects since 2009. This evaluation focuses on the last of three successive projects, PAKLIM III (2017–2020), taking into account lessons learnt from the predecessor project, PAKLIM II, while also considering the long-term results of the project.

This evaluation is summative, in that it assesses the performance of the project based on the standard Organisation for Economic Co-operation and Development (OECD)/Development Assistance Committee (DAC) evaluation criteria (see below). This summative nature was emphasised by project partners in the country, in particular, in order to pin down the successful outcomes – which are fairly intangible – of policy advice interventions in everyday work processes. The evaluation is also formative, in that it indicates whether (and, if so, how) other BMZ projects in the country could learn from outputs, approaches and deliverables generated by PAKLIM III.

1.2 Evaluation questions

The project is assessed on the basis of standardised evaluation criteria and questions to ensure comparability by GIZ. This is based on the OECD/DAC evaluation criteria for international cooperation and the evaluation criteria for German bilateral cooperation as of 2019: relevance, efficiency, effectiveness, impact and sustainability (OECD 2020; BMZ 2006). These criteria also include aspects regarding the new OECD/DAC criterion coherence, complementarity & coordination, which was added in December 2019.

Specific assessment dimensions and analytical questions have been derived from this framework. These form the basis for all central project evaluations in GIZ and can be found in the evaluation matrix (Annex). In addition, contributions to the 2030 Agenda for Sustainable Development and its principles are taken into account, as are cross-cutting issues such as gender, the environment, conflict sensitivity and human rights. Also, aspects regarding the quality of implementation are included in all OECD/DAC criteria.

An inception mission was conducted in Jakarta to collect evaluation questions from stakeholders in Indonesia, among others. Many of the questions raised matched those already contained in the evaluation matrix. Other questions were no evaluation questions but related to future GIZ strategy on Indonesian climate policy. A key question that is additionally incorporated into the evaluation at the request of various stakeholders, including BMZ, is: which outputs, approaches and deliverables generated by PAKLIM III can be carried forward by other German development projects in the country and how can this best be achieved?

2 Object of the evaluation

This chapter aims to define the evaluation object, including the theory of change, and results hypotheses.

2.1 Definition of the evaluation object

The main object of this evaluation is the technical cooperation measure Policy Advice on Environment and Climate Change (PN 2015.2117.8), hereafter referred to as PAKLIM III and/or the project. The project ran from 1 April 2017 to 31 March 2020 and its overall commissioning value was EUR 3 million. The project did not receive any co-funding, but it did benefit from partner contributions in the form of staff time, staff travel costs and shared workshop costs. There were two predecessor projects: PAKLIM I ran from January 2009 to January 2013 (project value: EUR 9.3 million) and PAKLIM II, from February 2013 to March 2017 (project value: EUR 13.75 million) (GIZ, 2017; GIZ, 2020a). The activities of PAKLIM III were designed to achieve the following module objective: climate-relevant ministries and subnational authorities of the Indonesian government have coordinated key policy instruments to achieve Indonesia's climate goals.

Project context

As a signatory to the Paris Agreement on climate change and a member of the G20, Indonesia formulated ambitious climate goals. It is the world's fourth largest country by population and the fifth largest producer of greenhouse-gas (GHG) emissions, the latter largely due to widespread, uncontrolled slashing and (partly drought-induced) burning of forests and peatlands (Climate Watch, 2020a). While important general conditions for a national climate policy had been in place, the policy lacked coherence and there was little implementation of concrete measures. This can be ascribed to competing interests among politicians, ministries and regions, but also to a lack of coordination across sector ministries and between jurisdictional levels. Additional factors include lack of capacity (in certain areas), commitment and determination to implement measures and enforce laws, as well as corruption, which is particularly widespread in politics (see also Transparency International, 2020; Holzhacker et al, 2016; Nasution, 2017). All this has to be considered against the background of the ongoing decentralisation process of the post-Suharto era, covering the last 20 years. During this ambitious process, relevant control over climate change-related policy areas, such as energy and forests, was, initially, largely decentralised and then, in 2014, partly recentralised at the national and provincial levels. Understandably, defining competencies for a country of 17,000 islands extending across 5,000 kilometres presented challenges, as did coping with the significant variations in organisational capacities across regions (Ostwald et al, 2016).

Project approach

Against this background, the project advised Indonesian government ministries, as well as selected provinces and cities, on climate policy through participatory processes. This was to facilitate better coordination of their policy instruments to create a coherent and efficient low-carbon climate policy. More specifically, the project activities focused on three main areas of climate policy influence. First, the implementation of climate-change mitigation action plans at national and subnational levels by, among other things, strengthening the institutional capacities of the Secretariat of the National Action Plan for Reducing Greenhouse-Gas Emissions, the RAN-GRK Secretariat. Second, the project facilitated the harmonisation and embedding of the Nationally Determined Contributions related to the Paris Agreement (NDCs) in planning and decision-making processes, particularly in the national medium-term development plan RPJMN 2020–2024. Third, the project supported the development of climate finance instruments. All of this was intended to be integrated into the country’s low-carbon development (LCD) planning.

The project intervened primarily at national (macro) level by advising the Ministry of National Development Planning (BAPPENAS) and the RAN-GRK Secretariat. In addition, other sector ministries and institutions were

involved as direct project partners, notably the Ministry of Industry (MoI), the Ministry of Energy and Mineral Resources (MoEMR), the Ministry of Finance (MoF) and the National Public Procurement Agency (LKPP). The project similarly intervened at the meso and micro levels. This intervention included capacity development activities in relation to the planning, implementation and monitoring of regional climate-change mitigation action plans at the provincial and city levels, the so-called RAD-GRK. The main partners in this regard were South Sulawesi Province and Malang City in East Java Province, each represented by its regional development planning body (BAPPEDA). Other regional and local authorities benefited from PAKLIM-supported workshops, to which broader audiences were invited. The Indonesian Cement Association was the main private-sector project partner. Activities were geared towards 15 desired achievements, which are defined under the five outcome indicators of the project's results matrix – see Table 1 and Figure 1, below.

Table 1: Overview of project activities

Outcome indicator	Description of desired achievements towards which project activities are geared
1.	**Implementation of five measures to support climate-change mitigation action plans (RAN/RAD-GRK)** 1. Waste to energy in the cement industry 2. Sustainable public procurement towards sustainable consumption and production 3. Malang City waste management 4. Malang City climate education 5. South Sulawesi Province communication on energy efficiency
2.	**Integration of two measures into medium-term development plans** 6. Integration of the strategic environmental assessment (KLHS) into the national medium-term development plan (RPJMN) 7. Integration of the RAD-GRK into subnational medium-term development plans (RPJMDs)
3.	**Submission of sector plans or programmes by two ministries to the NDC implementation process** 8. Measurement, reporting and verification in the cement sector and the food and beverage sector, with the MoI 9. Energy efficiency standards in buildings with the MoEMR
4.	**Submission of three fiscal-policy climate finance instruments to the Ministry of Finance** 10. Green Sukuk investment instrument (Shari'ah-compliant bonds) 11. Sector-based climate finance instruments with BAPPENAS and the MoEMR 12. Economic climate-related instruments with the MoF and the MoI
5.	**Inclusion of gender-mainstreaming strategy in three measures of climate action plans** 13. First gender-aware budget plan 14. Second gender-aware budget plan 15. Third gender-aware budget plan

Project target group

The project defined the target group as, broadly, the Indonesian population and, particularly, individuals and groups that participate in and/or benefit from mitigation measures or are affected by the consequences of climate change. In addition to this indirect target group, the direct target group of the project comprised project partners from the national and subnational policy spaces, particularly within BAPPENAS. Hereafter, they are referred to as 'policy partners'.

Figure 2 illustrates the dual role of project partners as both implementers and beneficiaries of the project, as well as the implication that there are therefore two evaluation objects to be taken into account:

- the PAKLIM III project as a whole (the 'Project' framed in green in the figure) and
- the GIZ contribution to the project ('GIZ' framed in red in the figure).

Similarly, the project involved two layers of the 'system boundary', which, in GIZ terminology, separates the space that can be directly influenced by the project from the space influenced by external factors (GIZ, 2014; GTZ, 2008). The external factors that influenced the project as a whole included the reactions of companies to the climate policies supported and the inter-ministerial jostling for policy influence, especially between BAPPENAS and the Ministry of Environment and Forestry (KLHK). The sphere of responsibility in terms of the GIZ contribution to the project is more limited, since it is up to the project partners whether or not to take up the project outcomes of enhanced climate policy coherence and efficiency. The following section explains in more detail the system boundary as an integral component of the project results model.

Figure 1: PAKLIM's presentation of the project model

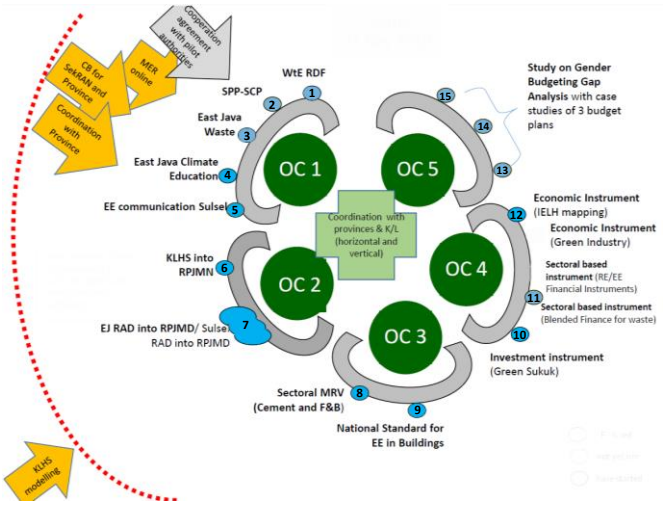
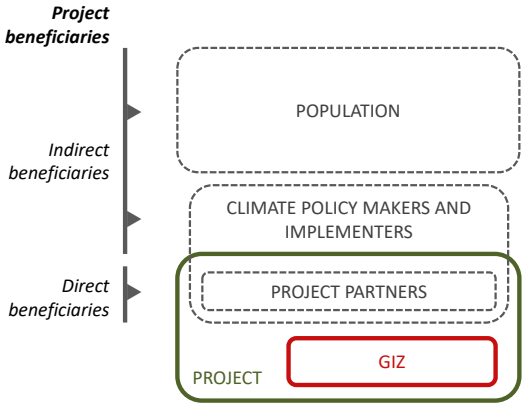


Figure 2: The PAKLIM project as a whole and GIZ involvement as the two evaluation objects



Note: OC abbreviates outcome indicator.
Source: slightly adapted version of PAKLIM's own project model.

2.2 Results model including hypotheses

The results model of the project is depicted in Figure 3, below. This depiction, initially presented as annex to the project proposal, was not updated during project implementation, nor were changes made to the results matrix of the project or to the project design. The results model was updated periodically throughout the project, with a strong focus on the activity level, i.e. all activities linked to the different outputs and outcomes were illustrated and their status indicated. The results model was examined in detail as part of the inception mission and fine-tuned during the evaluation process.

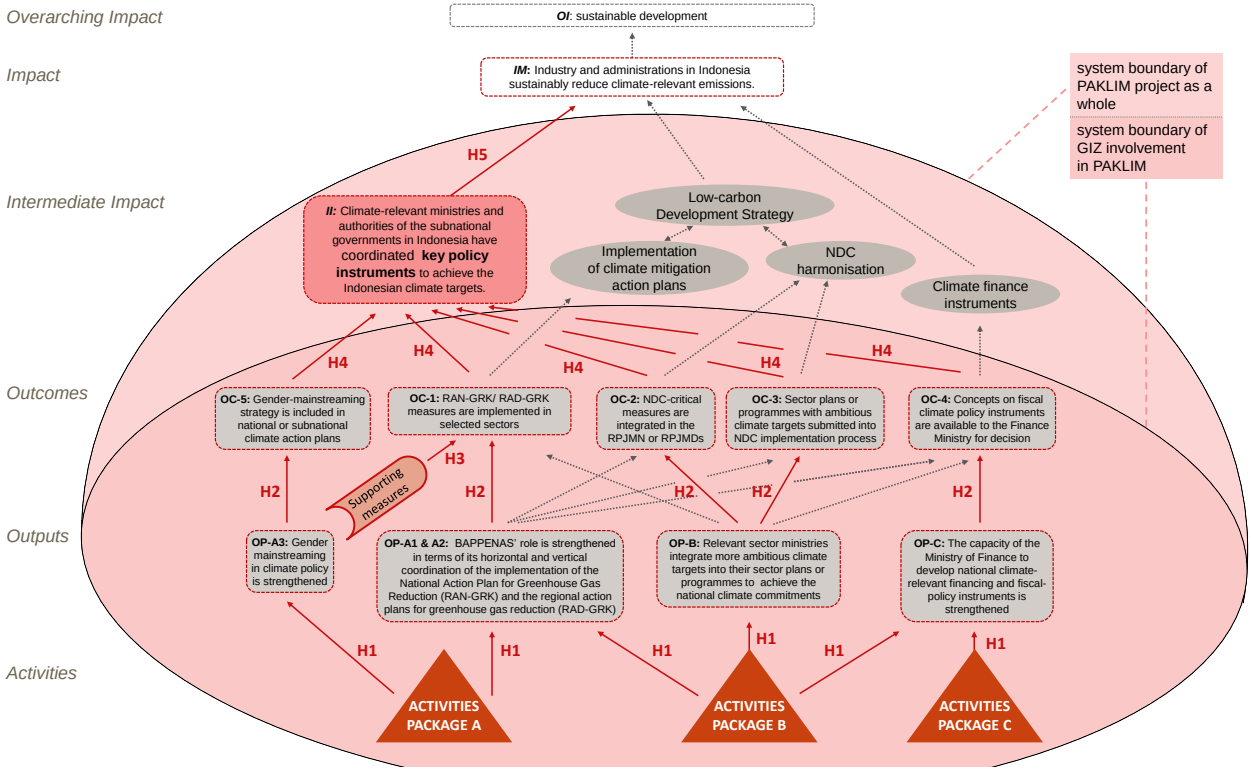
Project activities

Project activities are grouped into three categories – A, B and C – according to the three Activities packages outlined below. Activities comprised, for example, communication workshops, comparison studies, or technical and methodological advice on improving the design of existing strategies and instruments to do with climate financing. The related risks were defined very generically. This was partly because of the nature of the project, i.e. the provision of high-level policy advice. The evaluation team also defined empirically testable and falsifiable hypotheses about the links between the components of the results model in Figure 3. The risks (abbreviated to R#) and hypothesis (abbreviated to H#) related to the link between project activities and outputs are:

- **H1:** Activities are designed and implemented in such a way as to strengthen the capacities of policy partners in terms of climate policy-making and coordination.
- **R1**: Cooperation between the key partners, in particular BAPPENAS and KLHK, is deteriorating.
- **R2**: In the event of a change of government, the role and responsibilities of BAPPENAS will also change.

The above hypothesis and risks relate to any of the project activities. The hypothesis receives more attention in this evaluation as integral part of the results model. As for R2, it was already possible to exclude this at the inception stage of this evaluation, since no change of government took place.

Figure 3: Results model



Note: H# refers to hypotheses consecutively numbered by the evaluation team. OP-# refers to outputs, numbered according to the project results matrix. OC-# refers to outcomes, whose numbering, from one to five, corresponds to the numbering of outcome indicators by the project. Red arrows relate to hypotheses and dotted arrows to secondary links within the results model. The objective agreed with the partner and commissioning party is highlighted in light red in the top left of the figure. The larger circles represent the two layers of the system boundary (see Figure 2).

Project outputs and outcomes

In light of the hypothesis and risks, the activities were expected to generate the following policy outputs: strengthened capacity of BAPPENAS to act as coordinator for implementing the National (RAN-GRK) and Subnational (RAD-GRK) Action Plans for Reducing Greenhouse-Gas Emissions (OP-A1) and (OP-A2), respectively; gender mainstreaming in climate policy (OP-A3); relevant ministries integrate more ambitious targets into their NDC-related sector plans and programmes (OP-B); and strengthened capacity of the Ministry of Finance to develop climate finance instruments (OP-C).

The 15 desired achievements listed in Table 1 were the main means by which the project's outcomes were to be achieved in relation to industry, waste and energy (in)efficiency. While these outcomes were formulated in a similar way to the outputs, e.g. implementation of RAN-GRK/RAD-GRK measures in selected sectors (OC-1) and integration of NDC-critical measures in the RPJMN or RPJMDs (OC-2), Figure 3 makes it clear that the outputs had a bearing on multiple outcomes – for example, OP-B facilitated the outcomes OC-1 and OC-4. The link between outputs and outcomes again required a key hypothesis:

- **H2:** Policy partners are able to translate the improved capacities into concrete measures and strategies, as evidenced by the 15 desired achievements.

The project considered the likelihood of the outcomes additionally benefiting from 'supporting measures', particularly in relation to OC-1. 'Supporting measures' refer to (i) cooperation agreements with pilot authorities, (ii) the MER online platform on monitoring, evaluation and reporting, (iii) capacity development of the RAN-GRK Secretariat and provinces, and (iv) additional coordination processes with provinces. Accordingly, a further hypothesis underlying the project was:

- **H3:** The supporting measures increase the likelihood of uptake of the RAN/RAD-GRK policy support.

The project defined the risks at this level more specifically, based on the knowledge of the policy context gained during the PAKLIM predecessor projects:

- **R3:** The multi-actor approach proves to be too complex. Missing or unclear responsibilities for climate change at national, provincial and urban levels lead to competence disputes and management deficits.
- **R4:** Lack of a clear institutional framework delays the establishment of appropriate structures for the implementation of the NDCs.
- **R5:** The responsible ministries, BAPPENAS and KLHK, do not find a solution for integrating the systems for measurement, reporting and verification (MRV), and monitoring and evaluation (M&E).

Project impact

As illustrated in Figure 3, two distinct system boundaries can be drawn for the results model of the PAKLIM project. The first, inner, boundary – between outcomes and intermediate impacts – marks the limit of the GIZ contribution to the project. This is because coordinated climate policy lies within the discretion of the project's policy partners and thus outside the sphere of responsibility of the GIZ contribution. As a result, the system boundary of the PAKLIM project as a whole, i.e. including the policy partners, is shifted one level up, so that the intermediate impact is within the system boundary of the project as a whole and in line with the module objective (outcome) of the project. This evaluation will consider both boundaries, with the focus on the inner boundary, in order to separate out the responsibilities and contributions of the project stakeholders more clearly.

In any case, to achieve coordinated key climate policy instruments an important inherent hypothesis was:

- **H4:** The project outcomes and the process of achieving them lead to coordination among climate-relevant ministries and authorities of the subnational governments.

To give a counterexample: if the sector activities were implemented on a standalone basis, i.e. not in a coordinated way, the core problem – lack of coherence in climate policy – would not have been overcome.

Alongside the project objective, Figure 3 spells out the key climate policy instruments – namely, the four main areas of climate policy influence outlined in section 2.1: the implementation of climate-change mitigation action plans, NDC harmonisation, climate finance instruments and the country's low-carbon development (LCD) planning.

The initial results model included the objective of the Environment and Climate Protection programme as impact. However, this GIZ programme as the umbrella programme of PAKLIM III was discontinued and not replaced. While most of the initially defined programme objective is outdated or not strongly related to the PAKLIM III project, the impact of sustainably reduced climate-relevant emissions is maintained in the figure. Retaining this impact involved another key assumption underlying the project, which was made explicit by the following hypothesis, added by the evaluation team:

- **H5:** The policy instruments (including plans and strategies) are implemented and sufficient to counteract growth-induced emission increases.

Lastly, the evaluation team added the overarching impact of sustainable development in Indonesia to the results model, so that it would be relevant for the project's ultimate target group: the Indonesian population.

Generally, potential interactions between social, economic and environmental results at the outcome and impact levels are also considered in analyses of results models. Such potential interactions obviously exist when it comes to the ramifications of transformative climate policy. However, for climate policy projects implemented mostly at the macro level, the social, economic and environmental results themselves are already less clearly identifiable, let alone the interactions between them. Instead of looking into these interactions more closely from a results perspective, the present evaluation addressed this question as part of the assessment of the relevance of the project design (see section 4.2).

3 Evaluability and evaluation process

This chapter aims to clarify the availability and quality of data and the process of the evaluation.

3.1 Evaluability: data availability and quality

Two main types of data are typically available to conduct a desk study on the project performance according to the OECD/DAC criteria and to complement information gathered during stakeholder interviews: documents related to the project and its context, and monitoring and evaluation (M&E) data, which can be used as a yardstick against which to measure changes triggered by the project. Overall, the data can only be indicative of what the project contributed to the achievement of project objectives. This has to do primarily with the nature of the project: first, the project's area of intervention was climate policy, which is an intangible and long-term-oriented topic, and, second, within climate policy, the project's focus was advice on policy formulation, rather than policy implementation.

Availability of essential documents

The documents provided by the project team for the purpose of this evaluation, together with documents identified by the evaluators themselves and information provided by interviewees, were comprehensive, i.e. no central documents were missing, and of the required quality.

Monitoring and baseline data, including partner data

Regarding M&E data, the project defined seven output indicators and five module outcome indicators. The baseline for all of these was zero and the maximum target value was five. Tracking these indicators quantitatively was therefore fairly simple and no specific quantitative M&E data were required, from either the project, the project partners or other secondary sources. Instead, the indicators are more qualitative in nature. They were all documented and tracked in the GIZ-internal Results Monitor. No other observation tools were used.

This evaluation follows a predominantly qualitative approach, therefore, with the main evidence base on project performance being compiled during stakeholder interviews. This approach is outlined in more detail in section 3.2. Note that there are obvious data-quality limitations with this approach, as all aspects of the analysis are more prone to subjectivity. The evaluation team sought to maximise the validity and reliability of the evaluation findings, not least by adopting the rigorous logic underlying quantitative evaluation approaches and through triangulation. For the latter, multiple stakeholders were relied upon to substantiate hypotheses developed during the evaluation, and all of the central documents available were thoroughly checked for information relevant for any of the assessment dimensions, such as descriptive quantitative statistics.

3.2 Evaluation process

Milestones of the evaluation process

The evaluation process started with a thorough inception phase in January 2020, followed by an evaluation phase from May 2020 to December 2020 (a detailed timeline is available in Electronic Appendix 2).

The inception phase involved assembling project documentation, including documents related to country-specific sector strategies; mapping of the institutional set-up, responsibilities and capacities; and an in-country inception mission. This mission served to deepen understanding of the project and ensure stakeholder interests were encompassed in the evaluation, a specific aim of which was to be participatory. The findings from the inception phase were distilled into an Inception Report (Bensch and Hanik, 2020) in order to agree on the methodology to be adopted for the evaluation.

Data analysis process

As discussed above, the PAKLIM III project could only be reasonably evaluated using a mainly qualitative approach: there are no meaningful monitoring or partner data and no sufficiently direct link to any larger group of beneficiaries that would justify the use of quantitative, statistical assessment techniques. While the evaluation is theory-based in nature (White, 2009), it must be acknowledged that the results chain is fairly short and that links to the ultimate indirect target group – certain sections of the Indonesian population – are hardly testable. The 'what works why?' question therefore requires a theory-based approach that focuses on understanding the functioning of the project within the system boundary involving the direct target group of Indonesian policy partners.

Consequently, this evaluation seeks qualitatively to identify a counterfactual, i.e. what would have happened (i) had the project not taken place at all or (ii) had it been implemented in a different manner. Doing so requires, first, getting a good sense of the baseline institutional setting and its (in)capacity to produce the type of policy documents, targets and strategies supported by the project, and, second, identifying other contextual factors outside the sphere of the project that affected its results. The degree to which the project effectively contributed to the changes expressed by the indicators and, more generally, the changes in terms of coordinated climate policy can then be determined.

The methodological approach adopted generally resembles a contribution analysis, as outlined in Mayne (2008), which does not involve quantitative data collection. Instead, a systematic iterative process is adopted to demonstrate plausible associations between the project and intended outcomes and impacts along the intervention logic. A case is built up based on weight of evidence, strength of argument and absence of other plausible explanations. For this evaluation, the team also borrowed certain aspects and instruments from myriad other qualitative approaches, such as process tracing, contribution tracing, qualitative comparative analysis and realist evaluation (see also White and Phillips, 2012).

Table 2: Standardised project rating scheme

100-point scale (score)	6-level scale (rating)
92–100	Level 1: highly successful
81–91	Level 2: successful
67–80	Level 3: moderately successful
50–66	Level 4: moderately unsuccessful
30–49	Level 5: unsuccessful
0–29	Level 6: highly unsuccessful

The evaluation is generally uniform in its evaluation basis and design across the five OECD/DAC criteria. For each criterion, the two layers of responsibility (system boundaries) outlined in Figure 2, i.e. the project as a whole and the GIZ contribution to the project, are accounted for, with a focus on the GIZ contribution. In the absence of 'harder' evidence sources, the evaluation relied primarily on (i) data retrieved from a document review (as outlined above) and (ii) information collected in semi-structured stakeholder interviews (as outlined below). Details of the methodological approach and evidence base for the individual OECD/DAC criteria are provided in sections 4.2 to 4.6. Here, the project is analysed in accordance with the assessment dimensions outlined in the GIZ Evaluation Matrix (see also Annex 1). This evaluation culminates in a standardised six-level rating of the project (see Table 2). The evaluation team endeavoured to harmonise the scoring and rating with recent central project evaluations steered by the GIZ Evaluation Unit.[1]

[1] Previous central project evaluations can be found in the repository of GIZ's Academy for International Cooperation under https://mia.giz.de/esearcha/browse.tt.html

Involvement of stakeholders and selection of interviewees

Owing to the Covid-19 pandemic, the stakeholder interviews – the key data collection instrument of the evaluation mission – were postponed by six weeks and then conducted remotely via online (video) telephony, in July 2020.

Relevant stakeholders for the purpose of this evaluation are, in particular, policy partners of the project. An effort was made to involve representatives of indirect target groups also, mainly via stakeholder interviews. An inception workshop was held during the inception mission in Jakarta, but a workshop planned for the evaluation phase could not take place because of Covid-19.

The evaluation team first identified relevant stakeholders based on a critical review of project-related documents. This list of stakeholders was continuously extended through discussion with the PAKLIM III project team and with stakeholders (in particular, the RAN-GRK Secretariat as the main project partner during project implementation), and based on the context and sector knowledge of the local evaluator on the evaluation team. Consequently, stakeholder mapping was comprehensive – the final list of stakeholders involved in the evaluation is summarised in Table 3 and available in a more detailed format in Electronic Appendix 3. Each interview was pseudonymised for source and data-protection reasons; hence, sources are referred to in section 4 as Int_*xx*, where *xx* is a random two-digit number. Owing to the larger number of interviewees in the partner organisations category, interviewees from this category are identified as such (e.g. 'Int_19 with partner organisations'). In Table 4, the final column on the right specifies the OECD/DAC criteria that were brought up with the different stakeholders – in most cases, all criteria were at least indirectly addressed.

The preferred format for the stakeholder interviews was to interview one representative (and no more than three) of the respective stakeholder group at a time. Discussions with the RAN-GRK Secretariat,[2] as well as with schools and students from the ultimate beneficiary group, took the form of focus group discussions, in which the participants jointly discussed how the project affected climate policy and climate action at the local level, respectively. Interview partners were informed about the purpose of the interviews and provided with a semi-structured question list in advance. Some interviews required full or partial translation from Bahasa, the Indonesian national language, into English by the local evaluator. This ensured that the language barrier would not be an issue in the planned interviews. All interviewees gave their verbal consent to the interviews being recorded. For their own documentation, the evaluators then prepared theme-based summary transcriptions of all interviews. No technical problems were encountered with the remote (video) telephony approach, in that the necessary software and internet bandwidth were generally available to the interview partners. Nevertheless, telephone conversations don't really create the same basis of trust as direct conversations, and lack of proficiency in English also tends to be more of a problem. Since the evaluation team could not be physically present, field visits to, among other places, South Sulawesi Province and Malang City had to be cancelled.

Furthermore, phone conversations with two project partners (Directorate for Energy Conservation at MoEMR and the former head of the RAN-GRK secretariat) and with the Directorate for Waste Management at KLHK as another important stakeholder in the project-related policy landscape. Sadly, one intended interview partner passed away from Covid-19 shortly before the interview. The special circumstances of the remote interview phase thus complicated the evaluation, which, inevitably, also affected the quality of the data collected. Triangulation, in particular, could not be performed to the level foreseen by the evaluation team. Nonetheless, the data collection efforts by the evaluation team yielded a sufficient level of data to form an adequate basis on which to assess the project according to the OECD/DAC criteria.

[2] In 2020, the RAN-GRK Secretariat, which was in charge of emissions reduction, was merged with the secretariat for climate-change adaptation, RAN-API, and with the Indonesia Climate Change Trust Fund (ICCTF). Together, they now form the Low-Carbon Development Indonesia (LCDI) secretariat. RAN-GRK was launched in 2011, following Presidential Regulations (Perpres) 61/2011, RAN-API in 2014 and ICCTF, which was designed as a multi-donor trust fund managed and owned by the Government of Indonesia, in 2009.

Table 3: List of stakeholders in the evaluation and selected interviewees

Organisation/company/target group	Overall number of persons involved in evaluation (including gender disaggregation)	No. of interview participants	No. of focus group participants	No. of workshop participants ‡	Relevant OECD/ DAC criteria
Donors	1 (0 f/1 m)	1	-	-	Relevance, Sustainability
German Federal Ministry for Economic Cooperation and Development (BMZ)					
GIZ	5 (3 f/2 m)	5	-	-	All
GIZ project team, staff of other GIZ climate intervention projects in Indonesia and at the sectoral department of GIZ headquarters					
Partner organisations (direct target group)	21 (14 f/7 m)	21	-	-	All
BAPPENAS, Directorate of the Environment, LCDI Secretariat (formerly the RAN-GRK Secretariat), Ministry of Industry, Ministry of Finance, National Public Procurement Agency (LKPP), local government of Malang City, local government of East Java Province, local government of South Sulawesi Province					
Other stakeholders (public actors, other development projects, etc.)	3 (1 f/2 m)	3	-	-	Relevance, Sustainability
Ministry of Environment and Forestry (KLHK), President Staff Office, International Finance Corporation (IFC)					
Civil society and private actors	9 (4 f/5 m)	9	-	-	All
Association of Indonesian City Governments (APEKSI), Indonesian Cement Association (ICA/ASI), EQuIC (organisation implementing GENSALIM – youth community group on climate action – activities)					
Universities and think tanks	2 (1 f/1 m)	2	-	-	All
Gender budgeting expert, researchers in climate policy in Indonesia					
Final beneficiaries (indirect target groups)	Multiple	Multiple	-	-	All
Schools in Malang (principal and students); youth community group on climate action (GENSALIM)					

Note: The template for this table includes a column entitled 'no. of survey participants'. This column was dropped, as no survey was conducted. It was replaced, instead, by the column on the far right, which refers to the relevant OECD/DAC criteria addressed in the interviews.

‡ A stakeholder workshop was held during the preparatory phase to identify key areas of the evaluation. Because of Covid-19, it was not possible to hold a workshop during the evaluation phase.

Roles of international and local evaluators

The evaluation team consisted of two independent evaluators – an international and a national evaluation expert. The international evaluator was the team leader responsible for all deliverables and the national evaluator contributed relevant climate sector and Indonesian policy expertise, in particular. Both evaluators worked in close collaboration during the preparation, implementation and debriefing of all activities, not least during the analysis of the institutional environment and of the evidence base more generally.

4 Assessment according to OECD/DAC criteria

4.1 Impact and sustainability of predecessor projects

The predecessor projects PAKLIM I and PAKLIM II were each structured differently and focused on different areas. Because of limitations in terms of the documentation available and owing to personnel turnover, this section focuses on a few key sustainability highlights of the more recent predecessor project, PAKLIM II.[3]

The project objective of PAKLIM II was: the national government, selected provinces, cities, industry and civil society organisations provide implementation and dissemination structures for mitigation and adaptation measures. Note that 'provide' needs to be understood in the sense of 'institutionalise'. Therefore, the firm establishment of these structures is at the core of the assessment of the long-term results of the predecessor project. The brief assessment below applied the basic methodology outlined in the previous chapter and was conducted in line with five of the predecessor project's objective indicators[4] (for more detail, see Bensch and Hanik, 2020). In line with the inception report, the analysis relies mainly on information gathered during the stakeholder interviews, complemented by online resources.

Analysis and assessment of the predecessor project

Objective indicator 1: Integration of measures and objectives indicators into development plans

The assessment focused on two of the four development plans: those of East Java Province and Probolinggo City. The former was also a project partner in PAKLIM III (see Figure 4). Both have been front-runner localities in terms of climate-change policy for quite some time. Probolinggo, for example, is one of eight Indonesian cities involved in the Asian Cities Climate Change Resilience Network (Climate Scorecard, 2017; Int_4, 12, Int_29 with partner organisations). The subnational medium-term development plans, the RPJMDs, do include objectives that can be considered ambitious, but indicators are not monitored, so it is impossible to gauge whether and to what extent climate-change mitigation targets have been achieved.[5] It is also unclear how they might have been achieved. Exemplary measures to substantiate the likelihood of emissions reductions could not be identified. Instead, the examples cited tended to be more modest, such as the support provided to the women's Family Welfare Movement (PKK) in relation to the processing of domestic waste and use of environment-friendly household tools (Int_12 with partner organisations).

Objective indicator 2: Institutionalisation of eight mechanisms for upscaling pilot measures aimed at reducing GHG emissions or adapting to the effects of climate change

The assessment considered the institutionalisation of the RAN-GRK and RAD-GRKs as one supported mechanism. The RAN-GRK and RAD-GRK secretariats managed to establish their roles as network and exchange mechanisms for best practice in the planning – and, to a lesser degree, the implementation – of climate protection measures (Int_12 with partner organisations). They have now outgrown the narrow focus on emissions reductions, which led to the integration of the RAN-GRK Secretariat into the LCDI Secretariat in 2020. PAKLIM II and, as will be discussed in the following sections, PAKLIM III contributed to the institutionalisation of these mechanisms such that this sub-indicator can be considered to be achieved.

Objective indicator 3: Private-public implementation of low-carbon economic development strategies

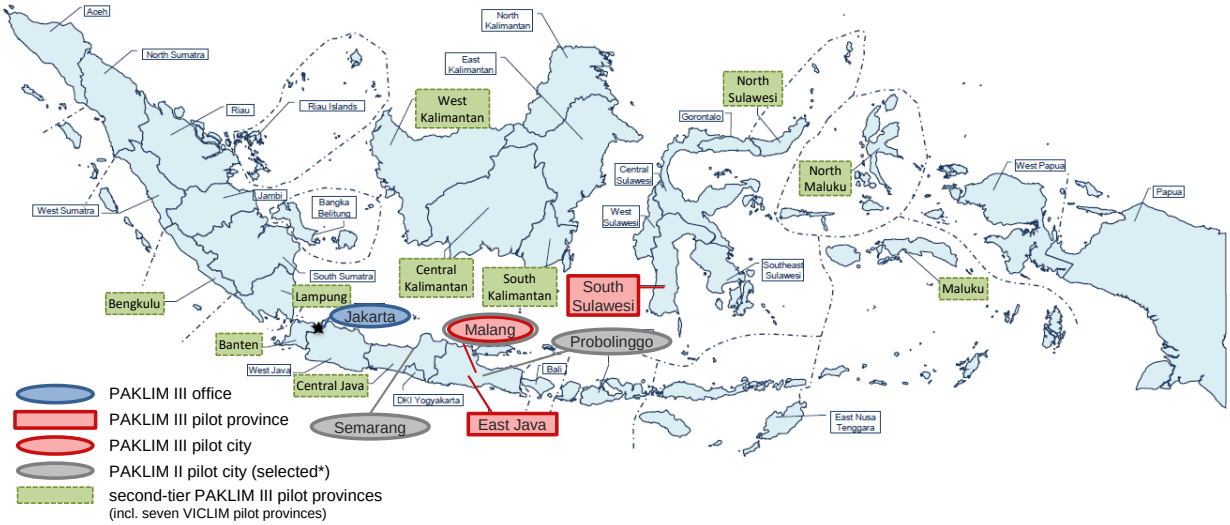
PAKLIM II supported, among other things, the preparation of a voluntary agreement between the Ministry of Industry and main players from the cement industry. However, the cooperation programme never materialised,

[3] Selected lessons from PAKLIM I can be taken from Auracher and von Lüpke (2017), who review climate finance activities undertaken under PAKLIM I as part of German international cooperation in Indonesia.

[4] Since the evaluation team could not arrange an interview with MoEMR, the sixth objective indicator, relating to the introduction of a monitoring, evaluation and reporting (MER) system for climate action plans in planning instruments, could not be followed up.

[5] The RPJMD 2019–2024 of East Java uses a projection from 2012 to provide a GHG emissions 'baseline' for 2020 (GoEJ 2019: 205).

Figure 4: Map of Indonesia indicating PAKLIM pilot localities



* PAKLIM II involved further pilot cities and dedicated project offices in Malang and Semarang. 'Second-tier' pilot provinces refer to provinces initially pre-selected by PAKLIM III, where, ultimately, only limited upscaling activities took place.
Source: own presentation based on project progress report to BMZ for the year 2017

as parliament rejected the public financial stimulus that would have been necessary. Instead, the cement industry went ahead with its own targets (Int_23).

Objective indicator 4: Climate education approaches used in schools and integrated into community public-relations work

The project piggybacked on the national Green Schools programme, the *Sekolah Adiwiyata*, to pilot interactive environmental monitoring activities – so-called eco-mapping processes – at school level. Of the 56 participating schools, 19 completed one entire process, five of which later went on to support a further 19 other schools with the same process (Busert and Oepen, 2018). While the Green Schools programme requires a rather low level of engagement by students, the project managed nevertheless to significantly increase students' involvement in environmental activities in a couple of model schools. Eco-mapping is carried out independently at schools in the municipalities of Malang and Probolinggo via a network of non-governmental organisations, schools and local environmental ministries. On a larger scale, however, few teachers effectively integrate eco-mapping activities into their teaching (Int_6, 24; Purwanti et al, 2018).

Objective indicator 5: Integration of gender aspects into climate protection measures

The project generally applied gender mainstreaming throughout its entire portfolio by including, to a moderate degree, gender aspects in the various instruments, including eco-mapping. Girls are generally heavily involved in the activities (Int_4, 6, 17, 24). In terms of practical climate-change activities, however, gender mainstreaming is typically missing (Int_22).

Summarising assessment of the predecessor projects

The evaluation of PAKLIM II in 2017 found that insufficient progress had been made to consider the structures as institutionalised and sustainable (GIZ, 2017). The present evaluation corroborated the fact that the project made only a moderate impact. This can be explained by the general challenge of achieving institutionalisation in a context where staff turnover is high and policy agendas are constantly changing, but also by the combination of the specific instruments adopted, e.g. the development assistants and embedded experts in the project regions, and the poor relationship-building between parts of the project team and the project partners (GIZ, 2017; Int_7, 9).

4.2 Relevance

Table 4: Rating of OECD/DAC criterion: relevance

Criterion	Assessment dimension	Score and rating
Relevance	Alignment with policies and priorities	26 out of 30 points
	Alignment with the needs and capacities of the beneficiaries and stakeholders	24 out of 30 points
	Appropriateness of the design	15 out of 20 points
	Adaptability – response to change	18 out of 20 points
Relevance total score and rating		**Score: 83 out of 100 points** Rating: successful

The relevance criterion analyses the extent to which the objectives of a development intervention were consistent with beneficiaries' requirements, regional needs, global priorities and the policies of partners and donors. The question is whether the project set the right priorities, in terms of both its design and implementation. Here, the 'design' of the project is understood as the combination of the project objective, its theory of change reflected in its results model and its implementation and capacity development strategy. The four assessment dimensions, as defined by the GIZ Evaluation Unit, are outlined in Table 4.

Relevance dimension 1, the strategic fit, involved the identification of relevant strategies and frameworks at three levels: international, national (including regional and sectoral) and related to German international cooperation in Indonesia. Key documents in the Bahasa language (abbreviated to 'id') were summarised in English by the local evaluator. These documents were then assessed against the project design in a comparative text analysis.

Relevance dimension 2, alignment with the target group's needs, considered the direct and indirect target groups. The direct target group were policy partners at national and subnational level, and their needs were primarily understood as their capacity development requirements. The evaluation team determined these requirements through (i) stakeholders' assessments of their own organisations' capacities and capacity needs, (ii) stakeholders' assessments of other organisations' capacities and capacity needs (e.g. BAPPENAS' assessment of the RAD-GRK Secretariat) and (iii) the impressions of capacities and capacity needs gleaned by the evaluation team. The indirect target group was generically identified as the Indonesian population and particularly those sections that participated in and/or benefited from climate-change mitigation measures or are affected by the consequences of climate change. With these target groups in mind, the evaluation team mainly analysed whether the project design was well chosen to address the broader socio-political concerns formulated in the 'Leave no one behind' (LNOB) principle of the 2030 Agenda for Sustainable Development (Agenda 2030).

Relevance dimensions 3 and 4, the appropriateness of the project design and the adequacy of design adjustments during implementation, involved an assessment of (i) the comprehensiveness, plausibility and clarity of the project design, as outlined in the results model of the project, (ii) the project design that was actually adopted, including potentially implemented adjustments, and (iii) critical changes that happened in the policy environment during the project cycle, i.e. the second half of President Joko 'Jokowi' Widodo's term. The main documents consulted were project design documents (including the project proposal, results matrix and results model), project progress and monitoring and evaluation reports, and the capacity development strategy.

Analysis and assessment of relevance

Relevance dimension 1: Alignment with policies and priorities

Alignment with relevant strategies and frameworks is discussed separately for the international and national levels, and in relation to German international cooperation. Relevant documents for all three levels are listed in Table 5 and will be referred to throughout this discussion.

Table 5: Relevant strategy documents

Name of strategy document	Level	Sector	Reference	Language
Sustainable Development Goals (SDGs)	International	Cross-sectoral	UN (2020)	en
BMZ Development policy 2030	International	Cross-sectoral	BMZ (2018)	en
Visi Indonesia 2045	National	Cross-sectoral	BAPPENAS (2017)	id
RPJMN 2015–2019	National and subnational	Cross-sectoral	BAPPENAS (2020a); FAO (2020)	id
First NDC of the Republic of Indonesia	National and international	Cross-sectoral (climate-related)	GoI (2016)	en
Ministry of Industry Strategic Plan 2015–2019	National	Industry	MoI (2020)	id
National Industrial Development Master Plan 2015–2035	National	Industry	MoI (2015)	id
National Waste Management Policy and Strategy	National	Waste	PoI (2017)	id
National Energy Policy	National	Energy	GoI (2014)	en
South Sulawesi 2013–2018 Strategic Plan	Provincial	Cross-sectoral	South Sulawesi Province (2017)	id
Malang City Regional Midterm Development Planning 2018–2023	Urban	Cross-sectoral	Malang City (2018)	id
BMZ Country Strategy for Indonesia	German IC in Indonesia	Cross-sectoral	BMZ (2017a, 2017b)	en, de
Safeguards and Gender Management System	German IC in Indonesia	Cross-sectoral	GIZ (2020b)	en/de

The project touched on a number of the UN's Agenda 2030 Sustainable Development Goals (SDGs), which constitute the key framework at international level. Table 6 lists the SDGs addressed by the project, together with the overlapping BMZ/DAC policy-markers. Environment is obviously the main cross-cutting issue tackled by the project, represented by SDG 13 – Climate Action.

Table 6: SDGs and BMZ/DAC policy-markers addressed by the project

SDGs addressed by the project	SDG 13 (Climate Action) SDG 5 (Gender Equality) SDG 7 (Affordable and Clean Energy) SDG 11 (Sustainable Cities and Communities) SDG 12 (Responsible Consumption and Production) SDG 17 (Partnerships for the Goals)
BMZ/DAC policy-markers addressed by the project	KLM (reduction of greenhouse gases): 2 GG (gender equality): 1 PD/GG (participatory development, good governance): 1 UR (environmental protection and resource conservation): 1

The project was designed explicitly to address the cross-cutting issues of gender, children and young people's rights, participatory development and good governance. These issues were relevant in terms of supporting the integration of climate-related policy-making into Indonesia's decentralisation processes and in light of the general importance of gender mainstreaming in any intervention in the Indonesian context. Even though a number of laws, regulations and programmes providing support to girls and women had already been put in place, an unbalanced power relationship between men and women hinders the potential of girls and women to avail more of their rights. More specifically, they were relevant in terms of supporting Indonesian policy-makers in translating the ambition of 'Anggaran Responsif Gender', or gender-responsive budgeting (see Jacubowski, 2016), into concrete gender-aware budget-planning. Similarly, the consideration of children and young people's rights was of relevance in a climate-change policy project, as these are the cohorts impacted most by the long-term consequences of climate change.

The project was also sufficiently aligned to Indonesia's key sectoral and climate policy strategies, which are well recorded in the documents listed in Table 5 above. The project proposal and project design documents prepared at the beginning of the project were kept vague in terms of the specific links to these strategies. Instead, these links and related activities were identified by liaising with project partners in the early project phase. For example, at the start of the project, green public procurement was selected as one measure to support the national action plan for reducing greenhouse-gas emissions (outcome Indicator 1). The project team held discussions in the first three months of the project term with the National Public Procurement Agency (LKPP). Potential areas of intervention were identified in the context of the Agency's Sustainable Public Procurement road map. Activities then followed in the second half of 2017 and in 2018. To give another example: in the support of line ministries to achieve the Nationally Determined Contributions (NDCs, outcome indicator 3), it was decided to involve a long-term PAKLIM partner, the Ministry of Industry, and take on another line ministry as a new project partner. The process of liaising with the potential new partner ministries (the Ministry of Energy and Mineral Resources and the Ministry of Transportation) and deciding on specific activities eventually took until 2019 and activities were then executed in the second half of that year.

The decision regarding the areas on which PAKLIM III would focus was based on previous experience and existing links established during the PAKLIM predecessor projects. While this strategy meant the choice of the most appropriate focus areas in terms of relevance was slightly limited, it also enhanced the effectiveness and efficiency of project activities.

The project was designed to comprehensively reflect the interactions between individual sectors related to climate-change mitigation – both synergies and trade-offs – by covering a broad range of sectors through sector-specific activities (waste, energy, finance, procurement, education, construction). An alternative approach, which would have addressed cross-sectoral and cross-ministerial interactions more effectively, would have been to focus on fewer sectors in the first place and then pay more attention to cross-sectoral interactions in those individual areas. For example, the waste activities supported by PAKLIM involved a number of ministries beyond the Ministry of Industry and BAPPENAS, namely: KLHK (responsible for waste 'software'), the Ministry of Public Works and Housing (responsible for waste 'hardware'), the Ministry of Home Affairs (responsible for coordination with the subnational units that are primarily in charge of waste management) and the Coordinating Ministry for Maritime and Investment Affairs.

The project team's comprehensive sector knowledge meant it was sufficiently aware of related activities being conducted by other donors. The project activities were not particularly designed to achieve synergies with those of other donors, but, nevertheless, they proved to be complementary in practice, e.g. the United Kingdom's Department for International Development's support for the Low-Carbon Development Indonesia (LCDI) strategy (through the UK Climate Change Unit in Indonesia); the climate-finance activities of the Governments of Denmark and Norway, and of the United States Agency for International Development and the United Nations Development Programme; and Denmark's work in the area of waste use in the cement industry (BAPPENAS, 2019; Int_14, 26 with partner organisations). Throughout the implementation of the project,

efforts were made to make the most of synergies between PAKLIM activities and those of other donors, e.g. in the organisation of workshops (see section 4.5).

Indonesia has been a partner country in German international cooperation since 1958. It is now an emerging economy and G20 member, with increasing regional and global importance. The country also has a critical role to play in implementing the Paris Agreement on climate change, especially considering its huge untapped coal reserves (EIA, 2020; Int_9). Against this background, German international cooperation in Indonesia requires a broad mix of instruments and strong partner contributions (BMZ, 2017b), both of which were available for the implementation of PAKLIM III. The project was also sufficiently in line with the priorities for bilateral cooperation agreed upon during the Indonesian-German government consultations held in Jakarta in November 2016. Of the three focal areas identified, two – energy and environmental protection – were also covered by PAKLIM III. Note, however, that other topics within these focal areas should have received more attention: energy production, renewable energy, electrification, sustainable forestry and waste management.

In summary, the evaluation team concluded that the project design was broadly in line with the relevant strategic reference frameworks. Therefore, relevance dimension 1 – alignment with policies and priorities – scores 26 out of 30 points.

Relevance dimension 2: Alignment with the needs and capacities of the beneficiaries and stakeholders

The ultimate beneficiaries of the project – the indirect target group – are individuals and groups that participate in and/or benefit from climate-change mitigation measures or are affected by the consequences of climate change, particularly in the pilot regions of the project. The PAKLIM III project design did not incorporate measures to support adaptation to climate change, even though such measures might seem necessary when considering those 'affected by the consequences of climate change'. Given the limited budget for the project, this was an appropriate decision – although the target group formulation could have been more precise in the first place. Instead, the project focused on climate-change mitigation through its support for low-carbon development policies, namely medium-term strategy documents, and through more targeted sector support. In doing so, the project also sought to consider the needs of the direct target group, i.e. capacity requirements of policy partners.

The needs in terms of climate-change mitigation policy (direct target group, i.e. policy partners) and climate-change mitigation action (indirect target group, i.e. the general population) are illustrated in the figures below. Looking at the main sectors responsible for greenhouse-gas (GHG) emissions presented in Figure 5, it is clear that PAKLIM III did manage to cover sectors that are less in the limelight: waste accounts for 8%, industrial processes and product use (or simply, industry) accounts for 4%, half of that accounted for by the cement industry alone, and energy accounts for 28%, but mainly in the generation stage, which is really only affected by energy-efficiency measures indirectly. This situation is reflected in Figure 6, which illustrates Indonesia's GHG emissions reduction targets by 2030 against a business-as-usual (BAU) scenario. Nevertheless, waste and energy are the sectors in which the largest relative increases are expected by the Indonesian government (GoI, 2018) in its BAU scenario 2010–2030. Figure 7 depicts the government budget allocations to different ministries in 2018. According to these data, which are based on the climate budget tagging system that has been implemented by the Indonesian government since 2016,[6] 97% of national budget allocations for climate-change mitigation go to ministries not involved in PAKLIM, namely the Ministry of Public Works and Housing, the Ministry of Transportation and the Ministry of Research and Technology.

While these other sectors (forestry and other land use, renewable energy, transportation) would probably have benefited from an intervention like PAKLIM focusing on policy coordination and institutionalisation, it has to be noted that GIZ has engaged in these sectors in Indonesia in the past through a range of other projects, namely

[6] The budgeting and performance reporting system ('Krishna') of the Government of Indonesia currently comprises a series of seven budget tags, including one for climate-change adaptation and another for climate-change mitigation (others include gender, infrastructure, health and education). Tagging is at the output level, i.e. level 3 of the programme budget hierarchy (1. Programme, 2. Activity, 3. Output, 4. Component, 5. Detailed expenditure) (UNDP, 2019).

the Forests and Climate Change programme (FORCLIME, 2009–2020) (GIZ, 2020c), Energising Development (EnDev, 2009–2019) (GIZ, 2020d), Electrification through Renewable Energy (ELREN, 2017–2019) (GIZ, 2020e), the Sustainable Urban Transport programme (SUTRI NAMA, 2015–2019) (NAMA Facility, 2020) and the 'interface' project Strengthening Climate Governance of Indonesia for Implementing the Paris Agreement (CliGov, 2017–2021), which coordinates 35 GIZ projects in the country (see also GIZ, 2020f).

Figure 5: Sectors contributing to GHG emissions in Indonesia (2016)

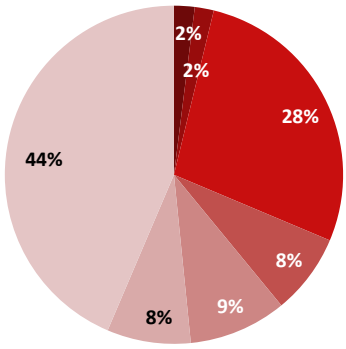


Figure 6: Indonesia's GHG emissions reduction targets by 2030, by sector

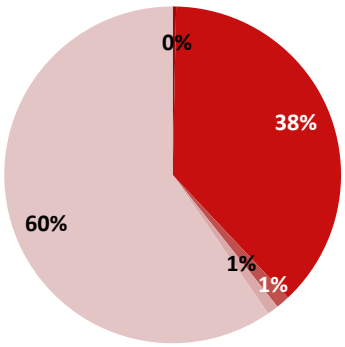
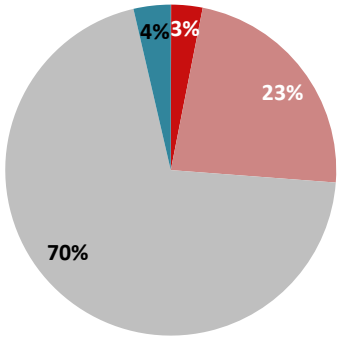


Figure 7: Climate-change mitigation budget (2018), by ministry



Sources: GoI, 2016 and 2018; BKF, 2019; USAID, 2017.

In terms of the alignment of the project design with the concerns and needs of the direct target group, the picture is mixed. On the one hand, the project selected focus areas and individual activities based on demand. This was highly appreciated by the key project partner, BAPPENAS, a stakeholder with its own well-trained staff. In addition, the work at subnational level was highly relevant and fairly innovative in the area of climate-change mitigation in the country (Int_5, 9; Int_12 with partner organisations). On the other hand, under the current Joko Widodo presidency (2014–2024), there is less emphasis at a high political level on climate policy and the supported sectors, and more on land use/forestry and renewable energy (Int_5). At implementation level, a downside of the partly undefined fields of intervention was that certain activities were decided on rather late in the project cycle. This is particularly the case for activities involving the MoEMR (desired project achievement 9 – Energy efficiency standards in buildings with the MoEMR) and the MoF (desired project achievement 12 – Economic climate-related instruments with the MoF and the MoI), where the remaining time allowed for only a 'very simple study' (Int_8 with partner organisations).

The Agenda 2030 principle of 'Leave no one behind' (LNOB) is supposed to be taken into account in project designs. LNOB is generally relevant for PAKLIM III, as the poor tend to be more vulnerable to the effects of climate change, and there are often synergies between climate change-mitigation and poverty-alleviation measures (Dercon, 2014; Donoghue and Khan, 2019). In that regard, however, the project had no clear effect on the poorer sections of the population. Furthermore, there was no specific project-design element that guaranteed that marginalised groups would benefit specifically from the project. It was only in 2018, as the project was underway, that additional funding was secured for activities in the area of children's rights (under desired project achievement 4 – Malang City climate education). This funding was secured from the BMZ Human Rights Division through the GIZ cross-sectoral programme Realising Human Rights, including Children's Rights, in Development Cooperation (Int_4; Eser and Kirchenbauer, 2019). Gender was accounted for through outcome indicator 5 on gender mainstreaming.

Because the intended impacts on the target groups were not well or only very generically defined in the project design, it is not possible to assess how realistic those impact expectations were.

The evaluation team concluded that the project design matched the needs of the target groups to a sufficient degree, while observing that some opportunities for clearer and more effective targeting were not exploited. Therefore, relevance dimension 2 – alignment with the needs and capacities of the beneficiaries and stakeholders – scores 24 out of 30 points.

Relevance dimension 3: Appropriateness of the design

The results model appropriately reflects the logic of the project. The project adhered closely to its results matrix in structuring its activities and tracking progress, which meant it remained strategically focused. Output and outcome indicators were mostly formulated in a very similar way (see section 4.3). The project objective was realistic and adequate, as it addressed the lack of capacities and coordination at various political levels as the core problem. However, risks and hypotheses were often only generically defined ('economic and political situation of Indonesia is not conducive to low-emission development') and thereby not strong enough to track intended and unintended results. They were also not checked during project implementation. This is particularly problematic, given that the output and outcome indicators did not necessarily contribute to the intended objective of *coordinated* climate policy and thus risked becoming disconnected from the overarching intended outcome/intermediate impact. The 15 desired project achievements envisaged measures that did not necessarily involve coordination among policy stakeholders but were able to be implemented independently, e.g. measures to support the action plans for reducing GHG emissions.

In conclusion, the project – including the theory of change, objective, outputs and activities, results hypotheses, assumptions and risks – was mostly adequately designed and applied to achieve the chosen project objective, but vertical links were not sufficiently tracked, risking a disconnect from the project outcome. Therefore, relevance dimension 3 – appropriateness of the design – scores 15 out of 20 points.

Relevance dimension 4: Adaptability – response to change

The basic design of the project followed the structure provided by the results matrix prepared as part of the project proposal. Specific activities and, in some cases, sectors, too, were only chosen once the project was already underway. For example, the Ministry of Transportation was also considered for inclusion in NDC implementation activities, but, eventually, no joint activity during the project term could be agreed on. As such, the project adopted a partly evolutionary approach to putting the intended project design into practice. The approach was in line with the initial proposal, which was not subsequently revised. Furthermore, the approach was constantly developed and it worked out well, despite the – partly time-consuming – challenges of implementing some of the project activities. These challenges notwithstanding, interviewed stakeholders expressed their satisfaction with the flexibility of the project (Int_26, 10, 27). Of course, changes did occur during project implementation, triggered by technical developments and the political processes in the various national and subnational ministries. Climate policy generally receives less attention under the current government compared with the previous government, but no more specific change was flagged by the project stakeholders interviewed.

The evaluation team concluded that the project design was well adapted to changes in line with requirements and readapted where applicable, thanks, among other things, to the deep sector knowledge gained through the long-standing presence of the project in Indonesia. Therefore, relevance dimension 4 – adaptability: response to change – scores 18 out of 20 points.

4.3 Effectiveness

Table 7: Rating of OECD/DAC criterion: effectiveness

Criterion	Assessment dimension	Score and rating
Effectiveness	Achievement of the (intended) objectives	33 out of 40 points
	Contribution to achievement of objectives	22 out of 30 points
	Unintended results	28 out of 30 points
Overall score and rating		Score: **83 out of 100 points** Rating: successful

As illustrated in the table above, the evaluation matrix included three assessment dimensions for effectiveness: (i) the achievement of intended objectives, (ii) the contribution of the project activities to this achievement and (iii) the occurrence of additional (not formally agreed) positive and negative changes and how the project dealt with those.

A pre-condition for using the results indicators of the project in assessing achievement of objectives (effectiveness dimension 1) is that the indicators are well defined according to SMART criteria, i.e. the indicators must be specific, measurable, achievable, relevant and time-bound (GIZ, 2014). In this case, all five outcome indicators formulated in the results matrix of the project and listed in Table 8 can be considered as SMART, as can the output indicators (also referenced in Table 9), which were defined very similarly to the outcome indicators. Take, for example, the following related output and outcome indicators:

- Output indicator B.2: In total, two of the more ambitious climate targets developed by sector ministries have been integrated into the national medium-term development plan RPJMN 2020–2024.
- Outcome indicator 3: In total, two sector ministries, with the support of BAPPENAS, have submitted sector plans or programmes with ambitious climate targets to the process to implement the Nationally Determined Contributions (NDCs).

Measurability is guaranteed, as the necessary data are very easily collected and verifiable simply by counting the respective measures/policy documents. The indicators are also time-bound, in the sense that the target value can be achieved before the project end. As in the case of any intervention that essentially aims to develop capacities – a rather intangible achievement – formulating relevant indicators using tangible metrics is a challenge. From that perspective, the indicators are as relevant as they can be. They are useful indicators, or at least reference points, for an assessment of whether or not the implicit capacity development objectives have been achieved. Finally, the indicators are specific, in that they are neither multi-level nor multi-dimensional, although they could have been more precisely worded in terms of ‘measures’, ‘selected sectors’, and ‘subnational’. To assess effectiveness, the evaluation relied on the project’s desired achievements, listed in Table 1.

With regard to effectiveness dimension 2, the project’s contribution to achievement of the outcomes, the evaluation team examined hypotheses H1 and H2 (discussed in section 2.2) linking all project activities, outputs and outcomes. The analysis of the hypotheses focused on two of the key links in the results model – the one between Activities package B and OP-B (H1), and the one between OP-B and OC-2 and OC-3 (H2) – see Figure 3. OC-2 is the integration of NDC-critical measures into the RPJMN and an RPJMD, as well as the strengthening of the capacities of the MoI and MoEMR to be able to prepare NDC-related sector plans and

Table 8: Project's objective indicators

Project's objective indicators according to the proposal/original indicator
1. In total, five measures, including two measures to support the national action plan for reducing greenhouse-gas emissions (RAN-GRK) and three measures to support the subnational action plans for reducing greenhouse-gas emissions (RAD-GRK), are implemented in three selected sectors. Base/target value: 0/2 national measures and three subnational measures Related output indicators: A.1 – BAPPENAS has established a total of three improved coordination and cooperation mechanisms for the more efficient implementation of a coherent national climate policy in cooperation with the relevant ministries – KLHK and the Ministry of Finance – as well as other sector ministries and respective sector agencies at the subnational level. A.2 – BAPPENAS has used instruments for better planning and coordination of the implementation of two national or regional mitigation plans. Source of verification: External analysis and evaluation of proposed climate-relevant measures at national and subnational levels (climate action plans RAD-GRK and RAN-GRK; budget plans).
2. In total, two measures, which have been rated as priorities by BAPPENAS and are essential to achieving the national climate commitments (NDCs), are integrated into the national medium-term development plan 2020–2024 or subnational development plans. Base/target value: 0/2 measures Related output indicator: B.2 – In total, two of the more ambitious climate targets developed by sector ministries have been integrated into the national medium-term development plan (RPJMN) 2020–2024. Source of verification: Analysis and assessment of the measures submitted and respective planning documents (national medium-term development plan (RPJMN) 2020–2024, subnational medium-term development plans (RPJMD)).
3. In total, two sector ministries, with the support of BAPPENAS, have submitted sector plans or programmes with ambitious climate targets to the process to implement the Nationally Determined Contributions (NDCs). Base/target value: 0/2 sector ministries Related output indicator: B.1 – In total, two relevant sector ministries, with the support of BAPPENAS, have each established at least one quantifiable climate target that has increased by x% for at least one relevant sector or sub-sector (e.g. energy efficiency, waste management). Source of verification: External assessment of sector plans or programmes submitted. Assessment of meeting minutes, file memos, workshop reports.
4. In total, three fiscal-policy instruments for climate policy management are ready to use and submit to the Finance Ministry for a decision. Base/target value: 0/3 instruments Related output indicators: C.1 – In total, three international lessons learnt about instruments and approaches of national climate finance have been developed. C.2: In total, three fiscal-policy instruments for climate policy management are available and ready to use. Source of verification: External assessment of how well the instruments have been implemented.
5. Up to three measures of the national or subnational climate action plans include a gender mainstreaming strategy. Base/target value: 0/3 measures Related output indicator: A.3 – Principles of gender equality in budget allocations are considered in a total of three climate-relevant budget plans at national, local or provincial level. Source of verification: Assessment of budget plans, or number of gender-aware budgets and allocations; assessment of implementation reports.
Note: The template for this table for central project evaluations also includes a column on 'Adapted project objective indicator'. This column was dropped, as no adaptations were made by the evaluation team. Additionally, the table template includes an 'Assessment according to SMART criteria', which has been added to the main text, as the assessment by the evaluation team applies to all indicators in the same way.

programmes, i.e. OC-3.[7] Furthermore, the evaluators were able to determine, from interview partners, the most significant changes brought about by the project.

For effectiveness dimension 3, the results model was checked not only for potential additional, i.e. not formally agreed, results but also for potential unintended positive and negative results, both of which were not made explicit by the project.

The main documents consulted were the GIZ-internal Results Monitor, progress reports, the project's capacity development strategy document, as well as various versions of the project plan of operation and results model. The stakeholders involved in the various activities served as additional sources of information. However, they are not always directly referenced below, to avoid traceability of the pseudonymised interview code.

Analysis and assessment of effectiveness

Effectiveness dimension 1: Achievement of the intended objectives

The agreed project outputs and outcomes were predominantly achieved according to the indicators underlying the project. Over the course of the project, the project team was successful in bringing together a coherent set of sub-interventions that yielded some results. This assessment is summarised in Table 9, which contains a checklist of criteria derived from the output and outcome indicators presented in Table 8. An indicator is considered as achieved when each individual criterion has been fulfilled.

Outcome indicator 1 encompassed five measures affecting the waste, energy and industry sectors at both national and subnational levels. This indicator can be considered as mostly, but not completely, achieved. The activities at subnational level, in particular, were well implemented (see Table 9). Activities at national level focused on quite specific topics, e.g. an institutional framework for refuse-derived fuels (RDF) as substitute fuels for use in the cement industry and for sustainable public procurement (SPP), which did not advance to a stage where they could be considered to have been implemented. The Regulatory Impact Assessment in relation to RDF, for example, was still in draft stage at the time of this evaluation and the policy itself was still under discussion. On a positive note, the first RDF facility in Indonesia was inaugurated by the Coordinating Minister for Maritime and Investment Affairs in July 2020 in Cilacap, in Central Java (The Insider Stories, 2020). This facility – as well as all RDF suppliers in the country – complies with the requirements that were defined with the support of the project. At the same time, it has to be acknowledged that the criteria declared as 'fulfilled' in Table 9 are mostly 'works in progress' and require further development by project partners if their expected effects are to materialise in the longer term. This is the case, for example, with the online Monitoring, Evaluation and Reporting (MER) system intended to collect information on the achievement of reductions in GHG emissions from all provincial governments. The system has been established, so the criterion can be considered as 'fulfilled', but the next steps are to integrate the system into a new online monitoring system called AKSARA, developed by BAPPENAS as part of the transition process from RAD-GRK to LCDI (BAPPENAS, 2020b) and to make it more user-friendly (Int_28; Int_10, 26, 21, 2 with partner organisations).

The development and mainstreaming of the LCD policy targeted by outcome indicator 2 was largely achieved. As for outcome indicator 3, on the submission of sector plans or programmes to the NDC implementation process, the objective of more ambitious climate targets is not yet reflected in the respective policy documents. What is more, the supported instruments related to indicator 3, i.e. the MRV system, GHG emissions calculation methods and the National Standard on energy efficiency in buildings, can only affect emissions very indirectly: an MRV system and calculation methods, in themselves, do not reduce emissions, and standards tend to have little effect on emissions (this is discussed further in section 4.4 on Impact). Furthermore, BAPPENAS was not greatly involved in the support of these instruments and KLHK, as the relevant ministry for

[7] The Inception Report also anticipated an assessment of hypothesis H3 – on the contribution of supporting measures to uptake of RAN/RAD-GRK policy support. The evaluation team later considered the hypothesis merely marginal and that its assessment would take up too much of the limited time available. It was therefore decided, instead, to address another main link related to hypotheses 1 and 2.

Table 9: Assessment of objectives achievement according to output and outcome indicators

Output and outcome indicators	Assessment of indicator achievement	
1. Implementation of five measures to support climate-change mitigation action plans		
• *Three sectors*	✓✓✓	(1) Waste (2) Energy (3) Industry
• *Two measures implemented at national level*	✓✓	(1) Waste to energy in the cement industry (RDF) (2) Sustainable public procurement towards sustainable consumption and production (SPP-SCP) *Note: Documents related to RDF policy are still in draft stage; the SPP-SCP policy, too, is still at an early stage of development.*
• *Three measures implemented at subnational level*	✓✓✓	(1) Malang City waste management (2) Malang City climate education (3) South Sulawesi Province communication on energy efficiency
• *Established by BAPPENAS in cooperation with the relevant ministries and sector agencies*	✓✓	*Note: Activities often only involved one project partner, rather than BAPPENAS and the respective sector ministry (agency) to enhance coordination.*
• *Three improved coordination and cooperation mechanisms established*	✓✓✓	(1) Online monitoring, evaluation and reporting (2) Peer-to-peer learning (3) Communication campaign
• *Use by BAPPENAS of planning and coordination instruments in two plans*	✓✓✓	(1) RPJMD East Java Province 2019–2024 (2) RPJMD South Sulawesi Province 2018–2023
2. Integration of two measures into medium-term development plans		
• *One measure integrated at national level*	✓✓✓	(1) Development of LCD policy and mainstreaming of strategic environmental assessment into RPJMN 2020–2024
• *One measure integrated at subnational level*	✓✓✓	(1) Mainstreaming of LCD policy into RPJMDs of Malang City and South Sulawesi Province (both 2018–2023)
• *Priority measures according to BAPPENAS*	✓✓✓	
• *Measures essential to achieving NDCs*	✓✓✓	
• *More ambitious climate targets by two sector ministries integrated into RPJMN or RPJMD*	✓✓	(1) Waste to energy and SPP-SCP in RPJMN 2020–2024 (2) Waste in RPJMD Malang City 2018–2023 *Note: Strategies taken up, but not yet included in development plans.*
3. Submission of sector plans or programmes by two ministries to the NDC implementation process		
• *Two sector ministries*	✓✓✓	(1) Ministry of Industry (2) Ministry of Energy and Mineral Resources
• *Two sector plans or programmes with quantifiable and more ambitious climate targets*	✓	(1) Measurement, reporting and verification (MRV) system, particularly for the cement industry (2) GHG emissions calculation methods for food & beverage industry (3) Review of National Standard on energy efficiency in buildings *Note: No quantifiable targets; only very indirect effect on emissions*
• *Involving the support of BAPPENAS*	✓✓	*BAPPENAS not very involved, activities too specific, partly*
4. Submission of three fiscal-policy climate finance instruments to the Finance Ministry		
• *Three instruments ready for*	✓✓✓	(1) Green criteria for project-based green Sukuk bonds

Output and outcome indicators		Assessment of indicator achievement
implementation		(2a) (Renewable energy/energy efficiency – see below) (2b) Blended finance for municipal waste management (3a) Environmental economic instruments (IELH) (3b) Fiscal incentive for green industry
• *Three international lessons learnt developed*	✓✓✓	(1) Green bonds best-practice study (2) Renewable energy/energy efficiency financing study for the Renewable and Conservation Energy Fund (3) Comparison study on sustainable public procurement
5. Inclusion of gender mainstreaming strategy in three measures of climate action plans		
• *Three climate-relevant budget plans* • *Principles of gender equality considered*	✓ ✓	(1) Gap analysis of gender-responsive budgeting and planning systems to support the LCDI strategy (incl. three case studies) *Note: One study proposing strategies to be included in climate plans*
Key: ✓✓✓ fully achieved ✓✓ mostly achieved ✓ only partly achieved. If not fully achieved, an explanatory note is provided.		

NDC implementation, was only involved indirectly via the GIZ project Strengthening Climate Governance of Indonesia for Implementing the Paris Agreement (CliGov). While this made sense in relation to these specific activities, activities that would have entailed greater involvement by BAPPENAS would have been beneficial from the perspective of enhancing climate policy *coordination*.

Outcome indicator 4 on fiscal-policy climate finance instruments, can formally be considered as achieved, whereas gender mainstreaming was achieved rather informally, as a cross-cutting issue in the various project activities, rather than specifically through outcome indicator 5 (Int_22, 25; Int_3, 10, 14, 27 with partner organisations).

In conclusion, only one indicator can be considered as completely achieved, while the main aspects of the most important three of the four remaining indicators have been achieved. Therefore, effectiveness dimension 1 is rated by the evaluation team as positive and successful, and scores 33 out of 40 points.

Effectiveness dimension 2: Contribution to achievement of objectives

The assessment of the contribution of the activities related to outcome indicators 2 and 3 to achievement of the project objectives is presented in Table 10 to Table 13. The tables outline how the project activities, instruments and outputs contributed on the basis of the hypotheses underlying the project results model.

Looking at the results of the intervention regarding outcome indicator 2 at national (Table 10) and subnational (Table 11) levels, the hypotheses underlying the results model can be partly confirmed: capacities of policy partners in terms of climate policy-making and coordination could be strengthened. Activities at national level made a small contribution to high-level climate policy in the country, even if these results partly exist as abstract draft policy documents only and still need to be translated into more concrete climate-change mitigation measures. Activities at subnational level were limited but made more significant contributions, as capacities at that level tend to be more constrained.

Table 10: Assessment of hypotheses 1 and 2 for outcome indicator 2 in relation to the RPJMN 2020–2024

Hypothesis 1 (activity – output)	Activities are designed and implemented in such a way as to strengthen the capacities of policy partners in terms of climate policy-making and coordination.
Hypothesis 2 (output – outcome)	Policy partners are able to translate the improved capacities into concrete measures and strategies, as evidenced by the 15 desired achievements.

Key link assessed within results model	*Policy partners*: BAPPENAS, mainly *Concrete measures and strategies*: development of LCD policy and mainstreaming of strategic environmental assessment into RPJMN 2020–2024 (Activities package B – OP-B – OC-2).
Risks/non-intended effects	Both the development of an LCD policy and mainstreaming activities in the contexts of the RPJMN mainly involve risks related to R3 (see section 2.2), i.e. to complications that may arise due to the complexities of multi-actor approaches. The project mostly limited its activities to less sensitive issues, where such risks were less pronounced. An exception may be the support for the revision of two Presidential Regulations to support an LCDI strategy, which are regulated under BAPPENAS and KLHK, respectively, and which are discussed more extensively below, under contribution to the outcome. In a broader sense, risk R5 arose here, namely the challenge for BAPPENAS and KLHK of finding solutions for an LCD policy. Despite some progress, this revision dragged on for the duration of the PAKLIM III project and, at the time of this evaluation, had still not been finalised.
Contribution to the outcome	At the high policy level, PAKLIM sought to contribute to LCD policy and Indonesia's mid-term development planning. To facilitate the development of an LCD policy, PAKLIM supported the process of revising Presidential Regulation (Perpres) 61/2011 on RAN-GRK (under the auspices of BAPPENAS) and its merger with Perpres 71/2011 on GHG inventory (under the auspices of KLHK) to form a new presidential regulation on the 'Low-Carbon Development Policy to Reduce GHG Emissions'. In this context, the PAKLIM project team: • provided technical advice for the draft revision of Perpres 61/2011 on RAN-GRK, and • hosted a series of internal and inter-ministerial meetings on LCD policy. This began in mid-2017 and had not been finalised by the end of PAKLIM III. In addition, the PAKLIM project team, together with three other GIZ project teams (GIZ 2020g; IKI, 2020a – up to 2018; IKI, 2020b – from 2018): • prepared a draft LCD process guideline, and • developed and provided training in the use of a tool called RED-CLUWE (Reducing Carbon Intensity of Land Use, Waste and Energy). In order to substantiate development planning projections in the RPJMN 2020–2024, the PAKLIM project team contributed to the mainstreaming of strategic environmental assessment (KLHS) in this document. The project supported the development of non-spatial modelling together with another GIZ project, SFF-NDC[8], which was then integrated with spatial modelling approaches by other development partners, including the World Bank, the Austrian International Institute for Applied Systems Analysis (IIASA), World Agroforestry (ICRAF) and the World Resources Institute (WRI). The following technical advice and policy exercises were carried out by PAKLIM throughout 2017 until mid-2019: • development of modelling components for KLHS for the RPJMN, • training for the dynamic system modelling team at BAPPENAS and for the RAN-GRK Secretariat, • support for BAPPENAS in organising a series of coordination meetings to integrate KLHS into the RPJMN, and • preparation of communication media to raise awareness of KLHS. The project therefore supported high-level climate policy-making and mainstreaming through selected small-scale support activities. Participatory capacity development approaches were adopted that moderately strengthened capacities at the individual and organisational levels, as well as in the institutional environment. While the new presidential regulation was, at the time of this evaluation, still not ready and promulgated, the LCD process guideline (still in draft version) and KLHS modelling components have been taken up by policy partners. These strategic instruments are now supposed to inform the preparation of practical climate-change mitigation measures, which have not been directly addressed here.

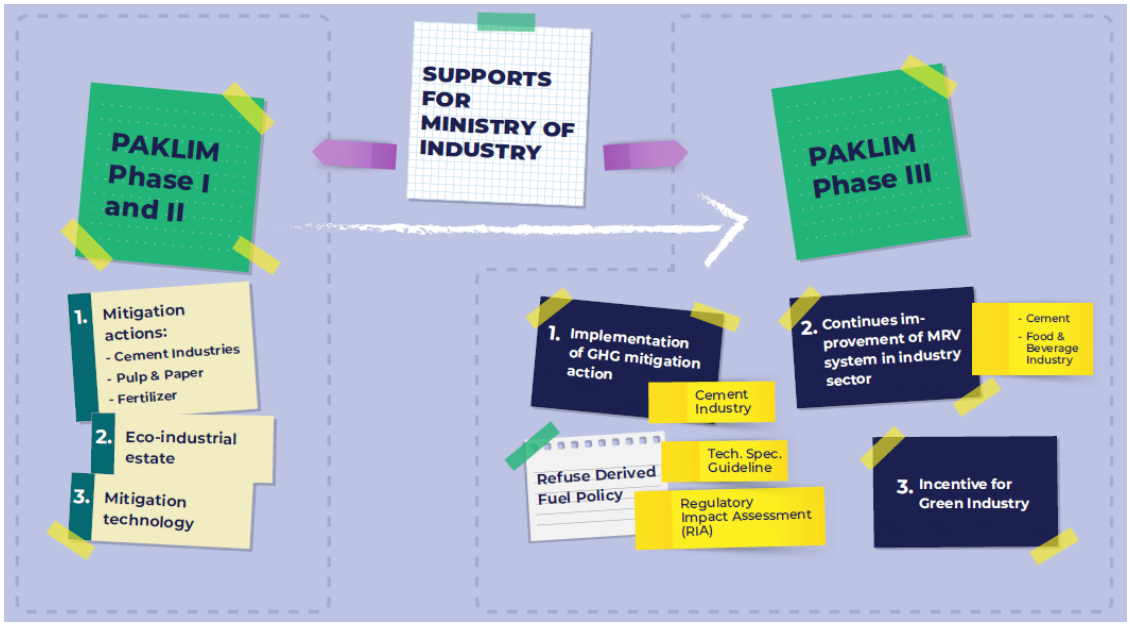
[8] Measure implemented by GIZ as part of the Studies and Experts Fund's 'Support of the Ministry of National Development Planning to harmonise the Indonesian NDC with national development planning to ensure and efficiently implement a coherent climate policy'.

Table 11: Assessment of hypotheses 1 and 2 for outcome indicator 2 in relation to the RPJMDs of Malang City and South Sulawesi Province

Hypothesis 1 (activity – output)	Activities are designed and implemented in such a way as to strengthen the capacities of policy partners in terms of climate policy-making and coordination.
Hypothesis 2 (output – outcome)	Policy partners are able to translate the improved capacities into concrete measures and strategies, as evidenced by the 15 desired achievements.
Key link assessed within results model	*Policy partners*: regional development planning bodies (BAPPEDAs) *Concrete measures and strategies*: mainstreaming of LCD policy into the RPJMDs of Malang City and South Sulawesi Province (Activities package B – OP-B – OC-2)
Risks/non-intended effects	Similar to the national-level activities, R3 likely posed the main risk, i.e. of complications arising due to the complexities of multi-actor and multi-level approaches. The project team took time to initiate project interactions with the two pilot localities, and then mitigated the aforementioned risk by limiting activities to less complex, shorter-term interventions.
Contribution to the outcome	Subnational entities play a pivotal role in achieving national and international climate targets. Against that background, PAKLIM extended its LCD policy support to the sub-national level with two other projects (GIZ, 2020g; IKI, 2020b) to include the provision of • LCD policy guidelines and toolkits. In this context, the project • facilitated the exchange between the RAN-GRK Secretariat and the RAD-GRKs in Malang City and South Sulawesi Province, specifically in relation to GHG emissions calculation and climate-change mitigation action-planning, including the preparation of regional LCD planning documents (so-called RPRK-Ds), and • conducted project-planning management training. For a more targeted mainstreaming of LCD policy into RPJMDs, the project team held discussions with five provinces in the early project phase to identify potential partner localities and measures. It was only towards the end of 2018 that more concrete measures were planned, in cooperation with Malang City, which has been a PAKLIM partner since 2009. As the city's RPJMD had already been ratified in February 2019, the preparation of the RPJMD itself could not be directly informed anymore, apart from a • discussion meeting on the coverage of climate-change issues in the draft RPJMD draft for Malang City. Instead, the project • helped the city to conduct and discuss technical studies on climate-change mitigation planning (one that mapped the city's development-plan documents to optimise local GHG emissions reductions and one on inter-sectoral climate policies). The project therefore supported individual LCD-related activities that complemented other activities at subnational level, particularly those relating to outcome indicator 1 on waste management, climate education and energy-efficiency communication. In combination, these activities bolstered certain capacities of selected subnational climate-policy stakeholders, who would otherwise have received little or no such policy advice.

Figure 8 illustrates how the focus of the first assessment related to outcome indicator 3 – activities to support the Ministry of Industry – was on the continued improvement of the MRV system in industry sectors, particularly the cement sector and the food and beverage sector. Working with the MoI on the cement industry is the longest-running activity in the history of policy cooperation in the framework of PAKLIM. The assessment is presented in in Table 12. The second assessment related to outcome indicator 3 – activities conducted in cooperation with the new partner MoEMR – is presented in Table 13.

Figure 8: Core support activities conducted throughout PAKLIM for the Ministry of Industry



Source: PAKLIM III promotion material

Again, the hypotheses underlying the results model can be partly confirmed in light of project results: capacities of policy partners in terms of climate policy-making and coordination could be strengthened. Activities were well implemented, even if their design, at least in the two case studies assessed, could have been more clearly linked to NDC implementation and climate-target achievement. Similarly, the scope for climate-policy coordination was limited and the improved capacities were not fully translated into concrete measures, as evidenced by the MRV process, which, at the time of this evaluation, had still not been firmly institutionalised. The weakness of the KLHK's link to the project was also an issue.

Table 12: Assessment of hypotheses 1 and 2 for outcome indicator 3 in relation to activities with the Ministry of Industry

Hypothesis 1 (activity – output)	Activities are designed and implemented in such a way as to strengthen the capacities of policy partners in terms of climate policy-making and coordination.
Hypothesis 2 (output – outcome)	Policy partners are able to translate the improved capacities into concrete measures and strategies, as evidenced by the 15 desired achievements.
Key link assessed within results model	*Policy partners*: MoI and BAPPENAS *Concrete measures and strategies*: preparation of NDC-related sector plans and programmes, namely the MRV system, particularly for the cement industry, and of GHG emissions calculation methods, applied to the food and beverage industry (Activities package B – OP-B – OC-3).
Risks/non-intended effects	Generally, risks R1 and R3 to R5 presented in section 2.2 may be of relevance to the links assessed. R5, in particular, was a risk to the effectiveness of the MRV activities: *The responsible ministries, BAPPENAS and KLHK, do not find a solution for integrating the systems for measurement, reporting and verification (MRV) and monitoring and evaluation (M&E).* This was a clearly defined risk identified thanks to the project team's long-standing sector experience and knowledge of the institutional environment. This risk did actually materialise with regard to the link between measurement and reporting, under the responsibility of BAPPENAS, and verification, under the responsibility of KLHK (related to the merger of Presidential Regulations (Perpres) 61 and 71). The ministries did make efforts to find a solution, but there is still no joint understanding of MRV among the main stakeholders in Indonesia and the ministries still tend to work in a disconnected manner on the topic. While the project was successful in supporting a showcase for MRV implementation (see the example of the cement industry discussed below, under contribution to the outcome), KLHK has yet to institutionalise the process.
Contribution to the	Between 2017 and 2019, PAKLIM continued to support the Ministry of Industry (MoI)

outcome	in developing a system for monitoring, reporting and verification (MRV) of reductions in greenhouse-gas emissions in the industrial sector. Cement is the sector that contributes most to industrial processes and product-use emissions in the country (see Figure 5 in section 4.2). It is a homogeneous sector with few players – the Indonesian Cement Association (ICA/ASI) has 13 members, and the top five companies account for 90% of the cement capacity in Indonesia (Indocement, 2020). In spite of this lean sector structure, PAKLIM III, as well as its predecessor projects, still took around ten years to get the sector to a point where reasonable GHG data are collected. A second, new sector to be approached by PAKLIM III and the MoI was the food and beverage sector, which is much more heterogeneous and dispersed. KLHK pushed the MoI to work on the sector and establish a GHG reduction target, because this sector produces considerable GHG emissions from industrial waste. The project supported activities that fall under capacity development at the individual and organisational levels, as well as in the institutional environment. At the individual and organisational levels, these included: • a series of MRV tests in four cement plants to obtain basic data for a review of an MRV guideline, • a series of trials of the revised guideline carried out in three further cement plants to test the results of the revised guideline and • a series of workshops and training sessions to obtain input for the study guideline and tools in the food and beverage sector. In addition, at the organisational level, the project supported: • the abovementioned review of an MRV guideline for the cement industry, • the development of a Standard Operating Procedure (SOP) based on the results of the abovementioned tests to provide a reference for implementing the MRV system at company level in the cement industry and • mapping of industries with the most GHG emissions from industrial waste in the food and beverage sector. Lastly, at the institutional environment level, the project supported: • a draft ministerial decree on MRV in the cement industry and • the development of a simple calculation guideline and tools for GHG emissions in industry, using the food and beverage sector as an example. All activities were carried out through participatory approaches involving relevant stakeholders, including representatives of the Indonesian Cement Association, technical institutions, regional governments and the MoI, and also involving basic coordination with BAPPENAS. The project partner particularly appreciated the ownership built up by PAKLIM. KLHK, as the relevant ministry for NDC implementation, was involved indirectly via the GIZ project Strengthening Climate Governance of Indonesia for Implementing the Paris Agreement (CliGov), which was working closely with that ministry. Additionally, the in-depth knowledge of the policy landscape was appreciated, in that PAKLIM team members were able to 'translate' the jargon of the different ministries (notably the MoF) and even indicate to the MoI which people and directorates in other ministries they were supposed to engage with (in the case of RDF, for example, the relevant interlocutors were at KLHK and the Ministry of Public Works and Housing). Thus, the project successfully supported the process to improve the MRV system and strengthened capacities of the policy partner through a process of cooperation and trust that had been built up by PAKLIM III and its predecessor projects. This translated into concrete measures and strategies, albeit ones that, because of a persistent lack of policy coordination, have yet to be decisively acted upon. It also has to be acknowledged that while an MRV system helps create transparency around GHG emissions, *reductions* in GHG emissions required to achieve NDCs obviously require other measures and programmes. In this regard, the activities in the food and beverage sector were intended as only an initial step, and the MoI had planned to continue its efforts after the end of the PAKLIM project.

Table 13: Assessment of hypotheses 1 and 2 for outcome indicator 3 in relation to activities with the Ministry of Energy and Mineral Resources

Hypothesis 1 (activity – output)	Activities are designed and implemented in such a way as to strengthen the capacities of policy partners in terms of climate policy-making and coordination.
Hypothesis 2 (output – outcome)	Policy partners are able to translate the improved capacities into concrete measures and strategies, as evidenced by the 15 desired achievements.
Key link assessed within results model	*Policy partners*: MoEMR and BAPPENAS *Concrete measures and strategies*: preparation of NDC-related sector plans and programmes, namely a review of the Indonesian National Standard (SNI) on energy efficiency in buildings (Activities package B – OP-B – OC-3).
Risks/non-intended effects	The process of liaising with the MoEMR to identify common activities proved time-consuming. In 2018, an online energy reporting system was considered. This idea was abandoned and replaced by a review of the SNI on energy efficiency in buildings. It was only in the second half of 2019 that the activities contributing to the outcomes delineated below were implemented. The evaluation team could not identify clear reasons for these delays (as previously noted, the MoEMR was not available for this evaluation). While the limited extent of the support envisaged by the project may have played a role, risks R3 and R4 described in the results model may also have been relevant: • R3: *The multi-actor approach proves to be too complex. Missing or unclear responsibilities for climate change at national, provincial and urban levels lead to competence disputes and management deficits.* • R4: *Lack of a clear institutional framework delays the establishment of appropriate structures for achieving the NDCs.*
Contribution to the outcome	PAKLIM had not previously cooperated with the MoEMR to any significant extent. The SNI on energy efficiency in buildings was selected jointly with the ministry in light of the NDC objective of achieving reductions in GHG emissions in the energy sector, among others, through energy conservation, including energy efficiency, which is intended to contribute 30% of the total reduction in GHG emissions in the energy sector. More specifically, energy-efficiency standards related to building envelopes, lighting and air-conditioning were reviewed. Such reviews generally need to be carried out every five years. From a capacity development perspective, therefore, the project supported: • a series of technical meetings on a topical energy-efficiency theme and • a periodic review and update of a national standard related to energy efficiency in buildings. Hence, the project opted to contribute to a standard bureaucratic process in a relatively dynamic sector. This was a very simple process that required no policy coordination; accordingly, BAPPENAS was not involved in the process.

In addition to this *ex ante* analysis of the project's contribution to outcomes based on two case studies, the evaluation team invited stakeholders participating in the interviews and in the stakeholder workshop in the inception phase to identify highlights from (or the most significant changes brought about by) the project contributions *ex post*. These are presented in the box below and can be subsumed under two items: first, the mainstreaming of low-carbon development planning in the Indonesian key policy framework guiding public budget allocations and, second, the capacity development strategy, with its broad set of techniques and skills addressed. On the downside, the project cannot be credited with having significantly strengthened the coordinating role of BAPPENAS.

Highlights of the PAKLIM III contribution

The most significant changes generated by PAKLIM III according to the interview partners were:

The mainstreaming of low-carbon development planning under the new medium-term development plan, RPJMN 2020–2024

The RPJMN 2020–2024 was ratified in January 2020. The five-year plan is the key basis for government action in Indonesia. It is not a rolling plan but a fixed one, issued at the beginning of a president's term of office, prepared by BAPPENAS and put into practice each year through annual work plans. A new feature of the RPJMN 2020–2024 is that it defines low-carbon development as a key parameter in Indonesia's development, using the Low-Carbon Development (LCD) strategy as a basis. Climate is part of a separate chapter of the plan, together with environment and natural disasters. The plan also added emissions reductions to the now 12 national macro development indicators. PAKLIM III has been supporting BAPPENAS in this process since the inception of LCD in 2017, together with a large number of other development partners (see sections 4.2 and 4.4) and other GIZ interventions, including Monitoring, Reporting and Verification for Mitigation Measures in Indonesia (MRV-MMI) and Support of the Ministry of National Development Planning to harmonise NDC with National Development Planning (SFF-NDC). Together with the latter, PAKLIM III supported BAPPENAS in expanding and mainstreaming a model for strategic environmental analysis (KLHS) developed mostly by other development partners to enhance system-based policy development, for example. In particular, PAKLIM contributed to mainstreaming climate as a cross-sectoral issue rather than a separate policy stream, and to breaking down the 'silo' mentality.

A capacity development strategy using a broad set of techniques and involving a mix of skills

The project put particular emphasis on its capacity development approach, which was coherently adopted by the entire team in all its activities. In terms of techniques, the team borrowed from the GIZ Capacity WORKS model (GIZ, 2015) in general and adopted the Plan-Do-Check-Act concept, also known as the Deming Cycle, in particular. Furthermore, the project introduced competency-based peer-to-peer learning formats across pilot provinces, where participants were able to connect with others that had similar functional roles, so that they could learn from one another. The project also made an effort to balance its capacity development across the different levels – from the individual or group levels to community or organisational (networks of organisations) and institutional levels (regulatory, policy or legal framework). The competencies developed always included a combination of technical/hard skills, as well as soft/interpersonal skills considered appropriate to the needs and constraints of the project partners. Communication skills were specifically developed, including storytelling workshops. While the strategy seemed to have worked particularly well in South Sulawesi Province and with students in Malang City, and was generally well appreciated, it proved challenging to involve partners in all stages of the capacity development processes. The effectiveness of the capacity development activities also suffered from constant staff turnover, which is a common and fundamental problem in the Indonesian public sector. Lastly, the actual change that the capacity development activities made to climate policy implementation is difficult to quantify. Anecdotally, interviewees noted that those who had participated in the workshops were easier to coordinate with than those who had not.

To conclude: the activities and outputs of the project contributed to achieving the project's objectives at the outcome level via some relevant and laudable steps, such as supporting LCD mainstreaming and strengthening MRV. However, the multiplicity of objectives, as well as the challenges inherent in the sectors, made it difficult to overcome key obstacles and achieve the degree of cooperation necessary to contribute significantly to achieving the project objective fully. This is reflected in a score of 22 out of 30 points.

Photo 1: Peer-to-peer workshops held in Jakarta and Surabaya in 2018 and 2019

Source: Anna Buana and South Sulawesi LCDI Working Group Secretariat

Effectiveness dimension 3: Unintended results

The launch of the LCDI strategy, which occurred after the project started, was an important opportunity that was successfully seized and supported, as indicated in the box above. The project was exposed to many risks, given that specific activities were not always described in detail and were very dependent on the collaboration of project partners. While there was no formal risk management approach, nevertheless the project managed these risks very well, particularly given the emphasis on project monitoring and communication with BAPPENAS, both of which were executed in an exemplary manner. At this point, it is worth mentioning that PAKLIM III inherited a strained relationship with BAPPENAS from its predecessor project. Against this background, the project did a very good job helping to promote trustful collaboration and mitigate the risks to project implementation.

The project did not explicitly identify any potentially unintended positive or negative results in its results model. The evaluators examined specific unintended negative results (or risks, at least) for the two case studies evaluated under effectiveness dimension 2, where some issues could be observed. From a risk management perspective, these issues can be considered to have been successfully addressed. As noted earlier, project assumptions could have been identified more explicitly.

In summary, effectiveness dimension 3 is rated as very positive, with a score of 28 out of 30 points.

4.4 Impact

Table 14: Rating of OECD/DAC criterion: impact

Criterion	Assessment dimension	Score and rating
Impact	Higher-level (intended) development results/changes	30 out of 40 points
	Contribution to higher-level (intended) development results/changes	24 out of 30 points
	Contribution to higher-level (unintended) development results/changes	26 out of 30 points
Overall score and rating		Score: **80 out of 100 points** Rating: moderately successful

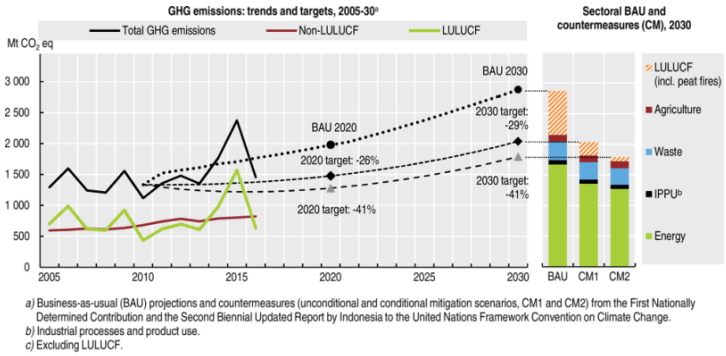
Related to impact dimension 1, the project included three indicators at the level of programme objectives that can be seen as equivalent to impact indicators. Since the GIZ programme Environment and Climate Protection

was discontinued and not replaced, PAKLIM III provisionally adopted the programme-level indicators of PAKLIM II and did not update them later. Hence, the indicators are mostly irrelevant or outdated. One of the indicators is related exclusively to projects in the transport sector and thus irrelevant for PAKLIM III. The second indicator, on climate-relevant measures by municipal authorities, is also less applicable to PAKLIM III. Accordingly, only the first indicator was able to be used for the PAKLIM III evaluation:

- In the sectors reached by the programme, specific GHG emissions in relation to the gross domestic product (GDP) have been reduced when compared with the business-as-usual (BAU) scenario.

This indicator may be considered SMART, in that it is specific, measurable, achievable, relevant and time-bound, but it can hardly be considered as attributable, which a SMART indicator should also, ideally, be (see, for example, Gertler et al, 2016). Changes in the indicator cannot seriously be linked to the project, because the attribution gap is simply too big. In addition, sufficiently up-to-date quantitative data for this indicator are not publicly available; at the time of this evaluation, such data were only available up to 2016 (see Climate Watch, 2020b), i.e. a point in time before the project started. In addition, GHG emissions fluctuate considerably because of land use, land-use change and forestry (LULUCF) and, obviously, the indicator hinges upon the BAU scenario, which is not clearly defined in the present case (Wijaya et al, 2017; see also Figure 9). Therefore, the evaluation only assesses the project impact on GHG emissions qualitatively.

Figure 9: Indonesian emissions trends and targets



Source: OECD (2019)

In the absence of impact indicators defined by the project, this qualitative assessment of the impact dimension involved BMZ/DAC policy-markers and Sustainable Development Goals (SDGs) reflecting the overarching development results of the project (see Table 6 in section 4.2). The evaluation team approached this question from different angles by looking into the proxy assessment criteria defined in the inception phase and mentioned in Table 15.

Table 15: Criteria for assessing approximate impacts on higher-level development results

BMZ/DAC policy-markers and SDGs	Description of proxy assessment criteria
KLM (reduction of greenhouse gases) and SDG 13 (Climate Action)	- Sectors affected by the project and their contribution to overall GHG reductions
UR (environmental protection and resource conservation), SDG 7 (Affordable and Clean Energy) and SDG 12 (Responsible Consumption and Production)	- Potential of energy-efficiency measures in Indonesia - Approach adopted to contribute to a paradigm shift towards a circular economy
GG (gender equality) and SDG 5 (Gender Equality)	- Specific characteristics introduced to make budgeting gender-aware
PD/GG (participatory development, good governance) and SDG 11 (Sustainable Cities and Communities)	- Methodological knowledge provided in the fields of communication, coordination and participation, with regard to cross-sectoral and cross-level decision-making processes - Capacity development strategy, followed by the project involving the individual and organisational levels, as well as the enabling environment
SDG 17 (Partnerships for the Goals)	- Prospects of using the supported climate-finance instruments to mobilise additional international financial resources

Leave no one behind (LNOB)	- Marginalised groups positively affected by the project

With regard to GHG emissions, for example, the evaluation team looked at the sectors affected by the project and their contribution to overall GHG reductions in order to approximate the impact on the BMZ/DAC policy-marker KLM (reduction of greenhouse gases) and on SDG 13 (Climate Action). This analysis inevitably touched on another aspect of SMART indicators: the degree to which they are ambitious (see, for example, Thiel, 2019), or, in other words, which ambition standard should be set for comparing them against. An in-depth examination of each dimension listed in Table 15 is beyond the scope of this report, so the evaluation team endeavoured to adopt a standard appropriate to the given context.
The assessment of the second impact dimension – the project's contribution to development results/changes – looked into the hypotheses underlying the results model. All hypotheses linking project outcomes and impacts were assessed (H4 and H5, as introduced in section 2.2). For the assessment of impact dimension 3, a 'helicopter view' of risks, opportunities and trade-offs at impact level was adopted.

Again, sources for individual pieces of information are not always identified, to avoid traceability of the pseudonymised interview code.

Analysis and assessment of impact

Impact dimension 1: Higher-level (intended) development changes/results

As the PAKLIM III project intended to effect predominantly medium-term systemic changes via the institutional framework of climate policy, impacts cannot yet be observed. The assessment presented in Table 16 therefore focuses on which of the intended results (here: proxy indicators) are likely to be achieved in the near future. The picture is mixed: the prospects for four of the eight criteria having an impact are weak. Project activities could often not yet yield notable milestones, since they mostly resulted in reports that merely accompanied processes at technical level. Also, because of PAKLIM III's limited budget, 'medium' impact prospects are determined for three criteria. In these cases, the project may yield gentle improvements in energy efficiency and governance.

Lastly, the most important dimension, relating to GHG reductions, is expected to yield a medium to strong impact. The more directly attributable results have some potential, but this is, as yet, unclear, owing to technical, political and economic issues (relating to, for example, refuse-derived fuel (RDF), sustainable public procurement towards sustainable consumption and production (SPP-SCP) and the Indonesian National Standard (SNI) on energy efficiency in buildings). The contribution to LCDI – which, given the various partners involved, is less clearly attributable – obviously has a stronger prospect of having an impact, assuming that the development plans are turned into practical climate-change mitigation measures (see also the assessment of the second impact dimension, below).

On the bases that impacts are not yet observable and that the prospects for the main impact dimension are good to very good, while, for the others, they are rather mediocre, impact dimension 1 scores 30 out of 40 points.

Impact dimension 2: Contribution to higher-level (intended) development results/changes

The assessment of the project contribution to development results/changes according to the hypotheses underlying the results model is presented in Table 17 and Table 18. It can be concluded that the project contributed to the intermediate impacts of improved climate policy-making and coordination, and emissions reduction, in particular via its support for the RAN-GRK (now LCDI) Secretariat and its multi-level approach. Note, however, that NDC implementation in Indonesia is rather sluggish (Sulistiawati, 2020) and that even compliance with the NDC meant that Indonesia would not reach peak emissions until around 2080, if it follows its NDC target beyond 2030 (Chrysolite et al, 2020). The Ministry of Environment and Forestry (KLHK) finalised

its revision of the NDC towards the end of the PAKLIM project, but submission of the second Indonesian NDC to the secretariat of the United Nations Framework Convention on Climate Change (UNFCCC) is was still pending at the time of this evaluation, because processing at ministerial level and by the presidential office was stalled by the Covid-19 pandemic (Antara News, 2020).

The question of whether the project appropriately adapted and used or contributed to innovative mechanisms was also examined. Most activities were implemented at the current policy frontier and thus, in terms of innovation, were fairly basic. Notable mechanisms were the capacity development strategy, the promotion of the use of information and communications technology (ICT) to raise awareness of climate change at local

Table 16: Assessment of approximate impacts on higher-level development results

Proxy impact assessment criteria		Assessment of proxy criteria
Sectors affected by the project and their contribution to overall GHG reductions	+++	LCD mainstreaming affects all sectors
	++	The sectors targeted by the project are not those with the greatest potential for GHG reduction, even though emissions from the waste sector are expected to increase drastically (see section 4.2); scalability of promoted approaches (e.g. RDF (see Schwarzböck et al, 2016), SPP-SCP, SNI), as well as their potential to reduce GHG emissions effectively, but this remains unclear, owing to technical, political and economic issues.
Potential of energy-efficiency measures in Indonesia	++	Recent research at UC Berkeley (Letschert and McNeil, 2020) showed strong potential for energy efficiency in Indonesia through improving appliance efficiency; by design, the standards supported by the project only guarantee a certain minimum efficiency level – while very inefficient technologies may be crowded out, this policy instrument does not guarantee the uptake of higher-efficiency solutions.
Approach adopted to contribute to a paradigm shift towards a circular economy	+	The activities supported at national level contributed to one of multiple steps in the preparation of an SPP policy at the technical level; hence, there is still a number of hurdles to be overcome at the technical as well as the political level before activities could have an impact on public procurement and, in turn, on sustainable consumption and production; additional small-scale awareness-raising at local level.
Specific characteristics introduced to make budgeting gender-aware	+	The gap analysis produced as a project output provided more clarity on the issue, but there was no meaningful progress made towards gender-aware budgeting.
Methodological knowledge provided in the fields of communication, coordination and participation, with regard to cross-sectoral and cross-level decision-making processes	++	The capacity development provided at different levels will likely have a 'soft' impact on some decision-making processes in the climate-policy space.
Capacity development strategy followed by the project involving the individual and organisational levels, as well as the enabling environment	++	Elements of the capacity development strategy will probably continue to be practised by subnational stakeholders. However, many of these stakeholders are likely to lack the resources required to incorporate the strategy fully into their own policy-making and implementation.
Prospects of using the climate-finance instruments supported to mobilise additional international financial resources	+	The project supported the scoping process for an instrument (green project-based Sukuk (Shari'ah-compliant bonds) for earmarked projects) favoured by BAPPENAS as a more demanding alternative to the previously implemented global green Sukuk issued by the MoF.[9] Even though this is a laudable effort, it is unclear whether the project-based Sukuk will materialise, given the concerns of the MoF regarding the lower flexibility and higher coordination requirements involved.

[9] For more details on the different approaches to green Sukuk, see also the PAKLIM annual report for 2018 submitted to BAPPENAS (PAKLIM, 2019). A more general introduction to green Sukuk can be found in Climate Bonds Initiative (2019), while information on the first two global green Sukuk issued by Indonesia, in 2018 and 2019, is available in MoF (2019, 2020).

Marginalised groups positively affected by the project	+	Marginalised groups will benefit from the project, but the project did not involve components that make it likely that these groups will benefit more than other segments of the population.
Key: +++ strong impact prospects, ++ medium impact prospects, + weak impact prospects		

level and of refuse-derived fuel as an innovative technology. If green project-based Sukuk were to be implemented – which, currently, seems unlikely in the near future – this would be another financial innovation underscoring Indonesia's role as frontrunner in green Shari'ah-compliant bonds, following its issuing of the first sovereign global green Sukuk in 2018.

Looking into the question of scaling in more depth, it must first be noted that pilot regions and sectors represented rather low-hanging fruit: PAKLIM had already cooperated with the pilot provinces and cities during the predecessor project; the cement sector is homogeneous and of moderate size; and Malang is one of the more ambitious cities anyway. The choice of these regions and sectors can nevertheless be considered as appropriate, given the limited scope of the project. In addition, the 'second-tier' pilot provinces (see Figure 4 in section 4.1) were selected by BAPPENAS to ensure a better mix of pioneering and lagging provinces in terms of climate policy.

Table 17: Assessment of hypothesis 4 on the intermediate impact on improved climate-policy coordination

Hypothesis 4: (outcome – intermediate impact)	The project outcomes and the process of achieving them lead to coordination among climate-relevant ministries and authorities of the subnational governments.
Contribution to the intermediate impact	It is important to highlight that the project sought two avenues for improving climate policy and climate-policy coordination: the processes themselves (e.g. MRV development) on the one hand and, on the other, the more tangible outcomes, such as inputs to ministerial decrees. This strategy was implemented with mixed success, as already indicated in the assessment of effectiveness dimension 2: capacities were strengthened to a certain degree, but the coordination required across sectors and regional levels to achieve the specific results was often limited, thus providing less scope to make use of the enhanced and envisioned capacities. At the heart of PAKLIM's support for climate-policy coordination was its work with the RAN-GRK (now LCDI) Secretariat. While PAKLIM was not a major contributing partner to the final LCDI strategy document,[10] BAPPENAS confirmed that the project provided vital support to the day-to-day functioning of the secretariat, which also involved process facilitation, technical support, budget for workshops and provision of experts. BAPPENAS particularly appreciated the many propositions made by the project on how to coordinate and communicate effectively with provincial governments and line ministries. This paved the way for initiating the mainstreaming of LCD across ministries and regional levels. PAKLIM III also made a significant impact by developing capacities in terms of climate policy-making at the subnational level. While, initially, BMZ would have preferred to focus entirely on provinces, the PAKLIM project team successfully advocated for the inclusion of the city level. This meant the project was able to better target its activities to the appropriate policy level (e.g. waste at the local/city level, energy at the higher levels). Efforts were made to share experiences, including across the 'second-tier' pilot provinces (see Figure 4 in section 4.1). Regular biannual workshops conducted with all provinces (not supported by PAKLIM III) provided an additional platform for pilot provinces to share their experiences. At these meetings, other provinces approached the pilot provinces – sometimes proactively – seeking more in-depth information. With two of the three main subnational sector measures (under outcome indicator 1) being implemented at city level, a strategy with more outreach would have helped spread learning at that level as well. At the same time, the project adopted a multi-stakeholder approach that successfully involved non-governmental actors in local climate-policy coordination.

10 The LCDI report (BAPPENAS, 2019) lists 14 contributing partners, including the World Resources Institute Indonesia, Climate Policy Initiative (CPI) and the International Institute for Applied System Analysis (IIASA). No GIZ project was mentioned. Instead, BMZ and the German Federal Ministry for the Environment, Nature Conservation and Nuclear Safety (BMU) are mentioned among the 10 donors that contributed guidance and financial support.

Table 18: Assessment of hypothesis 5 on the impact on greenhouse-gas emissions

Hypothesis 5: (intermediate impact – impact)	The policy instruments (including plans and strategies) are implemented and sufficient to counteract growth-induced emission increases.
Contribution to the impact	It is clear from the assessment of impact dimension 1 that the plans and strategies supported have, in principle, the potential to partly counteract growth-induced emissions increases. Whether or not these plans and strategies are sufficiently implemented depends on whether Indonesian policy is able and willing to translate its grand climate ambitions and planning capacities into practical action. This remains to be seen. In particular, the stakeholders would seem to require practical tools, as well as changes in business practices and individual behaviour – changes to which PAKLIM was less geared.

The assessment of hypothesis 4 (see Table 17) revealed that while the approaches at provincial level helped spread learning to a certain degree, this was not yet observable at city level. Adapting the MRV system piloted in the cement industry to other industry sectors will likely prove even more challenging, given the different structures of the sectors. Still, some important practical lessons were able to be learnt at institutional level.

In conclusion, impact dimension 2 scores 24 out of 30 points.

Impact dimension 3: Contribution to higher-level (unintended) development results/changes

Unintended changes are hard to identify with a climate-policy project implemented mostly at the macro level. They were also not identified in the case of the PAKLIM III project. In terms of risk mitigation, the project team was, as previously noted, well versed in the intricacies of the national climate-policy landscape and thus was generally able to manage the project in a way that was highly appreciated, especially by the main partner. Also as previously mentioned, the launch of the LCDI strategy was a valuable opportunity seized by the project team, but, generally, activities could have been chosen in a way that created more need and therefore more opportunity for policy coordination.

Synergies between the ecological, economic and social dimensions were not monitored by the project but can be considered as sufficiently covered by the holistic design of the project. Similarly, trade-offs between these dimensions can be considered to have been sufficiently taken care of during planning.

In summary, PAKLIM III succeeded in mitigating risks at impact level to the degree possible and necessary, but opportunities for activities involving more policy coordination could have been taken up more effectively. Hence, impact dimension 3 scores 26 out of 30 points.

4.5 Efficiency

Table 19: Rating of OECD/DAC criterion: efficiency

Criterion	Assessment dimension	Score and rating
Efficiency	Production efficiency (resources/outputs)	67 out of 70 points
	Allocation efficiency (resources/outcomes)	25 out of 30 points
Overall score and rating		Score: **92 out of 100 points** Rating: highly successful

The efficiency criterion is assessed in terms of both production efficiency, i.e. the ratio of resources used to outputs achieved, and allocation efficiency, i.e. the ratio of resources to achieved outcomes.

In addition to the general methodological approach outlined in section 3.2, a specific tool is used to assess production efficiency. GIZ developed this Excel tool for collecting data and assigning costs to project outputs in the sense of a follow-the-money approach. For this purpose, three types of inputs were assigned to one of the project outputs or otherwise spread across multiple outputs: (i) each staff-member month, (ii) each non-staff category in the GIZ cost-unit commitment report (German: Kostenträger-Obligo-Bericht) and (iii) partner input. This was applied and filled in by the project team under the guidance of the international evaluator.

Instead of merely assessing how costs could be saved (minimum principle), the analyses of production efficiency and allocation efficiency focused on the extent to which the outputs and outcomes could have been maximised by following other implementation strategies (maximum principle).

Analysis and assessment of efficiency

Efficiency dimension 1: Production efficiency

Here, costs are compared with the outputs achieved. Analysis of the progress and finance reports indicated that the project managed its resources according to the cost plan and, essentially, in line with the estimated cost lines presented in the project proposal. At the time of reviewing the project cost data, 82% of the budget of EUR 3 million provided by BMZ had been spent. Taking the already defined budget commitments and ongoing activities into account, the only shift in resource allocation that seemed likely was from the procurement and the other costs categories to the human capacity development cost category. The breakdown of BMZ costs is illustrated in Figure 10, based on this analysis.[11]

It appears that compliance with the budget plan was also achieved in terms of the temporal flow of funds, where the project was somewhat behind the schedule. However, the evaluation team was unable to compare budgeted and actual costs by year to substantiate this assessment, owing to unavailability of the necessary data.

Partner input was forecasted in the project proposal document to amount to EUR 1 million. Added to the EUR 3 million budget provided by BMZ, this partner input represents 25% of the overall budget available for the implementation of the PAKLIM III activities. At the time of the budget review by the evaluation team, this share amounted to 22% according to estimates by the project team, thus only slightly below the planned partner contribution and within a reasonable range, considering the capacities of the Government of Indonesia as the partner in this project. This contribution came in the form of co-funding of major and minor workshops (43% and 16%, respectively), own staff time (37%) and office rental (5%).

Table 20 summarises an effort by the PAKLIM project team and the evaluation team to allocate the costs presented in Figure 10 to the three project outputs (see Figure 3):

- Output A: Strengthening, implementing and upscaling the national and subnational action plans for reducing GHG emissions (RAN/RAD-GRK).
- Output B: NDC mainstreaming.
- Output C: Climate-relevant financing instruments.

[11] In line with the project proposal, the project also covered costs for participation in the GIZ internal sector network 'Transport, Environment, Energy and Water in Asia' with the aim of ensuring the knowledge required for executing the contract was obtained. Another planned cost item, a EUR 150,000 contribution to the World Resources Institute stipulated in the implementation agreement between GIZ and BAPPENAS, did not have to be covered in the end. The money was supposed to fund the activities in the context of the NDC Partnership, which was launched at COP22 in 2016 in Marrakech to provide a platform for countries to accelerate their climate commitments into action. Such activities, however, did not take place.

Figure 10: BMZ cost breakdown

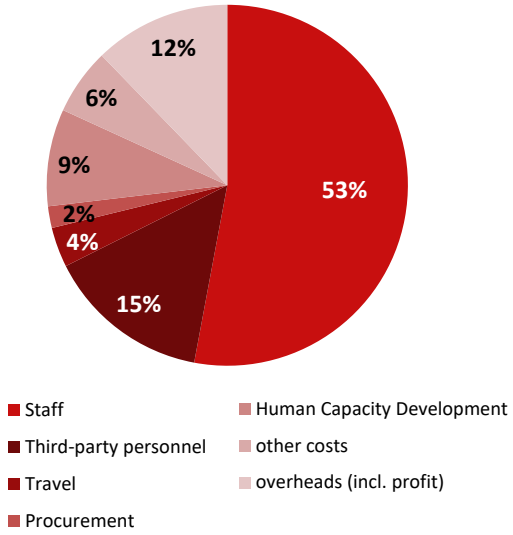


Table 20: Cost allocation to project outputs

	Output A %	Output B %	Output C %
National staff	35	43	22
International staff	30	50	20
Non-staff expenditure	34	55	11
BMZ costs (78%)	33	51	16
+			
Partner inputs (22%)	18	76	6
Total costs (100%)	**30**	**56**	**14**
Project's estimate of total costs accounting for spillover across outputs	**36**	**46**	**18**

Note: Non-staff expenditure shares were determined based on the project's plan of operations. Partner inputs were estimated by the project team based on assumed rates, unit costs and time input.

In addition to this allocation of BMZ costs, the table lists the joint BMZ and partner input costs allocated to the three outputs. Obviously, estimating the partner input was not always straightforward, nor was assigning staff months to the three outputs, given that only one of the 12 longer-term staff members worked exclusively on one output. In addition, the fact that the three outputs complement and partly depend on each other had to be taken into account. The last row of the table therefore tries to reflect these interdependencies (or spillovers) across the outputs by assigning part of the costs spent on Output B to the other two outputs. The resulting shares are 36% for Output A, 46% for Output B and 18% for Output C.

This distribution can be considered as appropriate against the outputs of the project and is a realistic reflection of resource management. A reallocation across outputs would not have been reasonable, as parts of all three blocks of outputs were not fully achieved (see Table 9 in section 4.3).

Given that staff is the largest expenditure item, the project management can be considered as efficient. Staff was mainly organised according to technical competency (e.g. finance, energy, education), and the most senior staff member in each field was assigned to work closely with the RAN-GRK Secretariat on a day-to-day level. In general, project staff worked in an integrated manner with partner institutions, at least with those with whom long-standing cooperation existed, i.e. BAPPENAS, the MoI and partners in East Java. The decision not to hire a development worker, as had been the case in PAKLIM II, was taken based on feedback from the policy partner, as outlined in the project proposal. At the same time, a more focused portfolio, with fewer completely new topics and stakeholder structures, might have meant personnel were able to be deployed even more efficiently (Int_4, 9; Int_8, 10, 12, 19, 27 with partner organisations).

It was also determined that the project managed successfully to cover the instruments, topics, partnership frameworks and geographic scope in line with the project proposal and the project budget. Looking at the project management, the evaluation team concluded that the output/ resource ratio was carefully considered throughout the process, as reflected in the choice of specific activities related to the three outputs. There were also no indications that money was spent on anything other than what it was supposed to be spent on. Inefficiencies at output level could only be observed in the case of the short gender-gap study, which seems to have duplicated a contemporaneous study supported by the UNDP (BKF, 2020) (Int_4, 20, 22, 25; Int_10, 12 with partner organisations).

The evaluators concluded that the cost-output relationship was reasonable throughout PAKLIM III and that the project budget lines were well managed. The evaluation team furthermore concluded that the actual use of resources was efficient, including when contrasted with potential alternative approaches. Therefore, production efficiency is rated very positively, with a score of 67 out of 70 points.

Efficiency dimension 2: Allocation efficiency

The evaluation then examined more strategic questions relating to whether costs were appropriate in terms of outcomes, with the outcome in this case being the intermediate impact in the results model underlying this evaluation: better climate-policy coordination in the form of enhanced climate policy coherence and efficiency (see Figure 3).

First, the evaluation assessed the extent to which the outcome could have been maximised with the same amount of resources while maintaining the same or better quality (maximum principle) and whether alternatives were carefully considered. As before, the question was examined in light of the geographic scale, adopted instruments and topics, and the partnership frameworks. In terms of geographic scale, the project covered the macro, meso and micro levels using a relatively broad mix of instruments featuring both established and innovative elements. The mix worked well in combining top-down and bottom-up approaches in climate policy-making. Given the limited resources, the project was right to focus mainly on front-runner localities. However, real policy instruments were lacking. A risk of focusing on the policy level is that policy goals are duplicated rather than expanded, e.g. in the area of renewable energy promotion (Int_7, 22).
As argued in the project proposal, the project design deliberately involved a broad partner structure, since it has been shown in the past that this can reduce conflict in decision-making processes. It seems plausible that this was also beneficial for PAKLIM III, even if the activities with the individual ministries often took place in isolation, i.e. without stronger involvement of multiple ministries or agencies. As noted earlier in this evaluation, activities could have been steered more towards climate-policy coherence. There was some disagreement among interview partners as to whether BAPPENAS was the right key partner to push climate policy in Indonesia. Competencies, for example, have partly shifted to the Coordinating Ministry for Maritime and Investment Affairs, which now coordinates the MoEMR and KLHK, among others (Presidential Regulations (Perpres) 92/2019). Generally, processes and decision-making power seems to have shifted to line ministries.

Furthermore, BAPPENAS has no formal authority to guide the subnational project partners, the BAPPEDAs, which are, instead, under the authority of the Ministry of Home Affairs (MoHA). Nevertheless, the decisive two-pronged role of BAPPENAS in the context of the planned project outcome cannot be ignored: first, BAPPENAS has the power ultimately to define budget allocations within the government; second, through the Environment Directorate, it is willing and able to draw the important connection between budgeting, climate change and development planning. Finally, BAPPENAS can be considered a more effective channel to the subnational level than MoHA given its strong sectoral expertise and good working relationship with the subnational level (Int_7, 11, 20, 25).
The time may not have been right during PAKLIM III to integrate KLHK further into the project activities, given past tensions between it and BAPPENAS (Chrysolite et al, 2020). The same applies to the Directorate General of Climate Change – the lead agency for the development and implementation of climate policy in Indonesia, which is housed within KLHK (Climate Analytics and New Climate Institute, 2019). Future climate policy interventions as part of German international cooperation in the country may be more successful in finding common ground on which to enhance climate policy efficiency. In summary, the evaluation team concluded that that the project established its partner structure efficiently, taking into account the working relations established during the predecessor projects.

The choice of topics would have benefited from being more focused. It was probably right from a risk-mitigation perspective to be open to different topics at the beginning of the project. For certain activities, however – notably desired achievements 2 (Sustainable public procurement towards sustainable consumption and

production) and 9 (Energy efficiency standards in buildings with the MoEMR) – it is questionable whether efforts could have been directed more efficiently and effectively towards the project outcome – also considering that other GIZ programmes were working on the topic (Advance SCP and Advance SCP II on sustainable consumption and production). This might also have helped free up more time and money resources for activities to support desired achievement 12 (Economic climate-related instruments with the MoF and the MoI). Building capacities to implement those instruments would have been more relevant than merely mapping environmental economic instruments to identify priorities for the MoF.

Photo 2: Thinking and planning outside the box: Multi-stakeholder reflection activity on GHG mitigation action planning

Source: Dwi Chandra

Finally, regarding partner structure and topics, the project might alternatively have redirected its efforts more towards sectors and ministries that are more relevant from the perspective of emissions and current climate-change mitigation budgets (as indicated in Figures 5, 6 and 7 in section 4.2). The Ministry of Transportation was one such candidate and was actually envisaged as a policy partner by the project, but joint activities could not ultimately be arranged.

Other questions asked as part of the assessment of this dimension were: to what extent could more results be achieved through synergies with and/or by leveraging more resources with the help of other bilateral and multilateral donors and organisations; and was the relationship between costs and results appropriate? The project tried to reap cost synergies, in particular by teaming up with other GIZ projects, such as the joint workshops held with the VICLIM (Vertically Integrated Climate Policies) project. In general, VICLIM and PAKLIM were seen as complementary (Int_10). A similar example is the series of workshops held on MER online with USAID and others. As noted earlier, the scalability of activities was duly considered, with the conclusion that the ample contribution by the partner allowed activities to be scaled up. Synergies and opportunities for coordination with other donors were sufficiently exploited, but the evaluation team was unable to identify particular examples of good practice in this regard.

To conclude, the evaluation team rates the allocation efficiency of the project positively, with a score of 25 out of 30 points.

4.6 Sustainability

Table 21: Rating of OECD/DAC criterion: sustainability

Criterion	Assessment dimension	Score and rating
Sustainability	Capacities of the beneficiaries and stakeholders	39 out of 50 points
	Durability of results over time	37 out of 50 points
Overall score and rating		Score: **76 out of 100 points** Rating: moderately successful

In assessing both dimensions, the evaluation team focused on institutional sustainability, but also took into account aspects of financial, ecological, social and technological sustainability. Institutional sustainability means that processes are relatively fixed, tested and recognised within and across partner structures, e.g. in the form of mechanisms for systematic exchange among organisations, and the associated knowledge held and effectively applied by the relevant staff members. But therein lies the challenge of assessing sustainability: processes are often no longer recognised after shifts in political power, and high staff turnover leads to knowledge drain, both of which situations significantly affect sustainability, but neither of which are easily assessed.

Analysis and assessment of sustainability

Sustainability dimension 1: Capacities of the beneficiaries and stakeholders

A criticism of the evaluation of the predecessor project was that PAKLIM II invested a relatively large amount of resources into developing the capacities of individual actors and relatively few into capacity development at organisational level, or into establishing systematic mechanisms of exchange among organisations (GIZ, 2017). Consequently, PAKLIM III developed a more comprehensive capacity development strategy, as outlined in section 4.3. As a result, resources and capacities were strengthened at the individual, organisational and societal/political levels in the partner country. There are signs of broader shifts in mentality and policy practice among some of the policy partners involved in the project. Interviewees from both the national and subnational levels noted that the project activities and advice enhanced ownership and youth empowerment, improved their communication strategies, including the articulation and understanding of climate change, helped them in their efforts to stop thinking and working in ‘silos’, and strengthened local development planning and policy analysis capacity (Int_6, 17 and 24; Int_3, 10, 12, 16 and 26 with partner organisations). In a number of areas, however, as previously noted, the contributions at organisational level and at the level of the institutional environment have not yet exceeded critical milestones (e.g. the implementation of climate-change mitigation actions, MRV, sustainable public procurement and gender-aware budgeting). Consequently, firm institutional anchoring could not always be guaranteed.

It was already evident, shortly after the project ended, that staff turnover, specifically, inhibited results anchoring. By July 2020, four months after the project concluded, just two junior officers out of the original 11 staff members of the RAN-GRK Secretariat were still working for the newly formed LCDI Secretariat. A turnover of this magnitude affects capacity development not just at the individual level but also at the organisational level. In practical terms, the Secretariat feels incapable of following up the memoranda of understanding on low-carbon development established with seven provinces and developed with the support of PAKLIM. It is only of small comfort that the people who move on carry the spirit of the endeavour with them, as remarked by one interviewee (Int_12 with partner organisations). In this instance, there was a lack of staff in the critical phase after the merger into the LCDI Secretariat to perpetuate the legacy of the RAN-GRK-PAKLIM collaboration. Given that one PAKLIM staff member was very much involved in senior activities of the secretariat, the project would have had to work more intensively on a transition management at least for this

position.[12] Therefore, a key strategic element of the project – the long-term support of the RAN-GRK Secretariat – may fail to become firmly anchored in the Indonesian climate-policy landscape.

This leads to another pertinent question examined as part of the assessment of this dimension: whether the project developed and implemented an appropriate exit strategy. To provide some context, during a working visit to Germany in 2016 President Joko Widodo agreed with German Chancellor Angela Merkel to refocus bilateral cooperation on vocational education. These shifting priorities may have contributed to the decision to continue PAKLIM with a much smaller budget of EUR 3 million compared with EUR 13.75 million for PAKLIM II. It did contribute to the decision not to embark on a fourth project phase, which was only taken after PAKLIM III had already started. As a result, PAKLIM III had to serve as a phasing-out period or exit strategy for PAKLIM. In that case, one would have expected consolidating activities, a leaner project design and fewer new activities in the last months of the project phase.

BAPPENAS approached BMZ to fund yet another PAKLIM transition phase, again with a considerably reduced budget, and focusing on LCD implementation. While this can be seen as an effective way to reap the benefits of the results prepared by PAKLIM, it also shows that PAKLIM III, in itself, was unable to leave behind sustainably anchored results in the first place. In conclusion, the evaluation team notes a good initial strategy for anchoring results in the partner system, based on a comprehensive and well-appreciated capacity development strategy. For reasons both within and outside the sphere of influence of the project – including a set of activities that was too diverse – the overall project approach yielded only imperfect results in terms of anchoring and lacked consolidating activities. This is reflected in a score of 39 out of 50 points.

Sustainability dimension 2: Durability of results over time

The evaluation assessed the degree to which those results that were anchored are expected to be durable, stable and resilient in the long term under the given conditions.

The experience at the time of the stakeholder interviews, in mid-2020, may not be a good early indicator of durability, given the conditions created by the Covid-19 pandemic: many processes were stalled, ministerial staff had other short-term priorities, budgets were constrained and personal interaction had to be minimised, which affected, among other things, opportunities for upscaling and for organising dissemination workshops and climate-change awareness activities at local level (Int_5, 6; Int_10, 18, 19 with partner organisations). It remains to be seen whether the pandemic will also affect mid-term priorities and activities, and thus alter the ‘given conditions’.

That being said, a number of results are likely to contribute to longer-term processes related to climate policy in Indonesia. Regarding outcome 1 (measures to support climate-change mitigation action plans), the two measures at the national level (refuse-derived fuel and sustainable public procurement towards sustainable consumption and production) supported the preparation of instruments that will likely continue to be used, even though a few more decisive steps are required if they are to make an actual climate contribution (reduction in GHG emissions).

The three measures at subnational level mostly used innovative approaches to produce results that were less tangible, i.e. communication strategies, multi-stakeholder exchanges and awareness campaigns. Local actors have been encouraged and supported to carry forward activities at local level, e.g. via the activities in support of children’s rights under GENSALIM (Generasi Sadar Iklim/Climate-Aware Generation).

[12] The project did an effort to fill the position, but no appropriate candidate could be found.

Photo 3: Climate strike organised by GENSALIM in Malang City with the slogan ‘Together with the GENSALIM ambassadors of Malang City create a clean, child-friendly and plastic-free city’.

Source: EQuIC

Regarding outcome 2, mainstreaming activities supported by the project helped integrate planning tools into medium-term development planning, namely strategic environmental assessments and subnational action plans. The evaluation team is not in a position to estimate the degree to which the tools will be maintained in light of the given resource constraints. Nevertheless, it remains to be seen what results, in terms of climate-change mitigation actions, will be achieved and sustainably implemented. Interview partners frequently highlighted the lack of actionable policy instruments and implementation capacities (Int_7, 11, 22, 28; Int_1, 8 with partner organisations), neither of which was tackled by the project.

Regarding outcome 3 (NDC-related sector plans or programmes), the long-term support provided to the cement industry seems to have enabled it to implement effective MRV processes, even in the absence of regulations to firmly institutionalise them. The revision of energy-efficiency standards was a standard process, with little risk in terms of durability.

Similar to outcome 1, outcomes 4 and 5 (fiscal-policy climate-finance instruments and gender mainstreaming in climate action plans) yielded strategy papers that will be used in future policy processes. Climate-relevant results are, however, not yet foreseeable.

The evaluation team could not identify any notable measures by the project to counteract risks or exploit potential for improving the sustainability of the results.

While some gradual steps towards better climate policy were identified that are likely to be sustainable, the overall outlook for sustainability of the results is modest, reflected in the score of 37 out of 50 points.

4.7 Key results and overall rating

This section briefly recapitulates the key results of the previous subsections in order to arrive at an overall success rating for the project.

The evaluation team considers the **relevance** criterion as successfully met. The project design was in line with the relevant strategic reference frameworks thanks to the broad portfolio of project activities, which encompassed the waste, energy, finance, procurement, education and construction sectors, and the fact that it addressed the macro, meso and micro policy levels. Indonesia’s key sectoral and climate-policy strategies, which are extensively spelled out in a number of policy documents, were duly considered. The project also

sufficiently matched the priorities of bilateral cooperation, as it has links to two of the three focal areas, namely energy and environmental protection. That being said, a more focused portfolio would probably have helped ensure more activities were conducted in a more coordinated, cross-sectoral way, rather than individually in the different sectors. Moreover, the targeted sectors are not key sources of greenhouse-gas emissions in Indonesia and the partner ministries are not key recipients of national climate-change mitigation funds, and thus are not the focus of current climate policy in the country. The sectors are, instead, addressed by contemporaneous, more implementation-oriented GIZ projects.

A similar level of success was achieved in terms of project **effectiveness**. The agreed project outputs and outcomes were predominantly achieved according to the output and outcome indicators underlying the project. Some progress was achieved along the main axes of the project's results model. The main hypotheses assessed were H1 and H2, relating to whether the design and implementation of activities effectively strengthened climate policy capacities and whether this was translated into concrete measures and strategies. These hypotheses can be partly confirmed in light of project results: even though activities could have been designed to involve clearer links to climate-change mitigation and policy, the capacities of policy partners in terms of climate policy-making and coordination were strengthened. Strategies could have been developed further, but they remain partly in draft form and are still awaiting translation into more concrete climate-change mitigation measures. The multiplicity of objectives, as well as inherent sector challenges, made it difficult to overcome key obstacles and achieve the necessary depth of cooperation to make substantial contributions to achieving the project objective fully. Notable achievements and contributions include the mainstreaming of low-carbon development planning under the new medium-term development plan for the period 2020 to 2024 and a capacity development strategy using a broad set of techniques and involving a mix of skills. The project also succeeded in mitigating the risks to project execution.

In the absence of defined **impact** indicators for the project, the evaluation team assessed potential overarching development results qualitatively. These reflected the BMZ/DAC policy-markers and the SDGs addressed by the project. Impact can generally not yet be observed for any relevant dimension. However, a plausible link was able to be made to the key dimension of GHG reductions. The main hypotheses underlying the project logic at impact level were that the project activities and results would lead to improved coordination among climate-relevant ministries and authorities of the subnational governments (H4) and that this would be sufficient to counteract growth-induced emission increases (H5). Regarding hypothesis H4, the evaluation team concluded that the project contributed sufficiently to the intermediate impact of improved climate policy-making and coordination, particularly in the form of its support to the RAN-GRK (now LCDI) Secretariat and via its multi-level approach. In this context, it can also be said that the project appropriately adapted and used or contributed to innovative mechanisms. Considering the hesitant implementation of climate-change mitigation measures and the small contribution to overall GHG emissions by the sectors affected by the project, hypothesis H5 remains doubtful. In conclusion, the impact criterion was rated as moderately successful.

The project deserves most credit for its **efficiency**. The project stayed well within budget, thanks to continuous monitoring of cost/output relationships and realistic resource management, including sensible staff assignments. The evaluation team further concluded that the actual use of resources at output level was efficient, also when contrasted with potential alternative approaches. The more strategic assessment of costs compared with intended project outcomes yielded a similarly positive verdict. The choice of topics could have been more focused, and the partner structure could have included more actors that were more relevant from the perspective of emissions and current climate-change mitigation budgets. Nevertheless, overall, the project was efficient in terms of its geographic scale, instruments and topics adopted, and partnership frameworks.

In terms of **sustainability**, PAKLIM III can be said to have learned from the deficient capacity development strategy adopted in PAKLIM II. However, while a more comprehensive strategy was adopted for this project, that strategy did not make it immune to the classic sustainability problems of policy advisory interventions. Also, given the lack of clearer exit-strategy elements, the project yielded only imperfect results in terms of

anchoring. In particular, the long-term support of the RAN-GRK Secretariat – a key strategic element of the project – risks not becoming firmly anchored in the Indonesian climate-policy landscape. As a consequence of imperfect anchoring and rather poor links to tangible climate-relevant results, such as GHG emissions reductions, the outlook for the sustainability of the results is rated as only 'moderately successful', even though some gradual steps towards better climate policy were identified.

In conclusion, the evaluation team's **overall rating** of PAKLIM III as a climate policy advice project is 'successful'. The following section looks in more detail at success factors, challenges and related recommendations.

Table 22: Summary of assessments of all OECD/DAC criteria

Evaluation criterion	**Score**	**Rating**
Relevance	83 out of 100 points	successful
Effectiveness	83 out of 100 points	successful
Impact	80 out of 100 points	moderately successful
Efficiency	92 out of 100 points	highly successful
Sustainability	76 out of 100 points	moderately successful
Overall score and rating for all criteria	**83 out of 100 points**	**successful**

Note: The overall score is calculated as the average score for all five criteria

5 Conclusions and recommendations

The main lessons learnt from the international cooperation project PAKLIM are formulated as the project's strengths and weaknesses (section 5.1) and as key recommendations for stakeholders within GIZ and among its project partners (section 5.2).

5.1 Factors of success or failure

This section summarises key results in terms of strengths and weakness according to the five success factors of the GIZ management model for sustainable development Capacity WORKS (see panel) and taking into account factors within and outside of the project's sphere of influence and responsibility.

Strategy

Strengths: Towards the end of the predecessor project, PAKLIM II, there was a certain risk of alienation between the project and its key partner, BAPPENAS, which was exacerbated by the prospect of a much smaller budget for PAKLIM III, compared with that of its predecessor. The project successfully managed the transition from PAKLIM II to PAKLIM III by focusing more resources on the work with BAPPENAS, by enhancing joint project management with BAPPENAS and, more generally, by building trust through, among other things, a demand-driven and evolutionary project strategy.

Weaknesses: The reduced scope of PAKLIM III made it feel like the phasing-out period of PAKLIM. In this regard, the project's exit strategy was deficient. The project failed to integrate more consolidating activities into its portfolio, and consolidation was further hampered by the project's overly complex design and the introduction of too many new activities extending into the final months of the project phase.

Cooperation

Strengths/weaknesses: In its interaction with partner organisations, PAKLIM III was able to capitalise on the project's long-standing presence and experience in the Indonesian climate-policy arena. This clearly facilitated the work with BAPPENAS and the Ministry of Industry. However, the limited success in involving new partner ministries (Finance and Energy and Mineral Resources) highlighted that cooperation experience does not necessarily mean cooperation with other ministries with different organisational cultures will happen seamlessly.

The Capacity WORKS success factors

Strategy
Which options exist for results achievement? How can the agreement process involving all relevant partners strategically be shaped?

Cooperation
How can people and organisations be linked to facilitate the relevant change? How can it be made clear to all partners that they must mutually depend on each other if they wish to achieve results?

Steering structure
How can a structure be provided that enables decision-making about resources, strategy, planning, coordination, conflict resolution and monitoring?

Processes
What are the key processes in the sector with which to achieve results and do they need to be adjusted or do new ones need to be established? Which internal project management processes should be chosen?

Learning and innovation
Who must learn what and on which level in order to achieve the desired results? How can it be ensured that capacities in the intervention sectors and localities continue to be available after project end?

Source: adapted from EUKI Academy (2018)

Steering structure

Strengths and weaknesses: Inter-ministerial competition for policy influence is common everywhere, not least in the case of this project, in which BAPPENAS and the Ministry of Environment and Forestry (KLHK) were following partly different strategies regarding climate policy. The project mainly involved BAPPENAS in project management, while interaction with KLHK was rather indirect and mostly via other GIZ projects. While this affected the steering and effectiveness of project activities to some extent, at the same time it contributed to smooth implementation of the project and enhanced cooperation between the ministries.

Processes

Strengths: The project continuously tracked progress in results achievement, adhering closely to its results matrix to structure its activities. These project progress-monitoring processes helped maintain strategic focus and reflected realistic resource management.

Weaknesses: Instead of limiting itself to key processes in the sector with which to achieve the overarching project results, the project engaged in too many unconnected and overly detailed processes, and some minor processes, driven, in part, by overly detailed and fragmented results indicators. This made it more difficult to achieve the necessary depth of cooperation and to contribute to overcoming key obstacles.

Learning and innovation

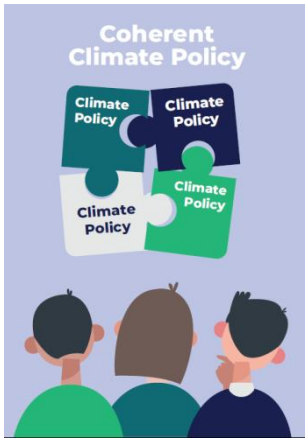
Strengths: While the initial plan was to focus on the national and provincial levels only, PAKLIM successfully advocated for the additional inclusion of the city level. This multi-level approach helped enhance learning at the appropriate policy level (e.g. waste at the local/city level, energy at the higher levels). Provinces were further broken down into pilot provinces as key project partners and selected other provinces, where limited upscaling of activities took place, to disseminate the lessons learnt from pilot localities.

Weaknesses: Shortly after project end, the project's key partner at operational level, the RAN-GRK Secretariat, underwent a significant reorganisation and major staff changes. This affected the sustainability of capacities at individual and organisational levels just as the low-carbon development strategy was beginning to be implemented, further substantiating the need for a well-considered exit strategy.

5.2 Recommendations

The following recommendations focus on the outputs, approaches and deliverables generated by PAKLIM III that can be carried forward by other German international cooperation projects in Indonesia, to enhance a coherent climate policy.

Figure 11: The quest for coherent climate policy



Source: PAKLIM III promotional material

A first recommendation for GIZ and BAPPENAS relates to a potential follow-on budget from BMZ to fund additional project transition activities implemented by BAPPENAS. This seems a pragmatic and low-cost solution within the partner system to make up for activities that could not be conducted during the PAKLIM III project period. It is recommended that GIZ engage with BMZ to determine the focus of activities and how they can be streamlined and oriented towards a sustainable management structure in order to avoid the lack of focus and exit strategy observed during PAKLIM III.

A follow-up project to Strengthening Climate Governance of Indonesia for Implementing the Paris Agreement (CliGov) is being considered for 2021, which is the most likely German international cooperation project to take up the results and instruments of PAKLIM III, especially considering that both KLHK and BAPPENAS are supposed to be its partners. If this has not already been done, an explicit strategy should be defined and there should be exchanges among stakeholders on how

to take up the learning and approaches from PAKLIM III. At the same time, there is consensus that it is time to move on and combine climate policy formulation with concrete and visible climate-change mitigation action. While interface projects such as CliGov are a good way to streamline activities and enhance their continuity and lessons, German international cooperation itself would benefit from improved coordination, which goes beyond merely organising or jointly funding workshops and experts to capitalise on the strengths of different activities.

BAPPENAS and other Indonesian policy-makers are recommended to continue the main strands of capacity development and climate policy that began to be developed during the collaboration with PAKLIM. This is related to evidence-based low-carbon development planning and involves continuing to strengthen capacity for assessing the strengths and weaknesses of different mitigation options, including their economic, environmental and social impacts. As a basis for such an assessment of the effectiveness of climate policies, efforts to improve the quality of GHG emissions data, both sectoral and provincial, should continue.

Climate finance instruments addressed by PAKLIM involve both the (re)financing of climate finance and the funding of climate policies. On the one hand, green Sukuk should be further developed, in order to maintain the competitive edge in the international green-bonds market. This could be achieved by increasing the additionality of the underlying projects in terms of climate-change mitigation, while keeping the instrument manageable from an administrative and monitoring perspective. On the other hand, early lessons from the initial experience with fiscal instruments should be developed, to enhance climate-change mitigation by focusing on a few market-based instruments with simple, clear and predictable incentive structures.

More generally, it is recommended that climate-change mitigation action plans actually be implemented, rather than entering into a loop of fine-tuning and revising existing plans. For that purpose, it is important to ensure that the long-term goals are broken down into short-term goals and that the responsibilities among actors are clear.[13]

[13] Note that some of these recommendations are similarly formulated and further elaborated in OECD (2019).

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Annex: Evaluation matrix

OECD-DAC Criterion RELEVANCE

Assessment dimensions	Evaluation questions	Evaluation indicators	Data collection methods	Data sources	Evidence strength
The project concept is in line with the relevant strategic reference frameworks. Max. 30 points	Which strategic reference frameworks exist for the project? (e.g. national strategies incl. national implementation strategy for 2030 agenda, regional and international strategies, sectoral, cross-sectoral change strategies, if bilateral project especially partner strategies, internal analysis frameworks e.g. safeguards and gender)	- (contributing to following indicator)	interviews, documents	Documents: relevant strategic reference frameworks outlined in Table 5, project concept documents; Interviews: policy partners	strong
	To what extent is the project concept in line with the relevant strategic reference frameworks?	The project concept is in line with relevant strategic reference frameworks outlined in Table 5	interviews, documents	see above	good
	To what extent are the interactions (synergies/trade-offs) of the intervention with other sectors reflected in the project concept – also regarding the sustainability dimensions (ecological, economic and social)?	The project concept does not miss to reflect critical interactions (synergies/trade-offs) of the intervention with other sectors (if any)	interviews, documents	Documents: project concept documents; Interviews: policy partners	moderate
	To what extent is the project concept in line with the Development Cooperation (DC) programme (If applicable), the BMZ country strategy and BMZ sectoral concepts?	The project concept is in line with the BMZ country strategy	interviews, documents	Documents: BMZ country strategy, project concept documents; Interviews: donors	strong
	To what extend is the project concept in line with the (national) objectives of the 2030 agenda? To which Sustainable Development Goals (SDG) is the project supposed to contribute?	The project concept is in line with the implementation principles of the 2030 agenda and geared to contribute to SDG 13 - and to a lesser degree to SDGs 5, 7,11,12, and 17	documents	Documents: 2030 agenda, project concept documents; Interviews: -	strong
	To what extend is the project concept subsidiary to partner efforts or efforts of other relevant organisatons (subsidiarity and complementarity)?	The project concept is geared to subsidiarity and complementarity to partner efforts	interviews, documents	Documents: project concept documents, capacity development strategy; Interviews: policy partners, GIZ	good
The project concept matches the needs of the target group(s). Max. 30 points	To what extent is the chosen project concept geared to the core problems and needs of the target group(s)?	The project concept is geared to the core problems and needs of the direct and indirect target group (see The Project at a Glance)	interviews, documents	Documents: country background documents, project concept documents; Interviews: policy partners, final beneficiaries/ indirect target groups	good
	How are the different perspectives, needs and concerns of women and men represented in the project concept?	Potentially different perspectives, needs and concerns of women and men are appropriately represented in the project concept	interviews, documents	Documents: country background documents, project concept documents; Interviews: think tanks; GIZ	good
	To what extent was the project concept designed to reach particularly disadvantaged groups (LNOB principle, as foreseen in the Agenda 2030)? How were identified risks and potentials for human rights and gender aspects included into the project concept?	The project concept is in line with the LNOB principle	documents	Documents: 2030 agenda, project concept documents; Interviews: -	good
	To what extent are the intended impacts regarding the target group(s) realistic from todays perspective and the given resources (time, financial, partner capacities)?	Intended impacts are realistic from todays perspective - accounting for the given resources (time, financial, partner capacities)	documents	Documents: project concept documents; Interviews: -	good
The project concept is adequately designed to achieve the chosen project objective. Max. 20 points	Assessment of current results model and results hypotheses (theory of change) of actual project logic: - To what extent is the project objective realistic from todays perspective and the given resources (time, financial, partner capacities)? - To what extent are the activities, instruments and outputs adequately designed to achieve the project objective? - To what extent are the underlying results hypotheses of the project plausible? - To what extent is the chosen system boundary (sphere of responsibility) of the project (including partner) clearly defined and plausible? - Are potential influences of other donors/organisations outside of the project's sphere of responsibility adequately considered? - To what extent are the assumptions and risks for the project complete and plausibe?	The current results model appropriately reflects the logic of the project as well as underlying assumptions, risks and confounders	interviews, documents	Documents: project concept documents, project progress and M&E reports, capacity development strategy; Interviews: cross-cutting	good
	To what extent does the strategic orientation of the project address potential changes in its framework conditions?	The strategic orientation of the project is geared to cope with potential changes in framework conditions (if any)	documents	Documents: project concept documents; Interviews: -	good
	How is/was the complexity of the framework conditions and guidelines handled? How is/was any possible overloading dealt with and strategically focused?	The project appropriately coped with complexities in framework conditions and remained strategically focused	interviews, documents	Documents: project progress and M&E reports, capacity development strategy; Interviews: GIZ	good
The project concept was adapted to changes in line with requirements and re-adapted where applicable. Max. 20 points	What changes have occurred during project implementation? (e.g. local, national, international, sectoral, including state of the art of sectoral know-how)?	- (contributing to following indicator)	interviews, documents	Documents: project concept documents, project progress and M&E reports, capacity development strategy; Interviews: cross-cutting	good
	How were the changes dealt with regarding the project concept?	The project appropriately adjusted to changes that occured during project implementation (in any)	interviews, documents	Documents: cross-cutting; Interviews: cross-cutting	good

OECD-DAC Criterion EFFECTIVENESS

Assessment dimensions	Evaluation questions	Evaluation indicators	Data collection methods	Data sources	Evidence strength
The project achieved the objective (outcome) on time in accordance with the project objective indicators. Max. 40 points	To what extent has the agreed project obective (outcome) been achieved (or will be achieved until end of project), measured against the objective indicators? Are additional indicators needed to reflect the project objective adequately?	The agreed project objective (outcome) is achieved	interviews, documents	Documents: cross-cutting; Interviews: cross-cutting	good
	To what extent is it foreseeable that unachieved aspects of the project objective will be achieved during the current project term?	n/a	-	-	
The activities and outputs of the project contributed substantially to the project objective achievement (outcome). Max. 30 points	To what extent have the agreed project outputs been achieved (or will be achieved until the end of the project), measured against the output indicators? Are additional indicators needed to reflect the outputs adequately?	The agreed project outputs are achieved	interviews, documents	Documents: cross-cutting; Interviews: cross-cutting	good
	How does the project contribute via activities, instruments and outputs to the achievement of the project objective (outcome)? (contribution-analysis approach)	The project contributed via activities, instruments and outputs to the achievement of the project objective (outcome)	interviews, documents	Documents: cross-cutting; Interviews: cross-cutting	good
	Implementation strategy: Which factors in the implementation contribute successfully to or hinder the achievement of the project objective? (e.g. external factors, managerial setup of project and company, cooperation management)	- (contributing to previous indicator)	interviews, documents	Documents: cross-cutting; Interviews: cross-cutting	good
	What other/alternative factors contributed to the fact that the project objective was achieved or not achieved?	- (contributing to previous indicator)	interviews, documents	Documents: cross-cutting; Interviews: cross-cutting	good
	What would have happened without the project?	- (contributing to previous indicator)	interviews, documents	Documents: cross-cutting; Interviews: cross-cutting	good
No project-related (unintended) negative results have occurred – and if any negative results occured the project responded adequately. The occurrence of additional (not formally agreed) positive results has been monitored and additional opportunities for further positive results have been seized. Max. 30 points	Which (unintended) negative or (formally not agreed) positive results does the project produce at output and outcome level and why?	No foreseeable project-related (unintended) negative results at outcome level occurred	interviews, documents	Documents: cross-cutting; Interviews: cross-cutting	good
	How were risks and assumptions (see also GIZ Safeguards and Gender system) as well as (unintended) negative results at the output and outcome level assessed in the monitoring system (e.g. 'Kompass')? Were risks already known during the concept phase?	Risks, assumptions as well as (unintended) negative results at outcome level were appropriately monitored by the project No foreseeable risks at outcome level were unknown during the concept phase	interviews, documents, project monitoring system	Documents: cross-cutting; Interviews: GIZ	good
	What measures have been taken by the project to counteract the risks and (if applicable) occurred negative results? To what extent were these measures adequate?	Measures taken by the project to counteract the risks and occurred negative results at outcome level were appropriate (in any)	interviews, documents	Documents: cross-cutting; Interviews: cross-cutting	good
	To what extend were potential (not formally agreed) positive results at outcome level monitored and exploited?	Potential (not formally agreed) positive results at outcome level were monitored and exploited by the project (in any)	interviews, documents, project monitoring system	Documents: cross-cutting; Interviews: GIZ	good

OECD-DAC Criterion IMPACT

Assessment dimensions	Evaluation questions	Evaluation indicators	Data collection methods	Data sources	Evidence strength
The intended overarching development results have occurred or are foreseen (plausible reasons). Max. 40 points	To which overarching development results is the project supposed to contribute (cf. module and programme proposal with indicators/ identifiers if applicable, national strategy for implementing 2030 Agenda, SDGs)? Which of these intended results at the impact level can be observed or are plausible to be achieved in the future?	The proxy assessment criteria of Table 15 are rated positively	interviews, documents	Documents: cross-cutting; Interviews: cross-cutting	good
	Indirect target group and 'Leave No One Behind' (LNOB): Is there evidence of results achieved at indirect target group level/specific groups of population? To what extent have targeted marginalised groups (such as women, children, young people, elderly, people with disabilities, indigenous peoples, refugees, IDPs and migrants, people living with HIV/AIDS and the poorest of the poor) been reached?	The project appropriately reached marginalised groups	interviews, documents	Documents: cross-cutting; Interviews: cross-cutting	good
The project objective (outcome) of the project contributed to the occurred or foreseen overarching development results (impact). Max. 30 points	To what extent is it plausible that the results of the project on outcome level (project objective) contributed or will contribute to the overarching results? (contribution-analysis approach)	The project plausibly contributed to the overarching results	interviews, documents	Documents: cross-cutting; Interviews: cross-cutting	good
	What are the alternative explanations/factors for the overarching development results observed? (e.g. the activities of other stakeholders, other policies)	- (contributing to previous indicator)	interviews, documents	Documents: cross-cutting; Interviews: cross-cutting	good
	To what extent is the impact of the project positively or negatively influenced by framework conditions, other policy areas, strategies or interests (German ministries, bilateral and multilateral development partners)? How did the project react to this?	- (contributing to previous indicator)	interviews, documents	Documents: cross-cutting; Interviews: cross-cutting	good
	What would have happened without the project?	- (contributing to previous indicator)	interviews, documents	Documents: cross-cutting; Interviews: cross-cutting	good
	To what extent has the project made an active and systematic contribution to widespread impact and were scaling-up mechanisms applied (2)? If not, could there have been potential? Why was the potential not exploited? To what extent has the project made an innovative contribution (or a contribution to innovation)? Which innovations have been tested in different regional contexts? How are the innovations evaluated by which partners?	The project appropriately scaled and used or contributed to innovative mechanisms	interviews, documents	Documents: cross-cutting; Interviews: cross-cutting	good
No project-related (unintended) negative results at impact level have occurred – and if any negative results occured the project responded adequately. The occurrence of additional (not formally agreed) positive results at impact level has been monitored and additional opportunities for further positive results have been seized. Max. 30 points	Which (unintended) negative or (formally not agreed) positive results at impact level can be observed? Are there negative trade-offs between the ecological, economic and social dimensions (according to the three dimensions of sustainability in the Agenda 2030)? Were positive synergies between the three dimensions exploited?	No foreseeable project-related (unintended) negative results at impact level occurred Positive synergies between the three sustainability dimensions were exploited	interviews, documents	Documents: cross-cutting; Interviews: cross-cutting	moderate
	To what extent were risks of (unintended) results at the impact level assessed in the monitoring system (e.g. 'Kompass')? Were risks already known during the planning phase?	Risks of (unintended) negative results at impact level were appropriately monitored by the project No foreseeable risks at impact level were unknown during the concept phase	interviews, documents, project monitoring system	Documents: cross-cutting; Interviews: cross-cutting	good
	What measures have been taken by the project to avoid and counteract the risks/negative results/trade-offs (3)?	Measures taken by the project to avoid and counteract the risks, occurred negative results, and trade-offs at impact level were appropriate (in any)	interviews, documents	Documents: cross-cutting; Interviews: cross-cutting	good
	To what extent have the framework conditions played a role in regard to the negative results ? How did the project react to this?	- (contributing to previous indicator)	interviews, documents	Documents: cross-cutting; Interviews: cross-cutting	good
	To what extent were potential (not formally agreed) positive results and potential synergies between the ecological, economic and social dimensions monitored and exploited?	Potential (not formally agreed) positive results at impact level were monitored and exploited by the project (in any)	interviews, documents, project monitoring system	Documents: cross-cutting; Interviews: GIZ	good

OECD-DAC Criterion EFFICIENCY

Assessment dimensions	Evaluation questions	Evaluation indicators (pilot phase for indicators - only available in German so far)	Data collection methods	Data sources	Evidence strength
The project's use of resources is appropriate with regard to the outputs achieved. [Production efficiency: Resources/Outputs] Max. 70 points	To what extent are there deviations between the identified costs and the projected costs? What are the reasons for the identified deviation(s)?	Das Vorhaben steuert seine Ressourcen gemäß des geplanten Kostenplans (Kostenzeilen). Nur bei nachvollziehbarer Begründung erfolgen Abweichungen vom Kostenplan.	interviews, documents	Documents: cost data; Interviews: GIZ	good
	Focus: To what extent could the outputs have been maximised with the same amount of resources and under the same framework conditions and with the same or better quality (maximum principle)? (methodological minimum standard: Follow-the-money approach)	Das Vorhaben reflektiert, ob die vereinbarten Wirkungen mit den vorhandenen Mitteln erreicht werden können.	interviews, documents	Documents: cost data; Interviews: GIZ	moderate
		Das Vorhaben steuert seine Ressourcen gemäß der geplanten Kosten für die vereinbarten Leistungen (Outputs). Nur bei nachvollziehbarer Begründung erfolgen Abweichungen von den Kosten. Die übergreifenden Kosten des Vorhabens stehen in einem angemessen Verhältnis zu den Kosten für die Outputs. Die durch ZAS Aufschriebe erbrachten Leistungen haben einen nachvollziehbaren Mehrwert für die Erreichung der Outputs des Vorhabens.	interviews, documents	Documents: cost data; Interviews: GIZ	good
		Die übergreifenden Kosten des Vorhabens stehen in einem angemessen Verhältnis zu den Kosten für die Outputs.	interviews, documents	Documents: cost data; Interviews: GIZ	good
		Die durch ZAS Aufschriebe erbrachten Leistungen haben einen nachvollziehbaren Mehrwert für die Erreichung der Outputs des Vorhabens.	interviews, documents	Documents: cross-cutting; Interviews: cross-cutting	good
	Focus: To what extent could outputs have been maximised by reallocating resources between the outputs? (methodological minimum standard: Follow-the-money approach)	Das Vorhaben steuert seine Ressourcen, um andere Outputs schneller/ besser zu erreichen, wenn Outputs erreicht wurden bzw. diese nicht erreicht werden können (Schlussevaluierung).	interviews	Interviews: GIZ	good
	Were the output/resource ratio and alternatives carefully considered during the design and implementation process – and if so, how? (methodological minimum standard: Follow-the-money approach)	Das im Modulvorschlag vorgeschlagene Instrumentenkonzept konnte hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens gut realisiert werden.	interviews, documents	Documents: project proposal, project progress reports; Interviews: cross-cutting	good
		Die im Modulvorschlag vorgeschlagene Partnerkonstellation und die damit verbundenen Interventionsebenen konnte hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhaben gut realisiert werden.	interviews, documents	Documents: project proposal, project progress reports; Interviews: cross-cutting	good
		Der im Modulvorschlag vorgeschlagene thematische Zuschnitte für das Vorhaben konnte hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens gut realisiert werden.	interviews, documents	Documents: project proposal, project progress reports; Interviews: cross-cutting	good
		Die im Modulvorschlag beschriebenen Risiken sind hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens gut nachvollziehbar.	interviews, documents	Documents: project proposal, project progress reports; Interviews: cross-cutting	good
		Die im Modulvorschlag beschriebene Reichweite des Vorhabens (z.B. Regionen) konnte hinsichtlich der veranschlagten Kosten in Bezug auf die angestrebten Outputs des Vorhabens voll realisiert werden.	interviews, documents	Documents: project proposal, project progress reports; Interviews: cross-cutting	good
		Der im Modulvorschlag beschriebene Ansatz des Vorhabens hinsichtlich der zu erbringenden Outputs entspricht unter den gegebenen Rahmenbedingungen dem state-of-the-art.	documents	Documents: project proposal, project progress reports, contextual analyses	good
The project's use of resources is appropriate with regard to achieving the projects objective (outcome). [Allocation efficiency: Resources/ Outcome] Max. 30 points	To what extent could the outcome (project objective) have been maximised with the same amount of resources and the same or better quality (maximum principle)?	Das Vorhaben orientiert sich an internen oder externen Vergleichsgrößen, um seine Wirkungen kosteneffizient zu erreichen.	interviews, documents	Documents: project progress reports; Interviews: cross-cutting	good
	Were the outcome-resources ratio and alternatives carefully considered during the conception and implementation process – and if so, how? Were any scaling-up options considered?	Das Vorhaben steuert seine Ressourcen zwischen den Outputs, so dass die maximalen Wirkungen im Sinne des Modulziels erreicht werden.	interviews, documents	Documents: project progress reports; Interviews: GIZ	good
		Das im Modulvorschlag vorgeschlagene Instrumentenkonzept konnte hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens gut realisiert werden.	interviews, documents	Documents: project proposal, project progress reports; Interviews: cross-cutting	good
		Die im Modulvorschlag vorgeschlagene Partnerkonstellation und die damit verbundenen Interventionsebenen konnte hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhaben gut realisiert werden.	interviews, documents	Documents: project proposal, project progress reports; Interviews: cross-cutting	good
		Der im Modulvorschlag vorgeschlagene thematische Zuschnitte für das Vorhaben konnte hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens gut realisiert werden.	interviews, documents	Documents: project proposal, project progress reports; Interviews: cross-cutting	good
		Die im Modulvorschlag beschriebenen Risiken sind hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens gut nachvollziehbar.	interviews, documents	Documents: project proposal, project progress reports; Interviews: cross-cutting	good

Assessment dimensions	Evaluation questions	Evaluation indicators (pilot phase for indicators - only available in German so far)	Data collection methods	Data sources	Evidence strength
		Die im Modulvorschlag beschriebene Reichweite des Vorhabens (z.B. Regionen) konnte hinsichtlich der veranschlagten Kosten in Bezug auf das angestrebte Modulziel des Vorhabens voll realisiert werden.	interviews, documents	Documents: project proposal, project progress reports; Interviews: cross-cutting	good
		Der im Modulvorschlag beschriebene Ansatz des Vorhabens hinsichtlich des zu erbringenden Modulziels entspricht unter den gegebenen Rahmenbedingungen dem state-of-the-art.	documents	Documents: project proposal, project progress reports, contextual analyses	good
	To what extent were more results achieved through cooperation / synergies and/or leverage of more resources, with the help of other ministries, bilateral and multilateral donors and organisations (e.g. co-financing) and/or other GIZ projects? If so, was the relationship between costs and results appropriate or did it even improve efficiency?	Das Vorhaben unternimmt die notwendigen Schritte, um Synergien mit Interventionen anderer Geber auf der Wirkungsebene vollständig zu realisieren.	interviews, documents	Documents: cross-cutting; Interviews: cross-cutting	good
		Wirtschaftlichkeitsverluste durch unzureichende Koordinierung und Komplementarität zu Interventionen anderer Geber werden ausreichend vermieden.	interviews	Interviews: donors, GIZ, universities and think tanks	good
		Das Vorhaben unternimmt die notwendigen Schritte, um Synergien innerhalb der deutschen EZ vollständig zu realisieren.	interviews	Interviews: donors, GIZ	good
		Wirtschaftlichkeitsverluste durch unzureichende Koordinierung und Komplementarität innerhalb der deutschen EZ werden ausreichend vermieden.	interviews	Interviews: donors, GIZ	good
		Die Kombifinanzierung hat zu einer signifikanten Ausweitung der Wirkungen geführt bzw. diese ist zu erwarten.	Interviews, documents	Documents: project progress reports; Interviews: policy partners, GIZ	good
		Durch die Kombifinanzierung sind die übergreifenden Kosten im Verhältnis zu den Gesamtkosten nicht überproportional gestiegen.	interviews	Interviews: GIZ	good
		Die Partnerbeiträge stehen in einem angemessenen Verhältnis zu den Kosten für die Outputs des Vorhabens.	documents	Documents: cost data, project progress reports	good

OECD-DAC Criterion SUSTAINABILITY

Assessment dimensions	Evaluation questions	Evaluation indicators	Data collection methods	Data sources	Evidence strength
Prerequisite for ensuring the long-term success of the project: Results are anchored in (partner) structures. Max. 50 points	What has the project done to ensure that the results can be sustained in the medium to long term by the partners themselves?	- (contributing to following indicators)	interviews, documents	Documents: cross-cutting; Interviews: cross-cutting	good
	In what way are advisory contents, approaches, methods or concepts of the project anchored/institutionalised in the (partner) system?	Advisory contents, approaches, methods or concepts of the project are anchored/institutionalised in the partner system	interviews, documents	Documents: cross-cutting; Interviews: cross-cutting	good
	To what extent are the results continuously used and/or further developed by the target group and/or implementing partners?	Results are expected to be continuously used and/or further developed by the target group and/or implementing partners	interviews, documents	Documents: cross-cutting; Interviews: cross-cutting	good
	To what extent are resources and capacities at the individual, organisational or societal/political level in the partner country available (long-term) to ensure the continuation of the results achieved?	Resources and capacities were strengthened at the individual, organisational and societal/political level in the partner country	interviews, documents	Documents: cross-cutting; Interviews: cross-cutting	good
	If no follow-on measure exists: What is the project's exit strategy? How are lessons learnt for partners and GIZ prepared and documented?	The project developed and implemented an appropriate exit strategy	interviews	Interviews: cross-cutting	good
Forecast of durability: Results of the project are permanent, stable and long-term resilient. Max. 50 points	To what extent are the results of the project durable, stable and resilient in the long-term under the given conditions?	Results of the project are expected to be durable, stable and resilient in the long term under the given conditions	interviews, documents	Documents: cross-cutting; Interviews: cross-cutting	good
	What risks and potentials are emerging for the durability of the results and how likely are these factors to occur? What has the project done to reduce these risks?	Measures taken by the project to counteract the risks and exploit potentials for the durability of the results were appropriate (in any)	interviews, documents	Documents: cross-cutting; Interviews: cross-cutting	good

Additional Evaluation Questions

Assessment dimensions	Evaluation questions	Evaluation indicators	Data collection methods	Data sources	Evidence strength
Impact and sustainability	(Which of the intended impact of the predecessor project can (still/now) be observed?)	see more specific questions in Section 4.1 of the IR	interviews, documents	Documents contextual analyses; Interviews: project partners and beneficiaries of PAKLIM II	good
	(Which of the achieved results (output, outcome) from predecessor project can (still) be observed?	see more specific questions in Section 4.1 of the IR	interviews, documents	Documents contextual analyses; Interviews: project partners and beneficiaries of PAKLIM II	good
(durability) of predecessor project(s)	To what extent are these results of the predecessor project durable, stable and resilient in the long-term under the given conditions?	Results of the predecessor project are durable, stable and resilient in the long term under the given conditions	interviews	Interviews: project partners and beneficiaries of PAKLIM II	good
	In what way were results (contents, approaches, methods or concepts) anchored/institutionalised in the (partner) system?	Advisory contents, approaches, methods or concepts of the project were anchored/ institutionalised in the partner system	interviews	Interviews: project partners and beneficiaries of PAKLIM II	good
	How much does the current project build on the predecessor project(s)? Which aspects (including results) were used or integrated in the current project (phase)?	Learnings from PAKLIM II were integrated in PAKLIM III	interviews	Interviews: project partners of PAKLIM III, GIZ	good
	(How was dealt with changes in the project context (including transition phases between projects/phases)? Which important strategic decisions were made? What were the consequences?)	not applied			
	(Which factors of success and failure can be identified for the predecessor project(s)?)	- (contributing to previous indicators)	interviews	Interviews: project partners and beneficiaries of PAKLIM II	moderate
Additional evaluation questions	Which outputs, approaches and deliverables generated by PAKLIM III can be carried on by other German development projects in the country? How can this best be achieved?	-	interviews, documents	Documents: cross-cutting; Interviews: cross-cutting	

Note: An electronic version of the Matrix is available under Electronic Appendix 1

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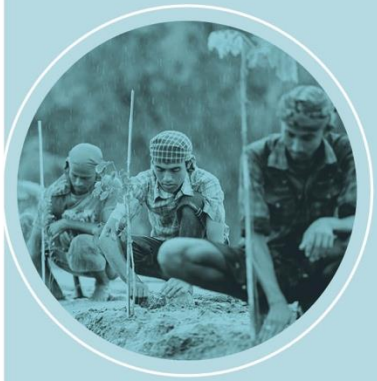

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