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# Terminal Evaluation of the UN Environment GEF Project “Removing Barriers to Invasive Species Management in Production and Protection Forests in South East Asia” (FORIS)

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## FINAL REPORT



Evaluation Office of UN Environment  
August 2017



## Evaluation Office of UN Environment

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Removing barriers to invasive species management in production and protection forests in South East Asia (FORIS)  
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## ABOUT THE EVALUATION<sup>1</sup>

**Joint Evaluation:** Yes

**Report Language(s):** English

**Evaluation Type:** Terminal Project Evaluations

**Brief Description:** This report is a terminal evaluation of a UN Environment-GEF project implemented between 2012 and 2016. The project's overall development goal was to enhance the capacity of four pilot countries (Cambodia, Indonesia, Philippines and Viet Nam) to manage invasive alien species, particularly in forest ecosystems, by strengthening existing national frameworks for the prevention and management of invasive alien species. The evaluation sought to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UN Environment, the GEF and their executing partner CABI International and the relevant agencies of the project participating countries.

**Key words:** Invasive Alien Species; IAS; NISSAP; South East Asia; SE Asia; sustainable forest management; forest protection; ecosystem management; biodiversity; Project Evaluation; Terminal Evaluation; TE; GEF; GEF Project; FORIS; capacity building.

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<sup>1</sup> This data is used to aid the internet search of this report on the Evaluation Office of UN Environment Website

## List of Acronyms

ACB	ASEAN Centre for Biodiversity
APFISN	Asia Pacific Forest Invasive Species Network
ASEAN	Association of SE Asian Nations
BBSNP	Bukit Barisan Selatan National Park
CABI	Centre for Agriculture and Biosciences International
CABI-ARC	CAB International – Africa Regional Centre, Nairobi, Kenya
CABI-SEA	CAB International – SE Asia Regional Centre, KL, Malaysia
CBD	Convention on Biological Diversity
CPNP	Cuc Phuong National Park
CRRDC	Conservation and Rehabilitation Research and Development Centre
DENR	Department of Environment and Natural Resources
ERDB	Ecosystems Research and Development Bureau
FORDA	Forest Research and Development Agency
FORRU-CMU	The Forest Restoration Research Unit, Chiang Mai University
FPA	Fertilizer and Pesticide Authority
FSP	Full-sized Project
FORRU	Forest Restoration Research Unit
GDANCP	General Department of Administration for Nature Conservation and Protection
GEF	Global Environment Facility
IA	Implementing Agency
IAS	Invasive Alien Species
ICBI	Second International

	Congress on Biological Invasions
IEA	International Executing Agency
IPC	International Project Coordinator
IPSC(ISC)	International Project Steering Committee
ISC	International Steering Committee
MoF	Ministry of Forestry
MONRE	Ministry of Natural Resources and Environment
MTR	Mid-term Review
NCU	National Coordination Unit
NEA	National Executing Agency
NBSAP	National Biodiversity Strategy and Action Plan
NISSAP	National Invasive Species Strategy and Action Plan
NPC	National Project Coordinator
NPD	National Project Director
NSC	National Steering Committee
PAWB	Protected Areas and Wildlife Bureau
PEA	Project Executing Agency
PRA	Pest Risk Assessments
PIF	Project Implementation Framework
PIR	Project Implementation Review
PMU	Project Management Unit
PIA	Project Implementing Agency
PPG	Project Preparation Grant
RoTI	Review of the outcomes to impacts GEF methodology
ACB	Asian Centre for Biodiversity
APFISN	Asia-Pacific Forest Invasive Species Network
RSAP	Regional strategy and Action Plans

SEA	Southeast Asia
SEAMEO- BIOTROP	SE Asian Regional Centre for Tropical Biology
TE	Terminal Evaluation
ToRs	Terms of Reference
UN Environment	United Nations Environment Programme
VEA	Viet Nam Environment Administration

**Table 1. Project Summary**

<b>Project Title:</b>	Removing Barriers to Invasive Species Management in Production and Protection Forests in South East Asia		
<b>Executing Agency:</b>	CABI		
<b>Geographical Scope:</b>	South East Asia - Regional		
<b>Participating Countries:</b>	Cambodia, Indonesia, Philippines, Viet Nam		
<b>Project Partners</b>	Forest Research Development and Innovation Agency (FORDA) (Indonesia), Department of Environment and Natural Resources (Philippines), Ministry of Environment (Cambodia), Ministry of Natural Resources and Environment (MONRE)(Viet Nam), Department of Agriculture, Fisheries and Forestry (DAFF) (Australia), SEAMEOBIOTROP (Indonesia), World Conservation Society (WCS), WWF – Asian Rhino and Elephant Action Strategy (AREAS), ASEAN Centre for Biodiversity (ACB), Biosecurity Queensland (DEEDI) (Australia), Commonwealth Scientific and Industrial Research Organization (CSIRO)(Australia).		
<b>GEF project ID:</b>	3957	<b>IMIS number:</b>	GFL-2328-2713-4B38
<b>Focal Area(s):</b>	Biodiversity	<b>GEF OP #:</b>	0515
<b>GEF Strategic Priority/Objective:</b>	GEF strategic long-term objective: SO4 Strategic programme for GEF IV: BD-SP 7: Prevention, Control and Management of Invasive Alien Species	<b>GEF approval date:</b>	28/9/2011
<b>UN Environment approval date:</b>	11 Jan 2012	<b>Date of first disbursement:</b>	1 Feb 2012
<b>Actual start date:</b>	1 Feb 2012	<b>Planned duration:</b>	48 months
<b>Intended completion date:</b>	30 November 2015	<b>Actual or Expected completion date:</b>	30 Sept 2016
<b>Project Type:</b>	FSP	<b>GEF Allocation:</b>	\$3,081,045
<b>PPG GEF cost:</b>	\$237,500	<b>PPG co-financing:</b>	\$275,000
<b>Expected MSP/FSP Co-financing:</b>	\$3,761,676	<b>Total Cost:</b>	\$7,355,221

<b>Mid-term review/eval. (planned date):</b>	Aug – Dec 2014	<b>Terminal Evaluation (actual date):</b>	Scheduled for Dec 2016– Mar 2017
<b>Mid-term review/eval. (actual date):</b>	Aug 2014 – Mar 2015 but did not go ahead	<b>No. of revisions:</b>	1 non cost extension until Sept 2016
<b>Date of last Steering Committee meeting:</b>	Sept 2016, Indonesia	<b>Date of last Revision:</b>	n/a
<b>Disbursement as of 30 June 2016:</b>	\$2,560,862.03	<b>Date of financial closure:</b>	n/a
<b>Date of Completion:</b>	Sept 2016	<b>Actual expenditures reported as of 31 May 2016:</b>	\$2,320,306.55
<b>Total co-financing realized as of 30 June 2016:</b>	\$2,718,434.25	<b>Actual expenditures entered in IMIS as of 30 June 2016:</b>	\$1,767,254.40 <sup>2</sup>
<b>Leveraged financing:</b>	n/a		

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<sup>2</sup> From final PIR 2016



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## 1 Executive Summary

This report presents the results of the terminal evaluation (TE) of the GEF funded project, *Removing Barriers to Invasive Species Management in Production and Protection Forests in SE Asia (FORIS) (Project No. 0515)* executed by the Centre for Agriculture and Biosciences International (CABI) and implemented by UN Environment. The TE was undertaken to assess project performance (in terms of relevance, effectiveness and efficiency), and determine the degree of achievement and/or likelihood of outcomes and impacts (actual and potential) stemming from the Project, including their sustainability. The TE took place between 1 December 2016 and 30 April 2017.

The TE used a mix of desktop reviews of project documents and other relevant literature and studies, and in-depth interviews (face-to-face, by skype or telephone, and by email) with UN Environment, CABI, and key individuals involved in the design, implementation and management of the Project, as well as selected national partner representatives and other international stakeholders who have participated in the Project. The Evaluation Consultant visited Indonesia, Viet Nam, Cambodia and Philippines in February 2017 to hold interviews with key staff from the participating countries.

### Summary of key evaluation findings

The overall goal of this project was *to manage SE Asian forests and biodiversity sustainably by reducing the negative environmental, economic and human health consequences of the invasive alien species*. The overall rating for the Project is **moderately satisfactory** with likelihood of impact, **likely** and sustainability and replication, **moderately likely**. A summary of the evaluation criteria, assessment and ratings is provided in Table 2 and discussed below.

**Table 2. Summary of evaluation ratings**

<b>Criterion</b>	<b>Section Reference</b>	<b>Rating</b>
Strategic relevance	6.1	Satisfactory
Quality of Project Design	6.2	Satisfactory
Nature of the external context	6.3	Satisfactory
Effectiveness: – attainment of the objectives and planned results		
• Achievement of outputs	6.4.1	Moderately Satisfactory
• Achievement of direct outcomes	6.4.2	Satisfactory
• Likelihood of impact	6.4.3	Likely
Efficiency	6.5	Moderately Unsatisfactory
Sustainability and Replication	6.6	Moderately Likely
Factors Affecting Performance		
• Project preparation and readiness	6.7.1	Satisfactory

- |   |       |                           |
|---|-------|---------------------------|
| • Implementation approach and management                        | 6.7.2 | Moderately Unsatisfactory |
| • Stakeholder participation and public awareness                | 6.7.3 | Moderately Satisfactory   |
| • Country ownership/drive                                       | 6.7.4 | Satisfactory              |
| • Financial planning and management                             | 6.7.5 | Moderately Unsatisfactory |
| • UN Environment supervision and backstopping                   | 6.7.6 | Satisfactory              |
| • Monitoring and evaluation (M&E), including GEF tracking tools | 6.7.7 | Moderately Unsatisfactory |

**Overall project rating**

**Moderately Satisfactory**

**Key<sup>3</sup>**

Highly satisfactory (HS) - There were no shortcomings in the terminal evaluation report.

Satisfactory (S) - There were minor shortcomings in the terminal evaluation report.

Moderately satisfactory (MS) - There were moderate shortcomings in the terminal evaluation report.

Moderately unsatisfactory (MU)- There were significant shortcomings in the terminal evaluation report.

Unsatisfactory (U) - There were major shortcomings in the terminal evaluation report.

Highly unsatisfactory (HU) - There were severe shortcomings in the terminal evaluation report.

*Strategic relevance (Section 6.1)*

Increased pathway activities are threatening the unique biodiversity of SE Asia with Invasive Alien Species (IAS) being introduced at an increasing rate through trade, travel (tourism) and transport. Cambodia, Indonesia, Philippines, and Viet Nam all recognised the need for improved regional coordination and expressed strong interest in linking their national strategies (e.g. NBSAP) and efforts in implementing Article 8 (h) of the Convention on Biological Diversity (CBD) to mitigate the threats of IAS in South East (SE) Asia. The FORIS project enabled each country to strengthen their capacity to respond to the IAS threat. The project was aligned well to international and regional as well as GEF and UN Environment priorities with respect to IAS.

*Quality of Project Design (Section 6.2)*

The project was based on a proven concept developed and implemented by CABI/UN Environment and other agencies previously in Africa and the Caribbean – the project design provided consistent intervention logic and a comprehensive component package with realistic and appropriate outcomes, outputs and activities tailored for a SE Asia context. There was good stakeholder involvement in the design and during implementation – this led to strong partnership building through the National Invasive Species Strategy and Action Plan (NISSAP) process and allowed for potential sustainability to be factored in. The project recognised that IAS is a shared problem across the SE Asia region that brings many challenges.

Within a timeframe of 4 years, the project outputs and outcomes were ambitious given its scope, the limited and varying budgets across countries, the involvement of four countries at different levels of capacity and the known issues with implementation capacity in SE Asian

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<sup>3</sup> Refer *Guidelines for GEF Agencies in Conducting Terminal Evaluations 2008* for more information at <https://www.gefinfo.org/sites/default/files/ieo/evaluations/te-guidelines-2008.pdf>

countries. The results were always likely to be inconsistent across the countries with not all countries benefitting equally and the project's overall success difficult to measure. During the consultations, all countries indicated that if they were designing the project today there would be more emphasis given to the design of the communication and awareness strategy and its implementation. In particular, there would have been more emphasis on understanding the level of awareness (baseline) of the target audiences and the most effective medium for communication for each target audience. While this was done to some extent during the project, it was not to the extent the countries would have liked on reflection.

#### *Nature of the external context (Section 6.3)*

Overall the context and challenges as outlined in the ProDoc during its design, remained the same throughout the project. With increasing pressure from forest fires in Indonesia in particular, as well as ongoing trends towards an increasing middle class that have access to greater trade and tourism opportunities and expanding transport needs across SE Asia, the risks of IAS will continue.

#### *Effectiveness – attainment of the objectives and planned results (Section 6.4)*

The FORIS project was designed to build awareness and capacity and create an enabling environment for IAS prevention, management and control to be strengthened across each of the participating countries (Indonesia, Viet Nam, Philippines and Cambodia). It also sought to establish regional mechanisms towards driving regional responses which are key to protecting forest ecosystems across SE Asia from the spread of IAS. While ambitious by design, there are many positive outcomes that have been brought about directly through this project. All countries now have the policy and regulatory framework in place from which to build (Component 1 Outcome 1a). This is no small feat and all countries should be congratulated for their efforts to develop the NISSAPs (or Master Plan for Viet Nam) and the supporting regulatory changes required. This policy development process has brought together the key intergovernmental sectors (agriculture, fisheries, forestry, treasury, environment, etc.) to the table to discuss the issues and work through a policy position to enable the NISSAPs to be developed in each country. This process also created a supportive learning network for the countries both within and between the countries as they worked through the challenges. In particular, while only an output for Indonesia (Component 1, Outcome 1b), the work that commenced on cost recovery mechanisms has provided great learnings for all the countries and showed clear shortcomings in trying to tackle the regulatory changes by focusing solely on the biodiversity outcomes. A clear message has been the importance of developing the business case for government as well as other sectors that look at the social impacts to the communities and the impacts on economies from IAS. It has also shown how difficult it is to progress cost recovery solutions without the engagement, buy-in and support from national level decision makers and beneficiaries who act as champions to integrate into policy and action plans.

Secondly the project has been successful in raising awareness (in some cases from ground zero) about the threats posed by invasive alien species and building capacity to respond to IAS (Component 3, Outcome 3a) in forested habitats. IAS discussions are now embedded in local communities adjacent to the pilot sites in each country and some communities such as those adjacent to the pilot site in the Philippines and Indonesia are looking at changing local regulations to drive improved responses (which has extended the success of Component 1, Outcome 1a to the local level, an unexpected outcome from the pilot projects under Component 4, Outcome 4a). It has also allowed government discussions in all the participating countries to consider the broader issues around risk management and response for those on the front line in Indonesia and Viet Nam where steps are now underway to implement these regulatory systems established through the FORIS project with strengthened capacity to do so (Component 1,

Outcome 1c). Likewise, it also provided a successful and value adding opportunity to learn in the field how to best manage and control IAS through the pilot studies (Component 4, Outcome 4a). These pilot studies were all well received, appropriate and useful for the countries and in fact all countries have committed to continuing IAS management within budget constraints at the pilot sites, and in the case of Indonesia, Viet Nam and Philippines, have already taken steps to embed IAS action in some protected area management plans beyond the pilot site. It is important to note that this replication, while small in some respects reflected the key intermediate state in the reconstructed Theory of Change (TOC) to sustain the project results.

The project enabled the first wide-scale awareness raising for IAS across the four countries, targeting the general public, key stakeholder groups, including universities and schools with positive outcomes in terms of improved knowledge and awareness at the end of the project across these groups, as shown in surveys undertaken and the incorporation of IAS into some curriculum or steps taken to effect the changes needed (Component 5, Outcome 5a). While all countries indicated there is much more to do, it is a good first start and again, something for the countries to be commended on for the efforts undertaken and the improvements made across the key sectors with respect to heightened awareness and understanding. The importance of broad stakeholder acceptance and understanding from within government as well as academia, Non Government Organisations (NGOs) and private sector is so important for driving the next phase of IAS work within each country – implementation and all countries indicated they would continue with raising awareness as opportunities and budgets allowed. While the project was never going to achieve implementation of the policy work undertaken within the short 4-5 year timeframe, it has created the impetus for action and through the capacity building and building of IAS related Networks across key stakeholder groups, provided funding is forthcoming and champions continue to drive performance, progress will occur to differing degrees across all countries.

Where success was less forthcoming and could be considered a lost opportunity has been with respect to regional aspects of the project (Component 2, Outcome 2a). It is here that the project has had limited success in helping to protect forest ecosystems in SE Asia from invasive alien species. While Component 2 was intended that regional collaboration would be strengthened to develop a coordinated response to a selected number of shared IAS through the use of the cost effective method of biocontrol, problems with engaging suitable regional organisations hindered the ability of extending the project to other countries across SE Asia effectively. In addition, the delayed start in forming the Regional IAS Biocontrol Working Group, due to a number of factors including additional time required to get the project countries up to speed on biocontrol, meant that the capacity of the countries participating in the project to use biocontrol techniques was limited. These delays meant that the project life span of four years and nine months was inadequate to address concerns and perceptions from each country to allow trials of biocontrol agents to occur as a part of the national pilot projects. It is important to note that Viet Nam has since released a biocontrol agent to control an IAS along the Mekong River as a part of a two-year project and Indonesia is working through an approval process to undertake a similar project.

#### *Efficiency (Section 6.5)*

It was clear from the consultations in all countries that CABI displayed much enthusiasm and passion for the project and was very committed to achieve outcomes, build enthusiasm and work through issues with each country. All countries indicated that it had been important for CABI South East Asia (CABI-SEA) to coordinate the project to be able to deal with cultural sensitivities in SE Asia to act as a moderator and a bridge between UN Environment, CABI – Africa Regional Centre, Nairobi, Kenya (CABI-ARC) and the countries. Until the beginning of the

non-cost extension (NCE), there were no major issues or concerns identified from any project partners with respect to the financial and administrative performance (other than time delays in reporting) of CABI. Towards the last 12 months of the project, particularly during the NCE period the quality of performance from CABI appeared to drop, as did that of the Philippines. Notwithstanding the repeated reminders and guidance provided by UN Environment, six months after the project finished there are still unreconciled financial reports and the terminal report and final monitoring and evaluation report, as well as a number of other technical reports and actions that have not been completed. The challenges experienced within the Philippines as a result of three NPCs over the life of the project have hampered the finalisation of the project also in that country, particularly with respect to finalisation of contracts, deliverables and the terminal report. This was a contributing factor to delaying the overall project completion by CABI.

It is also important to note that the level of co-financing for this project was significantly reduced from that agreed (US\$3.76m compared to US\$2.72m). It did not however, seem to impact on the delivery of outputs within Indonesia, Viet Nam or Philippines, nor at the regional level, which would indicate that perhaps the level of co-financing was over estimated during the development of the ProDoc. It did impact on the delivery of activities in Cambodia where given the limited capacity, additional co-financing may have allowed that country to boost technical capacity and implement a greater range of targeted activities. The limited GEF funding, combined with the limited in country capacity, meant that only the minimum set of activities and approach could be adopted.

#### *Sustainability and Replication (Section 6.6)*

The project has been successful in supporting the establishment of structures, processes and tools, such as institutional frameworks and invasive alien species-related policies involving multiple sectors, to ensure sustainability of invasive alien species control. How sustainable the project outcomes and efforts are for upscaling and rollout comes down to the ability of the countries to generate sufficient political will and support to drive budget allocations internally or identify donors to fund the implementation of the NISSAPs and support other related on-ground and research activities (key drivers/assumptions identified in the reconstructed TOC). Linked to this will be the need for stakeholder support, particularly from the private sector for the use of cost recovery mechanisms to fund regulatory functions..

Component 1, Outcome 1b to develop cost recovery mechanisms was only assigned to Indonesia. While the cost recovery activities undertaken by Indonesia occurred late in the project, they highlighted the importance of having a solid business case for investment and regulatory change to present to decision makers, both within the government and with key stakeholder groups. Without this, it will be very difficult for any traction towards implementation of measures.

While the national-level institutional frameworks are in place due to project support, the same is not the case at the regional level. The institutional frameworks are now in place within each country as a result of the FORIS project to allow implementation of IAS prevention, management and control measures to be implemented. At the regional level however, it is unlikely that efforts will be sustained as the building blocks, such as development of regional partnership agreements with SE Asian countries and development of a regional strategy have not been completed and regional partners' engagement has been limited. Three key regional partners were identified during the design phase, (Asian Centre for Biodiversity (ACB), the Asia-Pacific Forest Invasive Species Network (APFISN)) and the ASEAN Secretariat and while initial discussion indicated they may be the best suited regional partners to drive regional coordination, and they were all invited to be a part of the international project steering

committee (IPC), their lack of capacity and resources and difficulties with engagement meant this was not forthcoming. What the project demonstrated is that there is no suitable regional body in existence to take on the task of regional coordination for IAS without adequate funding and resources being available. It should be noted that regional cooperation relating to IAS has not really been achieved anywhere in the world, with the possible exception of the European Union through the European and Mediterranean Plant Protection Organisation (EPPO). It is imperative there is political cooperation/agreement between countries first – it is then that these other regional issues can be better addressed.

#### *Factors affecting performance (Section 6.7)*

There was strong ownership and drive for this project across all countries, especially Indonesia. While the project took a while to get going, once National Coordinating Units (NCUs) were in place within countries there was commitment to implement the project successfully, however the focus was at the national level and there was little support from the countries for regional efforts.

There were a number of key factors that impacted on the implementation and management of the FORIS project, including:

- **Capacity limitations within countries** – For all countries, technical capacity was limited or non-existent (as was the case for Cambodia) at the onset of the FORIS project. Due to limited internal and national capacity, the NCUs/ countries relied heavily upon national and international consultants – this was also hampered by limited budgets available to attract higher qualified national consultants (Source: interviews with NCUs). This was compounded by the fact that the project had been designed based on higher allocations (available and endorsed by countries) yet during review was reduced by the GEF Secretariat for Cambodia and Philippines. As a result there was only adequate budget in Indonesia and to a lesser extent Viet Nam to conduct the ideal full set of required outputs. The lack of capacity also increased the reliance on having strong National Project Directors (NPDs) and National Project Coordinators (NPCs) in each country. During the consultations it was revealed that it took a long time (up to 10 months) for NCUs to get up to speed, particularly in Cambodia and Viet Nam. As a result there needed to be a lot of “hand holding” in the early stages from CABI with respect to budgeting and workplans and technical aspects.
- **Cultural sensitivities, language barriers and differences in professional principles** – Each country involved in the project has a unique and strong cultural identity. Likewise, each country brought their own unique language to the project. While the CABI SEA team was involved in the day-to-day operational and administrative matters relating to the project, all countries indicated that there were ongoing challenges with respect to CABI-ARC having limited experience with working in SE Asia as well as differences in professional principles. This created much frustration for the countries and CABI and contributed to the delays and ongoing challenges with report writing. For example, there was a lot of IAS terminology that when translated was interpreted differently to mean different things in each language leading to confusion. There were also a number of substandard reports produced by national consultants that required modification and ongoing pressing by CABI to have these rectified. Significant needs were identified to strengthen technical report writing within all countries. CABI spent much time with each country providing guidance and training in report writing early on in the project towards helping to strengthen writing skills.

The key recommendations arising from the TE are as follows:



<b>Section</b>	<b>Recommendation</b>
6.4.1 Achievement of Outputs	<p>1) Cost-recovery is recognized by national agencies as a key to long-term IAS programming within countries. While output 1.3 focused only on the development of cost benefit analysis and cost recovery mechanisms within Indonesia, it demonstrated the importance of building a strong business case for investing in IAS management and control early on at a national as well as local level. Without a strong case in terms of the socio-economic and environment impacts and benefits (cost benefit analysis) and cost recovery mechanisms, it will be difficult for any country to successfully implement policies and strategies relating to IAS, to ensure adequate budget allocation by governments, and acceptance by the private sector to contribute towards the costs of management and for stakeholders to adequately engage.</p> <p>Should a new UN Environment/GEF project proposal be developed or for other IAS projects at early stages of implementation, an activity to develop the business case to support IAS management should be included to be undertaken during the early stages of the project. This will strengthen the case for Treasury budget allocations and provide greater opportunity for cost recovery mechanisms with the private sector. The business case being developed by Indonesia and any lessons learned during the process for the FORIS project should be circulated to the other participating countries once available.</p>
6.4.1 Achievement of Outputs	<p>2) APFISN was originally considered a useful regional partner who would provide an easy mechanism for sharing of information and tools relating to IAS across the SEA region. With the ongoing challenges with engaging APFISN due to their limited capacity and resources to deliver against the project, it is apparent that due diligence undertaken on them early on was not comprehensive to understand these limitations. While an alternate partner was identified (ACB), the delays made it difficult to catch up and then a lack of engagement from ACB, also as a result of limited capacity and resources further contributed to reduced quality of outputs for Component 2.</p> <p>As a part of the development of any new UN Environment/GEF projects that include a regional component, comprehensive due diligence should be undertaken on all key stakeholders identified to play important roles in the delivery of components to ensure they have the capacity and resources to engage in a project at the commencement of the design phase and this should then be reviewed at the commencement of the project.</p>
6.4.1 Achievement of Outputs	<p>3) As a matter of good governance for all GEF funded projects, external audits are required to be carried out annually. In the instance of the FORIS project, this has not occurred for the 2015 and 2016 years for Philippines and the overall project in a timely manner.</p> <p>All external audits should be completed for the FORIS project as a matter of urgency as soon as possible, in accordance with UN</p>

Environment imposed timelines.

6.4.1 Achievement of Outputs 4) It is clear from a review of quarterly, half yearly and annual reports submitted by CABI and those prepared by UN Environment, as confirmed during the consultation phase of the TE that there are inaccuracies in the reporting on the completion of a number of outputs for the project. In some instances, an output was reported as 100% complete to UN Environment when in fact there were still a number of deliverables outstanding, particularly relating to Components 2, 6 and 7.

For all new UN Environment/ GEF projects being developed or for those in the early stages of implementation, it is important that controls are established to ensure accuracy in reporting, through internal quality control and review processes by the implementing and executing agencies.

6.4.1 Achievement of Outputs 5) Project expenditure has been incurred in a number of instances yet deliverables have not been forthcoming for the FORIS project. These include a number of activities at the national level as well as regionally, including, the IAS app., and the regional IAS Guide. The Evaluator was informed in July 2017 that these have since been completed.

There are a number of key reports outstanding for the FORIS project, required for project completion. These include the Terminal Report, the final project financial reports, final co-financing reports and the final monitoring and evaluation report. Drafts were provided for the evaluation in July 2017, but no final versions are available and have not been officially submitted to UN Environment.

It is imperative the effective financial reporting and management as well as project management, including progress reporting is in place for all GEF funded projects. Steps should be taken by Project Management Units for projects underway or those being developed to ensure reports are provided as required and in a timely manner. Consideration should be given by UN Environment to require tighter enforcement of withholding payments to project participants until all milestones and deliverables are achieved as per workplans and terms of reference. Consideration should be given by CABI to review their finance and administration processes and allocation of roles and responsibilities to ensure streamlining where projects are jointly managed across CABI branches as occurred for FORIS.

6.4.2 Achievement of direct outcomes 6) Understanding the capacity and barriers within countries up front with respect to key aspects of the project, in this case for the use of biocontrol as an effective IAS management tool is paramount. Spending time identifying the barriers earlier would have allowed a more tailored approach to addressing the perception and capacity challenges within countries, for example through providing more field trips and face to face time with the international expert to demonstrate the biocontrol agents in action etc and how risks are managed.

For all GEF projects currently being developed or recently commenced,

where regional collaboration is required, a scoping study should be undertaken as a part of the initial stage of project set up to ensure barriers, capacity limitations and gaps and other aspects can be factored into workplan development and the timing of activities.

6.4.2 Achievement of direct outcomes 7) Understanding research priorities to inform decision making with respect to IAS prevention and management is an important aspect in establishing a strong enabling environment and intuitional framework for policy, as well as to enhance on ground implementation outcomes.

It is recommended that all FORIS countries consider developing National IAS Research Plans, subject to budget availability that identify the priority areas for research to address key gaps in knowledge to inform policy and decision-making going forward as they seek to implement their NISSAPs. These could be included within the NISSAP or as an annex. For any new GEF project relating to IAS being developed or recently commenced, this should be a key output required as a precursor to creating an enabling environment and informing decision-making.

6.5.1 Financial and administrative efficiency and effectiveness and timeliness 8) The difficulties presented by all NCUs in understanding workplans, contracting quality consultants and in reporting indicates a lack of experience in project management, report writing and in contracting out technical activities. It is also reflective of the differences in practice between international projects and local procedures (which are simpler and less rigorous). For all UN Environment/ GEF projects currently under development or recently commenced, consideration should be given to undertaking a capacity assessment to identify gaps in knowledge and skills for all national consultants, NPCs and project managers engaged in any GEF project, where feasible. Budgets for national consultants should allow for the hiring of highly skilled consultants to enhance outcomes and streamlining of the project and TOR for NPCs and national consultants clear and focused on roles and responsibilities. During the inception phase of any regional GEF project, project management, contract management and report writing skills training should be considered with the appropriate budget included, in line with GEFSEC rules for project management costs on GEF projects.

6.7.5 Financial planning and management 9) As a matter of urgency, immediate steps should be taken by CABI and UN Environment to rectify the financial state of this project and undertake the final financial audit. For incomplete outputs, an agreement should be reached as to how to finalise these projects, either through cancellation of the contracts or via quick completion. It is important that UN Environment is provided with a clear understanding of exactly what payments were made in advance for incomplete activities and the terms of the contracts entered into with any third parties. Discussions should be held and agreement reached as to what is to be returned to the GEFSEC.

The key lessons learned from the TE are as follows:

Section	Lessons Learned
6.4.2 Achievement of Direct Outcomes	1) The Evaluation found that one of the most significant impediments to driving IAS outcomes is that it is sold as a biodiversity issue, through it being embedded within the CBD. As a result of this, those working in the IAS space in the project countries have not sufficiently demonstrated the impact of IAS in terms of cross cutting socio economics aspects to decision makers. Therefore, any focus within a country or at a regional level to drive improved IAS outcomes requires a strong business case that provides a solid baseline, backed up by science to show the impacts from IAS environmentally, socially and economically and the benefits from acting to prevent, control and manage IAS. The business case (including a cost benefit analysis) needs to be developed in parallel with policy outcomes and communicated effectively to decision makers to show the significant cost to the economy from the impact of IAS. Decision makers need to be engaged early in the process to ensure buy in and support. This process should occur during the very early stages following commencement of a project where there is national implementation.
6.4.2 Achievement of Direct Outcomes	2) The Evaluation found that achieving significant outcomes for improved prevention, control and management of IAS at a national level requires an influential champion. That champion needs to be passionate about the issues, well respected, well connected and senior enough to drive activities and provide a compelling case that aligns the priorities of government to bring the intergovernmental stakeholders, including decision makers to the table. Those countries that had champions to this effect achieved greater success than those that did not. Therefore, facilitating effective collaboration among agencies in the Government is key to successfully implement outcomes. Agency collaboration is best attained with a common goal and agenda set forth at the national level early during a project. This process of identifying a champion should occur during the very early stages following commencement of a project where there is national implementation.
6.4.2 Achievement of Direct Outcomes	3) The evaluation found that the purpose and requirements for the use of biocontrol measures were not fully understood at the national level. Because of this, it took longer for the project to gain the required buy-in and support from decision makers for biocontrol. Therefore it is important that at the onset of a project, fears and perceptions that may influence the uptake of project approaches are thoroughly identified and how to overcome these barriers – i.e. what would be required to obtain buy-in and support from decision makers is understood and planned as activities. This process should occur during the very early stages following commencement of a project where there is national implementation.
6.4.2 Achievement of Direct	4) The Evaluation found that for capacity building to be effective with respect to IAS, it needs to involve in-field components. When the project applied this approach (at pilot sites and in Baluran National

Section	Lessons Learned
Outcomes	Park, Indonesia) there was much better buy-in and understanding from technical and decision makers. Therefore, while lectures and training in a classroom provides the introductory technical knowledge, seeing how things work in the field will help to cement understanding and build capacity through hands on learning. This is just as important for field staff as it is for decision makers – to provide tangible hands on exposure to the issues and management strategies available. This approach should be built into projects with national implementation at the design stage.
6.4.2 Achievement of Direct Outcomes	5) The Evaluation found that the importance of awareness raising and communication cannot be underestimated. During the project the participating countries indicated that having a sound communication strategy that identifies and segregates each target audience and provides a baseline of their understanding is key and they would have revised their strategies if time had allowed. Therefore, it is important for any project to ensure the most appropriate medium is used for delivering key messages and that those key messages resonate with the target groups and address cultural aspects that are in conflict with IAS priorities is paramount. For example in some cultures native trees are seen as of little value and should be removed to allow for exotics to be planted that will generate income. Likewise, in some places Governments/development projects/NGOs use exotic species to restore habitats which can create IAS problems. These perceptions need to be tackled head on through conducting and communicating a cost benefit analysis approach. This approach should be built into projects with national implementation at the design stage as a step towards building support from decision makers.
6.7.6 UN Environment supervision and backstopping	6) The Evaluation found that it is imperative that any emerging issues with respect to financial management and reporting such as inconsistencies and delays are acted upon quickly and all parties kept informed of progress against rectification actions being taken. This did not occur effectively during this project and as a result there remain unresolved financial inconsistencies from CABI and the Philippines. Therefore, for any projects with a similar situation, a rectification plan should be agreed between the implementing agency and the executing agency as well as participating country early and then closely monitored through face to face or Skype calls on a regular basis until the issues are rectified. Where responses indicate that an agreed plan is not being followed, the issues should be escalated early to senior management for rectification. These steps should be taken immediately financial issues or reporting delays arise throughout a project.

## 2 Introduction

1. After habitat destruction, Invasive Alien Species (IAS) are the biggest threat to biodiversity. IAS are a significant and emerging issue in Southeast Asia (SE Asia), adversely affecting locally and globally significant biodiversity, invading and threatening forest habitats, species and their production capacity, as well as, indirectly, the livelihoods of millions of people depending on forests for food, commodities and energy security. There is a clear recognition by many countries in the region of the need to implement Article 8 (h) of the CBD to mitigate the threats of IAS in SE Asia. The *Removing Barriers to Invasive Species: Management in Production and Protection Forests in SE Asia* project sought to enhance the capacity of four pilot countries (Cambodia, Indonesia, Philippines, and Viet Nam) to manage IAS, particularly in forest ecosystems, by strengthening existing national frameworks for the prevention and management of IAS. The project commenced on 1 February 2012 and concluded on 30 September 2016, following a nine month no-cost extension. It was supported by the GEF IV under BD SP7: Prevention, Control and Management of Invasive Alien Species with an allocation of USD 3.1m, and co-financed by project partners with a total contribution of USD \$3.8m. As at September 2016, 93% of the GEF funding had been expended, complemented by co-financing of \$2.72m from partners. The project was implemented by UN Environment Ecosystems Division and executed by CABI International – Africa Regional Centre, Nairobi, Kenya (CABI-ARC) through its SE Asia Regional Centre in Kuala Lumpur, Malaysia (CABI-SEA).
2. This Terminal Evaluation (TE) for the *Removing Barriers to Invasive Species: Management in Production and Protection Forests in SE Asia* project (FORIS) occurred between December 2016 and March 2017. It has been carried out in accordance with the provisions of the UN Environment Evaluation Policy and the UN Environment Programme Manual. The TE seeks to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UN Environment and main project partners. The evaluation also identifies lessons of operational relevance for future project formulation and implementation.

## 3 Evaluation Methods

3. The TE was conducted by an independent evaluator with expertise in natural resource/invasive species, policy and institutional analysis, and project management and M&E (including UN and GEF project experience – see Annex 9), under the overall responsibility and management of the UN Environment Evaluation Office (in Nairobi), in consultation with the UN Environment GEF Coordination Office (Nairobi), and the UN Environment Task Manager at UN Environment (Bangkok).
4. In line with the UN Environment Evaluation Policy<sup>4</sup>, the UN Environment Evaluation Manual<sup>5</sup> and the Guidelines for GEF Agencies in Conducting Terminal Evaluations<sup>6</sup>, the TE was undertaken to assess project performance (in terms of relevance, effectiveness and

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<sup>4</sup><http://www.UNEnvironment.org/eou/StandardsPolicyandPractices/UNEnvironmentEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

<sup>5</sup> <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationManual/tabid/2314/language/en-US/Default.aspx>

<sup>6</sup> <https://www.gefio.org/sites/default/files/ieo/evaluations/te-guidelines-2008.pdf>

efficiency), and determine the degree of achievement and/or likelihood of outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The Evaluation sought to: (i) provide evidence of results to meet accountability requirements, and (ii) promote learning, feedback, and knowledge sharing through results and lessons learned among UN Environment, the GEF and their executing partner CABI and other relevant Project partners and stakeholders.

5. A Reconstructed Theory of Change (TOC) for the project developed by the independent evaluator underpinned the TE. The TOC was based on the well-developed results framework, intervention logic and risk analysis in the ProDoc, as well as from discussions with the International Project Coordinator (FORIS Project), CABI -SEA, the Project Technical Advisor (FORIS Project) and Regional Coordinator – IAS, CABI ARC, the UN Environment Focal Point and Task Manager and the UN Environment Evaluation Officer. The ToC was assessed for consistency and a clear conceptual understanding of the project impact pathways to guide the TE. The reconstructed ToC is presented in Figure 2.
6. The TE was based on a combination of a desk review of available project and context-related documentation and a mission to the four countries where a number of project participants and stakeholders were interviewed and pilot project sites visited (in two of the four countries). In-depth interviews (face-to-face, by Skype or telephone, and by email) were also undertaken with CABI staff involved in the design, implementation and management of the Project, as well as selected national partner representatives and other international stakeholders who participated in the Project. This provided opportunity for triangulation of findings. The combination of sources also helped to reduce information gaps. See Annex 3 for details on the documents reviewed and stakeholders interviewed.
7. In accordance with the UN Environment evaluation guidelines, standard evaluation criteria were used to assess the project. All evaluation criteria were rated on a six-point scale as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U) Highly Unsatisfactory (HS). Sustainability and likelihood of impact were rated from Highly Likely (HL) down to Highly Unlikely (HU). The evaluation criteria were:
  - (1) **Strategic relevance** - the relevance of the project in terms of the global, regional and national environmental perspectives, relevant provisions of international and regional biodiversity and sustainable development agreements, strategies and frameworks including the CBD, regional Guidelines and NBSAPs and key GEF priorities and UN Environment Strategic frameworks.
  - (2) **Attainment of objectives and planned results** - the achievement of the Project's objective, assessing the extent to which the project's outcomes and objectives were achieved or were expected to be, using the reconstructed ToC developed to understand to what extent the intermediate states were achieved (via pathways followed) that could then lead to the impact desired, and to understand the underlying reasons for this.
  - (3) **Sustainability and replication** - (i) financial, (ii) socio-political, (iii) institutional and (iv) environmental factors conditioning sustainability of project outcomes and efforts and achievements in terms of replication and up-scaling of project lessons and good practices.
  - (4) **Efficiency** - how well the project was executed (financial and administrative efficiency and effectiveness, the timeliness of implementation, efficiency of communications, and the quality of logistical planning and the coordination synergies between the project and participating countries, partnership building and resource mobilisation).

(5) **Factors and processes affecting project performance** - (i) project preparation and readiness, (ii) implementation approach and management, (iii) stakeholder participation and public awareness, (iv) country ownership/driveness, (v) financial planning and management, (vi) UN Environment supervision and backstopping, and (vii) monitoring and evaluation (M&E), including GEF tracking tools.

8. The findings of the evaluation were based on the following:

**A desk review of:**

- Relevant background documentation;
- Project design documents, including minutes of the project design review meeting at approval); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplement), the logical framework and its budget;
- Project reports such as six monthly progress and financial reports, progress reports from collaborating partners, Technical Working Groups/ Advisory Groups and other meeting minutes relevant correspondence etc.;
- Project Audit report(s), Annual Work Plans and Budgets or equivalent and revisions to project financing;
- Project outputs: (summary from project documents and MTR) documents) –NISSAP’s NISC’s established/supported, demonstration eradications of IAS, added value and other related projects;
- MTR of the project and for each country;
- Project documentation related to its activities, outputs and deliverables such as the Communication Strategy, media articles concerning the project, Project newsletter, information on the Project on the internet, and other communication products;
- Relevant Project correspondence; and
- Evaluations/reviews of other similar projects.

**Interviews** (individual or in a group in Annex 3) with:

- UN Environment Task Manager;
- Project Manager and other project management and execution support staff at CABI;
- Individuals that were involved in the project design and implementation;
- UN Environment Task Manager;
- National Project Coordinators (NPCs) and National Project Directors (NPDs) for each country;
- Project Partners;
- A selection of the Project’s stakeholders and participants including resource persons.
- Representatives of other relevant stakeholder and donor organisations, with an interest in IAS in SE Asia.

**Field Visits** - The Evaluator visited all four countries to interview key project stakeholders (Government agencies, groups and individuals), however field visits to pilot sites occurred only in two of the four participating countries (Baluran National Park in East Java, Indonesia and Cuc Phuong National Park, Viet Nam). Limited budget meant it was not possible to visit all five pilot sites across the four countries under Component 4, and a sample approach was



therefore applied. The purpose of the field inspections was to understand the outcomes achieved under Component 4, how successes and failures were communicated to the other countries and the lessons learned. At each site, interviews were conducted with the project team, as well as visual inspections undertaken of the results of the activities, considering baseline and monitoring reports to determine progress or lack thereof. The two sites visited were selected on the basis of:

- the size of the site and potential available resources/capacity (large in Indonesia vs small in Viet Nam);
- the baseline from which each country started (Indonesia more progressed than Viet Nam which was starting pretty much from scratch);
- the type of activities and approach undertaken at the site (bio control as well as herbicide use);
- the type of invasive species being addressed (Acacia (tree) in Indonesia vs Mimosa (shrub) in Viet Nam);
- the vegetation type (coastal savannah for Indonesia vs forest in Viet Nam); and
- cultural and geopolitical differences to represent a good cross section of SE Asia.

### **3.1 Limitations**

9. A number of limitations and risks apply to the TE:

- With limited time and a restricted budget, cultural issues and language barriers, it was difficult to engage with participating community members to assess potential impacts at the grass roots level.
- While all four countries were visited and face to face interviews conducted with government project teams and other key stakeholders, budget limitations and delays in the commencement of the TE meant that it was only possible for the evaluator to visit and see firsthand two pilot sites in two countries rather than all five pilot sites across the four countries.
- A MTR was not undertaken as a result of the cancellation of the MTR consultant's contract. Subsequently MTR reports were produced by CABI, centred around regional progress and by each country rather than as an independent analysis of the overall project in line with the TOR.
- A number of final reports relating to the project are yet to be made available, including the overall final report for the project, as well as some national reports.

## 4 About the Project

### 4.1 Context

10. Invasive Alien Species (IAS) are a major threat to the vulnerable marine, freshwater and terrestrial biodiversity of SE Asia and to people depending on this biodiversity for their livelihoods, specifically in forest habitats given that forests are the dominant vegetation type in SE Asia. Cambodia, Indonesia, Philippines, and Viet Nam have recognised the need for a regional strategy and expressed strong interest in linking their national strategies (e.g. NBSAP) and efforts in implementing Article 8 (h) of the Convention on Biological Diversity (CBD) to mitigate the threats of IAS in SE Asia.
11. Myers et al. (2000)<sup>7</sup> identified 25 'biodiversity hotspots' in the world as those areas containing high concentrations of endemic species and undergoing immense habitat loss. SE Asia overlaps or includes within its geographic boundaries four of these hotspots (Indo-Burma (includes Viet Nam and Cambodia), Sundaland (includes Indonesia), Wallacea (includes Indonesia), and Philippines). Species diversity and endemism are high in all of the countries involved in this project and many species are endangered. Out of the 64,800 species found in SE Asia, 1,312 are endangered by deforestation; wildlife hunting for food, pets and medicine; climate change; pollution; population growth; and, increasingly, invasive species.
12. All four project countries are parties to the major conventions (CBD, CITES, UNCLOS, Cartagena Convention, Ramsar Convention, IPPC) or members of key organisations (FAO, WHO, IMO, IPPC, WTO). While limitations remain, this suggests that there is a fair level of harmonisation in the mechanisms for the control of IAS in SE Asia particularly in the broad pathways such as trade, travel, transport and tourism. There is also an impetus to develop measures to harmonize reporting to various conventions in the region.
13. It is clear that forest biodiversity will increasingly be affected by IAS, with a corresponding increase in economic, human health and social impacts, unless countries are made aware of the dangers of invasive species and the need for concerted action. They must also be assisted in accessing and using the available technical options and tools, and in building national and regional partnerships to prevent and control the spread of invasive species in forested landscapes.

### 4.2 Objectives and components

14. The project's overall objective was *To manage SE Asian forests and biodiversity sustainably by reducing negative environmental, economic and human health consequences of invasive alien species*. Specifically, the project sought to establish national policy and institutional frameworks including National Invasive Species Strategy and Action Plan (NISSAPs); develop risk analysis and early detection and rapid response mechanisms, and cost-recovery systems to finance IAS activities; increase regional cooperation and create awareness about the threats posed by IAS; and undertake capacity building to contribute to the sustainability of all interventions. Pilot site activities were also proposed to enhance the capacity and knowledge of all stakeholders to manage selected IAS more effectively.
15. The project had five technical components, as explained in Table 3:
  - Component 1- national policy and institutional frameworks

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<sup>7</sup> Myers, N., Mittermeier, R.A., Mittermeier, C.G., da Fonseca, G.A.B. and Kent, J. (2000) Biodiversity hotspots for conservation priorities. *Nature* 403: 853-858.

- Component 2 - regional cooperation
- Component 3 - national capacity building and institutional support
- Component 4 - national pilots on the prevention, control and management of priority forest IAS
- Component 5 - national information and awareness programmes.

16. All of the project components and outcomes were closely linked to ensure that systems were developed to protect forest ecosystems from IAS. Sustainability was sought in each country by developing national IAS policies involving all sectors affected or potentially affected by IAS. Potential pathways for the introduction and spread of IAS were also targeted. The project sought to create awareness about the threats posed by IAS, and build capacity with regard to IAS management in forested habitats, as well as fostering regional cooperation.

17. Components 6 and 7 of the Project focused on monitoring and evaluation (M&E) of the overall project and project management, respectively. For the purposes of this report they are treated separately as they were not project components leading to specific outcomes. These two components incorporated standard project management and M&E activities common to all GEF projects and were necessary to support the delivery of the project.

**Table 3. Project components, outcomes and main outputs (Source: Project Document)**

<b>Outcomes</b>	<b>Outputs</b>
<b><i>Component 1. Establishing national policy and institutional frameworks (GEF funding \$ 420,000)</i></b>	
1a: Enabling policy and institutional environment for cross-sectoral prevention, and management of IAS strengthened;	1.1 National multi-stakeholder coordination mechanisms for cross-sectoral invasive species management;
1b: Cost-recovery recognized by national agencies as key to long-term IAS programming;	1.2 National Invasive Species Strategy and Action Plan agreed;
1c: Strengthened national regulatory and legal frameworks.	1.3 Identification of cost-recovery mechanism and action plan (only Indonesia);
	1.4 Invasive alien species risk analysis procedures for quarantine authorities;
	1.5 Early detection and rapid response system established (only Indonesia and Viet Nam).
<b><i>Component 2. Regional cooperation in Southeast Asia (GEF funding \$ 152,000)</i></b>	
2a: Enhanced transboundary coordination and programming on invasive alien species control for priority forest invasive alien species and pathways;	2.1 Regional invasive alien species Biocontrol Working Group established including development of Action Plan for biocontrol of shared invasive alien species;
	2.2 Strengthened/developed regional invasive alien species tools for improved management of invasive alien species including databases/website (APFISN) and regional invasive alien species identification guide;
	2.3 Strengthened regional invasive alien species learning network and information exchange mechanisms, including short-term project staff exchange between countries.
<b><i>Component 3. National capacity building and institutional support (GEF funding \$ 565,000)</i></b>	

<b>Outcomes</b>	<b>Outputs</b>
3a: Enhanced collaboration and capacity built through training and other means for multisectoral prevention and management of invasive alien species.	<p>3.1 National invasive alien species training programmes developed and implemented for different stakeholders (e.g. policy makers, scientists, quarantine officers, extensionists etc.) (limited in Cambodia and Philippines);</p> <p>3.2 Provision of equipment and material support to quarantine departments, border crossing etc. (only Indonesia);</p> <p>3.3 Support to expanding national capacity in research and related fields.</p>
<b>Component 4. National pilots on the prevention, control and management of priority forest invasive alien species (GEF funding \$ 624,000)</b>	
4a: Improved national field management experience with implementing IAS prevention, control and management.	<p>4.1 Pilot sites established in each country through effective local partnerships, ecosystem management plans developed and implemented and environmental impact assessments undertaken, if required;</p> <p>4.2 Pilot invasive alien species management implementation – maps of distribution of target species produced for each pilot site, testing of at least three control/management strategies at each site, habitat rehabilitation showing increase in biodiversity from baseline, followed by dissemination of results.</p>
<b>Component 5. National information and awareness programme (GEF funding \$ 882,350)</b>	
5a: Enhanced capture and use of information and willingness of stakeholder groups to be involved in invasive alien species management and resource mobilization	<p>5.1 Development of a national invasive alien species database based on surveys to document presence and impacts of selected forest invasive alien species;</p> <p>5.2 Regional standardized communication strategy with national activities and regional targets;</p> <p>5.3 Undertake comprehensive national and regional awareness/communication campaigns, including development and dissemination of awareness material.</p>

#### 4.2.1 Pilot sites

18. The pilot projects in each country were not specifically aimed at achieving significant levels of IAS control or clearing large areas in these sites, as there were not enough available project resources for that. The main purpose was rather the demonstration and testing of effective mechanisms which, in the context of the national frameworks, enabled the countries to take more effective national action, replicate best practices, and sustain the project outcomes. Each country had one pilot site (Indonesia had two) selected under Component 4 to use as capacity building and training ground for on-ground project teams. The pilot sites, selected on the basis of their importance in terms of forest biodiversity, the presence of well-established and well-known invasive plants and the sites being amenable to control activities, were as follows:

- Indonesia - Baluran National Park in East Java for *Acacia nilotica* and Bukit Barisan Selatan National Park in Sumatra for *Merremia peltata*

- Viet Nam - Cuc Phuong National Park for *Mimosa diplotricha*
- Philippines - Allah Valley Watershed Forest Reserve for *Piper aduncum*
- Cambodia - Stung Sen Core Area, Tonle Sap Biosphere River for *Mimosa pigra*.

### 4.3 Stakeholders

19. In a large regional scale project with multiple country partners and a strong focus on building awareness, capacity and technical expertise such as the FORIS project, understanding the needs, strengths and potential roles of all potential stakeholders is fundamental to the effective project implementation. A comprehensive analysis (provided in Section 2.5 of the ProDoc) was conducted on related, targeted and active stakeholder groups in the region and in all countries through the PPG inception workshop, baseline assessments by National Executing Agencies, and further analysis internationally. The target groups at a regional, national and pilot site level included Government ministries, national institutions, universities, international and national non-governmental organizations, civil society, and in some cases business were also identified (Indonesia, Philippines, Viet Nam).
20. It is clear that the NPCs and NPDs in each country were key change agents in this project to ensure government support and commitment and then drive the implementation of the project in each country. These roles were complemented with technical expertise and support provided by CABI – also critical to enable and build capacity of the NPCs in particular to deliver against each component.
21. A stakeholder analysis undertaken by the TE Consultant is attached as Annex 7.

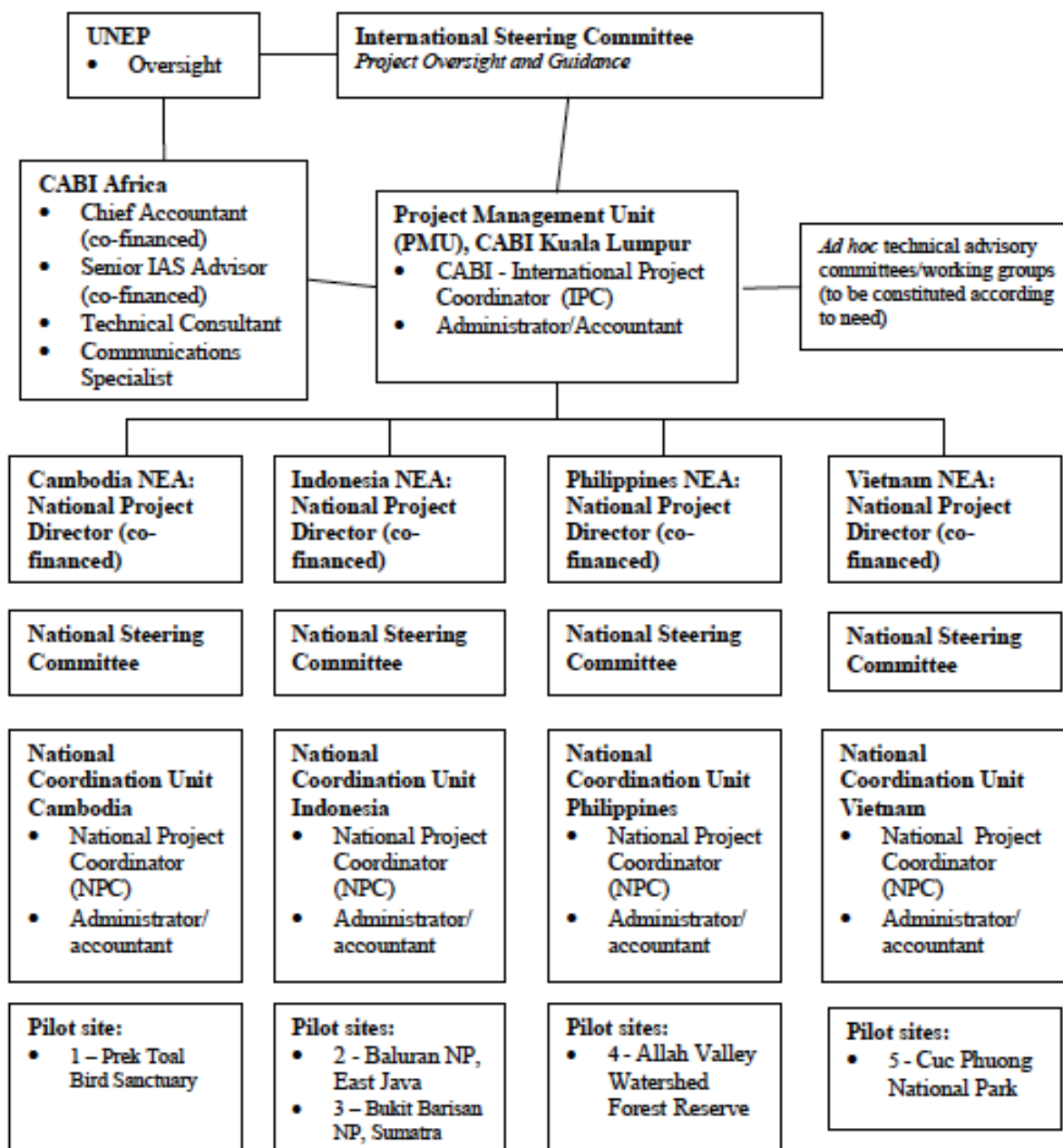
### 4.4 Project implementation structure and partners

22. As a key project partner, the UN Environment was the Implementing Agency (IA) through the UN Environment Asia and the Pacific Office with the GEF Regional Focal Point, Asia undertaking the role of Task Manager. As the IA, UN Environment had responsibility for ensuring that GEF policies and criteria were adhered to and that project objectives were met and expected outcomes achieved in an efficient and effective manner. The UN Environment project Task Manager was based in the Un Environment Asia Pacific Regional Office in Bangkok, Thailand and was responsible for project supervision on behalf of the GEF Executive Coordinator - Director, Division of Global Environment Facility Coordination, UN Environment. UN Environment was expected to ensure timelines, quality and fiduciary standards in project delivery were met at all times.
23. As another key project partner, the Executing Agency (EA) was CABI. CABI's African office in Nairobi functioned as the project's financial and administration office, while CABI's SE Asia office acted as the Project Management Unit (PMU) and was responsible for the management and implementation of the project in accordance with the objectives and activities outlined in the ProDoc.
24. An International Project Steering Committee (IPC) was established to provide governance and oversight and strategic guidance for the project, as well as enable the exchange of best practices, and lessons from related IAS projects, through contributions by the UN Environment task manager, as well the CABI senior technical advisor on IAS. The IPSC was responsible for overseeing and approving annual work plans and budgets, solving issues and other strategic decisions. Membership included representation from each of the National Executing Agencies (NEA) via National Project Coordinators (NPC), the CABI Project Coordinator, the UN Environment/GEF representative. The original intention was for the IPC for the NPDs to represent each NEA as well as have representatives of key

international organizations with expertise in IAS and other key institutions that have a strategic or practical interest in the project as members. NPDs attended some IPSC meetings as did key stakeholders and technical partners from SEAMEO BIOTROP, Biosecurity Queensland and ACB.

25. Due to the highly technical nature of the project there was the need for more targeted support and advice and therefore as required, separate committees or working groups were created or technical specialists provided by the executing agency to give advice on specific scientific and technical issues. Country NEAs also established National Steering Committees (Technical Working Group for the Philippines and a sub-National steering committee for Cambodia) following local practices and National Coordinating Units with responsibility to manage and implement the project at the country level.
26. Also key project partners were the NEAs in each country, with responsibility for country program implementation as follows: Cambodia: General Department of Administration for Nature Conservation and Protection (GDANCP), Ministry of Environment; Indonesia: Conservation and Rehabilitation Research and Development Centre (CRRDC), Forest Research and Development Agency (FORDA), Ministry of Forestry (MoF), now the Ministry of Environment and Forestry; Philippines: Foreign-Assisted and Special Projects Office (FASPO), Department of Environment and Natural Resources (DENR); Viet Nam: Biodiversity Conservation Agency (BCA), Viet Nam Environment Administration, Ministry of Natural Resources and Environment. For each NEA, on a day to day basis implementation was managed and reported on by the National Coordinating Unit (NCU), headed by a National IAS Expert/Project Coordinator (NPC), usually a staff member from the NEA, a national administrative/accounting assistant and technical staff or consultants.
27. Figure 1 provides an overview of the implementation structure for the FORIS project:

Figure 1 Implementation structure for the FORIS project



#### 4.5 Changes in design during implementation

28. While the Project was originally planned to run from 1 Feb 2012 to 31 December 2015, delays were experienced with its start-up and it had a slow delivery. A No Cost Extension (NCE) of nine months to 30 September 2016 was therefore granted, with an allocation of US\$763,681 of unspent remaining GEF funds available for the period 2015/2016 (this was the final agreed figure; there were several revisions of the budget). There were no additional costs to the project. According to the justification in the project extension proposal, this was to *'complete priority outputs and deliverables key to achieving the set project outcomes; and based on a careful analysis of the capacity and justification to do so by the country and international partners, like CABI (with the exception of Viet Nam), considering the 'lost' time due to the delayed project inception in countries. It will also allow the project to achieve better levels of sustainability'*.

29. A MTR was not completed as a result of the cancellation of the MTR consultant's contract. Subsequently MTR reports were produced by CABI, centred around progress at the regional and country levels against the logframe, rather than as an independent analysis of the overall project in line with the TOR. A number of recommendations were identified during this review, which were adopted by the countries and CABI and steps taken towards implementing them.
30. There were also a number of minor changes within the country programs, for example a pilot site in Cambodia was changed as flooding prevented access. These changes did not affect the overall results achieved as activities were still conducted as planned in the new location. It should be noted there were also changes in the NPCs (Vietnam and Philippines) and NPD (Indonesia) during the project. The changes sometimes impacted on the smooth implementation of the project.

#### 4.6 Project Finance

31. Table 4 provides a summary of the budget at design by technical components. Expenditure by components at the completion of the project was not available for the TE.

**Table 4 Budgeted expenditure for technical components.**

<b>Outcomes</b>	<b>GEF Budgeted Funding USD</b>
Component 1. Establishing national policy and institutional frameworks	420,000
Component 2. Regional cooperation in Southeast Asia	152,000
Component 3. National capacity building and institutional support	565,000
Component 4. National pilots on the prevention, control and management of priority forest invasive alien species	624,000
Component 5. National information and awareness programme	882,350

32. Table 5 provides a summary of planned and actual sources of funding/co-financing.

**Table 5 Planned and actual co-financing**

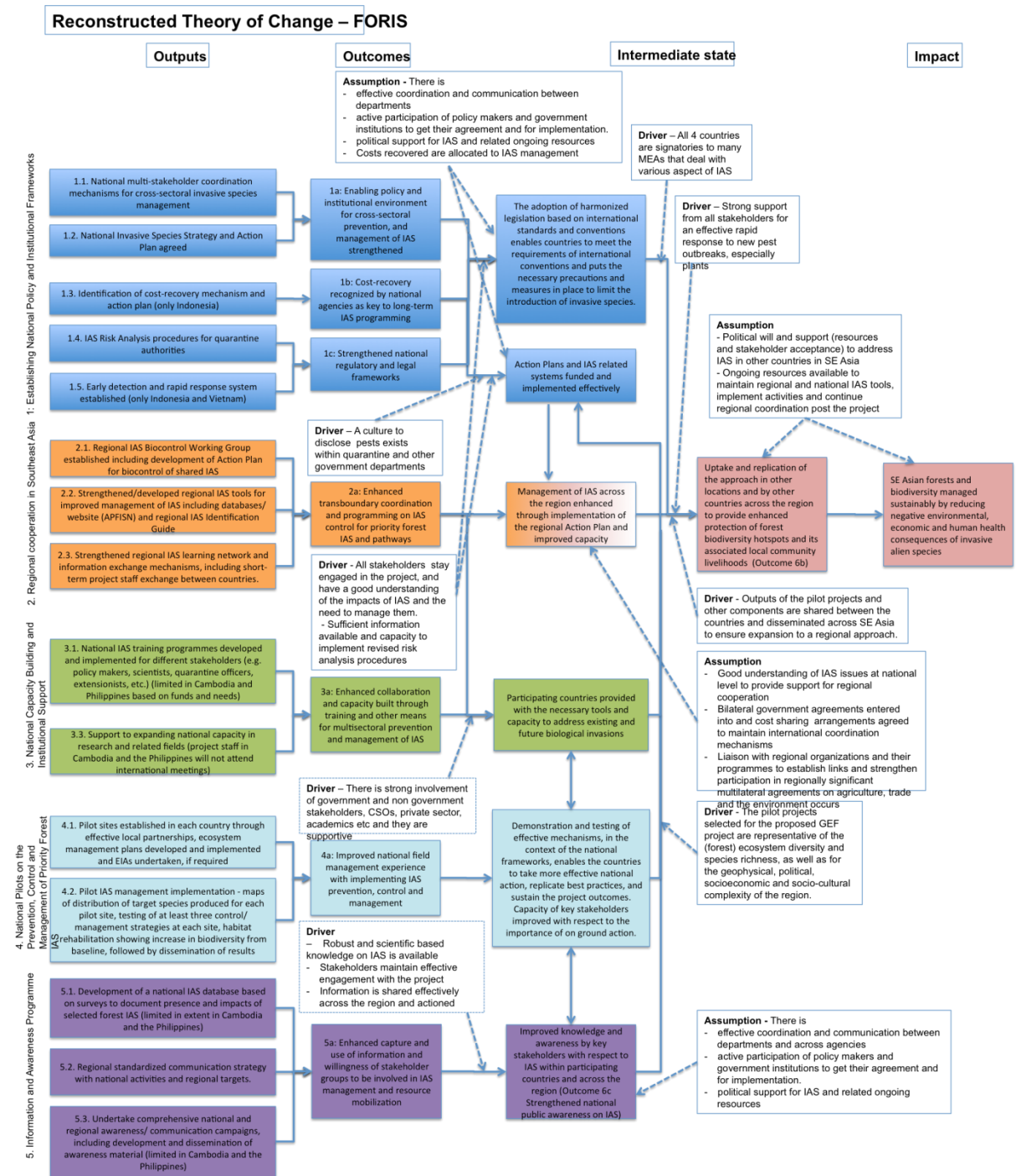
<b>Co-financing Source</b>	<b>Amount (USD)</b>	
	<b>Planned</b>	<b>Actual</b>
Project Executing Agency (PEA) & partners	<b>473,802</b>	<b>606,052</b>
<i>Cash</i>	121,681	158,931
<i>Inkind</i>	352,121	447,121
National Governments	<b>3,205,624</b>	<b>2,010,522</b>
<i>Cash</i>	\$1,221,506	433,206
<i>Inkind</i>	1,984,118	1,577,316
Project Implementing Agency – UN Environment	<b>82,250</b>	<b>101,860</b>
<i>Cash</i>		94,110
<i>Inkind</i>		7,750
<b>Totals</b>	<b>3,761,677</b>	<b>2,718,434</b>



## **5 Theory of Change at Evaluation**

33. A ToC was reconstructed during the inception phase of the evaluation from the well-developed results framework, intervention logic and risk analysis in the ProDoc. This information provided information on anticipated outputs and outcomes and causal links as well as assumptions which guided the project design rationale. The intervention logic and the causal links from activities to outputs presented in the ProDoc and results framework were coherent, and therefore remained unchanged in the reconstructed ToC presented. The ToC was assessed for consistency and a clear conceptual understanding of the project impact pathways to guide the TE. The reconstructed ToC is presented in Figure 2.
34. The key assumption underlying the entire project was that the array of project activities will produce significant outputs/outcomes prior to project termination sufficient to create a strong foundation for on-going IAS management and capacity in the participating countries. This, in turn, would provide the momentum (awareness, knowledge, capacity, skills and experience) needed to ensure that IAS management across the region continues to improve and leads to sustained progress in the form of reduced threats beyond the life of the project and the achievement of lasting impact.
35. A number of assumptions and risks are identified in the Appendix 4 results framework in the ProDoc at the objective/ intermediate state and outcome levels. Where the project or UN Environment had an ability to influence these assumptions, these were classified as “impact drivers” in the reconstructed ToC. While all assumptions and impact drivers provided were valid and relevant, there were a number of assumptions and impact drivers not identified in the results framework – these were included in the reconstructed ToC. Risks were reformulated as assumptions (factors the project or UN Environment has no control over) to keep the ToC in line with the ROTI methodology, which does not separate risks. Annex 5 compares the result levels from the result framework in Appendix 4 of the ProDoc and how they are presented in the reconstructed ToC.

**Figure 2 Reconstructed Theory of Change for the FORIS project**



**5.1 Outputs to Outcomes**

36. The outputs outlined in the ProDoc were logical and coherent for a project aiming to ensure SE Asian forests and biodiversity are managed sustainably by reducing negative environmental, economic and human health consequences of invasive alien species. All outputs proposed were considered by the evaluator as necessary and expected to lead to tangible outcomes for each of the five components, namely: 1) Establishing National Policy and Institutional Frameworks; 2) Regional Cooperation; 3) National Capacity Building and Institutional Support; 4) National Pilots on the Prevention, Control and Management of Priority Forest IAS; and 5) Information and Awareness Programme. In addition, while Component 6 Project M&E and Component 7 Project Management were not included in the

reconstructed TOC as they relate to project enabling functions, Component 6 did include an outcomes relating to “Strengthened national public awareness on IAS” (Outcome 6c) and “Enhanced protection of forest biodiversity hotspots and its associated local community livelihoods”. Outcome 6c was seen as an intermediate state under Component 5 and was incorporated there accordingly in the reconstructed TOC. Outcome 6b was seen more as an impact being sought and was incorporated accordingly into the consolidated impact *Uptake and replication of the approach in other locations and by other countries across the region to provide enhanced protection of forest biodiversity hotspots and its associated local community livelihoods*.

37. The results framework identified a number of assumptions and risks that could be applicable at the output to outcome level. While these were considered generally valid and some more important than others, the key ones (political will and support (resources and stakeholder acceptance) and ongoing resources available) were adopted in the reconstructed ToC at the output to intermediate state level instead of the outputs to outcomes level. Reflecting them at the output to outcomes level was too holistic, given the significant number of activities required to achieve the outcomes desired. To that end, they are discussed under Section 5.2 Outcomes to Intermediate State to Impact.

## **5.2 Outcomes to Intermediate State to Impact**

38. To achieve the impact desired for the project, ie the project objective *SE Asian forests and biodiversity managed sustainably by reducing negative environmental, economic and human health consequences of invasive alien species*, there were a number of intermediate states that needed to be in place before achieving this impact via each component. Most importantly, given the project only involves four countries in SE Asia, it was unlikely to achieve such an objective unless there was an additional consolidated intermediate state for there to be uptake and replication of the approach in other locations and by other countries across the region. To that end, an additional intermediate state (which in effect could/should be an objective of the project) was added in the reconstructed TOC. As discussed in Section 6.7.3, this did not happen.
39. To achieve the impacts anticipated, a number of significant assumptions that fall outside the remit of the project were made, namely that there is political will and support (resources and stakeholder acceptance) to address IAS in other countries in SE Asia and there would be ongoing resources available to extend regional IAS tools and coordination post the project. These were significant challenges for the project, and out of its control and therefore considered unrealistic to expect in the short to medium term. The project would have to have provided a strong business case to the other countries across SE Asia to adopt the outputs from this project, which it did not (refer Section 6.4.2). Other factors (drivers) required for success, within the control of the project included ensuring information and outputs were shared between the countries and disseminated within SE Asia to ensure expansion from the pilot studies to a regional approach. Without a strong regional organisation to do this, this would prove challenging. All four countries also needed to be committed (through resourcing) to adequately address their international obligations relating to IAS. In addition, there needed to be strong support from all stakeholders for an effective rapid response to new pest outbreaks, especially plants across the region. Refer Section 6.7. for a discussion on these aspects.
40. Under each component, it was clear a number of intermediate states were necessary to achieve the outcomes for each component. Collectively, they were all needed to deliver the impact desired. Achieving these intermediate states however, was based on significant

assumptions, as identified in the results framework in Appendix 4 of the ProDoc and discussed below. What was not stated in the ProDoc however and was of most importance was the need for a reality check - with the significant differences in funding allocated from the project to each country, it was likely that the success of the project achieving the desired impacts would vary significantly between countries in terms of progress made and in turn, its effectiveness at a regional level. Results are discussed in section 6.5.1.

41. For component 1, it was important for NISSAPs and systems relating to IAS go beyond development to implementation. Likewise, there was a need for harmonised and effective legislation based on international standards and conventions to enable countries to meet the requirements of international conventions and put the necessary precautions and measures in place. This would all take considerable time to progress, potentially beyond the life of the project and would require significant resources, capacity and investment by the countries. To that end, there were a number of assumptions and drivers impacting on the success of achieving the intermediate states. Underlying all activities in moving from Component 1 outcomes to achieving the intermediate states was:
  - the need for effective coordination and communication between departments and across agencies;
  - active participation of policy makers and government institutions to get their agreement and for implementation; and
  - political support for IAS and related ongoing resources to allow treasury allocations and cost recovery mechanisms to be introduced. To that end, it will also be important to ensure any costs recovered are actually allocated to IAS management and not placed in central revenue.
42. These assumptions were also identified by the result framework in the ProDoc, but were consolidated in the reconstructed TOC. In terms of drivers, it was very important for the project, given the 4 year window and resource limitations to also ensure stakeholders maintained effective engagement with the project and gained a good understanding of the impacts of IAS and the need to manage them. From the context provided in the ProDoc, a cultural shift to disclose pest issues that might relate to agricultural trade was also most important and there was a need for sufficient information and capacity to be available to implement the revised risk analysis procedures developed.
43. It is also important to note the dependencies between Component 1 and the intermediate state of Components 4 and 5. The results and learnings from the pilot projects and awareness raising activities should in effect have led to strengthened NISSAP development and implementation.
44. Component 2 addresses regional coordination. To that end, for achieving the outcomes anticipated, it was fundamental for the regional IAS plan developed under the project to be implemented by more than the 4 countries involved in the project. Again, success was based on a significant premise that there would be a good understanding of IAS issues at national level to provide support for regional cooperation, bilateral government agreements would be entered into and cost sharing arrangements would be agreed to maintain international coordination mechanisms – all very big tasks. Likewise it was important that the PMU and NCUs established strong links with regional organisations to strengthen participation in regionally significant multilateral agreements on agriculture, trade and the environment. The intermediate state of *Management of IAS across the region enhanced through implementation of the Regional Action Plan and improved capacity* was seen as a key intermediate state that would be delivered by activities undertaken in component 1 and

component 2, but also from 3 and 4 which would feed into it. In effect, this made the intermediate state an impact as well that was sought from the project and a key area for focus in the evaluation as to what was actually achieved. Refer Section 4.1 for a discussion on results.

45. Component 3 relates to building national capacity and institutional support. There were significant differences in budget allocation between the 4 countries for this component, noting that Cambodia and Philippines had limited involvement in some training and capacity building activities. Achieving the desired impact required participating countries to be provided with the necessary tools and have the capacity to address existing and future biological invasions. In effect, this intermediate state fed into both Component 1 and 4, rather than being seen as a means to an end by itself to achieve the desired impact. This intermediate state linked to Component 1 as the effectiveness of implementation of NISSAPs was dependent on countries having the necessary tools and capacity. It was important for the project to ensure there was strong involvement of government and non-government stakeholders, CSOs, private sector, academics etc. and they were supportive for this intermediate state to be achieved. The link to Component 4 reflected the fundamental capacity building and training required for the effective implementation of the pilot projects.
46. Component 4 is focused on the pilot projects across the 5 sites in the four countries. The activities under this component were straightforward, however to achieve the intermediate state, reliance was dependent on achieving improved capacity of the relevant stakeholders and having access to the right tools (intermediate state from Component 3), and knowledge and information required (intermediate state Component 5) to inform and be applied to the onground situation. The linkages between these components were fundamental for the demonstration and testing of effective mechanisms, in the context of the national frameworks to enable the countries to take more effective national action, replicate best practices, and sustain the project outcomes. Again, being able to move from this intermediate state for Component 4 to the impact desired was dependent on the project team being effective at encouraging mechanisms to be established to ensure ongoing resources are available to maintain national IAS tools and implement national NISSAPs and activities (primarily through cost sharing, noting this was only a focus for Indonesia). Secondly, it was important for the pilot projects (and the project countries) to be seen as representative of the (forest) ecosystem diversity and species richness, as well as for the geophysical, political, socioeconomic and socio-cultural complexity of the region to encourage uptake in other countries.
47. Component 5 relates to information (knowledge management) and awareness programs. To achieve an intermediate state whereby there is improved knowledge and awareness by key stakeholders with respect to IAS within participating countries and across the region (note this also picks up Outcome 6c discussed above), this intermediate state needed to support the intermediate state of Component 1. To do this though, there were a number of key assumptions made. Again, as was required in Component 1, effective coordination and communication between departments and across agencies and having active participation of policy makers and government institutions to get their agreement and for implementation was key. Fundamental was also having the political support for IAS and related ongoing resources. The project would need to ensure robust and scientific based knowledge on IAS was made available and that stakeholders maintained effective engagement with the project. At a regional scale, it was important that information was actually shared with the right people across the region and that it was acted upon, ie considered and awareness levels increased.

48. To move to the ultimate impact (or objective) for the project would take considerable time – something that was not represented well in the reconstructed TOC. It also required strong political will and support (resources and stakeholder acceptance) to address IAS in other countries in SE Asia and from that ongoing resources being made available to maintain regional and national IAS tools, implement activities and continue regional coordination post the project. To the extent possible through the project, it was important that the project ensure the outputs of the pilot projects and other components were shared between the countries and disseminated within SE Asia to ensure expansion to a regional approach. Again refer Section 6.4.1 for a discussion on the results of the project.

## **6 Evaluation Findings**

49. This chapter provides factual evidence relevant to the questions raised in the evaluation terms of reference, as well as analysis and interpretation of this evidence. Ratings are provided after the assessment of each evaluation criterion and summarised in Section 7.1 Conclusions.

### **6.1 Strategic Relevance**

#### **6.1.1 Alignment with GEF focal areas and strategic priorities**

50. The project contributes to specific strategic programmes under the GEF IV Biodiversity strategic program 7 (SP-7) Prevention, control and management of invasive alien species as well as the GEF V Strategy Objective 2, Outcome 2.3: Improved Management Frameworks to Prevent, Control and Manage Invasive Species. This project responds directly to those identified needs and priorities. These GEF Focal Area Strategies highlight the findings of the Millennium Ecosystem Assessment as well as CBD guidance, which identified the spread of invasive species as one of the five major direct drivers of change in biodiversity and ecosystems. The intervention also contributes to the Cross Cutting Capacity Development Strategy Objectives.

#### **6.1.2 Relevance to global, regional and national environmental issues and needs**

51. Invasive Alien Species are a poorly acknowledged global threat to biodiversity and human wellbeing. In particular, IAS are a major threat to the vulnerable marine, freshwater and terrestrial biodiversity of SE Asia and to people depending on this biodiversity for their livelihoods, specifically in forest habitats given that forests are the dominant vegetation type in SE Asia. Increased pathway activities are threatening the unique biodiversity of SE Asia with IAS being introduced at an increasing rate through trade, travel (tourism) and transport. Cambodia, Indonesia, Philippines, and Viet Nam all recognised the need for improved regional coordination and expressed strong interest in linking their national strategies (e.g. NBSAP) and efforts in implementing Article 8 (h) of the Convention on Biological Diversity (CBD) to mitigate the threats of IAS in SE Asia.

52. During the consultation, all countries acknowledged that at the start of the project their knowledge on IAS and its impacts was largely based on anecdotal evidence, which really had not been given much attention outside of impacts on agricultural products (mostly pests and diseases). All NPCs and NPDs confirmed the importance of institutional strengthening through improving the underpinning legal frameworks, the need to understand the threat and its potential impacts, to build capacity in addressing IAS and to better coordinate within governments and other stakeholders to mitigate risks.

53. While all countries considered a regional response important in addressing risks around introduction and translocation of IAS, the priority focus was generally at the national level. The ambitions to drive a regional strategy and improved regional collaboration as outlined in the reconstructed TOC did not eventuate as planned. While there was collaboration between the four countries in the project, it was generally limited to knowledge sharing and capacity building activities rather than creation of regional coordination structures/ action plans. Collaboration between countries at the regional level requires significant political support – this can only happen if there is significant in-country support for IAS management – if politicians are in doubt about the situation in-country they are unlikely to push for it at a regional level.

### **6.1.3 Alignment with UN Environment’s strategy, policies and mandate**

54. The project contributed to the delivery of a number of strategic focus areas in the UN Environment Medium-term Strategy (MTS) 2014–2017, particularly Ecosystem Management (EA1 and EA3) and Environmental Governance (EA2 and EA3) through its focus on strengthening the science-policy interface at the national and regional levels, by assisting countries to create the institutional, legal and policy conditions necessary to integrate IAS into their development planning, through capacity building and from the use of innovative tools and approaches and the sharing of knowledge, data and techniques for IAS management.

### **6.1.4 Key SDG<sup>8</sup> goals and targets**

55. At the timing of the project design the SDGs had not been developed. The project however clearly demonstrated its relevance to delivering the Aichi Biodiversity Target nine relating to IAS which called for “increased attention, programming and funding for the identification, control and eradication, as well as management of pathways to prevent further new introductions and establishment of invasive species in member countries”.

### **6.1.5 Alignment with the Bali Strategic Plan (BSP)**

56. The BSP aims for more coherent, coordinated and effective delivery of capacity building and technical support at all levels and by all actors, in response to country priorities and needs. The project’s aim and objectives were relevant to and consistent with the BSP, with the strong focus on capacity building at the national and regional level.

### **6.1.6 Gender balance**

57. The importance of women engagement in the project was outlined in the design (via the Prodoc) both in terms of raising their awareness levels and also engaging them in fieldwork. The theory of change for involving women is that women generally perceive IAS as more of a threat than men. The consultations revealed that engagement of women was a key strategy for some countries with respect to fieldwork, and that women were also engaged in the awareness raising and capacity building activities at the community level as well as through university students. The focus of the project was not however on gender analysis so there is limited data available on this.

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<sup>8</sup>Depending on the date of project approval and type of intervention the MDGs (2015) or Aichi Biodiversity Targets (2020) may stand as alternatives to the SDGs (2030).

### 6.1.7 South-South Cooperation

58. Facilitating South-South cooperation was a major aim of this Project and there is some evidence that it has taken place both directly and indirectly. Regional cooperation was a key focus for the project. While regional collaboration did not progress to the extent sought originally (refer Figure 2 and Section 6.4), it did drive some collaboration and sharing of knowledge and technology and technique transfer for IAS between the four countries.

**The overall rating for Strategic Relevance is Satisfactory**

## 6.2 Quality of Project Design

59. A detailed assessment of the project design undertaken during the inception phase of the TE is provided in Annex 8. Overall, the project design presented in the ProDoc was coherent with no major shortcomings, albeit with some gaps – but these were more related to presentation rather than inconsistencies or shortcomings in the intervention strategy and mix of components, outcomes, outputs, and activities.

60. It is important to note that there was a change to available GEF funding for the project following the PIF acceptance. As a result, during the PPG phase the scope and scale of the project was reduced. This meant that participating countries participation in the project also reduced to be focused more on the priorities for each country, rather than all aspects of each component. As a result the level of activity in both Cambodia and Philippines was reduced substantially to be focused on capacity building and awareness raising, although other elements were still funded to a lesser extent. It also meant that the project did not directly engage with production forests, as reflected still in the name of the project and pilot projects focused only on protected area forests. The private sector however was still engaged to some extent in the project in the development of the NISSAPs and national policies and procedures etc.

### 6.2.1 Strengths (in no particular order)

- The project was very relevant for SE Asia, addressing a critical environmental problem of the high potential impact of IAS on vulnerable biodiversity and ecosystems and developing economies heavily dependent on natural resources for sustainability. To that end, the project undertook a comprehensive analysis of the problem and context.
- The project aligned well with the global and international biodiversity protection and IAS mandates of UN Environment and the GEF and potential linkages to other GEF and UN Environment projects and initiatives.
- The project was based on a proven concept developed and implemented by CABI/UN Environment and other agencies previously in Africa – the project design provided consistent intervention logic and a comprehensive component package with realistic and appropriate outcomes, outputs and activities tailored for a SE Asia context.
- There was generally good stakeholder involvement in the design and during implementation at the national levels, but not the regional level due to limited political support – at the national level this led to strong partnership building through the NISSAP process and allowed for potential sustainability to be factored in – refer Section 6.6.
- The project recognised that IAS is a shared problem across the SE Asia region that brings many challenges. The regional approach, through its inclusion of international and regional partners, provided good opportunities to strengthen capacity and cooperation between the



countries and identify and share IAS technical expertise and improve coordination mechanisms and partner networks and linkages to other environmental initiatives.

- The project was built on and addressed the needs and priorities of the participating countries which provided inputs derived through national consultations. From the consultations though it is clear that with the revision of the project during the design phase and the subsequent reduction in funding, the project did not go far enough for the countries with small budgets, Cambodia and Philippines. It is important to note that even with increased budgets the challenges would still be significant – longterm programmes and investment will be required to effectively address IAS within countries.

### **6.2.2 Weaknesses (in no particular order)**

- Even after the revision, within a timeframe of four years, the project outputs and outcomes were ambitious given its scope, the limited budget, the involvement of four countries at different levels of capacity and the known issues with implementation capacity in SE Asian countries. The results were expected to be inconsistent across the countries with not all countries benefitting equally and the project’s overall success difficult to measure.
- The project document (ProDoc) did not include a Theory of Change to help understanding how the project components were linked and the outputs and outcomes would lead to the achievement of results, especially project impacts over the longer term.
- The project is strongly focused on building capacity at the national level and strengthening regional coordination mechanisms. Although the stakeholder analysis in the ProDoc described the many agencies and institutions with potential roles in IAS, an assessment of human capacity and training needs across the participating countries and a clear strategy for addressing these would have been helpful prior to the project commencing. Such an assessment would have shown that national level capacity was in all generally insufficient to achieve the activities and outputs expected, as proved to be the case and perhaps resulted in modification to some activities. It is understood that a training needs assessment was undertaken at the outset of the project for both national and regional components. The outputs of this assessment were used as a basis for the training towards capacity development.
- The reduction in funding available through GEF between the PIF and ProDoc development meant that the scope had to be reduced to focus only on protection forests, and production forests were not included in the pilot projects. Engagement with the private sector with respect to awareness raising and policy and NISSAP development may have provided some transferable benefits.
- During the consultations, all countries indicated that if they were designing the project today there would be more emphasis given to the design of the communication and awareness strategy and its implementation. In particular, there would have been more emphasis on understanding the level of awareness (baseline) of the target audiences and the most effective medium for communication for each target audience. While this was done to some extent during the project, it was not to the extent the countries would have liked on reflection. It should be noted however, that even in countries that have been managing IAS for over 100 years and spending millions of dollars on awareness there is still a large proportion of the population that is unaware or aware and has not taken any action. Longterm change is driven by behaviour change and it is unlikely, given the project timeframes that this will occur.

**The overall rating for Project Design is Satisfactory**

### **6.3 Nature of the External Context**

61. Overall the context and challenges as outlined in the ProDoc during its design, remained the same throughout the project. The risks relating to IAS are similar across all countries whether it be through increasing pressure from forest fires in Indonesia which allows IAS to flourish as they are often quick to establish, or ongoing trends towards an increasing middle class that have access to greater trade and tourism opportunities and expanding transport needs across SE Asia.

**The overall rating for Nature of External Context is Satisfactory**

### **6.4 Effectiveness - Attainment of objectives and planned results**

#### **6.4.1 Achievement of outputs**

62. All countries have made good progress with respect to the outputs achieved, with most being fully or close to fully completed. The biggest challenges were identified with respect to regional outputs relating component 2, as well as component 6 and 7 relating to monitoring, financial management and reporting and timeliness/ lateness in delivery for some outputs. Individual project outputs, along with key issues identified and recommendations are discussed in Table 6.

**The overall rating for Achievement of Outputs is Moderately Satisfactory based on the following ratings:**

**Component 1 – Satisfactory**

**Component 2 – Moderately Unsatisfactory**

**Component 3 – Satisfactory**

**Component 4 – Satisfactory**

**Component 5 – Satisfactory**

**Component 6 – Moderately Unsatisfactory**

**Component 7 – Moderately Unsatisfactory**

**Table 6: Summary of the Project's success in producing programmed outputs (largely taken from the country final presentations made to the Evaluator, Country Terminal Reports, excluding Philippines, the 2016 PIR and the Project Report for year 5 (2016)), with verification during the evaluation.**

Component	Outputs	Status at the end of the project (30 September 2016)
1. Establishing National Policy and Institutional Frameworks	1.1. National multi-stakeholder coordination mechanisms for cross-sectoral invasive species management	<p>Output 100% completed</p> <ul style="list-style-type: none"> <li>• All four countries established NSCs (sub-NSC in Cambodia) that met regularly. In Indonesia, the NSC agreed to designate the current small group which developed the NISSAP to serve as the coordination team for urgent IAS-related issues. For the Philippines, a resolution was made adopting the NSC as the interim coordinating body after the Project until a formal coordinating body is in place as envisioned in the NISSAP. Viet Nam has formalised the NSC which is chaired by the Vice Minister of MONRE.</li> <li>• All NSCs have met at least three times (3x) since 2013 (as planned). Agenda for NSC meetings in most countries included IAS funding and control programs. For the Philippines, NSC meeting agenda focused on the NISSAP and the WFP of the project. For Cambodia, the last agenda of the Sub-NSC focused on the integration of NISSAP into the government work plan of relevant sectors and also sought available fund for pursuing on the IAS activity.</li> <li>• All countries developed supporting regulations for IAS management and coordination.</li> </ul>
	1.2. National Invasive Species Strategy and Action Plan (NISSAP) agreed	<p>Output 100% completed</p> <ul style="list-style-type: none"> <li>• NISSAP has been finalized in Indonesia (June 2015), Cambodia (May 2016) and Viet Nam (<i>National Master Scheme for controlling and prevention of IAS in Viet Nam – Dec 2012</i>) and Philippines (post the project completion - Dec 2016). The NISSAPs were disseminated to stakeholders in all countries.</li> <li>• Only Indonesia, Philippines and Viet Nam have started implementing projects including training, budgeting consultations, partnership building, new IAS control sites, revision of regulations (e.g. quarantine, e-commerce. IAS and small islands) etc, based on their respective NISSAPs. Cambodia has started partially implementing projects including allocating some national budget for national training on IAS and detecting its distribution for inclusion in the map in collaboration with provincial department of environments based on the NISSAP.</li> </ul>

Component	Outputs	Status at the end of the project (30 September 2016)
	1.3. Identification of cost-recovery mechanism (CRM) action plan (only Indonesia)	<p>Output: 90% complete</p> <ul style="list-style-type: none"> <li>• This output did not start until towards the end of the project and hence is not complete.</li> <li>• The CRM action plan was revised and improved after comments from CABI. Financing modes and income sources have been identified. Work is still underway to undertake consultation with the decision makers and other stakeholders (industry etc), although there does appear to be a general level of support for CRM within the public arena<sup>9</sup>.</li> <li>• A cost-benefit analysis on the management of acacia in Baluran National Park (pilot site) was undertaken that showed the management costs could be recovered from selling the charcoal.</li> <li>• Indonesia is yet to successfully demonstrate the business case for IAS in terms of the impact to the country economy and human health, although work is underway to build it. (Refer recommendation 1 below)</li> </ul>
	1.4. IAS Risk Analysis procedures for quarantine authorities	<p>Output: Indonesia and Philippines: 80% complete, Viet Nam: 100% complete; Cambodia: N/A</p> <ul style="list-style-type: none"> <li>• Pest Risk Assessment (PRA) is available and has been applied to 100% of the legally imported plant species in Viet Nam.</li> <li>• In Indonesia, a PRA for fisheries and agriculture is available and has been applied for fish species, but the risk analysis guidelines for forest species are still under development as these activities started late in the project. Delays have also been experienced with policy and regulations required to implement pre and post border controls under the Quarantine Act no 16.1992<sup>10</sup>.</li> <li>• The final draft of the PRA report has been received in the Philippines, pending revision from internal government processes to finalise. Again this activity started towards the end of the project.<sup>11</sup></li> </ul>

<sup>9</sup> The Evaluator was notified in July 2017 that CRM action plan has since been completed.

<sup>10</sup> The Evaluator was notified in July 2017 that PRA has since been completed

<sup>11</sup> The Evaluator was notified in July 2017 that PRA have since been completed

Component	Outputs	Status at the end of the project (30 September 2016)
	1.5. Early detection (ED) and rapid response (RR) system established (only Indonesia and Viet Nam)	<p>Output: Indonesia 90%; Viet Nam 100% complete</p> <ul style="list-style-type: none"> <li>Indonesia - PRA undertaken by Fish Quarantine Agency included risk management measures (e.g. ED and RR aspects). An ED and RR system has been established for fish. Training has been undertaken for field staff to carry out the ED and RR for forestry and national parks. Some national parks have incorporated ED and RR into their ecosystem management plans using their own budgets (Gunung Gede Pangrango, Baluran, Merapi) already. Regulations required to allow implementation of the ED and RR for agriculture and national parks are yet to be developed and still being discussed with the respective agencies. Again, this activity started towards the end of the project.<sup>12</sup></li> <li>Viet Nam - The PRAs conducted in Viet Nam included risk management measures (Circular 36/2014/TT-BNNPTNT dated 31 October, 2014).</li> </ul>
<b>Recommendation 1</b>	<p><b><i>Cost-recovery is recognized by national agencies as a key to long-term IAS programming within countries. While output 1.3 focused only on the development of cost benefit analysis and cost recovery mechanisms within Indonesia, it demonstrated the importance of building a strong business case for investing in IAS management and control early on at a national as well as local level. Without a strong case in terms of the socio-economic and environment impacts and benefits (cost benefit analysis) and cost recovery mechanisms, it will be difficult for any country to successfully implement policies and strategies relating to IAS, to ensure adequate budget allocation by governments, and acceptance by the private sector to contribute towards the costs of management and for stakeholders to adequately engage.</i></b></p> <p><b><i>Should a new UN Environment/GEF project proposal be developed or for other IAS projects at early stages of implementation, an activity to develop the business case to support IAS management should be included to be undertaken during the early stages of the project. This will strengthen the case for Treasury budget allocations and provide greater opportunity for cost recovery mechanisms with the private sector. The business case being developed by Indonesia and any lessons learned during the process for the FORIS project should be circulated to the other</i></b></p>	

<sup>12</sup> The Evaluator was notified in July 2017 that EDRR procedures have since been completed

Component	Outputs	Status at the end of the project (30 September 2016)
<i>participating countries once available.</i>		
2. Regional cooperation in Southeast Asia	2.1. Regional IAS Bio-control Working Group established including development of Action Plan for bio-control of shared IAS	<p>Output: 70% complete</p> <ul style="list-style-type: none"> <li>• A regional working group (RWG) was established and a roadmap developed for the biocontrol of the four (4) regional target species, viz., <i>Mimosa pigra</i>, <i>Chromolaena odorata</i>, <i>Mikania micrantha</i> and <i>Eichhornia crassipes</i> (August 2016).</li> <li>• Regional plan was supported by countries at the second regional workshop (August 2016) but not developed.</li> <li>• These activities occurred late in the project. The RWG was to be established and regional plan developed originally year 3 of the project, however it did not occur until 1 month before the project ended and it entered the no-cost-extension period. The limited buy-in and capacity from countries was a contributing factor to the delays.</li> <li>• As a result of the delays in establishing regional action plan and the bio-control exchange program is not yet established, a bilateral cooperation agreement has not been established as yet among the countries.</li> <li>• Viet Nam and Indonesia have submitted requests for importation of bio-control agents to their national authorities. The Philippines sought support from the expertise of Dr. Mike Day on bio-control to initiate research on bio-control agents previously released in the Philippines.</li> </ul>
	2.2. Strengthened / developed regional IAS tools for improved management of IAS including	<p>Output: 70% completed</p> <ul style="list-style-type: none"> <li>• APFISN was originally considered a useful regional partner who would provide an easy mechanism for sharing of information and tools relating to IAS across the SEA region, however despite repeated attempts by CABI engagement did not occur as envisaged/planned due to limitations in capacity and resources within APFISN. (refer recommendation 2)</li> <li>• ACB contracted for regional database/website sharing and for incorporating e-training modules on IAS and related aspects for use by national training needs. Website is live and information on IAS species</li> </ul>

Component	Outputs	Status at the end of the project (30 September 2016)
	databases/website (APFISN) and regional IAS Identification Guide	<p>across 10 countries has been included.  <a href="http://chm.aseanbiodiversity.org/index.php?option=com_wrapper&amp;view=wrapper&amp;Itemid=264&amp;current=264">http://chm.aseanbiodiversity.org/index.php?option=com_wrapper&amp;view=wrapper&amp;Itemid=264&amp;current=264</a></p> <ul style="list-style-type: none"> <li>• The regional IAS identification guide (Invasive Species Guide to SE Asia) has been completed but not printed as it was awaiting translation into Indonesian and Vietnamese to be completed. It is yet to be distributed to the project countries<sup>13</sup>.</li> <li>• E-training modules and other fact sheets and training materials etc developed through the project are yet to be uploaded to the ACB website. It is unclear the reasons for this delay. Some information has been loaded up to a website established for the project, however it is not completed as at April 2017<sup>14</sup>. This is a website for the project countries. Refer <a href="https://forisinvasespeciessea.wordpress.com/about/">https://forisinvasespeciessea.wordpress.com/about/</a></li> <li>• An IAS Survey and Identification App had been proposed since project inception to be built as a tool for the region. CABI-ARC was assigned and largely paid to produce this. Since the start of its conceptualization - mid-2015, there have been delays, and disagreements on the scope and style of the app. (CABI proposed to use the existing CABI Plantlife App but this was not fit for purpose for the FORIS project). Once agreement was reached on the look, to better meet the needs of the user base in Indonesia, a dummy version was developed and tested during a final workshop in Indonesia (June 2016). It is unclear what progress has been made, although CABI has indicated work continues on it. It is now too late to test the app. with the support of FORIS resources and by its former project partners – this is a great missed opportunity<sup>15</sup>.</li> </ul>
	2.3. Strengthened regional IAS	<p>Output: 70% completed</p> <ul style="list-style-type: none"> <li>• Two exchange visits occurred between project countries to share their experiences in the FORIS</li> </ul>

<sup>13</sup> The Evaluator was notified in July 2017 that fact sheets and training materials have since been completed and uploaded, however e-learning module on cost-benefit analysis is yet to be uploaded.

<sup>14</sup> The Evaluator was notified in July 2017 that these have since been completed.

<sup>15</sup> The Evaluator was notified in July 2017 that the app has since been completed and is ready for roll out.

Component	Outputs	Status at the end of the project (30 September 2016)
	learning network and information exchange mechanisms, including short-term project staff exchange between countries	<p>project, viz. during the 3rd International Conference of Indonesian Forestry Researchers (INAFOR 3) 21-22nd October, 2015 in Bogor, Indonesia and the 25th Philippine Biodiversity Symposium, 5-9th April, 2016 in the Philippines.</p> <ul style="list-style-type: none"> <li>• Staff from project countries attended a number of forums, training workshops and conferences across the region related to IAS.</li> <li>• While a number of attempts were made by CABI to populate the ACB website with tools and fact sheets relating to IAS, delays were experienced due to a lack of capacity and resources as well as challenges with the website from ACB and with receiving the information from the project countries.<sup>16</sup> Some information has been loaded up to a website established for the project, however it is not complete as at April 2017 and according to some project stakeholders, is very difficult to locate questioning the usability of the website.</li> </ul>
<b>Recommendation 2</b>	<p><b><i>APFISN was originally considered a useful regional partner who would provide an easy mechanism for sharing of information and tools relating to IAS across the SEA region. With the ongoing challenges with engaging APFISN due to their limited capacity and resources to deliver against the project, it is apparent that due diligence undertaken on them early on was not comprehensive to understand these limitations. While an alternate partner was identified (ACB), the delays made it difficult to catch up and then a lack of engagement from ACB, also as a result of limited capacity and resources further contributed to reduced quality of outputs for Component 2.</i></b></p> <p><b><i>As a part of the development of any new UN Environment/GEF projects that include a regional component, comprehensive due diligence should be undertaken on all key stakeholders identified to play important roles in the delivery of components to ensure they have the capacity and resources to engage in a project at the commencement of the design phase and this should then be reviewed at the commencement of the project.</i></b></p>	
3. National Capacity Building and	3.1. National IAS training	Output: 100% completed

<sup>16</sup> The Evaluator was notified in July 2017 that 18 fact sheets and training materials have since been completed and uploaded, however e-learning module on cost-benefit analysis is yet to be uploaded.



Component	Outputs	Status at the end of the project (30 September 2016)
Institutional Support	programmes developed and implemented for different stakeholders (e.g. policy makers, scientists, quarantine officers, extensionists, etc.) (limited in Cambodia and Philippines based on funds and needs)	<ul style="list-style-type: none"> <li>• All project countries undertook and endorsed a Training Needs Assessment. Training materials were developed and training activities targeting different audiences (NCU members, researchers, pilot site staffs/community stakeholders at pilot sites etc.) were implemented in all countries.</li> <li>• During the life of the project the estimated number of staffs/participants trained or made aware through national seminars, campaigns and public lectures on the National IAS program were: Cambodia: 878; Indonesia: &gt; 1200; Philippines: 230 (+850 made aware through various symposia/seminars) and Viet Nam: 776.</li> <li>• Although tertiary institutions were identified in all countries and IAS courses/ modules (in various stages of development) produced, only Cambodia had an IAS course incorporated into the curriculum, as part of the Masters of Science in Biodiversity Conservation at the Royal University of Phnom Penh (RUPP).</li> <li>• In Indonesia, a training module was produced in collaboration with the Centre for Forestry Training and Education. This was tested and evaluated and is currently under review to be integrated into training program in MEF – which takes a considerable time as developing courses/modules for tertiary education requires the involvement of the MoE. General lecture programs on IAS were carried out at 7 State Universities to introduce IAS knowledge. Seminars on IAS were organized in three universities across the country.</li> <li>• In the Philippines, a course module on invasion biology was drafted and piloted during Teacher Training on Invasion Biology attended by 38 participants from 12 universities, the Commission on Higher Education (CHED), and representatives from BMB Divisions. Follow-up meetings with Faculty members, the CHED and the Department of Education were held to mainstream invasion biology into the University programs and curricula.</li> <li>• In Viet Nam, seminars on IAS were organized in two universities.</li> </ul>
	3.2. Provision of equipment and material support	<p>Output: Not completed</p> <ul style="list-style-type: none"> <li>• This output did not occur as it was determined at the beginning of the project as not being required. It should not have been included in the ProDoc. It had previously been included in the PIF when the</li> </ul>

Component	Outputs	Status at the end of the project (30 September 2016)
	to quarantine departments, border crossings, etc. (only Indonesia)	Indonesian Ministry of Agriculture was going to be involved. They had been collaborating up to 2010 on IAS. It is not allowed within the Indonesian Government for one ministry to provide equipment to another. The budget attached to this output, following acceptance by UN Environment was reallocated to Component 5.
	3.3. Support to expanding national capacity in research and related fields (project staff in Cambodia and the Philippines will not attend international meetings)	<p>Output: 100% completed.</p> <ul style="list-style-type: none"> <li>• A number of students in each country were engaged in the project with the provision of study grants.</li> <li>• Only Indonesia attained the end of project target of two postgraduate theses submitted per country<sup>17</sup>. Philippines and Viet Nam each has one completed study on IAS while Cambodia has two completed studies on <i>Mimosa pigra</i> and one under review. The target of at least one paper per student accepted in refereed journals was delayed for all countries although Indonesia and Viet Nam have made progress e.g. papers presented at INAFOR3 papers will be refereed and one paper published in Viet Nam Journal of Agricultural Science and Technology.</li> <li>• In Indonesia, two out of seven undergraduate thesis and three out of seven postgraduate/ master degree thesis were submitted. Four papers were accepted in refereed journals.</li> <li>• In the Philippines, student research on bio-control for two weeds was successfully completed and presented at the 25th Philippine Biodiversity Symposium. A draft manuscript intended for submission to a refereed journal is being finalized. Two new MSc research proposals have been approved for funding; draft manuscripts have been submitted for review.</li> <li>• In Cambodia, two students successfully completed their theses and another one who has studied <i>M. pigra</i> at the pilot site is currently being reviewed by the university committee.</li> <li>• In Viet Nam, a MSc student has successfully completed his research on the efficacy of various <i>Mimosa</i></li> </ul>

<sup>17</sup> The evaluator was informed in July 2017 that five 5 theses have been submitted for Indonesia, 2 for Philippines, 1 for Vietnam and 2 for Cambodia.

Component	Outputs	Status at the end of the project (30 September 2016)
		<i>diplotricha</i> management strategies in January 2016
4. National Pilots on the Prevention, Control and Management of Priority Forest IAS	4.1. Pilot sites established in each country through effective local partnerships, ecosystem management plans developed and implemented and EIAs undertaken, if required	<p>Output: 100% completed</p> <ul style="list-style-type: none"> <li>Pilot sites and baseline information established and Ecosystem Management Plans finalized in all countries. Control practices have been applied and tested in all country pilot sites - a mix of manual vs chemical treatments with and without restoration was tested at all pilot sites in all countries. No bio-control activities were undertaken at pilot sites though.</li> </ul>
	4.2. Pilot IAS management implementation - maps of distribution of target species produced for each pilot site, testing of at least three control/management strategies at	<p>Output: 100% completed</p> <ul style="list-style-type: none"> <li>All countries have applied lessons on IAS management in their respective pilot sites; In Viet Nam, the manual on controlling <i>M. diplotricha</i> was published (800 copies) and disseminated to relevant stakeholders; In Indonesia, manual on controlling <i>Acacia nilotica</i> in Baluran and <i>Merremia peltata</i> in Bukit Barisan Selatan was published (300 copies each) and disseminated to relevant stakeholders. In Cambodia, a report on best practice and lessons learned was produced; In Philippines, IAS management was incorporated into the Management Plans for Allah Valley Protected Landscape and a local ordinance to manage <i>P. aduncum</i>.</li> <li>Mainstreaming of target IAS management is evident in all four countries. In the Philippines, manual cutting of <i>P. aduncum</i> is being continued by the Protected Areas Superintendent (PASu) and discussions on harvesting <i>P. aduncum</i> by a private company are underway; In Cambodia, rangers in the</li> </ul>

Component	Outputs	Status at the end of the project (30 September 2016)
	each site, habitat rehabilitation showing increase in biodiversity from baseline, followed by dissemination of results	<p>pilot site continue to cut down <i>M. pigra</i> whenever it is encountered and local people also have agreed to cut down the bush nearby their houses and agricultural lands; In Indonesia, other national parks are managing IAS in addition to <i>A. nilotica</i>. The management of <i>M. diplotricha</i> has been integrated into the management system at Cuc Phuong National Park in Viet Nam.</p> <ul style="list-style-type: none"> <li>Habitat rehabilitation has been tested and evaluated in all the pilot sites, but specifically in the Baluran NP Indonesia - savanna restoration trials showed the successful growth of native grasses.</li> </ul>
5. Information and Awareness Programme	5.1. Development of a national IAS database based on surveys to document presence and impacts of selected forest IAS (limited in extent in Cambodia and the Philippines)	<p>Output: Cambodia and Philippines 90% completed; Indonesia and Viet Nam: 100% completed</p> <ul style="list-style-type: none"> <li>All countries have developed a national IAS database, although this process started late in the project for Cambodia and Philippines. The current databases are based mostly on published information that is largely incomplete.</li> <li>Although all countries have a list of their main IAS, only Indonesia has detailed information on the IAS in at least one of its pilot sites, i.e. Baluran NP<sup>18</sup>.</li> <li>The Philippines included six protected areas in its national survey - at least 38 IAS documented, but mapping is ongoing. Some work remains to complete the database as at April 2017.<sup>19</sup></li> <li>Indonesia has completed surveys and mapping in four national parks in Java and through desktop review identified around 200 species of IAS for inclusion in a guidebook on invasive species which covers 24 national parks (50% of the protected area network) - this has been disseminated to stakeholders.</li> <li>Cambodia has completed its survey and mapping of 19 IAS found along roadsides surrounding the</li> </ul>

<sup>18</sup> The evaluator was informed in July 2017 that these have now been completed for Cambodia and Philippines

<sup>19</sup> The evaluator was informed in July 2017 that the Philippines now has data for all IAS in some protected areas.

Component	Outputs	Status at the end of the project (30 September 2016)
		<p>Tonle Sap Lake and in the coastal area.</p> <ul style="list-style-type: none"> <li>• Viet Nam undertook a desk review and some surveys for key IAS in some selected protected areas.</li> <li>• For all countries, information on distribution and impact of some forest IAS has been disseminated and exhibited during international and national events. Cambodia is yet to complete its dissemination.</li> </ul>
	5.2. Regional standardised communication strategy with national activities and regional targets	<p>Output: 100% completed, but not as planned</p> <ul style="list-style-type: none"> <li>• A regional standardized communications strategy was not developed as the project countries wanted to focus on national level awareness. Therefore, for each country, an assessment on the level of understanding of IAS was undertaken and a National Communication Strategy (NCS) developed with the help of the Regional Communication Expert and was implemented. These were tailored for the needs of each country.</li> </ul>
	5.3. Undertake comprehensive national and regional awareness/ communication campaigns, including development and dissemination of awareness material (limited in Cambodia and the Philippines)	<p>Output: 100% completed</p> <ul style="list-style-type: none"> <li>• Production and distribution of materials, radio broadcasting (Cambodia, Indonesia) and training workshops to raise IAS awareness have been undertaken in all countries.</li> <li>• All countries undertook surveys to collect baseline awareness levels and then again following implementation of activities. All countries reported improvements in IAS awareness levels among stakeholders following the roll out of communication activities.</li> <li>• Cambodia key message promoted is to "Plant Native Trees to Prevent IAS and Protect Biodiversity." A number of awareness materials on IAS have been produced and have been distributed to various stakeholders IAS mainstreaming undertaken via training, workshops, radio talk shows and spot broadcasting, and guest lectures.</li> <li>• Viet Nam – Communication and raising IAS awareness was implemented with a number of awareness materials produced and disseminated. A documentary film on IAS has been developed and broadcast on TV.</li> </ul>

Component	Outputs	Status at the end of the project (30 September 2016)
		<ul style="list-style-type: none"> <li>• Indonesia – Comprehensive promotion and awareness raising materials including brochures, posters, guidebooks, documentaries and animations and radio spots on IAS were developed and disseminated to various media and through various events (seminar, radio and TV, web-site, lectures and competitions).</li> <li>• Philippines - Information and awareness materials with the theme “Stop the Spread of IAS” were developed and disseminated; Programs to raise awareness on IAS included participation in national and international conferences, training workshops, stakeholders consultation, local community presentations and two guest spots on radio.</li> </ul>
6: Monitoring and Evaluation Plan	Output 6.1: Establish and implement Project M&E Plan	<p>Output: 100% completed in countries but 50% complete at consolidated project level</p> <ul style="list-style-type: none"> <li>• M&amp;E Plans that included Timesheets, Monthly/Quarterly Reports, Half Yearly Reports and Annual Reports by NPCs endorsed by NPDs were available for all countries.</li> <li>• All countries implemented their M&amp;E Plan. Philippines is yet to provide their final M&amp;E report.</li> <li>• The overall M&amp;E report for the project was not finalised or available from CABI, as at April 2017. This report was meant to provide consolidation of the M&amp;E from the project to help i) standardise methods/indicators and (ii) report results in a consolidated way. This makes it very difficult to understand the 'impact' (awareness, pilot sites, capacity building) from the project. Having this spread across each country report makes it very difficult to understand the bigger picture of the project.</li> </ul>
	Output 6.2: Develop and implement pilot site monitoring plans to show improvement in biodiversity and	<p>Output: 95% completed</p> <ul style="list-style-type: none"> <li>• Pilot site monitoring plans available in all countries.</li> <li>• All country pilot sites were regularly monitored.</li> <li>• Indonesia- Site monitoring from the NCU was done quarterly in Baluran NP and half yearly for Bukit Barisan Selatan National Park. While monitoring for treatment was done regularly (based on the research design) by field coordinator.); Philippines - Technical Working Group met regularly and pilot</li> </ul>

Component	Outputs	Status at the end of the project (30 September 2016)
	socio-economic levels from baseline	<p>site visits and stakeholder interviews were also held. Cambodia and Viet Nam – M&amp;E at pilot site was carried out every 3 months through meetings, reports and field visits.</p> <ul style="list-style-type: none"> <li>Indonesia, the Philippines and Cambodia all completed baseline assessments whereas Viet Nam integrated biodiversity indices into its Ecosystem Management Plan. Follow-up surveys were then undertaken in all countries. Indonesia incorporated both socioeconomic and biodiversity indicators in their baseline. Cambodia, Philippines and Viet Nam only incorporated biodiversity indicators. The Philippines has not yet submitted its final report on changes in biodiversity.</li> </ul>
	Output 6.3: Changes in national awareness levels monitored to show increase in IAS awareness across all sectors	<p>Output: 100% completed</p> <ul style="list-style-type: none"> <li>All project countries undertook surveys that measured changes in awareness levels with respect to IAS throughout the project.</li> </ul>
	Output 6.4: External audits	<p>Output: 80% completed</p> <ul style="list-style-type: none"> <li>Indonesia, Cambodia and Viet Nam completed external audits for all years. It is important to note that external audits for the 2016 year are due by mid-year 2017, although it is understood these are in process for Cambodia, Indonesia and Viet Nam. Cambodia and Viet Nam submitted their outstanding final audit reports in June 2017. It is also important to note however that PIR 2016 report prepared by UN Environment, as well as the Project Report for Year 5 prepared by CABI both indicated that all external audits had been completed for all countries for the 2015 year.</li> <li>The external audits for 2015 and 2016 for the Philippines are yet to be completed as at July 2017 as final expenditure reports for the project have not been finalised, due to a number of deliverables</li> </ul>

Component	Outputs	Status at the end of the project (30 September 2016)
		<p>outstanding as described above against technical components.</p> <ul style="list-style-type: none"> <li>The external audit for the NCE 2016 year for the overall project is yet to be undertaken by CABI, due to delays with respect to the Philippines as noted above.</li> </ul>
	Output 6.5: Midterm review (UN Environment independent study)	<p>Output: 50% completed</p> <ul style="list-style-type: none"> <li>While a consultant was engaged by UN Environment to undertake the MTR, and commenced work, they were unable to complete the MTR. As a result there was no independent assessment undertaken.</li> <li>The field assessment and local meetings for MTR were conducted successfully in all countries, however, the overall MTR review and consolidated reporting was not done due to the resignation of the international independent consultant. CABI provided a short summary of draft finding extracted from the National Reviewers reports.</li> <li>CABI and each project country undertook a MTR self- assessment of their performance and identified issues and challenges etc. There was however no overall self- assessment prepared. Separate reports exist for each country as well as for CABI at the regional level.</li> </ul>
<b>Recommendation 3</b>	<p><b><i>As a matter of good governance for all GEF funded projects, external audits are required to be carried out annually. In the instance of the FORIS project, this has not occurred for the 2015 and 2016 years for the Philippines and the overall project in a timely manner.</i></b></p> <p><b><i>All external audits should be completed for the FORIS project as a matter of urgency as soon as possible, in accordance with UN Environment imposed timelines.</i></b></p>	
7: Project management and coordination	7.1: Project Administration and Implementation Infrastructure	<p>Output: 100% completed</p> <ul style="list-style-type: none"> <li>All activities under this output were completed, including the appointment of the international project unit team by way of CABI, the appointment of national project personnel for NPD and NPC roles, and the establishment of national offices for managing the project within each country. During the life of the project it is important to note that Philippines had 3 NPCs which created challenges with progress, consistency in reporting and project coordination.</li> </ul>



Component	Outputs	Status at the end of the project (30 September 2016)
		<ul style="list-style-type: none"> <li>• While establishing the initial contracts between CABI and UN Environment took just over 4 months (which is reasonable), delays were experienced for finalising contracts between CABI and countries due to government processes. Recruitment processes within countries took considerable time (6-8 months).</li> </ul>
	7.2: Detail project Planning PY-2	<p>Output: 100% completed</p> <ul style="list-style-type: none"> <li>• Inception meeting occurred in January 2012.</li> <li>• Detailed workplans were developed by each country using the template provided by CABI and reviewed on a regular basis with CABI.</li> <li>• A project plan and annual workplans were developed by CABI and reviewed at each ISC meeting.</li> </ul>
	7.3: National and International project coordination	<p>Output: 100% completed</p> <ul style="list-style-type: none"> <li>• NCUs were established for each country, including TOR outlining their roles and responsibilities.</li> <li>• An ISC was established for the project with members from 1. Country NEA Project Directors 4x; 2. CABI – Director or Technical Unit Head; 3.UN Environment Task Manager; 4. Kerala Forest Research Institute - Coordinator APFISN; 5. Main co-funding partner(s) – max. 2 members; 6 PMU - International Project Coordinator – as secretariat ISC; 7. honorary members: National GEF focal points (one each ISC meeting)</li> <li>• The ISC operated under a TOR and met annually throughout the life of the project, with the final meeting occurring in September 2016. A report was produced for each meeting, including actions for follow-up.</li> <li>• Project progress was monitored by CABI on a regular basis with countries and by UN Environment through monthly, quarterly, half yearly and annual reports submitted as well as through the ISC on an annual basis. UN Environment also undertook annual PIR assessments of the project.</li> <li>• Budgets and workplans for each country were reviewed regularly by CABI. The overall budget and workplan for the project was reviewed by the ISC annually and performance monitored by UN</li> </ul>

Component	Outputs	Status at the end of the project (30 September 2016)
		Environment quarterly and annually at the ISC meeting.
	7.4: Financial Management	<p>Output: 80% complete</p> <ul style="list-style-type: none"> <li>• As at April 2017, it is unclear what the remaining balance for the FORIS project is. This is the result of significant problems encountered towards the end of the project with respect to the submission and approval of quarterly financial reports to UN Environment (due to delays from the Philippines mostly), relating to expenditure reports for the NCE and the overall financial report for the project at project completion. There was also a change with regard to the UN Environment financial officer at that time.</li> <li>• Incorrect budgets (ie that which were not approved by UN Environment) for the NCE were used which has meant it not possible for UN Environment to approve the 2016-Q2-Q3 expense reports submitted by CABI.</li> <li>• CABI has also not yet received the Philippines final expense report (as at April 2017), which is compounded by the fact that there are still outstanding deliverables to come from the Philippines and for which CABI has already paid.</li> <li>• As a result, the last approved QER is from 2016-Q1.</li> </ul>
	7.5: Reporting	<p>Output: 70% completed.</p> <ul style="list-style-type: none"> <li>• Semi-annual progress reports and annual reports were submitted to UN Environment by CABI throughout the project for review and approval. A terminal report is also required to be submitted to UN Environment for review, however as at April 2017 this is still outstanding, which is against the contract, guidance received by UN Environment during the last year, as well as the agreement confirmed by the ISC (last meeting).</li> <li>• Quarterly financial reports were submitted to UN Environment for review and approval, however as noted above under output 7.4 there were delays for 2016.</li> <li>• Countries were required to provide monthly, quarterly and half yearly, annual reports and a terminal report on the project to CABI. Throughout the project there were instances where these were not</li> </ul>

Component	Outputs	Status at the end of the project (30 September 2016)
		<p>submitted to CABI by the Philippines (31 times), Viet Nam (4 times), Indonesia (4 times) (based on tracking reports provided by CABI to TE). These do however, include monthly tracking reports that are internal and not official reports to UN Environment like the PIR, half yearly reports. Cambodia submitted all reports requested. There were also delays incurred in receiving reports by CABI in some instances from countries.</p> <ul style="list-style-type: none"> <li>• The quality of reports (deliverables under technical components as well as progress reports etc) provided to CABI by the countries varied considerably and at times reflected the varying levels of capacity within each country relating to IAS as well in general report writing. It required much additional work and time by CABI to review and amend these reports to correct English grammar and poor translations.</li> <li>• A Coffee Table Book summarising the key findings and successes for the project remains unfinished by CABI. This had been agreed by the ISC as a useful public version of a final report of the project and was scheduled to be completed in February 2016. CABI indicated that the book was going to take the form of authored chapters – a number of contacted authors offered to contribute. However, despite many requests some of those that said they would contribute did not – as such the book was delayed/not completed. At the time of the TE, UN Environment has suggested that this should be cancelled given the delays.</li> </ul>
<p><b>Recommendation 4</b></p>	<p><i>It is clear from a review of quarterly, half yearly and annual reports submitted by CABI and those prepared by UN Environment, as confirmed during the consultation phase of the TE that there are inaccuracies in the reporting on the completion of a number of outputs for the project. In some instances, an output was reported as 100% complete to UN Environment when in fact there were still a number of deliverables outstanding, particularly relating to Components 2, 6 and 7.</i></p> <p><i>For all new UN Environment/ GEF projects being developed or for those in the early stages of implementation, it is important that controls are established to ensure accuracy in reporting, through internal quality control and review processes by the implementing and executing agencies.</i></p>	
<p><b>Recommendation</b></p>	<p><i>Project expenditure has been incurred in a number of instances yet deliverables have not been forthcoming for the</i></p>	

Component	Outputs	Status at the end of the project (30 September 2016)
5		<p><i>FORIS project. These include a number of activities at the national level as well as regionally, including, the IAS app., and the regional IAS Guide. The Evaluator was informed in July 2017 that these have since been completed.</i></p> <p><i>There are a number of key reports outstanding for the FORIS project, required for project completion. These include the Terminal Report, the final project financial reports, final co-financing reports and the final monitoring and evaluation report. Drafts were provided for the evaluation in July 2017, but no final versions are available and have not been officially submitted to UN Environment.</i></p> <p><i>It is imperative the effective financial reporting and management as well as project management, including progress reporting is in place for all GEF funded projects. Steps should be taken by Project Management Units for projects underway or those being developed to ensure reports are provided as required and in a timely manner. Consideration should be given by UN Environment to require tighter enforcement of withholding payments to project participants until all milestones and deliverables are achieved as per workplans and terms of reference. Consideration should be given by CABI to review their finance and administration processes and allocation of roles and responsibilities to ensure streamlining where projects are jointly managed across CABI branches as occurred for FORIS.</i></p>

#### **6.4.2 Achievement of direct outcomes**

63. GEF projects aim to achieve outcomes that lead the project towards its overall objective and engender change and impact. Consequently, the evaluation of the Project's effectiveness is based on the extent to which the project's outcomes, as defined by the reconstructed ToC developed for the Project, were achieved.
64. This project attempted to fast-track the capacity and capabilities of the project countries to boost their ability to identify, manage and respond to the ever-growing threats and impacts from IAS in the SEA region. In a short period of time (4-5 years) this was an ambitious challenge. Certainly without the project, there would have been limited, if any progression to create the enabling environment to strengthen IAS prevention and management in each country, build awareness and knowledge, provide tools and opportunities for learning for onground management, early detection and response.

#### ***Component 1 Establishing National Policy and Institutional Frameworks***

65. It is important to recognise that the level of capacity with respect to IAS in each country varied considerably at the commencement of the project. Knowledge and awareness of IAS was generally limited to the agricultural and fisheries sectors and the level of national policy and institutional frameworks varied as to the level of sophistication to identify, manage and respond to IAS issues. Indonesia made the most progress due to higher levels of human and financial capacity as well as political will and champions. In addition some aspects of the enabling environment (legislation, regulations) were already in place relating to quarantine and for agricultural pests and diseases prior to the project commencing. The level of capacity within Philippines, Viet Nam and Cambodia was a lot lower, however significant progress was still made in these countries. It is important to note that there were three NPC's in the Philippines, and two in Vietnam over the course of the project. The NPC's for the Philippines and Cambodia were also outside appointments specifically for the project and had little experience in working within government institutions. CABI or UN Environment had little to no control over who was appointed as the NPC or the NEA as these were government decisions. It is also important to acknowledge that the level of funding provided to each participating country also varied, directly impacting on the ability of that country to achieve project outcomes to the same level of success.

#### ***Outcome 1a: Enabling policy and institutional environment for cross-sectoral prevention, and management of IAS strengthened***

66. The project was effective at establishing the enabling environment required within each country to implement actions with respect to IAS and each country is to be commended in the progress made against this outcome.
67. This project effectively provided opportunity to bring together the respective agencies within each country to raise awareness and then be engaged in policy development. All countries had multiple cross agency workshops and meetings to develop the NISSAP. For example, in the Philippines, the inter-agency technical working group created for the project at the national level serves as focal staff of their respective departments in implementing agency mandates on IAS management. The trainings/workshop carried out by the project has strengthened their capacity and interest to sustain the advocacy on IAS beyond project life (refer Section 6.6 Sustainability and Replication).
68. The endorsement of the NISSAPs (or in the case of Viet Nam, the Master Plan) and the underlying regulations required is a significant achievement from all countries. It required strong coordination and management from the NCU's within each country to drive the

process through government. The process to develop these action plans required all affected agencies to be engaged in its development and provided good opportunity for interagency cooperation to occur. This was particularly evident within Cambodia where all 11 agencies were involved. The NISSAP development process also created opportunity to commence the building of political awareness about the issues and work towards building sustainability into its implementation beyond the life of the project (Refer Section 6.6 Sustainability and Replication) by the different agencies with a role and responsibility within each country. While it was acknowledged there was a long way to go, all countries indicated during the consultations that this process was well underway.

69. The level of stakeholder involvement both inside and outside of government varied from country to country, reflecting the process by which government policy is developed in each country. There was consistency however in the involvement of academics, NGOs and community and to some extent the private sector. The extent of engagement by these stakeholder groups in the establishment of the NISSAP reflected the level of overall awareness of IAS within each country or differing priorities, as in the case of NGOs who were focused on higher profile issues like endangered species. It is also important to acknowledge that finding the common interest to bring each sector to the table was difficult as every sector brought their own agenda. Throughout the project, as the level of awareness improved, so too did the level of engagement in policy development and implementation. For example, in Indonesia the inter-governmental and multi stakeholder coordination improved throughout the project and a key achievement at the end of the project has been the establishment of a collaborative network among relevant sectors to engage in policy development. Engagement with the private sector also improved throughout the life of the project due to growing external pressure for plantation forest companies to meet international certification schemes, which include IAS management. These companies are now asking for assistance and government policy to support their efforts against certification schemes. The area that remains weak however is with respect to law enforcement (discussed below under Output 1c).
70. The project provided a good first step to bring together the key agencies and stakeholders in each country by establishing the enabling environment to build a platform with which to engage decision makers across sectors. To the TE Consultant's knowledge, no other project or agency is working in this space in SE Asia. It has also enabled each country to meet the requirements of international conventions, including CBD NBSAPs to put the necessary precautions and measures in place to limit the introduction of invasive species.

*Outcome 1b: Cost-recovery recognized by national agencies as key to long-term IAS programming*

71. While the enabling blocks are in place for all countries through the policy and regulations and all countries have taken steps to implement their NISSAPs to some extent, it is important to note that fundamental requirements such as having a solid understanding of which IAS are in each country, as well as how to manage them still require much work to complete. Certainly, while the level of knowledge and understanding with agency staff in each country has improved from engaging in the project, until such time that decision makers fully understand the issues and the potential impacts, economically, socially and environmentally on their countries natural resources, economy and communities, progress to implement the NISSAP will remain an ongoing challenge. Human, economic and environmental impacts of IAS were addressed as part of the various training events and national awareness programs, however, the focus was mainly on biodiversity issues and thus not sufficiently emphasizing the socio-economic aspects of IAS to decision makers.

72. While the establishment of cost recovery mechanisms continues within Indonesia, the lessons learned during that process clearly demonstrated the importance of having a solid business case (including a cost benefit analysis) to support allocations of budgets across agencies as well as to allow for cost recovery through key sectors with the most to benefit from good IAS management. The business case provides then an effective mechanism to communicate the true cost of IAS on the economy. It is unfortunate that the project did not provide opportunity for all countries to engage in a process to build the business case to the extent that Indonesia was able with the funding allocation from the project (acknowledging that all countries undertook cost benefit analysis training by project experts), as this would have allowed IAS to be better positioned in terms of government priorities and budgeting cycles by strengthening political will with decision makers.

*Outcome 1c: Strengthened national regulatory and legal frameworks*

73. The effectiveness of each country's ability to manage IAS and respond rapidly to IAS outbreaks will only be as strong as its law enforcement on the front line for quarantine and border security and for those agencies on the ground undertaking early detection. The progress made with respect to risk management (Indonesia, Philippines and Viet Nam) and early detection and rapid response (Indonesia and Viet Nam) is commendable.

74. Only Viet Nam fully achieved the outputs required to deliver against this outcome with respect to the establishment of a pest risk assessment process. All countries have made considerable progress though and provided activities are completed with respect to enabling the implementation of pre and post border control processes, the outcome will be achieved. From the consultations, it is understood it is just a matter of time for government processes to complete for this to occur in both Philippines and Indonesia.

75. Likewise, the establishment of early detection and rapid response systems in Indonesia and Viet Nam and the associated training of relevant staff is an important factor in achieving this outcome. It was encouraging during the consultations to see that in Indonesia the ED and RR system is in place for fish already and that while regulations are still being developed for agriculture and national parks, a number of national park staff had already incorporated ED and RR into their ecosystem management plans for the national parks (Gunung Gede Pangrango, Baluran, Merapi) and were already allocating some funding through their own budgets to do these activities. This was a direct result of the training undertaken in this area with the teams. In Viet Nam it was also encouraging to see the rapid response in action as while in country a pest fish species was released into the Mekong River during a customary ceremony and the department quick to respond.

76. Of most importance however, will be the ability of the relevant government agencies to effectively engage decision makers to ensure adequate funding is allocated for the successful implementation of these risk systems developed in each country. Again this comes down to how effective a business case can be made to support increased investment in IAS risk management.

***Lesson 1 - The Evaluation found that one of the most significant impediments to driving IAS outcomes is that it is sold as a biodiversity issue, through it being embedded within the CBD. As a result of this, those working in the IAS space in the project countries have not sufficiently demonstrated the impact of IAS in terms of cross cutting socio economics aspects to decision makers. Therefore, any focus within a country or at a regional level to drive improved IAS outcomes requires a strong business case that provides a solid baseline, backed up by science to show the impacts from IAS environmentally, socially and economically and the benefits from acting to prevent, control and manage IAS. The***

***business case (including a cost benefit analysis) needs to be developed in parallel with policy outcomes and communicated effectively to decision makers to show the significant cost to the economy from the impact of IAS. Decision makers need to be engaged early in the process to ensure buy in and support. This process should occur during the very early stages following commencement of a project where there is national implementation.***

***Lesson 2 - The Evaluation found that achieving significant outcomes for improved prevention, control and management of IAS at a national level requires an influential champion. That champion needs to be passionate about the issues, well respected, well connected and senior enough to drive activities and provide a compelling case that aligns the priorities of government to bring the intergovernmental stakeholders, including decision makers to the table. Those countries that had champions to this effect achieved greater success than those that did not. Therefore, facilitating effective collaboration among agencies in the Government is key to successfully implement outcomes. Agency collaboration is best attained with a common goal and agenda set forth at the national level early during a project. This process of identifying a champion should occur during the very early stages following commencement of a project where there is national implementation.***

## ***Component 2. Regional cooperation in Southeast Asia***

*Outcome 2a: Enhanced transboundary coordination and programming on IAS control for priority forest IAS and pathways*

77. The extent to which activities delivered under component 2 have led to the outcome as intended for enhanced transboundary coordination and programming for IAS control has been limited. The original intent of this outcome was through FORIS, there would be engagement of all the countries in SE Asia towards developing improved coordination, a regional strategy for biocontrol and extension of tools and techniques to build regional capacity. Uptake and replication of the approach in other locations and by other countries across the region to provide enhanced protection of forest biodiversity hotspots and its associated local community livelihoods was sought. (linked to Outcome 6b).
78. It is important to acknowledge there was good cross collaboration and sharing between the project countries arising from the activities that took place. All countries during consultations indicated that the regional training and workshops as well as attendance at regional and international conferences all provided great benefit to building the capacity of the NCUs within each country, particularly the NPCs. In particular, the training conducted at Baluran National Park in Indonesia (one of the project pilot sites) was very beneficial to all participants. All indicated that cross collaboration at the regional level allowed the NCUs in each country to learn from and support each other in tackling challenges and dealing with various aspects throughout the project. Where possible, learnings were incorporated into the development of action plans and delivery of activities during the project.
79. It was clear however, from the consultations, and as evidenced by the progress made that the project countries were not at a stage where they wanted to share resources to combat regional IAS management through the use of biocontrol and develop a regional communications action plan around IAS. There was clearly ongoing struggles within countries just with building awareness and support, including political support for IAS management, let alone for the use of biocontrol in terms of understanding what it was, how it worked and the risks associated. The lateness in starting on component 2 activities, particularly with respect to forming the regional biocontrol working group and the regional



action plan (one month before the project entered the 9 month non-cost extension period) played a key role in the progress made against what had been planned in the ProDoc. The associated training workshops (2 occurred) and other support on biocontrol that took place in the lead up to the establishment of the regional working group was important for the limited progress that was actually made and demonstrated that had more of these activities been undertaken earlier on, or the project had another year at least to focus on addressing barriers to take up, outcomes may have been greater.

80. While the countries all acknowledge the value provided from the technical support from the international biocontrol expert, there was just not enough time available to allow countries to overcome the barriers around perceptions, internal bureaucracy, the limited capacity and a lack of champions within each country to create the willingness to engage. It should be noted that Viet Nam and Indonesia have previously introduced and released biocontrol agents prior to the project. All project countries other than Cambodia have also released agents for the control of crop pests. As such, it was assumed that based on past experiences regional biocontrol activities could be achieved within the project period. However, past biocontrol programs generally did not undertake post-release evaluations – the effectiveness of agents was never measured, so in some respects there was a feeling that agents were ineffective. While barriers were assessed at the project design stage and described in the project document, insufficient effort was taken during project implementation early on to address these barriers. As a result, the project was not able to build the capacity and knowledge of the countries on biocontrol to the extent that biocontrol activities could be trialed within countries as a precursor to a more regional approach. It is acknowledged that all countries have taken steps to using biocontrol going forward but Indonesia, Cambodia and Viet Nam were yet to release biocontrol agents. For example, the Risk Assessment (RA) for the biocontrol agent to control *M. diplotricha* was submitted to the Viet Nam NPC in November 2013, however, even after the process was completed for the export of the agent to Viet Nam from Australia, the project stalled in Viet Nam. During the consultations in Viet Nam it was confirmed that a 2 year project for controlling coconut leaf beetle *Brontispa longissima gestro* along the Mekong River using biocontrol had however, recently started with the biocontrol agent released.
81. The limited capacity and resources from the two regional partners identified to drive the regional collaboration model forward (initially APFISN and then ACB) (refer Recommendation 2) impacted greatly on the outcome. These two organisations were really not in a position from the outset to drive the IAS agenda at the regional level, purely on the basis of their priority focus areas and their limited capacity and resources. These organisations tend to be dependent on donor funding for many activities. The ongoing delays as a result meant that at the end of the project it had not been possible to provide an effective knowledge management portal for the participating countries as well as other countries within the region to access the tools, materials and lessons learned developed through the FORIS project. What the project demonstrated was that there is no suitable regional body in existence to take on the task of regional coordination for IAS without adequate funding and resources being made available.
82. The incompleteness of a number of key regional tools such as the regional IAS database, the regional website and the regional IAS Guide (refer Section 6.4.1) further hindered the project achieving outcome 2a and resulted in a lost opportunity to begin effective regional collaboration. It is understood there remains good intentions within CABI to complete these

tools, and an alternate project specific website via ACB has been created with some information uploaded and the database since included within the regional IAS Guide<sup>20</sup>.

83. Regional cooperation with respect to IAS management is critical for SE Asia, as the fluid borders between countries means that managing IAS in isolation will be ineffective. The most effective way to manage IAS is through regional coordination and networks. Achieving this will require long term change. This project worked in only four of the nine countries and while attempts were made to engage the other countries (Thailand and Malaysia engaged to an extent) there was limited success. The project has made a start though through the four countries. Potentially through regional partners like BIOTROP who are interested in the technical aspects of biocontrol, further cooperation may occur in the future.

***Recommendation 6 - Understanding the capacity and barriers within countries up front with respect to key aspects of the project, in this case for the use of biocontrol as an effective IAS management tool is paramount. Spending time identifying the barriers earlier would have allowed a more tailored approach to addressing the perception and capacity challenges within countries, for example through providing more field trips and face to face time with the international expert to demonstrate the biocontrol agents in action etc and how risks are managed.***

***For all GEF projects currently being developed or recently commenced, where regional collaboration is required, a scoping study should be undertaken as a part of the initial stage of project set up to ensure barriers, capacity limitations and gaps and other aspects can be factored into workplan development and the timing of activities.***

***Lesson 3 - The evaluation found that the purpose and requirements for the use of biocontrol measures were not fully understood at the national level. Because of this, it took longer for the project to gain the required buy-in and support from decision makers for biocontrol. Therefore it is important that at the onset of a project, fears and perceptions that may influence the uptake of project approaches are thoroughly identified and how to overcome these barriers – ie what would be required to obtain buy-in and support from decision makers is understood and planned as activities. This process should occur during the very early stages following commencement of a project where there is national implementation.***

### **Component 3. National Capacity Building and Institutional Support**

*Outcome 3a: Enhanced collaboration and capacity built through training and other means for multisectoral prevention and management of IAS*

84. The importance of building the capacity within each project country cannot be underestimated in terms of creating the enabling environment needed to build sustainability into IAS management beyond the project. All countries undertook effective activities to develop a national communications plan and roll out national IAS training programmes designed to suit the country situation and address key gaps identified from the training needs assessments undertaken. Implementation was aimed at different stakeholders (e.g. policy makers, decision makers, scientists, quarantine officers, community, private sector etc.) across all countries. It is important to note that each country

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<sup>20</sup> The Evaluator was informed in July 2017 that this has now been completed and an e-book and fact sheets are available from CABI's website.

develop their programme to suit the level of awareness and capacity in existence. In some cases, such as in Cambodia at the start of the project communities involved in training did not even know the words for IAS – there were no words in Cambodian language for IAS so awareness was a ground zero. In the other countries, awareness was in existence in some sectors (mostly agriculture and fisheries) and with some academics but again was limited.

85. Each country developed a significant number of tools and training materials to use for their national training programmes. These ranged from comprehensive training modules and guides through to awareness raising fora such as brochures, posters and videos. During the life of the project but mostly during year 4, significant numbers of departmental staff/multisector stakeholders undertook training/participated in workshops or were made aware through national seminars, campaigns and public lectures on the National IAS program, as follows: Cambodia: 878; Indonesia: > 1200; Philippines: 230 (+850 made aware through various symposia/seminars) and Viet Nam: 776. Given the limited budgets in Cambodia and Philippines in particular, this effort is commendable. The effectiveness of the training and awareness raising undertaken is discussed in the Component 5 outcome below, however it is noted that with more time, greater awareness and capacity could have been established. It is worthwhile noting that the effectiveness of training and awareness raising seemed to have been more effective in Baluran National Park, Indonesia where the project adopted field-training components on control and monitoring and evaluation, attended by representatives from all countries. This resulted in higher buy-in from decision makers and technical staff.
86. The efforts in raising awareness and building capacity have created an effective mechanism to bring together the different multisectoral stakeholders and create a network of IAS people across the country to support IAS management and prevention into the future. The tools developed have meant that provided funding is available, ongoing efforts to build awareness and raise capacity will continue, with a focus on decision makers in all countries.
87. Each country also made good progress in incorporating IAS aspects into their tertiary education system. It is important to acknowledge that in Indonesia and the Philippines, there were already a number of academics engaged in IAS work, while in Viet Nam and Cambodia there were not. As a result of the varying levels of capacity, the NCUs undertook an awareness campaign with academics and students, through public seminars, lectures and through teacher training. For example, in the Philippines teacher training on invasion biology was undertaken at 12 universities and colleges. As a result each country was able to seek agreement for IAS to be embedded in postgraduate and graduate programs and for a number of students to undertake specific research relating to IAS. It is important to acknowledge that given these communication and capacity building activities did not happen until the second half of the project and that undertaking field based research, as well as making changes to curriculum can take time (most are reviewed every 5 years), it is not unexpected that some research within countries was not completed and that work is continuing post the project to embed changes into the curriculums. A key outcome from the project has been the establishment of a network among educators and researchers for the integration of IAS-topics/ Invasion Biology into existing courses and school curricula.
88. What was not developed as a part of this component that would have allowed for a more effective approach to achieve the outcome sought would have been a national IAS research plan for each country that identified the priority areas for research to address key gaps in knowledge to inform policy and decision-making. It is acknowledged, there was a capacity and training needs assessment undertaken early on in the project that identified some training needs that could be addressed through further research.

***Recommendation 7 – Understanding research priorities to inform decision making with respect to IAS prevention and management is an important aspect in establishing a strong enabling environment and intuitional framework for policy, as well as to enhance on ground implementation outcomes.***

***It is recommended that all FORIS countries consider developing National IAS Research Plans, subject to budget availability that identify the priority areas for research to address key gaps in knowledge to inform policy and decision-making going forward as they seek to implement their NISSAPs. These could be included within the NISSAP or as an annex. For any new GEF project relating to IAS being developed or recently commenced, this should be a key output required as a precursor to creating an enabling environment and informing decision-making.***

***Lesson 4 - The Evaluation found that for capacity building to be effective with respect to IAS, it needs to involve in-field components. When the project applied this approach (at pilot sites and in Baluran National Park, Indonesia) there was much better buy-in and understanding from technical and decision makers. Therefore, while lectures and training in a classroom provides the introductory technical knowledge, seeing how things work in the field will help to cement understanding and build capacity through hands on learning. This is just as important for field staff as it is for decision makers – to provide tangible hands on exposure to the issues and management strategies available. This approach should be built into projects with national implementation at the design stage.***

#### ***Component 4. National Pilots on the Prevention, Control and Management of Priority Forest IAS***

***Outcome 4a: Improved national field management experience with implementing IAS prevention, control and management***

89. Pilot sites and field teams to monitor trials were established in each country:

- a. Indonesia - for controlling *Acacia nilotica* in Baluran NP and *Merremia peltata* in Bukit Barisan Selatan NP;
- b. Viet Nam - for controlling creeping plant *Mimosa diplotricha* in Cuc Phuong National Park
- c. Philippines – for controlling *Piper aduncum* in Allah Valley Protected Landscape
- d. Cambodia – for controlling *Mimosa pigra* in the Stung Sen Core Area of Tonle Sap Biosphere Reserve

90. The methodology applied by each country in each pilot site were simple and scientifically sound, allowing for comparison of different techniques during monitoring to determine the most effective control techniques and replication of the approach across other sites. All countries followed the methodology developed by the IAS technical specialist which included:

- a. site preparation (3 blocks each with eleven 10m x 10m plots having 5m distance between each plot and 10m distance between blocks. – Note Cambodia only used 2 blocks due to limitations in funding.
- b. baseline data collection – environmental as well as socioeconomic (note only Indonesia collected socioeconomic data);

- c. tailored treatment application to suit the target species - manual v/s chemical treatment:
    - i. manual treatment with and without restoration;
    - ii. chemical treatment: two types of herbicide with low and high dose with and without restoration;
  - d. forest restoration using local indigenous species; and
  - e. monitoring.
91. The consultations confirmed that undertaking the pilot projects in all countries was successful in improving national field management experience in implementing IAS control and management activities. Prior to the project none of the countries, other than Indonesia had undertaken IAS control projects within national parks so capacity was minimal. The pilot projects allowed field staff to be trained and then test various methods for IAS, control. In all cases the most successful trials were where manual control was followed by chemical control (cut-stump treatment) followed by replanting of native vegetation was applied.
92. While the level of success varied between methods and countries, the consultations revealed there to be strong emphasis on the value this component provided to field staff and all countries indicated that lessons learned from undertaking the pilot projects have been incorporated into national park management plans and in some cases had been extended to other national parks. For example, in Viet Nam, a manual for controlling *M. diplotricha* was developed and 800 copies disseminated to relevant stakeholders; In Indonesia, a manual for controlling *Acacia nilotica* in Baluran and *Merremia peltata* in Bukit Barisan Selatan was developed (300 copies each) and disseminated to relevant stakeholders. All countries except the Philippines (refer Section 6.5 for why) provided final reports on the pilot projects in their country.
93. A selection of photos from each pilot site is provided in Annex 6. Note the evaluator visited the Baluran NP site in Indonesia and the Cuc Phuong site in Viet Nam only and it is important to recognise that the inspection was undertaken almost a year after treatments and monitoring under the project had finished. In the Viet Nam site there had been little maintenance undertaken since that time. In the Indonesia site there had been some on going maintenance to the site. In both cases monitoring was still being undertaken on an annual basis by national park staff. The photos from Cambodia are taken from the Cambodia report for the pilot project (*Report on Experimental Trial: Management of Mimosa Pigra at the Pilot Site, Stung Sen Core Area, Tonle Sap Biosphere River, Cambodia*). The photos from the Philippines are taken from the presentation provided to the Evaluator during consultation with the TWG as the report for the pilot project had not been completed.
94. All countries engaged local communities in their pilot projects, providing awareness raising and through participation in field activities and sharing of knowledge on control techniques (in the case of Cambodia). Women were involved in the projects in all countries through training, awareness raising and knowledge sharing, with women in Indonesia and Philippines involved in field activities. Indonesia and Viet Nam involved students in their pilot work as well. There have been some discussions in Viet Nam, Cambodia and Philippines on alternate uses for the IAS as supplementary income to communities, e.g. through a source of wood from acacia for charcoal etc. Indonesia also undertook cost benefit analysis associated with the management of acacia which demonstrated that there were high economic benefits and feasibility for managing acacia. Using the acacia for charcoal production, the sale of which would offset management costs would allow maintenance of

the savannah given it is a key tourism objective in Baluran NP - tourism was predicted to decrease if acacia expands to cover the savannah lands. Project staff indicated during consultations that communities engaged in the pilots found their participation useful and it improved their knowledge about IAS. In the case of Cambodia, prior to the pilot project, the local community around the site was unfamiliar with IAS and there was no word in the local dialect for it. In Viet Nam consultations indicated that key lessons were learned from the awareness raising undertaken at the community level and that going forward there needed to be greater focus on helping the community to understand what IAS were and the impacts from them.

95. Mainstreaming of target IAS management is evident in all four countries. In the Philippines, manual cutting of *P. aduncum* is being continued by the staff of the Protected Areas Superintendent (PASu) and discussions on harvesting *P. aduncum* by a private company is underway; in Cambodia, rangers in the pilot site continue to cut down *M. pigra* whenever it is encountered and local people are also involved in cutting down the bush near their houses and agricultural lands; In Indonesia, other national parks are now managing IAS beside *A. nilotica* and steps are now underway to amend regulations relating to national parks that make it difficult the removal of timber (eg, acacia) to take place. The management of *M. diplotricha* has been integrated into the management system at Cuc Phuong National Park in Viet Nam. In all countries, the consultations indicated that the project pilots were a good first step however there needed to be more longer term programs across broader areas to improve on the results. The consultations also highlighted the importance of ongoing monitoring and management following treatment to ensure effective outcomes and that this is a costly process.
96. The project did not result in a measurable reduction in, or eradication of a priority IAS as a direct result of project implementation. It was unrealistic to expect this given the size of the pilot sites in each country, the length of the trials and the seed banks in the soil (for example up to 20 years for *M. pigra*) and the time it takes for native trees to grow.

#### **Component 5. Information and Awareness Programme**

*Outcome 5a: Enhanced capture and use of information and willingness of stakeholder groups to be involved in IAS management and resource mobilization*

97. A key component of the project was building awareness and capacity within each country with respect to IAS. Through the FORIS project there is clear evidence, confirmed in the consultations that there has been enhanced capture and use of information and a willingness of stakeholder groups to be involved in IAS management and resource mobilisation. The extent to which this occurred varied however between countries and was a factor of the budget allocation available (Cambodia and Philippines had less budget).
98. The level of information available for decision-making relating to IAS have increased immensely in each country as a direct result of the project. While there is still much knowledge to be gained through research and data collection, the project provided a good start to consolidate information. For example, through the establishment of databases, development of lists of priority IAS species, development of guides and handbooks on identification, management and control etc. The understanding gained from mapping the distribution of some species has assisted with prioritisation processes within departments in Indonesia and Viet Nam.

99. In Indonesia, for example, some national parks and forest concessions are already using the handbook produced for survey and identification, including some forest concessioners. Private timber concession holders that have adopted voluntary certification under Forest Stewardship Council (FSC) are required to comply with sustainable forest management certification standards, which include criteria to be met for the use, control and active monitoring of exotic species. As a result, some concession holders that received non-conformance under this standard have sought advice to FORIS Indonesia and are using a number of materials produced from project.
100. In Viet Nam and Cambodia, the consultations confirmed the information now available on the distribution and impact of IAS plants in some regions and a few protected areas has provided an initial context for managers to take appropriate action in controlling of invasive alien plants in some protected areas.
101. It is still premature to understand the extent to which this outcome was achieved as a lot will depend on whether NISSAPs are funded and therefore implemented. Certainly, the awareness surveys undertaken within countries indicated increases in awareness and the consultations confirmed that there is a strong willingness within the research sector to continue to address IAS and there are a number of instances as discussed above where IAS control and management have now been built into management plans for national parks (beyond the pilot sites) and adopted by regulators (quarantine and border security). The biggest challenge remains whether the willingness to be involved will transform into broadscale action (on ground, regulatory, treasury), particularly from decision makers and only time will tell.

***Lesson 5 - The Evaluation found that the importance of awareness raising and communication cannot be underestimated. During the project the participating countries indicated that having a sound communication strategy that identifies and segregates each target audience and provides a baseline of their understanding is key and they would have revised their strategies if time had allowed. Therefore, it is important for any project to ensure the most appropriate medium is used for delivering key messages and that those key messages resonate with the target groups and address cultural aspects that are in conflict with IAS priorities is paramount. For example in some cultures native trees are seen as of little value and should be removed to allow for exotics to be planted that will generate income. Likewise, in some places Governments/development projects/NGOs use exotic species to restore habitats which can create IAS problems. These perceptions need to be tackled head on through conducting and communicating a cost benefit analysis approach. This approach should be built into projects with national implementation at the design stage as a step towards building support from decision makers.***

### **Component 6. Monitoring and Evaluation Plan**

102. Only Outcome 6c (Strengthened national public awareness on IAS) has been included as it relates directly to the delivery against the objective of the project. Note Outcome 6b reflects a longer term intermediary outcome as highlighted in the reconstructed TOC in Figure Two and as discussed in Section 6.4.3 Likelihood of Impact.

#### *Outcome 6c: Strengthened national public awareness on IAS*

103. It is difficult to measure whether national public awareness on IAS has increased given the size of the populations in each country participating in the project. Certainly, all countries undertook awareness surveys with stakeholders engaged in training, workshops

and seminars (pre and post). In all instances surveys revealed increased awareness on IAS across all participating sectors and stakeholders, including local communities so it could be inferred that there has been some strengthening of national public awareness. Certainly, it appeared that the most effective ways for dissemination of information to the public was through audio-visual or media television.

104. All countries undertook broad public speaking engagements relating to IAS with students, and public seminars, as well as through TV, radio and newspapers to the broader community. The extent to which broader audiences watched or paid attention to radio and TV segments is unclear and was not measured. For example, of most significance, Indonesia produced a documentary in collaboration with UNU- Japan, UN Environment and CABI (*“Alien Hunters” on Acacia nilotica in Baluran NP*)<sup>21</sup> and an animation movie<sup>22</sup>. This documentary was aired by at least 25 TV channels in the region – through support by the Asian Broadcasting Union, and potentially could have been watched by over 250 million people in over 15 countries. It is unclear however to what extent it has led to uptake or changes in awareness as a result.

**The overall rating for Achievement of Direct Outcomes is Satisfactory**

**6.4.3 Likelihood of impact**

105. The ROTI approach is used to assess the likelihood of impact by building upon the concepts of Theory of Change in Section 5. The ROTI approach requires ratings to be determined for the outcomes achieved by the project and the progress made towards the ‘intermediate states’ at the time of the evaluation. The rating system is presented in Table 7 and the assessment of the project’s progress towards achieving its intended impacts is presented in Table 8.

**Table 7 Rating Scale for Outcomes and Progress towards Intermediate States**

Outcome Rating	Rating on progress toward Intermediate States
D: The project’s intended outcomes were not delivered	D: No measures taken to move towards intermediate states.
C: The project’s intended outcomes were delivered, but were not designed to feed into a continuing process after project funding	C: The measures designed to move towards intermediate states have started, but have not produced results.
B: The project’s intended outcomes were delivered, and were designed to feed into a continuing process, but with no prior allocation of responsibilities after project funding	B: The measures designed to move towards intermediate states have started and have produced results, which give no indication that they can progress towards the intended long term impact.
A: The project’s intended outcomes were delivered, and were designed to feed into a continuing process, with specific allocation of responsibilities after project funding.	A: The measures designed to move towards intermediate states have started and have produced results, which clearly indicate that they can progress towards the intended long term impact.

<sup>21</sup> Refer <https://cabiinvasives.wordpress.com/2016/12/26/alien-hunters-in-indonesia-protecting-natural-parks-and-forest-ecosystems-in-se-asia/>

<sup>22</sup> Refer <https://www.youtube.com/watch?v=Zocxqgcbf1Q>



**Table 8 assessment of the project’s progress towards achieving its intended impacts**

Outputs	Outcomes	Rating (D - A)	Intermediate states	Rating (D - A)	Impact (GEB)	Rating (+)	Overall
<p><i>Component 1:</i></p> <p>National multi-stakeholder coordination mechanisms for cross-sectoral invasive species management</p> <p>National Invasive Species Strategy and Action Plan agreed</p> <p>Identification of cost-recovery mechanism and action plan (only Indonesia)</p> <p>IAS Risk Analysis procedures for quarantine authorities</p> <p>Early detection and rapid response system established (only Indonesia and Viet Nam)</p> <p><i>Component 2</i></p> <p>Regional IAS Biocontrol Working Group established including development of Action Plan for biocontrol of shared IAS</p> <p>Strengthened/developed regional IAS tools for improved management of IAS</p>	<p>Enabling policy and institutional environment for cross-sectoral prevention, and management of IAS strengthened</p> <p>Cost-recovery recognized by national agencies as key to long-term IAS programming</p> <p>Strengthened national regulatory and legal frameworks</p> <p>Enhanced transboundary coordination and programming on IAS control for priority forest IAS and pathways</p>	B-C	<p>The adoption of harmonized legislation based on international standards and conventions enables countries to meet the requirements of international conventions and puts the necessary precautions and measures in place to limit the introduction of invasive species</p> <p>Action Plans and IAS related systems funded and implemented effectively</p> <p>Management of IAS across the region enhanced through implementation of the regional Action Plan</p>	A-B	<p>Uptake and replication of the approach in other locations and by other countries across the region to provide enhanced protection of forest biodiversity hotspots and its associated local community livelihoods</p> <p>SE Asian forests and biodiversity managed sustainably by reducing negative environmental, economic and human health consequences of invasive alien species</p>	+	AB-BC

Outputs	Outcomes	Rating (D – A)	Intermediate states	Rating (D – A)	Impact (GEB)	Rating (+)	Overall
<p>including databases/website (APFISN) and regional IAS Identification Guide</p> <p>Strengthened regional IAS learning network and information exchange mechanisms, including short-term project staff exchange between countries</p> <p><i>Component 3</i></p> <p>National IAS training programmes developed and implemented for different stakeholders (e.g. policy makers, scientists, quarantine officers, extensionists, etc.) (limited in Cambodia and Philippines based on funds and needs)</p> <p>Support to expanding national capacity in research and related fields (project staff in Cambodia and the Philippines will not attend international meetings)</p> <p><i>Component 4</i></p> <p>Pilot sites established in each country through effective local partnerships, ecosystem management plans developed and implemented and EIAs</p>	<p>Enhanced collaboration and capacity built through training and other means for multisectoral prevention and management of IAS</p> <p>Improved national field management experience with implementing IAS prevention, control and management</p> <p>Enhanced capture and use of information and willingness of stakeholder groups to be involved in IAS management and resource mobilization</p>		<p>and improved capacity</p> <p>Participating countries provided with the necessary tools and capacity to address existing and future biological invasions</p> <p>Demonstration and testing of effective mechanisms, in the context of the national frameworks, enables the countries to take more effective national action, replicate best practices, and sustain the project outcomes. Capacity of key stakeholders improved with respect to the importance of on ground action.</p> <p>Improved knowledge and awareness by key stakeholders with</p>				

Outputs	Outcomes	Rating (D - A)	Intermediate states	Rating (D - A)	Impact (GEB)	Rating (+)	Overall
<p>undertaken, if required</p> <p>Pilot IAS management implementation - maps of distribution of target species produced for each pilot site, testing of at least three control/ management strategies at each site, habitat rehabilitation showing increase in biodiversity from baseline, followed by dissemination of results</p> <p><i>Component 5</i></p> <p>Development of a national IAS database based on surveys to document presence and impacts of selected forest IAS (limited in extent in Cambodia and the Philippines)</p> <p>Regional standardized communication strategy with national activities and regional targets</p> <p>Undertake comprehensive national and regional awareness/ communication campaigns, including development and dissemination of awareness material (limited in Cambodia and the Philippines)</p>			<p>respect to IAS within participating countries and across the region (Outcome 6c Strengthened national public awareness on IAS)</p>				

Outputs	Outcomes	Rating (D - A)	Intermediate states	Rating (D - A)	Impact (GEB)	Rating (+)	Overall
	Justification for rating:		Justification for rating:		Justification for rating:		
	The project's intended outcomes were partially delivered, and some were designed to feed into a continuing process after project funding.		<p>The measures designed to move towards intermediate states have started and have produced some results, which clearly indicate that they can progress towards the intended long term impact</p> <p>Some results give no indication that they can progress towards the intended long term impact.</p>		Project has achieved some documented changes in environmental status during the project's lifetime.		

106. Certainly, there are indications from the outcomes in Component 1 that the building blocks are in place within each country, however it will take further effort to ensure adequate funding is allocated and key stakeholder groups remain engaged to implement the NISSAPs and other regulatory measures. While the NCU's worked to influence drivers (as identified in the TOC) ongoing work will be required to continue building political will and ensuring ongoing stakeholder engagement for example continue post the project. Good progress has been made with respect to building a baseline of knowledge and awareness and improving capacity of key stakeholders in addressing IAS in various capacities, including in on-ground treatments and it will be important for this to continue. In Indonesia in particular there is evidence that other national parks and some private sector companies are adopting IAS approaches developed in the FORIS project. Likewise, in Viet Nam there are strong commitments from the government to implement their Master Plan (NISSAP). These efforts should leave these countries in good stead to move forward. It is too early at this stage to say whether the project will provide a lasting impact towards uptake and replication of the approach by other countries across the region to provide enhanced protection of forest biodiversity hotspots and its associated local community livelihoods (Outcome 6b). From the outcomes achieved in each component there would appear to be a greater likelihood of impact at a national level than regional level at this stage, given the shortcomings as identified in Section 6.4.1 and 6.4.2 against Component 2.

107. The barrier to impact however for all countries remains the heightened level of engagement of decision makers (political will) required, along with convincing business cases to ensure budgets are allocated, and policies and regulations continue to be developed/ implemented to create the enabling environment. Having champions in each country, particularly Cambodia and the Philippines, will also be key. With the project now completed, it will be up to each country NPC's and NPD's to drive IAS engagement where they can through their day-to-day jobs. In Indonesia and Viet Nam staff involved in the NPD and NPC positions remain within government employment so this is possible. In the Philippines and Cambodia the NPC were contractors, however the NPD's remain within government employment. For the Philippines, reliance will also be on the TWG formed for the project to continue to drive IAS forward through their respective agencies.

108. According to the ROTI approach, the rating obtained is translated into the usual 6-point rating scale used in UN Environment project evaluations, as shown in Table 9.

**Table 9 'Overall likelihood of impact achievement' on a six point scale. (NB: projects that achieve documented changes in environmental status during the project's lifetime receive a positive impact rating, indicated by a "+".)**

Highly Likely	Likely	Moderately Likely	Moderately Unlikely	Unlikely	Highly Unlikely
AA AB BA CA BB+ CB+ DA+ DB+	BB CB DA DB AC+ BC+	AC BC CC+ DC+	CC DC AD+ BD+	AD BD CD+ DD+	CD DD

109. The aggregate rating is "AB-BC". Taking a conservative approach, considering the limited regional outcomes, but the high level of national results and the enabling institutional frameworks now in place a notation "+" is also attributed, producing a final rating "BC+". The Project, with an aggregated rating of BC+ as described in Table 5, can therefore be rated as "Likely" to achieve the expected Impact in the countries in which it took place, but not at the regional level.

**The overall rating for Achievement of Likelihood of Impact is Likely at the national level but Unlikely at the regional level**

## **6.5 Efficiency**

### **6.5.1 Financial and administrative efficiency and effectiveness and timeliness**

110. CABI was responsible for the financial and administrative functions for the project. Responsibility was split between CABI-ARC in Africa (technical and financial) and CABI SEA in Malaysia (operational and administration). While there was some initial confusion within the countries as to how the roles and responsibilities were split between the different CABI offices, this was rectified early on. It was clear from the consultations in all countries that CABI displayed much enthusiasm and passion for the project and was very committed to achieve outcomes, build enthusiasm and work through issues. All countries indicated that it had been important for CABI SEA to coordinate the project to be able to deal with cultural sensitivities in SE Asia to act as a moderator and a bridge between UN Environment, CABI-ARC and the countries.
111. Templates were provided to all countries for financial management (budget spreadsheets, reporting etc.) and administration (workplans, monthly, quarterly, annual etc. reporting). Workplans were quite detailed, (but no more so than other GEF projects of this scale) and took considerable time to adapt and understand in each country, in conjunction with the PMU as a result. A matrix for reporting was used by CABI to track reporting from each country and follow up those outstanding. Countries struggled initially with the level of deliverables and need for detailed workplans – high standards and language barriers, although with much one on one communication between CABI SEA and each country, these challenges were eventually overcome. Consultations also revealed that countries also struggled with the level of reporting as it was time consuming.
112. Reporting was a time-consuming process also from the perspective that all technical progress and financial reports (excluding monthly reports) were sent to CABI-SEA and CABI-ARC together however, were required to be approved by CABI-ARC prior to them being submitted to UN Environment for approval. The Project was highly dependent on consultants in countries to undertake work and submit outputs, which were often delayed (poor project management, indication of limited capacity challenges). All progress and financial reports were required to be submitted in English. In many cases technical reports were provided in local languages but English summaries prepared as required by CABI. Language barriers and limited report writing skills from consultants within countries meant additional work was required, particularly for technical reports and much rewriting occurred. This created some sensitivity within countries with respect to cultural aspects and differences in professional principles, capacity and language barriers. It also resulted in significant delays in delivering key outputs in a timely manner, mostly relating to technical reports, guides etc. and for final project reports such as country Terminal Reports and M&E reports. As at April 2017, there remain a number of final reports outstanding, as discussed in Section 6.4.1. It was suggested during the consultations that had the contract been signed between UN Environment and CABI SEA rather than CABI-ARC these delays may not have been as extensive for the finance and administration type reporting.
113. A NCE was requested and granted for an additional nine months for the project to allow time to complete some outstanding outputs. Until the beginning of the NCE, there were no major issues or concerns identified from any project partners with respect to the financial and administrative performance (other than time delays in reporting of some countries) of CABI, as confirmed in the consultations. During 2016 and particularly during the NCE period

the quality of performance from CABI appeared to drop. This may be due to key staff being assigned to other projects whilst simultaneously managing the FORIS project. Of most concern are the outstanding issues relating to final reporting and financial management—the final financial reconciliation has still not been completed. There has been ongoing and escalating discussion and engagement between UN Environment and CABI since the final ISC meeting where the scale of outstanding technical and project final reports became clear. It appears that there have been a number of inconsistencies in process for the management controls over financial transactions during the NCE period within CABI and that monitoring of country expenditure and performance was not effective during that time. During the consultations a number of examples were provided to the consultant to support this claim:

- Overspending and as a result a lack of available audit budget in Indonesia and Cambodia - While unspent funds from the national travel budget were reallocated with permission from UN Environment to part cover these costs, CABI appeared to have paid the final advance prior to ensuring the delivery of outstanding items which included the audits.
- It was agreed between UN Environment and CABI that additional funding would be provided for the Philippines during the NCE for 2 months part-time to cover key staff to complete the work outstanding. Yet to date there is still no indication of what deliverables were achieved during this period and no outstanding items submitted to UN Environment. Given it is now April 2017 and that project administration was closed down 6 months after completion of the project - viz. from 1 Oct to 31 March 2017, it is reasonable to expect that GEF funds will need to be claimed back from the Philippines. UN Environment indicated this to CABI in the agreement made at the final ISC meeting as well as through subsequent emails. It should be noted however, that some of the payments post September were for activities undertaken prior to project closure or contracts that had to be honoured, as agreed by UN Environment. While there has been some communication from CABI on this matter with UN Environment, it had not resulted in the consolidated, formal delivery of the completed outstanding reports in the required format at the time of the TE. It is understood that subsequently, CABI approached the NPD for assistance to resolve the matter and has since sent two CABI staff to Manila to do so. Most of the outstanding reports have now been provided (as at July 2017) and the matter has been resolved between CABI and UN Environment.
- During the NCE, it was agreed between UN Environment and CABI that CABI would submit in advance the budget for what expenditure would be incurred during Oct 2016-March 2017 (because it is an exception to allow expenditures during this period), prior to project administration shut down as well as a plan to address the backlog. As at April 2017, neither had been received by UN Environment.

114. There appears to have been some confusion within countries, particularly in the Philippines with respect to the process for disbursements of funds during and after the NCE period and what approvals were required to spend funds received. For example, the Philippines received project funds in December 2016 and wanted to issue new contracts to local consultants to complete outstanding work, misunderstanding (as the NPC was not available) that these funds could only be used for contracts executed prior to 30 September 2016 when the project finished. These funds were meant to be released in September, however delays from the Philippines in providing expense reports to CABI, meant funds could not be released and contracts could not be entered into pre September 2016 to complete some activities relating to publications and a public version of the NISSAP. In addition, the Philippines requested an 'emergency budget' post Sept 2016 for the NPC which was agreed to by UN Environment, in order to manage this stream of delays. The Philippines

were advised by CABI to return the funds to CABI relating to contracts that could not be entered into, however at the time of the TE this was still be discussed with CABI. The Philippines consultations also indicated that the country had wanted more flexibility to manage all components of the project, including those relating to the NCU (these were directly managed by CABI). However, it is important to acknowledge that factors such as the three NPCs during the project, the significant delays in appointing each new NPC (up to 3 months) and internal capacity issues all contributed to these challenges in the Philippines.

***Recommendation 8 - The difficulties presented by all NCUs in understanding workplans, contracting quality consultants and in reporting indicates a lack of experience in project management, report writing and in contracting out technical activities. It is also reflective of the differences in practice between international projects and local procedures (which are simpler and less rigorous). For all UN Environment/ GEF projects currently under development or recently commenced, consideration should be given to undertaking a capacity assessment to identify gaps in knowledge and skills for all national consultants, NPCs and project managers engaged in any GEF project, where feasible. Budgets for national consultants should allow for the hiring of highly skilled consultants to enhance outcomes and streamlining of the project and TOR for NPCs and national consultants clear and focused on roles and responsibilities. During the inception phase of any regional GEF project, project management, contract management and report writing skills training should be considered with the appropriate budget included, in line with GEFSEC rules for project management costs on GEF projects.***

#### **6.5.2 Efficiency of communications, logistical planning and coordination**

115. All countries confirmed during the consultations that communication between the PMU and NCUs as well as between each NCE was strong and effective. Regular SKYPE meetings as well as adhoc calls (Whatsapp group) provided a solid basis for strong collaboration and kept the momentum going. Countries all indicated that there was a commitment within each NCU to help other NCUs on the project, boost capacity, share lessons and solve problems. There was good committed buy in from the countries to regularly communicate.

#### **6.5.3 Partnership building and resource mobilisation**

116. There were a number of external partners to the countries involved in this project, including regional (ACB and BIOTROP) and international partners (eg, Biosecurity Queensland). As discussed in Section 6.4.2, challenges were experience as a result of the limited due diligence undertaken on potential regional partners under Component 2 and delays in engaging them early in the project. The consultations indicated that the delays experienced and the limited outcomes achieved from Component 2 meant activities did not represent good value for money and were a lost opportunity for regional collaboration, particularly with respect to building of new partnerships and resourcing of funds for ongoing IAS work in the SE Asia region.

117. The international partner (Biosecurity Queensland) engaged significantly on the project (with respect to technical guidance on biocontrol) and established good working relationships with each country and CABI. There was no budget allocated for the technical expertise provided by this organisation (it came from co-financing) and all countries indicated the significant value gained from their technical support and training provided. It was suggested that had the work relating to biocontrol commenced earlier for example, in year 1 there might have been greater progress made within countries to overcome barriers linked to perceptions and risk.



## The overall rating for Efficiency is Moderately Unsatisfactory

### 6.6 Sustainability and replication

#### 6.6.1 Financial

118. How sustainable the project outcomes and efforts are for up scaling and rollout comes down to the ability of the countries to generate sufficient political will and support to drive budget allocations to fund the implementation of the NISSAPs and support other related onground and research activities. Linked to this will be the need for stakeholder support, particularly from the private sector for the use of cost recovery mechanisms to fund regulatory functions. It is unclear at the time of the TE whether these funds will be forthcoming and all countries are exploring donor opportunities. While there has been some funding commitments made in Viet Nam to implement the Master Plan and in Indonesia within existing Ministry budgets were possible, it will be insufficient without significant ongoing and sustained funding to support the implementation of the NISSAPs and related activities. This challenge is not unique to the SE Asia region for IAS – it is one being experienced in other regions that have also undertaken GEF funded IAS projects (Africa and Pacific).
119. While the cost recovery activities undertaken by Indonesia occurred late in the project, they highlighted the importance of having a solid business case for investment and regulatory change to present to decision makers, both within the government and with key stakeholder groups, particularly in the private sector. Without this, it will be very difficult for any traction towards implementation of measures.
120. Certainly, the use of biocontrol offers a cost effective tool for control and management of IAS going forward. As noted in Section 6.4.1 and 6.4.2 engagement of the countries on biocontrol mechanisms occurred late in the project and assumptions were underestimated about the barriers to adoption by each country. This greatly impacted on the buy-in and support – leading to adoption – of this mechanism within each country. During the consultations all countries indicated they will continue to pursue biocontrol within their country but it will require strong leadership from “champions” to make this happen. Progress has been made within Viet Nam recently with a biocontrol agent introduced to control a beetle along the Mekong River as a part of a 2 year agricultural project. This project is a government funded project with additional funding provided from the private sector. In other countries, steps are underway to seek permission to use biocontrol agents. These are good first steps, however countries will need to move from biocontrol projects to programs (10-20 years) to bring about long term change at a larger scale.

#### 6.6.2 Institutional, socio political and environmental

##### *Regional*

121. At the regional level, it is unlikely that efforts will be sustained as the building blocks have not been established and regional partners and engagement has been limited as discussed in Section 6.4.2 and 6.5.3. What the project demonstrated is that there is no suitable regional body in existence to take on the task of regional coordination for IAS without adequate funding and resources being made available. It should be noted that regional cooperation relating to IAS has not really been achieved anywhere, with the possible exception of the European Union through the European and Mediterranean Plant Protection Organisation (EPPO). It is imperative there is political cooperation/agreement between countries first – it is then that these other regional issues can be better addressed

122. The institutional frameworks are now in place within each country as a result of the FORIS project to allow implementation of IAS prevention, management and control measures to be implemented.

### ***Viet Nam***

123. In Viet Nam, there is already good political support for addressing IAS and sustainability is likely given the series of legal documents approved by the Government and relevant Ministries. In 2012, the Prime Minister approved the Decision 1896/QD-TTg for a Master Scheme on prevention and control of IAS in Viet Nam to 2015, orientation toward 2020. This is the Government's action and commitment to combat IAS in Viet Nam. In the Master Scheme, specific tasks have been assigned for relevant Ministries such as Ministry of Natural Resources and Environment, Ministry of Science and Technology, Ministry of Agriculture and Rural Development, Ministry of Information and Communication, and Ministry of Finance as well as provinces in the whole country. To implement the Government's direction on IAS, relevant ministries have also taken action to develop and approve legal documents on IAS management, in particular relating to identifying financial sources for investigation, prevention and control of IAS at the central and provincial levels.

124. In addition, the awareness raising and capacity building activities have also contributed to the sustainability of the project. With increasing awareness on IAS from policy makers, manager at central and provincial levels, as well as grassroots near national parks and protected areas, the IAS issue has been incorporated in agendas at national, ministerial and provincial levels. Also, involvement of local communities in prevention and control of IAS near national parks and protected areas is growing.

### ***Indonesia***

125. In Indonesia it will come down to strong political support that leads to funding allocations. The consultations confirmed that for Indonesia the legal and institutional framework and the tools are now all in place (or close to being in place) to help the relevant authorities carry on with their work to address IAS mandates. The endorsement of the Indonesian NISSAP by the Ministry of Environment and Forestry as well as a series of official high level meeting to propose IAS issue to be included into a number of existing policy and regulation indicates that the Indonesian Government has a high concern relating to IAS. The Government commitment is also clear from actions to integrate IAS into two Acts (high level policy) concerning Plant and Animal Quarantine and Biodiversity and Ecosystem Conservation. While there is no official national coordination mechanism, the current Biological Agent Commission will be utilized for the purposes of IAS prevention and inter-agency coordination will continue to be managed by the Directorate of KSDAE, where Indonesian GEF focal point and Indonesian CITES representative is based.

126. Strong networks have been built during the project across sectors, although there is still much work needed to provide a sound case for the socioeconomic impacts from IAS in Indonesia to engage the decision makers. Also important, the case will need to link IAS to key government priorities such as with climate change. Again, having champions, high up within the government will be needed to continue to push the IAS agenda. The cost recovery mechanism is still under discussion among stakeholders to identify the most efficient and effective way for it to be implemented and sustained, via the Plant and Animal Quarantine Agency and Fish Quarantine Agency.

127. In addition, the training and education program provided to staff and officials from some national parks has been useful and is now being applied on ground, using their own budgets into other national parks. Likewise, direct outputs from the FORIS project are being

used by relevant stakeholders, for example the Plant Quarantine Agency is implementing the Pre-border Risk Analysis and Early Detection and Rapid Respond system developed; and all national parks have now developed a list of IAS in their management area and are using Post Border Risk Analysis Procedures to prioritize IAS to be controlled. In addition, at least three private forest concessions are now engaged with FRDC to manage invasive plant species in their working areas and developed best practices for selected invasive plants.

### ***Philippines***

128. The Philippines, while experiencing difficulties with the project (3 NPCs) that have impacted on the outcomes achieved, the institutional framework is in place, with the NISSAP recently adopted by the DENR Secretary who has called for national implementation. This should lead to the inclusion of the NISSAP in the DENR annual budget programming in order to implement the activities contained thereof. It is expected that the NISSAP will be adopted in the form of a Department Administrative order which shall provide further guidance on how the NISSAP will be implemented at the national scale. There will still need to be further engagement with the Biodiversity Management Bureau (BMB) to coordinate the full adoption of the NISSAP by other government agencies and link all outputs through regional cooperation to ensure sustainability. The NISSAP also serves as an elaboration of the IAS section in the PBSAP. With the strength and camaraderie built up in the multi-agency TWG from FORIS, the consultations revealed that this group intends to continue as the focal points for driving IAS across the different agencies. Effectively this group will need to act as the champions to ensure the sustainability of IAS actions to date through FORIS.

129. While some awareness raising and capacity building activities were undertaken and actions initiated to build the research base for IAS in the Philippines, going forward there will need to be increased focus on this. There is still a need for further research to improve the assessment process for IAS as well as understand the socio economic and environment impacts for priority IAS. IAS management is continuing at the pilot site, with activities now built into the management plan. In addition, the National Greening Program is also now factoring in IAS management, for example through restoration projects using indigenous instead of exotic trees.

### ***Cambodia***

130. For Cambodia, sustainability will depend on whether suitable funding mechanisms can be found to secure operational implementation now that the FORIS project has finished. The consultations confirmed that even with the institutional framework in place via the NISSAP and regulatory measures and the awareness raising undertaken, the potential for long-term sustainability was judged not high as there is limited political will from the government. The project within Cambodia was small and while progress has been made to mainstream IAS activities into the relevant Ministries' works plan, particularly Ministry of Environment (MoE) through the draft Environment Code Act and it is now being incorporated in university curricula that may lead to improved information and knowledge in the future, the consultations revealed that much more awareness raising, engagement and capacity building is needed within government. Again, building the business case for investment in IAS will be needed to ensure the effective engagement of decision makers.

**The overall rating for Sustainability and Replication is Moderately Likely**

## **6.7 Factors Affecting Performance**

### **6.7.1 Project preparation and readiness**

131. The FORIS project was developed by CABI and UN Environment following the outcomes and lessons learned from similar projects in Africa and the Caribbean. Discussions did occur with the countries during this design process via workshops and meetings. It is important to note that there was a change to available GEF funding for the project following the PIF acceptance. As a result, during the PPG phase the scope and scale of the project was reduced. This meant that participating countries participation in the project also reduced to be focused more on the priorities for each country, rather than all aspects of each component. As a result the level of activity in both Cambodia and Philippines was reduced substantially to be focused on capacity building and awareness raising, although other elements were still funded to a lesser extent. It also meant that the project did not directly engage with production forests, as reflected still in the name of the project and pilot projects focused only on protection forests.
132. The Project was developed before the concept of Theory of Change was introduced for UN Environment projects. In its place a traditional logframe (standard throughout the GEF agencies and portfolio), was documented in the ProDoc. The ProDoc provided a clear and comprehensive problem and situation analysis. The stakeholders were mapped, but a full stakeholder analysis was not presented, although elements of it are found in different places of the ProDoc. The lead and contributing partners were identified for each output, but their individual roles were not spelled out clearly. This was clarified during the inception phase of the project when countries were contracted. Stakeholder participation from both the governmental, private, NGO and community sectors was a priority during the PPG phase to ensure broad national ownership of the project.
133. The log framework included in the ProDoc was well articulated, clear and concise. Indicators identified at the output level and outcome level were generally SMART and had targets (those that were not SMART were revised as part of the baseline assessment report). A baseline was provided for each indicator. Monitoring arrangements were clear with budget allocations made for key M&E elements. The workplan proposed appeared adequate and realistic, with significant time being allocated for endorsement of key deliverables. Risks were adequately identified and reasonable mitigation measures suggested in the ProDoc.

**The overall rating for Project Preparation and Readiness is Satisfactory**

### **6.7.2 Implementation approach and management**

134. Project Management is treated as a separate component (Component 7) by the Project, which was intended to highlight its importance, but the terminal evaluator considers this unnecessary as project management is a means to an end and not an outcome in itself and there should not have been outcomes or a component associated with project management in the logframe.
135. Project execution arrangements were clearly identified at the project design stage, although information on the involvement of stakeholders at national level was rather superficial and generic (more of a wish list) - activities to identify specific partners to be involved occurred during the PPG phase. The contracting of the countries and recruitment of the teams, as discussed in Section 6.4.2, took considerable time due to government processes, clarifications around budgets and co-financing and it was not until almost half way through year 2 that the project really started to move forward.

136. Roles and responsibilities of internal partners (UN Environment, CABI) were clear, but there was some initial confusion as discussed in Section 6.4.2 with respect to the split of roles and responsibilities between CABI-ARC and CABI SEA. This was subsequently rectified by CABI once identified.
137. There were a number of key factors that impacted on the implementation and management of the FORIS project, namely:
- **Capacity limitations within countries** – For all countries, technical capacity was limited or non-existent (as was the case for Cambodia) at the onset of the FORIS project. Due to limited internal and national capacity, and as is the norm in GEF projects the NCUs/ countries relied heavily upon national and international consultants – this was also hampered by limited budgets available to attract higher qualified national consultants (Source: interviews with NCUs). This was compounded by the fact that the project had been designed based on higher allocations (available and endorsed by countries) yet during review reduced by GEFSEC for Cambodia and Philippines. As a result there was only adequate budget in Indonesia and to a lesser extent Viet Nam to conduct the ideal full set of required outputs. The lack of capacity also increased the reliance on having strong NPDs and NPCs in each country. During the consultations it was revealed that it took a long time (up to 10 months) for NCUs to get up to speed, particularly in Cambodia and Viet Nam. As a result there needed to be a lot of “hand holding” in the early stages from CABI with respect to budgeting and workplans and technical aspects.
  - **Cultural sensitivities, language barriers and differences in professional principles** – each country involved in the project has a strong cultural identity that all differ dramatically between them. Likewise, each country brought their own unique language to the project. While the CABI SEA team was involved in the day to day operational and administrative matters relating to the project, all countries indicated that there were ongoing challenges with respect to CABI-ARC having limited experience working in SE Asia, as well as differences in professional principles. This created much frustration for the countries and CABI and contributed to the delays and ongoing challenges with report writing. For example, there was a lot of IAS terminology that when translated was interpreted differently to mean different things in each language leading to confusion. There were also a number of substandard reports produced by national consultants that required modification and ongoing pressing by CABI to have these rectified. Significant needs were identified to strengthen technical report writing within all countries.
  - **Project management and reporting** – As discussed in Section 6.5, there were a number of issues towards the end of the project with respect to project management and reporting.
  - **Engagement of decision makers** – As discussed in Section 6.4.2 there was limited engagement with the decision makers to drive political will for IAS management going forward.

**The overall rating for Implementation Approach and Management is Moderately Unsatisfactory**

### 6.7.3 Stakeholder participation and public awareness

138. There was good participation from stakeholders in the project at the country level in all countries, with public awareness increasing across all countries at the end of the project.

There was also good inter government engagement in the processes of establishing the institutional frameworks through policies and regulations, e.g. via the NISSAPs, as well as via training, for example in quarantine risk management, early detection etc. The consultations confirmed that front line agencies such as quarantine in Indonesia and Viet Nam have already implemented or are implementing the risk systems developed. The project provided a good mechanism to create a network of people across the different sectors with interest in IAS which will prove useful as countries now move to seeking support from decision makers for budget allocations to implement NISSAP activities.

139. Private sector engagement varied across the countries, although all engaged the sector in the development of NISSAPs and national policies and procedures. In the case of Indonesia and Viet Nam there was good engagement of the private sector. In the case of Indonesia, private timber plantation companies sought assistance with respect to addressing IAS under their voluntary FSC certification requirements. For Viet Nam, the private sector is now subsequently involved in financially supporting a biocontrol project for a beetle found along the Mekong River to protect an agricultural crop. While NGOs participated in the project via policy development and through awareness raising activities, the level of interest from NGOs was less than would have been anticipated. It was a factor, as confirmed during the consultations of the priorities of NGOs, as well as perhaps a naïve perception that IAS are not as an important issue than protecting endangered species. It was clear that NGOs did not see the direct links between maintaining healthy habitats for those protected species, through the prevention, control and management of IAS. Communities were engaged at all project sites either through awareness raising and training, or onground participation in pilot activities. Refer Section 6.4.2 for more information on all sectors.

140. As discussed in Section 6.4.2 and Section 6.5.3 participation of stakeholders at the regional level was not as good as planned and in fact the lack of engagement due to limitations in capacity and resources, as well as competing priorities by (relevant) regional participants directly impacted on the success of the outcomes for Component 2.

**The overall rating for Stakeholder Participation and Public Awareness is Moderately Satisfactory**

#### **6.7.4 Country ownership/drive**

141. There was strong ownership and drive for this project across countries, especially in Indonesia. As discussed above, although the project took a while to gain momentum, once NCUs were in place within countries, there was commitment to implement the project successfully, however the focus was at the national level and there was little support for regional efforts.

142. As discussed in Section 6.4.2 the capacity of the countries varied, particularly for the NPCs and there was a lot of support provided by CABI early on in basic project management and report writing training as well as on technical IAS matters. The consultations confirmed the commitment and pride within each country of the accomplishments made and the enthusiasm within the teams to do what is possible to continue to move the project forward to implementation stage. For Cambodia and the Philippines, with limited capacity and both NPCs no longer involved, this may prove more of a challenge. For Philippines, the TWG has indicated their commitment to act as focal points within their respective agencies and it will be up to the NPD in Cambodia to drive the project forward and more than likely external funding will be required. However in contrast Indonesia and Viet Nam are expected to

continue within existing Ministerial budget constraints to encourage the project implementation to continue.

**The overall rating for Country Ownership and Drive is Satisfactory**

**6.7.5 Financial planning and management**

143. Despite repeated requests final financial expenditure for the project has not been made available to the terminal evaluator as it is still not completed. Please also see section 6.5.1. Draft figures as at December 2016 were provided by UN Environment, however these were not split by component. It is therefore not possible to show the estimated and actual costs as well as the expenditure ratio (actual/planned) of the Project by component. Total costs have been provided as outlined in Table 10. It is important to note that the terminal evaluator identified an addition error, although small – a few cents out in the spreadsheet *Quarterly Expenditure Statement provided for Dec 2016*. UN Environment is aware of these inconsistencies and have requested they be corrected by CABI. The draft actual project costs (unaudited) up to 31 December 2016 were only 93% of the original budget and the project had US\$205k of GEF financing remaining. UN Environment has indicated that these figures may change slightly once finalised. The Evaluator understands that this reflects a number of outstanding bills to be paid by CABI and the Philippines in relation to deliverables that are yet to be completed, as well as some unspent funds for example in relation to the MTR. The unspent funds also include the funds allocated for the terminal evaluation. UN Environment has instructed CABI that these should not be paid now the project is over and outputs have not been forthcoming.

**Table 10 Summary of project expenditure**

<b>Total Cost</b>	<b>Estimated cost at design (NCE approved budget)</b>	<b>Actual cost as at Dec 2016</b>	<b>Expenditure ratio (actual/planned)</b>
Total (draft unaudited number)	3,081,049.88	2,876,042.11	93%
			\$205,007.77 unspent

***Recommendation 9 - As a matter of urgency, immediate steps should be taken by CABI and UN Environment to rectify the financial state of this project and undertake the final financial audit. For incomplete outputs, an agreement should be reached as to how to finalise these projects, either through cancellation of the contracts or via quick completion. It is important that UN Environment is provided with a clear understanding of exactly what payments were made in advance for incomplete activities and the terms of the contracts entered into with any third parties. Discussions should be held and agreement reached as to what is to be returned to the GEFSEC.***

144. It is important to note that both Cambodia and Philippines during the consultations were disappointed that project funds had been reduced for their countries yet outputs had not. During the consultations they indicated the difficulties with having to deliver against the project with smaller budgets than anticipated. During the consultations, all countries indicated that they had initially contested the regional component activities, as well as some

overhead costs on regional project management (notwithstanding the fact that each countries' GEF focal point endorsed the project) as they wanted GEF funds to focus on funding of national priorities.

*Project co-financing*

145. Again, it was not possible for the terminal evaluator to provide final co-financing figures for the project given the incomplete nature of financial management as discussed previously.

146. In terms of project co-financing the total of USD3.76m was confirmed as being available from partners when the ProDoc was signed. This included \$82.5k of in-kind contributions from UN Environment. As at June 2016, co-financing was reported for the project at \$2.72m of which US\$686k related to cash contributions and the remaining US\$2.03m being in-kind contributions. A breakdown of the project co-financing is provided in Table 11. It is important to note that even with the NCE of 9 months the co-financing is considerably less (around \$1m) than what had been expected at the PPG phase. During the life of the project all countries were challenged to meet the original co-financing proposed. In particular within Indonesia over the last few years there has been a significant shift in government governance around co-financing commitments made on projects to reduce over commitments by ministries.

147. The co-financing from all partners is likely to be slightly more at the close of the project (30 September 2016) than what has been reported as the figures provided are as at June 2016. While Viet Nam at that time had completed their project, the other countries and the regional components were still in progress.

148. It is also important to note that the level of co-financing for this project was significantly reduced from that agreed (US\$3.76m compared to US\$2.72m). It did not however, seem to impact on the delivery of outputs within Indonesia, Viet Nam or Philippines, nor at the regional level, which would indicate that perhaps the level of co-financing was over estimated during the development of the ProDoc. It did impact on the delivery of activities in Cambodia where additional co-financing would have allowed that country to implement a greater range of targeted activities. The limited GEF funding meant that only the minimum set and approach could be adopted.

**Table 11: Summary of project co-financing**

Co-financing Source	Amount (USD)	
	Planned	Actual
Project Executing Agency (PEA) & partners	<b>473,802</b>	<b>606,052</b>
<i>Cash</i>	121,681	158,931
<i>In kind</i>	352,121	447,121
National Governments	<b>3,205,624</b>	<b>2,010,522</b>
<i>Cash</i>	\$1,221,506	433,206
<i>In kind</i>	1,984,118	1,577,316



Co-financing Source	Amount (USD)	
	Planned	Actual
Project Implementing Agency – UN Environment	82,250	101,860
<i>Cash</i>		94,110
<i>In kind</i>		7,750
Totals	3,761,677	2,718,434

**The overall rating for Financial Planning and Management is Moderately Unsatisfactory**

#### 6.7.6 UN Environment supervision and backstopping

149. UN Environment supervision was largely provided through a Task Manager based in Bangkok, who had many years of experience of design and implementation of GEF IAS projects and is considered a highly technically competent TM within the UN Environment. He provided many useful suggestions and constructive criticism of the project design and implementation although his advice was not implemented on occasion. The Task Manager was required at times to push a lot more to drive outcomes that should have been necessary with an experienced Executing Agency such as CABI. The Task Manager also attempted close supervision with respect to the financial management concerns as discussed in Section 6.5 with CABI, however towards the end of the project the requests for information and updates appear to have been not forthcoming, as confirmed through the consultations. As noted in Section 6.5.1 however, steps were being taken by CABI to rectify the situation, particular with the Philippines.

150. It appears, as confirmed during the consultations that for the last Cash Advance Request received by UN Environment in July 2016, there was a final payment of USD 384,156.87 made to CABI in Sept 2016 (as confirmed by CABI). Given the financial and technical reporting issues identified, it may have been more prudent for UN Environment to withhold this last payment (or a portion of it) until key deliverables for which funding had already been sent had been completed and up to date financial reporting had been provided from the countries so that CABI could then provide a consolidated report to UN Environment.

***Lesson 6 - The Evaluation found that it is imperative that any emerging issues with respect to financial management and reporting such as inconsistencies and delays are acted upon quickly and all parties kept informed of progress against rectification actions being taken. This did not occur effectively during this project and as a result there remain unresolved financial inconsistencies from CABI and the Philippines. Therefore, for any projects with a similar situation, a rectification plan should be agreed between the implementing agency and the executing agency as well as participating country early and then closely monitored through face to face or Skype calls on a regular basis until the issues are rectified. Where responses indicate that an agreed plan is not being followed, the issues should be escalated early to senior management for rectification. These steps should be taken immediately financial issues or reporting delays arise throughout a project.***

151. Consultation with the countries and CABI did not highlight any major concerns with respect to the supervision provided by UN Environment.

152. UN Environment participated regularly in project International Steering Committee meetings, where their participation was generally highly appreciated by CABI and other

project partners. CABI was particularly grateful for UN Environment-GEF flexibility concerning budgetary adjustments in response to unavoidable delays in project implementation. UN Environment technical guidance or backstopping was reflected in annual trip reports and provided as well by the iterative process of preparing project implementation reports (PIR). Deficiencies in higher level monitoring are discussed in the following section. The weakest dimension however, was with respect to financial reporting.

**The overall rating for UN Environment supervision and backstopping is Satisfactory**

#### **6.7.7 Monitoring and evaluation (M&E), including GEF tracking tools**

##### ***M&E design***

153. Project M&E is treated as a separate component (Component 6) by the Project, which was intended to highlight its importance, but the TE considers this unnecessary as M&E is a means to an end and not an outcome in itself and there should have been no outcomes or component associated with this in the logframe. It is understood however, M&E was included as a separate component to ensure funding could adequately be allocated to allow for more effective infield M&E performance assessments, as this was considered important to prove the effectiveness of the technical pilot approaches used. The outcomes (e.g., Outcome 6b) relating to increases in public awareness etc. should have been included under Component 5.
154. The M&E was designed according to UN Environment's standard monitoring and evaluation procedure. The Project logframe included objectively verifiable and generally SMART indicators of achievements, sources and means of verification for the Project outcomes and outputs, and the timeframe for monitoring activities were specified in Project's Monitoring and Evaluation Plan. Organisational arrangements and responsibility for project level progress monitoring were clearly specified in project documents. The Project identified a specific budget for M&E under Component 6, which was used to monitor project progress in implementation against outputs set out in the logframe.
155. Most of the milestones set out as mid-term and end of project targets in the Project's logframe (Appendix 4 of the ProDoc) and list of key deliverables and benchmarks (Appendix 6 of the ProDoc) were relevant as indicators of the delivery of project outputs and were not formulated to gauge progress towards the Project's outcomes and higher-level objectives.

##### ***M&E plan implementation***

156. Monitoring of project progress has been adequate as most indicators are at output level and easily tracked, but monitoring of performance (in terms of achievement of project outcomes and project objective) was more challenging due to inadequate indicators (see above). Countries did however provide information relating to the outcomes achieved against each component in their regular reporting as well as in their Terminal Reports to CABI. The budget was sufficient to carry out the M&E plan as presented in the ProDoc. The lack of a Midterm Review (MTR) meant that independent verification of progress and identification of any issues were not possible at the mid term. CABI however, did undertake an internal MTR to identify and rectify issues.
157. Reporting requirements were largely fulfilled throughout the Project, with quarterly expenditure reports and cash advance requests, 6-monthly progress reports and Project Implementation Reviews (PIRs) submitted largely as planned (although there were some delays on some 6-monthly progress reports). There was generally good reporting on activities and outputs in project reports, particularly in the PIRs, however there was inconsistency and inaccuracies in reporting against outputs, particularly with respect to

progress made, refer Section 6.4.1 where this is discussed. The information provided by the M&E was used by CABI to improve project delivery and to adapt to changing needs. The action of compiling the annual PIRs and feedback from the UN Environment Task Manager on these was considered particularly valuable to the CABI team as they “highlighted what was useful and unsatisfactory and needed corrective actions”. As mentioned above, there were five ISC meeting held (one per year of the project), with a role of reviewing project progress and project delivery or reporting.

158. As noted in Section 6.4.1, an overall Terminal Report for the project has not been forthcoming to the terminal evaluator. It is noted that terminal reports were completed and provided to the terminal evaluator from Indonesia, Cambodia and Viet Nam. They appeared comprehensive, detailed and well presented.

159. As discussed in Section 6.4.1 a MTR was not completed for the FORIS project due to the cancellation of the consultant’s contract.

### ***GEF BD Tracking Tool***

160. The GEF Tracking Tool was updated at the midterm (during the MTR) and end of project by CABI and each country. As good practise, the Tracking Tool were also revisited each year as part of the PIR reporting. From a review of the GEF Tracking Tool for each country, except the Philippines, they appear complete and there is evidence they reflect the final outputs, as at the end of the project.

**The overall rating for Monitoring and evaluation (M&E), including GEF tracking tools is Moderately Unsatisfactory**

## **7 Conclusions and Recommendations**

### **7.1 Conclusions**

161. The TE was required to answer four key questions:

(a) To what extent has the project succeeded in protecting forest ecosystems in SE Asia from invasive alien species? What additional or new did the project bring in relation to other activities conducted in the region on the same?

(b) Was the project successful in creating awareness about the threats posed by invasive alien species, building capacity with regard to IAS management in forested habitats and in fostering regional cooperation? Were right institutions and individuals involved? What will be required to sustain these results? Were the project’s efforts to sustain these results adequate?

(c) Was the project successful in supporting the establishment of structures, processes and tools, such as institutional frameworks and invasive alien species-related policies involving multiple sectors, to ensure sustainability of invasive alien species control?

(d) What was the value added of the national pilot projects in terms of advancing alien invasive species control in SE Asia? Were the piloted approaches appropriate and successful? Was the approach in promoting wider uptake of the piloted approaches adequate and successful?

162. The following response is provided to answer these questions.

163. The FORIS project was designed to build awareness and capacity and create an enabling environment for IAS prevention, management and control to be strengthened across each of the participating countries. It also sought to establish regional mechanisms to drive regional

responses. While ambitious by design, there are many positive outcomes that have been brought about directly through this project. All countries now have the national policy and regulatory framework in place from which to build. This is no small feat and all countries should be congratulated for their efforts to develop the NISSAPs (or Master Plan for Viet Nam) and the supporting regulatory changes required. This policy development process has brought together the key intergovernmental sectors to the table to discuss the issues and work through a policy position to enable the NISSAPs to be developed in each country. This process also created a supportive learning network for the countries both within and between the countries as they worked through the challenges. In particular, while only an output for Indonesia, the work that was commenced on cost recovery mechanisms has provided great learnings for all the countries and showed clear shortcomings in trying to tackle the regulatory changes by focusing solely on the biodiversity outcomes. A clear message has been the importance of developing the business case that looks at the social impacts to the communities and the impacts on economies from IAS. It has also shown how difficult it is to progress cost recovery solutions without the engagement, buy-in and support from decision makers and beneficiaries.

164. Secondly the project has been successful in raising awareness in, (in some cases from ground zero) and building capacity to respond to IAS. IAS discussions are now embedded in local communities adjacent to the pilot sites in each country and some are looking at changing local regulations to drive improved responses. It has also allowed government discussions to consider the broader issues around risk management and response for those on the front line in Indonesia and Viet Nam where steps are now underway to implement these regulatory systems established through the FORIS project. Likewise, it also provided opportunity to learn in the field how to best manage and control IAS through the pilot studies, which were all well received, successful, appropriate and useful for the countries and in fact all countries have committed to continuing IAS management within budget constraints at the pilot sites, and in the case of Indonesia, Viet Nam and Philippines, have already taken steps to embed IAS action in protected area management plans beyond the pilot site. The project enabled the first wide scale awareness raising for IAS across the four countries, targeting the general public, key stakeholder groups, including universities and schools with positive outcomes in terms of improved knowledge and awareness at the end of the project across these groups. While all countries indicated there is much more to do, it is a good first start and again, something for the countries to be commended on for the efforts undertaken and the improvements made across the key sectors with respect to heightened awareness and understanding. The importance of broad stakeholder acceptance and understanding is so important for driving the next phase of IAS work within each country – implementation. While the project was never going to achieve implementation of the policy work undertaken within the short 4-5 year timeframe, it has created the impetus for action and through the capacity building and building of IAS related Networks across key stakeholder groups, provided funding is forthcoming and champions continue to drive performance, progress will occur to differing degrees across all countries.
165. Where success was limited and has lead to a lost opportunity has been with respect to regional aspects of the project. The overly ambitious aim of protecting forest ecosystems in SE Asia from invasive alien species in most respects was not achieved and was likely to never to be achieved within a 4 year timeframe originally proposed for the project. The most the project ever could have done was provide the enabling tools for countries in SE Asia to follow in the path of Indonesia, Viet Nam, Philippines and Cambodia to establish a strong policy and enabling environment through sharing knowledge and learnings and building regional collaboration. While it was intended that regional collaboration would be

strengthened to develop a coordinated response to IAS through the use of the cost effective method of biocontrol, problems with engaging suitable regional organisations hindered the ability of extending the project to other countries across SE Asia effectively. In addition, the delays in forming the Regional IAS Biocontrol Working Group meant that the capacity of the countries participating in the project to use biocontrol techniques was limited. There was not enough time to address concerns and perceptions from each country, even when biocontrol agents had been used to control IAS prior to the project in some countries, to allow trials of biocontrol agents to occur during the life of the project to tackle IAS. It is important to note that Viet Nam has since released a biocontrol agent to control an IAS along the Mekong River impacting on an agricultural crop as a part of a 2 year project and Indonesia is working through an approval process to undertake a project.

166. Project reporting and financial management towards project end has also been disappointing and tarnished the good work done by the countries and CABI, as it has reflected poorly during the evaluation. Six months after the project finished, there are still unreconciled financial reports and the terminal report and final monitoring and evaluation report, as well as a number of other technical reports and actions have not been completed. The challenges experienced within the Philippines as a result of three NPCs over the life of the project have hampered the finalisation of the project also in that country, particularly with respect to finalisation of contracts, deliverables and the terminal report.

167. The overall rating for the Project is moderately satisfactory with likelihood of impact, likely. A summary of the evaluation criteria, assessment and ratings is provided in Table 12.

**Table 12 Project ratings for each criterion**

<b>Criterion</b>	<b>Section Reference</b>	<b>Rating</b>
Strategic relevance	6.1	Satisfactory
Quality of Project Design	6.2	Satisfactory
Nature of the external context	6.3	Satisfactory
Effectiveness: – attainment of the objectives and planned results		
• Achievement of outputs	6.4.1	Moderately Satisfactory
• Achievement of direct outcomes	6.4.2	Satisfactory
• Likelihood of impact	6.4.3	Likely
Efficiency	6.5	Moderately Unsatisfactory
Sustainability and Replication	6.6	Moderately Unsatisfactory
Factors Affecting Performance		
• Project preparation and readiness	6.7.1	Satisfactory
• Implementation approach and management	6.7.2	Moderately Unsatisfactory

• Stakeholder participation and public awareness	6.7.3	Moderately Satisfactory
• Country ownership/drive	6.7.4	Satisfactory
• Financial planning and management	6.7.5	Moderately Unsatisfactory
• UN Environment supervision and backstopping	6.7.6	Satisfactory
• Monitoring and evaluation (M&E), including GEF tracking tools	6.7.7	Moderately Unsatisfactory
<b>Overall project rating</b>		<b>Moderately Satisfactory</b>

## 7.2 Recommendations and Lessons Learned

168. The main recommendations and lessons learned generated from the evaluation findings have been specified in the main body of the report and are summarized in Table 13 and Table 14 respectively.

**Table 13. Summary of key recommendations**

<b>Section</b>	<b>Recommendation</b>
6.4.1 Achievement of Outputs	<p>1) Cost-recovery is recognized by national agencies as a key to long-term IAS programming within countries. While output 1.3 focused only on the development of cost benefit analysis and cost recovery mechanisms within Indonesia, it demonstrated the importance of building a strong business case for investing in IAS management and control early on at a national as well as local level. Without a strong case in terms of the socio-economic and environment impacts and benefits (cost benefit analysis) and cost recovery mechanisms, it will be difficult for any country to successfully implement policies and strategies relating to IAS, to ensure adequate budget allocation by governments, and acceptance by the private sector to contribute towards the costs of management and for stakeholders to adequately engage.</p> <p>Should a new UN Environment/GEF project proposal be developed or for other IAS projects at early stages of implementation, an activity to develop the business case to support IAS management should be included to be undertaken during the early stages of the project. This will strengthen the case for Treasury budget allocations and provide greater opportunity for cost recovery mechanisms with the private sector. The business case being developed by Indonesia and any lessons learned during the process for the FORIS project should be circulated to the other participating countries once available.</p>
6.4.1 Achievement of	<p>2) APFISN was originally considered a useful regional partner who would provide an easy mechanism for sharing of information and tools relating to IAS across the SEA region. With the ongoing challenges with</p>

Outputs engaging APFISN due to their limited capacity and resources to deliver against the project, it is apparent that due diligence undertaken on them early on was not comprehensive to understand these limitations. While an alternate partner was identified (ACB), the delays made it difficult to catch up and then a lack of engagement from ACB, also as a result of limited capacity and resources further contributed to reduced quality of outputs for Component 2.

As a part of the development of any new UN Environment/GEF projects that include a regional component, comprehensive due diligence should be undertaken on all key stakeholders identified to play important roles in the delivery of components to ensure they have the capacity and resources to engage in a project at the commencement of the design phase and this should then be reviewed at the commencement of the project.

6.4.1 Achievement of Outputs 3) As a matter of good governance for all GEF funded projects, external audits are required to be carried out annually. In the instance of the FORIS project, this has not occurred in the Philippines for the 2015 and 2016 years, and the overall project in a timely manner.

All external audits should be completed for the FORIS project as a matter of urgency as soon as possible, in accordance with UN Environment imposed timelines.

6.4.1 Achievement of Outputs 4) It is clear from a review of quarterly, half yearly and annual reports submitted by CABI and those prepared by UN Environment, as confirmed during the consultation phase of the TE that there are inaccuracies in the reporting on the completion of a number of outputs for the project. In some instances, an output was reported as 100% complete to UN Environment when in fact there were still a number of deliverables outstanding, particularly relating to Components 2, 6 and 7.

For all new UN Environment/ GEF projects being developed or for those in the early stages of implementation, it is important that controls are established to ensure accuracy in reporting, through internal quality control and review processes by the implementing and executing agencies.

6.4.1 Achievement of Outputs 5) Project expenditure has been incurred in a number of instances yet deliverables have not been forthcoming for the FORIS project. These include a number of activities at the national level as well as regionally, including, the IAS app., and the regional IAS Guide. The Evaluator was informed in July 2017 that these have since been completed.

There are a number of key reports outstanding for the FORIS project, required for project completion. These include the Terminal Report, the final project financial reports, final co-financing reports and the final monitoring and evaluation report. Drafts were provided for the evaluation in July 2017, but no final versions are available and have not been officially submitted to UN Environment.

It is imperative the effective financial reporting and management as well as project management, including progress reporting is in place for

all GEF funded projects. Steps should be taken by Project Management Units for projects underway or those being developed to ensure reports are provided as required and in a timely manner. Consideration should be given by UN Environment to require tighter enforcement of withholding payments to project participants until all milestones and deliverables are achieved as per workplans and terms of reference. Consideration should be given by CABI to review their finance and administration processes and allocation of roles and responsibilities to ensure streamlining where projects are jointly managed across CABI branches as occurred for FORIS.

6.4.2 Achievement of direct outcomes 6) Understanding the capacity and barriers within countries up front with respect to key aspects of the project, in this case for the use of biocontrol as an effective IAS management tool is paramount. Spending time identifying the barriers earlier would have allowed a more tailored approach to addressing the perception and capacity challenges within countries, for example through providing more field trips and face to face time with the international expert to demonstrate the biocontrol agents in action etc and how risks are managed.

For all GEF projects currently being developed or recently commenced, where regional collaboration is required, a scoping study should be undertaken as a part of the initial stage of project set up to ensure barriers, capacity limitations and gaps and other aspects can be factored into workplan development and the timing of activities.

6.4.2 Achievement of direct outcomes 7) Understanding research priorities to inform decision making with respect to IAS prevention and management is an important aspect in establishing a strong enabling environment and intuitional framework for policy, as well as to enhance on ground implementation outcomes.

It is recommended that all FORIS countries consider developing National IAS Research Plans, subject to budget availability that identify the priority areas for research to address key gaps in knowledge to inform policy and decision-making going forward as they seek to implement their NISSAPs. These could be included within the NISSAP or as an annex. For any new GEF project relating to IAS being developed or recently commenced, this should be a key output required as a precursor to creating an enabling environment and informing decision-making.

6.5.1 Financial and administrative efficiency and effectiveness and timeliness 8) The difficulties presented by all NCUs in understanding workplans, contracting quality consultants and in reporting indicates a lack of experience in project management, report writing and in contracting out technical activities. It is also reflective of the differences in practice between international projects and local procedures (which are simpler and less rigorous). For all UN Environment/ GEF projects currently under development or recently commenced, consideration should be given to undertaking a capacity assessment to identify gaps in knowledge and skills for all national consultants, NPCs and project managers engaged in any GEF project, where feasible. Budgets for



national consultants should allow for the hiring of highly skilled consultants to enhance outcomes and streamlining of the project and TOR for NPCs and national consultants clear and focused on roles and responsibilities. During the inception phase of any regional GEF project, project management, contract management and report writing skills training should be considered with the appropriate budget included, in line with GEFSEC rules for project management costs on GEF projects.

6.7.5 Financial planning and management 9) As a matter of urgency, immediate steps should be taken by CABI and UN Environment to rectify the financial state of this project and undertake the final financial audit. For incomplete outputs, an agreement should be reached as to how to finalise these projects, either through cancellation of the contracts or via quick completion. It is important that UN Environment is provided with a clear understanding of exactly what payments were made in advance for incomplete activities and the terms of the contracts entered into with any third parties. Discussions should be held and agreement reached as to what is to be returned to the GEFSEC.

**Table 14. Summary of lessons learned**

<b>Section</b>	<b>Lessons Learned</b>
6.4.2 Achievement of Direct Outcomes	1) The Evaluation found that one of the most significant impediments to driving IAS outcomes is that it is sold as a biodiversity issue, through it being embedded within the CBD. As a result of this, those working in the IAS space in the project countries have not sufficiently demonstrated the impact of IAS in terms of cross cutting socio economics aspects to decision makers. Therefore, any focus within a country or at a regional level to drive improved IAS outcomes requires a strong business case that provides a solid baseline, backed up by science to show the impacts from IAS environmentally, socially and economically and the benefits from acting to prevent, control and manage IAS. The business case (including a cost benefit analysis) needs to be developed in parallel with policy outcomes and communicated effectively to decision makers to show the significant cost to the economy from the impact of IAS. Decision makers need to be engaged early in the process to ensure buy in and support. This process should occur during the very early stages following commencement of a project where there is national implementation.
6.4.2 Achievement of Direct Outcomes	2) The Evaluation found that achieving significant outcomes for improved prevention, control and management of IAS at a national level requires an influential champion. That champion needs to be passionate about the issues, well respected, well connected and senior enough to drive activities and provide a compelling case that aligns the priorities of government to bring the intergovernmental stakeholders, including decision makers to the table. Those countries that had champions to this effect achieved greater success than those that did not. Therefore, facilitating effective collaboration among agencies in the Government is key to successfully implement outcomes. Agency

## **Section                      Lessons Learned**

collaboration is best attained with a common goal and agenda set forth at the national level early during a project. This process of identifying a champion should occur during the very early stages following commencement of a project where there is national implementation.

6.4.2                      3) The evaluation found that the purpose and requirements for the use of biocontrol measures were not fully understood at the national level. Because of this, it took longer for the project to gain the required buy-in and support from decision makers for biocontrol. Therefore it is important that at the onset of a project, fears and perceptions that may influence the uptake of project approaches are thoroughly identified and how to overcome these barriers – ie what would be required to obtain buy-in and support from decision makers is understood and planned as activities. This process should occur during the very early stages following commencement of a project where there is national implementation.

Achievement of Direct Outcomes

6.4.2                      4) The Evaluation found that for capacity building to be effective with respect to IAS, it needs to involve in-field components. When the project applied this approach (at pilot sites and in Baluran National Park, Indonesia) there was much better buy-in and understanding from technical and decision makers. Therefore, while lectures and training in a classroom provides the introductory technical knowledge, seeing how things work in the field will help to cement understanding and build capacity through hands on learning. This is just as important for field staff as it is for decision makers – to provide tangible hands on exposure to the issues and management strategies available. This approach should be built into projects with national implementation at the design stage.

Achievement of Direct Outcomes

6.4.2                      5) The Evaluation found that the importance of awareness raising and communication cannot be underestimated. During the project the participating countries indicated that having a sound communication strategy that identifies and segregates each target audience and provides a baseline of their understanding is key and they would have revised their strategies if time had allowed. Therefore, it is important for any project to ensure the most appropriate medium is used for delivering key messages and that those key messages resonate with the target groups and address cultural aspects that are in conflict with IAS priorities is paramount. For example in some cultures native trees are seen as of little value and should be removed to allow for exotics to be planted that will generate income. Likewise, in some places Governments/development projects/NGOs use exotic species to restore habitats which can create IAS problems. These perceptions need to be tackled head on through conducting and communicating a cost benefit analysis approach. This approach should be built into projects with national implementation at the design stage as a step towards building support from decision makers.

Achievement of Direct Outcomes

**Section****Lessons Learned**

6.7.6 UN  
Environment  
supervision  
and  
backstopping

6) The Evaluation found that it is imperative that any emerging issues with respect to financial management and reporting such as inconsistencies and delays are acted upon quickly and all parties kept informed of progress against rectification actions being taken. This did not occur effectively during this project and as a result there remain unresolved financial inconsistencies from CABI and the Philippines. Therefore, for any projects with a similar situation, a rectification plan should be agreed between the implementing agency and the executing agency as well as participating country early and then closely monitored through face to face or Skype calls on a regular basis until the issues are rectified. Where responses indicate that an agreed plan is not being followed, the issues should be escalated early to senior management for rectification. These steps should be taken immediately financial issues or reporting delays arise throughout a project.

## PROJECT BACKGROUND AND OVERVIEW

### 1. Project General Information<sup>23</sup>

Table 1. Project summary

<b>Geographical Scope:</b>	SE Asia		
<b>Participating Countries:</b>	Cambodia, Indonesia, Philippines, Vietnam		
<b>UNEP PIMS ID:</b>		<b>IMIS number:</b>	GFL-2328-2740-4C32
<b>Sub-programme:</b>		<b>Expected Accomplishment(s):</b>	
<b>UNEP approval date:</b>	11 January 2012	<b>PoW Output(s):</b>	
<b>GEF project ID:</b>	3957	<b>Project Type:</b>	FSP
<b>GEF OP #:</b>	0515	<b>Focal Area(s):</b>	Biodiversity
<b>GEF approval date:</b>	28 September 2011	<b>GEF Strategic Priority/Objective:</b>	SO4, BD-SP 7: Prevention, control and management of invasive alien species
<b>Expected Start Date:</b>		<b>Actual start date:</b>	1 February 2012
<b>Planned completion date:</b>	30 November 2015	<b>Actual completion date:</b>	30 September 2016
<b>Planned project budget at approval:</b>		<b>Total expenditures reported as of [31 May 2016]:</b>	\$2,320,307
<b>GEF Allocation:</b>	\$3,081,045	<b>GEF grant expenditures entered in IMIS as of [30 June 2016]:</b>	1,767,254.40
<b>PPG GEF cost:</b>	\$237,500	<b>PPG co-financing:</b>	\$275,000
<b>Expected co-financing:</b>	\$3,761,676	<b>Secured co-financing:</b>	\$2,683,434
<b>First Disbursement:</b>	1 February 2012	<b>Date of financial closure:</b>	
<b>No. of revisions:</b>	1	<b>Date of last revision:</b>	NCE – 27 May 2016
<b>Date of last Steering Committee meeting:</b>	11-12 December 2015		
<b>Mid-term review/evaluation (planned date):</b>	August-December 2014	<b>Mid-term review/evaluation (actual date):</b>	August 2014-March 2015
<b>Terminal Evaluation (actual date):</b>			

<sup>23</sup> Sources : Project Document, PIF, PIR 2015,

## 2. Project rationale

1. Invasive Alien Species (IAS) pose a considerable threat to global biodiversity; according to the UNEP project document, they pose the largest threat to biodiversity after habitat destruction and in some ecosystems, particularly islands, IAS are the most important cause of biodiversity loss. The 7<sup>th</sup> Conference of the Parties (CoP) to the Convention on Biological Diversity (CBD) issued the Kuala Lumpur Declaration which expressed alarm that biodiversity is being lost at an unprecedented rate and a CBD CoP-7 decision (VII/20) invited the GEF and other funding institutions and development agencies to provide support to developing countries to assist with improved prevention, rapid response and management measures to address the threats of IAS. The CBD CoP-10 further called for increased attention, programming and funding for the identification, control and eradication of IAS.

2. In Southeast Asia, forest habitats, species and their production capacity are threatened by IAS that are being introduced both intentionally and accidentally at an increasing rate through trade, travel/tourism and transport. The spread of invasive species and replacement of native biodiversity further adversely affects the livelihoods of millions of people who depend on forests for food, commodities and energy security. The ASEAN region is said to host 20 percent of all known species despite occupying only three percent of the earth's surface. The region has three mega-diverse countries, Indonesia, Malaysia and Philippines, and high levels of endemism. However, according to the references cited in the project document, from the 64,800 species found in SE Asia, 1,312 are endangered due to reasons such as deforestation, hunting and wildlife trade, climate change, pollution, population growth and invasive species. The economic growth of the region is largely dependent on natural resources, particularly forestry, which places ecosystems under pressure. According to the project document, at the time of project development there was lack of sufficient and reliable information on IAS in SE Asia.

3. Cambodia, Indonesia, Philippines and Vietnam expressed interest in linking national strategies, such as the NBSAPs in implementing Article 8 of the CBD to mitigate the threats of IAS in SE Asia. These countries are members of the ASEAN Centre for Biodiversity and the Asia-Pacific Forest Invasive Species Network (APFISN), which is an alliance of the 33 member countries of the FAO's statutory body, Asia-Pacific Forestry Commission (APFC). The countries are also parties to the CBD, CITES, UNCLOS, Cartagena Convention, Ramsar Convention and the IPPC. All four countries have also completed their NBSAPs but at the time of project preparation, the extent to which IAS were addressed varied.

4. The four-year, full-sized GEF funded project "Removing barriers to invasive species management in production and protection forests in Southeast Asia" was designed by CABI, in collaborating with partners, and implemented in Cambodia, Indonesia, Philippines and Vietnam to address the challenges posed by IAS. As a baseline scenario, the project outlined that all four project countries had weak legislative, policy and institutional framework with no functional NISSAPs or effective national IAS coordination mechanisms. Moreover, there were no systems in place to generate significant resources for IAS management, no clear procedures to analyse the risks associated with the importation of plants and lack of systematic procedures for the early detection and management of IAS. The project's rationale was based on an assessment that forest biodiversity in SE Asia will increasingly be affected by IAS, with a corresponding increase in economic, human health and social impacts, unless countries are made aware of the danger if IAS and the need for joint action.

5. The project objective was "*to manage SE Asian forests and biodiversity sustainably by reducing negative environmental, economic and human health consequences of invasive alien species*". The project was set to achieve this through a multi-sector approach and through fostering regional information exchange and capacity building between countries, specifically targeting the prevention and biocontrol of shared priority invasive species which are of particular concern due to their negative impacts on production systems and forest biodiversity. The project was designed to establish national policy and institutional frameworks, including NISSAPs, develop risk analysis and early detection and rapid response mechanisms, and cost-recovery systems to finance IAS activities in some of the countries. Furthermore, the project was to implement activities to increase regional cooperation and create awareness about the threats posed by IAS. Capacity building will be at the core of the project which was also envisaged to contribute to the sustainability of the project.

6. The project was implemented in the four countries; Cambodia, Indonesia, Philippines and Vietnam in the following five pilot sites:

- Cambodia: Stung Sen Core area (was Prek Toal Bird Sanctuary in the original design) in the Tonle Sap Biosphere Reserve;

- Indonesia: Baluran National Park and Bukit Barisan Selatan National Park;
- Philippines: Allah Valley Watershed Forest Reserve;
- Vietnam: Cuc Phuong National Park.

7. The pilot sites were selected based on their importance in terms of forest biodiversity, the presence of well-established and well-known invasive plants as well as the sites being amenable to control activities. All pilot sites are high conservation value forests and contain several critically endangered species. Therefore, managing IAS in and around these forests will help protect habitats of globally threatened species.

### 3. Project objectives and components

8. The overall project goal, as defined in the project document, was to conserve globally important forests, species and genetic diversity within SE Asia. The project objective was *“to manage SE Asian forests and biodiversity sustainably by reducing negative environmental, economic and human health consequences of invasive alien species”*.

9. The project comprised of five technical and two project management components. Due to the differences in capacity between the project countries, as well as differences in available project resources, the project set country-specific budgets, targets and workplan activities.

Table 2. Project components, outcomes and main outputs (Source: project document).

Outcomes	Outputs
Component 1. Establishing national policy and institutional frameworks (GEF funding \$ 420,000)	
1a: Enabling policy and institutional environment for cross-sectoral prevention, and management of IAS strengthened;	1.1 National multi-stakeholder coordination mechanisms for cross-sectoral invasive species management;
1b: Cost-recovery recognized by national agencies as key to long-term IAS programming;	1.2 National Invasive Species Strategy and Action Plan agreed;
1c: Strengthened national regulatory and legal frameworks.	1.3 Identification of cost-recovery mechanism and action plan (only Indonesia); 1.4 Invasive alien species risk analysis procedures for quarantine authorities; 1.5 Early detection and rapid response system established (only Indonesia and Vietnam).
Component 2. Regional cooperation in Southeast Asia (GEF funding \$ 152,000)	
2a: Enhanced transboundary coordination and programming on invasive alien species control for priority forest invasive alien species and pathways;	2.1 Regional invasive alien species Biocontrol Working Group established including development of Action Plan for biocontrol of shared invasive alien species; 2.2 Strengthened/developed regional invasive alien species tools for improved management of invasive alien species including databases/website (APFISN) and regional invasive alien species identification guide; 2.3 Strengthened regional invasive alien species learning network and information exchange mechanisms, including short-term project staff exchange between countries.
Component 3. National capacity building and institutional support (GEF funding \$ 565,000)	
3a: Enhanced collaboration and capacity built through training and other means for multisectoral prevention and management of invasive alien	3.1 National invasive alien species training programmes developed and implemented for different stakeholders (e.g. policy makers, scientists, quarantine officers, extensionists etc.)

species.	(limited in Cambodia and Philippines); 3.2 Provision of equipment and material support to quarantine departments, border crossing etc. (only Indonesia); 3.3 Support to expanding national capacity in research and related fields.
Component 4. National pilots on the prevention, control and management of priority forest invasive alien species (GEF funding \$ 624,000)	
4a: Improved national field management experience with implementing IAS prevention, control and management.	4.1 Pilot sites established in each country through effective local partnerships, ecosystem management plans developed and implemented and environmental impact assessments undertaken, if required; 4.2 Pilot invasive alien species management implementation – maps of distribution of target species produced for each pilot site, testing of at least three control/management strategies at each site, habitat rehabilitation showing increase in biodiversity from baseline, followed by dissemination of results.
Component 5. National information and awareness programme (GEF funding \$ 882,350)	
5a: Enhanced capture and use of information and willingness of stakeholder groups to be involved in invasive alien species management and resource mobilization	5.1 Development of a national invasive alien species database based on surveys to document presence and impacts of selected forest invasive alien species; 5.2 Regional standardized communication strategy with national activities and regional targets; 5.3 Undertake comprehensive national and regional awareness/communication campaigns, including development and dissemination of awareness material.

10. According to the project document, the project will achieve its objective by establishing national policy and institutional frameworks including NISSAPs, developing risk analysis and early detection and rapid response mechanisms and cost-recovery systems to finance IAS activities. The project was also planned to undertake activities to increase regional cooperation and create awareness about the threats posed by IAS. Activities at the pilot sites were to enhance capacity and knowledge of all stakeholders to manage selected IAS more effectively. More specifically, the pilot activities were focused at testing various techniques and tools for management and control of IAS and restoring the forest ecosystems.

#### 4. Executing Arrangements

11. The GEF funded project was implemented by the United Nations Environment Programme (UNEP) which was responsible for overall project supervision, to ensure project's consistency with GEF and UNEP policies and procedures and to provide guidance on linkages with related UNEP and GEF-funded activities. The UNEP GEF Coordination Office was to monitor the implementation of the project and to be responsible for clearance and transmission of financial and progress reports to GEF.

12. The lead Executing Agency was CAB International (CABI), an international, intergovernmental, non-profit organization established by a UN treaty level agreement between its member countries<sup>24</sup>. The responsibilities of the CABI included implementation of the project in accordance with the objectives and activities outlined in the project document and to be responsible to UNEP on project implementation, reporting and performance. CABI was to establish a project Management Unit (PMU) and to contract a senior IAS advisor to provide technical backstopping to the countries. The project, through a sub-contract with CABI, was to work in close collaboration with the Kerala Forest Research Institute which has the mandate to manage and coordinate all Asia Pacific Forest Invasive Species Network (FAO - APFISN) activities.

13. An International Project Steering Committee (IPSC) was to be established to provide political and strategic guidance for the project and to enable the exchange of best practices and lessons from related IAS projects. The IPSC was to meet at least once a year and to be responsible for overseeing and approving annual work plans and budgets and making strategic decisions in regards the project implementation. The ISCP was to consist of representatives from each of the National Executing Agencies (NEA), the National Project Directors (NPD), the CABI Project Coordinator, the UNEP/GEF representative, and representatives of key international organisations involved in the project with expertise in IAS and other key institutions with a strategic or practical interest in the project.

14. CABI was to contract four NEAs to be responsible for the implementation of the country programmes. On a day to day basis, the country programme implementation was to be managed and reported by a National Coordination Unit (NCU), headed by a national IAS expert acting as the National Project Coordinator (NPC). The NCUs were to manage the country pilots with CABI providing backstopping through the PMU. The NEAs for the four project countries were; Cambodia – General Department of Administration for Nature Conservation and Protection (GDANCP), Ministry of Environment; Indonesia – Conservation and Rehabilitation Research and Development Centre (CRRDC), Forest Research and Development Agency (FORDA), Ministry of Forestry (MoF); The Philippines – Foreign-Assisted and Special Projects Office (FASPO), Department of Environment and Natural Resources (DENR); and Vietnam – Biodiversity Conservation Agency (BCA), Vietnam Environment Administration, Ministry of National Resources and Environment. Furthermore, the NEAs were to establish National Steering Committees.

15. The project identified international, regional and national level stakeholders from international and regional organisations and institutions, government ministries and their respective departments, national research institutions, universities and other tertiary learning institutions, NGOs active in respect to social or environmental aspects of forest management, international NGOs contributing financially or are actively involved in biodiversity conservation at pilot sites, communities living in and around pilot sites, and private companies that are involved in forest utilisation and management.

## 5. Project Cost and Financing

16. The full-sized GEF funded project was implemented from December 2011 to September 2016 with a total funding of US\$ 6,842,721, from which US\$ 3,081,045 was from the GEF Trust Fund and US\$ 3,761,676 was co-financing. Co-financing included cash and in-kind commitments from national partners as well as regional and global partners. From the GEF allocation, US\$ 2,643,850 was allocated to the implementation of the project components and US\$ 437,195 was allocated to cover costs related to project management, monitoring and evaluation.

Table 3. Project planned cost (Source: Project document).

Cost of the project	US\$	%
Cost to the GEF Trust Fund	3,081,045	45%
Co-financing		
<i>Cash</i>		
Cambodia Government	200,000	2.9%
Indonesia Government	508,471	7.4%
The Philippines Government	274,034	4%
Vietnam Government	269,000	3.9%

<sup>24</sup> CABI's mission is defined as 'to improve people's lives worldwide by providing information and applying scientific expertise to solve problems in agriculture and environment'. It was founded in 1910 and specializes in scientific publishing, research and communication, with invasive species being one of CABI's global themes.



Department of Agriculture, Fisheries and Forestry (Australia)	30,000	0.4%
SAMEO BIOTROP (Indonesia)	40,681	0.6%
UNEP ROAP	37,250	0.5%
World Conservation Society (Indonesia)	31,000	0.5%
WWF – Asian Rhino and Elephant Action Strategy	20,000	0.3%
<b>Sub-total</b>	<b>1,410,436</b>	<b>20.61%</b>
<i>In-kind</i>		
Cambodia Government	200,000	2.9%
Indonesia Government	659,268	9.6%
The Philippines Government	424,851	6.2%
Vietnam Government	670,000	9.8%
ASEAN Centre for Biodiversity	25,000	0.4%
Department of Agriculture, Fisheries and Forestry (Australia)	40,000	0.6%
Kerala Forest Research Institute	40,000	0.6%
Biosecurity Queensland (Australia)	40,000	0.6%
CAB International	150,000	2.2%
Commonwealth Scientific and Industrial Research Organization (Australia)	40,000	0.6%
SAMEO BIOTROP (Indonesia)	12,121	0.2%
UNEP ROAP	45,000	0.7%
World Conservation Monitoring Centre	20,000	0.3%
WWF – Asian Rhino and Elephant Action Strategy	10,000	0.1%
<b>Sub-total</b>	<b>2,351,241</b>	<b>34.36%</b>
<b>Co-financing Total</b>	<b>3,761,676</b>	<b>55%</b>
<b>TOTAL</b>	<b>6,842,721</b>	<b>100%</b>

## 6. Implementation Issues

17. The main risks to the project implementation were defined in the project document as being (i) Governments' commitment to regional collaboration is low, focusing their efforts on national concerns only, outside of the project; (ii) Lack of interest and support from key national stakeholder groups and organizations; (iii) Lack of cross-sectoral communication and coordination between national agencies; (iv) Co-finance inadequate due to non-delivery on previous commitments; (v) Poor implementation of regulations in invasive alien species; (vi) Conflicts of interest where certain forest invasive alien species provide benefits to particular individuals or groups (e.g. for firewood); (vii) Public not receptive to environmental information and display no interest in invasive alien species control; (viii) Inability to demonstrate impact of project interventions due to complex natural interactions and a long time span until impacts are noticed; (ix) Changes in key project personnel and partner agencies during the lifetime of the project; (x) Potential of climate change to impact project objectives by altering forest ecosystems, growth of IAS, and related ecosystem services such as water supply or biodiversity; (xi) There may be negative consequences as a result of management activities (herbicides) which may influence support for the project; and (xii) Biodiversity is threatened by other pressures on the habitat and ecosystems.

18. The Project Implementation Review (PIR) for 2016 rated the project's overall implementation progress as satisfactory, whilst its meeting of project objective and outcomes as moderately satisfactory.

## II. TERMS OF REFERENCE FOR THE EVALUATION

### 1. Objective and Scope of the Evaluation

19. In line with the UNEP Evaluation Policy<sup>25</sup> and the UNEP Programme Manual<sup>26</sup>, the Terminal Evaluation is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP and main project partners. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation.

20. It will focus on the following sets of **key questions**, based on the project's intended outcomes, which may be expanded by the consultants as deemed appropriate:

- (a) To what extent has the project succeeded in protecting forest ecosystems in SA Asia from invasive alien species? What additional or new did the project bring in relation to other activities conducted in the region on the same?
- (b) Was the project successful in creating awareness about the threats posed by invasive alien species, building capacity with regard to IAS management in forested habitats and in fostering regional cooperation? Were right institutions and individuals involved? What will be required to sustain these results? Were the project's efforts to sustain these results adequate?
- (c) Was the project successful in supporting the establishment of structures, processes and tools, such as institutional frameworks and invasive alien species-related policies involving multiple sectors, to ensure sustainability of invasive alien species control?
- (d) What was the value added of the national pilot projects in terms of advancing alien invasive species control in SE Asia? Were the piloted approaches appropriate and successful? Was the approach in promoting wider uptake of the piloted approaches adequate and successful?

### 2. Overall Approach and Methods

21. The Terminal Evaluation of the Project will be conducted by an independent consultant under the overall responsibility and management of the UNEP Evaluation Office in consultation with the UNEP Task Manager and the Sub-programme Coordinator of the Ecosystem Management Sub-programme.

22. It will be an in-depth evaluation using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used to determine project achievements against the expected outputs, outcomes and impacts. The consultant maintains close communication with the project team and promotes information exchange throughout the evaluation implementation phase in order to increase their (and other stakeholder) ownership of the evaluation findings.

23. The findings of the evaluation will be based on the following:

- (a) A **desk review** of:
  - Relevant background documentation, inter alia UNEP's Medium-Term Strategies for 2010-2013 and 2014-2017, with the respective Programmes of Work; and as deemed necessary the UNDAF of Cambodia 2011-2015, UNDAF of Indonesia 2011-2015, UNDAF for Vietnam 2006-2010 and 2012-2016, UNDAF for Philippines 2012-2018;
  - Project design documents (including PPG documents, STAP review documents, UNEP Project Review Committee report, minutes of the project design review meeting at approval); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplement), the logical framework and its budget;

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<sup>25</sup> <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

<sup>26</sup> [http://www.unep.org/QAS/Documents/UNEP\\_Programme\\_Manual\\_May\\_2013.pdf](http://www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf)

- Project reports such as six-monthly progress and financial reports, project implementation reviews, progress reports from collaborating partners, meeting minutes, relevant correspondence etc.;
- Documentation on project outputs;
- Evaluations/reviews of similar projects

(b) **Interviews (individual or in group) with:**

- UNEP Task Manager;
- UNEP Fund Management Officer;
- Project Coordinator at CABI (Project Manager);
- Project Senior IAS Advisor;
- Other members of the Project Management Unit (PMU);
- Other members of the International Project Steering Committee (IPSC);
- National Project Directors (NDPs);
- National Project Coordinators (NPCs);
- Other members of the National Coordination Units (NCUs);
- Relevant staff at the National Executing Agencies (NEAs) (Cambodia – General Department of Administration for Nature Conservation and Protection (GDANCP), Ministry of Environment; Indonesia – Conservation and Rehabilitation Research and Development Centre (CRRDC), Forest Research and Development Agency (FORDA), Ministry of Forestry (MoF); The Philippines – Foreign-Assisted and Special Projects Office (FASPO), Department of Environment and Natural Resources (DENR); and Vietnam – Biodiversity Conservation Agency (BCA), Vietnam Environment Administration, Ministry of National Resources and Environment);
- Other members of the National Steering Committees;
- Other relevant staff at CABI, particularly associated with the Global Invasive Species Programme;
- Relevant staff at the Kerala Forest Research Institute hosting the Asian-Pacific Forest Invasive Species Network;
- Relevant staff at the ASEAN Centre for Biodiversity; Biosecurity Queensland, Department of Employment, Economic Development and Innovation; Commonwealth Scientific and Industrial Research Organization, Australia; IUCN; FAO; SEAMEO-BIOTROP;
- Relevant staff at UNEP Regional Office for Asia and the Pacific and in other UNEP offices;
- Representatives of national stakeholder institutions, including related government institutions, NGOs, private sector and indigenous peoples groups, and local communities;
- Other relevant resource persons.

(c) **Surveys:** The evaluation will use surveys, such as on-line questionnaires, as required to seek information from stakeholders.

(d) **Field visits:** The consultant will participate in the last project ISC meeting to be held in late September 2016 in Indonesia. In addition, the consultant will visit selected project countries (from Cambodia, Indonesia, Philippines and Vietnam). The country selection will be conducted during the evaluation inception phase, in collaboration with the EOU and the Task Manager. The country selection criteria will be clearly outlined in the Inception Report.

(e) **Other data collection tools:** Other data collection tools will be used when appropriate. These will be specified in the Inception Report.

### 3. Key Evaluation principles

24. Evaluation findings and judgements should be based on **sound evidence and analysis**, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) to the extent possible, and when verification is not possible, the single source will be mentioned. Analysis leading to evaluative judgements should always be clearly spelled out.

25. The evaluation will assess the project with respect to **a minimum set of evaluation criteria** grouped in six categories: (1) Strategic Relevance; (2) Attainment of objectives and planned result, which comprises the assessment of outputs achieved, effectiveness and likelihood of impact; (3) Sustainability and replication; (4) Efficiency; and (5) Factors and processes affecting project performance, including preparation and readiness, implementation and management, stakeholder participation and public

awareness, country ownership and driven-ness, financial planning and management, UNEP supervision and backstopping, and project monitoring and evaluation. The evaluation consultants can propose other evaluation criteria as deemed appropriate.

26. **Ratings.** All evaluation criteria will be rated on a six-point scale. Annex 3 provides guidance on how the different criteria should be rated and how ratings should be aggregated for the different evaluation criterion categories.

27. **Baselines and counterfactuals.** In attempting to attribute any outcomes and impacts to the project intervention, the evaluators should consider the difference between *what has happened with, and what would have happened without, the project*. This implies that there should be consideration of the baseline conditions, trends and counterfactuals in relation to the intended project outcomes and impacts. It also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions, trends or counterfactuals is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.

28. **The “Why?” Question.** As this is a terminal evaluation, particular attention should be given to learning from the experience. Therefore, the “Why?” question should be at the front of the consultant’s minds all through the evaluation exercise. This means that the consultant needs to go beyond the assessment of “what” the project performance was, and make a serious effort to provide a deeper understanding of “why” the performance was as it was, i.e. of processes affecting attainment of project results (criteria under category F – see below). This should provide the basis for the lessons that can be drawn from the project. In fact, the usefulness of the evaluation will be determined to a large extent by the capacity of the consultant to explain “why things happened” as they happened and are likely to evolve in this or that direction, which goes well beyond the mere review of “where things stand” at the time of evaluation.

29. A key aim of the evaluation is to encourage reflection and learning by UNEP staff and key project stakeholders. The consultant should consider how reflection and learning can be promoted, both through the evaluation process and in the communication of evaluation findings and key lessons.

30. **Communicating evaluation results.** Once the consultant(s) has obtained evaluation findings, lessons and results, the Evaluation Office will share the findings and lessons with the key stakeholders. Evaluation results should be communicated to the key stakeholders in a brief and concise manner that encapsulates the evaluation exercise in its entirety. There may, however, be several intended audiences, each with different interests and preferences regarding the report. The Evaluation Manager will plan with the consultant(s) which audiences to target and the easiest and clearest way to communicate the key evaluation findings and lessons to them. This may include some or all of the following; a webinar, conference calls with relevant stakeholders, the preparation of an evaluation brief or interactive presentation.

#### **4. Evaluation criteria**

##### **A. Strategic relevance**

31. The evaluation will assess, in retrospect, whether the project’s objectives and implementation strategies were consistent with global, regional and national environmental issues and needs.

32. The evaluation will assess whether the project was in-line with the GEF Biodiversity focal area’s strategic priorities and operational programme(s).

33. The evaluation will also assess the project’s relevance in relation to UNEP’s mandate and the project’s alignment with UNEP’s policies and strategies at the time of project approval. UNEP’s Medium Term Strategy (MTS) is a document that guides UNEP’s programme planning over a four-year period. It identifies UNEP’s thematic priorities, known as Subprogrammes (SP), and sets out the desired outcomes [known as Expected Accomplishments (EAs)] of the Sub-programmes. The evaluation will assess whether the project makes a tangible/plausible contribution to any of the EAs specified in the MTS 2010-2013 and 2014-2017. The magnitude and extent of any contributions and the causal linkages should be fully described.

The evaluation should assess the project’s alignment / compliance with UNEP’s policies and strategies. The evaluation should provide a brief narrative of the following:

1. *Alignment with the Bali Strategic Plan (BSP)*<sup>27</sup>. The outcomes and achievements of the project should be briefly discussed in relation to the objectives of the UNEP BSP.
  2. *Gender balance*. Ascertain to what extent project design, implementation and monitoring have taken into consideration: (i) possible gender inequalities in access to and the control over natural resources; (ii) specific vulnerabilities of women and children to environmental degradation or disasters; and (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation. Are the project intended results contributing to the realization of international GE (Gender Equality) norms and agreements as reflected in the UNEP Gender Policy and Strategy, as well as to regional, national and local strategies to advance HR & GE?
  3. *Human rights based approach (HRBA) and inclusion of indigenous peoples' issues, needs and concerns* – where applicable. Ascertain to what extent the project has applied the UN Common Understanding on HRBA. Ascertain if the project is in line with the UN Declaration on the Rights of Indigenous People, and pursued the concept of free, prior and informed consent.
  4. *South-South Cooperation*. This is regarded as the exchange of resources, technology, and knowledge between developing countries. Briefly describe any aspects of the project that could be considered as examples of South-South Cooperation.
  5. *Safeguards*. Whether the project has adequately considered environmental, social and economic risks and established whether they were vigilantly monitored<sup>28</sup>?
34. Based on an analysis of project stakeholders, the evaluation should assess the relevance of the project intervention to key stakeholder groups.

### ***B. Achievement of Outputs***

35. The evaluation will assess, for each component, the projects' success in producing the programmed outputs (products and services delivered by the project itself) and milestones as per the Project Documents and any modifications/revisions later on during project implementation, both in quantity and quality, as well as their usefulness and timeliness.
36. Briefly explain the reasons behind the success (or shortcomings) of the project in producing its different outputs and meeting expected quality standards, cross-referencing as needed to more detailed explanations provided under Section F (which covers the processes affecting attainment of project results). Were key stakeholders appropriately involved in producing the programmed outputs?

### ***C. Effectiveness: Attainment of Objectives and Planned Results***

37. The evaluation will assess the extent to which the project's objectives were effectively achieved or are expected to be achieved.
38. The **Theory of Change** (ToC) of a project depicts the causal pathways from project outputs (goods and services delivered by the project) through outcomes (changes resulting from the use made by key stakeholders of project outputs) towards impact (long term changes in environmental benefits and living conditions). The ToC will also depict any intermediate changes required between project outcomes and impact, called 'intermediate states'. The ToC further defines the external factors that influence change along the major pathways; i.e. factors that affect whether one result can lead to the next. These external factors are either drivers (when the project has a certain level of control) or assumptions (when the project has no control). The ToC also clearly identifies the main stakeholders involved in the change processes.
39. The evaluation will reconstruct the ToC of the project based on a review of project documentation and stakeholder interviews. The evaluator will be expected to discuss the reconstructed ToC with the stakeholders during evaluation missions and/or interviews in order to ascertain the causal pathways identified and the validity of impact drivers and assumptions described in the ToC. This exercise will also enable the consultant to address some of the key evaluation questions and make adjustments to the ToC as appropriate (the ToC of the intervention may have been modified / adapted from the original design during project implementation).
40. The assessment of effectiveness will be structured in three sub-sections:

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<sup>27</sup> <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

<sup>28</sup> The UNEP ESES guidelines came into effect only at the end of the project

- (a) Evaluation of the **achievement of outcomes as defined in the reconstructed ToC**. These are the first-level outcomes expected to be achieved as an immediate result of project outputs. The main question will be to what extent the project has contributed to the immediate outcomes.
- (b) Assessment of the **likelihood of impact** using a Review of Outcomes to Impacts (ROtI) approach<sup>29</sup>. The evaluation will assess to what extent the project has to date contributed, and is likely in the future to further contribute, to the intermediate states, and the likelihood that those changes in turn to lead to positive changes in the natural resource base, benefits derived from the environment and human well-being. The evaluation will also consider the likelihood that the intervention may lead to unintended negative effects (project documentation relating to Environmental, Social and Economic Safeguards).
- (c) Evaluation of the **achievement of the formal project overall objective, overall purpose, goals and component outcomes** using the project's own results statements as presented in the Project Document<sup>30</sup>. This sub-section will refer back where applicable to the preceding sub-sections (a) and (b) to avoid repetition in the report. To measure achievement, the evaluation will use as much as appropriate the indicators for achievement proposed in the Logical Framework (Logframe) of the project, adding other relevant indicators as appropriate. Briefly explain what factors affected the project's success in achieving its objectives, cross-referencing as needed to more detailed explanations provided under Section F. Most commonly, the overall objective is a higher level result to which the project is intended to contribute. The section will describe the actual or likely **contribution** of the project to the objective.
- (d) The evaluation should, where possible, disaggregate outcomes and impacts for the key project stakeholders. It should also assess the extent to which HR and GE were integrated in the Theory of Change and results framework of the intervention and to what degree participating institutions/organizations changed their policies or practices thereby leading to the fulfilment of HR and GE principles (e.g. new services, greater responsiveness, resource re-allocation, etc.)

#### **D. Sustainability and replication**

41. Sustainability is understood as the probability of continued long-term project-derived results and impacts after the external project funding and assistance ends. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of benefits. Some of these factors might be direct results of the project while others will include contextual circumstances or developments that are not under control of the project but that may condition the sustainability of benefits. The evaluation will ascertain that the project has put in place an appropriate exit strategy and measures to mitigate risks to sustainability. The evaluation should ascertain if, or to what extent follow-up work has been initiated and how project results will be sustained and enhanced over time. The reconstructed ToC will assist in the evaluation of sustainability, as the drivers and assumptions required to achieve higher-level results are often similar to the factors affecting sustainability of these changes.

42. Four aspects of sustainability will be addressed:

- (a) *Socio-political sustainability*. Are there any social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Is the level of ownership by the main stakeholders sufficient to allow for the project results to be sustained? Are there sufficient government and other key stakeholder awareness, interests, commitment and incentives to sustain the project results? Did the project conduct 'succession planning' and implement this during the life of the project? Was capacity building conducted for key stakeholders? Did the intervention activities aim to promote (and did they promote) positive sustainable changes in attitudes, behaviours and power relations between the different stakeholders? To what extent has the integration of HR and GE led to an increase in the likelihood of sustainability of project results?
- (b) *Financial resources*. To what extent are the continuation of project results and the eventual impact of the project dependent on financial resources? What is the likelihood that adequate

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<sup>29</sup> Guidance material on Theory of Change and the ROtI approach is available from the Evaluation Office.

<sup>30</sup> Or any subsequent **formally approved** revision of the project document or logical framework.

financial resources<sup>31</sup> will be or will become available to use capacities built by the project? Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?

- (c) *Institutional framework.* To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance? How robust are the institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustaining project results and to lead those to impact on human behaviour and environmental resources, goods or services?
- (d) *Environmental sustainability.* Are there any environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits? Are there any foreseeable negative environmental impacts that may occur as the project results are being up-scaled?

43. **Catalytic role and replication.** The *catalytic role* of UNEP interventions is embodied in their approach of supporting the creation of an enabling environment and of investing in pilot activities which are innovative and showing how new approaches can work. UNEP also aims to support activities that upscale new approaches to a national, regional or global level, with a view to achieve sustainable global environmental benefits. The evaluation will assess the catalytic role played by this project, namely to what extent the project has:

- (a) *catalyzed behavioural changes* in terms of use and application, by the relevant stakeholders, of capacities developed;
- (b) provided *incentives* (social, economic, market based, competencies etc.) to contribute to catalyzing changes in stakeholder behaviour;
- (c) contributed to *institutional changes*, for instance institutional uptake of project-demonstrated technologies, practices or management approaches;
- (d) contributed to *policy changes* (on paper and in implementation of policy);
- (e) contributed to sustained follow-on financing (*catalytic financing*) from Governments, private sector, donors etc.;
- (f) created opportunities for particular individuals or institutions ("*champions*") to catalyze change (without which the project would not have achieved all of its results).

44. *Replication* is defined as lessons and experiences coming out of the project that are replicated (experiences are repeated and lessons applied in different geographic areas) or scaled up (experiences are repeated and lessons applied in the same geographic area but on a much larger scale and funded by other sources). The evaluation will assess the approach adopted by the project to promote replication effects and determine to what extent actual replication has already occurred, or is likely to occur in the near future. What are the factors that may influence replication and scaling up of project experiences and lessons?

### ***E. Efficiency***

45. The evaluation will assess the cost-effectiveness and timeliness of project execution. It will describe any cost- or time-saving measures put in place in attempting to bring the project as far as possible in achieving its results within its (severely constrained) secured budget and (extended) time. It will also analyse how delays, if any, have affected project execution, costs and effectiveness. Wherever possible, costs and time over results ratios of the project will be compared with that of other similar interventions. The evaluation will also assess the extent to which HR and GE were allocated specific and adequate budget in relation to the results achieved.

46. The evaluation will give special attention to efforts by the project teams to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency.

### ***F. Factors and processes affecting project performance***

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<sup>31</sup> Those resources can be from multiple sources, such as the national budget, public and private sectors, development assistance etc.

47. **Preparation and readiness.** This criterion focusses on the quality of project design and preparation. Were project stakeholders<sup>32</sup> adequately identified and were they sufficiently involved in project development and ground truthing e.g. of proposed timeframe and budget? Were the project's objectives and components clear, practicable and feasible within its timeframe? Are potentially negative environmental, economic and social impacts of projects identified? Were the capacities of executing agencies properly considered when the project was designed? Was the project document clear and realistic to enable effective and efficient implementation? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? Were counterpart resources (funding, staff, and facilities) and enabling legislation assured? Were adequate project management arrangements in place? Were lessons from other relevant projects properly incorporated in the project design? What factors influenced the quality-at-entry of the project design, choice of partners, allocation of financial resources etc.? Were any design weaknesses mentioned in the Project Review Committee minutes at the time of project approval adequately addressed?

48. **Project implementation and management.** This includes an analysis of implementation approaches used by the project, its management framework, the project's adaptation to changing conditions and responses to changing risks including safeguard issues (adaptive management), the performance of the implementation arrangements and partnerships, relevance of changes in project design, and overall performance of project management. The evaluation will:

- (a) Ascertain to what extent the project implementation mechanisms outlined in the project document have been followed and were effective in delivering project milestones, outputs and outcomes. Were pertinent adaptations made to the approaches originally proposed?
- (b) Evaluate the effectiveness and efficiency of project management and how well the management was able to adapt to changes during the life of the project.
- (c) Assess the role and performance of the teams and working groups established and the project execution arrangements at all levels.
- (d) Assess the extent to which project management responded to direction and guidance provided by the UNEP Task Manager and project steering bodies.
- (e) Identify operational and political / institutional problems and constraints that influenced the effective implementation of the project, and how the project tried to overcome these problems.

49. **Stakeholder participation, cooperation and partnerships.** The Evaluation will assess the effectiveness of mechanisms for information sharing and cooperation with other UNEP projects and programmes, external stakeholders and partners. The term stakeholder should be considered in the broadest sense, encompassing both project partners and target users of project products. The ToC and stakeholder analysis should assist the evaluators in identifying the key stakeholders and their respective roles, capabilities and motivations in each step of the causal pathways from activities to achievement of outputs, outcomes and intermediate states towards impact. The assessment will look at three related and often overlapping processes: (1) information dissemination to and between stakeholders, (2) consultation with and between stakeholders, and (3) active engagement of stakeholders in project decision making and activities. The evaluation will specifically assess:

- (a) The approach(es) and mechanisms used to identify and engage stakeholders (within and outside UNEP) in project design and at critical stages of project implementation. What were the strengths and weaknesses of these approaches with respect to the project's objectives and the stakeholders' motivations and capacities?
- (b) How was the overall collaboration between different functional units of UNEP involved in the project? What coordination mechanisms were in place? Were the incentives for internal collaboration in UNEP adequate?
- (c) Was the level of involvement of the Regional, Liaison and Out-posted Offices in project design, planning, decision-making and implementation of activities appropriate?
- (d) Has the project made full use of opportunities for collaboration with other projects and programmes including opportunities not mentioned in the Project Document? Have complementarities been sought, synergies been optimized and duplications avoided?
- (e) What was the achieved degree and effectiveness of collaboration and interactions between the various project partners and stakeholders during design and implementation of the

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<sup>32</sup> Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or 'stake' in the outcome of the project. The term also applies to those potentially adversely affected by the project.



project? This should be disaggregated for the main stakeholder groups identified in the inception report.

- (f) To what extent has the project been able to take up opportunities for joint activities, pooling of resources and mutual learning with other organizations and networks? In particular, how useful are partnership mechanisms and initiatives to build stronger coherence and collaboration between participating organisations?
- (g) How did the relationship between the project and the collaborating partners (institutions and individual experts) develop? Which benefits stemmed from their involvement for project performance, for UNEP and for the stakeholders and partners themselves? Do the results of the project (strategic programmes and plans, monitoring and management systems, sub-regional agreements etc.) promote participation of stakeholders, including users, in environmental decision making?

50. **Communication and public awareness.** The evaluation will assess the effectiveness of any public awareness activities that were undertaken during the course of implementation of the project to communicate the project's objective, progress, outcomes and lessons. This should be disaggregated for the main stakeholder groups identified in the inception report. Did the project identify and make use of existing communication channels and networks used by key stakeholders? Did the project provide feedback channels?

51. **Country ownership and driven-ness.** The evaluation will assess the degree and effectiveness of involvement of government / public sector agencies in the project, in particular those involved in project execution and those participating in project Steering Committee;

- (a) To what extent have Governments assumed responsibility for the project and provided adequate support to project execution, including the degree of cooperation received from the various public institutions involved in the project?
- (b) How and how well did the project stimulate country ownership of project outputs and outcomes?

52. **Financial planning and management.** Evaluation of financial planning requires assessment of the quality and effectiveness of financial planning and control of financial resources throughout the project's lifetime. The assessment will look at actual project costs by activities compared to budget (variances), financial management (including disbursement issues), and co-financing. The evaluation will:

- (a) Verify the application of proper standards (clarity, transparency, audit etc.) and timeliness of financial planning, management and reporting to ensure that sufficient and timely financial resources were available to the project and its partners;
- (b) Assess other administrative processes such as recruitment of staff, procurement of goods and services (including consultants), preparation and negotiation of cooperation agreements etc. to the extent that these might have influenced project performance;
- (c) Present the extent to which co-financing has materialized as expected at project approval (see Table 1). Report country co-financing to the project overall, and to support project activities at the national level in particular. The evaluation will provide a breakdown of final actual costs and co-financing for the different project components (see tables in Annex 4).
- (d) Describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective. Leveraged resources are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities or the private sector.

53. Analyse the effects on project performance of any irregularities in procurement, use of financial resources and human resource management, and the measures taken UNEP to prevent such irregularities in the future. Determine whether the measures taken were adequate.

54. **Supervision, guidance and technical backstopping.** The purpose of supervision is to verify the quality and timeliness of project execution in terms of finances, administration and achievement of outputs and outcomes, in order to identify and recommend ways to deal with problems which arise during project execution. Such problems may be related to project management but may also involve technical/institutional substantive issues in which UNEP has a major contribution to make.

55. The evaluators should assess the effectiveness of supervision, guidance and technical support provided by the different supervising/supporting bodies including:

- (a) The adequacy of project supervision plans, inputs and processes;
- (b) The realism and candour of project reporting and the emphasis given to outcome monitoring (results-based project management);
- (c) How well did the different guidance and backstopping bodies play their role and how well did the guidance and backstopping mechanisms work? What were the strengths in guidance and backstopping and what were the limiting factors?

56. **Monitoring and evaluation.** The evaluation will include an assessment of the quality, application and effectiveness of project monitoring and evaluation plans and tools, including an assessment of risk management based on the assumptions and risks identified in the project document. The evaluation will assess how information generated by the M&E system during project implementation was used to adapt and improve project execution, achievement of outcomes and ensuring sustainability. M&E is assessed on three levels:

- (a) *M&E Design.* The evaluators should use the following questions to help assess the M&E design aspects:
  - Arrangements for monitoring: Did the project have a sound M&E plan to monitor results and track progress towards achieving project objectives? Have the responsibilities for M&E activities been clearly defined? Were the data sources and data collection instruments appropriate? Was the time frame for various M&E activities specified? Was the frequency of various monitoring activities specified and adequate?
  - How well was the project logical framework (original and possible updates) designed as a planning and monitoring instrument?
  - SMART-ness of indicators: Are there specific indicators in the logframe for each of the project objectives? Are the indicators measurable, attainable (realistic) and relevant to the objectives? Are the indicators time-bound?
  - Adequacy of baseline information: To what extent has baseline information on performance indicators been collected and presented in a clear manner? Was the methodology for the baseline data collection explicit and reliable? For instance, was there adequate baseline information on pre-existing accessible information on global and regional environmental status and trends, and on the costs and benefits of different policy options for the different target audiences? Was there sufficient information about the assessment capacity of collaborating institutions and experts etc. to determine their training and technical support needs?
  - To what extent did the project engage key stakeholders in the design and implementation of monitoring? Which stakeholders (from groups identified in the inception report) were involved? If any stakeholders were excluded, what was the reason for this? Was sufficient information collected on specific indicators to measure progress on HR and GE (including sex-disaggregated data)?
  - Did the project appropriately plan to monitor risks associated with Environmental Economic and Social Safeguards?
  - Arrangements for evaluation: Have specific targets been specified for project outputs? Has the desired level of achievement been specified for all indicators of objectives and outcomes? Were there adequate provisions in the legal instruments binding project partners to fully collaborate in evaluations?
  - Budgeting and funding for M&E activities: Determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.
- (b) *M&E Plan Implementation.* The evaluation will verify that:
  - The M&E system was operational and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period;
  - PIR reports were prepared (the realism of the Task Manager's assessments will be reviewed)
  - Half-yearly Progress and Financial Reports were complete and accurate;
  - Risk monitoring (including safeguard issues) was regularly documented;
  - The information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs.

## 5. The Consultants' Team

57. For this evaluation, one independent consultant will be selected. Details about the specific responsibilities are presented in Annex 1 of these ToRs. The evaluation consultant should have ten years of technical / evaluation experience, including of evaluation large, regional or global programmes, using a Theory of Change approach and a broad understanding of the threats, costs, control and management of invasive alien species, including preferably through sustainable forest management.

## 6. Evaluation Deliverables and Review Procedures

58. The evaluation consultant will prepare an **inception report** (see Annex 2(a) of ToRs for Inception Report outline) containing a thorough review of the project context, project design quality, a draft reconstructed Theory of Change of the project, the evaluation framework and a tentative evaluation schedule.

59. It is expected that a large portion of the desk review will be conducted during the inception phase. It will be important to acquire a good understanding of the project context, design and process at this stage. The review of design quality will cover the following aspects (see Annex 7 for the detailed project design assessment matrix):

- Strategic relevance of the project;
- Preparation and readiness;
- Financial planning;
- M&E design;
- Sustainability considerations and measures planned to promote replication and up-scaling.

60. The inception report will present a draft, desk-based reconstructed Theory of Change of the project. It is vital to reconstruct the ToC *before* most of the data collection (review of progress reports, in-depth interviews, surveys etc.) is done, because the ToC will define which direct outcomes, drivers and assumptions of the project need to be assessed and measured – based on which indicators – to allow adequate data collection for the evaluation of project effectiveness, likelihood of impact and sustainability.

61. The inception report will also include a stakeholder analysis identifying key stakeholders, networks and channels of communication. This information should be gathered from the project document and discussion with the project team (See annex 2 for template).

62. The evaluation framework will present in further detail the overall evaluation approach. It will specify for each evaluation question under the various criteria what the respective indicators and data sources will be. The evaluation framework should summarize the information available from project documentation against each of the main evaluation parameters. Any gaps in information should be identified and methods for additional data collection, verification and analysis should be specified.

63. Effective communication strategies help stakeholders understand the results and use the information for organisational learning and improvement. While the evaluation is expected to result in a comprehensive document, content is not always best shared in a long and detailed report; this is best presented in a synthesised form using any of a variety of creative and innovative methods. The evaluator is encouraged to make use of multimedia formats in the gathering of information eg. video, photos, sound recordings. Together with the full report, the evaluator will be expected to produce a 2-page summary of key findings and lessons (See Annex 10).

64. The inception report will also present a tentative schedule for the overall evaluation process, including a draft programme for the country visit and tentative list of people/institutions to be interviewed.

65. The inception report will be submitted for review and approval by the Evaluation Office before the any further data collection and analysis is undertaken.

66. **The main evaluation report** should be brief (no longer than 40 pages – excluding the executive summary and annexes), to the point and written in plain English. The report will follow the annotated Table of Contents outlined in Annex 2. It must explain the purpose of the evaluation, exactly what was evaluated and the methods used (with their limitations). The report will present evidence-based and balanced findings, consequent conclusions, lessons and recommendations, which will be cross-referenced

to each other. The report should be presented in a way that makes the information accessible and comprehensible. Any dissident views in response to evaluation findings will be appended in footnote or annex as appropriate. To avoid repetitions in the report, the author will use numbered paragraphs and make cross-references where possible.

67. **Review of the draft evaluation report.** The evaluator will submit a zero draft report to the UNEP Evaluation Office (EOU) and revise the draft following the comments and suggestions made by the EOU. Once a draft of adequate quality has been accepted, EOU will share this first draft report with the Task Manager, who will alert EOU in case the report would contain any blatant factual errors. After revision, the Evaluation Office will then forward the first draft report to the other project stakeholders for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. It is also very important that stakeholders provide feedback on the proposed recommendations and lessons. Comments would be expected within two weeks after the draft report has been shared. Any comments or responses to the draft report will be sent to the UNEP EOU for collation. The EOU will provide the comments to the evaluator for consideration in preparing the final draft report, along with his/her own views.

68. The evaluator will submit the final draft report no later than two weeks after reception of stakeholder comments. The evaluator will prepare a **response to comments**, listing those comments not or only partially accepted by his/her that could therefore not or only partially be accommodated in the final report. (S)he will explain why those comments have not or only partially been accepted, providing evidence as required. This response to comments will be shared by the EOU with the interested stakeholders to ensure full transparency.

69. **Submission of the final evaluation report.** The final report shall be submitted by e-mail to the evaluation manager who will share the report with the Director of the Evaluation Office. The Evaluation Office will finalize the report and share it with the interested Divisions, Sub-programme Coordinators in UNEP and other key project stakeholders. The final evaluation report will be published on the UNEP Evaluation Office web-site [www.unep.org/eou](http://www.unep.org/eou).

70. As per usual practice, the UNEP EOU will prepare a **quality assessment** of the zero draft and final draft report, which is a tool for providing structured feedback to the evaluation consultants. The quality of the report will be assessed and rated against the criteria specified in Annex 3.

71. The UNEP Evaluation Office will assess the ratings in the final evaluation report based on a careful review of the evidence collated by the evaluation consultant and the internal consistency of the report. Where there are differences of opinion between the evaluator and UNEP Evaluation Office on project ratings, both viewpoints will be clearly presented in the final report. The UNEP Evaluation Office ratings will be considered the final ratings for the project.

72. At the end of the evaluation process, the Evaluation Office will prepare a Recommendations Implementation Plan in the format of a table to be completed and updated at regular intervals by the Task Manager. After reception of the Recommendations Implementation Plan, the Task Manager is expected to complete it and return it to the EOU within one month. (S)he is expected to update the plan every six months until the end of the tracking period. As this is a Terminal Evaluation, the tracking period for implementation of recommendations will be 18 months, unless it is agreed to make this period shorter or longer as required for realistic implementation of all evaluation recommendations. Tracking points will be every six months after completion of the implementation plan.

## 7. Logistical arrangements

73. This Terminal Evaluation will be undertaken by one independent evaluation consultant contracted by the UNEP Evaluation Office. The consultant will work under the overall responsibility of the UNEP Evaluation Office and will consult with the EOU on any procedural and methodological matters related to the evaluation. It is, however, the consultant's individual responsibility to arrange for their travel, visa, obtain documentary evidence, plan meetings with stakeholders, organize online surveys, and any other logistical matters related to the assignment. The UNEP Task Manager and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultant to conduct the evaluation as efficiently and independently as possible.

## 8. Schedule of the evaluation

74. Table 7 below presents the tentative schedule for the evaluation.

**Table 7. Tentative schedule for the evaluation**

<b>Milestone</b>	<b>Deadline</b>
Consultant contracted	Early August 2016
Inception Report	Late August 2016
Evaluation Mission - (IPSC meeting in Indonesia and the country visits	Mid-September 2016
Zero draft report	Late October 2016
Draft Report shared with UNEP Task Manager	Early November 2016
Draft Report shared with project team	Mid-November 2016
Draft Report shared with stakeholders	Late November 2016
Final Report	Mid-December 2016

## ANNEX II RESPONSE TO STAKEHOLDER COMMENTS

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All stakeholder comments have been discussed and an agreement has been reached between the evaluator and key stakeholders.

## ANNEX III EVALUATION PROGRAM

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### **Individuals Consulted**

#### ***International/Regional***

- Dr Sivapragasam Annamalai – International Project Coordinator (FORIS Project), CABI Southeast and East Asia
- Ms Chan Hong Twu (Agnes) - Administrator (FORIS Project), CABI Southeast and East Asia
- Dr Arne Witt - Project Technical Advisor (FORIS Project) and Regional Coordinator – IAS, CABI Africa
- Mr Max Zieren - UN Environment Focal Point and Task Manager
- Mr Michael Day, ISC member/ Bio-control advisor and DAFF, QLD Government, Australia
- Ms Tiina Piironen, Evaluation Officer, Evaluation Office, UN Environment

#### ***Indonesia – 6 February 2017***

- Dr Soekisman Tjitrosoedirdjo, SEAMEO-BIOTROP
- Titiek Setyawati, NPC FORIS Indonesia, Centre of Forest Research and Development, Ministry of Environment and Forestry
- Harisetijono, Head of Data development and research, Centre of Forest Research and Development, Ministry of Environment and Forestry
- Esrom, Head of Cooperation and dissemination, Centre of Forest Research and Development, Ministry of Environment and Forestry
- Yayuk Siswianti, Head of Program and Evaluation, Centre of Forest Research and Development, Ministry of Environment and Forestry
- Retno Maryani, Researcher (Consultant), Centre of Socioeconomic Research and Climate Change, Ministry of Environment and Forestry
- R. Garsetiasih, Researcher, FORIS Indonesia, Centre of Forest Research and Development, Ministry of Environment and Forestry
- Ragil SB Irianto, Researcher, FORIS Indonesia, Centre of Forest Research and Development, Ministry of Environment and Forestry
- Atok Subiakto, Researcher, FORIS Indonesia, Centre of Forest Research and Development, Ministry of Environment and Forestry
- Ujang S Irawan, Director of OWT/Public awareness and communication strategy (Consultant), Centre of Forest Research and Development, Ministry of Environment and Forestry
- Islana Ervandrari, NSC Member, NISSAP Development, Agricultural Quarantine Agency (National Steering Committee), Agricultural Quarantine Agency, Ministry of Agriculture.
- Wawing Walidi, Fish Quarantine Agency, NSC Member, NISSAP development, Fish Quarantine Agency, Ministry of Marine Affairs and Fisheries
- Niken S., Social Impact of IAS, Ministry of Environment and Forestry

- A number of officers and staff from Baluran NP, including Joko Waluyo, Dicky, Fibrida Sekarini, Nanang Dwi Wahono, Suwono, Lamijan, Agus Yusuf, Amukti Fajar Tenia

### ***Philippines – 10 February 2017***

- Leonardo M Florece, TWG Member, SESAM-UPLB
- Elaine Anne C. Parlade, PEO II, FASPS-DENR
- Danito N. Tandang, MRII, NM
- Edwin R Tadosa, MRII, NM-Manila
- Hose C Mondez, PASP, DENR
- A.P.Pegri, FASPS- DENR
- A. Belnardo, DMB
- Charis Antalan, ASEC-FASPO
- Marte L. Managat, ERDB, ADM-AIDIII
- E. M. Elenia, PEO II, FASPS
- Anson M. Tagtag, Supervising Ecosystems Management Specialist, Biodiversity Management Bureau, DENR
- Carmelita Villamore, EMDB
- Tony C. Marila, AD, BMB-DENR
- Nermahi M Lita, BMB-DENR
- Cecile G Francison, BMB-DENR
- Josefina L De Leon, Chief EMS, BMB- DENR
- Rosae Moplatih

### ***Viet Nam – 13 February 2017***

- Duong Minh Tu, Director of Plant Quarantine Diagnostic Centre, PPD, Ministry of Agriculture and Rural Development
- Tran Dinh Pha, Head of Science and International Cooperation, IAE, Ministry of Agriculture and Rural Development
- Ta Thi Kieu Anh, NPC FORIS Viet Nam, Deputy Head of Species Conservation Division
- Biodiversity Conservation Agency, Viet Nam Environment Administration, Ministry of Natural Resources and Environment
- MA. Nguyen Thi Van Anh, Biodiversity Conservation Agency, Viet Nam Environment Administration, Ministry of Natural Resources and Environment
- Hoang Thi Thanh Nhan, NPD Viet Nam, Biodiversity Conservation Agency, Viet Nam Environment Administration, Ministry of Natural Resources and Environment
- A number of officers and staff from Cuc Phuong, NP



### ***Cambodia – 16 February 2017***

- Seng Rathea, NPC FORIS, Cambodia
- Meng Monyrak, NPD, FORIS Cambodia, Director, Department of Biodiversity, Ministry of Environment
- Sumali Chan, Deputy DG, Ministry of Environment

### **Documents reviewed**

- UN Environment *Removing Barriers to Invasive Species Management in Production and Protection Forests in SE Asia* Project Document and appendices
- Request for CEO endorsement/Approval for the FORIS project – 17/8/2011
- GEF CEO endorsement letter 28/9/2011
- GEF Secretariat Review for Full/Medium Sized Projects for the FORIS project – 27/9/2011
- UN Environment response to PIF & PPG Review Sheet (received 2 May 2009)
- UN Environment response to GEF Secretariat review - 12/7/2011
- STAP Scientific and Technical screening of the Project Identification Form (PIF) for FORIS – 29/1/2010
- UN Environment GEF Checklist for Environmental and Social issues for FORIS project - 8/6/2011
- Project Cooperation Agreement between UN Environment and CABI Signed 1/11/2011
- Regional Mid-term Review for FORIS – 17/8/2014
- Country Mid-term reports for Indonesia, Philippines, Cambodia and Viet Nam
- UN Environment GEF PIRs for the project for 2013, 2014, 2016 and HYR/MTRs for 2012,2013, 2014
- Overall FORIS Project Report Presentation – 2016, presented by Dr Siva
- Overall FORIS Project Presentations from Indonesia, Philippines, Viet Nam and Cambodia – 2016.
- Project expenditure reports and revision documents
- Various checklists of Report Submissions
- Progress reports and final reports for each country, including Terminal Reports from Indonesia, Viet Nam and Cambodia
- NCE Proposal Document and budget
- Minutes of ISC meetings
- Various technical outputs (guidelines, toolkits, manuals, etc) from the FORIS project
- Various communication and knowledge management outputs from the FORIS project (regional and national)
- Various emails between UN Environment and CABI
- UNEP Programme Manual. May 2013.
- United Nations Environment Programme Medium-term Strategy 2010–2013- *Environment for Development*. UN Environment/GCSS.X/8, 2010.

- Governing Council of the United Nations Environment Programme – Bali Strategic Plan for Technology Support and Capacity Building 2004. UN Environment/GC.23/6Add.1. <http://www.UNEnvironment.org/GC/GC23/documents/GC23-6-add-1.pdf>
- Terms of Reference: Terminal Evaluation of the UN Environment project – FORIS project
- Focal Areas and Strategic Programming for GEF 4. GEF Policy Paper, October 2007.

ANNEX IV SUMMARY OF PROJECT CO-FINANCING AND COST

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**1) Project co-financing as at July 2016**

Sources of Co-financing [1]	Name of Co-financer	Type of Co-financing [2]	Amount Confirmed at CEO endorsement / approval	Actual Amount Materialized on June 2016		Actual Amount Materialized at Closing
				Cash	In-kind	
Project Executing Agency (PEA) & partners	ASEAN Centre for Biodiversity (ACB)	In Kind	25,000		5,000.	Information not provided
Project Executing Agency (PEA) & partners	Department of Agriculture, Fisheries and Forestry (DAFF) (Australia)	In Kind	15,000			Information not provided
Project Executing Agency (PEA) & partners	Kerala Forest Research Institute	In Kind	40,000.			Information not provided
Project Executing Agency (PEA) & partners	Biosecurity Queensland (DEEDI) (Australia)	In Kind	40,000.		40,000.	Information not provided
Project Executing Agency (PEA) & partners	Commonwealth Scientific and Industrial Research Organization (CSIRO) (Australia)	In Kind	40,000.			Information not provided
Project Executing Agency (PEA) & partners	SAMEO BIOTROP (Indonesia)	In Kind	12,121		5,000	Information not provided

Sources of Co-financing [1]	Name of Co-financer	Type of Co-financing [2]	Amount Confirmed at CEO endorsement / approval	Actual Amount Materialized on June 2016		Actual Amount Materialized at Closing
				Cash	In-kind	
Project Executing Agency (PEA) & partners	World Conservation Monitoring Centre (WCMC)	In Kind	20,000			Information not provided
Project Executing Agency (PEA) & partners	WWF – Asian Rhino and Elephant Action Strategy (AREAS)	In Kind	10,000			Information not provided
Project Executing Agency (PEA) & partners	CABI & Partners	Cash- Consultants	-	158,931		Information not provided
Project Executing Agency (PEA) & partners	Department of Agriculture, Fisheries and Forestry (DAFF) (Australia)	Cash	30,000			Information not provided
Project Executing Agency (PEA) & partners	SAMEO BIOTROP (Indonesia)	Cash	40,681			Information not provided
Project Executing Agency (PEA) & partners	World Conservation Society (WCS) (Indonesia)	Cash	31,000			Information not provided
Project Executing Agency (PEA) & partners	WWF – Asian Rhino and Elephant Action Strategy	Cash	20,000			Information not provided

Sources of Co-financing [1]	Name of Co-financer	Type of Co-financing [2]	Amount Confirmed at CEO endorsement / approval	Actual Amount Materialized on June 2016		Actual Amount Materialized at Closing
				Cash	In-kind	
(AREAS)						
Project Executing Agency (PEA) & partners	CABI & Partners	In-kind – Staff time Consultants , Premises, Supplies and Equipment	150,000		397,121	Information not provided
National Government	CAMBODIA	Cash	136,500			Information not provided
National Government	CAMBODIA	In-kind	147,000		175,100	Information not provided
National Government	INDONESIA	Cash	462,471	20,015		Information not provided
National Government	INDONESIA	In-kind	603,768		439,848	Information not provided
National Government	PHILIPPINES	Cash	174,035	116,464		Information not provided
National Government	PHILIPPINES	In-Kind	424,850		169,053	Information not provided
National Government	VIET NAM	Cash	200,000	185,145		Information not provided
National Government	VIET NAM	In-kind	655,500		655,500	Information not provided
National Government	INDONESIA	Training-In-kind	17,500		17,500	Information not provided
National Government	INDONESIA	Training-cash	12,500			Information not provided
National Government	PHILIPPINES	Training-cash	36,500	1,434		Information not provided

Sources of Co-financing [1]	Name of Co-financer	Type of Co-financing [2]	Amount Confirmed at CEO endorsement / approval	Actual Amount Materialized on June 2016		Actual Amount Materialized at Closing
				Cash	In-kind	
National Government	VIET NAM	Training-In-kind	30,000		44,050	Information not provided
National Government	CAMBODIA	In-kind-Equipment	35,000		6,860	Information not provided
National Government	CAMBODIA	Training-cash	30,000	45,590		Information not provided
National Government	INDONESIA	In-kind-Equipment	38,000		38,000	Information not provided
National Government	PHILIPPINES	Cash-Equipment	20,000	20,000		Information not provided
National Government	VIET NAM	Cash-Equipment	9,000	9,000		Information not provided
National Government	INDONESIA	Cash – Premises	27,000			Information not provided
National Government	INDONESIA	Reporting – Cash	6,500			Information not provided
National Government	PHILIPPINES	Reporting – Cash	18,500			Information not provided
National Government	CAMBODIA	Cash – Premises	27,000	2,957		Information not provided
National Government	CAMBODIA	In-kind-Premises	18,000.		16,905	Information not provided
National Government	PHILIPPINES	Cash-Premises	25,000	2,600		Information not provided
National Government	VIET NAM	Cash – Premises	30,000	30,000		Information not provided
National Government	CAMBODIA	Reporting – Cash	6,500			Information not provided

Sources of Co-financing [1]	Name of Co-financer	Type of Co-financing [2]	Amount Confirmed at CEO endorsement / approval	Actual Amount Materialized on June 2016		Actual Amount Materialized at Closing
				Cash	In-kind	
National Government	VIET NAM	In-kind- Premises	8,000		8,000	Information not provided
National Government	VIET NAM	Reporting - In kind	6,500		6,500	Information not provided
Project Implementing Agency	UNEP	Cash & in kinds	82,250	94,110	7,750	Information not provided
		<b>Subtotal</b>		<b>686,274</b>	<b>2,032,187</b>	Information not provided
		<b>TOTAL</b>	<b>3,761,677</b>	<b>2,718,434</b>		Information not provided





ANNEX V TRANSFORMATION FROM RESULT FRAMEWORK TO RECONSTRUCTED TOC

Result Framework (Appendix 4 of ProDoc)		ToC		
Objective/ Outcome	Outputs	Outputs	Intermediate states	Impact
To manage SE Asian forests and biodiversity sustainably by reducing negative environmental, economic and human health consequences of invasive alien species				SE Asian forests and biodiversity sustainably managed  Negative environmental, economic and human health consequences of invasive alien species reduced  Added: Uptake and replication of the approach in other locations and by other countries across the region to provide enhanced protection of forest biodiversity hotspots and its associated local community livelihoods

**Component 1: Establishing National Policy and Institutional Frameworks**

1.1 National multi-stakeholder coordination mechanisms for cross-sectoral invasive species management	1a. Enabling policy and institutional environment for cross-sectoral prevention and management of IAS strengthened	1a. Enabling policy and institutional environment for cross-sectoral prevention and management of IAS strengthened	Added: The adoption of harmonized legislation based on international standards and conventions enables countries to meet the requirements of international conventions and
1.2. National Invasive Species Strategy and Action Plan agreed			
1.3. Identification	1b. Cost-	1b. Cost-	

**Result Framework (Appendix 4 of ProDoc)**

**ToC**

<b>Objective/ Outcome</b>	<b>Outputs</b>	<b>Outputs</b>	<b>Intermediate states</b>	<b>Impact</b>
of cost-recovery mechanism and action plan (only Indonesia)	recovery recognized by national agencies as key to long-term IAS programming	recovery recognized by national agencies as key to long-term IAS programming	puts the necessary precautions and measures in place to limit the introduction of invasive species	
1.4. IAS Risk Analysis procedures for quarantine authorities	1c. Strengthened national regulatory and legal frameworks	1c. Strengthened national regulatory and legal frameworks	Added: Action Plans and IAS related systems funded and implemented	
1.5. Early detection and rapid response system established (only Indonesia and Viet Nam)				

**Component 2. Regional cooperation in Southeast Asia**

2.1. Regional IAS Biocontrol Working Group established including development of Action Plan for biocontrol of shared IAS	2a. Enhanced transboundary coordination and programming on IAS control for priority forest IAS and pathways	2a. Enhanced transboundary coordination and programming on IAS control for priority forest IAS and pathways	ADDED: Management of IAS across the region enhanced through implementation of Action Plan and improved capacity	
2.2. Strengthened/developed regional IAS tools for improved management of IAS including databases/website (APFISN) and regional IAS Identification Guide				

**Result Framework (Appendix 4 of ProDoc)**

**ToC**

<b>Objective/ Outcome</b>	<b>Outputs</b>	<b>Outputs</b>	<b>Intermediate states</b>	<b>Impact</b>
2.3. Strengthened regional IAS learning network and information exchange mechanisms, including short-term project staff exchange between countries.				

**Component 3. National Capacity Building and Institutional Support**

3.1. National IAS training programmes developed and implemented for different stakeholders (e.g. policy makers, scientists, quarantine officers, extensionists, etc.) (limited in Cambodia and Philippines based on funds and needs)	3a. Enhanced collaboration and capacity built through training and other means for multisectoral prevention and management of IAS	3a. Enhanced collaboration and capacity built through training and other means for multisectoral prevention and management of IAS	ADDED: Participating countries and others in the SE Asian region provided with the necessary tools and capacity to address existing and future biological invasions	
3.2. Provision of equipment and material support to quarantine departments, border crossings, etc. (only Indonesia)				
3.3. Support to expanding national capacity in research and related fields				

**Result Framework (Appendix 4 of ProDoc)**

**ToC**

<b>Objective/ Outcome</b>	<b>Outputs</b>	<b>Outputs</b>	<b>Intermediate states</b>	<b>Impact</b>
(project staff in Cambodia and the Philippines will not attend international meetings)				

**Component 4. National Pilots on the Prevention, Control and Management of Priority Forest IAS**

4.1. Pilot sites established in each country through effective local partnerships, ecosystem management plans developed and implemented and EIAs undertaken, if required	4a. Improved national field management experience with implementing IAS prevention, control and management	4a. Improved national field management experience with implementing IAS prevention, control and management	ADDED: Demonstration and testing of effective mechanisms, in the context of the national frameworks, enables the countries to take more effective national action, replicate best practices, and sustain the project outcomes.	
4.2. Pilot IAS management implementation - maps of distribution of target species produced for each pilot site, testing of at least three control/management strategies at each site, habitat rehabilitation showing increase in biodiversity from baseline, followed by dissemination of results			Capacity of key stakeholders improved with respect to the importance of on ground action	

**Component 5. Information and Awareness Programme**

**Result Framework (Appendix 4 of ProDoc)**

**ToC**

<b>Objective/ Outcome</b>	<b>Outputs</b>	<b>Outputs</b>	<b>Intermediate states</b>	<b>Impact</b>
5.1. Development of a national IAS database based on surveys to document presence and impacts of selected forest IAS (limited in extent in Cambodia and the Philippines)	5a. Enhanced capture and use of information and willingness of stakeholder groups to be involved in IAS management and resource mobilization	5a. Enhanced capture and use of information and willingness of stakeholder groups to be involved in IAS management and resource mobilization	ADDED: Improved knowledge and awareness by key stakeholders with respect to IAS within participating countries and across the region	
5.2. Regional standardized communication strategy with national activities and regional targets.				
5.3. Undertake comprehensive national and regional awareness/communication campaigns, including development and dissemination of awareness material (limited in Cambodia and the Philippines)				

**Component 6: Monitoring and Evaluation Plan (includes only those outcomes that are relevant to the TOC)**

6b. Enhanced protection of forest biodiversity hotspots and its associated local community

ADDED: Uptake and replication of the approach in other locations and by other countries across the region to provide

Result Framework (Appendix 4 of ProDoc)		ToC		
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Objective/ Outcome	Outputs	Outputs	Intermediate states	Impact
livelihoods				enhanced protection of forest biodiversity hotspots and its associated local community livelihoods
6c. Strengthened national public awareness on IAS			ADDED: Improved knowledge and awareness by key stakeholders with respect to IAS within participating countries and across the region	

**Indonesia - Baluran NP (photos from evaluator)**

**Plot 1 - chemical treatment with restoration of native grasses 1 year after pilot finished**



**Plot 2 - manual treatment with restoration of native grasses 1 year after pilot finished**



**Plot 3 – manual and chemical treatment with resotation of native grasses 1 year after pilot finished**



**Vietnam – Cuc Phuong NP (photos from evaluator)**

**Plot 1 – manual and chemical treatment with native tree replanting 1 year after pilot completed**





Plot 2 – chemical treatment with native tree replanting 1 year after pilot completed



Plot 3 – manual treatment with native tree replanting 1 year after pilot completed.



**Cambodia - Tonie Sap (photos from Cambodia NCU) - note only to plots were used.**

**Plot 1 - manual and chemical treatment with revegetation (3 months after treatment)**



**Plot 2 - manual treatment no revegetation (3 months after treatment)**



**Philippines - Allah Valley Protected Landscape (photos taken from presentation made to evaluator by Philippines TWG).**

**Plot 1 -chemical treatment with native tree replanting (1 month after treatment)**



**Plot 2 Manual treatment with native tree replanting (1 month after treatment)**



**Plot 3 Manual and chemical treatment with native tree replanting (1 month after treatment)**



ANNEX VII STAKEHOLDER ANALYSIS

Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
<b>1. Regional and international stakeholders</b>				
<p>Asian Centre for Biodiversity (ACB) based in Manila</p>	<p>Regional cooperation in the conservation of biodiversity throughout SE Asia</p> <p>Dissemination of information on IAS in region</p>	<p>H</p>	<p>H</p>	<p>Established in 2005 to create a regional centre of excellence to strengthen the capacity of ASEAN Member States to formulate and coordinate biodiversity related policy, strategy and action; to fulfil treaty obligations; and to promote and advance common positions on matters related to biodiversity conservation, and the management and sustainable use of natural resources. Key focus areas and activities - policy coordination and capacity building, transboundary cooperation, enforcement of bio-safety regulations, the preparation of biodiversity indicators.</p> <p>These activities have been conducted in different locations across the ASEAN region and in response to the needs of its members.</p> <p>Key regional partner for the project. It will play a critical role in creating increased awareness of the threats posed by IAS in the region during the project period.</p>
<p>Asia-Pacific Forest Invasive Species Network (APFISN)</p>	<p>Collate and disseminate information on IAS throughout SE Asia including hosting of regional workshops and training</p>	<p>L</p>	<p>L</p>	<p>The APFISN was established in response to the immense costs and dangers posed by invasive species to the sustainable management of forests in the Asia-Pacific region. It is a cooperative alliance of the 33 member countries in the Asia-Pacific Forestry Commission (APFC) – a statutory body of the FAO. The network focuses on inter-country cooperation that helps to detect, prevent, monitor, eradicate and/or control forest invasive species in the Asia-Pacific region.</p> <p>Only Indonesia has engagement/attends APFISN meetings. Due to a lack of engagement from APFISN on the agreed collaboration (via FAO), the project determined not to work with APFISN (administered from India). This was after waiting for more than a year, after</p>

Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
				following up repeatedly, with disappointing communications in general with them. Their website was supposed to become a core platform for FORIS, but was hardly ever updated, full of errors and needed too big an investment from FORIS IF APFISN would work with the project.
Biosecurity Queensland, Department of Employment, Economic Development and Innovation (DEDDI)	Biosecurity, including the prevention and management of IAS, especially biological control.  Provide information on the management of selected IAS.	H	M	Coordinates Queensland Government' efforts to prevent, respond to, and recover from pests and diseases that threaten the economy and environment. Because Australia is concerned about the possible movement of invasive species from other countries into its territory, Biosecurity Queensland has contributed to the management of IAS in SE Asia, particularly in the biological control of invasive plants. They bring a wealth of knowledge and experience to the project countries relating to selected IAS, and dependent on additional funding, will be directly involved in biocontrol programmes for <i>Mikania micrantha</i> and <i>Mimosa diplotricha</i> including the provision of host-specific and damaging agents.
CABI Africa	Preparation and submission of the FSP proposal and active lobbying for co-finance with a wide range of stakeholders  Continued stakeholder liaison and networking to maintain current momentum of interaction created during PPG at national, regional and global levels  Attendance at relevant	H	H	Invasive Species is one of CABI's four Global Themes. CABI is actively involved in the management of IAS using Integrated Pest Management approaches, advising on national IAS strategies and is specialized in the biological control of invasive plants, arthropods and micro-organisms. More recently, CABI has also been implementing projects on the prevention of IAS, specifically through the provision of technical support to the IPPC and the SPS Agreement under the WTO. CABI contributes IAS expertise through provision of technical support, information and knowledge tools, thereby contributing towards the implementation of Article 8h of the CBD. CABI has provided support to developing countries to assist with their implementation of the CBD in relation to IAS and continues to provide advice to the Subsidiary Body for Scientific, Technical and Technological Advice (SBSTTA) and COP delegations under the CBD. CABI and IUCN were instrumental in ensuring that IAS were a significant inclusion in the Environment Action Plan of the New Partnership for African Development (NEPAD) and its five sub-regional environment action plans. The project will draw upon this expertise, experience and capacity building tools.

<b>Partner/ Organisation</b>	<b>Responsibility/Role</b>	<b>Interest</b>	<b>Influence</b>	<b>Rating Explanation</b>
	meetings for continued stakeholder sensitization and building of partnerships, i.e. through CBD, ACB, APFISN, and GISP  Support PPG management and implementation			
CABI SEA (Malaysia)	Project Coordination Unit (PCU)  IPC will oversee the project	H	H	See above
Commonwealth Scientific and Industrial Research Organisation (CSIRO) (Australia)	Provision of expertise in the management of invasives impacting on forest biodiversity.	M	M	CSIRO has been involved in the control of invasive plants in SE Asia in the past, particularly biocontrol and bring a wealth of knowledge and experience. Researchers have offered their expertise in the management of invasive plants impacting on forest biodiversity.
Department of Agriculture, Fisheries and Forestry (DAFF) (Australia) – Now Department of Agriculture	Building capacity within the region to manage IAS.  Hosting a workshop on the management of IAS and potentially, collaborate on other aspects related to IAS	H	M	DAFF's role is to develop and implement policies and programmes to ensure that Australia's agricultural, fisheries, food and forestry industries remain competitive, profitable and sustainable. It also has within its mandate issues pertaining to biosecurity, which includes quarantine and inspection services. Increased trade with countries in SE Asia has the potential to facilitate the movement of IAS into Australia, so DAFF is interested in building capacity within the region to manage IAS. The Department of International Agricultural Cooperation (IAC) of the Australian Bureau of Agricultural and Resource Economics and Sciences (ABARES), which fall under DAFF, will be hosting a workshop on the management of IAS and will possibly also collaborate on other aspects related to IAS.

<b>Partner/ Organisation</b>	<b>Responsibility/Role</b>	<b>Interest</b>	<b>Influence</b>	<b>Rating Explanation</b>
Global Invasive Species Programme (GISP) - absorbed by CABI	<p>GISP training materials and Publications</p> <p>Networking electronically and at relevant meetings</p> <p>Raising awareness of the threat posed by invasive species</p> <p>Were involved in AS policy development, awareness creation, and capacity building</p>	H	H	CABI, IUCN and TNC were founding members of GISP which has subsequently been disbanded and subsumed by CABI. Much of the material developed by GISP now resides with CABI and can be made available to project countries. GISP developed the Global Strategy on IAS, jointly with the Scientific Committee on Problems of the Environment (SCOPE) in 2001.
International Union for Conservation of Nature (IUCN)	<p>Biodiversity organization also working on IAS – ISSG</p> <p>Provide information on issues associated with IAS whenever required</p> <p>IAS database</p>	H	M	IUCN brings global knowledge and expertise from other regions as well as SE Asia in relation to IAS. IUCN is involved in the development of the IAS – ISSG, in particular the Invasive Species Compendium (ISC), which aims to draw together scientific information and databases on IAS for policy makers, scientists, extension workers, students and practitioners. The latter, which is still under development, will be a comprehensive global interactive encyclopedia on all aspects of IAS including their taxonomy, biology, ecology and habitats, distribution and spread, host range and symptoms, risks, impacts, and management, all supported by published literature.
SEAMEO-BIOTROP	A regional initiative involved in research, training, networking, personnel exchange and information dissemination in tropical biology including those related to	H	H	SEAMEO-BIOTROP (Southeast Asian Ministers of Education Organization - Southeast Asian Regional Centre for Tropical Biology) is based in Bogor, Indonesia, and is one of 15 centres under SEAMEO under the mandate of its Governing Board. SEAMEO-BIOTROP activities emphasize the empowerment of human resources in SE Asia. The activities cover research, training, networking, personnel exchange and information dissemination in tropical biology including issues related to IAS. It is a regional initiative to identify critical biological problems and solutions which will contribute to the economy of the region. The programme

Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
	<p>invasive alien species issues.</p> <p>Key project partner for Indonesia based work</p> <p>Some regional training on IAS</p> <p>Dissemination of information on IAS</p> <p>Undertaken research on biological control</p>			<p>also covers management of shared invasive plant or even crop pest issues in the region. BIOTROP is a key project partner for Indonesia-based work</p>
<p>UNEP Regional Office for Asia and the Pacific</p>	<p>Communications, sharing lessons internationally and nationally, awareness raising at national, district and local level</p> <p>Project implementation</p>	<p>H</p>	<p>H</p>	<p>UNEP has been an active participant and supporter of GISP since its inception in 1996 and served as the GEF IA for the Medium Size Project (MSP) “Development of Best Practices and Dissemination of Lessons Learned for Dealing with the Global Problem of Alien Species that Threaten Biological Diversity”. During the MSP, executing agencies produced a number of best practice guidelines. Sections of these products and other information were subsequently integrated by CABI on behalf of GISP into the “Toolkit for Best Prevention and Management Practices of Invasive Alien Species, which is an invaluable tool in development and implementation of IAS management strategies. It aims to assist those involved in environmental and biodiversity conservation and management. Topics covered in the manual include building strategy, prevention, early detection and management, together with 100 case studies from around the world that are used to illustrate specific aspects of ‘best practice.</p> <p>UNEP is responsible for the implementation of a number of GEF funded IAS projects in Caribbean and Pacific regions. UNEP’s comparative advantage in working on IAS is recognized, particularly from the need in taking a regional approach.</p>



Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
<b>National Stakeholders</b>				
<b>Cambodia</b>				
<i>Government organisations</i>				
Ministry of Environment (MoE)	Policy and legislation related to environmental concerns, conservation, protection and safeguards  Responsible government authority for environmental concerns in general	H	H	<p>All government agencies have a key interest and role to play in IAS management. There are two key ministries with responsibilities for the establishment, conservation and management of biodiversity, forestry, natural resource and environment - the Ministry of Environment (MoE) and the Ministry for Agriculture, Forests and Fisheries (MAFF). The mandate of MoE is to supervise and manage the environment throughout Cambodia.</p> <p>The planning and management of biodiversity, forest and other natural resources in the protected area system, and supervision and coordination of conservation work country-wide falls under the General Department of Administration for Nature Conservation and Protection (GDANCP). GDANCP is also responsible for overall management of areas which are registered under international conventions and mutual agreements such as RAMSAR, UNESCO and others and coordinates the preparation and implementation of Cambodia's Biodiversity Strategy and Action Plan. GDANCP is also responsible for the restoration of ecosystems and degraded areas within protected areas.</p>
General Department of Administration for Nature Conservation and Protection (GDANCP) (MoE)	Policy and legislation formation process; Biodiversity and natural resources conservation plans and work programmes and climate change issues within protected areas (PAs); Setting up measures for environmental and biodiversity protection in PA; Supporting initiative efforts for protection and	H	H	

Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
	<p>rehabilitation of biodiversity resources in PAs.</p> <p>Overall coordination and technical inputs for development of related document and work programme on IAS in Cambodia - systems, and supervision and coordination of conservation works.</p>			
<p>Ministry of Agriculture, Forestry and Fisheries (MAFF)</p>	<p>Policy and legislation related to renewable natural resource concerns, protection and safeguard (forest, fishes, agriculture)</p> <p>Responsible government authority for food security and production concerns in general.</p>	<p>H</p>	<p>H</p>	<p>MAFF has a mandate for planning and managing the agricultural, forestry and fisheries sectors. Management of forests, outside the protected area system, is under supervision of the Department of Forestry (DoF), likewise, the Department of Fisheries (DoFi) of the Ministry of Agriculture, Forestry and Fisheries (MAFF) is responsible for fisheries. The responsibilities of the Department of Forestry (DoF) include preparing policies and regulations for the protection and management of forest resources, and wildlife conservation, participating in setting up measures for environmental protection and developing plans for the management of forests.</p>
<p>Department of Forestry (DoF) (MAFF)</p>	<p>Policy and legislation formation process;</p> <p>Biodiversity and natural resources conservation plans and work</p>	<p>H</p>	<p>H</p>	

Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
	<p>programmes, and climate change issues outside protected areas; Setting up measures for forest protection outside PA; Supporting efforts for protection and rehabilitation of forest resources outside PA</p> <p>Overall coordination and technical inputs for development of related document and work programme on forest resource use and management</p>			
Department of Fisheries (DoFi) (MAFF)	<p>Preparing policies and regulations for the protection, improvement and management of fishery resources; Participating in setting up measures for fisheries protection; Developing plans for the management of fisheries and its reserves; Supporting initiatives for protection and</p>	M	H	

Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
	rehabilitation of fishery resources  Overall coordination and technical inputs for development of related document and work programme on fisheries resources use and management			
Ministry of Water Resources and Meteorology (MOWRAM), Ministry of Economic and Finance (MEF)), Ministry of Education, Youth, and Sports (MoEYS), Ministry of Tourism (MoT), and Ministry of Planning (MoP)	The MOWRAM is mandated to lead in the management of water resources in order to ensure the sustainability of this resource and the effectiveness of water utilization. The MEF is responsible for the annual budget prioritisation and allocation process, and for setting funding level and negotiating budget allocations with ministries and the provinces. The Ministry of Tourism is responsible for developing the country's tourism strategy and promoting	M	M-H	All other Ministries play important roles in the forestry sector and natural resource and environmental management, but may not be directly interested in IAS. Their ability to influence though, once awareness and understanding of the impacts of IAS to their responsibilities is gained is high, given the economic implications. MEFI is responsible for annual budgets and prioritisation processes for all government departments.

<b>Partner/ Organisation</b>	<b>Responsibility/Role</b>	<b>Interest</b>	<b>Influence</b>	<b>Rating Explanation</b>
	tourism across the nation			
Provincial department	<p>Involved in planning and management of natural resources within their political jurisdiction</p> <p>Overall coordination at site level and assist in technical and administration inputs for implementation of work programme on IAS management</p>	H	M	Budget allocations are from the central government so the ability of the provincial department and local authorities is limited. Their level of influence is limited to their jurisdiction and at sites they are coordinating. Community Entities are also limited with their ability to influence, generally just within their sphere of operation.
Local Authorities and Community Entities such as Community Protected Areas (CPA), Community Forestry (CF) and Community Fisheries (CFi)	<p>Involved, participation, management and use of natural resources within their political jurisdiction and designated areas</p> <p>Implementation and monitoring of work programme on IAS management</p>	H	M	
Government or Private Universities (PPU and PUC)	<p>Involved in biological research and training</p> <p>Undertake data collection and research on the</p>	M	L	The role of PPU and PUC is to provide recommendations and information. As such, their influence in the project is low.

Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
	management of IAS			
<b><i>International and National NGOs</i></b>				
Wildlife Conservation Society (WCS)	Biodiversity conservation Worked with government organisations on biodiversity and IAS management, assessment and monitoring in the past	H	M-	Selected international and local NGOs are interested and have a similar work programme, particularly on aspects of biodiversity conservation and management and related subjects are included as partners for the programme programme. All have collaborated with the government in conservation and management of natural resources in the country. NGOs can provide technical assistance and participate in the development of identified policies, guidelines and other tools to manage established invasive species in their own sites, encourage government to take action, or develop public education and outreach initiatives for various audiences and prevent further IAS introductions. Resource mobilization is also an important aspect for supporting IAS project implementation and International NGOs are very effective at doing this.
BirdLife International	Biodiversity conservation Worked with government organisations on biodiversity and IAS management, assessment and monitoring in the past	M	M	
Conservation International (CI)	Biodiversity conservation Worked with government organisations on biodiversity and IAS management, assessment and monitoring in the past	M	M	
Worldwide Fund for Nature (WWF)	Biodiversity conservation Worked with government organisations on	M	M	

<b>Partner/ Organisation</b>	<b>Responsibility/Role</b>	<b>Interest</b>	<b>Influence</b>	<b>Rating Explanation</b>
	biodiversity and IAS management, assessment and monitoring in the past			
<b>Indigenous People/Communities</b>				
CPA, CF and CFi	Manage, plan and use the natural resources for their daily livelihoods  Communities use some invasive species as an additional source of income	H	L	Indigenous people and communities use, and are directly affected by, IAS. They play a crucial role in implementation and monitoring of all work programmes because they are directly affected by invasive species and are able to detect the presence of new species. Communities at site level can contribute to the detection of IAS and be involved in their management. Indigenous people and communities are targeted to engage in pilot site management and sustain the activities of the project, building on the project outputs. By building capacity and creating awareness amongst communities the project will be contributing directly to the National Community Forest Programme.
<b>Private sector</b>				
Private Sector (forest concessionaries, pet and aquarium trade, horticultural industry and others in forestry sector involved in importation of exotic species)		L	H	These sectors may have little interest in managing IAS, given their lack of awareness or interests in trade etc around IAS. Once made aware however, these sectors can be highly influential with government and communities with respect to the formulation of policies and strategies to manage IAS.
<b>Indonesia</b>				
<b>Government organisations</b>				

<b>Partner/ Organisation</b>	<b>Responsibility/Role</b>	<b>Interest</b>	<b>Influence</b>	<b>Rating Explanation</b>
Ministry of Environment (MoE) (now Ministry of Environment and Forestry)	Policy and regulation related to environmental safeguards and protection.  Responsible government authority for environmental issues in general	H	H	The Ministry of Environment (MoE) is the focal point for the CBD in Indonesia.  Within this Ministry, the Division of Biodiversity and Land Degradation Control undertakes programmes on biodiversity conservation planning, including taking a lead in developing national strategies for IAS and action plans in collaboration with other relevant government agencies.
Department of Environmental Degradation Control and Climate Change	Biodiversity conservation plans and programmes and climate change issues  Overall coordination of National Invasive Alien Species Strategy and Action Plan (NISSAP)	H	H	
Biodiversity and Land Degradation Control Division	The implementation of policy and regulation relevant to biodiversity conservation and damage control  Coordinator for the development of NISSAP in collaboration with other relevant government institution	H	H	



Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
Ministry of Marine Affairs and Fisheries (MMAF)	<p>Strengthening the institution and integrated human resources, management of sustainable oceanic resources and fishery, improving the science-based productivity and competition and expanding the access for domestic and international markets</p> <p>Support the development of policy and regulation to prevent IAS in fisheries and involved in NISSAP process</p>	H	H	MMAF directorates deal directly and indirectly with the management of IAS, particularly with respect to quarantine services relating to fish and to implement research related to IAS in aquaculture - pests and diseases of fresh water, swamp and oceanic fisheries. They are directly involved in the development of policy and regulations relating to IAS.
Agency for Aquaculture Research and Development	<p>Developing planning and programmes for aquaculture</p> <p>Develop policy and regulation regarding to IAS prevention in fisheries and also involved in the development of NISSAP which will be lead by MoE</p>	M	M	

<b>Partner/ Organisation</b>	<b>Responsibility/Role</b>	<b>Interest</b>	<b>Influence</b>	<b>Rating Explanation</b>
Centre for Aquaculture Research and Development (CARD)	Conducting research and development with regard to aquacultures  Involved in the development of NISSAP lead by MoE	M	M	
Aquaculture Research and Development Institute (BBRP2B-KP)	Establishment of trial plots and implement research results  Implementing policy and regulations relevant to IAS management based on recommendations from CARD	H	H	
Ministry of Agriculture (MoA)	Food stock and security, horticulture, quarantine, livestock and veterinary, agriculture products and processing, community empowerment and agriculture extension, agricultural infrastructure, and research and development on agricultural commodities	H	H	The MoA and its directorates are involved in agricultural issues related to food stocks and security, horticulture, quarantine, livestock and veterinary issues, agricultural products and processing, community empowerment and agricultural extension, infrastructure, and research and development in agricultural commodities. They are directly involved in the development of policy and regulations relating to IAS as it relates to agricultural issues and have mandates to develop technical guidance, planning and programmes for plant and animal quarantine, including natural resource protection and monitoring; implementation of plant and animal quarantine and monitoring natural resource security; and research and development of technical policies.

Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
	Support the establishment of policy and regulation on IAS management, mitigation and control			
Directorate of Horticulture (MoA)	<p>Formulating and implementing policy with regard to nursery, agriculture products, protection and post-harvest horticulture, includes providing technical assistance and evaluation</p> <p>Identification and report on the areas where IAS are present, their control and monitoring of IAS in agriculture land</p>	H	H	
Quarantine Agency (MoA)	<p>Management, mitigation and control of IAS</p> <p>During 2009-2011 received funding from FAO-GEF to establish policies and regulations regarding IAS management and control.</p>	H	H	

Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
	Also conducted training to increase awareness of IAS in collaboration with other relevant government agencies			
Centre for Plant Quarantine and Plant Resource Security	Developing policy and regulation (including technical guidelines) with regard to plant protection and quarantine  Involved in FAO-GEF project (see above)	H	H	
Centre for Animal Quarantine and Animal Security	Developing policy and regulation (including technical guideline) with regard to animal/livestock quarantine  Involved in FAO-GEF project (see above)	H	H	
Institute for Agriculture Quarantine Standard Testing	Implementing policy and regulation issued by the Quarantine Agency  Conduct testing for agriculture standard and	H	H	

Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
	biological control			
Agency for Agriculture Research and Development (MoA)	<p>Research and development in agricultural sector including pest and diseases, and IAS control and management</p> <p>Conduct research on IAS control and management</p>	H	H	
Ministry of Forestry (MoF) (note now the Ministry of Environment and Forestry)	<p>Forest and natural resource conservation and protection, forest land rehabilitation and restoration, management of natural forest and plantation, forest governance, and climate change</p> <p>Support the development of NISSAP lead by MoE and secure funding for IAS management</p>	H	H	The Ministry of Forestry (MoF) has, as its main responsibility, forest and natural resource conservation and protection, forest land rehabilitation and restoration, management of natural forest and plantation, forest governance, and climate change. Its directorates play an active role in re/afforestation of degraded lands with many of the species used are exotics, including invasives such as <i>Acacia mangium</i> . The Directorate expressed interest in working with the project, both to change their species selection and to work on land rehabilitation in areas cleared from IAS. FORDA was identified as a key stakeholder group for the project.
Forest Research Development Agency (FORDA) (MoF)	Research and development programme on forestry sectors	H	H	

Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
	Planning and programme on IAS management			
Centre for Conservation and Rehabilitation Research and Development (MoF)	<p>Conducting research and development as outlined under FORDA programme</p> <p>Carry out research on management and control of <i>A.nilotica</i> in Baluran N.P. and mantangan (<i>Merremia peltata</i>) in Bukit Barisan Selatan N.P.</p>	H	H	
Directorate General of Nature Conservation and Forest Protection (via National Parks) (MoF)	<p>Contributing to the management of IAS in protected areas</p> <p>Political jurisdiction over all protected areas as well as carry out management and control of IAS</p>	H	H	
Bogor Agriculture Institute (IPB)	<p>Involved in biological research and management of IAS</p> <p>Undertake research on the biology and ecology of some IAS and their impact</p>	M	L	State university which undertakes research on IAS ecology and biology and their impacts. The university expressed interest in participating in the project by encouraging students to conduct IAS-related work

<b>Partner/ Organisation</b>	<b>Responsibility/Role</b>	<b>Interest</b>	<b>Influence</b>	<b>Rating Explanation</b>
Indonesian Institute of Science (LIPI)	<p>Responsible for operating and maintaining the national plant and zoological collections, including in the various herbaria, taxonomic research including on IAS, as well as related field programmes</p> <p>Its collection contained in the Herbarium in Cibinong, and staff expertise will be of utmost importance to the project plans on national IAS inventories, as well as training of additional staff on IAS identification and capacity building</p>	M	M	Staff expertise will be of utmost importance to the project plans on national IAS inventories, as well as training of additional staff on IAS identification and capacity building.
<b><i>International and national NGOs</i></b>				
WCS-Indonesia	<p>Biodiversity conservation and habitat restoration</p> <p>Has been working with local government to prevent habitat degradation (including</p>	H	M	Selected international and local NGOs are interested and have a similar work programme, particularly on aspects of biodiversity conservation and management and related subjects are included as partners for the programme. All have collaborated with the government in conservation and management of natural resources in the country. NGOs can provide technical assistance and participate in the development of identified policies, guidelines and other tools to manage established invasive species in their own sites, encourage

Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
	those damaged by invasive species), particularly in national parks and lobbying for increased funding. Also involved in awareness campaigns			government to take action, or develop public education and outreach initiatives for various audiences and prevent further IAS introductions. Resource mobilization is also an important aspect for supporting IAS project implementation and International NGOs are very effective at doing this  At the time of the project a number of these NGOs were active in the Bukit Barisan Selatan N.P., one of the pilot sites, to protect Sumatran rhino, tiger and elephant habitat which has become dominated by mantangan ( <i>Merremia peltata</i> ).
Conservation International (CI)	Developing programme for biodiversity conservation, implementing various programmes relevant to ecosystem restoration, habitat and endangered, rare and threatened species protection  Worked with government organisations on IAS management in the past. Involved in direct control, lobbying for increased funding, and awareness campaigns	M	M	
YABI (Indonesian Rhino Foundation)	Rhino conservation.  Carry out patrol operations to prevent forest encroachment as	M	M	



Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
	<p>well as monitoring forest degradation. Works to protect rhino habitat in Sumatra, particularly in Bukit Barisan Selatan N.P. It is particularly concerned about IAS and their impact on rhino food sources, as the Java Rhino population that remains in Ujung Kulon N.P. is in a highly critical situation</p>			
WWF-Indonesia	<p>Biodiversity conservation and environmental protection</p> <p>In the past, in collaboration with government institution and regional organization such as BIOTROP has worked on water hyacinth (<i>Echinocloa crassipes</i>) eradication in Papua, Indonesia</p>	H	M	
<i>Private sector</i>				

Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
Indonesian Forest Concessionaires (PT. Erna Djuliawati, Sari Bumi Kusuma, Sarmiento Parakanca, Intraca and several others including Sumalindo Lestari Jaya and the Alas Kusuma Group)	<p>Management of natural production forest (timber production)</p> <p>Develop programme for IAS control and management - representation on NSC</p>	H	H	<p>Private sector is highly influential in influencing opportunity for cost recovery, policy and strategy implementation. A number are already actively involved in IAS management on their concessions and in project pilot site Bukit Barisan Selatan N.P.</p> <p>It was envisaged that some of these companies would have representation on the NSC, including Sumalindo Lestari Jaya, which has concessions of 1.5 million ha, and the Alas Kusuma Group which manages 600,000 ha of natural forest in Kalimantan.</p>
PT. Arta Graha	<p>Tourism and recreation areas within conservation areas, habitat restoration</p> <p>Implementation of mantangan (<i>Merremia peltata</i>) eradication using mechanical techniques in collaboration with local community</p>	H	H	
Tropical Forest Trust (TFT)	<p>Provide solutions to deforestation and the empowerment of forest dependent communities</p> <p>Assist in the involvement of local communities in the management of IAS</p>	H	M	<p>The Tropical Forest Trust (TFT) works with companies and communities with the main focus to provide solutions to the issue of deforestation and the empowerment of forest dependent communities. The project aims to work closely with the Trust to enhance the involvement of forest communities in IAS management.</p>

Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
<b>Philippines</b>				
<i>Government organisations</i>				
Department of Environment and Natural Resources (DENR)	Policy formation process Responsible government authority for environmental issues in general	H	H	PAWB is the focal agency of the DENR for biodiversity conservation plans and programmes. It is the focal implementing agency for the regulation of IAS under the ambit of the Wildlife Act. Within DENR, PAWB will be responsible for coordination and management of the FSP IAS project in the Philippines.  ERDB is the research arm of the DENR. It will take the lead in the implementation of
Protected Areas and Wildlife Bureau (PAWB) of DENR	Biodiversity conservation plans and programmes. Focal implementing agency on the regulation of IAS under the ambit of the Wildlife Act  Overall coordination of IAS activities.  Regulates the entry of terrestrial exotic species in the country including approval of intentional introductions for various purposes	H	H	Component 4 (National Pilot on the Prevention, Control and Management of Priority Forest IAS) and other research activities of the project in the Philippines.  FMB develops and implements policies and programmes for the protection, development, occupancy management, and conservation of forest lands and watersheds. This bureau will make inputs into the development and/or strengthening of IAS policies, especially those that pertain to or make reference to forest and forestlands.  EMB mainly undertakes Environmental Impact Assessments (EIAs), and will undertake EIAs pertaining to management activities at pilot sites. It will also be involved in the development of IAS policy.  The DENR field offices at the regional, provincial and community level discharge various environmental functions (forestry, wildlife, EIA, and research) within their areas of jurisdiction. As such, they can provide information on the status of IAS within their areas as well as inputs in the consultative development process of IAS policy. The DENR field offices will assist the national office in implementing project activities at the pilot site, working with the local community to ensure sustainability.
Ecosystems Research and Development Bureau	Research arm of the DENR Will take the lead in the	H	H	In Protected Areas, the DENR Regional Office chairs the multisectoral Management Board and

Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
(ERDB) (DENR)	<p>management of IAS at the pilot site.</p> <p>Responsible for implementing IAS validation project for database development (2011-12)</p>			<p>provides staff, who serve as Protected Area Superintendents (PASu) and rangers, responsible for routine operations within the protected area. At the pilot site, which happens to be a Protected Area, the PASu and staff will serve as field collaborators. The Ecosystems Research and Development Sector (ERDS) in the region will assist with research documentation and data collection with guidance from ERDB.</p>
Forest Management Bureau (FMB) (DENR)	<p>Developing and implementing policies and programmes for the protection, occupancy management, and conservation of forest lands and watersheds</p> <p>Collaborate with regard to implementation of IAS policies in forests</p>	H	H	
Environmental Management Bureau (EMB) (DENR)	<p>Undertake Environmental Impact Assessments (EIAs)</p> <p>Will evaluate all management activities planned for pilot site</p>	H	H	

Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
<p>Department of Agriculture (DA)</p> <p>Bureau of Plant Industry (BPI) (DA)</p>	<p>Agency mandated to implement the Philippine Plant Quarantine Law – regulating the importation of plants and their products</p> <p>Will be involved in the development and implementation of risk analysis procedures and related activities</p>	H	H	<p>BPI is the agency mandated to implement the Philippine Plant Quarantine Law. As such, the Bureau regulates the entry of plant material and products that may harbor pests or cause harm to agriculture.</p> <p>BFAR functions relate to the protection and development of aquatic resources, including quarantine services, under the National Fisheries Code framework which specifically provide provisions on regulating the introduction and utilisation of fishery and fishery products in the country.</p> <p>The DA will be involved in the development of a national IAS management strategy including the formulation of guidelines to regulate entry of potentially harmful exotic species.</p>
<p>Bureau of Fisheries and Aquatic Resources (BFAR) (DA)</p>	<p>Involved in the protection and development of aquatic resources, including quarantine services under the National Fisheries Code framework</p> <p>Regulates the entry and use of exotic aquatic species including policy development and border control.</p> <p>Will be involved in the development of the NISSAP</p>	H	H	

Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
Local Government Units (LGU's)	Involved in the management of natural resources within their political jurisdiction  Develop and apply local IAS management strategies, and support local organisations interested in undertaking management activities	H	H	LGUs are mandated to work with the national government in the management of natural resources within their political jurisdiction. The Municipal Environment and Natural Office (MENRO) serves as the LGU focal unit on environment. The LGUs, on their own initiative, can develop and apply local invasive alien species management strategies, and support the activities of local organisations interested in undertaking management activities as well as the field offices of the DENR and DA. In pilot sites, the LGUs will be key partners in implementing project activities. The LGUs also develop, issue and implement local ordinances to prevent, contain or eradicate IAS, and mitigate their impacts
Municipal Environment and Natural Resource Office (MENRO) (LGU)	LGU focal point for matters pertaining to the environment  Will be involved in the management of <i>P. aduncum</i> at pilot site (AWFR)	H	H	
Department of Science and Technology (DOST)	Providing leadership and coordination of all scientific and technological activities for national development  Increased research on impacts and management of IAS including the	H	H	DOST is the premiere science and technology body in the country providing direction, leadership and coordination of all scientific and technological activities for national development. The project will work with DOST to promote research to enhance capacity to predict invasive potential, better understand the impacts of invasions, and create management and technical innovations to reduce risks and impacts of invaders.

Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
	development of tools to enhance the capacity to predict invasions			
Department of Transportation and Communications (DOTC)	Enforce regulations on the management of ballast water in Philippine ports.  Will assist in the development of the NISSAP since transportation networks or seen as a major IAS pathway	H	H	Transportation networks are a major pathway for IAS. The agency will therefore assist in the development of the NISSAP.
National Museum of the Philippines	Involved in taxonomic research and inventorying of all biological resources  Biodiversity studies will help identify presence or absence of IAS in certain areas of the country	H	H	The museum is mandated to do taxonomic research and collate information on all species present in the country and can therefore help in taxonomic capacity building and research efforts. The agency will provide technical assistance on taxonomic identification of flora and provide baseline data to complement the research works of the DENR through the Ecosystems Research and Development Bureau (ERDB).
University of the Philippines	Involved in biological research  Biodiversity studies will help identify presence or absence of IAS in certain	H	M	This state university will undertake research on the management of IAS. It will assist DENR in the identification of IAS and supervise and support students undertaking research on IAS. Other academic institutions, especially near the pilot site may also be engaged in pilot site research and monitoring activities.

Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
	<p>areas of the country.</p> <p>Undertake research on the management of IAS</p>			
<p>Protected Areas and Management Board (PAMB) and Protected area staff of Allah Valley Watershed Forest Reserve (AWFR)</p>	<p>Political jurisdiction over all protected areas</p> <p>Provide policy directions in the management of IAS in protected areas including the prohibition on introduction of exotic species.</p> <p>Supervises the on-going control of water lily in Lake Cebu within the AWFR.</p>	M	H	They will serve as IAS project collaborators at the pilot site
<b><i>International and National NGOs</i></b>				
WWF Philippines	<p>Biodiversity conservation</p> <p>Projects on Marine biodiversity research, conservation, and public awareness and management.</p> <p>Assist the government in</p>	H	M	<p>These organisations have collaborated with the government in the past on biodiversity conservation and are expected to play an important role in the management of IAS in the country. It is anticipated that with appropriate information, education, and communication (IEC) and awareness activities, NGOs will also help to manage established invaders, lobby for increased government action, and develop public education and outreach initiatives to help prevent further IAS introductions. They will be involved in the consultative process of</p>



Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
	<p>establishing network of Marine protected areas.</p> <p>Livelihood and coastal community development projects.</p> <p>Biodiversity baseline studies</p>			developing the Philippine NISSAP
<p>Conservation International (CI)</p>	<p>Biodiversity conservation</p> <p>Terrestrial species conservation projects</p> <p>Terrestrial habitat rehabilitation which includes reforestation</p> <p>Biodiversity baseline studies</p>	H	M	
<p>Haribon Foundation for Philippine Environment</p>	<p>Biodiversity conservation</p> <p>Environmental advocacy through awareness and education projects</p> <p>Biodiversity research</p> <p>Long term reforestation programme using native species (ROAD 2020) which aims to restore 1</p>	H	M	

Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
	million hectares of tropical forest by year 2020			
Philippine Tropical Forest Conservation Foundation, Inc.	<p>Forest conservation and rehabilitation, natural resource management, capacity building, livelihood, and research.</p> <p>Also provide grants for forest conservation related projects</p> <p>Forest restoration projects in protected areas and watersheds (thereby inhibiting plant invasions).</p> <p>On the pipeline research project on <i>P. aduncum</i> in Mindanao including Allah Valley Watershed Forest Reserve, the proposed pilot site for the IAS Project</p>	H	M	
<b>Indigenous People/Communities</b>				
T'boli community	Communities in the AWFR are affected by <i>P. aduncum</i>	M	M	<p>Indigenous people are directly affected by IAS. Since IP are more attuned to their environment, they are able to rapidly detect the presence of new species.</p> <p>Traditional Ecological Knowledge can also help contribute to IAS detection and</p>

<b>Partner/ Organisation</b>	<b>Responsibility/Role</b>	<b>Interest</b>	<b>Influence</b>	<b>Rating Explanation</b>
	infestations  The community will be consulted and involved in the management of <i>P. aduncum</i>			management. Where IP Groups are present at the pilot sites, they shall be consulted, engaged in pilot site management activities and play a role in sustaining control measures beyond the project life.
<b>Private Sector</b>				
<b>Various</b>	A number of private sector organisations are involved in the management of forests (concessions) and in the importation of exotic species such as the horticultural industry and the pet and aquaria trade. These companies will be consulted during the development of national policies pertaining to the management of IAS	M	H	Private sector is highly influential in influencing opportunity for cost recovery, policy and strategy implementation.
<b>Viet Nam</b>				
<b>Government organisations</b>				
Ministry of Natural Resources and Environment	Coordinating biodiversity conservation activities	H	H	MONRE is responsible for the Ramsar Convention, CBD, the national focal point for UNFCCC and coordinating the implementation of the National Action Plan on

Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
(MONRE)	<p>under the Law on Biodiversity and focal point of CBD</p> <p>Developing policies and regulations on biodiversity</p> <p>Developing policies and regulations on management of IAS</p> <p>Sustainable forest management and development</p> <p>Forest protection, biodiversity conservation and environmental services development</p> <p>Forest products processing and trade</p> <p>Research, education, training and forestry extension</p> <p>Renovation of forestry sector institutions, policies, planning and monitoring</p> <p>Inventory of exotic and invasive or potentially</p>			Biodiversity. Lead agency for the IAS project.

Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
	<p>invasive species (on-going)</p> <p>Conduct risk assessments and issue permits for large scale culturing of exotic and potentially invasive species (take lead)</p> <p>Provide a list of invasive species for other authorities to implement relevant actions</p>			
<p>Ministry of Agriculture and Rural Development (MARD)</p>	<p>Governance and long-term planning for rural development and agricultural sector</p> <p>Responsible for the oversight of Vietnam's forestry industry</p> <p>Regulations on management and protection of endangered rare and precious forest fauna and flora species; planning on the system of national and inter-provincial protection</p>	<p>H</p>	<p>H</p>	<p>MARD has overall responsibility for managing the system of Special use Forests, reviewing budget allocations for Special-use Forest management boards, and overseeing implementation of the Five Million Hectares Reforestation Programme, which supports Special-use Forest management through protection contracts and reforestation activities. It carries out surveys and plans and develops investment projects for establishing Special-use Forests.</p>

Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
	<p>forests and special-use forests and deciding on the change of their use purposes; promulgating forest management regulations;</p> <p>Establishing criteria for forest classification</p> <p>Issuance of permits for the importation of exotic species (listed as agricultural nuisance)</p> <p>Conduct risk assessments and issue permits for the large scale culturing of exotic and potentially invasive species (participatory)</p>			
<p>Ministry of Planning and Investment (MPI), the Ministry of Culture, Sports and Tourism (MOCST)</p>	<p>Policy development</p> <p>NISSAP development</p> <p>Budgeting for IAS management and cost recovery mechanisms</p>	<p>M</p>	<p>MH</p>	<p>Play important roles in forestry sector and natural resource and environmental management. The MPI is responsible for setting funding levels and negotiating budget allocations with sectoral ministries and the provinces, including the budget for protected areas. The MOCST, together with MARD, is responsible for managing “cultural-historic-environmental sites”, one of Vietnam’s categories of Special-use Forests. The Vietnam National Administration of Tourism (VNAT) within MOCST is responsible for developing the country’s tourism strategy and promoting tourism in national parks and cultural-historic-environmental sites</p>

<b>Partner/ Organisation</b>	<b>Responsibility/Role</b>	<b>Interest</b>	<b>Influence</b>	<b>Rating Explanation</b>
Department of Agriculture and Rural Development (DARD) under the Provincial People's Committee (PPC)	Function is to advise and assist PPC in state-level forest management.  Consultation and engagement at pilot site.	M	L	Under DARD is the Forest Sub-department (Sub-FD). Sub-FD has no specific line agency at the district level and its tasks in the district are dealt with by forestry officials of the Agriculture and Rural Development Unit (ARDU).
Communal People's Committee (CPC)	Forestry issues at commune level  Consultation and engagement at pilot site.	M	L	Communal Forestry Boards (CFBs) under CPC has been introduced in upland mountain communes. Where a CFB has been set up, it becomes the body in charge of forestry issues within the commune
Institute for Agricultural Environment	Plant protection research  Research on pest management, mainly agricultural pests.  Development of methods to eradicate the Mimosa pigra (in 2007)	M	M	Universities and research institutes will play an important role in supporting the project through the provision of information and baseline data, as well as in capacity building.
Forest Science Institute of Vietnam (FSIV)	Organising and implementing scientific and technological research on silviculture, forest industry, forest economics, forestry organisation and management, serving the	M	M	

Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
	<p>requirements in development of the branch, and developing a tropical forest science of Vietnam</p> <p>Elaborating and implementing forest socio-economic, scientific and technical programmes; developing an economic management mechanism, technical procedures and economic and technical standards</p> <p>Training researchers in various fields of forest science; fostering and upgrading scientific knowledge for scientists, technicians and managerial personnel in the forestry branch</p> <p>Inventory of forest invasive species – linked to APFISN</p>			
Ho Chi Minh University of Science - Ho Chi Minh	Research on ecology in General Biodiversity	M	M	



Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
National University	<p>studies will help identify presence or absence of IAS in certain areas of the country.</p> <p>Research in management of IAS</p> <p>Undertake research on the management of IAS</p> <p>Research on control methods for <i>Mimosa pigra</i> in collaboration with local National Parks (from 2002)</p>			
Ha Noi University of Science -Vietnam National University	<p>Research on ecology in General Biodiversity studies will help identify presence or absence of IAS in certain areas of the country</p> <p>Research in management of IAS</p> <p>Research on the management of IAS Status of invasion by weedy plants in Bach ma National Park (from 2004)</p>	M	M	

Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
<b><i>International Non-governmental Organisations</i></b>				
WWF	<p>Mekong River Eco-region programme.</p> <p>Green corridor and biodiversity corridor initiatives</p> <p>Promoting responsible forest management and restoration in Vietnam</p> <p>Decreasing deforestation and forest degradation in the border area of Central Vietnam and Southern Laos by avoiding leakages to maintain forest carbon pools and biological diversity</p>	H	M	<p>WWF has collaborated with the government in the past on biodiversity conservation and are expected to play an important role in the management of IAS in the country. It is anticipated that with appropriate information, education, and communication (IEC) and awareness activities, WWF will also help to manage established invaders, lobby for increased government action, and develop public education and outreach initiatives to help prevent further IAS introductions. They will be involved in the consultative process of developing the Vietnam NISSAP</p>
<b><i>National NGOs</i></b>				
SFMI (Sustainable Forest Management Institute)	Sustainable forest management	H	M	<p>SFMI has collaborated with the government in the past on biodiversity conservation and are expected to play an important role in the management of IAS in the country. It is anticipated that with appropriate information, education, and communication (IEC) and awareness activities, SFMI will also help to manage established invaders, lobby for increased government action, and develop public education and outreach initiatives to help prevent further IAS introductions. They</p>

Partner/ Organisation	Responsibility/Role	Interest	Influence	Rating Explanation
				will be involved in the consultative process of developing the Vietnam NISSAP
<b>Private sector</b>				
Nestco Ltd, Tran Duc Group, Khai Vy Corporation and others (VFTN)	Promoting responsible, legal and sustained utilisation of forests.  Representative of VFTN on NSC	M	H	<p>These sectors may have little interest in managing IAS, given their lack of awareness or interests in trade etc around IAS. Once made aware however, these sectors can be highly influential with government and communities with respect to the formulation of policies and strategies to manage IAS.</p> <p>The project aims to work with some companies affiliated to the Vietnam Forest and Trade Network (VFTN) which is part of the Global Forest and Trade Network (GFIN), an alliance of private forest sector companies which, with the support of WWF, are committed to creating market conditions that help to conserve the world's valuable and threatened forests.</p> <p>The project will work with these companies to ensure that IAS are managed in forests, which they utilise on a sustainable basis for timber production.</p>

**ANNEX VIII ASSESSMENT OF PROJECT DESIGN QUALITY**

<b>A.</b>	<b>Project Context and Complexity</b>		<b>YES/NO</b>	<b>Comments/Implications for the evaluation design</b> <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	<b>Section Rating<sup>33</sup>: 5</b>
1	Does the project face an unusually challenging operational environment that is likely to negatively affect project performance?	i) Ongoing/high likelihood of conflict?	<b>No</b>	There were no significant conflicts in these countries at the time of the project that would impact on its delivery.	
ii) Ongoing/high likelihood of natural disaster?		<b>No</b>	The impacts of Climate Change were considered in the risk assessment in the ProDoc but the timescale for impacts was determined to be beyond the life of the project, which is reasonable given it is a 4 year project.		
iii) Ongoing/high likelihood of change in national government?		<b>No</b>	All 4 countries have relatively stable governments in place.		
<b>B.</b>	<b>Project Preparation</b>		<b>YES/NO</b>	<b>Comments/Implications for the evaluation design</b> <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	<b>Section Rating: 5</b>
2	Does the project document entail a clear and adequate problem analysis?		YES	The ProDoc provides a detailed analysis of the IAS problem across Asia and in particular within each country involved in the project.	
3	Does the project document entail a clear and adequate situation analysis?		YES	The ProDoc provides a detailed analysis of the situation at the regional level as well as within each country with respect to institutional frameworks, governance structures, technical capacity and capability, IAS	

<sup>33</sup> Rating system for quality of project design and revision

A number rating 1-6 is used for each section: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1. The overall quality of the evaluation report is calculated by taking a weighted mean score of all rated quality criteria, see below. (For Project Context and Complexity, replace 'un/satisfactory' with 'un/likely')

			management and response to date etc.
4	Does the project document include a clear and adequate stakeholder analysis?	NO	The stakeholder analysis is thorough for each country and at the regional level. Stakeholders have been mapped but a full stakeholder analysis has not been undertaken. Refer Stakeholder Analysis in Section 3 for comments.
5	<i>If yes to Q4: Does the project document provide a description of stakeholder consultation during project design process? (If yes, were any key groups overlooked: government, private sector, civil society and those who will potentially be negatively affected)</i>	YES	Stakeholder participation from both the governmental, private, NGO and community sectors was a priority during the PPG phase to ensure broad national ownership of the project. In addition, regional and international partners/collaborator/stakeholders were identified and engaged in the project development through intensive networking and consultation. There do not appear to be any key groups that were overlooked in this process. A question for the evaluation will be to follow up whether there were positive outcomes from engaging with the private sector involved in trade of IAS during the project that lead to improvements in national policy and regional cooperation around IAS management.
6	Does the project document identify concerns with respect to human rights, including in relation to sustainable development?	i) Sustainable development in terms of integrated approach to human/natural systems	YES The project design team conducted a full assessment of environmental and social risks, through the UNEP 'Checklist for Environmental and Social Issues', which was submitted to GEFSEC separately. The ProDoc notes that the project is expected to have positive environmental and social impacts, by improving IAS management and enhancing regional collaboration in SE Asia. Social and environmental safeguards were integral to the project during its design and development phases and the ProDoc notes that they will also be adhered to during its implementation, for example the mandatory EIA to be conducted on any IAS control measures.
		ii) Gender	Yes There is very little information in the ProDoc regarding gender issues. Section 5 (para 365) makes mention of the importance of women engagement in the project, both in terms of raising their awareness levels and also engaging them in field work. The theory of change for involving women is that women generally perceive IAS as more of a threat than men. A question for the evaluation will be to understand how effective the theory of change regarding engagement of women was to the outcomes achieved and whether there were lessons learned arising. This will also be verified during site visits.
		iii) Indigenous peoples	YES It is important to note that the majority of outcomes being sought for this project are at a national or regional scale. There is little direct community engagement other than through the pilot sites. The Checklist noted that "one of the objectives of the project sponsored (pilot) site management plans is to conduct conflict management with regards the benefits and threats of some IAS to communities, to obtain consensus on site management including IAS control measures, as well as to gain full support from local

				communities to conduct field management activities. This should prevent any conflicts with regards land tenure or access to resources.” It will be important during the evaluation to follow up on how effective the approach to engaging local communities was and what lessons learned were identified.
<b>C</b>	<b>Strategic Relevance</b>	<b>YES/NO</b>	<b>Comments/Implications for the evaluation design</b> <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	<b>Section Rating: 5</b>
7	Is the project document clear in terms of its relevance to:	i) UNEP MTS, PoW and Sub-programme	YES	There is one reference in the ProDoc to the relevance of the project to UNEP MTS, PoW and sub programme in Section 4. It is implied, given that UNEP is the implementing agency for the project that they will be responsible for ensuring alignment.
		ii) Regional, Sub-regional and National environmental issues and needs?	YES	The ProDoc provides clear information and background relating to the environmental issues, gaps and needs at the regional level across Asia, as well as within each country. Refer Sections 2.3 and 2.6. There is further information provided Section 3.6 regarding the relevance to national priorities and plans that relates to environmental aspects also.
		iii) The relevant GEF focal areas, strategic priorities and operational programme(s)? (if appropriate)	YES	Section 2.1 and 2.7 provide clear information on the relevance of the project in relation to GEF priorities and focal areas.
		iv) Key SDG <sup>34</sup> goals and targets	YES	Section 2.1 discusses the relevance of the project to delivering the Aichi Biodiversity Target 9 relating to IAS, although it doesn't actually make reference that this is an Aichi target. Rather it refers to it as the Target 9 of the CBD COP 10 in Nagoya.
8	Does the project address key cross cutting issues?	i) South-South Cooperation <i>(where appropriate)</i>	YES	The ProDoc does not make specific mention of south-south cooperation, however it is clear from Section 2 that regional cooperation is a key factor in the success of this project.
		ii) Bali Strategic Plan	YES	The ProDoc does not make specific mention of the project's relevance to the Bali Strategic Plan for Technology and Capacity Building. Regardless, there is clear discussion in Section 2.3 and 2.4 of the challenges facing the region and countries with respect to capacity building and how the project will work

<sup>34</sup>Depending on the date of project approval and type of intervention the MDGs (2015) or Aichi Biodiversity Targets (2020) may stand as alternatives to the SDGs (2030).

			to strengthen capacity in the countries and at a regional level.	
<b>D</b>	<b>Intended Results and Causality</b>	<b>YES/NO</b>	<b>Comments/Implications for the evaluation design</b> <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	<b>Section Rating: 4</b>
9	Is there a clearly presented Theory of Change?	NO	A TOC is not provided in the ProDoc, however the approach to the project and the rationale and logic behind each outcome area are clearly explained. A logframe is provided in Section 3.4 and Appendix 4. What is presented in these sections is based on experience with previous IAS projects and information from existing national programmes. It is also clear that the gap analysis work undertaken as a part of the PPG led to refinements in the design, for example, of component 2 to have a stronger focus on capacity building at the regional level. It will be important to have the reconstructed TOC confirmed during the evaluation.	
10	Are the causal pathways from project outputs (goods and services) through outcomes (changes in stakeholder behaviour) towards impacts (long term, collective change of state) clearly and convincingly described in either the logframe or the TOC?	NO	The causal pathways are not described in the logframe directly however there is reference in Section 3.4 to how outputs are linked to outcomes and the ultimate impact the project is seeking (aim). While not detailed, it describes how holistically the causal pathways occur, however does not do this specifically as a TOC would do for each component. For example, the GEFSEC review raised a question (Question 8(4)) relating to the relevance of the regional component 2 – causal pathway – given only 4 countries are involved and the lack of rationale. The text in Section 3.3 of the ProDoc were strengthened to address this and it has now provided the causal pathway in some respects, although there are significant assumptions being made (which are not highlighted) around the effectiveness of the outcomes from this project being shared more broadly across the SE Asia region. A question for the evaluation will be whether the design of the project clearly reflected the causal pathway to achieving the outputs, particularly with respect to whether there were any issues, drivers or assumptions that were not identified during the design that impacted greatly on the success.	
11	Are impact drivers and assumptions clearly described for each key causal pathway?	NO	Impact drivers and assumptions are highlighted to some extent in Section 3.4 and then some are listed in Appendix 4 logframe, however it has not been undertaken in a way that clearly is being described for each causal pathway. This is because causal pathways were not implicitly described. See evaluation question for 10.	
12	Are the roles of key actors and stakeholders clearly described for each key causal pathway?	NO	Section 3.4 provides some commentary on key actors and stakeholders for each component, however again as causal pathways not implicitly described, it is at a high level. Appendix 4 logframe does provide some	

			more guidance on which stakeholders will clearly need to be involved though for each component to be successful. How clearly were roles and responsibilities identified for key actors in the project? Where there any challenges and how were these overcome?	
13	Are the outcomes realistic with respect to the timeframe and scale of the intervention?	No	The GEFSEC raised this question in its review (question 8(1)) that the project seemed to be too ambitious and suggested to target few expected outcomes per country, particularly those with less budget allocation. As a result, some changes were made to the components to reduce the scope, size and increase feasibility per the response from UNEP. For example, country specific workplans commensurable with available budgets. This for example has led to having just one pilot site in Cambodia, Philippines, and Vietnam yet two in Indonesia. In the opinion of the Evaluator and given the challenges and limited capacity of the 4 countries with respect to IAS, natural resource management and environmental management and the realities of working within the existing governance frameworks within each country, it seems that while focused on addressing the needs and gaps identified in each country, the project may be too ambitious to expect the outcomes proposed to be delivered within the timeframe of a 4 year project. It is important to note that the workplans were significantly adjusted during the PPG for the countries based on available resources, which greatly vary between the countries. This amongst others means that not all the same sets of outputs will be established in the countries, however all will to a certain extend contribute to achieving the project outcomes, and definitely establish the frameworks for sustainability and replication beyond the life of the project. A key question for the evaluation is how realistic the project was within the timeframe – what lessons have been learned and whether the design could have been different?	
<b>E</b>	<b>Logical Framework and Monitoring</b>	<b>YES/NO</b>	<p><b>Comments/Implications for the evaluation design</b></p> <p><i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i></p> <p><b>Section Rating: 5</b></p>	
14	Does the logical framework	i) Capture the key elements of the Theory of Change/ intervention logic for the project?	YES	Appendix 4 Logframe has captured the key elements of the TOC for the project. A question for the evaluation would be how useful the logframe was and whether it provided enough information for key actors to implement the project?
		ii) Have 'SMART' indicators for outputs?	YES	The Project Results Framework presented in Appendix 4 includes SMART indicators for each expected outcome as well as mid-term and end-of-project targets.
		ii) Have 'SMART' indicators for outcomes?	YES	The Project Results Framework presented in Appendix 4 includes SMART indicators for each expected



			outcome as well as mid-term and end-of-project targets.	
15	Is there baseline information in relation to key performance indicators?	YES	Baseline information has been provided against each indicator in Appendix 4.	
16	Has the desired level of achievement (targets) been specified for indicators of outputs and outcomes?	YES	Desired level of achievement has been specified for each indicator for outputs and outcomes in Appendix 4.	
17	Are the milestones in the monitoring plan appropriate and sufficient to track progress and foster management towards outputs and outcomes?	YES	Monitoring and evaluation of the project will address project execution, delivery of outputs, project performance and project impact. The project M&E plan in Appendix 7 is an expansion of the Project Results Framework presented in Appendix 4, which includes SMART indicators for each expected outcome as well as mid-term and end-of-project targets. These indicators, along with the key deliverables and benchmarks listed in Appendix 6, form the main tools for assessing project implementation progress and whether project results are being achieved. The milestones included are appropriate and sufficient to track progress and foster management towards outputs and outcomes. Responsibility for monitoring rests with the PMU and NCUs in most cases, however partner involvement appears limited. A question for the evaluation would be to understand how effective the monitoring and evaluation plan was and whether the project team, particularly in country had the right level of support to deliver against the plan. It will be important to understand the reasons for delays in delivering key deliverables and milestones, as it is understood that while the project is finished, there are still a number of deliverables outstanding.	
18	Have responsibilities for monitoring activities been made clear?	YES	Monitoring activity responsibilities are clearly identified in Appendix 7 and Appendix 6.	
19	Has a budget been allocated for monitoring project progress?	YES	Appendix 6 provides a budget for each monitoring activity line item which is then summarised in Appendix 1 Budget for the project.	
20	Is the workplan clear, adequate and realistic? <i>(eg. Adequate time between capacity building and take up etc)</i>	YES	The workplan in Appendix 5 is clear, providing the key detailed activities required for each output. The workplan proposed in the ProDoc appears adequate and realistic, with significant time being allocated for endorsement of key deliverables, such as the regional plan. Each country had input into the development of their workplans during the PPG phase.	
<b>F</b>	<b>Governance and Supervision Arrangements</b>	<b>YES/NO</b>	<b>Comments/Implications for the evaluation design</b> <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	<b>Section Rating: 5</b>

21	Is the project governance and supervision model comprehensive, clear and appropriate? ( <i>Steering Committee, partner consultations etc.</i> )	YES	Section 4 and Appendix 10 of the ProDoc outline the project governance and supervision model proposed for the project. It provides clear outlines of the roles and responsibilities of the key positions and functions at the regional and national level. The TOR for key positions are then provided in Appendix 11, however there is little information provided for the TOR for technical specialists here. The structure proposed is quite straightforward and standard for a project of this nature. It appears suitable for this type of project, given its need for regional and national governance. A key question for the evaluation though is How effective was the split in responsibilities between CABI MY and CABI Africa? Did it work well?	
22	Are roles and responsibilities within UNEP clearly defined?	YES	Section 4 provides a clear information on the role and responsibilities of UNEP in the project. A question for the evaluation will be to what extent the oversight and support provided by UNEP was adequate for the project?	
<b>G</b>	<b>Partnerships</b>	<b>YES/NO</b>	<b>Comments/Implications for the evaluation design (e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</b>	<b>Section Rating: 5</b>
23	Have the capacities of partners been adequately assessed?	YES	<p>In Section 2.5, and Section 5 of the ProDoc provide details relating to stakeholders who will be involved in the project and who the main project partners are. Table 4 provides to some extent information on the capacity of the partner organisations identified through listing the other IAS initiatives these organisations are involved with. While there is supporting analysis provided in Section 2.5 about each partner organisation, there is no real assessment of the capacity of each organisation. Information provided about international partners is more comprehensive in terms of outlining capacity than for national partners. Section 2.3 (threats, root causes and barriers analysis) and Section 2.6 (baseline analysis and gaps) provide more insight into the capacity, or lack of it with national partner organisations. The assessments provided in these two sections are adequate.</p> <p>A key question for the evaluation will be to understand how effective the assessment of capacity levels was for each country and whether there an underestimation of the capacity levels within each country, and if this impacted greatly on the project? From a design perspective, what could have been done to better understand capacity?</p>	
24	Are the roles and responsibilities of external partners properly specified and appropriate to their capacities?	YES	Section 2.5, Table 4 outlines the roles and responsibilities of external partners clearly.	

H	Learning, Communication and Outreach	YES/NO	Comments/Implications for the evaluation design <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	Section Rating: 5
25	Does the project have a clear and adequate knowledge management approach?	YES	A multisectoral approach to knowledge management and dissemination is key to the successful uptake of the project outputs. There is no specific section within the ProDoc that discusses knowledge management in detail. It is clear however through Components 2 and 5 that the project seeks to systematically collate existing information (inventories, databases, etc.) and link to global initiatives such as GISIN as well as regional initiatives, particularly the ACB and APFISN (website). Activities are built into the workplan relating to knowledge management and learning networks in these components and discussed in Section 3.3. There is good intention built into component 5 that it will target a wide range of stakeholders to ensure that the project findings are translated into accessible messages, recommendations and guidelines that will lead to positive action against forest IAS at every stakeholder level from senior policy makers to the general public. The ProDoc however notes that the means of dissemination of information on IAS will largely depend on country budgets and be limited in Cambodia and the Philippines. A question for the evaluation will be how effective communication and knowledge management approaches adopted for the project were? What were the impacts on the success of outcomes within those countries with less budget to undertake these activities?	
26	Has the project identified appropriate methods for communication with key stakeholders during the project life? If yes, do the plans build on an analysis of existing communication channels and networks used by key stakeholders?	YES	Communication and information are crucial for tackling regional and multisectoral issues such as IAS. The design of the FSP recognises this by dedicating a whole component of the project (Component 5) to knowledge management and communications. There is however no detailed communications strategy provided within the ProDoc other than an outline of the strategy in Section 3.10. Here it notes that each country is responsible for developing their own communication strategy relating to the project, but it makes no mention of a regional strategy. Rather at a regional level it refers just to dissemination of information. Section 3.3 provides an outline that a regional awareness/communications strategy would be developed under Component 5 activities. The activities proposed build upon existing networks and mechanisms in place at the regional level as well as within each country.	
27	Are plans in place for dissemination of results and lesson sharing at the end of the project? <i>If yes, do they build on an analysis of existing communication channels and networks?</i>	YES	Section 3.10 provides an overview of the plans for dissemination of results and lesson sharing at the end of the project, using existing regional networks out to a broader audience.	

<b>I</b>	<b>Financial Planning / Budgeting</b>	<b>YES/NO</b>	<b>Comments/Implications for the evaluation design</b> <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	<b>Section Rating: 5</b>
28	Are there any obvious deficiencies in the budgets / financial planning at design stage? <i>(coherence of the budget, do figures add up etc.)</i>	NO	During the PPG, the project design was been reduced down in scope, size and increase feasibility from that proposed under the PIF as a result of serious resource constraints within countries, particularly Cambodia and Philippines. This was in response to comments received from the GEFSEC (Question 8(1)). Resource allocation has been more targeted as a result and not all project components are fully applied in each country. It should be noted that adhoc Technical Advisory Groups/ Working Groups are proposed and discussed in Section 4, however there is no budget line allocated for these. There was however a regional working group on BioControl under component 2 which was used to fund these adhoc groups (from the consultancy line item). Other than that, the budget provided in Appendix 1 does not appear to have any obvious deficiencies, is well constructed to the activity level and adds up correctly. A question for the evaluation will be to what extent these adhoc advisory groups were used?	
29	Is the resource mobilization strategy reasonable/realistic? <i>(If it is over-ambitious it may undermine the delivery of the project outcomes or if under-ambitious may lead to repeated no cost extensions)</i>	YES	The Co-financing for the project reduced from the PIF stage from 1:1.18 to 1:1.09. The GEFSEC raised this as a question, requesting a higher level of cofinancing be identified, particularly from UNEP. Additional resources were identified by the PPG and the additional co-funding commitments at the final ProDoc stage was 1:1.22 which was accepted by the GEFSEC.	
<b>J</b>	<b>Efficiency</b>	<b>YES/NO</b>	<b>Comments/Implications for the evaluation design</b> <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	<b>Section Rating: 5</b>
30	Has the project been appropriately designed/adapted in relation to the duration and/or levels of secured funding?	YES	At the PPG phase there was intensive consultation and engagement with the countries involved to ensure the project was appropriately designed and adaptation was built in to allow for changes in circumstances over its duration. The GEFSEC asked a question (Question 8(2)) around cost efficiencies which were adequately dealt with through the design and is summarised in Section 7.3.	
31	Does the project design make use of / build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives,	YES	The project design is based on the experience and lessons from the Africa IAS GEF project. This design has subsequently been tailored to suit the situation for SE Asia, as noted throughout the ProDoc in Section 2 and 3. The tailored design for this project builds on existing agreements and partnerships across the region and	

	programmes and projects etc. to increase project efficiency?		within countries as described in the stakeholder mapping (Section 2.5) and in Section 3.3 and 3.4.	
32	Does the project document refer to any value for money strategies (ie increasing economy, efficiency and/or cost-effectiveness)?	YES	There is a strong focus on cost efficiencies in the ProDoc, linking to building sustainability into the project (refer Section 3.8). In particular, the focus on cost recovery activities for Indonesia is a good example of this (outlined in Section 3.3).	
33	Has the project been extended beyond its original end date? <i>(If yes, explore the reasons for delays and no-cost extensions during the evaluation)</i>	YES	There was one non-cost extension to the project granted. The reasons for this will be explored during the evaluation.	
<b>K</b>	<b>Risk identification and Social Safeguards</b>	<b>YES/NO</b>	<b>Comments/Implications for the evaluation design</b> <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	<b>Section Rating: 5</b>
34	Are risks appropriately identified in both the ToC/logic framework and the risk table? <i>(If no, include key assumptions in reconstructed TOC)</i>	YES	Section 3.5 provides a risk analysis for the project that is adequate and reflects the key risks likely to be encountered in a project of this nature. Risks were also identified by way of assumptions in the results framework in Appendix 4. These have been incorporated into the reconstructed TOC developed by the evaluator.	
35	Are potentially negative environmental, economic and social impacts of the project identified and is the mitigation strategy adequate? <i>(consider unintended impacts)</i>	YES	The risk analysis is relatively comprehensive and mitigations appear reasonable as stated in Section 3.5, Table 15. Unintended impacts have been considered adequately in the risk table and Appendix 4 results framework.	
36	Does the project have adequate mechanisms to reduce its negative environmental foot-print? <i>(including in relation to project management)</i>	YES	The project is unlikely to have a negative environmental footprint given its focus. The use of herbicides provides the key likely negative environmental impact and this has been addressed in the risk analysis (Section 3.5, Table 15) through mitigating via using Environmental Impact Assessments at project sites.	
<b>L</b>	<b>Sustainability / Replication and Catalytic Effects</b>	<b>YES/NO</b>	<b>Comments/Implications for the evaluation design</b> <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	<b>Section Rating: 5</b>
37	Was there a credible sustainability strategy at design stage?	YES	The very design of the project, its component activities and outputs are key elements contributing to and enhancing sustainability of project outcomes beyond the project. The focus on strengthening institutional frameworks, policies, building capacity, cost recovery (for Indonesia), regional coordination and knowledge	

			<p>management all provide opportunity for the project outcomes to continue to be built upon beyond the life of the project. This strategy however is based on a significant assumption that government and other stakeholder support will be such at the end of the project to ensure ongoing investment occurs. This means the component activities relating to communications and awareness raising etc (which have been left to the countries to do themselves) needs to be a success. Perhaps, this may be too ambitious, given some countries (Philippines and Cambodia) have significant budget restrictions. A question for the evaluation is to what extent the sustainability strategy proposed in the ProDoc has been a successful one.</p>	
38	Does the project design include an appropriate exit strategy?	NO	<p>There is no exit strategy per se documented in the ProDoc, however Section 3.10 (Sustainability), as noted above outlines how the project design sought to build sustainability into it and effectively provide for an exit strategy. There is however potentially a gap in this design approach as there is a significant reliance on technical consultants to provide technical support to national teams. While there is some focus in Component 3 on building capacity in technical areas such as research and through the pilot projects in Component 4, it is unlikely that sufficient capacity would be built to make countries self reliant due the limited budget. A question for the evaluation will be to follow up on whether this was indeed the case and how effective countries have been in continuing on implementing their IAS strategies and plans since the project.</p>	
39	Does the project design present strategies to promote/support scaling up, replication and/or catalytic action?	YES	<p>Section 3.9 in the ProDoc addresses replication and catalytic action adequately, providing a number of strategies that have been built into the design of the components to facilitate this. A question for the evaluation will be how effective this approach has been post project.</p>	
40	Did the design address any/all of the following: socio-political, financial, institutional and environmental sustainability issues?	YES	<p>The design addresses all these issues.</p>	
<b>M</b>	<b>Identified Project Design Weaknesses/Gaps</b>	<b>YES/NO</b>	<p><b>Comments/Implications for the evaluation design</b> <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i></p>	<p><b>Section Rating: 5</b></p>
41	Were there any major issues not flagged by PRC?	NO	<p>n/a</p>	
42	What were the main issues raised by PRC that were not addressed?	N/A	<p>All issues raised by the PRC were addressed during the PPG in the ProDoc.</p>	

## ANNEX IX SHORT CV OF THE EVALUATOR

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Anissa Lawrence brings extensive experience in undertaking international desktop studies, reviews and in biodiversity conservation policy development, particularly for the Coral Triangle and Pacific region. She has a good understanding of and experience in invasive species programs both in the terrestrial and marine environments globally, understands the management and institutional issues involved and is familiar with many SE Asian governments and regional institutions. She has a strong history of effective project management and experience with international funding and project proposal development and capacity assessments. She has led and worked in a number of multi disciplinary international teams and is a strong project manager with a proven track record in stakeholder consultation. Her CV is included for your consideration.

With a diverse background in environmental science, natural resource management (NRM) and conservation, environmental communication, business and risk management, Anissa has over 24 years experience in developing and communicating strategic solutions and managing people, projects and businesses towards sustainability, particularly with respect to biodiversity conservation and natural resource management issues. As the Managing Director and Founder of TierraMar, Anissa has worked to build the capacity of Natural Resource Management (NRM) and conservation program delivery agents to achieve better outcomes across Asia Pacific. This work has included strategic assistance to develop regional and national conservation frameworks, program development, implementation and assessment, monitoring and evaluation, and the review of on-the-ground conservation and NRM projects.

She has a good working knowledge of the process of developing and implementing internationally funded regional projects in a developing country context, having successfully prepared project proposals and undertaken a number of evaluations, capacity assessments and strategic planning projects across the Asia Pacific region. She has strong skills in synthesizing scientific information for plain writing and undertaking stakeholder engagement, working at all levels from Minister to community. She has been actively working in the IAS space for the past 16 years on and off, mostly with respect to IAS programs for coastal and wetland habitats in Australia, the Coral Triangle and Pacific regions. More recently, over the last 8 years she has also worked on a number of forest and related protected area projects in SE Asia, particularly in Indonesia.

Anissa has previously held leadership positions in a number of Australian conservation NGOs where she focused on improving the sustainability of Australian fisheries and coastal and marine ecosystems. In these roles she provided effective policy and governance advice and delivered industry, government and community partnerships, as well effective large scale strategic education and capacity building, communication and on-the-ground coastal catchments and habitat and species conservation and rehabilitation programs.

She has held senior positions in a number of leading international consulting and professional services firms where she provided expertise in environmental, business, operational and technological risk management, systems and process design and control, and strategic planning and management. Anissa has worked across nearly every industry sector and with all types of organisations from blue chip companies to government departments both nationally and internationally in this capacity.

Anissa has a Bachelor of Business and a Masters in Environmental Science. She is also an Australian Chartered Accountant and Certified Environmental Practitioner (CEnvP).

## ANNEX X QUALITY ASSESSMENT OF THE EVALUATION REPORT

All UN Environment evaluations are subject to a quality assessment by the Evaluation Office. This is an assessment of the quality of the evaluation product (i.e. evaluation report) and is dependent on more than just the consultant's efforts and skills. Nevertheless, the quality assessment is used as a tool for providing structured feedback to the evaluation consultants, especially at draft report stage. This guidance is provided to support consistency in assessment across different Evaluation Managers and to make the assessment process as transparent as possible.

	UN Environment Evaluation Office Comments	Draft Report Rating	Final Report Rating
<b>Substantive Report Quality Criteria</b>			
<p><b>Quality of the Executive Summary:</b> The Summary should be able to stand alone as an accurate summary of the main evaluation product. It should include a concise overview of the evaluation object; clear summary of the evaluation objectives and scope; overall evaluation rating of the project and key features of performance (strengths and weaknesses) against exceptional criteria (plus reference to where the evaluation ratings table can be found within the report); summary of the main findings of the exercise, including a synthesis of main conclusions (which include a summary response to key strategic evaluation questions), lessons learned and recommendations.</p>	<p>Draft report: The executive summary is well written. Summary of response to key questions would strengthen the section.</p> <p>Final report: Same as above</p>	MS	MS
<p><b>I. Introduction</b> A brief introduction should be given identifying, where possible and relevant, the following: institutional context of the project (sub-programme, Division, regions/countries where implemented) and coverage of the evaluation; date of PRC approval and project document signature); results frameworks to which it contributes (e.g. Expected Accomplishment in POW); project duration and start/end dates; number of project phases (where appropriate); implementing partners; total secured budget and whether the project has been evaluated in the past (e.g. mid-term, part of a synthesis evaluation, evaluated by another agency etc.) Consider the extent to which the introduction includes a concise statement of the purpose of the evaluation and the key intended audience for the findings?</p>	<p>Draft report: The introduction provides a concise but comprehensive overview of the project and the evaluation.</p> <p>Final report: Same as above</p>	HS	HS
<p><b>II. Evaluation Methods</b> This section should include a description of how the <i>TOC at Evaluation</i><sup>35</sup> was designed (who was involved etc.) and applied to the context of the project? A data collection section should include: a description of evaluation methods and information sources used, including the number and type of respondents; justification for methods used (e.g. qualitative/quantitative; electronic/face-to-face); any selection criteria used to identify respondents, case studies or sites/countries visited; strategies used to increase stakeholder engagement and consultation; details of how data were verified (e.g. triangulation, review by stakeholders etc.). The methods used to analyse data (e.g. scoring; coding; thematic analysis etc.) should be described. It should also address evaluation limitations such as: low or imbalanced response rates across different groups; extent to which findings can be either generalised to wider evaluation questions or</p>	<p>Draft report: Evaluation methods and information sources have been adequately described.</p> <p>Final report: Same as above</p>	S	S

<sup>35</sup> During the Inception Phase of the evaluation process a *TOC at Design* is created based on the information contained in the approved project documents (these may include either logical framework or a TOC or narrative descriptions). During the evaluation process this TOC is revised based on changes made during project intervention and becomes the *TOC at Evaluation*.



<p>constraints on aggregation/disaggregation; any potential or apparent biases; language barriers and ways they were overcome. Ethics and human rights issues should be highlighted including: how anonymity and confidentiality were protected and strategies used to include the views of marginalised or potentially disadvantaged groups and/or divergent views.</p>			
<p><b>III. The Project</b> This section should include:</p> <ul style="list-style-type: none"> <li>• <i>Context:</i> Overview of the main issue that the project is trying to address, its root causes and consequences on the environment and human well-being (i.e. synopsis of the problem and situational analyses).</li> <li>• <i>Objectives and components:</i> Summary of the project's results hierarchy as stated in the ProDoc (or as officially revised)</li> <li>• <i>Stakeholders:</i> Description of groups of targeted stakeholders organised according to relevant common characteristics</li> <li>• <i>Project implementation structure and partners:</i> A description of the implementation structure with diagram and a list of key project partners</li> <li>• <i>Changes in design during implementation:</i> Any key events that affected the project's scope or parameters should be described in brief in chronological order</li> <li>• <i>Project financing:</i> Completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing</li> </ul>	<p>Draft report: Project context and description have been adequately presented. Pilot sites could be presented in more detail.</p> <p>Final report: Description of project is well prepared.</p>	S	HS
<p><b>IV. Theory of Change</b> A summary of the project's results hierarchy should be presented for: a) the results as stated in the approved/revised Prodoc logframe/TOC and b) as formulated in the TOC at Evaluation. <i>The two results hierarchies should be presented as a two column table to show clearly that, although wording and placement may have changed, the results 'goal posts' have not been 'moved'.</i> The TOC at Evaluation should be presented clearly in both diagrammatic and narrative forms. Clear articulation of each major causal pathway is expected, (starting from outputs to long term impact), including explanations of all drivers and assumptions as well as the expected roles of key actors.</p>	<p>Draft report: The ToC is well presented, including a detailed narrative and supporting diagram.</p> <p>Final report: Same as above.</p>	HS	HS
<p><b>V. Key Findings</b></p> <p><b>A. Strategic relevance:</b> This section should include an assessment of the project's relevance in relation to UN Environment's mandate and its alignment with UN Environment's policies and strategies at the time of project approval. An assessment of the complementarity of the project with other interventions addressing the needs of the same target groups should be included. Consider the extent to which all four elements have been addressed:</p> <ol style="list-style-type: none"> <li>1. Alignment to the UN Environment Medium Term Strategy (MTS) and Programme of Work (POW)</li> <li>2. Alignment to UN Environment/GEF/Donor Strategic Priorities</li> <li>3. Relevance to Regional, Sub-regional and National Environmental Priorities</li> <li>4. Complementarity with Existing Interventions</li> </ol>	<p>Draft report: Strategic relevance has been well discussed.</p> <p>Final report: Same as above.</p>	HS	HS
<p><b>B. Quality of Project Design</b> To what extent are the strength and weaknesses of the project design effectively <u>summarized</u>?</p>	<p>Draft report: The quality of project design has been well discussed. The quality assessment table could be included as an annex.</p> <p>Final report: Same as above.</p>	S	S

<p><b>C. Nature of the External Context</b> For projects where this is appropriate, key external features of the project's implementing context that may have been reasonably expected to limit the project's performance (e.g. conflict, natural disaster, political upheaval) should be described.</p>	<p>Draft report: The section could be clarified by identifying any possible differences between the countries and explaining how e.g. forest fires will affect IAS.  Final report: Same as above.</p>	MS	MS
<p><b>D. Effectiveness</b> <b>(i) Outputs and Direct Outcomes:</b> How well does the report present a well-reasoned, complete and evidence-based assessment of the achievement of a) outputs, and b) direct outcomes? How convincing is the discussion of attribution and contribution, as well as the limitations to attributing effects to the intervention.</p>	<p>Draft report: The report provides a comprehensive assessment of the achievement of outputs and direct outcomes.  Final report: Same as above.</p>	S	S
<p><b>(ii) Likelihood of Impact:</b> How well does the report present an integrated analysis, guided by the causal pathways represented by the TOC, of all evidence relating to likelihood of impact? How well are change processes explained and the roles of key actors, as well as drivers and assumptions, explicitly discussed?</p>	<p>Draft report: The assessment is well substantiated, although some clarifications are desirable.  Final report: Same as above.</p>	S	S
<p><b>E. Financial Management</b> This section should contain an integrated analysis of all dimensions evaluated under financial management. And include a completed 'financial management' table. Consider how well the report addresses the following:</p> <ul style="list-style-type: none"> <li>• <i>completeness</i> of financial information, including the actual project costs (total and per activity) and actual co-financing used</li> <li>• <i>communication</i> between financial and project management staff and</li> <li>• <i>compliance</i> with relevant UN financial management standards and procedures.</li> </ul>	<p>Draft report: Information on expenditure and co-financing are missing due to limited information from the project. The report provides a good assessment based on the information available. Final report: Same as above. <i>(if this section is rated poorly as a result of limited financial information from the project, this is not a reflection on the consultant per se, but will affect the quality of the evaluation report)</i></p>	MU	MU
<p><b>F. Efficiency</b> To what extent, and how well, does the report present a well-reasoned, complete and evidence-based assessment of efficiency under the primary categories of cost-effectiveness and timeliness including:</p> <ul style="list-style-type: none"> <li>• Implications of delays and no cost extensions</li> <li>• Time-saving measures put in place to maximise results within the secured budget and agreed project timeframe</li> <li>• Discussion of making use of/building on pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc.</li> <li>• The extent to which the management of the project minimised UN Environment's environmental footprint.</li> </ul>	<p>Draft report: The report provides a good assessment of efficiency.  Final report: Same as above.</p>	S	S
<p><b>G. Monitoring and Reporting</b> How well does the report assess:</p> <ul style="list-style-type: none"> <li>• Monitoring design and budgeting (<i>including SMART indicators, resources for MTE/R etc.</i>)</li> <li>• Monitoring of project implementation (<i>including use of monitoring data for adaptive management</i>)</li> <li>• Project reporting (<i>e.g. PIMS and donor report</i>)</li> </ul>	<p>Draft report: The report presents a good assessment of monitoring and reporting.  Final report: Same as above.</p>	S	S
<p><b>H. Sustainability</b> How well does the evaluation identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved direct outcomes including:</p> <ul style="list-style-type: none"> <li>• Socio-political Sustainability</li> <li>• Financial Sustainability</li> <li>• Institutional Sustainability (<i>including issues of</i></li> </ul>	<p>Draft report: sustainability has been discussed quite comprehensively. However, sustainability at the regional level should also be discussed.</p>	MS	S

<i>partnerships)</i>	Final report: Same as above.		
<b>I. Factors Affecting Performance</b> These factors are <u>not</u> discussed in stand-alone sections but are <b>integrated in criteria A-H as appropriate</b> . To what extent, and how well, does the evaluation report cover the following cross-cutting themes: <ul style="list-style-type: none"> <li>• Preparation and readiness</li> <li>• Quality of project management and supervision<sup>36</sup></li> <li>• Stakeholder participation and co-operation</li> <li>• Responsiveness to human rights and gender equity</li> <li>• Country ownership and driven-ness</li> <li>• Communication and public awareness</li> </ul>	Draft report: Factors affecting performance have been well discussed. The report structure followed the ToR.  Final report: Same as above.	S	S
<b>VI. Conclusions and Recommendations</b>  <b>i. Quality of the conclusions:</b> The key strategic questions should be clearly and succinctly addressed within the conclusions section? It is expected that the conclusions will highlight the main strengths and weaknesses of the project, and connect them in a compelling story line. Conclusions, as well as lessons and recommendations, should be consistent with the evidence presented in the main body of the report.	Draft report: Conclusions section should answer the key strategic questions. The section presents a good synthesis of strengths and weaknesses of the project.  Final report: Conclusions are well presented.	MS	S
<b>ii) Quality and utility of the lessons:</b> Both positive and negative lessons are expected and duplication with recommendations should be avoided. Based on explicit evaluation findings, lessons should be rooted in real project experiences or derived from problems encountered and mistakes made that should be avoided in the future. Lessons must have the potential for wider application and use and should briefly describe the context from which they are derived and those contexts in which they may be useful.	Draft report: Lessons are based on evaluation findings, but the number of lessons could be reduced to only focus on the most important ones. Lessons could more clearly describe the context from which they are derived from and to clearly present the proposed action.  Final report: Lessons are well presented.	MS	HS
<b>iii) Quality and utility of the recommendations:</b> To what extent are the recommendations proposals for specific actions to be taken by identified people/position-holders to resolve concrete problems affecting the project or the sustainability of its results. They should be feasible to implement within the timeframe and resources available (including local capacities) and specific in terms of who would do what and when. Recommendations should represent a measurable performance target in order that the Evaluation Office can monitor and assess compliance with the recommendations.	Draft report: Recommendations are based on evaluation findings. Several of the proposed recommendations are rather lessons, since they are not time-bound and specific to the context of this project. They should be revised.  Final report: Recommendations are well presented.	MS	S
<b>VII. Report Structure and Presentation Quality</b>			
<b>i) Structure and completeness of the report:</b> To what extent does the report follow the Evaluation Office guidelines? Are all requested Annexes included and complete?	Draft report: The report follows Evaluation Office guidelines. Financial information is missing due to the project.  Final report: Same as above.	S	S
<b>ii) Quality of writing and formatting:</b> Consider whether the report is well written (clear English language and grammar) with language that is adequate in quality and tone for	Draft report: The report is very well written and formatted.	HS	HS

<sup>36</sup> In some cases 'project management and supervision' will refer to the supervision and guidance provided by UN Environment to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UN Environment.

an official document? Do visual aids, such as maps and graphs convey key information? Does the report follow Evaluation Office formatting guidelines?	Final report:		
<b>OVERALL REPORT QUALITY RATING</b>		S	S

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1. The overall quality of the evaluation report is calculated by taking the mean score of all rated quality criteria.

At the end of the evaluation compliance of the evaluation process against the agreed standard procedures is assessed, based on the table below. *All questions with negative compliance must be explained further in the table below.*

Evaluation Process Quality Criteria	Compliance	
	Yes	No
<b>Independence:</b>		
1. Were the Terms of Reference drafted and finalised by the Evaluation Office?	X	
2. Were possible conflicts of interest of proposed Evaluation Consultant(s) appraised and addressed in the final selection?	X	
3. Was the final selection of the Evaluation Consultant(s) made by the Evaluation Office?	X	
4. Was the evaluator contracted directly by the Evaluation Office?	X	
5. Was the Evaluation Consultant given direct access to identified external stakeholders in order to adequately present and discuss the findings, as appropriate?	X	
6. Did the Evaluation Consultant raise any concerns about being unable to work freely and without interference or undue pressure from project staff or the Evaluation Office?		X
7. If Yes to Q6: Were these concerns resolved to the mutual satisfaction of both the Evaluation Consultant and the Evaluation Manager?		
<b>Financial Management:</b>		
8. Was the evaluation budget approved at project design available for the evaluation?	X	
9. Was the final evaluation budget agreed and approved by the Evaluation Office?	X	
10. Were the agreed evaluation funds readily available to support the payment of the evaluation contract throughout the payment process?		X
<b>Timeliness:</b>		
11. If a Terminal Evaluation: Was the evaluation initiated within the period of six months before or after project operational completion? Or, if a Mid Term Evaluation: Was the evaluation initiated within a six month period prior to the project's mid-point?	X	
12. Were all deadlines set in the Terms of Reference respected, as far as unforeseen circumstances allowed?		X
13. Was the inception report delivered and reviewed/approved prior to commencing any travel?	X	
<b>Project's engagement and support:</b>		
14. Did the project team, Sub-Programme Coordinator and identified project stakeholders provide comments on the evaluation Terms of Reference?	X	
15. Did the project make available all required/requested documents?		X

16. Did the project make all financial information (and audit reports if applicable) available in a timely manner and to an acceptable level of completeness?		X
17. Was adequate support provided by the project to the evaluator(s) in planning and conducting evaluation missions?	X	
18. Was close communication between the Evaluation Consultant, Evaluation Office and project team maintained throughout the evaluation?	X	
19. Were evaluation findings, lessons and recommendations adequately discussed with the project team for ownership to be established?	X	
20. Did the project team, Sub-Programme Coordinator and any identified project stakeholders provide comments on the draft evaluation report?	X	
<b>Quality assurance:</b>		
21. Were the evaluation Terms of Reference, including the key evaluation questions, peer-reviewed?	X	
22. Was the TOC in the inception report peer-reviewed?	X	
23. Was the quality of the draft/cleared report checked by the Evaluation Manager and Peer Reviewer prior to dissemination to stakeholders for comments?	X	
24. Did the Evaluation Office complete an assessment of the quality of both the draft and final reports?	X	
<b>Transparency:</b>		
25. Was the draft evaluation report sent directly by the Evaluation Consultant to the Evaluation Office?	X	
26. Did the Evaluation Manager disseminate (or authorize dissemination) of the cleared draft report to the project team, Sub-Programme Coordinator and other key internal personnel (including the Reference Group where appropriate) to solicit formal comments?	X	
27. Did the Evaluation Manager disseminate (or authorize dissemination) appropriate drafts of the report to identified external stakeholders, including key partners and funders, to solicit formal comments?	X	
28. Were all stakeholder comments to the draft evaluation report sent directly to the Evaluation Office?	X	
29. Did the Evaluation Consultant(s) prepare a response to all comments?	X	
30. Did the Evaluation Office share all comments and Evaluation Consultant responses with all those who were invited to comment?	X	

**Provide comments / explanations / mitigating circumstances below for any non-compliant process issues.**

**Process      Evaluation Office Comments**

**Criterion**

**Number**

- |    |  |
|----|--|
| 10 | Some delays were encountered accessing the evaluation budget during contract preparation phase.  |
| 12 | Delays were encountered at several phases of the evaluation.   |
| 15 | Some documents, such as project terminal report, final financial report and co-financing report were not completed by the project before the TE was completed. |
| 16 | Some financial reports were not prepared by the project before the TE was completed.   |