KNOWING WHAT WORKS

# Central project evaluation

## Forests and Climate Change (FORCLIME), Indonesia

## Project number 2015.2116.0

Evaluation Report

On behalf of GIZ by Kerstin Linne and Arief Darmawan (FAKT Consult for Management, Training and Technologies)

Published: August 2022

giz Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH

## Publication details

Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH is a federal enterprise and supports the German Federal Government in achieving its objectives in the fields of international education and international cooperation for sustainable development.

GIZ's Evaluation Unit reports directly to the Management Board. It is separate from GIZ's operational business. This organisational structure strengthens its independence. The unit is mandated to generate evidence-based results and recommendations for decision-making, to provide plausible verification of results and to increase the transparency of findings.

The Evaluation Unit commissioned external independent evaluators to conduct the evaluation. This evaluation report was written by these external evaluators. All opinions and assessments expressed in the report are those of the authors.


Evaluator/s:
Kerstin Linne and Arief Darmawan for FAKT Consult for Management, Training and Technologies

Author/s of the evaluation report:
Kerstin Linne and Arief Darmawan for

Consulting firm:
FAKT Consult for Management, Training and Technologies
Hackländerstraße 33
70184 Stuttgart
+49 (0)711 210950
fakt@fakt-consult.de
www.fakt-consult.de

Coordination and management:
Claudia Kornahrens, GIZ, Head of Section
Manuel Kern, GIZ, Evaluation Manager
Central Project Evaluation Section
GIZ Corporate Unit Evaluation

Responsible:
Albert Engel, GIZ, Director
GIZ Corporate Unit Evaluation



Editing:
International Correspondents in Education (ICE)

Published by:
Deutsche Gesellschaft für
Internationale Zusammenarbeit (GIZ) GmbH

Registered offices:
Bonn and Eschborn
Friedrich-Ebert-Allee 32 + 36
53113 Bonn, Germany
T: +49 228 44 60-0
F: +49 228 44 60-17 66
E: evaluierung@giz.de
I: www.giz.de/evaluierung

www.youtube.com/user/GIZonlineTV
www.facebook.com/gizprofile
https://twitter.com/giz_gmbh

Design/layout:
DITHO Design GmbH, Cologne

Printing and distribution:
GIZ, Bonn

Printed on 100% recycled paper, certified to Forest Stewardship Council (FSC) standards.

Bonn, August 2022

This publication can be downloaded as a PDF file from the GIZ website: www.giz.de/evaluierung

# Contents

## List of figures



## List of photos



## List of tables

## Abbreviations

| | |
|---|---|
| BAPPENAS | Ministry of National Development Planning |
| BDK | Regional training centre (Balai Diklat Kehutanan) |
| BMU | Federal Ministry for the Environment, Nuclear Safety and Nature Conservation |
| BMZ | German Federal Ministry for Economic Cooperation and Development |
| CEFET | Centre for Forestry Education and Training in Bogor |
| DC | Development Cooperation |
| ENSO | El Niño Southern Oscillation |
| FAO | Food and Agriculture Organization |
| FC | Financial Ccooperation |
| FCPF | Forest Carbon Partnership Facility |
| FGD | Focus Group Discussion |
| FMU | Forest Management Unit |
| FORCLIME | Forests and Climate Change |
| GCF | Green Climate Fund |
| GGGI | Global Green Growth Institute |
| GHG | Greenhouse gas |
| GIZ | Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH |
| HCD | Human Capacity Development |
| IKI | International Climate Initiative |
| IUCN | International Union for Conservation of Nature |
| KfW | Kreditanstalt für Wiederaufbau (German development bank) |
| M+E | Monitoring and evaluation |
| MAB | Man and Biosphere |
| MoEF | Ministry of Environment and Forestry |
| NDCs | Nationally Determined Contributions |
| NGO | Non-governmental organisation |
| OECD/ DAC | Organisation for Economic Co-operation and Development / Development Assistance Committee |
| PCA | Peace and Conflict Assessment |
| REDD+ | Reduced Emissions from Deforestation and Degradation |
| RENSTRA | Strategic National Forest Management Plan (Rencana Strategis Kementrian Kehutanan) |

| | |
|---|---|
| RKTN | National Long-Term Forest Action Plan (Rencana Kehutanan Tingkat Nasional) |
| SASCI | Sustainable Agricultural Supply Chains |
| SASCI+ | Sustainability and Value Added in Agricultural Supply Chains |
| SDGs | Sustainable Development Goals |
| SFM | Sustainable Forest Management |
| TC | Technical Cooperation |
| ToC | Theory of Change |
| UNESCO | United Nations Educational, Scientific and Cultural Organization |
| UNFCCC | United Nations Framework Convention on Climate Change |
| WWF | World Wildlife Fund for Nature |

## The project at a glance

Indonesia: Forests and Climate Change (FORCLIME)

| | |
|---|---|
| Project number | 2015.2116.0 |
| Creditor reporting system code(s) | 31210 - Forest policy and management (100%) |
| Project objective | The legal and institutional framework for sustainable forest management, biodiversity conservation and the reduction of greenhouse gas emissions from the forestry sector is improved. |
| Project term | November 2016 – December 2020 |
| Project value | EUR 11,940,000 |
| Commissioning party | German Federal Ministry for Economic Cooperation and Development (BMZ) |
| Lead executing agency | Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH |
| Implementing partner organisations (in the partner country) | Ministry of Environment and Forestry (MoEF): The Planning Bureau, Province level administration in East, West and North Kalimantan and Central Sulawesi; district-level administration in Berau, Kapuas Hulu, Malinau and Sigi; Centre for Forestry Education and Training (CEFET) in Bogor and the regional training centre (Balai Diklat Kehutanan, BDK) in Samarinda; the national secretariat for FMU development; the provincial forum for Forest Management Units (FMUs); provincial working groups on Reduced Emissions from Deforestation and Degradation (REDD+); as well as climate councils in the pilot provinces and districts, pilot FMUs and respective authorities for the Lore Lindu Biosphere Reserve of the United Nations Educational, Scientific and Cultural Organization (UNESCO). |
| Other development organisations involved | Kreditanstalt für Wiederaufbau (KfW, German development bank) |
| Target group(s) | • Direct target group: MoEF at all levels (district to national) and local government entities.<br>• Indirect target group (beneficiaries): rural population dependent on intact forests and the use of natural resources, specifically in the districts of Kapuas Hulu, Malinau, Berau and Sigi; private companies. |
| Development cooperation (DC) programme | Forests and Climate Change Programme (FORCLIME) |
| Implementing organisations of the DC programme | Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH, KfW |
| Organisation responsible for implementing and coordinating the DC programme | GIZ |

# 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 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. Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) structures the planning, implementation and use of evaluations so that the contribution the evaluation process and the evaluation findings make to these basic functions is optimised (GIZ, 2018a).

The project was selected by GIZ's Evaluation Unit for evaluation as part of a random sample drawn from GIZ projects. It was a final evaluation carried out at and after the end of the project term (December 2020), with an inception phase in November/December 2020 and an evaluation mission phase in April/May 2021. The evaluation aimed to record and substantiate project results (outputs, outcomes and impacts), to analyse steering processes, stakeholder relationships and the quality of service delivery and to explore links between results (hypotheses).

## 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 Organisation for Economic Co-operation and Development (OECD)/Development Assistance Committee (DAC) evaluation criteria (updated 2020) for international cooperation and the evaluation criteria for German bilateral cooperation (in German): **relevance, coherence, efficiency**, **effectiveness**, **impact** and **sustainability**.

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 well as 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. Throughout the inception phase, some staekeholders stated specific additional knowledge interests, as shown in Table 1.

Table 1: Knowledge interests by main evaluation stakeholder groups

| Evaluation stakeholder group | Knowledge interests in evaluation / additional evaluation questions | Relevant section in this report |
|---|---|---|
| Implementing agent | To what extent is the project work a priority for the political partner? | Included in Chapter 4.2 (relevance). |
| Donor | How did Financial Cooperation (FC) and Technical Cooperation (TC) collaborate?<br>How did the project help to ensure that deforestation continues to fall and does not settle at the current level?<br>How to motivate decision-makers to avoid 'unplanned' deforestation? | Included in Chapter 4.3 (coherence).<br>Included in chapters 4.5 and 4.7 (impact and sustainability).<br>Included in Chapter 5.3 (recommendations). |

# 2 Object of the evaluation

This chapter aims to define the evaluation object, including the Theory of Change (ToC), and results hypotheses.

## 2.1 Definition of the evaluation object

The object of the evaluation was the TC project Forests and Climate Change (FORCLIME, PN 2015.2116.0), which was implemented in Indonesia between November 2016 and December 2020 with a total budget of EUR 11,940,000. The project's target areas were in North, East and West Kalimantan as well as the Lore Lindu Biosphere Reserve in Central Sulawesi and partly in Papua.[1] Co-financing instruments were not included. The project had two predecessor projects:

- FORCLIME I (PN 2007.2135.7): 01/01/2009 – 31/12/2012, with a total budget of EUR 9,336,913 and a focus on policies, sustainable forest management (SFM) and biodiversity conservation in Borneo (East and West Kalimantan).
- FORCLIME II (PN 2012.2485.6): 01/01/2013 – 31/12/2016, with a total budget of EUR 14,811,500 and a focus on policies, Forest Management Units (FMUs) in the context of REDD+ and capacity building in East and, West Kalimantan and the newly established North Kalimantan / Malinau.

Furthermore, the follow-on project FORCLIME 4.0 (PN 2019.2125.3), with a project term from 1 January 2021 to 31 December 2023 and a total budget of EUR 5 million, started on 01/01/2021 with a focus on Central Sulawesi, Papua and West Papua. Neither the predecessor projects nor the follow-on project formed part of the OECD/DAC criteria assessment other than the considerations indicated in Chapter 1.2. With respect to the long-term impact and sustainability of predecessor projects, the evaluation focused on the most recent predecessor only: FORCLIME II (PN 2012.2485.6).

Together with a financial component provided by KfW, the project formed the FORCLIME programme, whose objective was as follows: 'The implementation of forest conservation and sustainable forest management strategies reduces climate-damaging emissions from the forest sector and improves the living conditions of the rural poor.' Neither the financial component nor the overarching FORCLIME programme formed part of the evaluation object.

**Project context:** Indonesia is one of the world's largest emitters of greenhouse gases (GHG) within the context of land use, land-use change and forestry (LULUCF), most of which come from deforestation and forest degradation. This is also threatening the country's rich biodiversity, even in designated protected areas. The main causes are unsustainable management practices, illegal logging, forest fires, conversion to oil palm plantations and mining. Limited state control mechanisms and a lack of incentives for forest protection and SFM are aggravating the situation. The Indonesian government wants to use the REDD+ mechanism created by the United Nations Framework Convention on Climate Change (UNFCCC) to value the climate change mitigation role played by Indonesian forests in the world's climate. The Recentralisation Act of 2014 (UU 23/2014), also referred to as 'Local Government (province and district) Act', initiated a comprehensive reform of responsibilities in the forest sector, which recentralised forestry administration from the district to the provincial

[1] Activities in Papua were based on an amendment of the implementation agreement and mandated by MoEF and BMZ. Activities were preparatory for the follow-on project and were intended to build relations, networks and a good understanding of the new intervention area for the follow-on project, as agreed upon in government negotiations.

government. As a result of this act, FMUs are administered by the provincial government. In October 2014, the Ministry of Environment and the Ministry of Forestry were merged to create the Ministry of Environment and Forestry (MoEF). This new ministry was required to restructure and take over the responsibilities of the dismantled REDD+ agency to implement the reforms, REDD+ structures and mechanisms. At project start, the planned transfer of responsibilities from the FMUs at district level to the FMUs under the provincial government, specifically the Forestry Service, in accordance with the Recentralisation Act, was in its infancy, and the newly appointed technical staff lacked the necessary competence and capacities. In this regard, the project operated in a **fragile context**. Access to and use of forest resources harboured potential for conflict. Typical conflicts concerned access rights to resources, land ownership or land-use rights, the distribution of income from the use of forest and non-forest areas, growing population pressure, increasing commercialisation of resources, forest fires and corruption. The prerequisites for improving the legal and institutional framework in the areas of SFM, biodiversity conservation and the reduction of GHG emissions from forestry had not been put in place, and were therefore not included in the focus of the project.

## 2.2 Results model including hypotheses

The objective of the project was: 'The legal and institutional framework for sustainable forest management, biodiversity conservation and the reduction of greenhouse gas emissions from the forestry sector is improved.' Project implementation focused on three main fields of action:

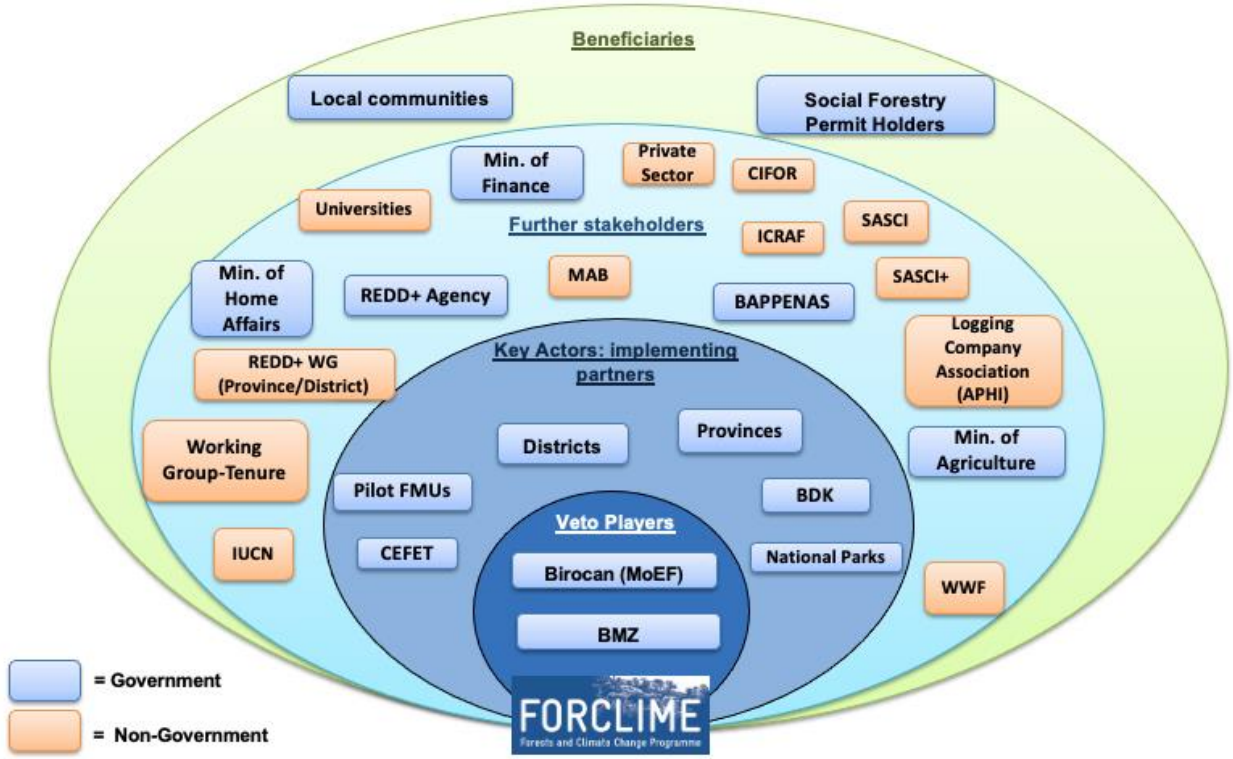
- **Field of action 1: 'Policy'**, which supported the development of legal requirements concerning SFM, especially climate protection, biodiversity conservation, poverty reduction, equal rights for women and conflict resolution.
- **Field of action 2: 'Forest Management'**, which supported selected FMUs, as the smallest organisational units, in the implementation of SFM and the development of models that could be transferred by the Indonesian government to the entire national forest area.
- **Field of action 3: 'Human Capacity Development' (HCD)**, which supported the transfer of the lacking capacities and competences among government and private-sector experts.

The project's capacity development focused on the technical staff of FMUs and other participating government institutions. It furthermore improved cooperation of the directorates responsible for forest and climate protection within MoEFand other ministries (organisational development). Developing capacities for SFM also formed part of this component, alongside the strengthening of partnerships with municipalities and non-governmental organisations (NGOs) for the implementation of community-based forest management (cooperation and networking in the sector). The project thus took a multi-level approach with activities at local, district, provincial and national level (project proposal (PP) 2015[2]). The project's **political partner** was MoEF and its respective entities at all these levels (see also Figure 1: FORCLIME stakeholder map). The **implementing partners** were the province-level administration in East, West and North Kalimantan and Central Sulawesi; the district-level administration in Berau, Kapuas Hulu, Malinau and Sigi; the Centre for Forestry Education and Training (CEFET) in Bogor and the regional training centre (Balai Diklat Kehutanan, BDK) in Samarinda; the national secretariat for FMUs; the provincial forums of FMUs; working groups on REDD+ in the provinces; pilot FMUs and the respective authorities for UNESCO's Lore Lindu Biosphere Reserve. Further **stakeholders** were the Man and Biosphere Programme (MAB), which was involved in activities in Lore Lindu National Park and the Kapuas Hulu Biosphere Reserve, other GIZ projects working towards the project's results such as Sustainable Agricultural Supply Chains (SASCI) and Sustainability and Value Added in Agricultural Supply Chains (SASCI+) and the Indonesian Ministry of National Development Planning (BAPPENAS). The project's **direct**

[2] The proposal was developed in 2015 and a change offer was submitted and accepted in 2018; content-wise, no changes were included in the change offer, but the project term was extended by one year and the indicators and budget were increased. Therefore, the 2015 proposal is referred to throughout this report as the basis for assessing content such as partner strategies.

**target group** was MoEF employees at all levels (local to national). The **indirect target groups** were communities dependent on intact forests and the use of natural resources, specifically in the districts of Kapuas Hulu, Malinau, Berau and Sigi, and private permit holders active in community forests and logging.

Figure 1: FORCLIME stakeholder map (12/2020, adapted during the inception mission based on project inputs)




The ToC was the central basis for the theory-based evaluation approach applied in this evaluation. It is essential for carrying out a contribution analysis and assessing all six OECD/DAC criteria. The ToC describes the cause-and-effect relationships assumed in the project context. These ultimately enable project outputs, outcomes and impacts to be delivered. Outputs describe the changes and conditions achieved by the project's activities, outcomes are the changes that occur as a consequence of the use of project outputs, impacts are the overarching development results and results are the intended or unintended (positive or negative) changes in a situation or behaviour as a direct or indirect consequence of the project.[3]

The project built on a ToC developed for the overarching FORCLIME programme in 2015, as well as a 'problem tree' that outlined the main drivers for and/or structural shortcomings enabling deforestation and a 'solution tree' on how to address these. A specific results matrix for the project was developed in 2016 and amended with a change offer in 2018. Figure 1 shows a graphic ToC as developed during the inception mission based on discussions with the project team.

The scope of the project included activities (e.g. A1-A3 in Figure 1), outputs (A4, B4 and C3 in Figure 1) and outcomes (O1–O5, resulting in ABC1 in Figure 1). The **system boundary** was drawn where the prerequisites for improving the legal and institutional framework for forest management, biodiversity protection and (GHG reduction were created (ABC1), thus feeding into desired impacts such as a strengthened role for MoEF in climate change mitigation (R2). The impact level shows how the project fed into the objective of the overarching programme (R1-7 in Figure 1, where R7 represents this programme objective).

[3] Definitions as per the Guidelines on Designing and Using a Results-based Monitoring System (GIZ, 2014a).

The above-mentioned fields of action were linked to the project's three outputs and related **hypotheses**:

- **Output A (Policy): drafts for improved regulations have been developed in line with a) national climate change objectives, b) principles of good governance in the forest sector, and c) biodiversity conservation objectives**. Central to achieving this output was the advice provided to MoEF on its Strategic National Forest Management Plan for 2020-2024 (Rencana Strategis Kementrian Kehutanan, RENSTRA) (A2), which offers a policy framework for the forest sector and revises the National Long-Term Forest Action Plan for 2011-2030 (Rencana Kehutanan Tingkat Nasional, RKTN). This, in turn, was designed to improve regulations to incorporate national climate change, biodiversity objectives and good governance principles (A4), thus leading to the inclusion of climate change and gender in strategic planning processes (O3) as one of the building blocks for an improved legal and institutional framework on SFM, biodiversity conservation and GHG reduction (ABC1). A strengthened role for MoEF (R2) was foreseen as an impact of the project activities, thereby ultimately leading to further GHG reductions from the forestry sector (R7).
- **Output B (FMU): experience from management of the pilot FMUs is widespread.** The basis of the project interventions under this output is the development of FMU management plans (B1). At project start in 2016, the Recentralisation Act had not yet been implemented. The capacities of FMUs were rather weak, yet they had to take on responsibility for managing the forest areas in their jurisdictional catchment areas. The aim of providing advice to FMUs (B3) was to generate experiences for dissemination (B4) to be incorporated into decrees (O4) and thus improve the legal and institutional framework for SFM, biodiversity conservation and GHG reduction (ABC1). Therefore, FMU management was expected to be consistent with SFM principles and national climate change mitigation targets (R1), thus supporting reduced forestry emissions (R7).
- **Output C (HCD): the conditions for capacity building of FMU staff have improved.** A needs assessment was conducted and training approaches and concepts were defined based on the results (C1). Building the capacity development strategy, as mentioned above, and fostering partnerships between the targeted FMUs and respective training institutions such as CEFET in Bogor and BDK in Samarinda aimed to institutionalise capacity-building measures (C2) and improve conditions for capacity-building measures for FMU staff (C3). Therefore, FMU staff members were expected to be able to apply new skills and knowledge (O5) and thus contribute to the development of an improved legal and institutional framework for SFM, biodiversity conservation and GHG reduction (ABC1) to strengthen the role of MoEF in climate change mitigation (R2), thereby leading to further GHG reductions from the forestry sector (R7).

The project thus built on interventions at different levels (from local to national) regarding policies (output 1), FMU management (output 2) and HCD (output 3) to lead to a favourable legal and institutional framework for SFM, biodiversity conservation and GHG reduction. The project was developed based on the **key underlying assumption** that MoEF would be willing to adopt and implement the results and lessons learned. Another underlying assumption was that the TC and FC modules would work together on the basis of common thematic areas such as REDD+ and community-based forest management.

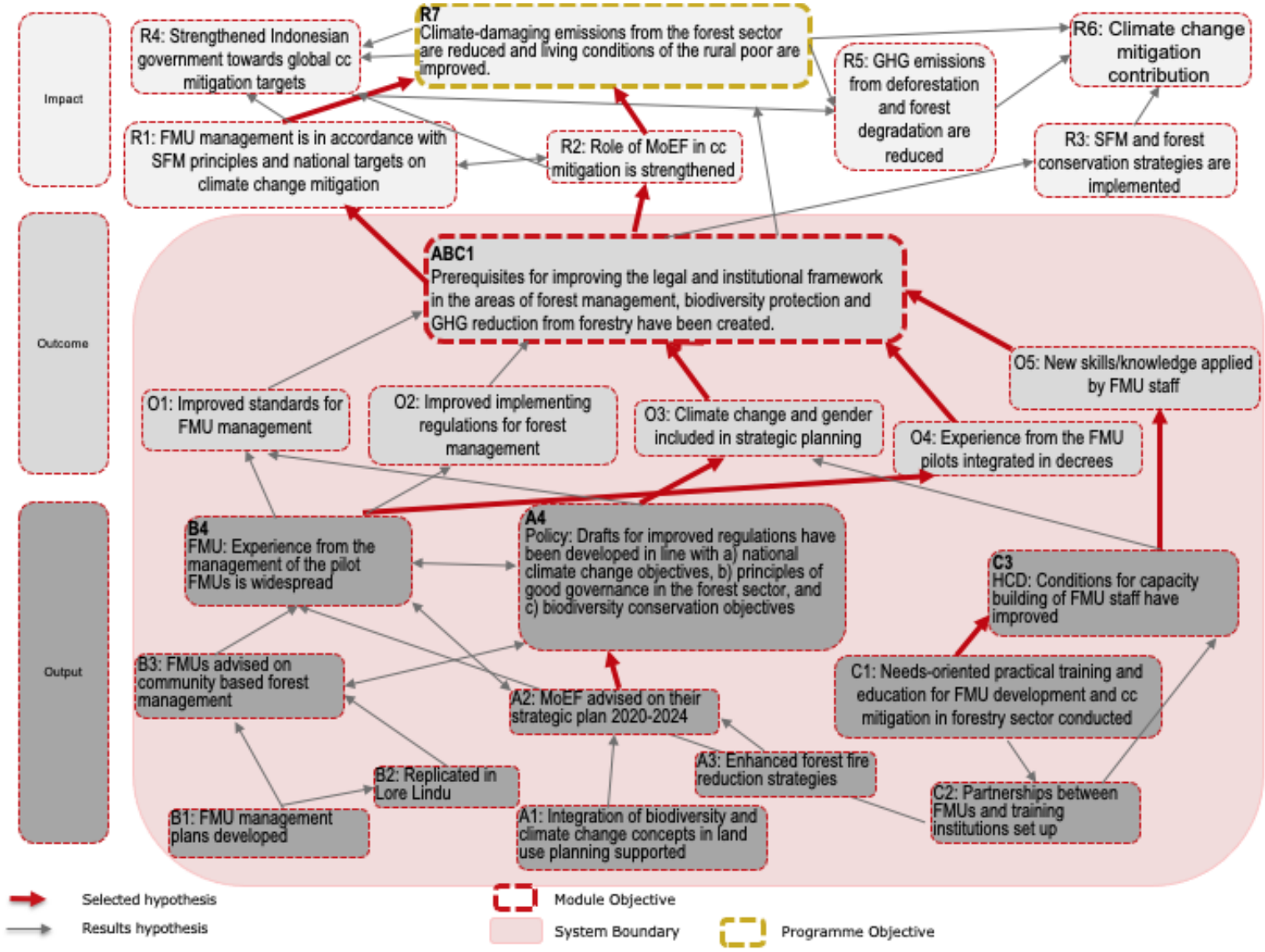
The project supported the following **Sustainable Development Goals** (SDGs): SDG 13 on taking urgent action to combat climate change and its impacts and SDG 15 on protecting, restoring and promoting sustainable use of terrestrial ecosystems, sustainably managing forests, combating desertification, and halting and reversing land degradation and halting biodiversity loss. In the long term, the project aimed to contribute to SDG 1 on reducing poverty, in this case among the people living in and from the forest, as well as SDG 17 on promoting global partnerships (PP2015). Indonesia made implementation of the SDGs a national priority. A Presidential Decree (59/2017) on SDG implementation led to the Indonesian Ministry of National Development Planning (BAPPENAS) to publish a strategic plan in 2019. Besides contributing to the SDGs, the project was designed to support participatory development / good governance (PD/GG marker: 1), environmental and resource

protection and ecological sustainability (UR marker: 2), climate change and GHG mitigation (KLM marker: 2), the Convention on Biological Diversity (BTR marker: 2) and rural development and food security (LE marker: 2) (PP2015).

The project was awarded a **Gender Equality** 1 marker, as gender mainstreaming was a particular objective in field of action 3 on HCD to provide woman with more opportunities to get involved in planning processes. In addition, local project activities included improving forest access and usage rights for women (PP2015). With measures for SFM and biodiversity conservation, conflict-sensitive issues of land distribution and land use were touched upon. In Kalimantan, the project's main focus area, conflict risks are ethnically, politically, geographically and culturally conditioned (Peace and Conflict Assessment, PCA). By respecting traditional land-use rights and promoting participation and dialogue among all stakeholders, particularly at local level, the project aimed to achieve conflict-reducing effects (PP2015, **Peace and Security** marker: 1). In Central Sulawesi, risks regarding governance, ethnic, religious and cultural aspects, and land / natural resources were identified in the project design. These related mostly to the improper use of government resources (corruption), the ongoing process of implementing the Recentralisation Act and unclear roles and responsibilities and communal differences between Muslim and Christian groups (PCA, see also Chapter 4.2).

The project design was amended in 2018. This amendment consisted of an extension to 31/12/2020 based on the fact that KfW's work package under the FORCLIME programme was extended to the end of 2020 (the original completion date was 31/12/2019). Furthermore, this extension implied a budget increase of EUR 3 million (the original budget was EUR 8,940,000) to maintain project structures for another year. The extension did not result in changes in the ToC, but the project's target values at indicator level were increased and preparatory project activities in Papua were added.

Figure 2: Current results model (12/2020), adapted during evaluation



# 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

This section covers the following aspects:

- availability of essential documents,
- monitoring and baseline data including partner data, and
- secondary data.

### Availability of essential documents

All relevant documents were available to the evaluators (see list of references). These included, for example, the project proposal from 2015, the change offer from 2018 and yearly progress reports. An evaluation did not take place during the project, so evaluation reports did not form part of the assessed documents. Where documents were available in either German or Bahasa only, the evaluators divided their assessment based on language skills (see Chapter 3.2).

### Monitoring and baseline data including partner data

The project applied the open recording of comparative perspectives of partners and target groups (KOMPASS procedure). Open discussions with partners and target groups were an integral task within the project's planning and monitoring process. For example, an interview campaign to collect perspectives of counterparts and target groups was conducted halfway through project implementation. In addition to the formal Project Steering Committee meetings, the management structure included quarterly meetings with the participation of counterparts and, in addition to normal quantitative monitoring, the monitoring and evaluation (M+E) manager conducted regular interviews with key project staff as an internal feedback mechanism (Interview (I)1, I36, I38).

According to project inputs (M+E data 12/2020 and M+E system input presentation), the project's results-based monitoring system and partner data covered the following (I1-6, I36, I38):

- An output-based activity tracker that summarised data in Excel format was used as the primary tool for monitoring. Each project officer was required to fill out an M+E form after completion of an activity. In addition, the M+E officer interviewed the project officers to ensure the form was filled out correctly and to capture additional data that might be relevant (e.g. for tracking impact). The activities were documented near completion of the respective activity.
- To monitor how the activities generated impact, further Excel-based data collection was conducted:
  - a community-based forestry tracker to keep track of the hectares assisted by the project,
  - regulation to keep track of additional activities required (which may not have been planned originally) to achieve the outputs and outcome,
  - training participants to avoid double counting, and
  - contributions to SDGs.
- Context and conflict monitoring were part of the process to feed the activity tracker.
- Some of the project's activities were published at www.menlhk.go.id (MoEF).

- A baseline study was not conducted. The baseline values for the project indicators were either established based on partner data regarding the area of community forestry (output indicator 2.3; this data was not available to the evaluators) or indicated as 0 based on the fact that regulations and/or capacities due to the Recentralisation Act did not exist at project start. This information was available due to the predecessor projects and the fact that the Recentralisation Act had just been enacted. The evaluators cross-checked the indicated baseline values during the interviews with the partner representatives and, based on the analysis, confirmed their validity.
- A web-based database system for conducting M+E activities was introduced for FORCLIME 4.0.

The above-mentioned data, specifically the data from the different trackers, was used for the analysis as comprehensive inputs. The evaluators rated this data as high quality in terms of completeness and comprehensiveness to adequately reflect the project.

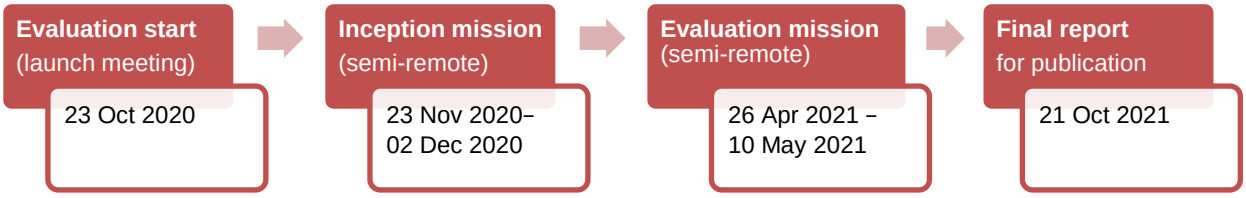
#### Secondary data

Secondary data included publicly available information, especially via the official websites of MoEF (www.menlhk.go.id, https://kmisfip2.menlhk.go.id/); however, the data found there was not up to date (2019 or older). Further sources, e.g. Indonesia's Land Degradation Neutrality Report from 2015 and the country's Nationally Determined Contributions (NDCs) from 2016 (see references), were also considered. To ensure the accuracy, reliability and representativeness of the data, data triangulation and validation were conducted, e.g. during interviews.

## 3.2 Evaluation process

This section covers the following aspects:
- milestones of the evaluation process,
- involvement of stakeholders,
- selection of interviewees,
- data analysis process,
- roles of international and local evaluators,
- (semi-)remote evaluation, and
- context and conflict sensitivity within the evaluation process.

Figure 3: Milestones of the evaluation process




#### Involvement of stakeholders

The evaluators ensured that the project stakeholders contributed and actively participated throughout the entire evaluation. To cover inputs from local to national level, according to the project's multi-level approach, the evaluators conducted key informant interviews (KIIs) based on semi-structured interview guidance at the three levels (local, regional and national). Furthermore, a team survey (questionnaire for individual project team members) and focus group discussions (FGDs) with beneficiaries were conducted. Field visits / observations served to gather additional inputs and verify existing inputs alongside verification interviews with sector experts not involved in the project. Workshops with the project team and the political partner (kick-off at the start of the

inception and evaluation missions, validation workshop at the end of the inception phase and just after the evaluation mission) also took place. Finally, the final results were presented to the project team, the political partner and other interested stakeholders. This final evaluation report will be shared with interested stakeholders once approved and publicly available.

### Selection of interviewees

To identify appropriate stakeholders to participate in the evaluation mission, the project's progress reports and M+E data were screened and project staff proposed particular organisations and interviewees to include. This purposive sampling approach is best suited to capturing inputs from relevant project partners and stakeholders.

Based on these inputs, the Stakeholder Analysis Matrix of the United Nations Evaluation Group (UNEG, 2014) and the degree of availability and willingness to participate in the evaluation, the following stakeholders were interviewed:

Table 2: List of evaluation stakeholders and selected participants[4]

| 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 virtual workshop participants | No. of survey participants |
|---|---|---|---|---|---|
| **Donors** | 2 (1 female, 1 male) | 2 | - | - | - |
| BMZ | | | | | |
| **GIZ** | 17 (2 female, 15 male) | 13 | - | 10 | 6 |
| GIZ project team, GIZ headquarters Germany (sectoral department and country manager), GIZ Jakarta (country director). | | | | | |
| **Partner organisations (direct target group)** | 14 (3 female, 11 male) | 11 | 3 | 1 | - |
| MoEF national level: Planning Bureau, Climate Change Bureau and Human Resources Extension and Development Agency; MoEF subnational level; Provincial Forest Service Pontianak and Palu; FMU Forum Central Sulawesi; REDD+ working group West Kalimantan; Social Forestry Working Group at provincial level; Lore Lindu National Park Management Unit (Central Sulawesi); CEFET in Bogor; BDK in Samarinda. | | | | | |
| **Other stakeholders (e.g., public actors, other development projects)** | 9 (2 female, 7 male) | 9 | - | - | - |
| BAPPENAS: Directorate of Forestry and Water Conservation; Kapuas Hulu Support Unit; KfW Forest Programme 3; Man and Biosphere Reserve National Committee; SASCI (spin-off project) and SASCI+ (another spin-off project). | | | | | |
| **Civil society and private sector actors** | 2 (1 female, 1 male) | 2 | - | - | - |
| World Wildlife Fund for Nature (WWF), International Union for Conservation of Nature (IUCN). | | | | | |
| **Universities and think tanks** | 1 (1 male) | 1 | - | - | - |

[4] For confidentiality and data protection reasons, the names and positions of the individuals participating in the evaluation are not displayed in this report. They have been shared with the GIZ Evaluation Unit only as a password-protected interview coding list.

| 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 virtual workshop participants | No. of survey participants |
|---|---|---|---|---|---|
| Faculty of Agriculture at Tadulako University. | | | | | |
| **Final beneficiaries/ indirect target groups (sum)** | 9 (4 female, 5 male) | | | | |
| Community representatives West Kalimantan | 3 (2 male, 1 female) | - | 3 | - | - |
| Community representatives Central Sulawesi | 6 (3 male, 3 female) | 1 | 5 | - | - |
| Note: f = female; m = male | | | | | |

### Data analysis process

Notes were taken during qualitative interviews and completed after the interviews. For the core interviews with the programme manager (AV) and the political partner, evaluators compared notes. Quality was assured through a comparison of the parts of the report written by each evaluator; where there were discrepancies, notes were compared. The quality criteria for qualitative research (transparency, intersubjectivity and replicability) were applied.

For qualitative data analysis, the data collected was validated between the evaluators and with the project team and the political partner, and edited to check for outliers. The analysis was based on qualitative content analysis (Mayring 1983; 7th edition 2000). Data analysis was excel-based. All data from documents, interviews, surveys, workshops, FGDs and M+E systems was categorised under the questions in the evaluation matrix, then analysed with reference to the questions in the evaluation matrix. Both the manifest and latent meaning of interviews was identified and analysed. Different information and views were compared and analysed in terms of the underlying interests and perspectives, such as roles in the project, location and expected benefits. Quantitative data from the team survey and interviews was also analysed via Excel using descriptive statistics, such as mean, median and frequencies. Overall, data triangulation, investigator triangulation and methodological triangulation formed part of the data analysis process. Triangulation with the stakeholders involved was carried out during the validation workshop (see the section ‘Involvement of stakeholders’).

### Roles of international and local evaluators

The evaluation was carried out by FAKT Consult for Management, Training and Technologies. The team leader was the international evaluator. She was responsible for the overall evaluation process, communication of the results and submission of the deliverables to GIZ. The local evaluator was involved in all central tasks in the evaluation. The evaluation team divided the data assessment task based on language. While the international evaluator was responsible for analysing German and English project documents and inputs, the local evaluator dealt with documents and inputs in Bahasa. The local evaluator’s language skills, REDD+ expertise and cultural insights allowed him to assess the relevance of the project regarding overlaps and synergies with relevant strategic reference frameworks and the extent to which the project design was geared towards the core problems and needs of the direct and indirect target groups. The international evaluator focused, for example, on the extent to which the project design was in line with BMZ concepts and strategies. As access to confidential financial data was limited to the international evaluator, she was responsible for the analysis regarding efficiency.

The different profiles of the evaluators complemented each other. The international evaluator had extensive experience of conducting complex evaluations as a team leader and was trained in evaluation design and implementation. She had in-depth knowledge of BMZ and GIZ concepts, strategies and instruments and was an expert in project planning, monitoring and organisational development. The local evaluator offered long-standing experience in forestry and REDD+ and in-depth knowledge of government and non-government stakeholders in the sector. He knew about the country's relevant policy frameworks, strategies and programmes. Both evaluators were familiar with the relevant international conventions and frameworks in the sector and methods used for empirical social research (qualitative and quantitative methods, data collection and data analysis). Given that the international evaluator was a woman and the national evaluator was a man, the team was also gender balanced.

The different backgrounds supported investigator triangulation, as the evaluators may have interpreted data differently and pursued different theory approaches. The team conducted some interviews together to maintain the four-eyes principle. The evaluators continuously analysed and interpreted data together, commented on each other's contributions and validated findings in internal feedback loops.

### (Semi-)Remote evaluation

As per contract, the inception mission was planned in semi-remote format and the evaluation as an on-site mission. Based on COVID-19 developments and discussions with GIZ's evaluation unit on 29 January 2021, it was decided that the evaluation mission would be carried out in semi-remote format, i.e. the international evaluator did not physically participate in the data collection processes in Indonesia. The national evaluator was able to travel to Jakarta, Pontianak and Palu to meet some of the interviewees in person. Due to restrictions in the number of people allowed per meeting, FGDs were held only with a few beneficiaries in each region. The national evaluator documented all sessions accordingly. To cater for the time taken to change to a semi-remote mission, the evaluation mission deadline was extended to 10 May instead of 7 May. In addition, the evaluation mission extended into the end of Ramadan, which led the (virtual) validation workshop to be scheduled only for 20 May.

### Context and conflict sensitivity within the evaluation process

The evaluators avoided unintended negative effects and harming the relationships with partners and stakeholders unintentionally throughout the evaluation process. They acted in a culturally sensitive manner and respected local traditions and norms at all times.

Specific risks that the evaluation would send negative signals to the partners or any stakeholder group did not arise during the evaluation. A conflict-sensitive attitude and corresponding procedures were ensured at all times.

The project was rated with a Peace and Security marker 1 and therefore fell under the category of fragile contexts. There had been some terrorist activity, which was mostly based on Muslim and Christian clashes in Central Sulawesi (*The Jakarta Post*, 2019). Neither the risk of being perceived as taking sides in the conflict nor the risk of strengthening escalating factors occurred. Further risks in this regard were not identified during the inception mission.

# 4 Assessment according to OECD/DAC criteria

This chapter presents the findings of the analysis according to the OECD/DAC criteria and the additional knowledge interests as defined during the inception phase (see Table 1).

## 4.1 Impact and sustainability of predecessor projects

This section analyses and assesses the impact and sustainability of the predecessor project: FORCLIME II (PN 2012.2485.6): 01/01/2013 – 31/12/2016 with a total budget of EUR 14,811,500 and a focus on policies, FMUs in the context of REDD+ and capacity building in East and West Kalimantan and the newly established North Kalimantan / Malinau.

**Summarising assessment of predecessor project**

Overall, the impacts of the predecessor became visible during the project or are still emerging. Impact indicators at the level of the FORCLIME programme had barely been achieved by December 2016; however, outcome indicators at the level of the TC component, i.e., the predecessor project, had been achieved. This clearly highlights the need for long-term engagement and vision when engaging in the forestry sector. The main benefits the project gained from the predecessor project were the Forest Reference Emission Levels (FRELs) that were defined and the structures and experience that were established to work with FMUs. Sustainability was ensured by integrating the results into MoEF's policies and regulations and into training for MoEF staff.

**Analysis and assessment of predecessor project**

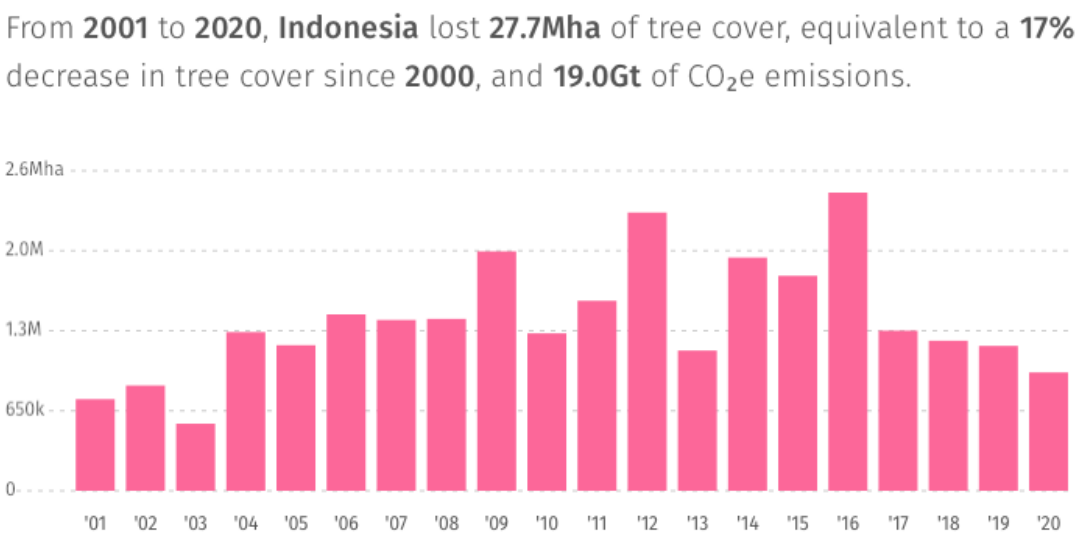
To assess the long-term sustainability (durability) and impact of FORCLIME II, a document review was carried out, which included the project proposal and final report. In addition, during selected interviews with project staff and the political partner, as well as the wrap-up session (Fact Testing (FT) 2), the evaluators explored the extent to which the reported results were used by the project, by whom they were used and how they fed into the project's performance. During these interviews, the evaluators further investigated the extent to which the results of the predecessor project's defined impact indicators wereare still visible (see also Table 3). This formed the basis for assessment of the predecessor project.

The **impact** of the predecessor project can still be seen today, and the project built on this. The final report of the predecessor project, from August 2017, project staff and the political partner indicated that the impact indicators had not yet been fully met by the end of the predecessor project (Predecessor Final Report 2017, Int_1, 2, 5, 7, 8, 36, 39, FT2). These indicators were at programme level and therefore had to be achieved under the combined TC and FC programme. GHG emissions from deforestation and forest degradation in selected districts of Kalimantan were to fall below the defined reference level (impact indicator 1). Forest Reference Emission Levels (FRELs) were defined and the status quo of the forest cover was assessed in the project areas in Sumatra and Sulawesi in progress, although actual emissions monitoring was not yet in place. The process for reporting and verification of emission reductions has now been agreed within the framework of Forest Carbon Partnership Facility (FCPF) engagement and deforestation has been reduced significantly (Int_1, 2, 7, 8, 36, see also Chapter 4.5), as shown in Figure 4. Public and private investments were to be allocated to forest protection mechanisms in Indonesia (impact indicator 2). Neither private nor public REDD+ payments were made during the predecessor project. Now, Norway has paid USD 56 million, the Green Climate Fund has announced USD 103 million and FCPF has announced a payment of USD 110 million for REDD+ achievements (PR 2021). Significantly larger areas within the FMUs were to be placed under SFM and protection (impact indicator 3). This indicator was surpassed by three pilot FMUs with forest management plans

covering almost 2 million hectares, instead of the targeted 1.5 million hectares, and three private companies in the process of being certified by the Forest Stewardship Council (FSC). The work with FMUs on forest management plans continued during the project, as it proved to be a successful concept. Most of the population in the area covered by REDD+ activities were to report improved living conditions from forest conservation and SFM (impact indicator 4). According to the final report, data collection had not yet taken place, so there was no indication on the degree of achievement of this indicator. Out of these four impact indicators, the focus of the TC component was on indicator 3 regarding FMU engagement, which was achieved and even surpassed.

According to three government officials of the political partner, long-term engagement is needed in forestry to achieve impact. Through continuous project interventions in this field since 2009, GIZ has contributed to the current status of Indonesia's work on forests and climate change (Int_7, 8, 36). Project staff members highlighted the clear narrative from the first FORCLIME TC project (2009–2012) up to today (FORCLIME 4.0), with a focus on SFM via FMUs. The **main benefits** derived from the predecessor project were the Forest Reference Emission Levels (FRELs) that were defined and the structures and experience that were established to work with the FMUs. The **main lesson learned** in the predecessor project was that poverty alleviation fell outside the scope of the TC work, so this aspect was not targeted by the project (Int_36, 2, FT2). Due to continuous engagement with MoEF since 2009, the transition from the predecessor to the project was smooth. At the same time, it provided a good understanding about what is needed and how collaboration works best. Many of the predecessor project staff members continued in the project implementation, since they knew how the political partner worked and how best to support the provincial level. This was indicated as a clear project asset at the start (Int_1, 2, FT2).

Figure 4: Tree cover loss in Indonesia, 2021–2020 (Global Forest Watch, 2021)




According to the final report, the outcome indicators of the predecessor project were all met. This included the test application of core elements of an institutional framework for the implementation of Indonesia's forest sector reform, including gender aspects; a test application of a legal, institutional and methodological framework for a reduction in GHG from the forest sector; forest management by three forest companies in accordance with national or Forest Stewardship Council (FSC) requirements; integration of new topics/elements, such as conflict analysis and geographic information systems (GIS); and the integration of ecosystem services in planning and management of FMUs into training approaches by training entities such as CEFET and BDK. Specifically laying out a thorough basis for working at FMU level and experience in working with CEFET and BDK were highlighted by project staff as being beneficial for the project (Int_36, FT2). Incorporating project results into Indonesian forest regulations has so far ensured **sustainability**. For example, in a forestry office in Central Sulawesi, the establishment of the first local refinancing mechanism (Badan Layanan Umum Daerah, BLUD) was supported, which set the precedent for provincial regulation and has

served as a model for other forest offices in Indonesia (final report 2017, FT2). Enhancing forest-specific training by relevant training entities ensures further sustainability of the approaches developed and the knowledge acquired (Int_3). The main **success factors** for achieving outcome indicators were stated as having project offices on the MoEF premises to ensure closeness and easy and continuous communication and the multi-level approach of working with the partner structure from local to national level (Int_1-11, 35).

## Methodology for assessing predecessor project

Photo 1: Orchid cultivation in Lore Lindu Biosphere Reserve (Arief Darmawan, 2021)

Table 3: Methodology for predecessor project

| Predecessor project: assessment dimensions | Basis for Assessment | Evaluation design and empirical methods | Data quality and limitations |
|---|---|---|---|
| **Impact** of the predecessor project | The impact of FORCLIME I was assessed against partner indications on the predecessor project's defined impact in the project proposal according to its impact indicators and ToC:<br><br>**1.** GHG emissions from deforestation and forest degradation in selected districts of Kalimantan are below the defined reference level. In addition, forest cover in the project areas in Sumatra and Sulawesi remains at least constant. | **Evaluation design:**<br>• Explorative, following evaluation questions.<br><br>**Empirical methods:**<br>• Interviews, mainly with project and MoEF staff. | Data quality was moderate, as expected. Interview partners with knowledge of the predecessor project were available for project staff and the political partner, although their knowledge was based more on a mixture of the predecessor and project activities, with limited options to differentiate between the two.<br><br>Triangulation focused on data sources only (different interviewees), so evidence strength can be considered moderate. |

| Predecessor project: assessment dimensions | Basis for Assessment | Evaluation design and empirical methods | Data quality and limitations |
|---|---|---|---|
| | **2.** Public and private investments are used for forest protection mechanisms in Indonesia.<br><br>**3.** Significantly larger areas within FMUs are placed under SFM and protection.<br><br>**4.** The majority of the population in the area of REDD+ activities report improved living conditions from forest conservation and SFM. | | |
| **Sustainability** of the predecessor project | The sustainability of FORCLIME II results was assessed against partner indications and activities planned and reported in the project proposal and the final report related to the incorporation and handover of results. | **Evaluation design:**<br>• Explorative, following evaluation questions.<br><br>**Empirical methods:**<br>• Document review (project proposal and final reports).<br>• Interviews, mainly with MoEF and project staff. | Data quality and evidence strength were adequate, as expected. Documents for review were available and reported activities could be triangulated with interview results. |

## 4.2 Relevance

This section analyses and assesses the relevance of the project Forests and Climate Change (FORCLIME, PN 2015.2116.0) implemented in Indonesia between November 2016 and December 2020 with a total budget of EUR 11,940,000.

### Summarising assessment and rating of relevance

Table 4. Rating of OECD/DAC criterion: relevance[5]

| Criterion | Assessment dimension | Score and rating |
|---|---|---|
| **Relevance** | Alignment with policies and priorities | 28 out of 30 points |
| | Alignment with the needs and capacities of the beneficiaries and stakeholders | 30 out of 30 points |
| | Appropriateness of the design* | 20 out of 20 points |
| | Adaptability – response to change | 20 out of 20 points |
| **Relevance total score and rating** | | Score: **98 out of 100 points**<br><br>Rating: Level 1: highly successful |

[5] See Table 21 for rating and score scales.

The project can be rated as highly relevant. It was fully aligned with the needs and capacities of the political partner and final beneficiaries and its design featured a realistic timeframe and budget and an appropriate instrument mix. The project was in line with national strategies, e.g., RENSTRA, RKTN and the NDCs, and supported their implementation with targeted demand-driven activities with and for MoEF. It was well aligned with BMZ's country strategy for Indonesia and supported SDG 13 on climate action and SDG 17 on global partnerships in particular. Minor restrictions applied due to a lack of transparent selection criteria for all project activities, especially capacity development and community support measures, as laid out in the project proposal. Selection was instead based on the needs and indications of MoEF as the direct target group.

**In total, the relevance of the project is rated as Level 1: highly successful, with 98 out of 100 points.**

### Analysis and assessment of relevance

To assess the relevance of the project, a document review was carried out, which included the project proposal, progress reports 1 to 4, partner strategies and plans (RENSTRA and RKTN) and international frameworks and strategies such as Indonesia's REDD+ National Strategy, the SDGs, the Bonn Challenge, Indonesia's Land Degradation Neutrality Report (UNCCD 2015) and the Republic of Indonesia's first NDC (UNFCCC 2016). In addition, during interviews, the evaluators explored the extent to which the planned and reported synergies had been achieved. Furthermore, a questionnaire was used to conduct a survey among project staff (team survey) and capture further feedback on the criterion of relevance.

**Relevance – Dimension 1: Alignment with policies and priorities**

The assessment of this dimension was based on national and international strategies and frameworks (see Table 5). The assessment results show good alignment with MoEF's **RENSTRA** 2020-2024, the National Medium-Term Development Plan (RPJMN 2015-2019), **RKTN** 2011-2030 and the **REDD+ National Strategy** for 2012 (PP 2015, project progress reports (PR) 2018, PR 2019, PR 2020, PR 2021, FT1, FT2, Int_1-32, Survey (S) 1W, S1I). The country's **NDCs** from 2016 feature a moratorium on the clearing of primary forests and a prohibition on converting remaining forests to reduce deforestation and forest degradation and to restore ecosystem functions. SFM, including social forestry, through the active participation of the private sector, small and medium enterprises, civil society organisations and local communities was stated as the preferred approach (UNFCCC 2016). The project fully addressed and supported this approach (PP 2015). It was also aligned with **BMZ's priority topics** for Indonesia, which are energy, sustainable economic development / vocational training, and environmental protection (Int_16, 18, 19).

Furthermore, a Presidential Decree (59/2017) prioritising **SDG** implementation at national level led to the project's active support of MoEF in terms of reporting on SDG progress and establishing an SDG working group in the province of East Kalimantan (PR 2020). This presented a connection between national and international alignment with policies and priorities. According to the document analysis and interviews with project staff and the political partner, the project was well aligned with SDG 13 on climate action, SDG 17 on global partnerships and the **Convention on Biological Diversity** (Aichi Target 7: Sustainable Agriculture, Aquaculture and Forestry) (PP 2015, FT2, Int_9, 36). Alignment with SDG 1 on ending poverty, as indicated in PP 2015, relates more to the FORCLIME programme interventions than the direct project interventions (FT1, FT2). There was no alignment with rehabilitation activities such as the Bonn Challenge, a global initiative to bring 150 million hectares of degraded and deforested landscapes into restoration by 2020 and 350 million hectares by 2030 that was launched by the German government and IUCN in 2011. Rehabilitation fell outside the scope of the project, which had a clear mandate to focus on SFM, and Indonesia has not pledged any land to the Bonn Challenge (Int_1, 7, 8, 18, 34, 35, Bonn Challenge 2020). According to interviewees, Indonesia has approaches to rehabilitation other than the Bonn Challenge (Int_8, 19, 22, 24, FT2). At the same time, a study by the Food and Agriculture Organization (FAO) found that forest protection / SFM plus rehabilitation is needed to achieve meaningful climate change mitigation impacts in the Indonesian forest sector (FAO, 2015). This indicates that there is potential for expanding the project approach.

The project's **(conflict) context** was also adequately analysed and considered in the project design. Conflict potential in Indonesia is underpinned mainly by land rights / land use, as reflected in the PP 2015 and the PCA. Underlying escalating factors include unclear roles in the management of natural resources (before the Recentralisation Act), increasing competition for land, communal differences between Muslims and Christians and differing interests on land uses (PCA, see also tables 6 and 7). The project addressed these through continuous stakeholder management, a staff security system and support for conflict resolution mechanisms (PP 2015, Int_1, 3, 5, 9, 19). Site selection for local interventions was demand-driven, i.e., oriented alongside MoEF's priorities and needs according to indications from project staff (Int_1-5, FT2).[6] The project proposal indicated transparent selection criteria for all project activities, especially capacity development and community support measures to address escalating factors. The analysis could not confirm these criteria, but rather indicated that selection was based on MoEF's indications (PP 2015, Int_1, 3, 5, 9, 19, 36). This led to a slight deduction in the score for this dimension.

Relevance dimension 1 – Alignment with policies and priorities – therefore scores **28 out of 30 points.**

**Relevance – Dimension 2: Alignment with the needs and capacities of the beneficiaries and stakeholders**

The project's **direct target group** was MoEF employees at all levels (local to national). **Indirect target groups** (final beneficiaries) were the communities dependent on intact forests and the use of natural resources, specifically in the districts of Kapuas Hulu, Malinau, Berau and Sigi, permit holders active in community forests, logging companies and organisations such as the World Bank's FCPF that benefited from the project's activities and results in East Kalimantan. The assessment of this dimension was therefore based on indications by the various authorities of MoEF, from district to national level, as the direct target group, and by indirect target groups such as representatives of the local population in West Kalimantan and Central Sulawesi (final beneficiaries) and the training centres CEFET and BDK. Furthermore, two verification interviews with sector experts confirmed the need to explore alignment with support needs regarding climate change in the forestry sector. One of these interviews was with a representative of WWF and the other was with a representative of IUCN (see Table 2).

According to Carbon Brief Ltd., Indonesia was the world's fourth largest emitter of GHG in 2015. It is the 16th largest economy in the world and the largest in Southeast Asia. Its emissions stem from deforestation, peatland megafires and, to a lesser extent, the burning of fossil fuels for energy. The government has pledged to cut emissions by 29-41% by 2030, compared to a 'business-as-usual' scenario, which has created high demand for capacities to address emissions in forestry (Carbon Brief, 2019). Specific needs of the direct group included capacity development for long-term forest planning by FMUs and the inclusion of small and medium enterprises to establish green businesses for income generation, e.g. in the biosphere reserves. The needs and capacities of particularly disadvantaged and vulnerable beneficiaries and stakeholders were considered, by, for example, addressing gender mainstreaming within MoEF's national level and empowering women's groups regarding orchid cultivation in Central Sulawesi. Overall, the project's planning was incorporated into MoEF's planning and activities, which helped keep work demand-driven at all times (Int_13, 27, 31, 33, FT2). Overall, the analysis showed good alignment of the development needs of direct and indirect target groups, adequate integration of dividers and connectors and security risks (see relevance dimension 1) and consideration of the **Do-No-Harm** and **Leave-No-One-Behind** principles.

Relevance dimension 2 – Alignment with the needs and capacities of the beneficiaries and stakeholders – scores **30 out of 30 points.**

[6] Site selection was thus carried out during bilateral discussions around the FORCLIME programme.

**Relevance – Dimension 3: Appropriateness of the design**

The basis for the assessment of this dimension was the project's ToC (see Figure 2) and supporting documents, e.g. the project proposal, change offer and results matrix. Project outcome and outputs were formulated realistically in light of the project's four-year **timeframe**, according to the 2018 change offer, and the **budget** of EUR 11.9 million, especially in view of its approach to supporting MoEF activities and filling implementation gaps (gap-filling approach). A good organisational set-up and steering structure based on FORCLIME's Cooperation Landscape were confirmed during interviews with project staff and MoEF. The **instrument mix** of three international long-term staff, 11 national long-term staff as strategic area managers and six development assistants, plus national administrative staff, was highlighted as highly suitable during interviews with project staff and MoEF, especially in light of the fact that project staff from the predecessor project continued into the follow-on project (FORCLIME4.0) and the background of some national project staff members, who had come from former MoEF positions (Int_1-3, 7-8). Furthermore, the appropriateness of the design was highlighted as being linked to a flexible project design that referred to 'flexible indicators'. For example, regulations for implementing the forest sector reform (objective indicator 1) or implementation regulations for forest management (objective indicator 2) are specific enough for indicator measuring while leaving room to cover from provincial decrees on the establishment of an FMU Centre or on fire prevention up to a national regulation on forest inventory guidelines (see also Chapter 4.4). The project did not start from scratch, but followed a consistent approach taken since 2009, with a broad framework for agile management; this made it possible to flexibly respond to the needs of MoEF (Int_1-5). **The multi-level approach, with interventions from local to national level and pragmatic implementation, made it possible to report experiences from the field and take decision-makers into the field.** This was emphasised as a crucial factor in the project design, not only by project staff and MoEF, but also in other GIZ, verification and donor interviews (Int_1-5, 7-8, 18, 22, 24, 34, 35).

The **underlying assumption** (see Chapter 2.2) that MoEF would be willing to adopt and implement the results and lessons learned was confirmed by the analysis. FMUs have adopted measures relating to, for example, gender mainstreaming and fire prevention, based on their experience of the project, and advice has been taken into account in, for example, national and subnational regulations such as the Ministerial Decree on Gender Mainstreaming (Int_1, 2, 5, S1W, M+E data 12/2020, PR 2021). The assumption that the TC and FC modules would work together on the basis of common thematic fields such as REDD+ and community-based forest management, however, was only partly confirmed by the analysis (see Chapter 4.3).

Overall, the **hypotheses** assumed (see Chapter 2.2) were plausible and were confirmed during interviews with all types of stakeholders, the document review and the team survey (PP 2015, PR 2018-2021, Int_4, 7-9, 22, 27, 39, S1W; see also Chapter 4.4). The project's **system boundary** was drawn where the prerequisites for improving the legal and institutional framework for forest management, biodiversity protection and GHG reduction were created (ABC1), and these started to feed into the desired impacts, such as a strengthened role for MoEF in climate change mitigation (R2) and management of FMUs in line with SFM principles and national climate change mitigation targets (R1). The analysis confirmed that the project's sphere of influence (system boundary) ended with support for respective policies and regulations to enable reduced forest emissions. Its contribution to the programme objective of reducing GHG emissions from the forest sector[7] was indirect only, as no emission reductions were achieved, nor targeted within the project scope. The causal pathways from outcome to impact level were confirmed as rather long and subject to external factors (Int_9, 22, 27).

Relevance dimension 3 – Appropriateness of the design – scores **20 out of 20 points.**

[7] The TC component under the programme focused on GHG reductions, while the FC component targeted a reduction in GHG emissions and improvements in living conditions of the rural poor.

**Relevance – Dimension 4: Adaptability – response to change**

The basis for the assessment was the change offer in 2018 and explorative questions during some interviews with all stakeholder groups. In 2018, a change offer was formulated and accepted. The reason for the change offer was the one-year extension of the FC component. The main changes were a one-year extension and an increase in indicator targets (more regulations to be achieved, more hectares to be placed under community-based forest management and more trained personnel). To maintain the existing advisory approach, the budget was topped up by EUR 3 million and some preparatory activities for the follow-on project (FORCLIME4.0) focusing on Papua were added (change offer 2018). Project reports 1 to 4 show consistent mapping of project risks and potentials, which barely changed during the project term. The flexibility to react to changes in the environment were confirmed by project staff, the political partner and final beneficiaries (Int_1-5, 8, 9, 13, 14). One such example is the adaptation from face-to-face training to e-learning formats due to COVID-19 restrictions (PR2020, PR2021).

Relevance dimension 4 – Adaptability – response to change – scores **20 out of 20 points.**

## Methodology for assessing relevance

Table 5. Methodology for assessing OECD/DAC criterion: relevance

| Relevance assessment dimensions | Basis for Assessment | Evaluation design and empirical methods | Data quality and limitations |
|---|---|---|---|
| **Alignment with policies and priorities** | The most important national strategies / plans were MoEF's RENSTRA 2020-2024, the strategic National Medium-Term Development Plan (RPJMN 2015-2019) and RKTN 2011-2030. Furthermore, Indonesia's activities under the UN-REDD Programme, including its REDD+ National Strategy, were used as a basis for assessment of this dimension.<br><br>At international level, important frameworks considered were the SDGs, the Convention on Biological Diversity, the Aichi Biodiversity Targets and the Bonn Challenge. | **Evaluation design:** The analysis followed the analytical questions in the evaluation matrix (see Annex.<br><br>**Empirical methods:** Document review, interviews, team survey. | For this dimension, there were no limitations on data quality. |
| **Alignment with the needs and capacities of the beneficiaries and stakeholders** | MoEF (political partner), with its different authorities from district to national level, was the project's direct target group. Indirect target groups included the local population dependent on intact forests and the use of natural resources in the target regions in Kalimantan and Central Sulawesi (final beneficiaries) and training centres (CEFET and BDK). Two verification interviews with NGOs / research centres active in the sector were conducted. | **Evaluation design:** The analysis followed the analytical questions in the evaluation matrix (see Annex).<br><br>**Empirical methods:** Document review, interviews, team survey, observation, verification interviews. | Data quality was good, as expected. Field visits to Pontianak (West Kalimantan) and Palu and Sigi (Central Sulawesi) were made, although the number of local community representatives was limited to three from Kapuas Hulu (West Kalimantan) instead of the target of six, due to COVID-19 restrictions. |

| Relevance assessment dimensions | Basis for Assessment | Evaluation design and empirical methods | Data quality and limitations |
|---|---|---|---|
| **Appropriateness of the design*** | ToC and supporting documents (e.g. offer, change offer, results matrix). | **Evaluation design:** The analysis followed the analytical questions in the evaluation matrix (see Annex).<br><br>**Empirical methods:** Document review, interviews, team survey, (virtual) workshops, verification interviews. | Data quality was good, as expected. Potential limitations due to the fact that the perspectives of project staff were likely to be subjective and that triangulation was mostly limited to 'internal' project inputs were balanced by verification interviews with external experts to explore success factors in the project design in the context of the Indonesian forest sector. |
| **Adaptability – response to change** | One official change offer was submitted and accepted in 2018. | **Evaluation design:** The analysis followed the analytical questions in the evaluation matrix (see Annex).<br><br>**Empirical methods:** Document review, interviews, team survey. | Data quality was good, as expected. |
| * The project design encompassed the project's objective and ToC (GIZ results model, graphic illustration and narrative results hypotheses) with outputs, activities, instruments and results hypotheses, as well as the implementation strategy (e.g. methodological approach, capacity development strategy, results hypotheses). | | | |

Table 6 offers an overview on escalating factors in the project context.

Table 6: Dividers/escalating factors in the project context[8]

| Which escalating factors/dividers were identified in the project context? | Addressed by the project? (yes/no) | If addressed, how is it considered by the project design? |
|---|---|---|
| **Political/institutional factors**: exploitation of state-owned resources, unclear roles/responsibilities in management of natural resources (due to a lack of implementation of the Recentralisation Act). | Yes | • Regular analysis of individuals, groups and clans at the centre of the forms of ethnic, religious or patronage rule and development of approaches to exclude them from project work.<br>• Clear and transparent communication about goals and GIZ roles in achieving the goals.<br>• Transparent selection criteria for all project activities, especially capacity development and community support measures. |
| **Ethnic, religious and cultural factors**: communal differences between Muslims and Christian groups, population growth leading to increased competition for land and resources. | Yes | • Continuous monitoring of the political and security situation.<br>• Site-selection criteria sensitive to social, cultural and religious aspects.<br>• Security system for staff and equipment. |

[8] Based on PP 2015

| Which escalating factors/dividers were identified in the project context? | Addressed by the project? (yes/no) | If addressed, how is it considered by the project design? |
|---|---|---|
| **Land / natural resource factors**: Opposing interests of different stakeholder groups on land uses, access to land and resources and biodiversity conservation. | Yes | • Promotion of agreements among communities and authorities based on, for example, awareness, common sense, ownership, participatory land-use planning, legal rights and existing conflict-resolution mechanisms. |

Table 7: Connectors/deescalating factors in the project context[9]

| Which deescalating factors/connectors were identified in the project context? | Addressed by the project? (yes/no) | If addressed, how is it considered by the project design? |
|---|---|---|
| Support and awareness-raising concerning good governance and rule of law as a means of conflict prevention / sustainable development. | Yes | Inclusion of opportunities for training sessions and processes on conflict prevention and solutions within the framework of supporting the decentralisation process. |
| Integrated planning approaches. | Yes | Promotion of agreements among communities and authorities based on, for example, awareness, common sense, ownership, participatory land-use planning, legal rights and existing conflict-resolution mechanisms. |

## 4.3 Coherence

This section analyses and assesses the coherence of the project. It is structured according to the assessment dimensions in the GIZ project **evaluation matrix** (see Annex).

### Summarising assessment and rating of coherence

Table 8. Rating of OECD/DAC criterion: coherence

| Criterion | Assessment dimension | Score and rating |
|---|---|---|
| **Coherence** | Internal Coherence | 40 out of 50 points |
| | External Coherence | 50 out of 50 points |
| **Overall score and rating** | | Score: **90 out of 100 points**<br>Rating: **Level 2: successful** |

Within German development cooperation, the intervention was designed and implemented in a complementary manner. It collaborated with projects funded via the International Climate Initiative (IKI) of the Federal Ministry for the Environment, Nuclear Safety and Nature Conservation (BMU) and was consistent with the international norms and standards to which German development cooperation is committed (e.g. with respect to human rights). Coherence between TC and FC under the FORCLIME programme was limited by different timing and planning; therefore synchronising activities on the ground was challenging, despite attempts by the project team to coordinate annual work plans.

[9] Based on PP 2015.

External coherence, e.g. with the poltical partner and other donors, was confirmed by the analysis. MoEF's own activities and priorities were supported by the project by, for example, allowing it to report on its own SDG contributions at national level. Subsidiarity, complementarity and additivity were achieved via integrated planning with MoEF at all levels by aligning project and partner activities and allowing for cost sharing to achieve common goals.

**In total, the coherence of the project is rated as Level 2: successful, with 90 out of 100 points.**

### Analysis and assessment of coherence

To assess the coherence of the project, a document review was carried out, including the project proposal and progress reports 1 to 4. In addition, the evaluators cross-checked the extent to which internal and external coherence was ensured during project implementation. This was done via an analysis of the websites of other donors (e.g. IKI) and interviews with project staff and KfW staff under the FORCLIME Programme, other GIZ staff (e.g. country director and country manager) and donors (BMZ), as well as with the political partner and other national stakeholders (e.g. BAPPENAS). Furthermore, these aspects were covered by the team survey (see Chapter 3.2) to capture broader feedback on the coherence criterion.

**Coherence – Dimension 1: Internal Coherence**

The assessment of internal coherence was based on indications in the project proposal, change and overarching programme design with respect to the division of tasks and reflection of complementarity, coherence and additivity with other federal ministries (see Table 9).

According to the project proposal, coherence with German development cooperation was ensured by exploring collaboration with projects funded by BMU, such as Green Economy-Locally Appropriate Mitigation Actions (GE-LAMA-I, PN 2012.9214.3, 2013-2018) and Biodiversity and Climate Change (BIOCLIME, PN 2012.9013.9, 2012-2017). The project database of the BMU-funded IKI includes no other projects that explicitly address forestry and climate change mitigation in Indonesia. Interviewees (project staff and donors) also indicated that the intervention was designed and implemented in Indonesia in a complementary manner. Where possible, collaboration and exchanges were sought with IKI projects, such as WWF's Heart of Borneo project in Kapuas Hulu (2016-2021; I34, I35, I36). The project was furthermore consistent with the international norms and standards to which German development cooperation is committed, particularly regarding forest protection, food security and access to natural resources, according to the project proposal and indications by project staff, the political partner and final beneficiaries (PP 2015, Int_1-5, Int_13-14). The protection and sustainable use of forests have a direct impact on the observance of human rights principles. The destruction and degradation of forest ecosystems jeopardise the provision of vital resources such as food and water, especially for the poor population living in and from forests.

However, coherence with the FORCLIME programme, i.e., between TC and FC, was barely confirmed by the analysis. The project proposal provided for cooperation regarding REDD+, community-based forestry, SFM and agroforestry. According to project and other GIZ staff, some coordination meetings, information sharing and attempts to coordinate annual work plans at pilot district level did take place (Int_1-4, 9, 16, 18). However, the timing of the FC and the TC component differed, thereby leading to challenges relating to the synchronisation of activities and the cumbersome nature of connecting approaches that had not been planned jointly (Int_5, 10, 12, 26, 34-36, S1B, S1E, S1M, S1W). The beneficiaries confirmed that activities carried out by KfW in the Lore Lindu Biosphere Reserve seemed to be related, but indicated that these projects focused on different villages (Int_42). This indicates coherence between TC and FC on paper, but barely in practice.

Coherence dimension 1 – Internal Coherence – scores **40 out of 50 points**.

**Coherence – Dimension 2: External Coherence**

External coherence was assessed against the reflection of partner strategies in the proposal and interviewee indications on coordination during project design regarding complementarity, coherence, additivity, sustainability and avoidance of duplication (see Table 9). The project supported MoEF's own efforts by, for example, assisting an internal SDG working group within MoEF in 2018 to coordinate and report to BAPPENAS on activities related to the MoEF's SDG contributions and a national mapping standard to map all peatland areas in Indonesia in a joint activitiy with local and national authorities in Kapuas Hulu (PR 2019, Int_1). Furthermore, project staff, the political partner and beneficiaries indicated that the project addressed in particular the needs and priorities of FMUs and, for example, the priorities of the Lore Lindu National Park (Int_2, 7, 8, 28, 42, S1M). Strategic and annual planning was discussed with national and subnational MoEF entities to ensure alignment and to build on each other's work (S1I). Subsidiarity was thus confirmed.

Examples of coordination with other donor activities include joint support with the United Nations Development Programme (UNDP) of processes aimed at deforestation-free supply chains in the province of West Kalimantan, coordination of payments for emission reductions in West Kalimantan from the Green Climate Fund (GCF) for the years 2014-2016, and collaboration with FAO on a National Forest Inventory and with the Global Green Growth Institute (GGGI) and the World Bank (WB) on capacity building for FMUs in East and North Kalimantan (PR 2019, PR 2021, Int_6, 16). The project was designed to use and further enhance existing systems, including government regulations and institutional structures. Continuous joint and integrated planning with MoEF made it possible to fill gaps in MoEF's own activities and to carry out cost sharing in their implementation towards joint goals (Int_1-11). This confirmed complementarity, additivity and external coherence.

Coherence dimension 2 – External Coherence – scores **50 out of 50 points.**

### Methodology for assessing coherence

Table 9: Methodology for assessing OECD/DAC criterion: coherence

| Coherence: assessment dimensions | Basis for Assessment | Evaluation design and empirical methods | Data quality and Limitations |
|---|---|---|---|
| **Internal coherence** | The evaluators looked at the reflection of coherence in the FORCLIME Programme and the division of tasks. Furthermore, the coordination of the project design with other federal ministries in terms of complementarity, coherence, additivity, sustainability and avoidance of duplication were explored. | **Evaluation design:** The analysis followed the analytical questions in the evaluation matrix (see Annex).<br><br>**Empirical methods:** Document review, interviews, team survey, web search. | For this dimension, there were no limitations on data quality. |
| **External coherence** | The evaluators looked at the reflection of partner strategies and approaches in the proposal and searched for indications from interviewees on the degree of subsidiarity and coordination during the project design process regarding complementarity, coherence, additivity, sustainability and avoidance of duplication. | **Evaluation design:** The analysis followed the analytical questions in the evaluation matrix (see Annex).<br><br>**Empirical methods:** Document review, interviews, team survey, web search. | For this dimension, there were no limitations on data quality. |

## 4.4 Effectiveness

This section analyses and assesses the effectiveness of the project. It is structured according to the assessment dimensions in the GIZ project evaluation matrix (see Annex 1).

### Summarising assessment and rating of effectiveness

Table 10. Rating of OECD/DAC criterion: effectiveness

| Criterion | Assessment dimension | Score and rating |
|---|---|---|
| **Effectiveness** | Achievement of the (intended) objectives | 30 out of 30 points |
| | Contribution to achievement of objectives | 30 out of 30 points |
| | Quality of implementation | 19 out of 20 points |
| | Unintended results | 20 out of 20 points |
| **Overall score and rating** | | Score: **99 out of 100 points**<br><br>Rating: Level 1: highly successful |

The project was highly effective. At both outcome and output level, all indicators were achieved or even surpassed. The reason the defined target values were surpassed was the fact that the Recentralisation Act brought about a high demand for policies and regulations to enable the provincial level to manage forest areas, which, in turn, translated into a high demand for capacity-building measures. The project activities clearly helped achieve the objective of enhancing the legal and institutional framework for SFM, biodiversity conservation and GHG reduction. The analysis clearly showed how the three project outputs (policy advice, FMU experience and HCD) worked together to address this objective and also confirmed the project's ToC.

The quality of project implementation was high. Context/conflict-sensitive monitoring was conducted throughout the project term and steering, and cooperation were based on continuous close and transparent communication with the political partner. This was supported by the project's strategy of integrating project planning into partner planning and by filling gaps in MoEF's interventions with project activities (gap-filling approach). Unintended results were not detected during the analysis.

**In total, the effectiveness of the project is rated Level 1: highly successful, with 99 out of 100 points.**

### Analysis and assessment of effectiveness

To assess the effectiveness of the project, a document review and data analysis were carried out; this included the project proposal, all four progress reports, publications and the project's M+E data, as well as partner products such as regulations, strategies and decrees. A contribution analysis was applied to assess the extent to which the objectives achieved could be attributed to project interventions. In addition, the evaluators cross-checked the extent to which outcome and output indicators were met during interviews with the project team, the political partner and beneficiaries. At beneficiary level, FGDs were conducted. In the case of Kapuas Hulu, a field visit was not possible due to COVID-19 travel restrictions. Two representatives from Labian Village and one from Menua Sadap Village were able to meet the national evaluator in Pontianak for an FGD. In the case of beneficiaries from Central Sulawesi, the national evaluator was able to visit Lore Lindu, conduct an FGD with five small and medium enterprises engaged in the production of local agricultural products such as coffee and cocoa, and an individual interview with an orchid cultivator. In Lore Lindu, a field visit to orchid cultivation sites

was also conducted (see Photo 2). Furthermore, the level of effectiveness was covered by the team survey (see Chapter 3.2) to capture broad feedback on the effectiveness criterion.

**Effectiveness– Dimension 1: Achievement of the (intended) objectives**

The basis for assessing the extent to which the intended objectives were achieved was the projects' outcome indicators that had been assessed as specific, measurable, achievable, relevant, and time-bound (SMART) during the inception mission (see tables 11 and 13). The 2021 project report, indications from project staff and the team survey, and M+E data indicated that **all five indicators were fully achieved** (PR 2021, M+E data 12/2020, Int_1-4, 6, 9, 11, 21, S1W, S1M, S1I, S1E, S1B). In fact, indicators 2-5 were **overachieved**, with a level of achievement of up to 700%. In the case of indicator 2, for example, 42 regulations for forest management, including conflict management, were passed, rather than the target of six. Due to the Recentralisation Act, there was huge demand to structure forest management at provincial level, and the project benefited from this demand.

Table 11: Assessed and adapted objective indicators for specific modules (outcome level)

| **Project's objective indicator according to the (last change) offer and level of achievement per M+E data 12/2020** | **Assessment according to SMART* criteria** | **Specified objective indicator** |
|---|---|---|
| **1.** Five regulations for the implementation of the forest sector reform in accordance with the Recentralisation Act 23/2014, the establishment of FMUs and the reduction of GHG emissions from forestry (including forest fire prevention) were issued at national level by responsible decision-makers.<br>Base value (06/2016): 0 regulations<br>Target value (06/2018): 5 regulations<br>Current value (12/2020): 5<br>Achievement in % (12/2020): 100%<br>Source: document analysis of draft regulations and regulations passed at national and provincial level. | The indicator meets the SMART criteria:<br>Specific (S): clear indication on which regulations are targeted.<br>Measurable (M): base, target values and data sources specified.<br>Achievable (A): fulfilment seems realistic.<br>Relevant (R) for measuring the outcome, as it reflects MoEF's efforts towards enhanced regulatory framework conditions.<br>Time-bound (T): to be met by project completion. | N/A |
| **2.** Six implementation regulations for forest management, including conflict management, were passed.<br>Base value (06/2016): 0 implementing regulations<br>Target value (06/2018): 6 implementing regulations<br>Current value (12/2020): 42<br>Achievement in % (12/2020): 700%<br>Source: document analysis of implementing regulations. | The indicator meets the SMART criteria:<br>S: clear indication on which implementation regulations are targeted.<br>M: see indicator 1.<br>A: Fulfilment seems realistic, although the project's potential might have been underestimated.<br>R: see indicator 1.<br>T: see indicator 1. | N/A |
| **3.** Two regulations for the inclusion of the climate agenda, including gender mainstreaming, have been adopted.<br>Base value (06/2016): 0 regulations<br>Target value (06/2018): 2 regulations<br>Current value (12/2020): 4<br>Achievement in % (12/2020): 200%<br>Source: gender-specific document analysis of regulations for budget planning within budget debates; internal evaluation of thematic coverage. | The indicator mostly meets the SMART criteria:<br>S: clear indication on targeted regulations, slightly unclear as to what these should be included in (see addition in next column).<br>M: see indicator 1.<br>A: see indicator 2.<br>R: see indicator 1.<br>T: see indicator 1. | Minor specification: (…) for the inclusion (…) **in strategic planning processes in the forestry sector**, (…), have been adopted. |
| **4.** Six revised standards and procedures for FMU management are based on experiences from pilot FMUs.<br>Base value (06/2016): 0 standards/procedures<br>Target value (06/2018): 6 standards/procedures | The indicator meets the SMART criteria:<br>S: clear indication on targeted standards/procedures.<br>M: see indicator 1. | N/A |

| Project's objective indicator according to the (last change) offer and level of achievement per M+E data 12/2020 | Assessment according to SMART* criteria | Specified objective indicator |
|---|---|---|
| Current value (12/2020): 11<br>Achievement in % (12/2020): 183%<br>Source: document analysis of old standards and procedures, project experiences; internal evaluation if experiences were included in new standards/procedures. | A: see indicator 2.<br>R: see indicator 1.<br>T: see indicator 1. | |
| **5.** 70% of all FMU personnel who participated in in-house training or training conducted by either CEFET, BDK or regional forestry vocational schools can provide evidence of concrete examples of application of the knowledge acquired during training sessions in their daily work.<br>Base value (06/2016): 0<br>Target value (06/2018): 70% of FMU personnel (805 officials employed by FMUs)<br>Current value (12/2020): 91%<br>Achievement in % (12/2020): 130%<br>Source: analysis of statistics of CEFET and BDK and the project's own M+E data. | The indicator meets the SMART criteria:<br>S: clear indication on targeted FMU personnel.<br>M: see indicator 1.<br>A: see indicator 1.<br>Relevant for measuring the outcome, as it reflects MoEF's efforts towards enhanced institutional framework conditions.<br>T: see indicator 1. | N/A |

The evaluation team concluded that all five project objective indicators were fully achieved by the end of the project.

Effectiveness dimension 1 – Achievement of the (intended) objectives – scores **30 out of 30 points.**

**Effectiveness– Dimension 2: Contribution to achievement of objectives**

To assess the project's contribution to the above-mentioned outcomes, a contribution analysis was conducted. This analysis provides a systematic analytical and reporting strategy to facilitate the use of different data collection methods. The analysis was based on the three results hypotheses defined during the inception phase (see also tables 12 and 13).

The project was based on **three outputs**:

- Improved regulations have been developed in accordance with a) the national climate protection goals (NDCs), b) the principles of good governance in the forest sector and c) the goals of biodiversity protection.
- Experience from management of the pilot FMUs is disseminated.
- The prerequisites for building the capacities of FMU staff have improved.

The document analysis, interview and survey indications, and M+E data indicated that **all indicators under these three outputs were fully achieved**. As with outcome level, the output level indicators were also **surpassed** in some cases (PR 2021, M+E data 12/2020, Int_2, 3, 10, 11, 21, 32, 35, S1B, S1I, S1M). An example of this overachievement was output indicator 2.2, which targeted two regulations and two HCD instruments used by CEFET, BDK and forestry colleges to include experience from FMU management. By the end of the project, two regulations and eight HCD instruments were based on FMU experiences of the project. The **Recentralisation Act created opportunities to boost demand** for exactly what the project had to offer. Exemplary achievements under output 1 included the testing of an FMU concept to prevent forest fires and the inclusion of biodiversity aspects based on the Indonesian Biodiversity Strategy and Action Plan (IBSAP) in forest management regulations, and those under output 3 included 89 people with civil servant status trained on FMU management by appropriately qualified staff (the target was 87).

Three results hypotheses were selected during the inception phase (see also Figure 2 and Table 12):

- Advising MoEF on its strategic plan 2020-2024 (A2) will lead to improved forest management regulations (A4). This, in turn, will enable climate change and gender aspects to be incorporated into strategic planning

processes (O3) as a precondition for national policy on SFM, biodiversity conservation and GHG reduction (ABC1).

- FMU experiences will serve as examples and generate lessons to be disseminated (B4). This will enable them to be integrated into decrees (O4), which will strengthen national policies on SFM, biodiversity conservation and GHG reduction (ABC1).
- Identifying the capacity development needs of FMUs and addressing these in practical training and education (C1) will help improve the conditions for capacity building at FMU level (C3). This will enable FMU staff to apply newly acquired knowledge/skills (O5) to ultimately improve the legal and institutional framework (ABC1).

These hypotheses were chosen, as they strongly reflected the project's underlying assumption that the three elements (outputs) of policy advice, FMU support and HCD would be enabling factors for enhancing regulatory and institutional framework conditions regarding forest and biodiversity protection, thereby ultimately supporting the reduction of GHG emissions from the forestry sector. At the same time, they offered a profound insight into the project implementation structure (multi-level approach from local to national level). By examining these three hypotheses, the evaluators expected to gain a holistic overview of the project, its interventions, how it built on the results and impacts of its predecessors and relevant aspects for the follow-on project.
**Overall, the analysis confirmed the three selected results** hypotheses (see Table 11). Regarding hypothesis 1, FORCLIME advised MoEF on RENSTRA 2020-2024 from the start of the project. By 2019, for example, this had enabled a provincial decree for the recovery of the Kayan Sembakung Delta in North Kalimantan to be issued to preserve peat and mangrove forests and had supported the declaration of the entire Kapuas Hulu district as a UNESCO biosphere reserve. By 2020, a provincial-level decree (8/2019) was issued in West Kalimantan, which led to national strategic forestry planning that considers the local conditions, which is particularly relevant in forest fire prevention, for example. The project advised the Directorate of Forest and Rural Fire Suppression regarding the analysis, revision and testing of forest fire prevention concepts. By project end, the new five-year plan had been put into force as the basis for national activities and budget lines in the coming years. Gender mainstreaming in planning and budgeting processes by MoEF has been awarded the highest competence category by the Indonesian government (PR 2018-2021). Interviewees from the political partner and direct target group confirmed that the project support led to gender mainstreaming at national and provincial level (Int_7-8, 40). The project helped incorporate climate change and gender aspects into the strategic plan by generating experience at local and provincial level and feeding this into national discussions. The inclusion of gender and climate change in the strategic plan was confirmed during interviews with the political partner to be a precondition for national policy on these issues with relevance for SFM, biodiversity conservation and GHG reduction (PR 2018-2021, Int_7-8, 39-40). Unintended results such as sedition among the ministries competing for resources were not detected during the analysis. At the same time, only MoEF and BAPPENAS representatives were interviewed, which undermined the validity of this finding.

These examples also served to confirm hypothesis 2. Generating local and provincial experience for and with FMUs and disseminating these led to several decrees being issued as inputs to strengthened national policies on SFM, biodiversity conservation and GHG reduction. Further evidence confirming this hypothesis included the fact that the project supported the Forestry Administration in West Kalimantan in a campaign to educate local communities on preventive agricultural measures to prevent forest fires, which ultimately led the governor of West Kalimantan to issue a decree on fire prevention (PR 2019). These local experiences were transferred to provincial level and are feeding into national policies, as confirmed by project staff and direct target group representatives (Int_1-11). Unintended results, such as the pilot FMUs receiving more attention and resources than other FMUs with potentially greater needs, were not encountered during the analysis. However, representatives from non-pilot FMUs were not interviewed. The fact that this unintended result was not detected during the analysis is therefore not proof that it did not occur.

The following served as exemplary evidence to confirm hypothesis 3: the forestry training centre in Samarinda, which is responsible for Kalimantan, analysed the training needs of seven representative FMUs. The findings

served as a basis for guiding future training measures by the project and partner. Special attention was paid to social forestry. Based on this analysis, CEFET independently trained 60 participants in conflict management and the development of management plans for community forests. To further strengthen the FMU, a training session for trainers was conducted in East Kalimantan, which was so well received that it was requested by MoEF at national level (PR 2018). Trained staff members were confirmed to apply their new skills and knowledge as inputs to achieve an improved legal and institutional framework for SFM, biodiversity conservation and GHG reduction (M+E data 12/2020, Int_17, 27-28, 33, 40). Some interviewees confirmed that some trained staff members discontinued their employment during the project term (I3, I5, I36). However, whether this was linked to better employment conditions due to their new skills and knowledge (unintended result) and the extent to which this occurred were not assessed under the scope of the assessment. A lack of backing and support for trained FMU staff members in the application of their new knowledge and skills (unintended result) could not be confirmed; on the contrary, the FMU representatives interviewed stated that they were encouraged to apply these.

Altogether, the three confirmed hypotheses perfectly demonstrate how **the three outputs (policy advice, FMU engagement and HCD) worked together to achieve an enhanced legal and institutional framework for SFM, biodiversity conservation and GHG reduction.** They also demonstrate how the multi-level approach was successfully applied.

The main **external factors that impacted project achievements** were the COVID-19 pandemic, which delayed field activities and classroom training in particular, and high policy dynamics (PR 2020-21, S1E, Int_1, 6, 9, 11, 33). The project responded to the temporary loss of direct contact due to COVID-19 by shifting to online activities such as webinars, processing of learning experiences and documentation of activities. E-learning had been part of the project strategy since the start, so it was possible to deliver many training formats virtually. At the same time, a lack of IT infrastructure and a limited understanding among participants regarding e-learning posed some barriers. According to some interviewees, some participants in virtual training sessions considered the fact that they had mastered tools such as Zoom to be a training success and overlooked the actual training content (Int_4, 33). Despite these challenges, the project managed to achieve and even surpass its defined targets at output and outcome level, as laid out above.

The main **internal factors that impacted project performance** were stated to be synchronisation of the project work plan with the work plan at each level of the partner structure, good-quality, continuous communication as a result of closeness to the partner, flexibility in responding to changes and needs, staff retention within the project team, good expertise and connections to the partner via liaison people (former MoEF staff), a clear focus on forestry, filling gaps within MoEF's activities with project activities and the multi-level approach (Int_3, 5, 16, 18, 22, 40, FT2). An internal factor that hindered project performance was the inability to pay MoEF staff daily allowances for their participation in project activities, which limited their possibilities for engagement. Internal funds for project contributions need to be planned up front by MoEF and, where this is not the case, some officials may opt out (Int_6, 11, 13, 27, 32).

Effectiveness dimension 2 – Contribution to achievement of objectives – scores **30 out of 30 points.**

Table 12: Selected results hypotheses for effectiveness

| | |
|---|---|
| **Hypothesis 1 (activity – output – outcome)** | Advising MoEF on RENSTRA 2020-2024 (A2) will lead to improved forest management regulations (A4). This, in turn, will make it possible to include climate change and gender aspects in strategic planning processes (O3) as a precondition for national policy on SFM, biodiversity conservation and GHG reduction (ABC1).<br>**Status: hypothesis confirmed** |
| **Main assumption** | MoEF will integrate project experience, e.g. relating to forest fire reduction strategies, into its strategic plan. |
| **Risks/unintended results** | Strengthening MoEF and potentially forest management regulations beyond their mandate within the Indonesian political landscape may lead to unsatisfied MoEF staff and sedition among ministries that compete for resources. |
| **Alternative explanation** | The Recentralisation Act established the structures needed to improve forest management regulations, thus enabling FMUs to work appropriately towards the sustainable management of forests according to REDD+ approaches and REDD+ targets. Ultimately, this enhances the legal and institutional framework towards achieving SDG targets.<br>**Status: partly confirmed** – the Recentralisation Act made it possible to establish the necessary structures and define the need for capacity building at FMU level. |
| **Hypothesis 2 (activity – output – outcome)** | FMU experiences will serve as examples and generate lessons to be disseminated (B4). This will enable them to be integrated into decrees (O4), which will strengthen national policies on SFM, biodiversity conservation and GHG reduction (ABC1).<br>**Status: hypothesis confirmed** |
| **Main assumptions** | • FMU management plans are being put into action.<br>• Community-based forest management is a priority for FMUs.<br>• Other FMUs are interested in integrating lessons from the pilots. |
| **Risks/unintended results** | The supported pilot FMUs may turn into 'FMU champions' that receive more attention and resources than the other FMUs, whose needs may be greater. |
| **Alternative explanation** | As a result of managing forests at local level due to the Recentralisation Act, FMUs engage local communities to bridge their own capacity gaps. Experiences from community-based forest management fuel national discussions, thus strengthening the respective policies.<br>**Status: not confirmed** – it was indicated that local experiences fuelled national discussions only to a minor extent in the absence of the project. |
| **Hypothesis 3 (activity – output – outcome)** | Identifying the capacity development needs of FMUs and addressing these in practical training and education (C1) will help improve the conditions for capacity building at FMU level (C3). This will enable FMU staff to apply newly acquired knowledge/skills (O5) to ultimately improve the legal and institutional framework (ABC1).<br>**Status: hypothesis confirmed** |
| **Main assumptions** | • Identified capacity-building needs of FMUs are addressed by training centres such as CEFET and BDK.<br>• These training centres have capacities and the mandate to train FMU staff.<br>• Trained FMU staff members have the mandate to feed knowledge and expertise into building the technical and institutional capacity of FMUs to support national legal and institutional framework conditions. |
| **Risks/unintended results** | • Trained FMU staff may leave their employment at provincial FMUs to take up new positions.<br>• Trained FMU staff members may not receive backing and support to apply their new knowledge and skills. |
| **Alternative explanation** | As a result of the Recentralisation Act, capacity-building measures at FMU level are improved and allow FMU staff to feed their newly acquired skills/knowledge into processes, thus enhancing the legal and institutional framework.<br>**Status: partly confirmed** – capacity-building measures might haven taken place, according to interviewees, but these were certainly not up to the level achieved through the project's support. |

**Effectiveness – Dimension 3: Quality of implementation**

Implementation quality was assessed against the level of Capacity WORKS considerations, specifically in steering and cooperation (see Table 12). Results-oriented monitoring was established and used for evidence-based decision-making and risk management (Int_4, 11, 38, M+E data 12/2020). Data was disaggregated by gender and potential escalating and deescalating factors were closely monitored (M+E data 12/2020). This led to efficient and timely decision-making. Continuous, close communication, especially with the partner, ensured transparent communication on the project's progress and the decisions made (Int_7-8, 36, 38-39, FT1-2). The involvement and cooperation of relevant actors (including partners, civil society and the private sector) were ensured through a clear, comprehensive cooperation structure (Int_1-5, 8 FT1-2). The project and political partner supported each other through integrated planning and the project's gap-filling approach (Int_7-8, 13, 27-28). However, the frequency of meetings declined due to COVID-19 and was then partly perceived as insufficient (Int_4, 11).

Effectiveness dimension 3 – Quality of implementation – scores **19 out of 20 points.**

**Effectiveness– Dimension 4: Unintended results**

Positive or negative unintended results were assessed based on the respective findings during the inception mission and on interviewee indications (see Table 12). Unintended results, whether positive or negative, were not encountered during the inception or evaluation mission. Continuous dialogue and adequate stakeholder management were key factors to ensure that escalating factors / dividers were not strengthened by the project (Int_1-3, 11).

Photo 2: Orchids in Lore Lindu Biosphere Reserve (Arief Darmawan, 2021)

Unintended results, including risks, especially unintended negative results in the context of conflict, fragility, and violence, were monitored in a systematic way. An output-based activity tracker that summarised data in Excel format was used as the primary tool for monitoring. Each project officer was required to fill out an M+E form after completion of an activity. In addition, the M+E officer interviewed the project officers to ensure the form was filled out correctly and to capture any additional data or information that might be relevant (Int_38, FT1-2).

Effectiveness dimension 4 – Unintended results – scores **20 out of 20 points.**

## Methodology for assessing effectiveness

Table 13: Methodology for assessing OECD/DAC criterion: effectiveness

| Effectiveness: assessment dimensions | Basis for Assessment | Evaluation design and empirical methods | Data quality and limitations |
|---|---|---|---|
| **Achievement of the (intended) objectives** | The level of achievement was assessed based on the project's outcome indicators that had been assessed as SMART during the inception mission. | **Evaluation design:** The analysis followed the analytical questions in the evaluation matrix (see Annex).<br><br>**Empirical methods:** Document and data analysis, survey, interviews, FGD, field visits / observation. | Data quality was good, as expected. |
| **Contribution to achievement of objectives** | The selected results hypotheses from the project's ToC were:<br><br>**1.** Advising MoEF (A2) will lead to improved draft regulations (A4), which will allow climate change and gender to be included in strategic planning (O3) as a prerequisite for an improved legal framework (ABC1). This will help strengthen MoEF's role (R2) and reduce forest emissions (R7).<br><br>**2.** Developing FMU management plans (B1) will lead to advisory services on community-based forest management (B3) and generate experiences for dissemination (B4). This will allow these experiences to be included in decrees (O4) as a prerequisite for an improved legal framework (ABC1) and will allow FMU management to be aligned with SFM principles and national targets (R1) to ultimately reduce forest emissions (R7).<br><br>**3.** Addressing identified capacity-development needs (C1) will improve conditions for capacity building at FMU level (C3). Applying newly acquired skills/knowledge (O5) will help enhance regulatory/institutional conditions (ABC1). This will strengthen MoEF's role in mitigation activities (R2) and will lead to GHG emission reductions (R7). | **Evaluation design:** Contribution analysis: the project design and context did not allow for experimental or quasi-experimental designs. With the resources available, contribution analysis was the most feasible approach to achieve credible results. The advantage of the contribution analysis design is that it provides a systematic analytical and reporting strategy that facilitates the use of different data collection methods.<br><br>**Empirical methods:** Document and data analysis, survey, interviews, FGD, field visits / observation. | Data quality was good, as expected. |

| Effectiveness: assessment dimensions | Basis for Assessment | Evaluation design and empirical methods | Data quality and limitations |
|---|---|---|---|
| **Quality of implementation** | Implementation quality was assessed against the level of Capacity WORKS considerations, specifically in steering and cooperation. | **Evaluation design:** The analysis followed the analytical questions in the evaluation matrix (see Annex).<br><br>**Empirical methods:** Document and data analysis, survey, interviews, FGD, field visits / observation. | Data quality was good, as expected. |
| **Unintended results** | Results from the appraisal mission and relevant analyses (e.g. PCA, environment and climate change and gender) and the extent to which they were considered and occurred in the project implementation were considered. | **Evaluation design:** Explorative, based on the most significant change (MSC) approach: this design aims to identify change stories and how and when change came about. It is therefore a suitable approach for identifying results that were not foreseen by the project.<br><br>**Empirical methods:** Document and data analysis, survey, interviews, FGD, field visits / observation. | Data quality was good, as expected. |

## 4.5 Impact

This section analyses and assesses the impact of the project. It is structured according to the assessment dimensions in the GIZ project evaluation matrix (see Annex 1).

### Summarising assessment and rating of impact

Table 14: Rating of OECD/DAC criterion: impact

| Criterion | Assessment dimension | Score and rating |
|---|---|---|
| **Impact** | Higher-level (intended) development changes/results | 27 out of 30 points |
| | Contribution to higher-level (intended) development results/changes | 30 out of 40 points |
| | Contribution to higher-level (unintended) development results/changes | 30 out of 30 points |
| **Impact score and rating** | | Score: **87 out of 100 points**<br><br>Rating: Level 2: successful |

The project successfully achieved the planned results. SFM, forest conservation and gender mainstreaming have been implemented across the different levels of MoEF and the ministry is perceived to have been strengthened to tackle climate change mitigation and to ultimately reduce GHG emissions from the Indonesian forest sector. This is in line with Indonesia's national strategies and priorities such as RKTN, RENSTRA, NDCs and SDGs. Indonesia's deforestation rate has clearly reduced. To further support climate change mitigation in forestry, increasing carbon stocks via afforestation/reforestation and rehabilitation can be explored further. This

was not targeted by the project but would further support the project's impacts in line with the policy markers awarded and the SDGs.

The project accelerated reform processes and enhanced their quality through consultation and networking. Without the project, the status of the Indonesian forestry sector and MoEF's role in climate change mitigation would likely have developed in a similar manner, albeit not as quickly. All project activities clearly contributed to the achieved impact. However, reduced deforestation rates and a strengthened MoEF could only have been achieved by the bulk of interventions by the Indonesian government and international development cooperation since the United Nations Climate Change Conference 2009 in Copenhagen put REDD+ on the climate agenda. Project contribution to higher-level development changes was based on indirect ties to project interventions. Contribution to high-level development results was thus only partly possible.

Unintended higher-level development impacts were not detected during the analysis.

**In total, the impact of the project is rated Level 2: successful, with 87 out of 100 points.**

### Analysis and assessment of impact

The methodology for assessing the project's impact was the same as that used to assess its effectiveness (see Chapter 4.5). Intended impacts had been discussed with the project team during the inception mission. Furthermore, the overarching FORCLIME programme (TC and FC) defined the programme outcomes, which were the project's desired impacts. The policy markers awarded highlight the impacts on environmental and resource protection and ecological sustainability (UR marker: 2), climate change and GHG mitigation (KLM marker: 2), the Convention on Biological Diversity (BTR marker: 2) and rural development and food security (LE marker: 2). This focus on the environment, biodiversity and climate change, with long-term benefits for the rural population, was also reflected in the main SDGs targeted (i.e. 13 and 17). This is why assessing observable (monitored) results regarding reduced GHG emissions and expanded carbon stocks as defined impacts were chosen for evaluation.

**Impact – Dimension 1: Higher-level (intended) development changes/results**

The assessment of this dimension was based on the observable results regarding reduced GHG emissions and expanded carbon stocks as defined impacts. Other aspects considered were the role of MoEF in climate change mitigation activities (strengthened or not) and the extent to which FMUs are now empowered to consider SFM principles and national targets on climate change mitigation (see Table 15). The analysis confirmed a clear reduction in Indonesia's deforestation rate (see also Figure 4). Criminal cases of intentional illegal forest conversion were tried in the Indonesian courts and the number of fire hotspots reduced from 3,844 in 2016 to 157 in 2017. Indonesia progressed towards SFM, with deforestation rates decreasing from 630,000 ha in 2015-2016 to 497,000 ha in 2016-2017 and 439,000 ha in 2017-2018 (PR 2018-2020, Mongabay.org 2021, M+E data 2020). Project staff, other GIZ staff and the political partner confirmed that FMU capacities were strengthened. Fourteen FMUs within the direct FORCLIME intervention area now have management plans and enhanced forest regulations to improve forest governance, according to the interviewees. Biodiversity conservation is more present on people's minds due the declaration of official UNESCO biosphere reserves (see Chapter 4.4) and a specific biosphere reserve logo (see Photo 3) developed by the project that can be used on the packaging of products generated within the reserve (S1I, S1R, Int_1, 3-5, 11, 13, 21, 32, 33, 40). One interviewee from the direct target group also stated that they expected to see an increase in income due to the use of the biosphere logo, which would contribute to poverty alleviation in the respective villages (Int_28). Others were rather sceptical about this approach for income generation. So far, the logo is not backed up with a credible certification or verification system and the potential uptake of / demand for products with the logo has not yet been explored in depth (Int_24-25, 42).

Out of 34 ministries, only six were acknowledged to have applied gender mainstreaming, and MoEF was awarded the highest rating by the Ministry of Women Empowerment and Child Protection (S13, Int_1, 7-9). This indicates the benefits for women working at MoEF.

Therefore, **the analysis confirmed the implementation of SFM and forest conservation strategies, gender mainstreaming at MoEF, a strengthened role for MoEF in climate change mitigation and, ultimately, reduced deforestation rates, thus implying reduced GHG emissions from the Indonesian forest sector**. This is line with Indonesia's national strategies and priorities such as RKTN, RENSTRA, NDCs and SDGs. An expansion in carbon stocks could not be confirmed by the analysis (see Chapter 4.2). This was not targeted by the project but would further support the project's impacts in line with the policy markers awarded and the SDGs.

Impact dimension 1 – Higher-level (intended) development changes/results – scores **27 out of 30 points.**

**Impact – Dimension 2: Contribution to higher-level (intended) development results/changes**

For this theory-based evaluation, two results hypotheses had been selected during the inception phase (see also Table 15 and Figure 2). These two hypotheses had been chosen, as they address the political partner and direct target group at different levels:

- An improved legal/institutional framework (ABC1) will empower FMUs to consider SFM principles and national targets on climate change mitigation (R1), thus feeding into GHG reduction (R7).
- Enhanced legal and institutional framework conditions (ABC1) will lead to a strengthened MoEF with respect to its role in climate change mitigation (R2), thereby supporting GHG reduction (R7).

**Exemplary evidence confirming hypothesis 1** was found regarding fire prevention. The FMU in Kubu Raya, for example, was supported with respect to fire prevention measures and a fire prevention concept was developed within the FMU and ended up being institutionalised in a provincial regulation that was binding for all FMUs in the province of West Kalimantan. A clear regulation on fire prevention that did not exist previously is thus empowering and guiding FMUs to consider SFM alongside climate change mitigation targets as per the NDCs, thereby helping reduce forestry emissions (PR 2021, Int_1, 12, 28, FT1, FT2). At the same time, it was stated that this was certainly not the sole achievement of the project, but rather should be considered in the context of all interventions carried out by the Indonesian government and development cooperation since the United Nations Climate Change Conference 2009 in Copenhagen, which paved the way for discussions and interventions on REDD+ (Int_1, 8-9, 39, FT1, FT2). Furthermore, the desired outcome was considered fairly high level and fell partly outside the project's mandate (Int_1, 10). Where the project identified levers to achieve its objectives that fell outside its direct scope and mandate, it addressed these via strategic alliances and the creation of spin-off projects (Int_15-16, 25-26, 36). For example, to address agriculture as a driver for deforestation, two projects were set up in SASCI and SASCI+ (see also Chapter 4.7).

**Hypothesis 2 seems plausible**. Interviewees (project staff and political partner representatives) confirmed that the MoEF was strengthened; for example, it was perceived to participate more actively in climate change discussions and passing decrees on fire prevention (see Chapter 4.4). An enhanced legal and institutional framework and evidence based on local experience were mentioned as factors that gave MoEF more confidence to take up climate change issues (Int_1, 7-8). Interviewees said they expected MoEF to play an increasing role in reaching the defined targets as per the NDCs in the future. This, however, remains to be seen and confirmed in the future (Int_7-8, 36, 39, FT2).

The project's role was to support national and subnational partners by providing technical assistance, advice and facilitation. Policy work and training formats helped build institutional capacities. The project also acted as a bridge between regional and national partners, especially by transferring experience from the field to national

level in relation to policy discussions within MoEF (PP 2015, S1M, S1B). The causal pathways from outcome to impact level seemed rather long and subject to external factors (see Chapter 2.2). The project's contribution to higher-level development changes was based on indirect ties with the project interventions. The analysis confirmed these indirect links, while also acknowledging the fact that the contribution to higher-level development results was not solely due to the project, but also resulted from efforts by the Indonesian government and other actors such as FAO, GCF, GGGI and the World Bank. Interviews with project staff and the political partner highlighted that the status of the Indonesian forestry sector and MoEF's role in climate change mitigation would likely have developed in a similar way without support from the project, but it would not have happened so quickly. **The project accelerated reform processes and enhanced their quality through consultation and networking. It was a catalyst for reform processes by bringing people together and thinking outside of the box** (Int_1, 3, 5, 21, 28, 39).

The internal and external factors that were decisive for achievement of the project's development objectives were the same as for the effectiveness dimensions (see Chapter 4.4).

Impact dimension 2 – Contribution to higher-level (intended) development results/changes – scores **30 out of 40 points**.

Table 15: Selected results hypotheses for impact

| | |
|---|---|
| **Results Hypothesis 1 (outcome – impact)** | An improved legal/institutional framework (ABC1) will empower FMUs to consider SFM principles and national targets on climate change mitigation (R1), thus feeding into GHG reduction (R7).<br>**Status: hypothesis confirmed** |
| **Main assumption** | FMUs have the mandate and resources to conduct climate change mitigation activities. |
| **Risks** | Newly acquired capacities and potentially assigned resources might be misused (corruption risk). |
| **Alternative explanation** | As per the Recentralisation Act, the role of FMUs includes considering SFM principles and national targets on climate change, which feed into GHG reduction. |
| **Results Hypothesis 2 (outcome – impact)** | Enhanced legal and institutional framework conditions (ABC1) will lead to a strengthened MoEF with respect to its role in climate change mitigation (R2), thereby supporting GHG reduction (R7).<br>**Status: hypothesis plausible and partly confirmed** |
| **Main assumptions** | • MoEF and FMUs apply the capacities they have acquired and use the established structures and procedures for climate change mitigation.<br>• On-site forest management by FMUs reduces the probability of unplanned deforestation.<br>• GHG emission reductions in the forestry sector are a priority for the Indonesian government. |
| **Risks** | • Newly acquired capacities and potentially assigned resources might be misused (corruption risk).<br>• Factors other than GHG emission reductions in forestry might be or might become more important to the government, e.g. the economic value of land (e.g. for palm oil production) may outweigh the perceived (economic) forest value. |
| **Alternative explanation** | MoEF's role in climate change mitigation is strengthened by the Recentralisation Act so that interventions by MoEF support national GHG reductions in the forest sector. |

**Impact – Dimension 3: Contribution to higher-level (unintended) development results/changes**

Assessment of the unintended higher-level development results was based on the results of the appraisal mission at the beginning of the project, particularly the PCA, Environment and Climate Change Assessment and interviewee indications (see Table 16).

The changes caused by the project based on the two chosen results hypotheses were explored during FGDs and interviews with representatives of the direct and indirect target groups. Findings were triangulated with the results of the data and document analysis, as well as with the results of interviews with other project stakeholders and observations during field visits.

Photo 3: Mamia Chocolate from Lore Lindu with the biosphere reserve logo (Arief Darmawan, 2021)


The **dividers and connectors** (see tables 6 and 7) identified during the PCA were **adequately addressed** by the project (see Chapter 4.1). The **main risks and potentials** identified during the **Environment** and **Climate Change** Assessment were related to management of water catchment areas, afforestation/reforestation and rehabilitation efforts with mostly endemic species and the use of (chemical) fertilisers and pesticides (GIZ 2015). These topics were **taken up by the project** in the context of FMU management plans and respective training sessions with FMU staff and local communities (Int_13, 28, 31).

**Unintended positive or negative results at impact level were not identified during either the inception mission or the evaluation mission.**

Impact dimension 3 – Contribution to higher-level (unintended) development results/changes – scores **30 out of 30 points**.

## Methodology for assessing impact

Table 16: Methodology for assessing OECD/DAC criterion: impact

| Impact: assessment dimensions | Basis for assessment | Evaluation design and empirical methods | Data quality and limitations |
|---|---|---|---|
| **Higher-level (intended) development changes/results** | The basis for assessment of this evaluation dimension was the observable (monitored) results regarding reduced GHG emissions and expanded carbon stocks as the impact defined. Other aspects considered were the role of MoEF in climate change mitigation activities (whether strengthened or not) and the extent to which FMUs are now empowered to consider SFM principles and national targets on climate change mitigation. | **Evaluation design:** The analysis followed the analytical questions in the evaluation matrix (see Annex); no specific evaluation design was applied.<br><br>**Empirical methods:** Document and data analysis, survey, interviews, FGD, field visits / observations. | The data quality for this dimension was moderate. The evaluators did not have access to up-to-date data on GHG reductions, as this fell outside the scope of the project. Nonetheless, external evidence for a general reduction in GHG in forestry was found. Evidence for a strengthened role of MoEF and empowered FMUs (besides the pilot FMUs) was anecdotal just four to five months after the end of the project. |
| **Contribution to higher-level (intended) development results/changes** | Two results hypotheses were chosen as the basis for evaluation of this dimension (see Table 12):<br><br>**1.** An improved legal/institutional framework (ABC1) will empower FMUs to consider SFM principles and national targets on climate change mitigation (R1), thus feeding into GHG reduction (R7).<br><br>**2.** Enhanced legal and institutional framework conditions (ABC1) will lead to a strengthened MoEF regarding climate change mitigation (R2), thereby supporting GHG reduction (R7). | **Evaluation design:** Contribution analysis: the project design and context did not allow for experimental or quasi-experimental designs. With the available resources, contribution analysis was the most feasible approach to achieve credible results. The advantage of the contribution analysis design is that it provides a systematic analytical and reporting strategy that facilitates the use of different data collection methods.<br><br>**Empirical methods:** Document and data analysis, survey, interviews, FGD, field visits / observations. | Data quality was moderate to good, as expected. Direct and indirect target group representatives were barely aware of differences between interventions, thus giving rise to a blurred image of contribution. The contribution analysis could not fully balance out such bias, thereby negatively influencing the evidence strength. |
| **Contribution to higher-level (unintended) development results/changes** | The assessment was based on the results of the appraisal mission at the beginning of the project, particularly the PCA and the Environment and Climate Change Assessment. | **Evaluation design:** Explorative, based on the most significant change (MSC) approach: this design aims to identify change stories and how and when change came about. It is therefore a suitable approach for identifying results that were not foreseen by the project.<br><br>**Empirical methods:** Document and data analysis, survey, interviews, FGD, field visits / observation, M+E data. | Data quality was moderate. Direct and indirect target group representatives were barely aware of differences between interventions, thus giving rise to a blurred image of contribution. The contribution analysis could not fully balance out such bias, thereby negatively influencing the evidence strength. |

## 4.6 Efficiency

This section analyses and assesses the efficiency of the project. It is structured according to the assessment dimensions in the GIZ project evaluation matrix (see Annex 1).

The GIZ efficiency tool for collecting data and assigning costs to project outputs was used for the assessment. The data analysis with the efficiency tool was conducted in line with the analytical questions in the evaluation matrix, which were based on the follow-the-money approach. However, the project was designed in 2015 and presented a different structure to that of the efficiency tool. This required the application of educated guesses to fill in the efficiency tool, thus greatly limiting the evidence strength. The sole result of populating the efficiency tool was the distribution of the budget among project outputs, which appeared to be a rather inefficient activity within this evaluation.

### Summarising assessment and rating of efficiency

Table 17. Rating of OECD/DAC criterion: efficiency

| Criterion | Assessment dimension | Score and rating |
|---|---|---|
| **Efficiency** | Production efficiency (Resources/Outputs) | 70 out of 70 points |
| | Allocation efficiency (Resources/Outcome) | 30 out of 30 points |
| **Efficiency score and rating** | | Score: **100 out of 100 points**<br><br>Rating: Level 1: highly successful |

The project was highly effective with respect to production and allocation efficiency. The largest share of the project budget was allocated to output 2 (FMU experience), which involved a lot of field activities that implied travel costs and direct implementation costs. Due to the project's integrated planning and gap-filling approach, substantial partner contributions (EUR 15.7 million compared to EUR 11.9 million of the project budget) were leveraged and the results maximised. Most outputs were achieved on time, with minor delays due to COVID-19 restrictions that were made up for towards the end of the project.

**In total, the efficiency of the project is rated Level 6: highly unsuccessful, with 100 out of 100 points.**

### Analysis and assessment of efficiency

The data for populating the efficiency tool was gathered jointly with the programme manager and the project's financial staff. This was then cross-checked during interviews with other project staff and the political partner.

**Efficiency – Dimension 1: Production efficiency**

The assessment was based on GIZ's 'follow-the-money' efficiency tool, in which costs are retrospectively assigned to outputs (see Table 18).

According to the cost commitment sheet (KTR-Bericht 03/2021), expenses were managed mostly as planned. Minor differences included expenditure 2% above the planned amount for internal staff, 3% below the budgeted expenditure for external support and 2% above the budgeted HCD participant costs. In total, the project expenses remained 5% below the planned budget (planned: EUR 11,940,000; executed: EUR 11,335,605).[10]

[10] A final account had not yet been established at the time of the evaluation; differences between these findings and final account statements may thus occur. The analysis was based on the cost commitment sheet as of 1 March 2021.

This was due to COVID-19 restrictions, which led to the need for more digital training sessions instead of face-to-face sessions.

The project was monitored and managed based on four strategic areas: 1: Policy advice; 2: FMUs; 3: HCD; and 4: Lore Lindu. However, the efficiency analysis foresees allocating budget according to outputs, which were three (policy advice, FMU support and HCD). Allocating BMZ funds only to the three outputs according to GIZ's efficiency tool showed that **output 2 (FMU experience) received the largest share of the budget (42%), while 38% was spent on HCD and 20% on policy advice (see Figure 5)**. These indications provided by the tool were confirmed by interview participants, and there were similar indications even beforethe efficiency tool was filled in. They were also consistent with M+E data that showed that output 2 had the majority of activities. In addition to staff time and actual implementation costs, output 2 required extensive travel costs to cover the different FMUs in the target regions (Int_1, 3, 5-6, 9-10, 36, FT2, M+E data 12/2020).

Figure 5: Allocation of costs to outputs of BMZ funds (Efficiency Tool 2021)

| | Output A | Output B | Output C |
|---|---|---|---|
| **Outputs** | Improved regulations have been developed in line with a) the national climate change targets (NDC), b) the principles of good governance in the forest sector, and c) the objectives of biodiversity conservation. | Experience from the management of the pilot FMUs is widespread | The conditions for capacity building of FMU staff are improved |
| **Costs incl. commitment (Obligo)** | 1.811.358,22 € | 3.862.458,85 € | 3.449.617,03 € |
| **Co-financing** | 0,00 € | 0,00 € | 0,00 € |
| **Partner inputs** | 0,00 € | 0,00 € | 0,00 € |
| **Total costs** | **1.811.358,22 €** | **3.862.458,85 €** | **3.449.617,03 €** |
| **Total costs in %** | **20%** | **42%** | **38%** |
| **BMZ total costs in % without co-financing** | **20%** | **42%** | **38%** |

Partner contributions were not part of the commissioned funding. However, they are indicated in the progress reports from 2019, 2020 and 2021 and add up to a total of EUR 15,755,809. Due to the integrated planning and gap-filling approach, the project identified how much of the budget MoEF invested in activities that supported project results. When the project budget (commissioned funding) and MoEF's own funds were added together, a total amount of EUR 27,091,414 was invested in enhancing the Indonesian legal and institutional framework for SFM, biodiversity conservation and GHG reduction during the project term. This clearly underlines the importance of the project's **integrated planning and gap-filling approach for maximising results**.

Financing of partners occurred to a minor degree (2% of the total project budget), as the interventions complemented each other due to the project's approach. This was also confirmed by interviews with MoEF representatives at different levels, who highlighted the fact that no daily allowances were paid. Participation of MoEF staff was thus based mainly on its own budget. Some interviewees stated that this posed a constraint to participation (Int_27-28, 33).

Support from GIZ's Sectoral Unit was barely needed. The project collaborated with sector and global programmes on specific and new topics, such as deforestation-free supply chains and climate finance issues. The GIZ headquarters were involved in the form of study tours to Germany and by offering process support, e.g. for the appraisal mission for the follow-on project.

All outputs were achieved, mainly on time and within the planned timeframe. Some delays in on-the-ground implementation occurred due to COVID-19 restrictions in 2019 and 2020 but were made up for towards the end

of the project. Due to this external factor, some resources were reallocated to offer more digital training sessions and to document lessons learned, e.g. in the publication 'Kisah dari Tepi' ('Stories from the Forest Edge)'[11], which the project would otherwise not have developed (PR 2021).

Efficiency dimension 1 – Production efficiency – scores **70 out of 70 points**.

**Efficiency – Dimension 2: Allocation efficiency**

The basis for the assessment of this dimension was the degree to which budget management and monitoring being geared towards maximising results (see Table 18).

According to interview indications, the **results were maximised by joint planning and the gap-filling approach**. Financing targeted activities that complemented the partner's own interventions in line with partner and project objectives made it possible to leverage substantial partner contributions and maximise impact. Additionally, the project **encouraged other stakeholders and initiatives to address relevant aspects with their own funds**. For example, forest inventories were created jointly with FAO. This highly technical work was divided between FAO and the project regarding workload and costs. Respective activities covered geographic information systems (GIS) training sessions and data collection in the field. Project coordination, i.e. coordination at the level of individual projects, turned out to be an efficient strategy to maximise impacts (Int_1-11, 36).

Efficiency dimension 2 – Allocation efficiency – **scores 30 out of 30 points**.

### Methodology for assessing efficiency

Table 18: Methodology for assessing OECD/DAC criterion: efficiency

| Efficiency: assessment dimensions | Basis for assessment | Evaluation design and empirical methods | Data quality and limitations |
|---|---|---|---|
| **Production efficiency**<br><br>(Input/Outputs) | The analysis of this assessment dimension was based on GIZ's 'follow-the-money' efficiency tool, in which costs are retrospectively assigned to outputs. | **Evaluation design:** The analysis followed the analytical questions in the evaluation matrix (see Annex) based on the follow-the-money approach.<br><br>**Empirical methods:** Document and data analysis, survey, interviews. | Data quality was moderate. Limitations arose based on the fact that the project budget had been designed and executed not based on outputs but on budget lines. An ex-post presentation of this budget under a new structure (per output) could only be an approximation. |
| **Allocation efficiency**<br><br>(Input/Outcome) | Basis for the assessment of this dimension was the degree to which budget management and monitoring being geared towards maximising results. | **Evaluation design:** Budget analysis and follow-the-money approach.<br><br>**Empirical methods:** Document and data analysis, survey, interviews. | Data quality was moderate. Limitations arose based on the fact that project staff members were barely aware of alternative ways of achieving results. Furthermore, the evaluation questions in this dimension were somewhat speculative, thus giving rise to anecdotal evidence only. |

[11] Available in Bahasa at https://www.forclime.org/index.php/en/publications.

## 4.7 Sustainability

This section analyses and assesses the sustainability of the project. It is structured according to the assessment dimensions in the GIZ project evaluation matrix (see Annex 1).

### Summarising assessment and rating of sustainability

Table 19: Rating of OECD/DAC criterion: sustainability

| Criterion | Assessment dimension | Score and rating |
|---|---|---|
| **Sustainability** | Capacities of the beneficiaries and stakeholders | 20 out of 20 points |
| | Contribution to supporting sustainable capacities | 30 out of 30 points |
| | Durability of results over time | 40 out of 50 points |
| **Sustainability score and rating** | | Score: **90 out of 100 points**<br>Rating: Level 2: successful |

The project was successful in building the capacities of beneficiaries and stakeholders to maintain positive results over time. It enhanced planning capacities, its results and experiences were incorporated into policies and regulations, and it supported access to financial resources. The main risks that may jeopardise the project results are economic (income-generation opportunities on forest land / the value of the forest), political (fraud) and environmental (El Niño and related forest fires). The project helped reduced the negative impacts of these risks on beneficiaries and stakeholders. Its power over these risks, however, is limited. The project had few levers to address, for example, the occurrence of El Niño events, overall good governance or the value of forests in global price-setting mechanisms for non-forest timber products. Where levers existed, the project addressed these, e.g., via fire prevention strategies and strategic partnerships on agricultural value chains and good governance.

**In total, the sustainability of the project is rated Level 2: successful, with 90 out of 100 points.**

### Analysis and assessment of sustainability

**Sustainability – Dimension 1: Capacities of the beneficiaries and stakeholders**

This dimension was evaluated against demonstrable or expected project results and the existing capacities of the partners, direct and indirect target groups to maintain them. These included community-based forestry management at local level, forest fire reduction strategies at FMU level and training sessions by CEFET and BDK (see Table 20).

The 2018-2021 progress reports lay out continuous activities to enable and support community-based forest management, forest fire reduction strategies and training and support for and by CEFET and BDK. The interviewees highlighted **enhanced planning capacities** across all MoEF levels, inputs to **policies and regulations** that have now been put into force (see Chapter 4.4 and Table 11), support for the operationalisation of FMUs and capacity building, especially in geographic information system (GIS) mapping and forest planning for FMU staff. According to indications by project staff, the direct target group and the beneficiaries, these were crucial elements in building **institutional and human capacities** to maintain project results (Int_3, 5, 19, 40). Capacity building at FMU level also included budgetary planning as a precondition to access financial resources from national level (Int_36, 39).

Furthermore, the project supported, among other things, access to FCPF funding in East Kalimantan and development of a proposal to GCF on 'Land-Based Mitigation and Adaptation through a Jurisdictional Approach in West Kalimantan'. Both **enhanced financial sustainability** to maintain and broaden the project results (PR 2018-21, Int_1, 6, 13, 39).

Sustainability dimension 1 – Capacities of the beneficiaries and stakeholders – scores **20 out of 20 points.**

**Sustainability – Dimension 2: Contribution to supporting sustainable capacities**

This dimension was assessed based on the level of contribution made by the project to minimise the negative impacts of potential (social, environmental, economic and political/institutional) risks on beneficiaries and stakeholders.

By institutionalising project results in regulations and decrees, as well as in the HCD formats of CEFET and BDK, the project created a strong framework to maintain the results and benefit from these further, even beyond the project term. As part of the project's capacity development strategy, the results and experiences were processed and disseminated. The training modules and training-of-trainers approaches developed have now been embedded in CEFET and BDK and the institutions use their own budgets to maintain the courses. The project experiences have also been integrated into the curricula of the Faculty of Forestry at the University in Yogyakarta. Together with the university, the project developed an online course to link the SDGs and the forestry sector. In the first course conducted, still within the framework of the project, 247 students participated and had the opportunity to learn from firsthand experience. Two high-quality publications, one that targeted Indonesian decision-makers and the second aimed at international level, were published and shared with project stakeholders for further use and dissemination. In Kapuas Hulu, a Conflict Resolution Desk at district level was set up with the help of the project. The Conflict Resolution Desk is now running on its own and institutionalises conflict resolution processes in the region, thereby supporting the project's direct target group and beneficiaries, especially local communities, beyond the project term. In each biosphere reserve (Kapuas Hulu and Lore Lindu), a stakeholder forum was set up within the framework of UNESCO's Man and Biosphere Programme (MAB). The legal basis for biosphere reserves in Indonesia is still a work in progress. The stakeholder forums that have been set up support the creation of ownership and awareness via collaboration between all stakeholder (public, private and civil society). In addition, the inclusion of private sector actors such as the German company Continental AG in sustainable natural rubber production within the reserve is expected to generate income opportunities. The biosphere logo developed in Lore Lindu and Kapuas Hulu (see Chapter 4.5 and Photo 3) is expected to promote opportunities (PR 2021, Int_2-4, 13, 17, 23, 27, 29-30, 41).

Overall, the project clearly **contributed to reducing the negative impacts of potential social, environmental, economic and political/institutional risks on beneficiaries and stakeholders** (see also Sustainability Dimension 3 below).

Sustainability dimension 2 – Contribution to supporting sustainable capacities – scores **30 out of 30 points**.

**Sustainability – Dimension 3: Durability of results over time**

This dimension was evaluated against the probability of ecological, social, economic, political or institutional risks that would negatively affect the sustainability of the project and the degree to which the project results are expected to be maintained by the different levels of MoEF, with its own resources or third-party funding.

Documents and interviews with project staff, other GIZ staff and donors, as well as the verification interviews with civil society and think tanks, indicated that the most prominent risks were economic in nature. If the forest is not valued, income generation for local communities is not possible and deforestation is likely. The main driver of deforestation in this regard is agriculture. The project had no agricultural mandate, so directly addressing this risk was outside the project's scope. Therefore, the project supported the development and

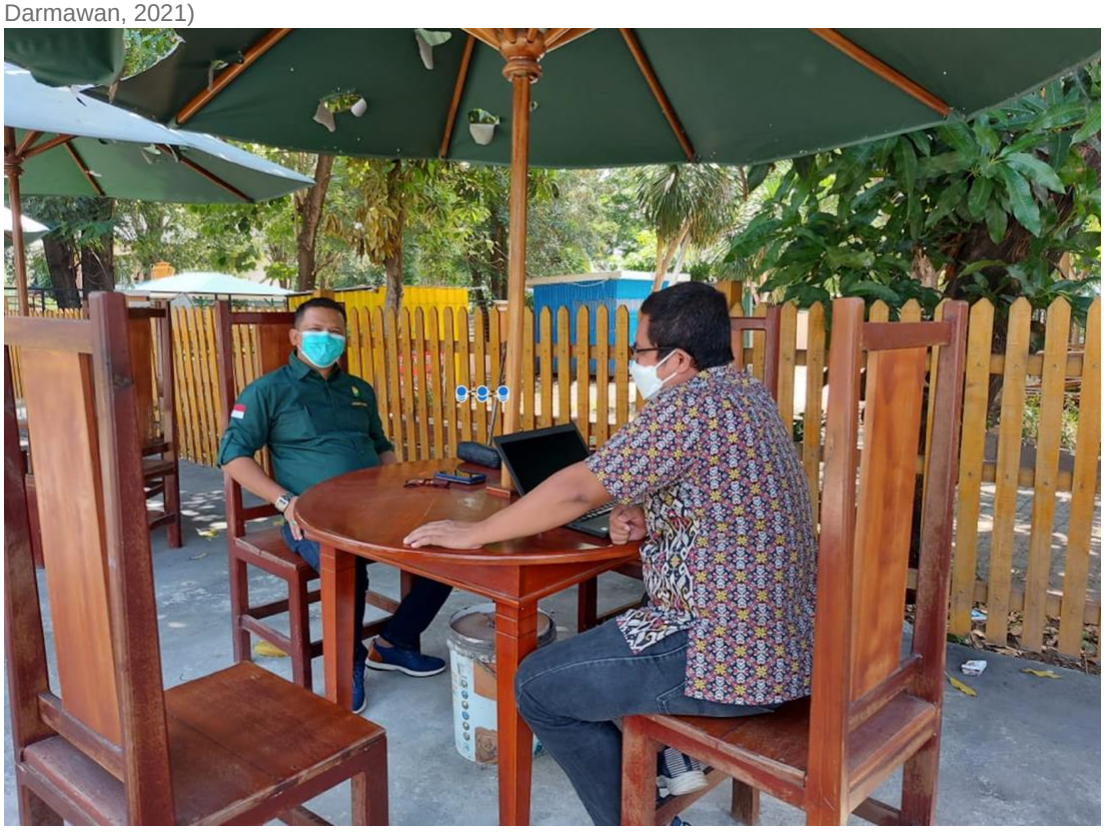
upscaling of the deforestation-free supply chain approach initiated in the project regions of the Kapuas Hulu and Lore Lindu biosphere reserves via SASCI+ (PN 2018.0128.1) and SASCI (PN 2017.2054.9; PP 2015, PR 2018-21, FT1, Int_1, 22, 24, 35).

This economic risk is linked to the political risk of corruption. According to interviewees, logging concessions are usually in the hands of a select few well-known families and corporations with substantial political influence, whose needs are likely already being addressed (FT1, Int_1, 26, 335). The probability of these risks occurring is hard to estimate but, with RENSTRA and RKTN in place, a legal basis for country-wide, long-term forest planning up to 2030 in accordance with the NDCs will reduce their likelihood (PR 2021). In November 2020, however, Indonesia enacted the job creation law, known as the 'omnibus law'. This law aims to improve the Indonesian investment climate and will therefore relax environmental standards. The president wants to advance the economy to foster development. So, despite the respective strategies and policies, environmental issues and climate change mitigation are not always a priority. This is a clear conflict of objectives (PR 2021, Int_34, 36).

The main risk at impact level is environmental, according to the MoEF interviewees. Extreme natural events and phenomena such as El Niño can cause forest fires and thus destroy or reverse any progress made in reducing GHG emissions from the forest sector. El Niño Southern Oscillation (ENSO) occurs irregularly every two to seven years. The last ENSO occurred in 2014-16, which also explains the high tree cover loss during this time (see Figure 4). According to the Borneo Nature Foundation (2021) and the United States Department of Commerce (2021), an ENSO is currently under way. Setting up and supporting forest fire prevention activies are expected to reduce the negative impacts, although they are unlikely to prevent them completely (Int_7-8).

The analysis concluded that the project did everything possible within its mandate to **minimise the negative impacts** (Sustainability dimension 3) and **helped reduce the probability** of respective risks. However, its **power** is **limited**, especially with respect to the latter.

Photo 4: Interview with the Head of the FMU Forum of Central Sulawesi, at Lore Lindu Biosphere Reserve (Arief Darmawan, 2021)



Sustainability dimension 3 – Durability of results over time – scores **40 out of 50 points**.

## Methodology for assessing sustainability

Table 20: Methodology for assessing OECD/DAC criterion: sustainability

| Sustainability: assessment dimensions | Basis for assessment | Evaluation design and empirical methods | Data quality and Limitations |
|---|---|---|---|
| **Capacities of the beneficiaries and stakeholders** | This dimension was evaluated against demonstrable or expected project results and the existing capacities of the partners, direct and indirect target groups to maintain them. These included community-based forestry management at local level, forest fire reduction strategies at FMU level and training sessions by CEFET and BDK. | **Evaluation design:** Explorative; the analysis followed the analytical questions in the evaluation matrix (see Annex); no specific evaluation design was applied.<br><br>**Empirical methods:** Document and data analysis, survey, interviews, FGD, field visits / observation. | Data quality was partly good and partly moderate. Limitations arose, as feedback on the target groups' resilience towards future risks relied on subjective indications by interviewees. Measuring resilience fell outside the scope of this evaluation. |
| **Contribution to supporting sustainable capacities** | This dimension was assessed based on the level of the project's contribution to minimising the negative impacts of the potential risks (social, environmental, economic and political/institutional) on beneficiaries and stakeholders. | **Evaluation design:** Contribution analysis: the project design and context did not allow for experimental or quasi-experimental designs. With the available resources, contribution analysis was the most feasible approach to achieve credible results. The advantage of the contribution analysis design is that it provides a systematic analytical and reporting strategy that facilitates the use of different data collection methods.<br><br>**Empirical methods:** Document and data analysis, survey, interviews, FGD, field visits / observation. | Data quality was good. |
| **Durability of results over time** | This dimension was evaluated against the probability of ecological, social, economic, political and institutional risks occurring to negatively affect the sustainability of the project and the degree to which the project results are expected to be maintained by the executing agent, partners and target groups with their own or third-party resources. | **Evaluation design:** Explorative; the analysis followed the analytical questions in the evaluation matrix (see Annex); no specific evaluation design was applied.<br><br>**Empirical methods:** Document and data analysis, survey, interviews, FGD, field visits / observation. | Data quality was good, though the probability of risks was based mostly on subjective indications by interviewees. |

## 4.8 Key results and overall rating

Overall, the project was evaluated as highly successful. It performed well in all evaluation criteria, with the highest scores for relevance (98), effectiveness (99) and efficiency (100), and the lowest scores for impact (87). Its major strengths were:

- close, continuous communication with MoEF as a political partner,
- a multi-level approach that involved generating practical local experience to be incorporated into national-level policymaking,
- its gap-filling approach whereby the synchronised planning of project and partner activities made it possible to identify gaps in partner interventions and then address them, and
- its ability to build strategic partnerships to tackle relevant aspects outside its mandate.

The reasons for success included a flexible project design that made it possible to respond to changes and a clear focus on forestry. The project visibly benefited from the long-term engagement of GIZ and the continuation of project staff from the first FORCLIME project in 2009. External factors that impacted the project were the Indonesian Recentralisation Act, which boosted demand for project support, and the COVID-19 pandemic, which delayed the implementation of some project activities after 2019, but without impeding the achievement of indicators. There was room for improvement with respect to the pure focus on SFM, e.g., activities geared towards the remaining forests and overlooking areas that had already been deforested. Forest rehabilitation could further broaden the impact regarding climate change mitigation.

Photo 5: Discussion with a women group trainer of Desa Bahagia in Lore Lindu Biosphere Reserve (Arief Darmawan, 2021)

Table 21. Overall rating of OECD/DAC criteria and assessment dimensions

| Evaluation criteria | Dimension | Max | Score | Total (max.100) | Rating |
|---|---|---|---|---|---|
| **Relevance** | Alignment with policies and priorities | 30 | 28 | **98** | Level 1: highly successful |
| | Alignment with the needs and capacities of the beneficiaries and stakeholders | 30 | 30 | | |
| | Appropriateness of the design* | 20 | 20 | | |
| | Adaptability – response to change | 20 | 20 | | |
| **Coherence** | Internal Coherence | 50 | 40 | **90** | Level 2: successful |
| | External Coherence | 50 | 50 | | |
| **Effectiveness** | Achievement of the (intended) objectives | 30 | 30 | **99** | Level 1: highly successful |
| | Contribution to achievement of objectives | 30 | 30 | | |
| | Quality of implementation | 20 | 19 | | |
| | Unintended results | 20 | 20 | | |
| **Impact** | Higher-level (intended) development changes/results | 30 | 27 | **87** | Level 2: successful |
| | Contribution to higher-level (intended) development results/changes | 40 | 30 | | |
| | Contribution to higher-level (unintended) development results/changes | 30 | 30 | | |
| **Efficiency** | Production efficiency | 70 | 70 | **100** | Level 1: highly successful |
| | Allocation efficiency | 30 | 30 | | |
| **Sustainability** | Capacities of the beneficiaries and stakeholders | 20 | 20 | **90** | Level 2: successful |
| | Contribution to supporting sustainable capacities | 30 | 30 | | |
| | Durability of results over time | 50 | 40 | | |
| **Mean score and overall rating** | | 100 | **94** | | **Level 1: highly successful** |

Table 22: Rating and score scales

| 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 |
| Overall rating: the criteria of effectiveness, impact and sustainability are knock-out criteria; if one of the criteria is rated at level 4 or lower, the overall rating cannot go beyond level 4, although the mean score may be higher. | |

# 5 Conclusions and recommendations

## 5.1 Key findings and factors of success/failure

The project was successfully implemented. It achieved all defined indicators at outcome and output level and even surpassed some of these. It supported its political partner, MoEF, via continuous and close communication, flexibility in implementation and strategic decisions to align project and MoEF planning. These decisions made it possible to combine project and partner activities and ambitions, so that the project filled gaps in MoEF's endeavours towards reduced deforestation while working towards project goals. This made it possible to calculate MoEF's contributions in, for example, FMU management as partner contributions and vice versa. Efficiency was also maximised through coordination at individual project level, e.g., with FAO on forest inventories.

The project was further able to effectively address the cross-cutting issues of gender mainstreaming and conflict resolution to support Indonesia's SDG priorities. Highlights in this regard were MoEF being awarded the highest gender mainstreaming rating by the Ministry of Women Empowerment and Child Protection and the establishment of a Conflict Resolution Unit in Kapuas Hulu.

Generating practical experience at local level with FMUs and communities and disseminating these at provincial and national level proved to be an essential factor for the project's success. For example, supporting the Forestry Administration in West Kalimantan in a campaign to educate local communities on preventive agricultural measures to avoid forest fires led the governor of West Kalimantan to issue a decree on fire prevention, which is impacting national policies.

The project strategy was built on three outputs: policy advice, FMU experiences and HCD. These three outputs jointly supported enhancement of the legal and institutional framework for SFM, biodiversity conservation and GHG reduction. The selected results hypotheses were confirmed by the analysis.

Coherence and collaboration between TC and FC under the FORCLIME programme were limited by different timing and planning, and activities on the ground were barely synchronised, despite attempts by the project team to coordinate annual work plans.

External factors that impacted the project were the Indonesian Recentralisation Act, which boosted demand for project support, and the COVID-19 pandemic, which delayed the implementation of some project activities after 2019, but without impeding the achievement of indicators. There was room for improvement with respect to the pure focus on SFM, e.g. activities geared towards the remaining forests. Forest rehabilitation could further broaden the impact regarding climate change mitigation.

### Findings regarding 2030 Agenda

**Universality, shared responsibility and accountability**

The project contributed in particular to achieving SDG 13 on climate action, SDG 15 on life on land and SDG 17 on global partnerships. To this end, the project design aimed to support and use existing MoEF structures and to support entities such as FMUs and the training centres CEFET and BDK. External coherence was high due to integrated planning with the political partner, as well as coordination with other organisations such as the United Nations Development Programme (UNDP), FAO and GGGI.

**Interplay of economic, environmental and social development**

The project took a holistic approach to sustainable development (social, environmental and economic dimensions). It promoted sustainable forest management via community-based forestry and built respective capacities at local level and within FMUs. It also explored income-generating opportunities, e.g. by developing the biosphere reserve logo, and supported the establishment of a Conflict Resolution Unit in Kapuas Hulu. Therefore, the project connected forestry (environmental) with both social and economic aspects.

**Inclusiveness / Leave No One Behind**

The project was consistent with the international norms and standards to which German development cooperation is committed, particularly regarding forest protection, food security and access to natural resources. The analysis showed good alignment of the development needs of direct and indirect target groups, adequate integration of dividers, connectors and security risks, and inclusion of the **Do-No-Harm** and **Leave-No-One-Behind** principles. For example, MoEF has integrated gender mainstreaming and local villages dependent on intact forests now have opportunities for community-based forest management supported by FMUs. Through fire prevention training and concepts, the project promoted the decree on fire prevention issued by the governor of West Kalimantan. Through the widespread implementation of this decree, local communities in particular are likely to be better equipped to tackle forest fires.

## 5.2 Findings regarding follow-on project

FORCLIME4.0 is starting in Papua as a new project area. Papua is considered a hot spot for climate change mitigation potential and biodiversity values. At the same time, economic and social risks feature strongly in the region, with corruption and human rights aspects as particularly relevant issues. The project team's experience, project results and the multi-level approach will be crucial elements to address these challenges. Based on the project experience, the ToC of FORCLIME4.0 is designed in a similar way, i.e., flexible enough for change and with a focus on three outputs, namely policy, forest administration at province and local level and HCD. The results model for FORCLIME4.0 and its results hypotheses are plausible, and its results-oriented monitoring system has been enhanced compared to the project's monitoring system. In the follow-on project, monitoring is being carried out via a mobile phone application instead of completion of activity sheets, and data is automatically compiled against indicators (PP 2020, Int_1, 16, 24, 35-36, 38).

The main recommendation derived from this evaluation is to consider forest rehabilitation where possible.[12] Eastern Indonesia still has vast forest resources. Therefore, forest rehabilitation may not be as urgent an issue in Papua as in Kalimantan, for example, where not much forest cover is left due to heavy deforestation. However, despite the declining national deforestation rate (see Figure 4), Papua's deforestation rate has been increasing over the last two decades, which has resulted in a loss of natural forest cover of 663,443 hectares (Mongabay.org March 2021, Int_25-26). Hence, forest rehabilitation should not be the main focus of FORCLIME4.0 but should be considered alongside the protection of remaining forest cover through, for example, SFM and non-timber forest products. If forest land is declared non-forest land, it can be cleared and converted (Int_25). Land rights and land-use forms consequently play an equally important role to be addressed by the FORCLIME4.0 framework.

## 5.3 Recommendations

Recommendations to GIZ

Since the provincial level is now the decisive administrative level in natural resource management, decision-making competence will further shift to the provincial level in the medium term. Consequently, this means that GIZ engagement in the forest sector should focus more on the local level in the future, and the scaling-up of pilot measures should be embedded in a provincial framework. Further improvement of local forest governance is needed through the establishment of functioning administrative units, advisory services for community forests and structures for monitoring and law enforcement. GIZ interventions should thus be based on intersectoral approaches, which require the involvement of the Ministry of the Interior, Ministry of Agriculture, BAPPENAS and likely other ministries responsible for general administrative reform. For German development cooperation, this indicates the need for a comprehensive joint strategy across such interventions and respective coordination with all relevant Indonesian ministries. GIZ should advise BMZ accordingly.

In relation to this aspect, further synchronisation of activities between TC and FC is needed by German development cooperation. Alignment in the timing of the different components (TC and FC) is needed, which falls largely outside the scope of influence of the particular project, but rather depends on joint planning and aligned processes up front.

Furthermore, German development cooperation engagement should focus not only on forest management, but also on forest rehabilitation. Many forest areas have been deforested in the past. Rehabilitating these areas and restoring their ecosystem functions can foster local development through SFM and generate additional climate change mitigation efforts to reduce emissions by preventing deforestation. GIZ should advise BMZ accordingly.

Despite controversial economic interests, inclusion of the local population has been identified as an important lever to further encourage a reduction in deforestation in Indonesia. Local forest management helps monitor illegal logging. By putting local villagers in charge, they take on an ownership and support role in forest monitoring and management. Further levers identified are strengthened FMUs and the official declaration of biosphere reserves. To address the interest of economic development, German development cooperation will have to address consumption structures and patterns, i.e., entire product value chains, from production in Indonesian (forest) areas to consumption in Germany or the European Union. Consumers need to pay realistic product prices that cover production costs and enable profit-making. They also need to learn how to consume differently to support forest protection alongside economic development in countries in the south. This is in line

[12] Rehabilitation in the project's target areas in East and North Kalimantan, particularly in peat areas, has been taken up by other initiatives such as GIZ's Peatland Management and Rehabilitation project (PROPEAT).

with SDG 12 on ensuring sustainable consumption and production patterns. Mechanisms to value the forest in a monetary way are needed. The GCF proposal in West Kalimantan, in this regard, is also a promising approach.

Recommendations to FORCLIME4.0 for project implementation

The evaluation of the project clearly showed that the chosen strategy and cooperation structure were successful. For FORCLIME4.0, it is thus highly recommended that this good approach be maintained during implementation. Furthermore, the follow-on project should continue cooperation with other projects such as SASCI and SASCI+ and initiatives on good governance and anti-corruption to address aspects outside its direct mandate that influence its performance. Furthermore, FORCLIME4.0 should consider integrated planning with the FC component, as with MoEF. Despite the fact that the project is being implemented within the framework of the FORCLIME programme, this could enhance the creation of synergies and synchronisation during project implementation. Regarding HCD, FORCLIME4.0 should continue working with training centres such as CEFET and BDK and look into both face-to-face and virtual options. For virtual courses, training recipients need to receive guidance on learning the relevant content and topics rather than having to master virtual training and communication tools (see Chapter 4.4).

# List of references

## GIZ standard project documents

Project Proposal 2015: *PV Final FORCLIME inkl. WiMA_VE2015 PN. 2015.2116.0_.pdf,* Eschborn: Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH.

Change offer 2018: *20180613_ÄA_FORCLIME_final.pdf*, Eschborn: Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH.

Progress Report 2018: *PFB 1 FORCLIME PN 2015.2216.0_.pdf*, Eschborn: Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH.

Progress Report 2019: *PFB 2 FORCLIME_Indonesien_final.pdf*, Eschborn: Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH.

Progress Report 2020: *PFB 3_ FORCLIME_final.pdf,* Eschborn: Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH.

Progress Report 2021: *PFB 4_ FORCLIME_final.pdf,* Eschborn: Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH.

Project Proposal for FORCLIME4.0 (PP 2020): *2020-08-24_Wiederholungsangebot FORCLIME_2019.2125.pdf*, Eschborn: Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH.

## Other GIZ project documents

Environmental and Climate Change Assessment 2015: *Anlage UKP FORCLIME final.docx*, unpublished.

FORCLIME's Cooperation Landscape (in Bahasa, unpublished).

GIZ (2011): *Development of a Gender Concept for the Forests and Climate Change Programme (FORCLIME) in Indonesia,* Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH.

GIZ (2015): *Peace and Conflict Assessment: Peace and Conflict Assessment – Forest and Climate Programme II;* unpublished assessment without indication on year of development.

GIZ (2020): *Kisah dari Tepi.Stories (From The Forest Edge*), Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH.

M+E data 12/2020.

Kostenträger-Obligo-Bericht (2021): *20210301_KostenträgerObliogbericht_Forclime1522160.pdf*, unpublished.

## Further references

Bonn Challenge (2020): *Progress*, IUCN [online] https://www.bonnchallenge.org/progress [02/06/2021].

Borneo Nature Foundation (2021): What is El Niño and why is it linked to Indonesia's fires?, Borneo Nature Foundation [online] https://www.borneonaturefoundation.org/conservation/what-is-el-nino-and-why-is-it-linked-to-indonesias-fires/ [08/06/2021].

Carbon Brief (2019): *The Carbon Brief Profile: Indonesia*, Carbon Brief Ltd. [online] https://www.carbonbrief.org/the-carbon-brief-profile-indonesia [31/05/2021].

Organisation for Economic Co-operation and Development (OECD) (no date): *Evaluation Criteria*, OECD [online] www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm [21/12/2021].

Food and Agriculture Organisation (FAO 2015): Ex-ante GHG Appraisal of Forest Management Units (FMU) as main policy implemtning tool in Indonesia (2015-2035), (Research Gate) [online] https://www.researchgate.net/publication/290157395_Ex-ante_GHG_Appraisal_of_Forest_Management_Units_FMU_as_main_policy_implementing_tool_in_Indonesia_2015-2035 [02/06/2021].

Global Forst Watch (WRI 2021): *Indonesia*, WRI [online] https://www.globalforestwatch.org/dashboards/country/IDN/ [31/05/2021].

Mayring P. (1983, 7th edition 2000): *Qualitative Content Analysis,* Forum: Qualitative Social Research (Online Journal) [online] http://qualitative-research.net/fqs/fqs-e/2-00inhalt-e.htm [31/05/2021].

Mongabay.org (2021): Global forest loss increased in 2020, Mongabay News [online] https://news.mongabay.com/2021/03/global-forest-loss-increases-in-2020-but-pandemics-impact-unclear/ [08/06/2021].

Mongabay.org (March 2021): Papau deforestation highlights eastward shift of Indonesia forest clearing [online] https://news.mongabay.com/2021/03/papua-deforestation-highlights-eastward-shift-of-indonesia-forest-clearing/ [29/07/2021].

United Nations Convention to Combat Desertification (UNCCD, 2015): *Indonesia - Land Degradation Neutrality National Report*, Republic of Indonesia [online] https://knowledge.unccd.int/sites/default/files/inline-files/indonesia_ldn_country_report.pdf [03/06/2021].

United Nations Framework Convention on Climate Change (UNFCCC, 2016): *First Nationally Determined Contribution Republic of Indonesia*, UNFCCC [online] https://www4.unfccc.int/sites/ndcstaging/PublishedDocuments/Indonesia%20First/First%20NDC%20Indonesia_submitted%20to%20UNFCCC%20Set_November%20%202016.pdf [11/06/2021].

United Nations Evaluation Group (UNEG) (2014): *Integrating Human Rights and Gender Equality in Evaluations,* New York: UNEG [online] www.unevaluation.org/document/detail/1616 [31.05.2021].

United States Department of Commerce (2021): *ENSO, Recent Evolution, Current Status and Predictions*, National Oceanic and Atmospheric Administration [online] https://www.cpc.ncep.noaa.gov/products/analysis_monitoring/lanina/enso_evolution-status-fcsts-web.pdf [08/06/2021].

The Jakarta Post (2019): *Terrorist Group Attacks Central Sulawesi Village, Killing Police Officer*, The Jakarta Post, 15/12/2019 [online] https://www.thejakartapost.com/news/2019/12/15/terrorist-group-attacks-central-sulawesi-village-killing-police-officer.html [21.12.2020].

# Annex: Evaluation matrix

**OECD-DAC Criterion Relevance - Is the intervention doing the right things? (max. 100 points)**
The 'relevance' criterion focuses on the intervention's design. It refers to the extent to which the objectives and design of a development intervention are consistent with the (global, country and institution-specific) requirements, needs, priorities and policies of beneficiaries and stakeholders (individuals, groups, organisations and development partners). It also identifies the ability of the intervention's design to adapt to a change in circumstances. "Relevance" is assessed in relation to 1) the **time of the intervention design**[1] and 2) from **today's perspective**[2].

| Assessment dimensions | Filter - Project Type | Evaluation questions | Clarifications | Basis for Assessment / Evaluation indicators | Evaluation Design and empirical methods | Data sources | Data Quality and limitations | Data Quality Assessment (weak, moderate, good, strong) |
|---|---|---|---|---|---|---|---|---|
| **Alignment with policies and priorities** | Standard | To what extent are the intervention's objectives aligned with the (global, regional and country specific) policies and priorities of the BMZ and of the beneficiaries and stakeholders and other (development) partners? To what extent do they take account of the relevant political and institutional environment? | • Orientation at BMZ country strategies and BMZ sector concepts<br>• Strategic reference framework for the project (e.g. national strategies including the national implementation strategy for Agenda 2030, regional and international strategies, sectoral and cross-sectoral change strategies, in bilateral projects especially partner strategies, internal analytical framework e.g. safeguards and gender[4]<br>• Orientation of the project design at the (national) objectives of Agenda 2030<br>• Project contribution to certain Sustainable Development Goals (SDGs)<br>• Explanation of a hierarchy of the different policies, | Degree of alignment reflected in project offer, project reports and stakeholders' observations; degree of MoEF's priority for work on policies and regulation on sustainable forest management (SFM) and biodiversity conservation (interest by project staff) | Explorative based on these analytical questions; document review, interviews (referred to as Key Informant Interviews (KII) in the Inception Report), questionnaire (survey) | Project proposal (latest version: 2018), project progress reports, final report (if available for the evaluation mission) interviews with project staff and political partner, survey for broader project team (team survey), international frameworks and strategies (e.g. SDGs, Convention on Biological Diversity, Aichi biodiversity targets, Bonn Challenge), national strategies and interventions (e.g. RENSTRA, RKTN, strategic National Medium-Term Development Plan (RPJMN 2015-2019), UN-REDD Programme) | Strong, no limitations | Strong |

| | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | | | | priorities (especially in case of contradictions) | | | | | | |
| | | and Fragility | To what extent was the (conflict) context of the project adequately analysed and considered for the project concept? | • Key documents: (Integrated) Peace and Conflict Assessment (I)PCA, Safeguard Conflict and Context Sensitivity documents | Degree of reflection of conflict-sensitive approaches in project offer, project reports and stakeholders' observations | Explorative based on these analytical questions; document review, interviews (referred to as Key Informant Interviews (KII) in the Inception Report), questionnaire (survey) | Project proposal (latest version: 2018), project progress reports, final report (if available for the evaluation mission), PCA, interviews with project staff and political partner, survey for broader project team (team survey), | Stron g, no limitati ons | Strong | |
| | **Alignment with the needs and capacities of the beneficiaries and stakeholders** | Standard | To what extent are the intervention's objectives aligned with the development needs and capacities of the beneficiaries and stakeholders involved (individuals, groups and organisations)? | • Also: consideration of stakeholders such as civil society and private sector in the design of the measure | Conformity of the contribution of the planned activities/ results of the project with needs and acceptance of the target group | Explorative based on these analytical questions; document review, interviews, survey, observation | Interviews with target group representatives (MoEF, local population, CEFET, BDK), comparison interview needs statements with project proposal 2018, team survey, potentially (if possible based on willingness and availability): verification interview with NGO active in the sector, e.g. WWF | Good, limitati ons here might be linked to the availab ility and reacha bility of the target group repres entativ es; if an on-site missio n is not possibl e due to COVID | good | |

| | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | 19 getting their input might not be possible resulting in moderate data quality; if reaching them is possible, data quality is expected to be good | | |
| | | and Fragility | How were deescalating factors/ connectors[5] as well as escalating factors/ dividers[6] in the project context identified and considered for the project concept (please list the factors)?[7] | • e.g. see column I and II of the (Integrated) Peace and Conflict Assessment | Degree of reflection of conflict-sensitive approaches in project offer, project reports and stakeholders' observations | Explorative based on these analytical questions; document review, interviews (referred to as Key Informant Interviews (KII) in the Inception Report), questionnaire (survey) | Project proposal (latest version: 2018), project progress reports, final report (if available for the evaluation mission), PCA, interviews with project staff and political partner, survey for broader project team (team survey), | Strong, no limitations | strong | |
| | | and Fragility | To what extent were potential (security) risks for (GIZ) staff, partners, target groups/final beneficiaries identified and considered? | | Degree of reflection of conflict-sensitive approaches in project offer, project reports and stakeholders' observations | Explorative based on these analytical questions; document review, interviews (referred to as Key Informant Interviews (KII) in the Inception Report), questionnaire (survey) | Project proposal (latest version: 2018), project progress reports, final report (if available for the evaluation mission), PCA, interviews with project staff and political partner, survey for broader project team (team survey), | Strong, no limitations | strong | |

| | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | | Standard | To what extent are the intervention's objectives geared to the needs and capacities of particularly disadvantaged and vulnerable beneficiaries and stakeholders (individuals, groups and organisations)? With respect to groups, a differentiation can be made by age, income, gender, ethnicity, etc. ? | • Reaching particularly disadvantaged groups (in terms of Leave No One Behind, LNOB)<br>• Consideration of potential for human rights and gender aspects<br>• Consideration of identified risks | Results of the Gender Analysis have been taken up in project implementation, reflection of the needs of disadvantaged and vulnerable beneficiaries and stakeholders in the project proposal | Explorative based on these analytical questions; document review, interviews, survey, observation | Interviews with target group representatives, comparison interview needs statements with project proposal 2018, team survey, potentially (if possible based on willingness and availability): verification interview with NGO active in the sector, e.g. WWF | Good, limitations here might be linked to the availability and reachability of the target group representatives; if an on-site mission is not possible due to COVID 19 getting their input might not be possible resulting in moderate data quality; if reaching them is possible, data quality is expected to be good | good | |

| | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | **Appropriateness of the design[3]** | Standard | To what extent is the intervention's design appropriate and realistic (in terms of technical, organisational and financial aspects)? | • Realistic project goal from today's perspective and in view of the available resources (time, finances, partner capacities)<br>• Consideration of potential changes in the framework conditions<br>• Dealing with the complexity of framework conditions and strategic reference frameworks and with possible overloading<br>• Strategic focusing | Reflection of risks and potentials in proposal and results matrix; realistic (achievable) outcome; adequate design of activities, instruments and outputs | Explorative based on these analytical questions; document review, interviews+Focus Group Discussion (FGD), survey | Project proposal 2018, ToC as jointly developed, results matrix, interviews with political partner, project staff and team survey, potentially (if possible based on willingness and availability): verification interview with NGO active in the sector, e.g. WWF | Good, project staff perspective is fairly subjective and triangulation mostly limited to "internal" project inputs, external view as input might be limited due to limited familiarity with the project's design | good | |
| | | Standard | To what extent is the intervention's design sufficiently precise and plausible (in terms of the verifiability und traceability of the system of objectives and the underlying assumptions)? | Assessment of the (current) results model and results hypotheses (Theory of Change, ToC) of the actual project logic:<br>• Adequacy of activities, instruments and outputs in relation to the project objective to be achieved<br>• Plausibility of the underlying results hypotheses<br>• Clear definition and plausibility of the selected system boundary (sphere of | Adequate design of activities, instruments and outputs; realistic outcome; plausible selected results hypotheses; plausible assumptions | Explorative based on these analytical questions; document review, interviews+Focus Group Discussion (FGD), survey | Project proposal 2018, ToC as jointly developed, results matrix, interviews with political partner, project staff and team survey | Good, project staff perspective is fairly subjective and triangulation mostly limited to "internal" project inputs, external view as input might | good | |

| | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | | | | responsibility)<br>• Appropriate consideration of potential influences of other donors/ organisations outside the project's sphere of responsibility<br>• completeness and plausibility of assumptions and risks for the project results<br>• How well is co-financing (if any) integrated into the overall concept of the project and what added value could be generated for the ToC/project design? | | | | be limited due to limited familiarity with the project's design | | |
| | | Standard | To what extent is the intervention's design based on a holistic approach to sustainable development (interaction of the social, environmental and economic dimensions of sustainability)? | • Presentation of the interactions (synergies/trade-offs) of the intervention with other sectors in the project design - also with regard to the sustainability dimensions in terms of Agenda 2030 (economic, ecological and social development) | Sustainability dimensions, risks and potentials are reflected in the project proposal | Explorative based on these analytical questions; document review, interviews+Focus Group Discussion (FGD), survey | Project proposal 2018, ToC as jointly developed, results matrix, interviews with political partner, project staff and team survey | Good, project staff perspective is fairly subjective and triangulation mostly limited to "internal" project inputs, external view as input might be limited due to limited familiarity with the project's design | good | |

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| **Adaptability – response to change** | Standard | To what extent has the intervention responded to changes in the environment over time (risks and potentials)? | • Reaction to changes during project including change offers (e.g. local, national, international, sectoral changes, including state-of-the-art sectoral know-how) | Proposal changes | Explorative based on these analytical questions; document review, interviews, survey | Original project proposal 2015, proposal 2018, progress reports, interviews with political partner, project staff and team survey | Strong, no limitations | strong | |

(1) The 'time of the intervention design' is the point in time when the offer/most recent modification offer was approved.

(2) In relation to the current standards, knowledge and framework conditions.

(3) The design of an intervention is usually assessed by evaluating its intervention logic. The intervention logic depicts the system of objectives used by an intervention. It maps out the systematic relationships between the individual results levels. At the time an intervention is designed, the intervention logic, in the form of a logical model, is described in the offer for the intervention both as a narrative and generally also on the basis of a results framework. The model is reviewed at the start of an evaluation and adjusted to reflect current knowledge. Comprehensive (re)constructed intervention logics are also known as "theories of change". In GIZ the 'project design' encompasses project objective (outcome) and the respective theory of change (ToC) with outputs, activities, TC-instruments and especially the results hypotheses as well as the implementation strategy (e.g. methodological approach, Capacity Development (CD) strategy). In GIZ the Theory of Change is described by the GIZ results model as graphic illustration and the narrative results hypotheses.

(4) In the GIZ Safeguards and Gender system risks are assessed before project start regarding following aspects: gender, conflict, human rights, environment and climate. For the topics gender and human rights not only risks but also potentials are assessed. Before introducing the new safeguard system in 2016 GIZ used to examine these aspects in separate checks.

(5) Deescalating factors/ connectors: e.g. peace-promoting actors and institutions, structural changes, peace-promoting norms and behaviour. For more details on 'connectors' see: GIZ (2007): 'Peace and Conflict Assessment (PCA). Ein methodischer Rahmen zur konflikt- und friedensbezogenen Ausrichtung von EZ-Maßnahmen', p. 55/135.

(6) Escalating factors/ dividers: e.g. destructive institutions, structures, norms and behaviour. For more details on 'dividers' see: GIZ (2007): 'Peace and Conflict Assessment (PCA). Ein methodischer Rahmen zur konflikt- und friedensbezogenen Ausrichtung von EZ-Maßnahmen', p. 135.

(7) All projects in fragile contexts, projects with FS1 or FS2 markers and all transitional aid projects have to weaken escalating factors/dividers and have to mitigate risks in the context of conflict, fragility and violence. Projects with FS1 or FS2 markers should also consider how to strengthen deescalating factors/ connectors and how to address peace needs in its project objective/sub-objective.

**OECD-DAC Criterion Coherence - How well does the intervention fit? (max. 100 points)**
**This criterion refers to the intervention's compatibility with other interventions in a country, sector or institution as well as with international norms and standards. Internal coherence addresses the synergies and division of tasks between the intervention and other interventions of German development cooperation and also the intervention's consistency with the relevant international norms and standards to which German development cooperation adheres. External coherence considers the intervention's complementarity, harmonisation and coordination with the interventions of other partners, donors and international organisations. The "coherence" criterion relates both to the intervention's design as well as to the results it achieves.**

| **Assessment dimensions** | **Filter - Project Type** | **Evaluation questions** | **Clarifications** | **Basis for Assessment / Evaluation indicators** (*e.g. Modulziel-/Programmindikatoren, ausgewählte Hypothesen, oder allgemeiner eine Definition der Aspekte, die zur Bewertung herangezogen werden)* | **Evaluation Design and empirical methods** (Design: e.g. Contribution analysis, Follow-the-Money Approach) (Methods: e.g. interviews, focus group discussions, document analysis, project/partner monitoring system, workshop, online survey, etc.) | **Data sources** (e.g. list of relevant documents, interviews with stakeholder category XY, specific data, specific monitoring data, specific workshop(s), etc.) | **Data Quality and limitations** (Description of limitations, assessment of data quality: poor, moderate, good, strong) | **Data Quality Assessment** (weak, moderate, good, strong) |
|---|---|---|---|---|---|---|---|---|

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | **Internal coherence** | Standard | Within German development cooperation, to what extent is the intervention designed and implemented (in a sector, country, region or globally) in a complementary manner, based on the division of tasks? | • Also analysis of whether the project takes the necessary steps to fully realize synergies within German development cooperation | Reflection of coherence in FORCLIME Programme and division of tasks; coordination of project design with other federal ministries with regard to complementarity, coherence, additivity, sustainability and avoidance of duplication | Explorative based on these analytical questions; document review, interviews, questionnaire (survey), web search | Project proposal 2018, progress reports, final report (if available before the evaluation mission), FORCLIME Programme proposal and latest progress report (2020), websites of other donors (e.g. International Climate Initiative (https://www.international-climate-initiative.com/de/projekte)), interviews with project staff and KfW staff under the FORCLIME Programme, other GIZ staff (e.g. country director and country manager), donors (BMZ), team survey | Strong, no limitations | strong |
| | | Standard | To what extent are the instruments of German development cooperation (Technical and Financial Cooperation) meaningfully interlinked within the intervention (in terms of both design and implementation)? Are synergies leveraged? | • if applicable, also take into account projects of different German ressorts/ministries | Reflection of coherence in FORCLIME Programme and division of tasks: How was FC able to follow up on the advice provided by the project/ complement project activities or, conversely, how did the project respond to the forestry activities of FC? (BMZ interest) | Explorative based on these analytical questions; document review, interviews, questionnaire (survey), web search Hulu it worked best (I3) | Project proposal 2018, progress reports, final report, FORCLIME Programme proposal and latest progress report (2020) websites of other donors (e.g. International Climate Initiative (https://www.international-climate-initiative.com/de/projekte)), interviews with project staff and KfW staff under the FORCLIME Programme, with other GIZ staff (e.g. country director and country manager) and donors (BMZ), team survey | Strong, no limitations | strong |
| | | Standard | To what extent is the intervention consistent with international and national norms and standards to which German development cooperation is committed (e.g. human rights)? | | Reflection of international and national norms and standards (e.g. Human Rights) in the project proposal 2018 and implementation | Explorative based on these analytical questions; document review, interviews, questionnaire (survey) | Project proposal 2018, progress reports, final report, interviews with project staff and other GIZ staff (e.g. country director and country manager, sectoral unit (FMB)), team survey | Strong, no limitations | strong |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| **External coherence** | Standard | To what extent does the intervention complement and support the partner's own efforts (principle of subsidiarity)? | | Reflection of partner strategies and approaches in project proposal 2018; indication by political partner on degree of subsidiarity; coordination of project design with other donors and the partner country with regard to complementarity, coherence, additivity, sustainability and avoidance of duplication | Explorative based on these analytical questions; document review, interviews, questionnaire (survey) | Project proposal 2018, progress reports, final report, interviews with project staff, other GIZ staff (e.g. country director and country manager), donors (BMZ), political partner and other national stakeholders (e.g. BAPPENAS, Ministry of Home Affairs), team survey | Strong, no limitations | strong |
| | Standard | To what extent has the intervention's design and implementation been coordinated with other donors' activities? | • Also: To what extent could synergies be achieved through co-financing (where available) with other bilateral and multilateral donors and organizations and how did co-financing contribute to improved donor coordination? | Reflection of partner strategies and approaches in project proposal 2018; indication by political partner on degree of subsidiarity; coordination of project design with other donors and the partner country with regard to complementarity, coherence, additivity, sustainability and avoidance of duplication | Explorative based on these analytical questions; document review, interviews, questionnaire (survey), web search | Project proposal 2018, progress reports, final report, websites of other donors (e.g. International Climate Initiative (https://www.international-climate-initiative.com/de/projekte)), interviews with project staff, other GIZ staff (e.g. country director and country manager), donors (BMZ), team survey | Strong, no limitations | strong |
| | Standard | To what extent has the intervention's design been designed to use existing systems and structures (of partners/other donors/international organisations) for implementing its activities? To what extent are these systems and structures used? | • Also analysis of whether the project is taking the necessary steps to fully realize synergies with interventions of other donors at the impact level | Reflection of partner strategies and approaches in project proposal 2018; indication by political partner on degree of subsidiarity; coordination of project design with other donors and the partner country with regard to complementarity, coherence, additivity, sustainability and avoidance of duplication | Explorative based on these analytical questions; document review, interviews, questionnaire (survey) | Project proposal 2018, progress reports, final report, interviews with project staff, other GIZ staff (e.g. country director and country manager, sectoral unit (FMB)), donors (BMZ), political partner and other national stakeholders (e.g. BAPPENAS, Ministry of Home Affairs, local/national/international non-governmental organizations (NGOs) such as WWF), team survey | Strong, no limitations | strong |
| | Standard | To what extent are common systems (together with partners/other donors/international organisations) used for M&E, learning and accountability? | | Degree of integration of partner M&E approaches | Explorative based on these analytical questions; document review, interviews, questionnaire (survey) | Progress reports, final report, M&E data and approach, interview with project's M&E responsible | Strong, no limitations | strong |

**OECD-DAC Criterion Effectiveness - Is the intervention achieving its objectives? (max. 100 points)**
'Effectiveness' refers to the extent to which the intervention has achieved, or is expected to achieve, its objectives (at outcome level), including any differential results across beneficiary and stakeholder groups. It examines the achievement of objectives in terms of the direct, short-term and medium term results.

| **Assessment dimensions** | **Filter - Project Type** | **Evaluation questions** | **Clarifications** | **Basis for Assessment / Evaluation indicators** (*e.g. Modulziel-/Programmindikatoren, ausgewählte Hypothesen, oder allgemeiner eine Definition der Aspekte, die zur Bewertung herangezogen werden)* | **Evaluation Design and empirical methods** (Design: e.g. Contribution analysis, Follow-the-Money Approach) (Methods: e.g. interviews, focus group discussions, document analysis, project/partner monitoring system, workshop, online survey, etc.) | **Data sources** (e.g. list of relevant documents, interviews with stakeholder category XY, specific data, specific monitoring data, specific workshop(s), etc.) | **Data Quality and limitations** (Description of limitations, assessment of data quality: poor, moderate, good, strong) | **Data Quality Assessment** (weak, moderate, good, strong) |
|---|---|---|---|---|---|---|---|---|
| **Achievement of the (intended) objectives**[1] | Standard | To what extent has the intervention achieved, or is the intervention expected to achieve, the (intended) objectives as originally planned (or as modified to cater for changes in the environment)? | • Assessment based on the project objective indicators (agreed with BMZ)<br>• Check whether more specific or additional indicators are needed to adequately reflect the project objective | Level of achievement on outcome indicators; changes on indicators have not been considered necessary during the inception phase, they sufficiently reflect the project objective | Explorative based on these analytical questions; document and data analysis, survey, interviews, field visits/ observation | Final report, progress reports, M+E data, publications/ regulations/ decrees by MoEF, interviews with project team and partners, team survey, field visits to Central Sulawesi (Palu and Lore Lindu National Park) and East Kalimantan (Samarinda and Berau) | Good, limitations arise if the final project report is not available before the evaluation mission and based on the fact that no further project structures will remain in East Kalimantan; facilitating access to the project's local target group there thus might be difficult; IF an on-site mission cannot take place due to COVID19, data quality is likely to be moderate due to a weak/ lack of input from the target group/ beneficiaries | good |
| | and Fragility | For projects with FS1 or FS2 markers: To what extent was the project able to strengthen deescalating factors/ connectors?[2, 4] | | | | | | |
| **Contribution to achievement of objectives** | Standard | *To what extent have the intervention's outputs been delivered as originally planned (or as modified to cater for changes in the environment)?* | | Level of achievement on output indicators; changes on indicators have not been considered necessary during the inception phase | Contribution analysis; document and data analysis, survey, interviews, FGD, field visits/ observation | Final report, progress reports, M+E data, publications/ regulations/ decrees by MoEF, interviews with project team and partners, assessment of partner products (e.g. regulations and decrees), team survey, field visits to | Good, limitations arise if the final project report is not available before the evaluation mission and based on the fact that no further project structures will remain in East Kalimantan; facilitating access to the project's local target group there | good |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | | | | | | Central Sulawesi (Palu and Lore Lindu National Park) and East Kalimantan (Samarinda and Berau), FGD with final beneficiaries | thus might be difficult; IF an on-site mission cannot take place due to COVID19, data quality is likely to be moderate due to a weak/ lack of input from the target group/ beneficiaries | |
| | Standard | To what extent have the delivered outputs and increased capacities been used and equal access (e.g. in terms of physical, non-discriminatory and affordable access) guaranteed? | | Indications by partners, beneficiaries and further stakeholders | Contribution analysis; document and data analysis, survey, interviews, FGD, field visits/ observation | Final report, progress reports, M+E data, interviews with project team and partners, assessment of partner products (e.g. regulations and decrees), team survey, field visits to Central Sulawesi (Palu and Lore Lindu National Park) and East Kalimantan (Samarinda and Berau), FGD with final beneficiaries | Good, limitations arise if the final project report is not available before the evaluation mission and based on the fact that no further project structures will remain in East Kalimantan; facilitating access to the project's local target group there thus might be difficult; IF an on-site mission cannot take place due to COVID19, data quality is likely to be moderate due to a weak/ lack of input from the target group/ beneficiaries | good |
| | Standard | To what extent has the intervention contributed to the achievement of objectives? | • Assessment based on the activities, TC-instruments and outputs of the project (contribution-analysis as focus of this assessment dimension and minimum standard, see annotated reports)<br>• What would have happened without the project? (usually qualitative reflection) | It is plausible that the activities and instruments have contributed to outputs and the outputs have contributed to the project objective | Contribution analysis; document and data analysis, survey, interviews, FGD, field visits/ observation | Final report, progress reports, M+E data, interviews with project team and partners, assessment of partner products (e.g. regulations and decrees), team survey, field visits to Central Sulawesi (Palu and Lore Lindu National Park) and East Kalimantan (Samarinda and Berau), FGD with final beneficiaries | Good, limitations arise if the final project report is not available before the evaluation mission and based on the fact that no further project structures will remain in East Kalimantan; facilitating access to the project's local target group there thus might be difficult; IF an on-site mission cannot take place due to COVID19, data quality is likely to be moderate due to a weak/ lack of input from the target group/ beneficiaries | good |
| | Standard | To what extent has the intervention contributed to the achievement of objectives at the level of the intended beneficiaries? | | It is plausible that the activities and instruments have contributed to project objectives at beneficiary level | Contribution analysis; document and data analysis, survey, interviews, FGD, field visits/ observation | Final report, progress reports, M+E data, interviews with project team and partners, assessment of partner products (e.g. regulations and decrees), team survey, field visits to Central Sulawesi (Palu and Lore Lindu National Park) and East Kalimantan (Samarinda | Good, limitations arise if the final project report is not available before the evaluation mission and based on the fact that no further project structures will remain in East Kalimantan; facilitating access to the project's local target group there thus might be difficult; IF an on-site mission cannot take place due to | good |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | | | | | | and Berau), FGD with final beneficiaries | COVID19, data quality is likely to be moderate due to a weak/ lack of input from the target group/ beneficiaries | |
| | Standard | To what extent has the intervention contributed to the achievement of objectives at the level of particularly disadvantaged or vulnerable groups of beneficiaries and stakeholders? (These may be broken down by age, income, gender, ethnicity, etc.)? | | It is plausible that the activities and instruments have contributed to project objectives regarding disadvantaged or vulnerable groups of beneficiaries and stakeholders | Contribution analysis; document and data analysis, survey, interviews, FGD, field visits/ observation | Final report, progress reports, M+E data, interviews with project team and partners, assessment of partner products (e.g. regulations and decrees), team survey, field visits to Central Sulawesi (Palu and Lore Lindu National Park) and East Kalimantan (Samarinda and Berau), FGD with final beneficiaries | Good, limitations arise if the final project report is not available before the evaluation mission and based on the fact that no further project structures will remain in East Kalimantan; facilitating access to the project's local target group there thus might be difficult; IF an on-site mission cannot take place due to COVID19, data quality is likely to be moderate due to a weak/ lack of input from the target group/ beneficiaries | good |
| | Standard | *Which internal factors (technical, organisational or financial) were decisive for achievement/non-achievement of the intervention's intended objectives?* | • Internal factors = within the project's sphere of responsibility / system boundary. The project is implemented jointly by GIZ and the official partner(s). | Reports/ interviewees identify internal factors that contributed to the (non-) achievement of the project objective | Contribution analysis; document and data analysis, survey, interviews, FGD, field visits/ observation | Final report, progress reports, M+E data, interviews with project team and partners, assessment of partner products (e.g. regulations and decrees), team survey, field visits to Central Sulawesi (Palu and Lore Lindu National Park) and East Kalimantan (Samarinda and Berau), FGD with final beneficiaries | Good, limitations arise if the final project report is not available before the evaluation mission and based on the fact that no further project structures will remain in East Kalimantan; facilitating access to the project's local target group there thus might be difficult; IF an on-site mission cannot take place due to COVID19, data quality is likely to be moderate due to a weak/ lack of input from the target group/ beneficiaries | good |
| | Standard | *Which external factors were decisive for achievement/non-achievement of the intervention's intended objectives (taking into account the anticipated risks)?* | • External factors = outside the project's sphere of responsibility / system boundary. The project is implemented jointly by GIZ and the official partner(s). | Reports/ interviewees identify external factors that contributed to the (non-) achievement of the project objective | Contribution analysis; document and data analysis, survey, interviews, FGD, field visits/ observation | Final report, progress reports, M+E data, interviews with project team and partners, assessment of partner products (e.g. regulations and decrees), team survey, field visits to Central Sulawesi (Palu and Lore Lindu National Park) and East Kalimantan (Samarinda and Berau), FGD with final beneficiaries | Good, limitations arise if the final project report is not available before the evaluation mission and based on the fact that no further project structures will remain in East Kalimantan; facilitating access to the project's local target group there thus might be difficult; IF an on-site mission cannot take place due to COVID19, data quality is likely to be moderate due to a weak/ lack of input | good |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | | | | | | | from the target group/ beneficiaries | |
| **Quality of implementation** | Standard | What assessment can be made of the quality of steering and implementation of the intervention in terms of the achievement of objectives?<br><br>What assessment can be made of the quality of steering and implementation of, and participation in, the intervention by the partner/executing agency? | Capacity Works considerations:<br>- **Results-oriented monitoring (RoM / WoM)** is established and used, e.g. for evidence-based decisions, risk management. Data are disaggregated by gender and marginalized groups. unintended positive and negative results are monitored. Conflict-sensitive monitoring and explicit risk-safety monitoring are particularly important for projects in fragile contexts.<br>- A bindingly communicated **strategy** agreed with the partners is pursued<br>- Involvement and **cooperation** of all relevant actors (including partners, civil society, private sector)<br>- **Steering**: decisions influencing the project's results are made in time and evidence-informed. Decision processes are transparent.<br>- **Processes**: Relevant change processes are anchored in the cooperation system; project-internal processes are established and regularly reflected and optimised.<br>- **Learning and innovation**: There is a learning and innovation-friendly work culture that promotes the exchange of experience; learning processes are established; context-specific adjustments are possible | Steering and cooperation are based on Capacity Works considerations; partner participation is in line with these considerations | Contribution analysis; document and data analysis, survey, interviews, FGD, field visits/ observation | Final report, progress reports, M+E data and processes, steering structure, cooperation agreements, interviews with project team and partners, assessment of partner products (e.g. regulations and decrees), team survey, field visits to Central Sulawesi (Palu and Lore Lindu National Park) and East Kalimantan (Samarinda and Berau), FGD with final beneficiaries | Good, limitations arise if the final project report is not available before the evaluation mission and based on the fact that no further project structures will remain in East Kalimantan; facilitating access to the project's local target group there thus might be difficult; IF an on-site mission cannot take place due to COVID19, data quality is likely to be moderate due to a weak/ lack of input from the target group/ beneficiaries | good |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| **Unintended results** | Standard | To what extent can unintended positive/negative direct results (social, economic, environmental and among vulnerable beneficiary groups) be observed/anticipated? | • The focus is on the outcome level, but for the analysis the unintended effects can also be included on the output level | Reports/ interviewees identify positive/ negative unintended direct results at outcome or output level | Explorative, based on the Most Significant Change approach; document and data analysis, survey, interviews, FGD, field visits/ observation | Appraisal report, Final report, progress reports, M+E data, PCA and UKP results, interviews with project team and partners, assessment of partner products (e.g. regulations and decrees), team survey, field visits to Central Sulawesi (Palu and Lore Lindu National Park) and East Kalimantan (Samarinda and Berau), FGD with final beneficiaries | Good, limitations arise if the final project report is not available before the evaluation mission and based on the fact that no further project structures will remain in East Kalimantan; facilitating access to the project's local target group there thus might be difficult; IF an on-site mission cannot take place due to COVID19, data quality is likely to be moderate due to a weak/ lack of input from the target group/ beneficiaries | good |
| | and Fragility | To what extent was the project able to ensure that escalating factors/ dividers[3] have not been strengthened (indirectly) by the project[4]? Has the project unintentionally (indirectly) supported violent or 'dividing' actors? | | Reports/ interviewees identify escalating/ deescalating factors the project has supported | Explorative, based on the Most Significant Change approach; document and data analysis, survey, interviews, FGD, field visits/ observation | Appraisal report, Final report, progress reports, M+E data, PCA and UKP results, interviews with project team and partners, assessment of partner products (e.g. regulations and decrees), team survey, field visits to Central Sulawesi (Palu and Lore Lindu National Park) and East Kalimantan (Samarinda and Berau), FGD with final beneficiaries | Good, limitations arise if the final project report is not available before the evaluation mission and based on the fact that no further project structures will remain in East Kalimantan; facilitating access to the project's local target group there thus might be difficult; IF an on-site mission cannot take place due to COVID19, data quality is likely to be moderate due to a weak/ lack of input from the target group/ beneficiaries | good |
| | Standard | What potential benefits/risks arise from the positive/negative unintended results? What assessment can be made of them? | • also check whether the risks were already mentioned and monitored in the design phase | Risks and assumptions are stated in the offer; risks, assumptions and unintended effects have been covered by the project's M+E activities | Explorative, based on the Most Significant Change approach; document and data analysis, survey, interviews, FGD, field visits/ observation | Appraisal report, Final report, progress reports, M+E data, interviews with project team and partners, assessment of partner products (e.g. regulations and decrees), team survey, field visits to Central Sulawesi (Palu and Lore Lindu National Park) and East Kalimantan (Samarinda and Berau), FGD with final beneficiaries | Good, limitations arise if the final project report is not available before the evaluation mission and based on the fact that no further project structures will remain in East Kalimantan; facilitating access to the project's local target group there thus might be difficult; IF an on-site mission cannot take place due to COVID19, data quality is likely to be moderate due to a weak/ lack of input from the target group/ beneficiaries | good |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | and Fragility | To what extent have risks and unintended-negative results in the context of conflict, fragility and violence[5] been monitored (context/conflict-sensitive monitoring) in a systematic way? | | M+E activities captured risks and unintended-negative results in the context of conflict, fragility and violence | Explorative, based on the Most Significant Change approach; document and data analysis, survey, interviews | Appraisal report, Final report, progress reports, M+E data, PCA and UKP results, interviews with AV and M+E responsible | Good, limitations arise if the final project report is not available before the evaluation mission and based on the fact that no further project structures will remain in East Kalimantan; facilitating access to the project's local target group there thus might be difficult; IF an on-site mission cannot take place due to COVID19, data quality is likely to be moderate due to a weak/ lack of input from the target group/ beneficiaries | good |
| | Standard | How has the intervention responded to the potential benefits/risks of the positive/negative unintended results? | • Check if positive results at the outcome level have been monitored and set in value | M+E activities captured results of unintended effects | Explorative, based on the Most Significant Change approach; document and data analysis, survey, interviews | Appraisal report, Final report, progress reports, M+E data, interviews with AV and M+E responsible | Good, limitations arise if the final project report is not available before the evaluation mission and based on the fact that no further project structures will remain in East Kalimantan; facilitating access to the project's local target group there thus might be difficult; IF an on-site mission cannot take place due to COVID19, data quality is likely to be moderate due to a weak/ lack of input from the target group/ beneficiaries | good |

**OECD-DAC Criterion Efficiency - How well are resources being used? (max. 100 points)**

This criterion describes the extent to which the intervention delivers results in an economic and timely way (relationship between input and output, outcome and impact level). The evaluation dimension "**production efficiency**" refers to the appropriateness of the relationship between inputs and outputs. The evaluation dimension "**allocation efficiency**" refers to the appropriateness of the relationship between the inputs and the results achieved (project/development objective; outcome/impact level) by the intervention. The "efficiency" criterion relates both to the intervention's design and implementation and to the results it achieves.

| **Assessment dimensions** | **Filter - Project Type** | **Evaluation questions** | **Clarifications** | **Basis for Assessment / Evaluation indicators** (*e.g. Modulziel-/Programmindikatoren, ausgewählte Hypothesen, oder allgemeiner eine Definition der Aspekte, die zur Bewertung herangezogen werden)* | **Evaluation Design and empirical methods** (Design: e.g. Contribution analysis, Follow-the-Money Approach) (Methods: e.g. interviews, focus group discussions, | **Data sources** (e.g. list of relevant documents, interviews with stakeholder category XY, specific data, specific monitoring data, specific workshop(s), etc.) | **Data Quality and limitations** (Description of limitations, assessment of data quality: poor, moderate, good, strong) | **Data Quality Assessment** (weak, moderate, good, strong) |
|---|---|---|---|---|---|---|---|---|

| | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | document analysis, project/partner monitoring system, workshop, online survey, etc.) | | | | |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| **Production efficiency** | Standard | *How are the intervention's inputs (financial, human and material resources) distributed (e.g. by instruments, sectors, sub-interventions, taking into account the cost contributions of partners/executing agencies/other beneficiaries and stakeholders etc.)?* | • Description of the data: Costs per output, type of costs, agreed and provided partner contributions<br>• Description of the deviations between original planned costs and actual costs (with comprehensible justification, changes are certainly desirable for increased efficiency) | Descriptive, not indicator-based | Explorative based on these analytical questions and Follow-the-Money-efficiency tool; document and data analysis, survey, interviews | Efficiency tool, cost-obligo report, interview with project responsible (Auftragsverantwortlicher, AV) and finance person, survey | Moderate, limitations arise based on the fact that the project budget has not been designed and executed based on outputs but on budget lines; an ex-post presentation of this budget under a new structure (per output) can only be an approximation; necessary inputs (e.g., quantified partner contributions) may not be available/ may only be available to a limited extent. | moderate |

| | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | | Standard | To what extent have the intervention's inputs (financial, human and material resources) been used economically in relation to the outputs delivered (products, investment goods and services)? If possible, refer to data from other evaluations in a region or sector, for instance. | • Use of 'Efficiency tool' including instructions and use of the follow-the-money approach as evaluation design (may be combined with other high-quality approaches)<br>• Output level: Analysis of approaches and activities as well as TC instruments (personnel instruments, financing, materials and equipment)[1] compared to possible alternatives with a focus on the minimum principle (use of comparative data if available)<br>• The project is oriented on internal or external benchmarks in order to achieve its effects economically<br>• Regular reflection of the resources used by the project with focus on economically use of resources and cost risks<br>• The overarching costs of the project are in an appropriate proportion to the costs of the outputs | Budget was spent as planned; indications by the project team that maximum outputs have been achieved with the available budget; all project activities and expenditures were necessary to reach project outputs/ no redundant activities are identified | Follow-the-Money-efficiency tool; document and data analysis, survey, interviews | Efficiency tool, cost-obligo report, interview with project responsible (Auftragsverantwortlicher, AV) and finance person, survey | Moderate, limitations arise based on the fact that the project budget has not been designed and executed based on outputs but on budget lines; an ex-post presentation of this budget under a new structure (per output) can only be an approximation; necessary inputs (e.g., quantified partner contributions) may not be available/ may only be available to a limited extent. | moderate | |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | Standard | To what extent could the intervention's outputs (products, investment goods and services) have been increased through the alternative use of inputs (financial, human and material resources)? If possible, refer to data from other evaluations of a region or sector, for instance. (If applicable, this question adds a complementary perspective*)<br><br>* This case is always applicable in the technical cooperation (TC), please answer the question bindingly | • Use of 'Efficiency tool' including instructions and use of the follow-the-money approach as evaluation design (may be combined with other high-quality approaches)<br>• Output level: Analysis of approaches and activities as well as TC instruments (personnel instruments, financing, materials and equipment)[1] compared to possible alternatives with focus on output maximization (use of comparative data if available)<br>• Analysis of alternative options for allocating resources and shifts between outputs for output maximisation<br>• saved resources can and should be used to maximise outputs<br>• Reflection of the resources during the design phase and regularly during the implementation of the project with focus on output maximisation (with comprehensible justification, changes are certainly desirable for increased efficiency)<br>• 'imaximising outputs' means with the same resources, under the same conditions and with the same or better quality | Budget management and monitoring were geared to maximize outputs | Follow-the-Money-efficiency tool; document and data analysis, survey, interviews | Efficiency tool, cost-obligo report, interview with project responsible (Auftragsverantwortlicher, AV) and finance person, survey | Moderate, limitations arise based on the fact that the project budget has not been designed and executed based on outputs but on budget lines; an ex-post presentation of this budget under a new structure (per output) can only be an approximation; availability of comparative data is rather unlikely due to the complex and unique setting and approach of the project; necessary inputs (e.g., quantified partner contributions) may not be available/ may only be available to a limited extent. | moderate |
| | Standard | Were the outputs (products, investment goods and services) produced on time and within the planned time frame? | | Output achievement regarding their timely dimension as planned in project design | Explorative based on these analytical questions; document and data analysis, survey, interviews | Final report, progress reports, interview with project responsible (Auftragsverantwortlicher, AV) and finance person, survey | Good, slight limitations where a specific output has no clearly defined timeframe (starting and end point) in the project proposal | good |
| **Allocation efficiency** | Standard | *By what other means and at what cost could the results achieved (higher-level project objective) have been attained?* | | Descriptive, not indicator-based | Explorative based on these analytical questions; document and data analysis, | Final report, progress reports, interview with project responsible (Auftragsverantwortlicher, AV) and finance person, survey | Moderate, limitations arise based on the fact that project staff may not be aware of alternative ways to have reached achieved | moderate |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | | | | | survey, interviews | | results and the question is rather speculative | |
| | Standard | To what extent – compared with alternative designs for the intervention – could the results have been attained more cost-effectively? | • Outcome level: Analysis of approaches and activities as well as TC-instruments in comparison to possible alternatives with focus on minimum principle (use of comparative data if available)<br>• Regular reflection in the project of the input-outcome relation and alternatives as well as cost risks<br>• The partner contributions are proportionate to the costs for the outcome of the project | Budget management and monitoring including partner contributions were geared to maximize results | Budget analysis and Follow-the-Money-efficiency tool; document and data analysis, survey, interviews | Efficiency tool, cost-obligo report, interview with project responsible (Auftragsverantwortlicher, AV) and finance person, survey | Moderate, limitations arise based on the fact that project staff may not be aware of alternative ways to have reached achieved results and the question is rather speculative; partner contributions are hardly quantified; availability of comparative data is rather unlikely due to the complex and unique setting and approach of the project; it is likely to find anecdotal evidence only | moderate |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | Standard | To what extent – compared with alternative designs for the intervention – could the positive results have been increased using the existing resources? (If applicable, this question adds a complementary perspective*)<br><br>* This case is always applicable in the technical cooperation (TC), please answer the question bindingly | • Outcome level: Analysis of applied approaches and activities as well as TC-instruments compared to possible alternatives with focus on maximizing the outcome (real comparison if available)<br>• The project manages its resources between the outputs in such a way that the maximum effects in terms of the module objective are achieved<br>• Regular reflection in the project of the input-outcome relation and alternatives<br>• Reflection and realization of possibilities for scaling-up<br>• If additional funds (e.g. co-financing) have been raised: Effects on input-outcome ratio (e.g. via economies of scale) and the ratio of administrative costs to total costs<br>• Losses in efficiency due to insufficient coordination and complementarity within German DC are sufficiently avoided | Budget management and monitoring including partner contributions were geared to maximize results | Budget analysis and Follow-the-Money-efficiency tool; document and data analysis, survey, interviews | Efficiency tool, cost-obligo report, interview with project responsible (Auftragsverantwortlicher, AV) and finance person, survey | Moderate, limitations arise based on the fact that project staff may not be aware of alternatives to have increased results with the given resources and the question is rather speculative; it is likely to find anecdotal evidence only | moderate |

**OECD-DAC Criterion Sustainability - Will the benefits last? (max. 100 points)**
The 'sustainability' criterion relates to continued long-term benefits (at the outcome and impact level) or the probability of continued long-term benefits – taking into account observed or foreseeable risks – over time, particularly after assistance has ended.

| **Assessment dimensions** | **Filter - Project Type** | **Evaluation questions** | **Clarifications** | **Basis for Assessment / Evaluation indicators** (*e.g. Modulziel-/Programmindikatoren, ausgewählte Hypothesen, oder allgemeiner eine Definition der Aspekte, die zur Bewertung herangezogen werden)* | **Evaluation Design and empirical methods** (Design: e.g. Contribution analysis, Follow-the-Money Approach) (Methods: e.g. interviews, focus group discussions, document analysis, project/partner monitoring system, | **Data sources** (e.g. list of relevant documents, interviews with stakeholder category XY, specific data, specific monitoring data, specific workshop(s), etc.) | **Data Quality and limitations** (Description of limitations, assessment of data quality: poor, moderate, good, strong) | **Data Quality Assessment** (weak, moderate, good, strong) |
|---|---|---|---|---|---|---|---|---|

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | | | | | workshop, online survey, etc.) | | | |
| **Capacities of the beneficiaries and stakeholders** | Standard | To what extent do the beneficiaries and stakeholders (individuals, groups and organisations, partners and executing agencies) have the institutional, human and financial resources as well as the willingness (ownership) required to sustain the positive results of the intervention over time (once assistance has drawn to a close)? | • Transitional Development Assistance (TDA) projects primarily address final beneficiaries, whose resilience to crises and recurring shocks is to be strengthened. The focus for TDA projects is thus often on the resilience of final beneficiaries and/or at least the continuity of the measure (see explanation in dimension 3) (clarification in the inception phase of the evaluation). | Demonstrable or expected project results after the end of the project and existing capacities of the partners, target groups and direct beneficiaries to continue project results | Explorative based on these analytical questions; document and data analysis, survey, interviews, FGD, field visits/ observation | Final report, progress reports, interviews with project team and partners, team survey, field visits to Central Sulawesi (Palu and Lore Lindu National Park) and East Kalimantan (Samarinda and Berau), FGD with final beneficiaries | Strong, no limitations | strong |
| | Standard | To what extent do the beneficiaries and stakeholders (individuals, groups and organisations, partners and executing agencies) have the resilience to overcome future risks that could jeopardise the intervention's results? | | **Impacts of potential (social, environmental, economic and political/ institutional) risks endangering project results are minimized** | **Explorative based on these analytical questions; document and data analysis, survey, interviews, FGD, field visits/ observation** | Final report, progress reports, interviews with project team and partners, team survey, field visits to Central Sulawesi (Palu and Lore Lindu National Park) and East Kalimantan (Samarinda and Berau), FGD with final beneficiaries | **Moderate as feedback on this question will mostly rely on subjective indications by interviewees; measuring resilience is outside the scope of this evaluation** | **Moderate** |

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | **Contribution to supporting sustainable capacities** | Standard | To what extent has the intervention contributed to the beneficiaries and stakeholders (individuals, groups and organisations, partners and executing agencies) having the institutional, human and financial resources as well as the willingness (ownership) required to sustain the intervention's positive results over time and to limit the impact of any negative results? | • Analysis of the preparation and documentation of learning experiences<br>• Description of the anchoring of contents, approaches, methods and concepts in the partner system<br>• Reference to exit strategy of the project<br>• If there is a follow-on project, check to what extent the results of the evaluated project are taken up; the anchoring of the effects in the partner's organisation should be pursued independently of a follow-on project, since sustainability should be achieved even without donor funds<br>• Transitional Development Assistance (TDA) projects primarily address final beneficiaries, whose resilience to crises and recurring shocks is to be strengthened. The focus for TDA projects is thus often on the resilience of final beneficiaries and/or at least the continuity of the measure (see explanation in dimension 3) (clarification in the inception phase of the evaluation). | Project documents / stakeholders confirm actions that are expected to lead to institutional, human and financial resources as well as the willingness to sustain results | Contribution analysis; document and data analysis, survey, interviews, FGD, field visits/ observation | Final report, progress reports, interviews with project team and partners, team survey, field visits to Central Sulawesi (Palu and Lore Lindu National Park) and East Kalimantan (Samarinda and Berau), FGD with final beneficiaries | Strong, no limitations | strong |
| | | Standard | To what extent has the intervention contributed to strengthening the resilience of the beneficiaries and stakeholders (individuals, groups and organisations, partners and executing agencies)? | | Impacts of potential (social, environmental, economic and political/ institutional) risks on beneficiaries and stakeholders endangering project results are minimized based on project interventions | Contribution analysis; document and data analysis, survey, interviews, FGD, field visits/ observation | Final report, progress reports, interviews with project team and partners, team survey, field visits to Central Sulawesi (Palu and Lore Lindu National Park) and East Kalimantan (Samarinda and Berau), FGD with final beneficiaries | Moderate, the target groups and (indirect) beneficiaries are likely not fully aware of the differences between interventions, where several interventions take/ took place the aggregation of these may have led to the impact whereby the interviewees/ FGD participants may not be able to separate the interventions from each other leading to a blurred picture regarding contribution | moderate |
| | | Standard | To what extent has the intervention contributed to strengthening the resilience of particularly disadvantaged groups? (These may be broken | | Impacts of potential (social, environmental, economic and political/ institutional) risks on disadvantaged groups endangering project results are minimized | Contribution analysis; document and data analysis, survey, interviews, FGD, | Final report, progress reports, interviews with project team and partners, team survey, field visits to Central Sulawesi (Palu and Lore Lindu National Park) and East Kalimantan | Moderate, the target groups and (indirect) beneficiaries are likely not fully aware of the differences between interventions, where several interventions take/ took place the aggregation of these may | moderate |

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | | down by age, income, gender, ethnicity, etc.) | | based on project interventions | field visits/ observation | (Samarinda and Berau), FGD with final beneficiaries | have led to the impact whereby the interviewees/ FGD participants may not be able to separate the interventions from each other leading to a blurred picture regarding contribution | |
| **Durability of results over time** | Standard | *How stable is the context in which the intervention operates?* | | Probability of occurrence of ecological/ social/ economic/ political/ institutional risks that negatively affect the sustainability of the project | Explorative based on these analytical questions; document and data analysis, survey, interviews, FGD, field visits/ observation | Final report, progress reports, interviews with project team and partners, team survey, field visits to Central Sulawesi (Palu and Lore Lindu National Park) and East Kalimantan (Samarinda and Berau), FGD with final beneficiaries | Strong, no limitations | strong |
| | Standard | *To what extent is the durability of the intervention's positive results influenced by the context?* | • Consideration of risks and potentials for the long-term stability of the results and description of the reaction of the project to these | Probability of occurrence of ecological/ social/ economic/ political/ institutional risks that negatively affect the sustainability of the project | Explorative based on these analytical questions; document and data analysis, survey, interviews, FGD, field visits/ observation | Final report, progress reports, interviews with project team and partners, team survey, field visits to Central Sulawesi (Palu and Lore Lindu National Park) and East Kalimantan (Samarinda and Berau), FGD with final beneficiaries | Strong, no limitations | strong |
| | Standard | To what extent can the positive (and any negative) results of the intervention be deemed durable? | • Consideration of the extent to which continued use of the results by partners and beneficiaries can be foreseen<br>• Reference to conditions and their influence on the durability, longevity and resilience of the effects (outcome and impact)<br>• In the case of projects in the field of Transitional Development Assistance (TDA), at least the continuity of the measure must be examined: To what extent will services or results be continued in future projects (of GIZ or other donors/organizations) or their sustainability ensured? (Clarification in the inception phase) | Expected degree of continuation of the project results by executing agent/partners/target groups with their own resources (or by third parties) | Explorative based on these analytical questions; document and data analysis, survey, interviews, FGD, field visits/ observation | Final report, progress reports, interviews with project team and partners, team survey, field visits to Central Sulawesi (Palu and Lore Lindu National Park) and East Kalimantan (Samarinda and Berau), FGD with final beneficiaries | Good, based on interviewees expectations and experience | good |

**Predecessor project, follow-on project and further evaluation questions**

| Assessment dimensions | Evaluation questions | Basis for Assessment / Evaluation indicators (*e.g. Modulziel-/Programmindikatoren, ausgewählte Hypothesen, oder allgemeiner eine Definition der Aspekte, die zur Bewertung herangezogen werden)* | Evaluation Design and empirical methods (Design: e.g. Contribution analysis, Follow-the-Money Approach) (Methods: e.g. interviews, focus group discussions, document analysis, project/partner monitoring system, workshop, online survey, etc.) | Data sources (e.g. list of relevant documents, interviews with stakeholder category XY, specific data, specific monitoring data, specific workshop(s), etc.) | Data Quality and limitations (Description of limitations, assessment of data quality: poor, moderate, good, strong) | Data Quality Assessment (weak, moderate, good, strong) |
|---|---|---|---|---|---|---|
| **Impact of the predecessor project (if predecessor project exists)** | *Which results were envisaged at the impact level of the predecessor project and which were achieved?* | Defined and achieved impacts of FORCLIME I (PN 2012.2485.6) | Explorative based on these analytical questions; document analysis, interviews | Project proposal and final report FORCLIME I, interviews with BMZ and FORCLIME I project staff | Good, slight limitations regarding potential availability/ reachability of FORCLIME I project staff | good |
| | Which results of the predecessor are still visible today at impact level? | Achieved results as per final report | Explorative based on these analytical questions; document analysis, interviews | Final report FORCLIME I, interviews with BMZ and FORCLIME I project staff | Good, slight limitations regarding potential availability/ reachability of FORCLIME I project staff | good |
| | Which results of the predecessor are only visible today at impact level? | Achieved results as per final report | Explorative based on these analytical questions; document analysis, interviews | Final report FORCLIME I, interviews with BMZ and FORCLIME I project staff | Moderate, due to time passed since finalization of FORCLIME I (2016) memories of interviewees are likely blurred on when specific impacts have become visible | moderate |
| | How were changes in the framework conditions handled over time (including transition between different projects)? Which decisions in previous projects influence the impact of the predecessor as well as the current project until today? How? | Descriptive, not indicator-based | Explorative based on these analytical questions; document analysis, interviews | Project proposal and final report FORCLIME I, interviews with BMZ and FORCLIME I project staff | Moderate, due to time passed since finalization of FORCLIME I (2016) memories of interviewees are likely blurred on changes in framework conditions and the influence of specific decisions on impacts | moderate |
| | What were factors for success / failure for the impact of the predecessor? | Descriptive, not indicator-based | Explorative based on these analytical questions; document analysis, interviews | Project proposal and final report FORCLIME I, interviews with BMZ and FORCLIME I project staff | Good, slight limitations regarding potential availability/ reachability of FORCLIME I project staff | good |
| | … | | | | | |
| **Sustainability of the predecessor project (if predecessor project exists)** | *Which results were envisaged at the outcome level of the predecessor project and which were achieved?* | Defined and achieved outcome indicators of FORCLIME I (PN 2012.2485.6) and partner indications | Explorative based on these analytical questions; document analysis, interviews | Project proposal and final report FORCLIME I, interviews with BMZ and FORCLIME I project staff | Good, slight limitations regarding potential availability/ reachability of FORCLIME I project staff | good |
| | Which results at outcome level (and important outputs) are still present or have been further developed by the partners? (without external funding vs. with external funding) | Descriptive, not indicator-based | Explorative based on these analytical questions; document analysis, interviews | Final report FORCLIME I, interviews with BMZ, political partner and FORCLIME I project staff | Good, slight limitations regarding potential availability/ reachability of FORCLIME I project staff | good |

| | | | | | | |
|---|---|---|---|---|---|---|
| | How were the results of the predecessor anchored in the partner structure? | Descriptive, not indicator-based | Explorative based on these analytical questions; document analysis, interviews | Final report FORCLIME I, interviews with BMZ, political partner and FORCLIME I project staff | Good, slight limitations regarding potential availability/ reachability of FORCLIME I project staff | good |
| | How were changes in the framework conditions handled over time (including transition between different projects)? Which decisions in previous projects influence the sustainability of the predecessor and the current project until today? How? | Descriptive, not indicator-based | Explorative based on these analytical questions; document analysis, interviews | Final report FORCLIME I, interviews with BMZ, political partner and FORCLIME I project staff | Moderate, due to time passed since finalization of FORCLIME I (2016) memories of interviewees are likely blurred on changes in framework conditions and the influence of specific decisions on impacts | moderate |
| | What were factors for success / failure for the sustainability of the predecessor? | Descriptive, not indicator-based | Explorative based on these analytical questions; document analysis, interviews | Final report FORCLIME I, interviews with BMZ, political partner and FORCLIME I project staff | Good, slight limitations regarding potential availability/ reachability of FORCLIME I project staff | good |
| | … | | | | | |
| **Follow-on project: Analysis of the design and recommendations for implementation (if a follow-on project exists)** | Evaluability and design of the successor: Are the results model for the follow-on project including the results hypotheses, the results-oriented monitoring system (WoM) and the project objective indicators plausible (and in line with current standards)? Are there - also based on the evaluation of the current project - recommendations for improvements in the further course of the follow-on project? | Descriptive, not indicator-based | Explorative based on these analytical questions; document analysis, interviews | Proposal of FORCLIME 4.0 (PN 2019.2125.3) incl. results-oriented monitoring, results model and indicators; interview with AV | Strong, no limitations | strong |
| | Based on the results of the evaluation of the current project: Which recommendations can be derived for the implementation of the follow-on project? | Descriptive, not indicator-based | Explorative based on these analytical questions; document analysis, interviews | Proposal of FORCLIME 4.0 (PN 2019.2125.3) incl. results-oriented monitoring, results model and indicators; interview with AV | Strong, no limitations | strong |
| | … | | | | | |
| ***Please add further knowledge interests /evaluation questions that cannot be assigned to any other assessment dimensions...*** | How did the project help to ensure that deforestation continues to fall and does not settle at the current level? (BMZ interest) | Descriptive, not indicator-based | Explorative; document analysis, interviews | Final report, interviews with BMZ, partner and AV | Strong, no limitations | strong |
| | How to motivate decision-makers towards "no unplanned deforestation"? | Descriptive, not indicator-based | Explorative; document analysis, interviews | Final report, interviews with BMZ, partner and AV | Strong, no limitations | strong |
| | | | | | | |
| | | | | | | |

## Photo credits and sources



## Disclaimer:



## Maps:

Deutsche Gesellschaft für
Internationale Zusammenarbeit (GIZ) GmbH

Registered offices
Bonn and Eschborn

Friedrich-Ebert-Allee 32 + 36
53113 Bonn, Germany
T: +49 228 44 60-0
F: +49 228 44 60-17 66

Dag-Hammarskjöld-Weg 1–5
65760 Eschborn, Germany
T: +49 6196 79-0
F: +49 6196 79-11 15

E: info@giz.de
I: www.giz.de