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EVALUATION OF COMMUNITY-BASED APPROACHES AT THE GEF

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ABBREVIATIONS

CBA	community-based approach
CBD	Convention on Biological Diversity
CEO	Chief Executive Officer
CSO	civil society organization
EP3	Support to the Madagascar Foundation for Protected Areas and Biodiversity through Additional Financing to the Third Environment Support Program Project
FAO	Food and Agriculture Organization of the United Nations
FPIC	free, prior, and informed consent
FSP	full-size project
GEF	Global Environment Facility
ICI	Inclusive Conservation Initiative
IEO	Independent Evaluation Office
IFAD	International Fund for Agricultural Development
IPAG	Indigenous Peoples Advisory Group
IPLC	indigenous peoples and local communities
IUCN	International Union for Conservation of Nature
LDCF	Least Developed Countries Fund
M&E	monitoring and evaluation
MRPA	Madagascar's Network of Managed Resource Protected Areas
MSP	medium-size project
SCCF	Special Climate Change Fund
SDG	Sustainable Development Goal
SFM	sustainable forest management
SGP	Small Grants Programme
SPARC	Strategic Planning and Action to Strengthen Climate Resilience of Rural Communities
STAP	Scientific and Technical Advisory Panel
UNCCD	United Nations Convention on Combating Desertification
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNIDO	United Nations Industrial Development Organization

WWF-US World Wildlife Fund-US

EXECUTIVE SUMMARY

1. **Community-based approaches (CBAs) involve communities and people in projects with both social and environmental objectives.** CBAs give voice and decision-making authority to project beneficiaries, making them active participants rather than passive targets. CBAs play an important role in enhancing governance, and the inclusions and empowerment of communities – all of which can contribute to the durability and ownership of investments. They are thus an essential tool for project designers working at the environment-development nexus. While the use of CBAs is not mandated within the Global Environment Facility (GEF), the GEF and its Agencies have used CBAs for decades, notably in the Small Grants Programme (SGP).

2. **This evaluation systematically assesses whether CBAs are present in GEF projects and programs, their characteristics, and how these approaches influence the effectiveness and sustainability of GEF interventions to provide evidenced-based lessons on their best use.** In addition to looking at how CBAs affected and influenced the environmental outcomes of GEF projects, the evaluation also examines the impact of CBAs on socioeconomic co-benefits, gender equality, and inclusion in the GEF. The evaluation used a mixed methods approach, including a review of completed and ongoing GEF projects that apply a community-based approach; geospatial analysis; five country case studies; and interviews with stakeholders from communities, national, local, and regional governments, civil society, GEF Agencies, the GEF Secretariat, the Indigenous Peoples Advisory Group, and the GEF Civil Society Organization. The evaluation portfolio of 190 projects applying a community-based approach from GEF-4 through GEF-7 amounted to \$1.02 billion in GEF funding, or 4.9 percent of total GEF funding between the start of GEF-4 and May 2022, and cofinancing of \$7.7 billion.

3. **To characterize the variation in the extent to which GEF projects utilize CBAs, the evaluation team adapted a framework used throughout the evaluation, covering six dimensions of CBA good practice.** The six dimensions are devolved decision making, devolved financial and technical resources, incorporation of local institutions and customs, legitimacy in the eyes of users, accountability of implementors to users and human rights and equality. The spectrum is used to delineate three levels of CBA utilization and also to assess GEF CBA projects' alignment with good practice.

Conclusions

4. **CBAs are relevant for the GEF as reflected in their presence in the multilateral environmental agreements; GEF projects, programs, and policies; and national priorities.** Although the approach is not mandated in the GEF, there is language that reflects key dimensions of CBAs (including active participation in project design and implementation) in the conventions the GEF serves, especially the UNCCD, the CBD, and the UNFCCC. Consistent with convention guidance, GEF focal area strategies—especially those for biodiversity, land degradation, and climate change adaptation—contain references to key CBA concepts, and in some instances directly reference the application of CBAs. The GEF policies that focus on inclusion also include language supportive of CBAs, although without mandating the approach.

GEF projects using CBAs broadly align with country priorities, although the extent to which countries are supportive of decentralizing decision-making to the community level and implementing comprehensive participatory approaches varies. GEF financing has provided opportunities for countries to innovate using CBAs.

5. **GEF CBA projects are in partial alignment with good practice, with some improvements in recently designed projects relative to older projects.** Only a minority of the CBA projects identified are considered to be “comprehensive,” with above-average ratings along the six dimensions of good practice. Areas of improvement include going beyond consultations to actively involving communities in decision-making, incorporation of local institutions and customs, ensuring the accountability of implementers to users, and recognition of human rights and equality. The devolution of financial and technical resources to communities—an important aspect of CBAs—has declined in recent projects. Almost 75 percent of recently designed projects did not mention or describe devolving resources as part of the project design. The share of projects that devolved financial and technical resources to communities decreased from 30 percent for completed projects to 23 percent for ongoing projects.

6. **Strong examples of GEF projects or programs that support CBAs are found in the SGP and the Inclusive Conservation Initiative (ICI).** The SGP has a long history of supporting CBAs and is a built-in resource and mechanism for identifying bottom-up initiatives with a track record of implementation success and existing capacity. There were few examples from the evaluation portfolio of financial resources flowing to communities for self-management, although there are mechanisms in the GEF that support CBAs such as the SGP and the ICI.

7. **The GEF project cycle presents some challenges for implementing CBA projects, both in terms of involving local stakeholders in design, and in allowing enough time to see results before project close.** The amount of time and resources allocated during project preparation can limit the ability to conduct the outreach, engagement, and analysis that would allow projects to reflect the needs of communities as identified by the communities themselves. Furthermore, CBA projects typically involve more upfront activities with communities, such as socialization, group formation or reinforcement, capacity building, and participatory planning processes before other project activities such as small-scale infrastructure and livelihoods activities (selected by the communities) can be provided and supported by facilitators. The three- to five-year project cycle does not always allow enough time for conducting all these activities before project close.

8. **Monitoring of CBA processes in MSPs and FSPs is weak.** There is limited evidence of CBA projects tracking indicators that reflect activities central to processes associated with CBAs—such as the ability of groups to govern, the number of resources under the control of communities, the inclusion of vulnerable groups, community scorecards, actions taken to address any complaints, and participation in leadership roles and decision-making. The lack of data and indicators limits the GEF’s ability to adaptively manage CBA projects.

9. **The GEF's CBA projects have become more inclusive of women, IPLCs, and youth over time, although systemic inequalities have not yet been addressed.** Women, youth, and IPLCs are included more frequently in more recently designed projects. However, the extent to which projects explicitly address systemic inequalities that prevent their participation, particularly of women, was unclear.

10. **GEF CBA projects were associated with better performance ratings.** Projects that adopt a community-based approach are associated with higher outcome ratings than the overall GEF portfolio. CBA projects are also associated with more frequent achievement of improved environmental conditions—such as improved land management, land restoration, carbon sequestration, reduction of wildlife poaching and illegal logging, endangered species protection, and water quality improvement—as well as broader adoption and socioeconomic co-benefits related to resilience, livelihoods improvement, poverty reduction, governance, and empowerment.

11. **The sustainability of CBA project outcomes postcompletion was frequently associated with behavior change, and to some extent alternative livelihoods.** Livelihoods activities were more likely to continue past project close if the activity was relevant for the local context; linked to local markets; and received continued support from the private sector, civil society, or another project. The processes associated with CBAs are best supported with continued engagement to ensure that targeted environmental and socioeconomic co-benefits are sustained. This conclusion aligns with the IEO's finding in the 2017 Annual Performance Report that high stakeholder buy-in, financial support for follow-up, and sustained efforts by the executing agency contributed to higher outcomes during post-implementation (GEF 2019b). Furthermore, previous IEO evaluations have identified factors that contribute to sustainability such as income-generating activities that link local community benefits to improved environmental management. Across country cluster evaluations conducted by the IEO, low stakeholder buy-in was a hindering factor for sustainability—this hindering factor could be addressed by well-designed and -implemented CBA projects.

12. **The evaluation identified several lessons learned that are important for the GEF to consider; in some cases, they may be difficult to apply given the GEF project cycle and processes.** For example, applying a long-term approach is challenging within GEF project timelines and the amount of time and resources allocated for project preparation. A similar lesson is the importance of setting realistic expectations as to what small investments at the community level can achieve in a short amount of time. One potential mechanism to mitigate the long time required to for implementing CBA projects and seeing results is through building on the social capital and cohesion of existing groups versus starting new ones.

13. **Other lessons underscore the importance of prior ex ante analysis and involving the right people in CBA projects.** After identifying the right stakeholders, adequate time and resources must be allocated to such processes as capacity building and facilitation. These activities should be monitored to allow for an understanding of whether the processes inherent to the CBA are being well applied and allow for adaptive management.

Recommendations

14. **Recommendation 1:** The GEF Secretariat should ensure that co-design of projects with communities is possible under the suite of GEF policies and guidelines, for projects where community partnership is a critical element. The ongoing review of GEF policy and guidelines should be done in anticipation of the proposed “whole of society” approach in GEF-9, which emphasizes stakeholder engagement across different segments of society.
15. **Recommendation 2:** Building on earlier guidance, the GEF Secretariat, together with the GEF STAP, should provide more clarity and guidance on when and how CBAs can be used in GEF projects. This would include examples of results indicators observed in projects and appropriate guidance to facilitate the use of CBAs.
16. **Recommendation 3:** The GEF Secretariat should develop an approach for tracking of devolved responsibility and/or financial resources to the local level for GEF projects as appropriate. Such tracking could differentiate between resources allocated to national CSOs, IPLCs, women’s groups, etc. as relevant.

I. INTRODUCTION

17. **Development finance institutions use community-based approaches (CBAs) to involve communities and people—typically vulnerable or marginalized populations—in projects with social and environmental objectives.** CBAs give voice and decision-making authority to project beneficiaries, making them active participants rather than passive targets. They are thus an essential tool for project designers working at the environment-development nexus. While the use of CBAs is not mandated within the Global Environment Facility (GEF), the GEF and its Agencies have used CBAs for decades, notably in the Small Grants Programme (SGP).

18. **CBAs play an important role in enhancing governance, and the inclusion and empowerment of communities—all of which can contribute to the durability and ownership of investments.** This is the first evaluation by the GEF Independent Evaluation Office (IEO) that focuses on the implementation of CBAs beyond the SGP, in full- and medium-size projects (FSPs and MSPs). The evaluation aims to understand the application of CBAs in GEF projects, and the relationship between CBAs and performance; to assess the alignment of GEF CBA use with good practice; and to provide lessons for the GEF partnership.

19. While earlier evaluations conducted by the IEO and GEF Agencies have explored the role played by communities in influencing environmental outcomes, this evaluation is the first to **systematically assess whether CBAs are present in GEF projects and programs, their characteristics, and how these approaches influence the effectiveness and sustainability of GEF interventions to provide lessons on their best use.** In addition to looking at how CBAs affected and influenced the environmental outcomes of GEF projects, the evaluation also examines the impact of CBAs on socioeconomic co-benefits, gender equality, and inclusion in the GEF.

1. Background

20. **Since the 1980s, development finance institutions and governments have increasingly used CBAs in environmental interventions to better involve local people and communities.** In this regard, CBAs emerged as a response to top-down approaches, which were criticized for imposing rules that did not always work on communities, beneficiaries, and resource users. In contrast, CBAs build on community knowledge, capacity, and interest in preserving their environment.

21. **There is a substantial literature on the key elements, uses, and impacts of applying CBAs.** A CBA is “generally described as a bottom-up and strengths-based approach to strengthening community-level adaptive capacity, focused upon vulnerable communities.”¹ Because a well-implemented CBA involves “active, free and meaningful participation,” it holds the potential to strengthen local governance systems—which may serve to reinforce the objectives of the project (Kirkby, Williams, and Huq 2018). Specific measures of a CBA include

¹ Of the many terms used to describe CBAs, the evaluation used this definition from the adaptation literature as best capturing the general concept.

the devolution of decision-making to communities (Alkire et al. 2001; Armitage 2005; Gruber 2010; IPBES Secretariat 2017), and the devolution of financial and technical resources to communities (World Bank 2022). These devolutions of power serve to strengthen a project's legitimacy in the eyes of users (Biermann and Gupta 2011; Gruber 2010; Kull 2002; Zelditch 2001) and to ensure the accountability of implementers to users (Biermann and Gupta 2011). For example, the CBA practice of indigenous and community conserved areas and territories facilitates environmental protection through traditional practices and governance systems in line with indigenous/local rights, knowledge, and customary practices. In fact, indigenous peoples and local communities (IPLCs) manage at least 17 percent of the global carbon stored in forestlands, despite being allocated only a small fraction of the donor funding disbursed for climate change (RFN 2021). Unfortunately, they receive only 1 percent of the benefits. CBAs can help address the issue that financial flows often do not reach the communities delivering the benefits.

22. Evidence from the literature demonstrates how CBAs can support either social (livelihood, poverty alleviation/well-being, governance, empowerment) or environmental (conservation, sustainability) objectives, or both simultaneously. This is in line with current development thinking: the 2030 Agenda for Sustainable Development and its 17 Sustainable Development Goals (SDGs) seek to strengthen the social, economic, and environmental dimensions of sustainable development. CBAs have improved environmental conditions and, at the same time, lessened poverty and enhanced conditions for local stakeholders. Some examples follow.

- (a) Community-based forest management has reduced deforestation and promoted carbon sequestration (Charnley and Poe 2007).
- (b) Community-based adaptation approaches that involve participatory vulnerability assessments and community-based planning have been found to be effective in enhancing community resilience to climate change impacts (Tanner et al. 2015).
- (c) Participatory urban wildlife conservation projects that involve pre-existing community-based networks have been found to be effective in achieving positive social outcomes (Hobbs and White 2015).
- (d) Community-based renewable energy projects have been found to be effective in reducing greenhouse gas emissions and promoting sustainable development (Sovacool and Dworkin 2015).
- (e) Community-based management for wildlife conservation contributed to higher wildlife density and lower density of unwanted species such as cattle (Lee and Bond 2018).
- (f) A global analysis of the social and environmental outcomes of community forests found that a majority of the cases reviewed reported positive environmental and income-related outcomes (Hajjar et al. 2021).

23. **Critiques of CBA generally revolve around the issues, costs, and processes for recruiting and retaining participant engagement and addressing power asymmetries effectively.** Robust CBA processes require recognizing local people’s identities, cultures, and values and providing meaningful participatory opportunities (Wood et al. 2018). CBAs also require effort and attention to participant recruitment and engagement as well as a focus on addressing power asymmetries to ensure equitable engagement in decision-making (Seymour and Haklay 2017; Tschirhart et al. 2016). The processes and activities associated with CBAs may require additional time and resources relative to other approaches—a potential drawback of CBAs.

2. The GEF and CBAs

24. Although there is no explicit mandate for GEF projects to adopt a CBA in their design, language supporting CBAs is reflected in GEF guidance, policy, and programming documents. The following paragraphs highlight this support, as well as summarize a key GEF CBA-based endeavor, the SGP.

25. **The conventions supported by the GEF include language that either directly reflects CBAs or the key elements that comprise them.** For example, the United Nations Convention on Combating Desertification (UNCCD) emphasizes integrated strategies that focus on improved living conditions at the community level and states in its principles that decisions on project design be taken with the participation of the local communities (UNCCD 1994). Consequently, “CBA” is mentioned in the various GEF programming documents and focal area strategies, most notably in the biodiversity and land degradation focal areas.

26. **CBAs have been mentioned in GEF programming documents and focal area strategies since GEF-4 and with increasing frequency through GEF-8.** CBAs are described in several of the GEF-8 integrated programs. For example, according to the GEF-8 Programming Directions (GEF 2022b), the Ecosystem Restoration Integrated Program provides support for participatory land use planning, community mobilization, and civil society organization (CSO) involvement in all aspects of program implementation from planning to monitoring. Additional examples are found in the Amazon Integrated Program, which includes a focus on indigenous and community conserved areas; the Blue and Green Islands Integrated Program, which mentions community-based fisheries management; and the Wildlife Conservation Integrated Program, which includes community-based management and community-based monitoring and engagement. The Climate Change Adaptation Strategy for GEF-8 has identified the “whole-of-aociety approach” as one of the entry points under the Least Developed Countries Fund (LDCF), with community-led climate adaptation action placed at the center of the approach.

27. **Consistent with CBA concepts, several GEF policies foster inclusion and prevent harm to stakeholders and the environment.** The [GEF Stakeholder Engagement Policy \(GEF 2017a\)](#), the [GEF Gender Equality Policy \(GEF 2017b\)](#), and the [GEF Policy on Environmental and Social Safeguards \(GEF 2019\)](#) are generally supportive of CBAs, and sometimes require activities necessary for CBAs. While not mandating the approach explicitly, these policies contain provisions or recommendations that speak to the essence of CBAs—for example, the Stakeholder Engagement Policy provides guidance on participatory monitoring and evaluation

(M&E). However, their requirements (such as stakeholder consultations during design) do not rise to the level of a full-fledged CBA, which is intended to be a community-led process.

28. **Recent guidance from the GEF Scientific and Advisory Panel (STAP) advocates for the use of community-based management.** Specifically, the STAP’s [“Local Commons for Global Benefits: Indigenous and Community-Based Management of Wild Species, Forests, and Drylands”](#) paper stresses the importance of supporting and strengthening communal management of high-value, high-biodiversity ecosystems by IPLCs to address the issues of weak central governance, lack of land tenure, and minimal capacity and resources that result in de facto open access areas (Child and Cooney 2019). The STAP recommends that GEF projects that focus on community-based natural resource management incorporate fundamental design characteristics aimed at the following: secure land and resource tenure; inclusive, equitable, and effective community governance; the enhanced financial and nonfinancial benefits that communities can gain from the sustainable use of natural resources; the inclusion of institutional drivers in problem analysis; and strengthening or establishing community-based management.

29. **The SGP was created in 1992 with the purpose of directly channeling support to community-based organizations to address global environmental problems; it is a highly visible CBA example within the GEF.** The SGP, presently administered through the United Nations Development Programme (UNDP) with coordinating staff in each participating country,² provides small community-based grants. As of 2021, 110 countries participated in the global program, and 16 participated in the Upgraded Country Program.³ The most recent joint evaluation of the SGP by the GEF IEO and the UNDP IEO identified the program’s additionality as its niche ability to deliver global environmental benefits through CBAs (GEF IEO and UNDP IEO 2021).

30. **CBAs have also been used in GEF projects by GEF Agencies.** GEF Agencies report incorporating CBAs in their portfolios, reflecting a desire to work with, and not above, communities and to involve them in decision-making and implementation of activities. Agencies highlight several benefits associated with the approach including improved local governance; peacebuilding in a postconflict setting; empowerment of communities, which can contribute to the durability and ownership of investments; improved agency for decision-making and community planning; improved self-management; inclusion of vulnerable or marginalized community members; and avoidance of elite capture. These benefits were associated with positive environmental outcomes.

² This implementation structure will change with adoption of SGP 2.0, which will include two Implementing Agencies in addition to UNDP.

³ The Upgraded Country Program started in GEF-5 and provided the option for countries to use their System for Transparent Allocation of Resources (STAR) allocation to design a larger intervention as a GEF FSP to implement the small grants approach across a particular landscape. The concept of upgraded countries will no longer apply with adoption of SGP 2.0, as per a GEF Council decision of November 2022.

3. Evaluative findings on the GEF's application of CBAs

31. Earlier evaluations by the GEF IEO and GEF Agencies have highlighted the important role played by communities in influencing environmental and socioeconomic outcomes.

Notable CBA-related evaluative work by the IEO has addressed the SGP (GEF IEO and UNDP IEO 2021) and explored the role of local benefits in GEF projects (GEF IEO 2006). The IEO evaluation on mainstreaming biodiversity (GEF IEO 2019a) and the climate change focal area study (2018a) include findings on the importance of community involvement in achieving environmental outcomes. The IEO evaluation of multiple benefits of the multifocal area portfolio (GEF IEO 2018b) discusses both the environmental and socioeconomic benefits associated with CBAs. Findings from evaluations by the IEO and GEF Agency evaluation offices relevant to CBAs are presented in the following paragraphs.

32. Local involvement and the provision of tangible local benefits was associated with positive environmental change in GEF projects.

The GEF IEO found multiple links between local and global benefits (GEF IEO 2006), concluding that local benefits play a central role in stimulating changes to human behavior to achieve and sustain global environmental gains. Some GEF projects made considerable achievements in developing local incentives to ensure these gains. Local participation in design and implementation was critical in building ownership, relevance, and the effectiveness of local incentives for environmental management—and vice versa. Project shortcomings often stemmed from an inadequate understanding of the social and economic dynamics of a community; institutions; and resource access, use, and needs. Win-win situations for global and local benefits proved to be unattainable in many cases, partly due to the incomplete development of alternative courses of action with a range of trade-offs among local costs, compensatory measures, and levels of environmental protection (GEF IEO 2006).

33. Community engagement was found to contribute to the attainment of environmental outcomes in GEF projects.

Community groups actively participating in natural resource management have had a positive impact on project outcomes. Forest reserves co-managed with community patrol groups reduced poaching and the burning and collection of firewood (GEF IEO 2018b, 2019a). Robust stakeholder engagement during project preparation was linked to improved climate change outcomes (GEF IEO 2018a). A review of International Fund for Agricultural Development (IFAD) projects found that the application of indigenous land management practices in the Philippines improved the environmental protection of indigenous lands (IFAD 2020).

34. Positive linkages between CBAs and socioeconomic outcomes in projects were noted across several evaluations.

The IEO's multiple benefits evaluation noted several socioeconomic benefits associated with multifocal area projects using participatory approaches. For example, participatory planning processes were linked to a reduction of conflict among resource users and more equitable access to natural resources, leading to increased income and improvements in diet (GEF IEO 2018b). An evaluation of GEF interventions in least developed countries found that many GEF interventions with positive outcomes include income-generating activities that link local community benefits to improved environmental management (GEF IEO 2022d). An evaluation of World Bank interventions that address natural

resource degradation found that when community formal mechanisms are put in place to empower and incentivize communities through co-management agreements, increased income was observed among fishing communities (IEG 2021a).

35. Evaluations by GEF Agencies and the IEO noted that good project design focused on participatory planning and meaningful integration of communities in resource management was a key factor in outcome sustainability. Bottom-up approaches guided by community priorities are linked to sustainability (GEF IEO 2022a), although the GEF may have missed opportunities to promote devolution of control of forest resources to local groups (GEF IEO 2022d). Several GEF Agency evaluations have highlighted the link between participatory approaches and community involvement and sustainability of results (ADB IED 2010, 2012, 2022; IDB OVE 2016; IFAD IEO 2019; World Bank 2022). An evaluation of projects by the Food and Agriculture Organization of the United Nations (FAO) found that poor understanding of existing governance and institutional structures on the one hand and the needs and priorities of the community on the other were found to pose challenges in project scale-up and sustainability (FAO 2023). Insufficient capacity of project participants (including communities) and insufficient funding past project close were also found to constrain the sustainability of project outcomes, as documented by several Agencies (AfDB IDEV 2013; GEF IEO and UNDP IEO 2021; UNDP IEO 2021; World Bank 2018). Thus, activities that promote capacity development and strengthen institutions were also linked to sustainability (GEF IEO 2022b, 2022c, 2022d).

36. The joint evaluation of the SGP found that the program’s inclusiveness, demand-driven nature, and innovativeness all contribute to its effectiveness at the local level and that the SGP has been consistent in its delivery of environmental results and in generating economic and social benefits. The SGP was found to be highly relevant to environmental priorities, both in terms of the types of activities supported and the way in which activities are implemented using CBAs. The combination of environmental, social, and economic benefits was found to contribute to the program’s relevance and effectiveness. The evaluation also cited the SGP’s innovativeness in the way it works with local partners by building trust, thereby reducing risk in testing innovations and fostering collaboration and dialogue. However, the program’s ability to measure sustainability was found to be insufficiently nuanced and unable to capture the nature of its work (GEF IEO and UNDP IEO 2021).

II. OBJECTIVES, SCOPE, AND METHODOLOGY

37. This evaluation systematically assessed whether CBAs are present in GEF projects and programs, their characteristics, and how these approaches influence the effectiveness and sustainability of GEF interventions to provide lessons on their best application. Understanding that these approaches may not have universal applicability, the evaluation considered the merits and challenges associated with their use. In addition to looking at how CBAs affected and influenced the environmental outcomes of GEF projects, the evaluation examined the impact of CBAs on socioeconomic co-benefits, gender equality, and inclusion in the GEF.

38. The key evaluation questions were derived from the objectives described above; a complete list of the evaluation questions is in the evaluation [approach paper](#).

- (a) How relevant have GEF projects that use CBAs been to the global environmental conventions, the national priorities of GEF recipient countries, and the GEF Agencies?
- (b) How do GEF projects using CBAs align with the broader literature on community-based approaches?
- (c) How have GEF projects that have used CBAs performed compared with those that have not used such approaches?
- (d) Have CBAs influenced and contributed to better environmental and socioeconomic outcomes?
- (e) What factors have influenced the usefulness and value added of CBAs to for GEF project performance?

39. **The portfolio covered by this evaluation includes FSPs and MSPs from GEF-4 onwards; it excludes enabling activities.** The SGP was excluded from the portfolio review because it has been evaluated separately (most recently in GEF IEO and UNDP IEO 2021); however, lessons from the previous evaluations of the SGP have been drawn on. The evaluation also conducted an analysis drawing lessons from the SGP and looking for examples where SGP CBAs had been scaled up to larger interventions.

40. Based on a preliminary review of the GEF strategy (GEF 2010, 2014a, 2018a, 2022b) and the LDCF/Special Climate Change Fund (SCCF) strategy (GEF 2014b, 2018b, 2022c), the evaluation found that references to CBAs or related concepts were most prevalent in the biodiversity, climate change (especially climate change adaptation), and land degradation focal areas. The evaluation portfolio consequently focused solely on projects from these three focal areas, as well as multifocal area projects with components from these focal areas.

1. Definitions and key concepts

41. **For the purposes of this evaluation, CBA projects are those that are designed to apply a community-centered approach for natural resource management.** A CBA is a modality of project design that transfers decision-making power—and often, financial and technical resources—directly to communities or natural resource users. Common features include (1) creation of local committees to manage processes or project activities, (2) external facilitation to support decision-making, and (3) community contributions (cash or labor).⁴ The evaluation adapted the International Association for Public Participation (IAP2) Spectrum of Public Participation to create a framework of key dimensions of CBAs in environmental interventions, as identified in the existing literature, that are relevant for the GEF.⁵ The framework was used

⁴ Adapted from World Bank (2022).

⁵ The academic literature posits several assumptions regarding the use of CBAs in environmental projects; in particular, (1) that community participation is essential for the success of environmental projects (Arcury et al. 2001; Bachour and Chasteen 2010; Derrien et al. 2020; Gadzama 2017; Serrano and Delorenzo 2008); (2) that community members have valuable knowledge and expertise that can contribute to the development and implementation of environmental projects (Arcury et al. 2001; Bachour and Chasteen 2010; Serrano and Delorenzo

to assess the alignment of GEF CBA projects with good practice (see annex B). The dimensions of CBA good practice assessed in this evaluation are as follows:

- (a) Devolution of decision-making to communities (Alkire et al. 2001; Armitage 2005; Gruber 2010; IPBES 2017; World Bank 2022)
- (b) Devolution of financial and technical resources (World Bank 2022)
- (c) Incorporation of local institutions and customs (Alkire et al. 2001; Armitage 2005; Gruber 2010; IPBES 2017)
- (d) Legitimacy in the eyes of users (Gruber 2010; Kull 2002; Biermann and Gupta 2011; Zelditch 2001)
- (e) Accountability of implementers to users (Biermann and Gupta 2011)
- (f) Rights to land and resources (Alkire et al. 2001; World Bank 2022), captured in the framework under the dimension of human rights and equality.

42. **The evaluation team, in consultation with the GEF Agencies and the reference group, settled on a broad definition of community, adapted from the GEF Stakeholder Engagement Policy.** For this evaluation, “community” means a group of people who have an interest in the outcome of a GEF-financed activity or are likely to be affected by it—especially resource users and other stakeholders such as local communities; indigenous peoples; and CSOs and community groups comprising women and men, girls and boys; and private sector entities. In this context, it is acknowledged that communities are likely not homogenous, and that it is not always easy to use a geographical reference to define them.

2. Methodology

Methods

43. **The evaluation followed a participatory, mixed-methods approach integrating a variety of data sources.** The [approach paper](#) was circulated to reviewers and the reference group in April 2022 and served as a guiding document for this evaluation. The evaluation used the methods delineated in the following paragraphs to collect and triangulate information.

44. **Document review.** This review included the following: (1) a review of the multilateral environmental agreements—specifically, the Convention on Biological Diversity (CBD), the United Nations Framework Convention on Climate Change (UNFCCC), the Stockholm Convention on Persistent Organic Pollutants, the UNCCD; and the Minamata Convention; (2) a review of GEF strategies and programming directions from GEF-4 onwards; (3) a review of the GEF policies on stakeholder engagement, gender equality, and minimum standards on

2008); (3) that environmental problems are best addressed through a collaborative effort between community members, researchers, and other stakeholders (Arcury et al. 2001; Bachour and Chasteen 2010; Derrien et al. 2020; Gadzama 2017; Serrano and Delorenzo 2008); and (4) that environmental projects should be tailored to the specific needs and characteristics of the community in which they are implemented (Arcury et al. 2001; Gadzama 2017; Serrano and Delorenzo 2008).

environmental and social safeguards; (4) GEF Agency strategies and documents; and (5) country policy and strategy documents for the five case study countries.

45. **Portfolio review and assessment.** A portfolio identification exercise was carried out to identify GEF projects that integrated CBAs into their design and implementation. As there is no marker or meta-data that identifies CBA projects, the evaluation team conducted a systematic, stepwise screening process to identify the relevant portfolio of GEF projects using CBAs from GEF-4 onwards in the three focal areas (biodiversity, climate change, and land degradation), including multifocal projects. The preliminary portfolio screen reviewed 1,626 projects, of which 276 were either directly identified as using CBAs by the evaluation team or suggested by the reference group, with members invited to submit projects from their respective Agencies for consideration. Of these 276 projects, 88 were completed projects with a terminal evaluation from GEF-4 and GEF-5; these projects became the completed project cohort. The remaining 188 projects were ongoing; 86 of these, from GEF-4 and GEF-5, were dropped from the analysis to allow for a comparison between older and more recently designed projects. Therefore, the ongoing project cohort comprises 102 projects from GEF-6 and GEF-7. Using a project review template, project documents—Chief Executive Officer (CEO) endorsements, project implementation reports, midterm reviews, terminal evaluations, and/or independent evaluations if available—were reviewed for a sample of 50 percent of completed (44) and ongoing (52) projects that contained some degree of CBAs.⁶

46. **Meta-analysis.** A meta-analysis of 30 evaluations carried out by the GEF IEO or the evaluation offices of GEF Agencies was conducted to systematically review existing evaluative evidence linking CBAs with global environmental or socioeconomic benefits. Reports for thematic or corporate evaluations conducted since 2010 were included. The evaluation reports were assessed; those that referred to environmental themes (e.g., climate change, energy, water, sustainable transport, natural resources) were included in the analysis.

47. **Interviews.** Interviews were conducted with the following key stakeholders: GEF Secretariat staff, GEF Agency staff, leadership of the GEF-CSO Network, members of the GEF Indigenous Peoples Advisory Group (IPAG), and representatives from the GEF STAP. Interviews were also carried out with country-level stakeholders, including community members, as part of the country case studies.

48. **Country case studies.** Five country case studies were carried out in Cameroon, Indonesia, Madagascar, Peru, and Timor-Leste, covering 28 projects. Country case study selection was based on prevalence of projects included in the CBA portfolio identified, ratings (outcomes and sustainability, with a mix of positive and negative), regional representation, focal area representation, and Agency representation. Country case studies were carried out from November 2022 through March 2023. The country case study methodology note in Part 2 of this report outlines the participatory data collection process including key informant interviews (with national, regional, and local government staff; implementing Agency staff; civil

⁶ Simple random sampling was performed for ongoing projects, and cluster sampling (by focal areas) was performed for completed projects.

society; and academia), site visits, and community discussions. Geographic information system (GIS) data were analyzed at the site level where available to determine whether there were any observable changes in environmental conditions and whether these were sustained postcompletion. All country case studies were circulated to interviewees, who were given the opportunity to provide feedback on factual errors or inaccuracies before the case studies were finalized. The case study reports are presented in Part 2: Technical Annexes.

49. **Triangulation.** All members of the evaluation team, including IEO staff and international and local consultants, came together for a systematic triangulation exercise. This exercise allowed for building of consensus around findings, and identification of information gaps or inconsistencies that were then addressed by the evaluation team. The triangulation exercise was conducted horizontally (across data sources and methods) and vertically (across the different findings for each evaluation question).

50. **Stakeholder engagement.** At the approach paper phase, the evaluation formed a reference group. Representatives from the GEF Secretariat, the IPAG, the STAP, the GEF Agencies, and the GEF-CSO Network were invited to participate. The reference group provided comments on the initial approach paper; these comments are reflected in the finalized approach paper, and the responses to individual comments were noted in an [audit trail](#) posted to the [evaluation webpage](#). This process was repeated for the draft evaluation report, which was submitted for review and comment to both the reference group and internal and external reviewers before being shared with the GEF Secretariat. Comments received and explanations of how they were addressed are reflected in a second audit trail posted on the evaluation webpage.

Limitations and mitigation measures

51. **There is no marker or meta-data that indicates those GEF projects applying a CBA.** All projects are reviewed by the GEF Secretariat for compliance with the stakeholder engagement and other policies, but meeting the minimum requirements of the policy is not consistent with the concept of a CBA, based on the framework of this evaluation. Therefore, projects were manually reviewed and selected for inclusion in the evaluation portfolio based on relevance vis-à-vis their description of CBAs as defined in this evaluation. This preliminary identification exercise was supplemented by consultations with the reference group.

52. **Recently approved projects could potentially reflect improvements in CBA project design, but as these projects do not yet have terminal evaluations, it is not possible to assess their performance and likelihood of sustainability.** Data on performance and likelihood of sustainability ratings (found in terminal evaluations) are available only for projects approved during GEF-4 and GEF-5. These data are not available for ongoing projects. To mitigate this challenge, the evaluation drew on data on likelihood of performance and sustainability from additional sources including key informant interviews and country case studies. The evaluation also looked at ongoing projects and conducted a formative assessment of the CBA dimensions present at design to ensure consideration of current project designs.

3. Portfolio of projects using a CBA

53. **The evaluation portfolio of 190 projects (89 completed and 101 ongoing) accounts for around \$1.02 billion in GEF funding, or 4.9 percent of total GEF funding between the start of GEF-4 and May 2022, and cofinancing of \$7.7 billion.** For these 190 projects, 87 percent of the funding came from the GEF Trust Fund (Figure 1). Multifocal area projects had the largest share of GEF funding in the portfolio (64 percent), followed by biodiversity (22 percent) (Figure 2). Both multifocal area and biodiversity projects have a greater share in the evaluation portfolio by value relative to their representation in the overall GEF portfolio for the same period (23 percent and 14 percent, respectively). Land degradation projects represent roughly the same proportion by value of GEF funding in the evaluation portfolio and the overall portfolio. By region, projects in Africa accounted for the largest share of funding (41 percent), followed by Asia (30 percent) (Figure 3). Global projects comprised 10 percent of funding and 6 percent in terms of number of projects. Relative to the overall GEF portfolio for the same time period, the evaluation portfolio has a larger share of projects (Africa comprises 31 percent by number and 32 percent by value in the overall portfolio). The Europe and Central Asia region represents a smaller share by value in the evaluation portfolio relative to the overall portfolio (10 percent). By modality, 97 percent of GEF funding in the evaluation portfolio was for FSPs (Figure 4); by number of projects, MSPs accounted for 16 percent of the portfolio. By Agency, UNDP accounted for the largest share of projects with 42 percent by number of projects and 38 percent of financing. The World Bank follows, with 16 percent by number of projects and 22 percent by financing amount (

54.

55.

56. Table 1). The World Bank has a relatively greater share in the evaluation portfolio relative to the overall GEF portfolio (10 percent by number of projects and 18 percent by value), as does FAO (8 percent by number of projects and 9 percent by value).

Figure 1. Share of evaluation portfolio's GEF funding by funding source

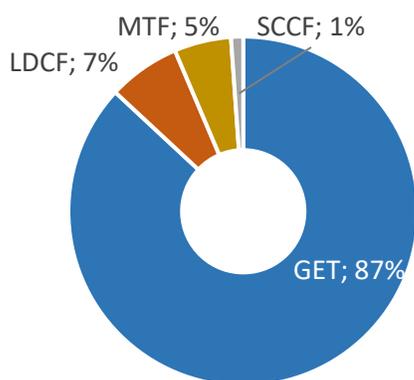
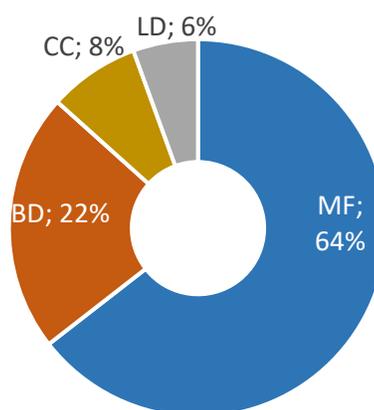


Figure 2. Share of evaluation portfolio's GEF funding by focal area



Source: IEO elaboration based on the GEF Portal database.

Note: GET = GEF Trust Fund; MTF = Multi-Trust Fund; MF = multifocal; BD = biodiversity; CCA = climate change adaptation; LD = land degradation

Figure 3. Share of evaluation portfolio's GEF funding by geographic region

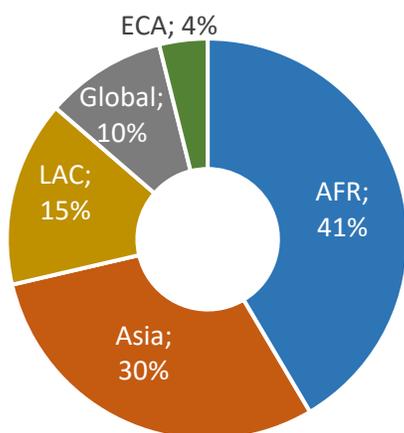
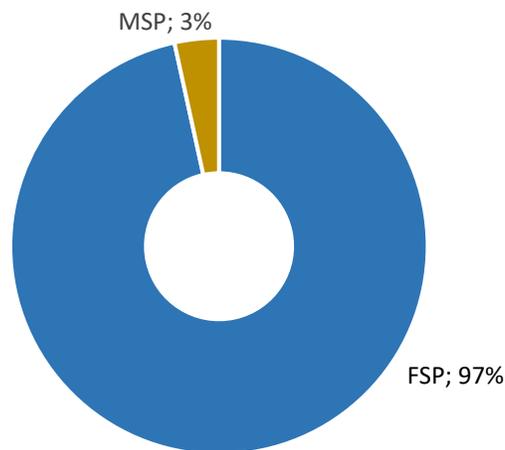


Figure 4. Share of evaluation portfolio's GEF funding by project type



Source: IEO elaboration based on the GEF Portal database.

Note: AFR = Africa; LAC = Latin America and the Caribbean; ECA = Europe and Central Asia; FSP = Full Size Project; PFD = Program Framework Document; MSP = Medium Size Project.

Table 1. Portfolio Distribution by Agency

<i>Lead Agency</i>	<i># of Projects</i>	<i>% in Total</i>	<i>GEF Funding</i>	<i>% in Total</i>
			<i>(million \$)</i>	
UNDP	79	42	388	38
World Bank	30	16	228	22
FAO	26	14	121	12
United Nations Environment Programme (UNEP)	18	9	73	7
IFAD	11	6	43	4
Conservation International (CI)	7	4	58	6
World Wildlife Fund (WWF-US)	4	2	20	2
Asian Development Bank (ADB)	3	2	28	3
United Nations Industrial Development Organization (UNIDO)	3	2	7	1
International Union for Conservation of Nature (IUCN)	3	2	10	1
African Development Bank (AfDB)	2	1	13	1
Inter-American Development Bank (IDB)	2	1	16	2
Development Bank of Latin America (CAF)	2	1	11	1
Total	190	-	1015	-

Source: IEO based on the GEF Portal database.

III. FINDINGS

57. While the use of CBA is not mandated in the GEF and there is no GEF document or strategy that defines CBAs or provides guidance on their application, the approach is present in the GEF portfolio. This section begins with an analysis of funding for CBA activities and the level of comprehensiveness of CBAs in the evaluation portfolio. An analysis of the relevance of CBAs for the GEF follows, which covers the multilateral environmental agreements, GEF policy and strategies, the GEF Agencies, and national priorities. An analysis of the extent to which GEF projects align with good practice is next presented; this uses a framework developed by the evaluation (annex B). The section continues with findings on the level of community involvement during the project cycle, followed by a discussion of the inclusion of women, IPLCs, and the private sector in GEF CBA projects. The section next covers findings on performance trends for the evaluation portfolio and concludes with findings related to sustainability.

1. CBAs in the GEF

58. **Funding for specific activities or components directly linked to CBAs increased from the older to the newer cohort of projects.** As a means of gauging how much funding is allocated directly toward community-based activities within projects, the evaluation reviewed component financing (funding for community grants, participatory planning, support for local institutions, etc.) and found the average share of GEF financing for CBA activities relative to

total project financing (at design) increased from 57 percent among completed projects (GEF-4 and GEF-5) to 76 percent among ongoing projects (GEF-6 and GEF-7).⁷

59. **To characterize the variation in the extent to which GEF projects utilize CBAs, the evaluation team adapted the International Association for Public Participation’s Spectrum of Public Participation.**⁸ Annex B presents this framework, which covers the six dimensions of CBA good practice used in the evaluation’s analysis of GEF alignment with good practice. The six dimensions are devolved decision-making, devolved financial and technical resources, incorporation of local institutions and customs, legitimacy in the eyes of users, accountability of implementers to users, and human rights and equality. The framework spectrum delineates three levels of CBA utilization: **limited**, characterized by regular participation of community groups in project design, implementation, and/or evaluation; **some**, which entails clear community influences over decision-making; and **comprehensive**, characterized by community control over project decisions and resources (also referred to by some implementers as community-driven approaches; see Alkire et al. 2001; World Bank 2022).

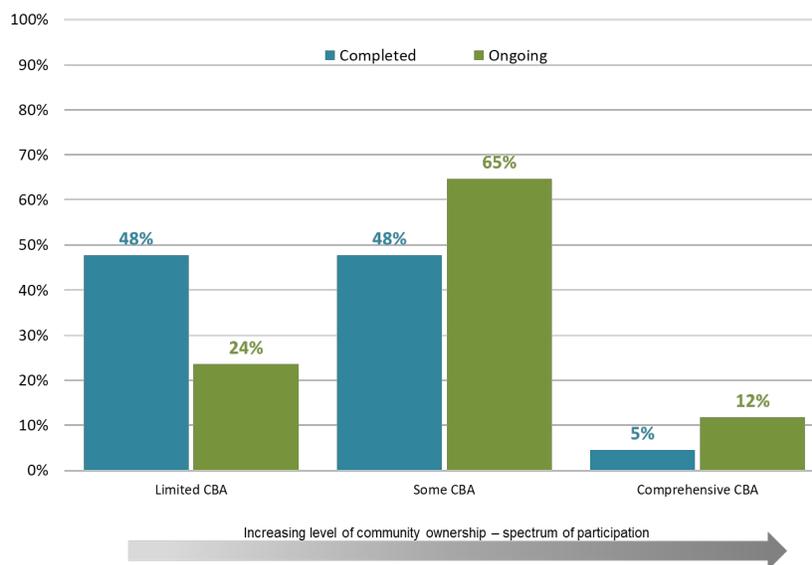
60. **To assess their degree of CBA utilization, each project in the evaluation portfolio was assigned to a spectrum category based on its score on the six dimensions.** Projects that scored above average on one to two dimensions were considered to have limited CBA utilization, projects that scored above average in three to four dimensions were considered to have some CBA utilization, and projects that scored above average in five to six dimensions were considered to have comprehensive CBA utilization. As shown in Figure 5, more recently designed projects have improved in terms of their incorporation of the CBA dimensions, but comprehensive CBA projects are still in the minority.

61. **The types of participatory approaches applied by GEF CBA projects were similar across focal areas, and no major differences were noted between ongoing and completed projects.** The types of activities noted included the following: participatory mapping, participatory planning processes, group formation and capacity building (including technical and financial skills), support for ongoing meetings and trainings, and community management arrangements.

⁷ Note that "funding" here refers to the components or activities that supported a CBA within a GEF project and does not reflect the amount of money or resources managed by communities.

⁸ This framework was adapted with permission from the authors. ©International Association for Public Participation: www.iap2.org.

Figure 5. Comprehensiveness of CBAs in the evaluation portfolio (n=95)



62. **Comprehensive CBA projects were concentrated in the multifocal area.** The multifocal area had the largest share of comprehensive CBA projects, followed by the land degradation focal area, which has a larger share of projects with some CBA. None of the climate change adaptation projects were designated as comprehensive CBA projects (Figure 6). The largest share of comprehensive CBA projects was in the Europe and Central Asia region, which only accounted for six projects (Figure 7).

Figure 6. Level of CBA in projects by focal area (%)

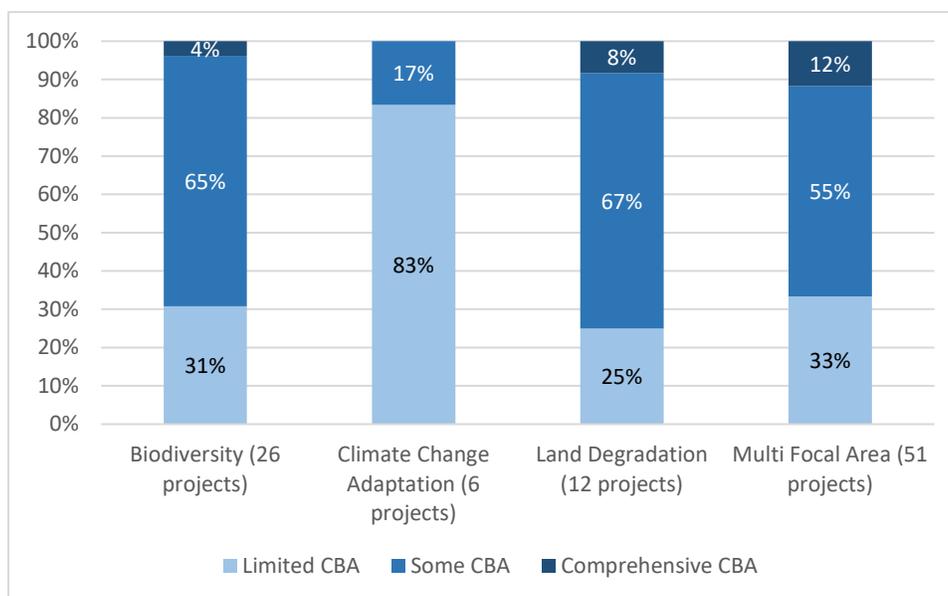
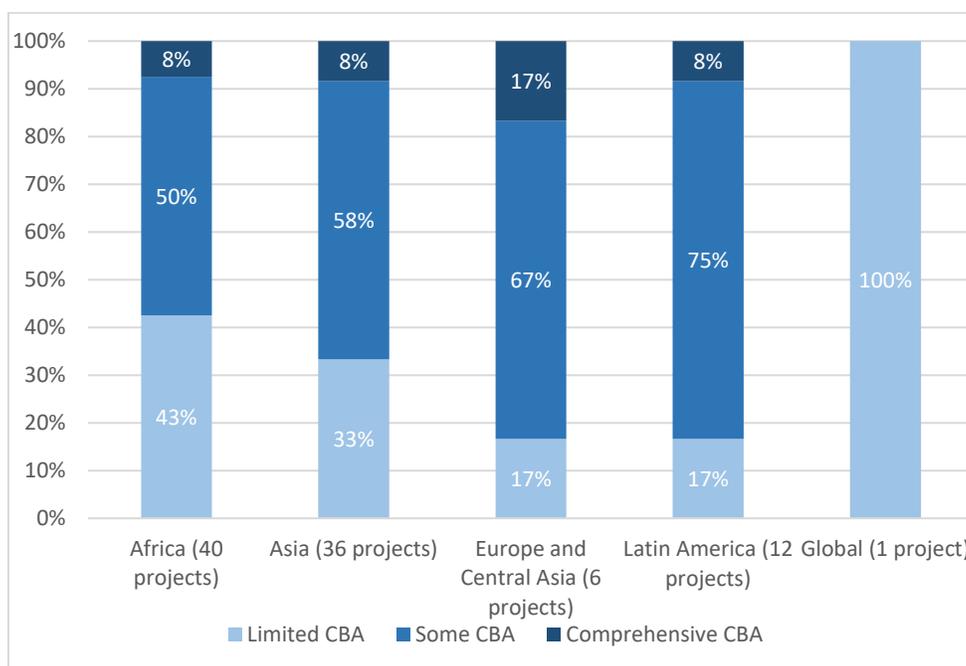


Figure 7. Level of CBA in projects by region (%)



2. Relevance of CBAs for and in the GEF

63. **While the application of CBAs is not mandated in the GEF and there is no GEF document or strategy that defines CBAs or provides guidance for their application, elements supportive of CBAs are evident in GEF policies and strategies.** This section assesses the relevance of CBAs vis-à-vis the multilateral environmental agreements, the GEF focal area strategies and programs, GEF policies, the GEF Agencies, and national strategies.

Multilateral environmental agreements

64. **The global conventions supported by the GEF include language linked to and supportive of CBAs that emphasize the needs of local resource users and promote participatory approaches.** The UNCCD recognizes that to achieve its objectives, it must focus on long-term integrated strategies that focus, among other priorities, on “sustainable management of land and water resources, leading to improved living conditions, in particular at the community level” ([Article 2](#)). It also states that decisions on the design and implementation of programs be “taken with the participation of population and local communities” ([Article 3](#)).

65. Under the obligation of affected country parties in [Article 5](#), the UNCCD states that country parties should “address the underlying causes of desertification and pay special attention to the socio-economic factors contributing to desertification processes...and facilitate the participation of local populations, particularly women and youth, with the support of non-governmental organizations, in efforts to combat desertification and mitigate the effects of drought.” Article 10 on principles promotes policies and frameworks to “develop cooperation and coordination, in a spirit of partnership, between the donor community, governments at all levels, local populations and community groups, and facilitate access by local populations to

appropriate information and technology.” [Article 13](#) states that measures to support action programs should include “increased flexibility in project design, funding and implementation in keeping with the experimental, iterative approach indicated for participatory action at the local community level.” [Article 19](#) promotes capacity building through “full participation at all levels of local people, particularly at the local level, especially women and youth, with the cooperation of non-governmental and local organizations” and “training field agents and members of rural organizations in participatory approaches.” [Article 21](#) on financial mechanisms directs the parties to “consider approaches and policies that facilitate the establishment...of mechanisms...including those involving participation of non-governmental organizations, to channel financial resources rapidly and efficiently to the local level in affected developing country Parties.”

66. The CBD promotes an approach that addresses the needs of the environment and communities. It states that parties should “promote environmentally sound and sustainable development in areas adjacent to protected areas with a view to further protection of these areas” ([Article 8](#)). In its preamble, the CBD recognizes the vital role that women play and affirms the “need for full participation of women at all levels of policy-making and implementation for biological diversity conservation.”

67. Article 6 of the UNFCCC states that the parties “shall (promote) public participation in addressing climate change and its effects and developing adequate responses.” The relevance of CBAs for climate change adaptation is clear in the UNFCCC’s [introduction to adaptation and resilience](#): “Adaptation is a critical component of the long-term global response to climate change to protect people, livelihoods and ecosystems. Parties acknowledge that adaptation action should follow a country-driven, gender-responsive, participatory and fully transparent approach, considering vulnerable groups, communities and ecosystems.”

68. Consistent with convention guidance, GEF focal area strategies and programming directions from GEF-4 through GEF-8 show increasing references to CBAs and the key elements associated with them. This is especially the case for the biodiversity and land degradation focal areas, but also for the international waters focal area. Integrating the human-environment nexus is increasingly mentioned in GEF programming documents beginning in GEF-4, with a general reference to supporting local communities. This trend culminates in the most recent GEF-8 strategy, which features the Healthy Planet, Healthy People framework as formal recognition of the interdependency between human well-being and a healthy environment.

GEF strategies and programs

69. The following paragraphs describe how CBAs and associated concepts are embedded in GEF focal area strategies, in the GEF’s shift to multifocal area interventions and programs, and in the SGP.

Biodiversity

70. The GEF-4 Programming Directions discusses full recognition of support to protected area conservation and management by communities living in and near protected areas (GEF 2007). The GEF-5 Programming Directions (GEF 2010) emphasizes capacity building of IPLCs and women in its biodiversity focal area strategy. The focal area objective of improving sustainability of protected areas describes financing for and representation of local communities. The strategy refers to innovations to support the capacity of community and smallholder organizers to participate in the identification, development, and implementation of solutions. The strategy indicates it will provide support for the development of community-level rights-based management areas at the boundaries of marine protected areas. In addition to being viewed as partners in the implementation of interventions, IPLCs are also seen as potential partners for co-management of protected areas. There is limited mention of CBAs or related terms in the GEF-6 Programming Directions biodiversity focal area strategy (GEF 2014a).

71. Within the biodiversity focal area strategy laid out in the GEF-7 Programming Directions (GEF 2018a), the Global Wildlife Program emphasizes enhanced representation of women and other marginalized groups in decision-making and management systems, and indicates it will support the development of policy frameworks and capacity building for community-based natural resource management. Programming targeted to IPLCs is presented through the Inclusive Conservation Initiative (ICI). The ICI recognizes indigenous peoples as stewards of the global environment and highlights the historical engagement of IPLCs in GEF projects (MSPs, FSPs, and the SGP). Per the strategy, the success of these projects—particularly SGP initiatives—shows the potential impact of larger investments and provides a dedicated window to respond to funding requests from IPLCs; see Box 1 for more information on the ICI. Efforts to continue the participation of IPLCs and women in the design, implementation, and management of protected areas is highlighted, as is co-management.

72. The biodiversity focal area strategy presented in the GEF-8 Programming Directions (GEF 2022b) highlights efforts to continue to promote empowerment, participation, and capacity building of IPLCs—especially women—in the design, implementation, and management of protected area projects including indigenous and community conserved areas. The strategy also mentions protected area co-management with a focus on recognition and realization of rights. GEF-8 includes another round of funding for the ICI introduced in GEF-7, which will provide support directly to IPLCs in the form of grants proposed, managed, and implemented by IPLCs.

Land degradation

73. In GEF-4, the land degradation focal area strategy includes systematic large-scale application and dissemination of sustainable, community-based farming and forest management systems. Under the sustainable forest management (SFM) portfolio, the strategy indicates that financing associated with harvesting forest products will be used for small, pilot, local community-based demonstration projects. The GEF-6 Programming Directions (GEF 2014a) mention both participatory decision-making and incorporation of local knowledge. Smallholder farmers' involvement in community-based agricultural management and

participatory decision-making is promoted, and there are references to efforts to empower local communities.

74. In the GEF-7 Programming Directions (GEF 2018a), the land degradation focal area continues to highlight participatory land use planning. The Food Systems, Land Use, and Restoration Impact Program (GEF ID 10201) highlights multistakeholder dialogues to ensure involvement of local communities, local governments, indigenous peoples, and women. The SFM Impact Program strategy indicates it will pay particular attention to working with forest-dependent communities in the management of their own forest resources. The Congo Basin Sustainable Landscapes Impact Program (GEF ID 10208) discusses inclusive governance.

75. In the GEF-8 Programming Directions (GEF 2022b), the land degradation focal area strategy mentions strengthening community-based natural resource management; it highlights that restoration and SFM interventions will be mainly implemented through CBAs. This focal area strategy also promotes good, effective, and participatory land and water governance.

International waters

76. In the GEF-6 Programming Directions (GEF 2014a), local communities are identified as essential elements for natural resource management. Empowerment of local communities in relation to alternative livelihoods activities is referenced. A strategy to scale up successful local initiatives that were driven by communities is a key element of the large marine ecosystem initiatives.

Multifocal area and integrated/impact programs

77. The SFM Program as described in the GEF-6 Programming Directions (GEF 2014a) highlights the importance of local communities and indigenous groups, and the involvement of women. The program emphasizes local participation in decision-making and governance, and community-focused restoration. Several impact programs covered under the GEF-8 Programming Directions (GEF 2022b) mention CBAs, as the following examples illustrate:

- (a) Ecosystem Restoration Impact Program: Support is provided for participatory land use planning; community mobilization, and CSO involvement in all aspects of program implementation from planning to monitoring; and implementing activities and solutions on the ground with active involvement of local stakeholders, in particular local actors, through gender-responsive CBAs.
- (b) Amazon Impact Program: Key activities listed include improving land tenure rights and policies; indigenous and community conserved areas are mentioned.
- (c) Blue and Green Islands Impact Program: The programming directions mention improving community-based fisheries management.
- (d) Wildlife Conservation Impact Program: Potential activities include community-based management, notably efforts to increase the security of local resource access, rights, and land tenure; community-based monitoring and engagement; and increasing and clarifying community and IPLC rights to manage and use resources.

Small Grants Programme

78. There is limited mention of the SGP in the GEF-4 strategy, but from GEF-5 onwards it is consistently described as a mechanism for civil society and local communities to directly access GEF resources. In the GEF-6 strategy, it is discussed as a means to empower poor and vulnerable communities so they become direct and active participants actors in environmental and sustainable development work, stressing the importance of their active participation. In GEF-7, the SGP is framed as financing community-led initiatives to address global environmental issues. In the GEF-8 strategy, the SGP is presented in terms of the critical role of local action in delivering global environmental commitments, framing the SGP as a bottom-up approach for the GEF.

LDCF/SCCF

79. **The GEF Programming Strategy on Adaptation to Climate Change for the LDCF and the SCCF (GEF 2014b) notes that the GEF Adaptation Program will continue to pursue approaches and adhere to principles that have proven successful, such as community-based adaptation.** Community-based adaptation is listed as a cross-sectoral priority under the LDCF strategy. The strategy contains a box presenting definitions and examples of best practice associated with community-based adaptation, including South-South knowledge sharing. The strategy states that “Looking ahead, the GEF will continue to view CBA as an important component of its support towards comprehensive, country- and stakeholder-owned adaptation.” The strategy also mentions that, in addition to community-based adaptation projects, the LDCF and SCCF portfolios will promote community empowerment through training, advocacy, and improved local-level planning, recognizing that capacity building and improved community-level decision-making are important steps toward vulnerability reduction.

80. **There is no mention of community-based adaptation in the 2018 adaptation strategy (GEF 2018b).** Instead, much of the discussion around work in communities is on promoting alternative livelihoods or on making existing livelihoods more resilient to climate change. According to the GEF Secretariat, this omission is voluntary to avoid confusion and duplication with LDCF and SCCF strategies. The omission should be seen in association with the focus on resilience in the context of land, landscapes, and value chains. The 2022 strategy (GEF 2022c) describes a whole-of-society approach with a focus on inclusion and locally led action, with full engagement of communities, civil society, and indigenous peoples. This strategy proposes subindicators, one of which is the number of local community organizations benefiting from and/or engaged in institution strengthening, partnerships, or financing. The whole-of society approach emphasizes local stakeholders as participants in decision-making processes, rather than solely as beneficiaries or recipients of support. The strategy reflects the engagement of local communities in project design and implementation as an emerging priority for the GEF, and it includes an indicator for LDCF and SCCF projects.

GEF policies

81. The GEF policies that focus on inclusion (those covering stakeholder engagement, gender equality, and environmental and social safeguards) include language supportive of

CBAs. These policies mandate stakeholder engagement and the incorporation of gender considerations and ensure that there is mitigation against harm to communities affected by projects—for example, through free, prior, and informed consent (FPIC)—but they do not require that GEF projects apply a design that centers communities in project activities. The policies do require that all GEF-financed activities, at a minimum, inform or consult with communities regarding their activities; the level of community engagement required is not considered a CBA as defined in this evaluation.

82. **Stakeholder Engagement Policy.** This policy promotes the inclusive and meaningful participation of stakeholders in the GEF’s governance and operations. The policy stipulates that Agencies must provide a description of consultations that occurred during project development and plans (and associated resources) for engagement throughout the project cycle. Guidelines on policy implementation (GEF 2018c) detail what is meant by meaningful consultation and participation, stressing that it is a two-way process that should begin early in project identification and planning and continue throughout the project cycle, should consider and respond to feedback, and should support active and inclusive engagement with project-affected parties. The policy generally reflects one of the key elements of CBAs as defined by this evaluation—accountability—but it does so in general terms and at a high level. Grievance mechanisms support accountability of implementers to users (in this case of project implementers to project stakeholders).

83. **Policy on Gender Equality.** This policy sets out guiding principles and mandatory requirements for mainstreaming gender across GEF operations. It aims to ensure equal opportunities for women and men to participate in, contribute to, and benefit from GEF-financed activities. Guiding principles related to and supportive of CBAs include analysis conducted in an inclusive and gender-responsive manner; activities conducted, designed, and implemented in an inclusive manner so women’s participation and voice are reflected in decision-making; and support at all scales for consultations with women’s organizations, including indigenous women and local women’s groups. As with the Stakeholder Engagement Policy, the Policy on Gender Equality is supportive of CBAs, but does not mandate them. One of the gender gaps the policy aims to address is unbalanced participation and decision-making in environmental planning and governance; attention to this gap reflects the devolution of decision-making dimension of CBA.

84. **Policy on Environmental and Social Safeguards.** This policy sets out the GEF’s approach to anticipating, and then avoiding, preventing, minimizing, mitigating, managing, offsetting, or compensating any adverse impacts that GEF-financed projects and programs may have on people or the environment throughout the project cycle. Throughout the policy’s nine minimum standards, there are multiple references to “meaningful consultations,” in line with the definition used in the Stakeholder Engagement Policy. This policy also lays out the GEF’s definition for FPIC,⁹ describing it as “the collective support of an affected Indigenous People for project or program activities, reached through a process of Meaningful Consultation in a

⁹ The policy notes that there is no universally agreed-upon definition of FPIC.

culturally appropriate manner, and properly documented describing the mutually accepted process to carry out good faith negotiations, and the outcome of such negotiations, including dissenting views” (GEF 2019, 6).

GEF Agencies

85. **Many of the GEF Agencies embrace CBAs, at least conceptually, and note that, in keeping with CBA objectives, the GEF should emphasize both inclusion and access to funding for communities.** Agency stakeholders across the partnership reported a growing interest in and support for CBAs, reflecting a desire to work with, not above, communities; and to involve them in decision-making and the implementation of activities. A few Agency stakeholders felt that CBAs were more prevalent in theory than in practice in the GEF. They cited short timelines and limited financing during the project identification and preparation phases as constraints to CBAs.

86. **Agency stakeholders also noted some limitations with CBAs, pointing to the effort required to tailor them for IPLCs.** CBAs require additional time and effort relative to top-down approaches. Carrying out needed socialization and capacity building in an inclusive manner requires adequate time and resources, and these activities are seen by some stakeholders as difficult to scale up. Agencies reported that CBAs work best in contexts where there is government buy-in and support for decentralization of decision-making to the local level. This means CBAs may have specific limitations for IPLCs. Advocates for IPLCs noted that projects using a CBA needed to design the approach so as to acknowledge and reflect the unique context of the IPLC, or they risked ignoring their differential needs, which include land rights and tenure. This challenge is not unique to the GEF, as implementers and policy makers in the broader development and advocacy community struggle to make good on promises of IPLC participation and engagement in environmental initiatives (Colella et al. 2023). Another CBA drawback identified is that it favors settled types of communities (e.g., farmers over pastoralists) because of the challenges associated with facilitating governance and decision-making processes for nonsedentary communities.

87. A desk review found that many GEF Agencies apply CBA practices in a wide range of settings, as the following paragraphs highlight.

88. The **UNDP** Local Action program is characterized by its emphasis on community participation and engagement in addressing localized environmental concerns. It adheres to a bottom-up approach that fosters community ownership of development initiatives. UNDP is working on a taxonomy related to locally led development initiatives. Key components of this approach include capacity building, participatory decision-making, and participatory M&E.

89. **FAO** adopts CBAs for social forestry, agriculture, and natural resource management projects. FAO emphasizes the viewpoint that IPLCs play a central role in addressing climate change through using time-tested ecosystem management processes and through promoting effective governance systems (FAO 2023). The FAO’s Farmer Field Schools approach serves as a platform for promoting sustainable agricultural practices, improving farmers’ livelihoods, and

enhancing environmental conservation. This approach revolves around a participatory learning and extension methodology that actively engages farmers.

90. Some of IFAD's largest investments in some countries are in community-based agriculture (IFAD 2016). IFAD has used CBA to help close last-mile gaps in service delivery and infrastructure provision in some of the most remote and insecure parts of the world. A distinguishing IFAD feature has been the provision of support to the most excluded and marginalized, including poor smallholder farmers, indigenous peoples, women, and youth; much of this support has taken the form of CBAs and localized interventions.¹⁰

91. The **United Nations Environment Programme** (UNEP) integrates CBAs into its projects and programs to foster community participation and ownership. It emphasizes the involvement of local communities in decision-making processes, capacity building, and the implementation of environmental initiatives. This ensures that interventions are tailored to the community's specific needs and circumstances, thereby enhancing the chances of success and sustainability.

92. The **World Bank** recognizes the importance of community engagement and participation in its projects related to environmental conservation and sustainable development. One CBA it applies is community-driven development, which involves communities in decision-making, planning, and implementation processes to help ensure that projects align with local priorities, leverage community knowledge and resources, and foster a sense of ownership among community members. "Experience has shown that when given clear and transparent rules, access to information, and appropriate technical and financial support, communities can effectively organize to identify community priorities and address local development challenges by working in partnership with local governments and other institutions to build small-scale infrastructure, deliver basic services and enhance livelihoods" (World Bank 2023).

93. The **United Nations Industrial Development Organization** (UNIDO) recognizes the value of CBAs in promoting sustainable industrial development. It works closely with communities to develop and implement projects that address environmental challenges while promoting inclusive and sustainable industrialization. UNIDO's approach emphasizes community participation, knowledge sharing, and capacity building to enhance local ownership and empower communities to manage their natural resources and adopt sustainable industrial practices.

94. The **International Union for Conservation of Nature** (IUCN) actively promotes CBAs in its conservation efforts. It recognizes the essential role of local communities in safeguarding ecosystems and biodiversity. The Agency works with communities to develop and implement conservation projects, incorporating traditional knowledge, sustainable livelihoods, and community-driven resource management practices. It aims to enhance community resilience, empower local stakeholders, and foster a sense of stewardship toward natural resources. IUCN practices community-based conservation in terrestrial and marine contexts, calling for a move

¹⁰ <https://ioe.ifad.org/zh/web/ioe/w/community-driven-development-what-next->

from human-free environmental conservation to solutions that engage communities (Berkes 2021).

95. **Conservation International** implements a rights-based approach, enlisting all parts of society in conservation efforts to make them more inclusive. The Agency supports the full and effective participation of IPLCs and works in partnership with local organizations to support conservation through community-led development principles. It focuses on supporting IPLCs to gain direct access to financial resources and to have the capacity to administer these resources themselves.

3. Relevance to national priorities

96. **More than three-quarters of the projects in the evaluation portfolio are in alignment with national priorities that support CBAs.** At project design, 75 percent of completed projects and 85 percent of ongoing projects described CBAs as being in alignment with a national strategy, policy, or plan. For example, the Sustainable Land Management for Increased Productivity in Armenia project (GEF ID 8005) includes community-led land degradation prevention through landscape restoration interventions as a project component. The project activities align with the Forest Code in Armenia which gives special attention to communal ownership of forests. Communal forests are supervised by local self-governing authorities, and special incentives stimulate the sustainable management of forests by the local population. Similarly, the LDCF-financed Building Community Based Integrated and Climate Resilient Natural Resources Management and Enhancing Sustainable Livelihood in the South-Eastern Escarpments and Adjacent Coastal Areas of Eritrea project (GEF ID 10789) includes participatory planning processes linked to the National Adaptation Program of Action (NAPA), which identifies priority adaptation activities for building climate-resilient livelihoods among vulnerable communities. The project responds to key adaptation needs identified in the NAPA, for instance, by introducing community-based pilot rangeland improvement and management in selected agro-ecological areas.

In the five case study countries, the CBAs applied by the GEF projects were generally aligned with government strategy or policy—albeit at different levels and with differing applications. For example, in Indonesia, CBAs for local development planning have been implemented since the 1980s. Indonesia has developed a governance system that emphasizes village governments which have substantial control over interventions and access to annual village funds. GEF funding is used to further existing government initiatives and experiment with new modalities for CBAs. Stakeholders in Indonesia pointed out that the value added of CBAs is that they provide an opportunity for tailoring projects to heterogeneous local contexts and climates. In Madagascar, formal regulations at the national level support decentralized decision-making for natural resource management by communities with official management contracts. There are also informal collective agreements that reflect customs and traditions that are critically important for projects that apply CBAs. In spite of the regulations and customs in Madagascar, there were no examples of GEF projects with devolved technical resources, funds, or decision-making. In Peru, although legal and regulatory frameworks support CBA implementation, there is limited evidence of their institutional adoption. These examples demonstrate that the actual

level of engagement reflected in projects is linked to each country's policies and priorities. Thus, the comprehensiveness of the CBAs was heterogenous across countries.

4. Alignment with CBA good practice dimensions

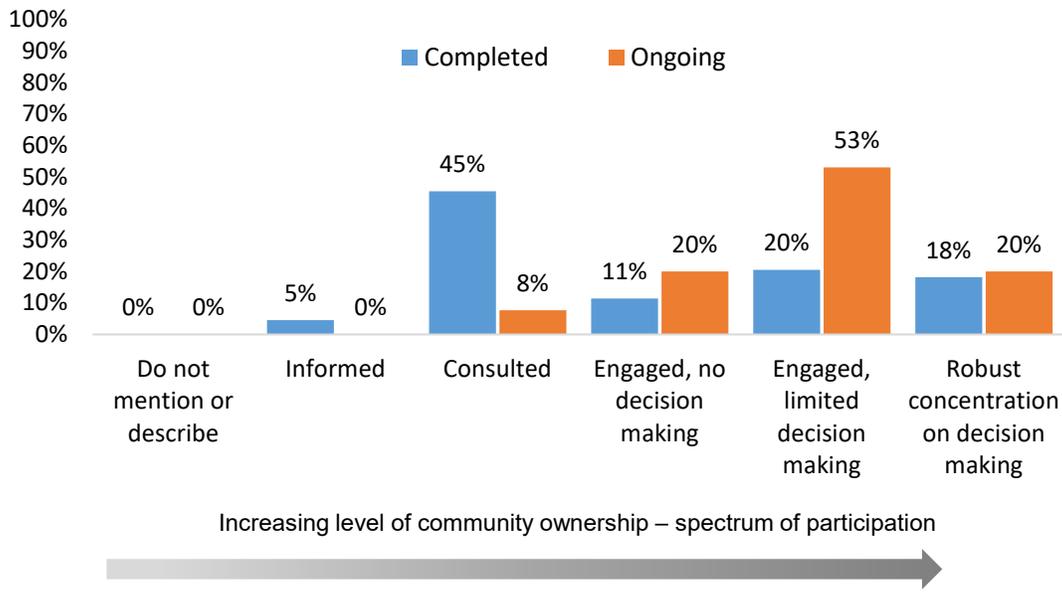
97. **GEF projects using CBAs have become more aligned with good practice over time, although gaps remain.** The evaluation adapted a spectrum of CBAs along key dimensions as defined by the literature and compared a sample of the evaluation portfolio to these dimensions, rating them based on level of alignment. The more recently designed projects show improvement in alignment with good practice for most dimensions, with the exception of direct control of financial and/or technical resources. Despite recent improvements, there are still gaps between GEF projects and good practice on most dimensions. Alignment with each dimension is presented below, along with a good practice example from the evaluation portfolio.

Devolved decision-making

98. **There has been improvement over time on the dimension of devolved decision-making; however, only 20 percent of newer projects are fully in line with good practice.** This dimension relates to the level of community involvement throughout project design, implementation, and M&E. A lower rating was given where projects describe engagement throughout different phases but do not provide specific information as to how feedback is incorporated into decision-making. The highest rating was given to projects that described robust concentration of decision-making authority to the communities, with clear accountability of implementers to the communities. The design of the newer cohort of projects relative to the older cohort shows improvement, as illustrated in Figure 8.

99. An example of good practice on this dimension was found in the Climate Change Adaptation to Reduce Land Degradation in Fragile Micro-Watersheds Located in the Municipalities of Texistepeque and Candelaria de la Frontera, El Salvador (GEF ID 4616). This project focused on climate change adaptation to reduce land degradation in fragile micro-watersheds of two municipalities in El Salvador. A feature of this project's design was its use of participatory processes beginning in the design phase and continuing through the rest of the project cycle with institutional stakeholders and communities, thereby creating space for needs and priorities to be identified and addressed. The terminal evaluation confirmed with the communities that they had been duly informed, consulted with, and involved in the different stages of decision-making and in the coordination of activities. The respondents explained that this type of involvement made them feel more committed to the project, as they identified themselves as the owners of the outcomes the project aimed to achieve.

Figure 8. Alignment with good practice: Devolved decision-making

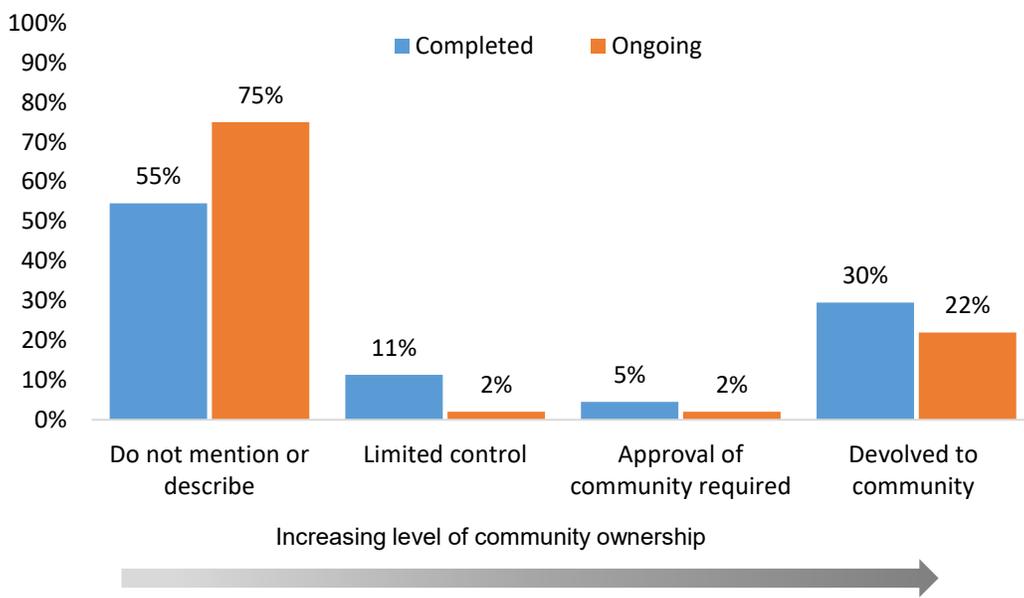


Devolved financial and technical resources

100. **GEF alignment with good practice on the dimension of devolved financial and technical resources has worsened, with less than 25 percent of the newer cohort of projects devolving technical and financial resources to communities.** This dimension relates to the extent to which communities have control over project resources. A lower rating was given if the project indicated that communities have limited control over resources; the highest rating was given if financial and technical resources were reported to be devolved to the community or community groups. As Figure 9 shows, an increasing percentage of the cohort of newer projects—75 percent—do not report on control of financial and technical resources; for those that do, the trend has been downward, with the percentage of projects that explicitly describe devolution of control directly to communities dropping from 30 percent in the older cohort to 22 percent in the newer cohort.

101. A good practice example for this dimension was found in the Restoration Challenge Grant Platform for Smallholders and Communities, with Blockchain-Enabled Crowdfunding project in Cameroon and Kenya (GEF ID 10637). This project facilitates and supports enhanced smallholder and rural community member engagement and investment in restoration, utilizing mobile cellular technology to provide small grants/payments matched by co-investment. Depending upon local needs and circumstance, and to facilitate piloting of different approaches for engaging, organizing, supporting, and incentivizing smallholder- and community-led restoration, phones are provided either to community entrepreneurs or directly to registered restoration partners. These entrepreneurs and partners are responsible for taking and uploading restoration photos; and facilitating payments to participating community members either by distributing authorized M-Pesa (or via another low-cost funds transfer service in Cameroon) payments directly, or by requesting and recording payments for verified work.

Figure 9. Alignment with good practice: Devolved financial and technical resources



Box 1. Devolved financial and technical resources in the GEF

There were limited examples of projects in countries with devolved funding and technical resources. Examples were found in Timor-Leste—Strengthening Community Resilience to Climate-induced Disasters in the Dili to Ainaro Road Development Corridor (GEF ID 5056)—and Indonesia—Citarum project (GEF ID 3279), Strategic Planning and Action to Strengthen Climate Resilience of Rural Communities in Nusa Tenggara Timur Province (SPARC) (GEF ID 4340), and Strengthening of Social Forestry in Indonesia (GEF ID 9600). In these projects, communities were given grants that they managed directly through community groups either formed or supported by the GEF projects.

Within the GEF partnership, there are additional mechanisms for devolved financial and technical resources. The first is through the SGP, which allocates small amounts of financing directly to communities. The SGP has also been used in delivering community-based components for FSPs. The 2016 IEO Evaluation of Support to Protected Areas mentions multiple examples of SGP projects operating alongside or embedded in FSPs, but also points out varying levels of coordination between SGP country programs and other GEF projects (GEF IEO 2016). The Sixth Comprehensive Evaluation of the GEF (OPS6) highlighted that “good integration of well-established SGP national programs with the respective overall GEF country portfolio—possibly through a formal mandate to deliver the community-level components of GEF projects with the active participation of local communities—can increase the likelihood of sustainability and generate cost savings to the GEF as a whole” (GEF IEO 2017).

In the evaluation portfolio, there were few examples of projects that scaled up SGP activities. For example, the CReW+: An Integrated Approach to Water and Wastewater Management Using Innovative Solutions and Promoting Financing in the Wider Caribbean Region project (GEF ID 9601) includes a component linking the project activities to the SGP through the development of community-based livelihood initiatives related to wastewater management and integrated water management. Another example is from the Strategic Investment Program for SLM [Sustainable Land Management] in Sub-Saharan Africa (GEF ID 3403) which included a target of identifying and promoting three SGP projects for scale-up. Aside from these examples, the portfolio review did not

uncover a strong track record of SGP integration into GEF MSPs and FSPs. Agency and GEF stakeholders indicated that a possible explanation is that project documents are not explicit about basing their activities from SGP grants even if they are based on previous SGP work; therefore, this was not captured by the IEO analysis, which looked for explicit references to the SGP. SGP program staff report that, on average, 14 percent of SGP projects have been scaled up or replicated, with the most recent SGP annual report noting that 159 SGP projects were replicated or scaled up (UNDP 2022). SGP staff indicated that it is likely that there is considerable underreporting of SGP project scale-up because of the longer time spans required for projects to show results.

The ICI is another GEF initiative that provides devolved financial and technical resources. The ICI is aimed at promoting sustainable development and biodiversity conservation by addressing the needs and rights of indigenous peoples and local communities. Through the ICI, financial and technical support is provided to subprojects developed and executed by Indigenous Peoples Organizations. The ICI is directed by Indigenous peoples and the subprojects were selected by Indigenous peoples. This includes promoting community-based conservation approaches, strengthening governance and rights frameworks, and enhancing the capacity of these communities to participate in sustainable development activities.

The ICI is unique within the GEF, as it was designed and is led by indigenous peoples, through the support and leadership of the GEF's IPAG. The GEF-7 allocation for the ICI was \$25 million, of which 80 percent is allocated to support IPLC-led initiatives in priority areas that achieve global environmental benefits through improved large-scale management of IPLC lands, territories, and resources. Other activities include capacity building, leadership in international environmental policy, and knowledge sharing. The initial call for proposals received over 400 applications, of which 9 were selected for financing. A global steering committee comprised of IPLC representatives from the subprojects leads the governance of the project. An interim steering committee of senior IPLC representatives guided the design of the project and selected the subprojects. Funding is channeled through the lead Agencies (IUCN and Conservation International) directly to IPLC executing agencies. It is estimated that each of the nine proposals selected during the initial round will receive \$1 million. Startup of the initiative after approval in GEF-7 was delayed because of the pandemic, but many of the projects are in the first year of on-the-ground implementation.

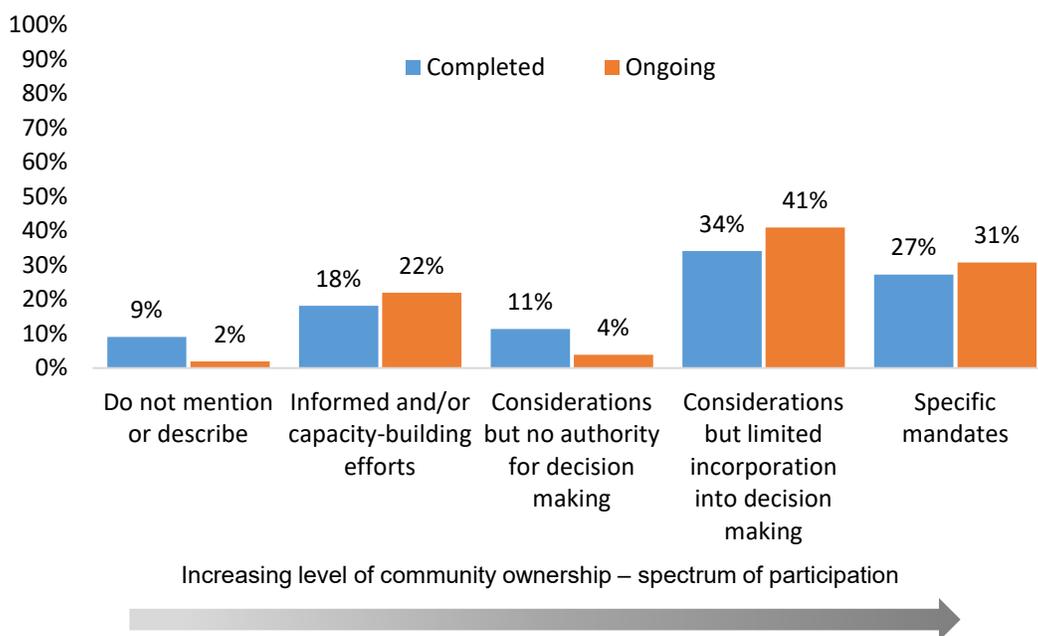
The GEF provides devolved funding and technical resources to communities through support to the [Critical Ecosystem Partnership Fund](#), a fund that provides financial and technical resources to CSOs to conserve biodiversity and support communities. The GEF provides similar support through funding to conservation trust funds.

Incorporation of local institutions and customs

102. Alignment with this dimension has improved slightly over time, with about one-third of all projects fully in line with good practice. This dimension relates to the level of integration of local institutions in decision-making processes. A lower rating was given where projects included considerations for improvement or strengthening of recognition of local institutions, but with limited provisions for direct incorporation of these institutions into decision-making. The highest rating was given where there were specific actions to improve, strengthen, or recognize local institutions or customs and integrate them into design, implementation, and/or M&E of project activities. As shown in Figure 10, there is slight improvement in the design of the newer cohort of projects relative to the older cohort.

103. An example of good practice on this dimension is found in the Participatory Integrated Watershed Management Project in Gambia (GEF ID 3368). This project focused on improving local livelihoods through the promotion of community-based watershed/landscape management approaches to enable resource-poor communities to reverse declining land productivity. Beneficiary participation at the community level was facilitated by village development committees; these existing institutions were successfully used as an entry point for community development projects. Within each committee, a total of 36 subcommittees were created, with equal representation of women and men. These subcommittees in turn facilitated the participation of community members in project-related work, such as repair of access roads, culverts, and bunds; reforestation activities; and replanting of mangroves. With support from the village development committees, the project also mobilized resources to realize development objectives within the respective communities. In Kumbija, for example, the community members made quarterly monetary contributions as levies for work to be done.

Figure 10. Alignment with good practice: Incorporation of local institutions



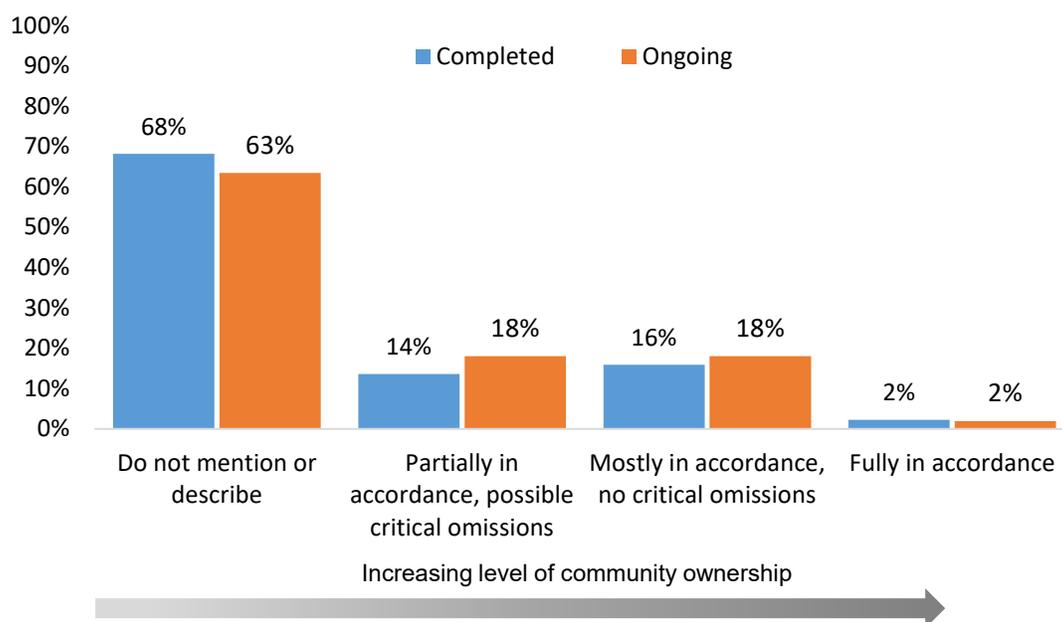
Legitimacy in the eyes of users

104. **The GEF’s alignment with the dimension of legitimacy in the eyes of users has seen slight improvement, but most projects do not mention its incorporation.** This dimension involves the project design’s consideration of how the project will align with the norms and customs of those affected by it. A lower rating was given for projects that make an effort to describe how the project is partially in accordance with community norms and customs, but with some omissions. The highest score was given for projects where the community considered the project and its implementation to be fully in accordance with community norms and customs. As shown in Figure 11, the design of the newer cohort of projects is a slight

improvement over that of the older cohort, but most projects do not explicitly mention focusing on this dimension.

105. Good practice in the legitimacy dimension was shown in the Integrated Community-Based Conservation of Peatlands Ecosystems and Promotion of Ecotourism in Lac Tele Landscape of Republic of Congo project (GEF ID 10298). This project supports the creation of agreements for sustainable forest and wildlife management to be developed between local communities and protected areas and relevant government agencies based on the customary rights of local people to forests and wildlife. The project plans to establish indigenous peoples land committees prior to the development of management plans to uphold the role and importance of indigenous peoples as active rights holders. A set of local rules and regulations will be integrated in the management plans using local traditional knowledge on sustainable use of wildlife and other biological resources.

Figure 11. Alignment with good practice: Legitimacy in the eyes of users



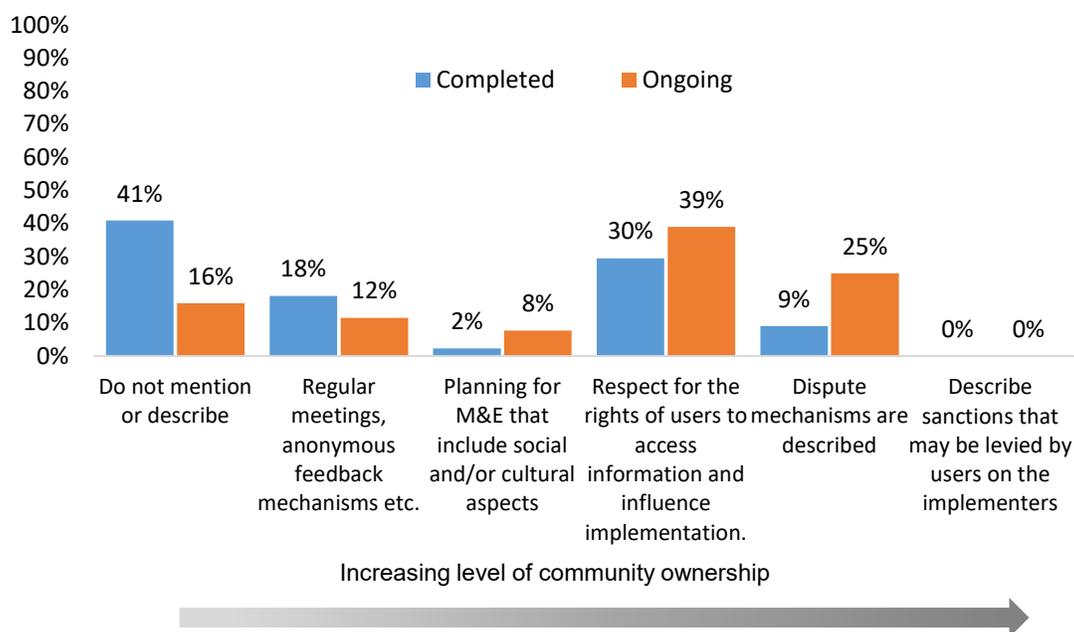
Accountability of implementers to users

106. **Despite some improvement over time in the GEF’s alignment with the dimension of accountability of implementers to users, no projects are aligned with the highest level of good practice.** This dimension relates to processes for ensuring downward accountability from project implementers to communities. A lower rating was given to projects where processes are simply defined in documents; higher ratings were given to projects that describe ways in which implementers respect the rights of users to access information and influence implementation. The highest rating was given to projects with documents that describe sanctions that may be levied by users on implementers in case of malfeasance or failure to comply with agreed-upon actions or policies. As shown in Figure 12, there has been a slight improvement in the design of the newer cohort of projects relative to the older cohort, with a

quarter of the former projects describing dispute mechanisms, as reflected in the following good practice example.

107. Good practice in this dimension was shown in the Strengthening Management of Protected and Productive Landscapes in the Surinamese Amazon, Suriname (GEF ID 10252). This project aims at securing equitable management of Suriname’s protected and productive landscapes through integrated approaches that deliver mutually supportive conservation and sustainable livelihood benefits. The project will consistently use FPIC principles and procedures in line with the UNDP Social and Environment Standards, even though FPIC is not included in Suriname’s national legislation. Spaces will be created by which agreements can be reached on specifically consulted aspects (e.g., landscape planning, community management plans, and human-jaguar conflict management). Consultation and decision-making will follow traditional processes laid down by the indigenous and Maroon peoples, and all decisions taken during meetings will be implemented and monitored. During the design phase of the project, representatives of the indigenous and Maroon peoples explicitly requested a complaint mechanism. This has been included in the Indigenous and Maroon Peoples Process and Planning Framework and the Stakeholder Engagement Plan. This grievance redress mechanism will ensure that any potential conflict is addressed together with the indigenous and Maroon peoples concerned. The indigenous and Maroon peoples will be represented on the project board and technical working group.

Figure 12. Alignment with good practice: Accountability of implementers to users



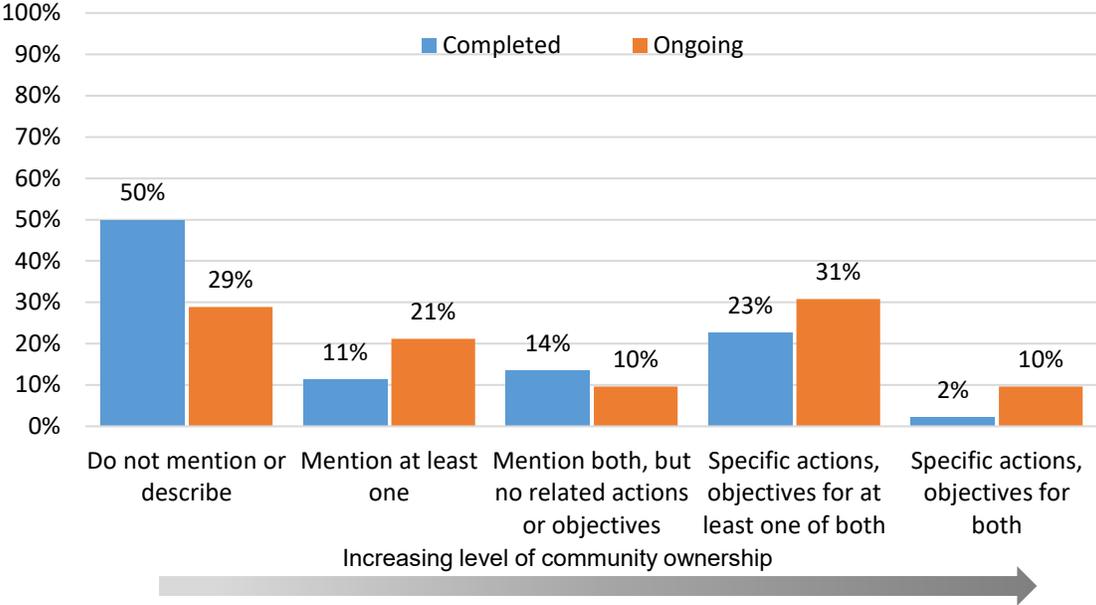
Human rights and equality

108. **GEF alignment with good practice on the human rights and equality dimension has been improving, with at least half of the newer cohort of projects mentioning this dimension and 40 percent including specific actions or objectives.** The dimension relates to the extent to

which a project takes specific actions to address human rights and equality. A low rating was given to projects that simply mentioned the concept; the highest rating was given for projects that mention specific actions or objectives for both human rights and equality. Figure 13 shows that there has been a slight improvement in the design of the newer cohort of projects relative to the older cohort. GEF Secretariat staff reflected on constraints related to reporting on this dimension, noting that in their experience many projects are working on human rights and equality, but project staff are not asked to include this exact terminology in project documents.

109. Good practice on this dimension was illustrated by the Enhancing Sustainability and Climate Resilience of Forest and Agricultural Landscape and Community Livelihoods in Bhutan project (GEF ID 9199). The project aims at operationalizing an integrated landscape approach through the strengthening of biological corridors and sustainable forest and agricultural systems, and building the climate resilience of community livelihoods. The project design seeks to uphold the centrality of human rights to sustainable development and poverty alleviation, and ensure fair distribution of development opportunities and benefits. Its implementation of a human rights-based approach in its delivery of goods and services includes maintaining and respecting the legal and traditional rights of local communities to land and natural resources within these project areas.

Figure 13. Alignment with good practice: Human rights and equality



5. Community involvement across the project cycle

110. Given the importance of community participation in CBAs, the evaluation sought to determine whether there were any trends in participation across the project cycle for CBA projects. All project documents for CBA projects in the case study countries were analyzed, supplemented by field visits and interviews during the case study missions. Data from the

portfolio review supplement findings from the case studies, presented in the following paragraphs.

111. GEF projects in Cameroon, Indonesia, Madagascar, Peru, and Timor-Leste showed limited local-level stakeholder involvement during project design. Very few of the local stakeholders interviewed for the case studies reported having meaningful input into the design of the projects.¹¹ As shown in Table 2, only 18 percent of projects in case study countries reported substantial local community involvement in project design. In the majority of cases, consultations involved sharing a finalized project document with stakeholders; by that point, there was limited ability to make significant changes. One community-based organization involved in implementing the Inclusive Conservation of Sea Turtles and Seagrass Habitats in the North and North-West of Madagascar project (GEF ID 10696) described being shown a finalized project design and asked to sign off on it without any opportunity to share feedback or suggestions for improvement. In Cameroon, there was a general perception that while many projects adopt participatory approaches in their implementation, decision-making occurs at a central, rather than local, level. This was noted particularly for Securing Tenure Rights for Forest Landscape Dependent Communities: Linking Science with Policy to Advance Tenure Security, Sustainable Forest Management and People’s Livelihoods (GEF ID 5796). As noted by GEF Secretariat interviewees, tenure projects are a specific example of work being done centrally in support of community self-determination. These types of projects highlight the ability of the GEF to work with and through governments to support changes that might not be possible for CSOs. Similarly, although the Conservation and Sustainable Use of the Ngoyla Mintom Forest in Cameroon project (GEF ID 4084) formed a key stakeholder group that included indigenous peoples and local communities, the local stakeholders reported they were invited to workshops to listen to presentations of project design and objectives rather than being asked to provide feedback to be incorporated into the project design.

112. Stakeholders across the partnership, especially at the local levels (field staff, local CSOs), perceived that the GEF project design process is rather top down. True bottom-up development is seen as challenging within the time scales and resources associated with GEF projects, leading some to share the sentiment that within the GEF “community based is not community led.”

¹¹ A similar finding emerged from the IEO’s Evaluation of the GEF’s Approach and Interventions in Water Security, which found that international waters projects were less likely to involve local stakeholders in their design phase —meaning that local stakeholders had limited knowledge of the regional projects before implementation (GEF IEO 2023b).

Table 2. Community involvement at each project stage from five case study countries

GEF ID	Project Name	Design			Implementation			M&E		
		Not described	Limited involvement	Substantial involvement	Not described	Limited involvement	Substantial involvement	Not described	Limited involvement	Substantial involvement
Madagascar										
3687	Madagascar's Network of Managed Resource Protected Areas		✓				✓			✓
3773	Support to the Madagascar Foundation for Protected Areas and Biodiversity (through Additional Financing to the Third Environment Support Program Project (EP3))	✓					✓			✓
5352	Conservation of Key Threatened Endemic and Economically Valuable Species in Madagascar		✓				✓			✓
5354	Participatory Sustainable Land Management in the Grassland Plateaus of Western Madagascar			✓			✓			✓
5486	A Landscape Approach to Conserving and Managing Threatened Biodiversity in Madagascar with a Focus on the Atsimo-Andrefana Spiny and Dry Forest Landscape	✓					✓			✓
9606	Conservation and Sustainable Use of Biological Diversity in the Northwestern Landscape (Boeny region)			✓			✓			✓
10233	Sustainable Management of Conservation Areas and Improved Livelihoods to Combat Wildlife Trafficking in Madagascar	✓					✓	✓		
10696	Inclusive conservation of sea turtles and seagrass habitats in the north and north-west of Madagascar		✓				✓			✓
Cameroon										
5796	A Bottom Up Approach to ABS: Community Level Capacity Development for Successful Engagement in ABS Value Chains in Cameroon (Echinops giganteus)		✓			✓		✓		
3821	CBSP Sustainable Community Based Management and Conservation of Mangrove Ecosystems in Cameroon			✓		✓		✓		
4084	CBSP Conservation and Sustainable Use of the Ngoyla Mintom Forest		✓			✓		✓		
4739	Participative Integrated Ecosystem Services Management Plans for Bakassi Post Conflict Ecosystems (PINESMAP-BPCE)		✓				✓			✓
5210	Sustainable Farming and Critical Habitat Conservation to Achieve Biodiversity Mainstreaming and Protected Areas Management Effectiveness in Western Cameroon SUFACHAC		✓			✓				✓
5796	A Bottom Up Approach to ABS: Community Level Capacity Development for Successful Engagement in ABS Value Chains in Cameroon (Echinops giganteus)		✓			✓		✓		
9604	Removing Barriers to Biodiversity Conservation, Land Restoration and Sustainable Forest Management through Community-based Landscape Management – COBALAM		✓				✓	✓		
10287	Integrated management of Cameroon's forest landscapes in the Congo Basin			✓			✓			✓
Indonesia										
3279	Citarum Watershed Management and Biodiversity Conservation Project	✓					✓			✓

3443	SFM Strengthening Community Based Forest and Watershed Management (SCBFWM)	✓					✓		✓	
4340	Strategic Planning and Action to Strengthen Climate Resilience of Rural Communities in Nusa Tenggara Timor Province (SPARC)		✓				✓	✓		
9600	Strengthening of Social Forestry in Indonesia		✓				✓			✓
10236	Catalyzing Optimum Management of Nature Heritage for Sustainability of Ecosystem, Resources and Viability of Endangered Wildlife Species (CONSERVE)		✓				✓			✓
10757	Maintaining and Enhancing Water Yield through Land and Forest Rehabilitation (MEWLAFOR)	✓					✓	✓		
Timor-Leste										
4696	Strengthening the Resilience of Small Scale Rural Infrastructure and Local Government Systems to Climatic Variability and Risk			✓			✓		✓	
5056	Strengthening Community Resilience to Climate-induced Disasters in the Dili to Ainaro Road Development Corridor, Timor Leste		✓				✓		✓	
9434	Securing the Long-term Conservation of Timor Leste Biodiversity and Ecosystem Services through the Establishment of a Functioning National Protected Area Network and the Improvement of Natural Resource Management in Priority Catchment Corridors		✓				✓			✓
Peru										
3276	Promoting Sustainable Land Management in Las Bambas	✓					✓		✓	
3933	SFM Sustainable Management of Protected Areas and Forests of the Northern	✓					✓		✓	
4773	Conservation and Sustainable Use of High-Andean Ecosystems through Compensation of Environmental Services for Rural Poverty Alleviation and Social Inclusion	✓					✓		✓	
Total		9	13	5		4	23	7	6	14
Percentage		33%	48%	19%		15%	85%	26%	22%	52%

Note: Project documents for all country case study CBA projects that had passed the CEO endorsement stage were reviewed and assessed on community involvement. This document review was supplemented with data gathered during field visits. Projects were given the lowest rating if community involvement in a specified phase was either not mentioned or was described as insufficient. Examples of activities that were considered substantial in each phase are (1) design: community feedback reflected in project site selection or activities; (2) implementation: grants managed by communities, participatory land planning; (3) M&E: participatory monitoring (either of ecological status or project activities).

113. **In countries where case studies were done, communities were more involved during project implementation than in other phases.** Indonesia’s Citarum project had limited community involvement during the design phase, but extensive community involvement during implementation. Decision-making on components involving capacity building around environmental and livelihoods issues was devolved to communities, and they managed small grants to implement these activities. Components of the Strategic Planning and Action to Strengthen Climate Resilience of Rural Communities in Nusa Tenggara Timur Province (SPARC) project (GEF ID 4340) in Indonesia similarly sought to devolve decision-making to community members, but it failed to develop sufficient roots and build sufficient capacity in the community to ensure continuation of the activities. Further, while communities were involved in thematic decisions and received small grants directly, they were not supported with access to markets.

114. **In the countries visited by the evaluation team, half of the projects included a substantial role for communities in M&E.** Most of the participatory M&E was related to ecological status monitoring. The sustainability of the ecological monitoring activities visited by postcompletion missions was high, continuing after project close—in some cases, without financial support. In the Citarum project in Indonesia and in the Support to the Madagascar Foundation for Protected Areas and Biodiversity through Additional Financing to the Third Environment Support Program Project (EP3) (GEF ID 3773) and Madagascar’s Network of Managed Resource Protected Areas (MRPA) (GEF ID 3687) projects in Madagascar, communities were involved in forest patrols and species monitoring. In Peru, project implementers emphasize the need to be able to monitor qualitative aspects such as empowerment and the well-being of women and men in the communities, as they are key aspects for sustainability and are generally not monitored or evaluated.

115. **In the evaluation portfolio, the prevalence of participatory M&E of project processes, activities, or outcomes was moderate,¹² but the monitoring of processes associated with CBAs was weak.** Among completed projects in the evaluation portfolio, 7 percent included participatory M&E related to ecological data gathering; this number increased to 29 percent in the sample of ongoing projects. Sixteen percent of completed projects mentioned participatory M&E but in a general sense, referring to project-level process, activities, or outcome monitoring; the share increased to 46 percent of ongoing projects. Box 2 provides a good practice example of monitoring CBA processes.

116. **The evaluation also looked at indicators measuring three good practice dimensions—devolved financial and technical resources, devolved decision-making and accountability, and incorporation of local institutions and customs—which collectively were tracked by less than a quarter of the evaluation portfolio’s projects.** Indicators measuring devolved financial and technical resources were found in 23 percent of completed projects and 13 percent of ongoing projects; devolved decision-making and accountability was tracked by 16 percent of completed and 13 percent of ongoing projects; and the incorporation of local institutions and customs was

¹² Participatory M&E entails stakeholders at various levels engaging in monitoring or evaluating a particular project and sharing control over the content, process, and results of the M&E activity.

captured by 14 percent of completed projects and 19 percent of ongoing projects. As an example, the Slovak Republic Sustainable Mobility in the City of Bratislava project (GEF ID 3433) included an indicator that tracked the participation of landless community members and youth in project activities including decision-making. Box 3 provides examples of indicators measuring inclusion in CBA projects.

Box 2. GEF project example of monitoring CBA processes

PRC-GEF Partnership: Sustainable Development in Poor Rural Areas in China (GEF ID 3608) provides an example of indicators to measure CBA processes and environmental outcomes. The project measured achievement of the development objectives through two indicators (1): the government's acknowledgment of the importance of community-driven development (CDD) and participatory approaches and progress toward the achievement of the development objective was to be monitored through the following two indicators: (1) the acknowledgement by government of the importance of CDD and participatory approaches for future poverty alleviation and rural development work, (2) the satisfaction rate among beneficiaries regarding the (1) project impact on income levels and well-being, and (2) CDD approach. For the CDD component, the intermediate outcomes had the following indicators: funds transferred to project villages and to the poorest villages, women's participation rate in village project management groups, share of infrastructure works with satisfactory quality and specific arrangements for maintenance and management, and number of villages with completed community annual project plans. For the project's community development fund component, the intermediate outcomes were to be monitored on the basis of the share of poorest households benefiting from community development funds. For the GEF financed component, outcome indicators included share of pilot villages that successfully complete village assessments and resource mapping and identified adaptation needs, and implement innovative adaptation measures; number of adaptation innovations introduced into the CDD menu; number of indicators formulated covering land management, climate change vulnerability, adaptation, and coping range; and carbon stock increases across all pilot villages.

6. Inclusion in CBA projects

117. **GEF projects applying a CBA have become more inclusive of women, IPLCs, and youth over time.** For example, there is a difference between closed and ongoing projects in describing project stakeholders. In projects designed during GEF-6 and GEF-7, 62 percent described women as stakeholders, compared to 43 percent of the cohort for GEF-4 and GEF-5. Similarly, 46 percent of projects in the newer cohort described IPLCs as stakeholders, compared to 14 percent; and 33 percent described youth as stakeholders, compared to 11 percent.

118. **The evaluation portfolio shows improvements in incorporating gender dimensions from the older to the newer cohort, but a small gap remains and falls short of full compliance with gender policy requirements.** Of the older cohort of completed projects, 20 percent included a gender analysis and/or a gender action plan at project design.¹³ Thirty-six percent of the project results frameworks from this cohort included sex-disaggregated targets and/or gender-sensitive indicators; only 5 percent had some indicator measuring women's

¹³ These projects were initiated before implementation of the GEF Policy on Gender Equality, which mandates a gender analysis and a gender action plan in every project's design.

participation in decision-making. There was marked improvement among the cohort of ongoing projects (from GEF-6 and GEF-7). Of these, 81 percent included a gender analysis and 75 percent included a gender action plan. These percentages exceed the 57 percent share of projects with a gender analysis and 55 percent with a gender action plan reported in the IEO evaluation of institutional policies and engagement (GEF IEO 2022f), which covered 336 projects from GEF-6 and GEF-7. Regarding areas of expected contribution in the evaluation portfolio, 71 percent of all projects aimed at improving women's participation and decision-making, 73 percent aimed for socioeconomic benefits, and 21 percent at closing gender gaps in access to resources. Eighty-three percent of all project results frameworks included gender-sensitive indicators, and 25 percent had some indicator measuring women's participation in decision-making.

119. Projects made specific efforts to include women in project activities, but the extent to which any systemic inequalities were addressed that might prevent their full participation and benefit sharing is less certain. There were few examples in the case studies of women playing a leadership or decision-making role in the community groups; Strengthening of Social Forestry in Indonesia was the single exception. In Madagascar, stakeholders reported challenges in integrating gender perspectives into project activities, but there is widespread agreement on the importance of continued efforts to intentionally integrate women into CBA project activities. Quotas for participation in groups or leadership roles for women were seen as good tools for encouraging women's involvement in the context of CBAs. One project was successful in promoting women's participation in remote project areas through social marketing campaigns broadcast over the radio. Project implementers in Madagascar reported selecting meeting times to accommodate schedules and engaging informally as necessary to encourage women's participation. Stakeholders from civil society and IPLCs interviewed for the Peru case study emphasized the importance of incorporating feedback from women, with a focus on internal dynamics, prior to designing a CBA project to ensure adequate attention to gender issues.

120. With few exceptions, most of the closed projects in the evaluation's portfolio did not explicitly target IPLCs. Country case study examples and portfolio data show limited attention was paid in the closed cohort of projects to IPLCs, despite the role they play in managing natural resources in GEF countries. The GEF's country-driven model means projects are implemented through governments; thus, the involvement of IPLCs is highly dependent on government priorities. Few of the closed GEF CBA projects reviewed set out a clear and specific objective or strategy to include indigenous people and institutions. The Strengthening of Social Forestry in Indonesia project is an exception here as well, as it includes customary forests as one of the five schemes to be financed by project activities. The project offers land tenure or formal land rights alongside capacity-building and alternative livelihoods activities. As of the time of the IEO mission, none of the customary forest schemes had been implemented, but the project team spoke of plans to move forward to customary forests. However, indigenous advocacy groups reported that they had not been consulted with in the design of this project.

121. In Cameroon, analysis of the constraints related to achievement of project results showed that IPLCs had generally not been involved in project design. Project stakeholders

associated with the Ngoyla Mintom Forest project maintained that this led to a lack of activities adapted to their context and insufficient funding to support co-management initiatives. IPLCs interviewed stated that the short lifespan of the project did not allow for sufficient time for them to become familiar with its vision, strategy, and implementation activities.

122. Peru's Promoting Sustainable Land Management in Las Bambas project (GEF ID 3276) used an inclusive approach whereby people were selected in a communal assembly with inclusive criteria. Programs were created to target different groups, including youth, women, adults, leaders, and nonleaders. The project was reported to apply an appropriate cultural approach, given the context of working with indigenous communities. Priority was given to hiring local Quechua-speaking inhabitants of Cusco and Apurimac to carry out extension services as *yachachiqs*—leaders selected by their communities and recognized for their knowledge. These participants received training and capacity building and then supported local families to promote uptake of project activities. Other non-GEF projects have capitalized on the *yachachiq* approach to strengthen community groups in the Apurimac region.

123. **Stakeholders from indigenous groups highlighted the necessity for CBA projects working with IPLCs to include special considerations.** They cited the importance of taking into account the unique needs of IPLCs, noting that CBA projects for IPLCs may need to consider territoriality land claims.¹⁴ CBA projects also should reflect the right of IPLCs to use their own governance systems. There was general consensus that if a CBA aimed for use with IPLCs did not take such considerations into account, the approach's effect and effectiveness would be watered down. The ICI, which allocates funds to IPLCs, has the potential of yielding important lessons for CBA projects targeting IPLCs in the GEF.

124. **The country case studies provided some useful lessons from GEF CBA projects on promoting inclusion.** Some issues with exclusion were highlighted in the case studies, and there were examples of elite capture. To counteract this, some projects have introduced indicators to measure the participation of landless farmers, groups led by women/youth, and targeting of women/youth to receive project assets before others. Box 4 provides examples of some of the indicators that target the participation of these groups. In Madagascar, project stakeholders reported that project assets were first allocated to women and members of vulnerable groups within communities; this was seen as a way to mitigate elite capture.

Box 3. Examples of indicators for inclusion from the evaluation portfolio

Sustainable Land Management for Increased Productivity in Armenia (SLMIP) (GEF ID 8005): At least 30 percent of women-headed households have increased yields by 50 percent from diversified high-value vegetable crops; annual gross revenue of targeted women groups has increased by 50 percent; 50 percent of women and youth unemployed cooperatives supported by the project become autonomous

¹⁴ Territoriality refers here to the acknowledgment that IPLCs' relationship with land is not about power but is instead tied to their identity, culture, and spiritual beliefs.

Enhancing Sustainability and Climate Resilience of Forest and Agricultural Landscape and Community Livelihoods, Bhutan (GEF ID 9199) (MTF—GEF/LDCF): Number of people adopting climate-resilient livelihood activities associated with conservation management and processing of renewable natural resources (gender disaggregated) as quantified by the impact assessment; number of community SFM groups, with gender-disaggregated membership data; improved gender equity in land and natural resource decision-making and benefits between men and women; increased women’s participation and executive role in decision-making in commodity user groups and project committees

Integrated Community-Based Conservation of Peatlands Ecosystems and Promotion of Ecotourism in Lac Télé Landscape of Republic of Congo (GEF ID 10298): Percentage of district councils plans with clear attention to gender and representation of indigenous populations; number of transboundary community-based structures to manage peatlands with women in decision-making positions

Landscape Restoration and Ecosystem Management for Sustainable Food Systems, Ghana (GEF ID 10348): Number of women participating in decision-making processes through membership in district management and planning committees; number of nationals trained in extractive industries skills, including percentage of females; percentage of committees established with project support that have at least one woman; percentage of executive committees established with project support that have at least four women

Strengthening the Integral and Sustainable Management of Biodiversity and Forests by Indigenous Peoples and Local Communities in Fragile Ecosystems of the Dry Forests of the Bolivia Chaco (GEF ID 10393): At least 320 local actors (from autonomous indigenous peoples and local organizations, and other actors; (30 percent women and at least 10 percent youth under the age of 28) in integrated land use planning and local participatory governance; at least 15,000 beneficiaries (7,500 women and 7,500 men) have boosted their governance skills, implementing SFM, sustainable land management, and land use planning skills

125. **Though not a main stakeholder in most of the projects reviewed, there are examples of private sector support contributing to the sustainability of CBA projects in case study countries.** In Indonesia’s Citarum project, the evaluation team visited a waste management facility in Sugih Mukti that was started with GEF seed money granted to a community group and scaled up by a private sector entity (PT BIODIV Energi) that supported the group as part of its corporate social responsibility efforts. Further support for the facility was then provided by the national government. The SFM Strengthening Community Based Forest and Watershed Management project (GEF ID 3443) in Indonesia created a payment for ecosystem services scheme that linked a hydropower company to communities, which received compensation for planting to improve sediments. These activities reportedly yielded measurable reductions in sediments at project close. In the MRPA project in Madagascar, livelihoods activities continue past project close; this is linked to support from a nongovernmental organization which facilitates linkages to international and domestic markets for the products produced by the communities (Box 5). These communities also continue to sell their produce and fish to a local resort under an arrangement established by the initial project.

126. **Country-level stakeholders reported that when the private sector is absent, or linkages between markets and livelihoods activities are difficult to establish, there is a negative impact on project performance and sustainability.** For example, in the SPARC project in Indonesia, the absence of linkages to markets was a major constraint. In the villages visited by the IEO field mission, community respondents reported that they were not provided with any market-related training or capacity building, and that they lacked the ability to translate improved production to higher incomes in a significant and sustainable way. One community member said, “We have lots of tomatoes, but we can’t even eat them all and have nowhere to sell them.” Similar sentiments were expressed by other community members who waited for buyers to come to the farm gate and expressed a lack of knowledge over whether prices offered were fair. Project staff reflected on the difficulty of creating links to markets when the private sector did not have much of a presence in the area. These challenges, according to respondents, curtailed the value addition potential that the project might have otherwise had.

7. Performance of GEF projects applying a CBA

127. This section presents findings on performance for the evaluation portfolio, and looks at environmental status change, broader adoption, and the achievement of socioeconomic co-benefits.

128. **GEF CBA projects had a large share of projects rated in the satisfactory range.** As Table 3 shows, 85 percent of projects using a CBA had positive outcome ratings. The difference becomes more pronounced when viewed by GEF replenishment period. Table 3 shows that 92 percent of GEF-5 CBA projects were in the positive range, compared with 83 percent of GEF-4 projects.¹⁵ MSPs had a higher share of projects in the satisfactory range (94 percent) relative to FSPs (83 percent) in the evaluation portfolio. Land degradation and climate change adaptation projects also had higher shares of projects in the satisfactory range (92 percent) compared to the other focal areas. CBA projects in most focal areas—with the exception of biodiversity—had a higher average effectiveness rating than non-CBA projects from the same time period.

Table 3. Performance ratings of the CBA evaluation portfolio relative to comparators by focal area and modality

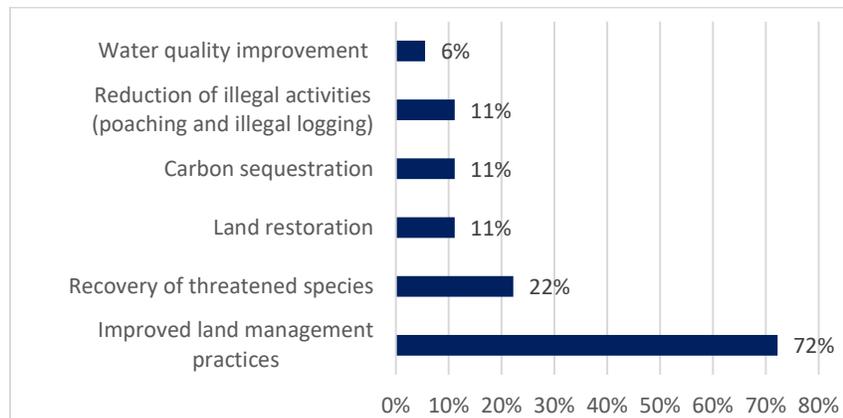
Effectiveness Ratings (% of ratings in the positive range)								
		Modality		Focal area				Total
		MSP (n=17)	FSP (n=72)	BD (n=34)	LD (n=13)	CCA (n=12)	MF (n=30)	
CBA (n=89)	GEF-4 (n=63)	91	81	76	89	100	85	83
	GEF-5 (n=26)	100	90	100	100	86	90	92
	Total	94	83	79	92	92	87	85

¹⁵ For comparison, 92 percent of SGP projects had outcome ratings in the satisfactory range, according to the most recent SGP evaluation, with the high share of positive effectiveness ratings linked to the level of engagement of local stakeholders and ownership of the program by local communities (GEF IEO and UNDP IEO 2021).

Note: Data do not include projects with no rating available in the APR 2021 data set. Ratings are considered in the positive range if they are moderately satisfactory or higher. MSP = Medium size project; FSP = Full size project; BD = biodiversity; LD = land degradation; CCA = climate change adaptation; MF = multi-focal area

129. **Nearly half of projects using a CBA reported environmental status change and two-thirds reported broader adoption.** Forty-one percent of the evaluation portfolio reported positive environmental status change.¹⁶ These projects were associated with improved land management, rehabilitation of endangered species, land restoration, carbon sequestration, reduction of wildlife poaching and illegal logging; recovery of threatened species; and surface water improvement (Figure 14). Two-thirds of GEF projects applying a CBA reported broader adoption: 34 percent through sustaining, 41 percent through mainstreaming, 18 percent through replication, 9 percent through scaling-up, and 7 percent through market change.¹⁷

Figure 14. Categorization of environmental outcomes



Note: Some projects report more than one environmental outcome.

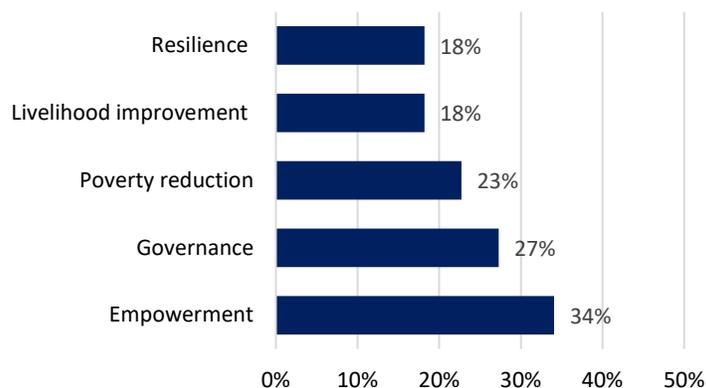
130. **The majority of GEF projects applying a CBA reported achievement of socioeconomic co-benefits at project close.** CBAs often integrate a design modality that includes socioeconomic co-benefits responding to needs at the local level; this incentivizes or contributes to behavior change and the achievement of environmental goals. In the evaluation portfolio, 75 percent of closed projects using a CBA reported socioeconomic co-benefits associated with the projects. This finding reflects stakeholder feedback that, where well implemented, CBAs can support both environmental and socioeconomic benefits.

¹⁶ The review instrument asked whether a project reported any of the following: stress reduction of environmental status improving at a large scale (i.e., across the targeted ecosystem or market), significant stress reduction occurring or environmental status improving at low scales (i.e., in specific or disconnected areas), stress reduction or environmental status improving at low scales (i.e., in specific or disconnected areas) but extent of impact not significant compared to dedicated resources. For comparison, in the performance cohort of the Seventh Comprehensive Evaluation of the GEF (OPS7), which consisted of 608 completed projects for which terminal evaluations had been received since OPS6, 37 percent of projects reported environmental status change (GEF IEO 2022e).

¹⁷ In comparison, 24 percent of the OPS7 performance cohort projects reported broader adoption. The GEF IEO defines broader adoption as taking place when non-GEF actors adopt, expand, and build on GEF-funded projects (GEF IEO 2022e).

Empowerment and improved governance were the top reported socioeconomic outcomes in projects in the evaluation portfolio (Figure 15). Box 4 shows examples from projects that reported on the different types of socioeconomic outcomes reported in the evaluation portfolio.

Figure 15. Categorization of socioeconomic outcomes



Note: Some projects report more than one socioeconomic outcome.

Box 4. Examples of CBA projects reporting positive socioeconomic outcomes

Empowerment. The LDCF-financed Effective Governance for Small Scale Rural Infrastructure and Disaster Preparedness in a Changing Climate project in Lao PDR (GEF ID 4554) aimed at improving the administrative systems affecting the provision and maintenance of small-scale rural infrastructure in the provinces of Sekong and Saravane through participatory decision-making. Activities were implemented to raise community awareness of local environmental challenges and to ensure that communities were organized through water use and village committees to enhance infrastructure sustainability (i.e., ownership of operation and maintenance). Interviews conducted for the terminal evaluation found a greater sense of community among beneficiaries, mainly because the project facilitated the (re-)activation of community groups, community dialogue, and cohesion by promoting participation in common decision-making processes; this included the selection of infrastructure sites and in-kind contribution (mainly labor) for infrastructure.

Governance. The Côte d’Ivoire Protected Area Project (Projet d’Appui a la Relance de la Conservation des Parcs et Reserves, PARC-CI; GEF ID 3533) focused on improving the sustainable management of the fauna and habitat of Comoé National Park. At completion, it was reported that the effective implementation of the community engagement strategy had resulted in the establishment of 23 village conservation groups as well as a participatory and well-functioning local park management committee with community, local authority, and government representatives. Overall, these measures contributed to a reduced level of poaching, herding, and agriculture encroachment in the park and a better relationship with the agency in charge of parks and reserves.

Poverty reduction. The SFM Sustainable Management of Protected Areas and Forests of the Northern Highlands of Peru project (GEF ID 3933) aimed at ensuring the sustainable and participatory management of protected areas and communal forested lands in Peru’s northern highlands. To this end, the project supported local communities with environmentally friendly economic activities in order to alleviate the pressure of deforestation, as well as contribute to the reduction of poverty. In this context, the project supported local communities in developing community plans to manage their lands, including forests, with a sustainable approach and create community enterprises that ensure the beneficial use of managed products. At

completion, district indicators showed a reduction of around 4 percent and 2 percent in poverty and extreme poverty, respectively, in the districts of Kañaris and Inkahuasi. In addition, child malnutrition decreased by 3.6 percent in Kañaris and 9.6 percent in Inkahuasi.

Livelihoods improvement. The Strengthening Sustainable Forest Management and Bio-Energy Markets to Promote Environmental Sustainability and to Reduce Greenhouse Gas Emissions in Cambodia project (GEF ID 3635) reduced carbon dioxide emissions and improved livelihoods through fuelwood-efficient interventions that created employment opportunities. Monthly income generated by cookstove producers has increased from a baseline of \$40 to \$87, exceeding the target of \$60.

Resilience. The SCCF-financed Scaling up Adaptation in Zimbabwe, with a Focus on Rural Livelihoods, by Strengthening Integrated Planning Systems project (GEF ID 4960) sought to reduce the vulnerability of rural communities to climate variability in three districts through two main lines of action. It (1) diversified and strengthened livelihoods and sources of income for vulnerable smallholder farmers, and (2) increased knowledge and understanding of climate variability and change risks through the development of community-based early warning systems. The project aimed at a reduction of household perceptions of vulnerability to 35 percent, from an average baseline of 88 percent. At completion and across all three districts, households with high vulnerability had decreased to around 27 percent. The communities that were consulted during the terminal evaluation considered themselves to be less vulnerable to climate change due to improvements in water security, better-protected ecosystems, the introduction of climate-smart agricultural practices, and access to financial support services that they had previously lacked.

8. Sustainability of outcomes in projects using CBAs

131. This section presents findings on the postcompletion sustainability of environmental outcomes drawn from the country case studies. It also discusses factors that contribute to the sustainability of environmental and socioeconomic outcomes of CBA projects.

132. **Evidence shows that where CBAs were well designed and implemented, environmental and socioeconomic outcomes were sustained.** In Indonesia, communities associated with the Citarum project reported environmental conditions had improved in buffer zones near protected areas created by the project and managed by communities. The communities reported that they continue to conduct forest patrols to ensure the integrity of these areas. The CBA applied by this project paired the environmental restoration activities with grants for alternative livelihoods activities that were linked to local markets; many alternative livelihoods activities were still operational after project close. Communities attribute the continued success of the livelihoods activities to their ability to link to local markets to sell handicrafts and palm sugar. Continuation of the forest patrols and protection of the buffer zone were linked to socialization activities that occurred as part of the project which led to a change in mindset and behavior.

133. For the MRPA project, improvement in mangrove forest cover was reported by communities during field visits. Geospatial analysis validated that the change occurred during the project time frame and has been sustained after completion (Box 5). The environmental status change was attributed to the CBA project design, which included participatory planning activities and an alternative livelihoods component that allowed communities to sell crabs and fish harvested from protected areas. These activities were carried out with the support of a

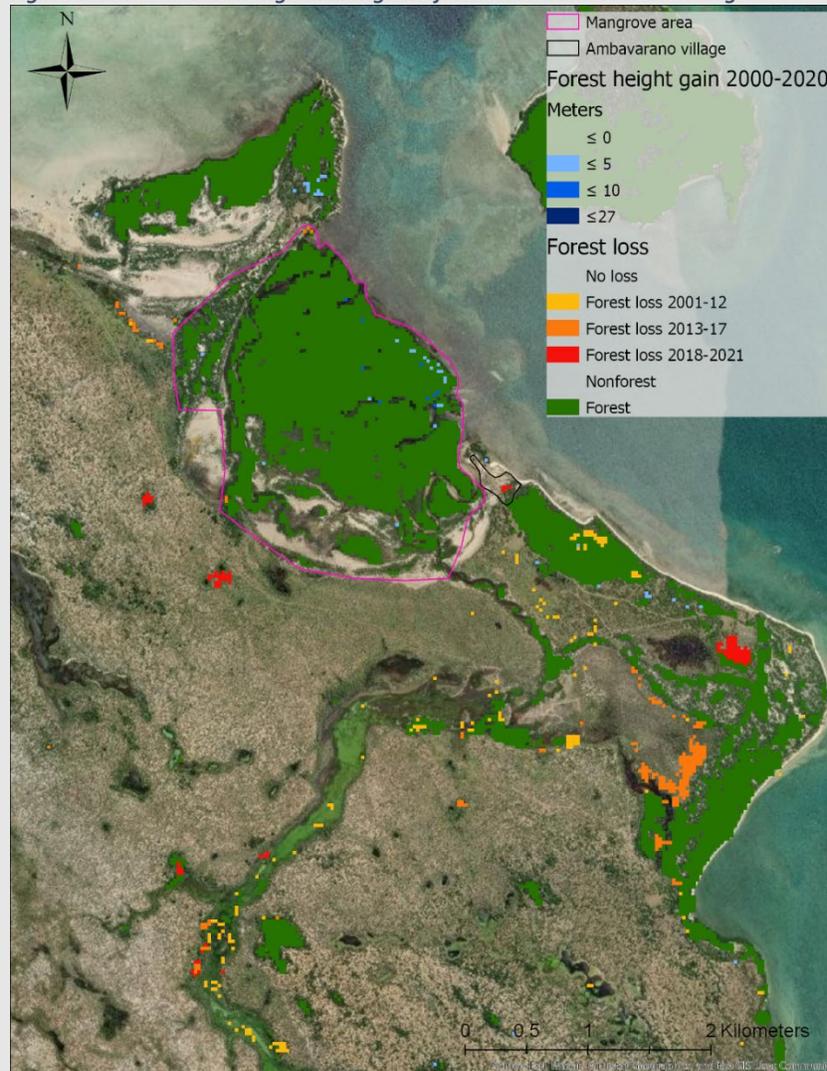
local organization that linked fishers to markets. In comparison, another forest habitat project in Madagascar did not meet its objectives. The EP3 project, although it increased the number of hectares of forest habitat in protected areas and created community forest patrols that lasted past project close, did not result in the envisioned reduction of deforestation rates (IEG 2021b). Stakeholders interviewed for the case study explained that the CBA applied by the project supported one-time safeguard payments to offset communities' inability to use forest resources for livelihoods. Project staff reported that the livelihoods activities (livestock) were selected by the project team, not by communities themselves and did not reflect local needs, capacity, or customs around animal keeping. This is not an example of a well-designed CBA that incorporates good practice dimensions such as devolved decision-making and resources to communities.

Box 5. Sustainability of results after project completion in Madagascar

The MRPA project strengthened community groups and gave them a role in decision-making around project activities. It also fostered legitimacy in the eyes of users through involving community groups in planning processes including the creation of boundaries, zoning and rules for land use, as well as recognition of community land tenure. The project was designed in a way to ensure buy-in from both local communities and authorities through activities supporting improved livelihoods tied to revenues linked to sustainable resource use from the new protected areas.

A geospatial analysis of the project activities in a site near a mangrove forest in the Ambavarano village supported assertions by the community that the project had contributed to decreased rates of mangrove deforestation and expansion of the forested mangrove area. As a starting point, the IEO analyzed forest loss and gain data between 2000 and 2021 in the project area (Figure 16). Given the long time span and lack of geographical precision in the forest cover data (data sets are global and may lack precision at the local level), further analysis was undertaken using high-resolution images available from Google Earth. During the time periods preceding, during, and after the project, the areas to the southeast and due south from the village experienced forest loss; in the mangrove forest protected by the project, forest cover increased.

Figure 1. Forest cover change in mangrove forest near Ambavarano village



Note: The area encircled in pink is the mangrove areas that the communities describe supporting through the project. The village of Ambavarano is located southwest of the mangrove forest. Geospatial data sources from Hansen et al. 2013 for forest loss and Potapov et al. 2022 for forest gain.

Figure 16. Google Earth high resolution image of mangrove forest

Figure 16a. May 2012 (prior to project start)	Figure 16b. August 2015 (midway through project implementation)	Figure 16c. May 2022 (five years after project close)
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High-resolution images (Figure 16a-c) further validate the increase in mangrove area reported by the women supporting the forest. Figure 16a is from before the project began implementation, Figure 16b is from during implementation, and Figure 16c, showing noticeable mangrove growth, is from five years after the project closed. This shows—at least on a small scale—the environmental status change associated with project activities that applied CBAs, and sustainability after project close.

The community selected livelihoods activities supported by the project in collaboration with a nongovernmental organization that connects local producers to national and international markets. The collaboration with continued as of November 2022. The ability of communities to access domestic and international markets has contributed dramatically to the sustainability of the livelihoods activities.

134. Project activities related to capacity building for ecological monitoring and behavior change were sustained after project close in almost all sites visited. For example, community-led forest patrols established through two Madagascar projects, EP3 and A Landscape Approach to Conserving and Managing Threatened Biodiversity in Madagascar with a Focus on the Atsimo-Andrefana Spiny and Dry Forest Landscape (GEF ID 5486) continued beyond project close. In both cases, the activities started by the project became embedded in community practice; they continued—sometimes on a voluntary basis—because community members saw value in supporting protected areas near their villages. Community members attributed their desire to continue these activities to learning that occurred through the project. This was also the case for communities visited that were associated with Indonesia’s Citarum project, which continued forest patrol activities after project close.

135. Several factors were identified that contribute to the likelihood of sustainability of livelihoods activities in CBA projects. GEF Secretariat staff point to the need for local and national governments to own the approach, specifically through decentralization policies or formalizing the transfer of local resources. Additional factors from case study countries include

linkages to market opportunities beyond local communities, selection of relevant livelihoods activities (either with community input or by knowledgeable local actors), capacity and training provided to group members, and continued support from facilitators (either on a voluntary basis or associated with a new project).

136. However, there are also examples of livelihoods activities that were not sustained after project close. In Indonesia's SPARC project, the cessation of livelihoods activities was attributed by community members to a lack of training and capacity building on marketing their products, and a lack of private sector connections. EP3 in Madagascar is another example of a project where livelihoods activities did not continue past project close. Here, the limited impact of alternative livelihoods activities was attributed to an inappropriate selection of livestock. Central project teams made decisions on which livestock to purchase, and community members and project staff reported that they were not appropriate for the local context, nor did community members receive adequate training and capacity building.

IV. LESSONS

1. Factors influencing the success of CBAs in GEF projects and programs

137. This section looks at factors linked to improving the likelihood of success of CBAs, based on interviews conducted across the partnership. Many of the factors identified as being associated with successful CBAs align with lessons and experiences from the SGP, as outlined in the SGP Annual Monitoring Report from 2017. These include the acknowledgment that community work needs to be nurtured to achieve sustainable results; that achieving and sustaining results requires time; and that partnerships increase the impact of the project and are key to scale-up (UNDP 2017).

138. **The importance of taking a long-term approach.** There was a consensus across all stakeholder groups—including the GEF Secretariat, the GEF Agencies, national and local governments, and project facilitators working directly with communities—that bottom-up approaches take longer than do top-down approaches. GEF project timelines, which tend to be around three to five years, present challenges to carrying out the necessary socialization and capacity-building activities that are an important aspect of CBAs. Addressing the heterogeneous challenges associated with the human-environment nexus in communities takes longer than a few years. Furthermore, the amount of time and resources required for in-depth community involvement in project design is limited, given the time and resource envelope provided in project preparation grants. Stakeholders emphasized that more attention is needed to the systems that could support communities in making results more sustainable—such as linkages to markets, creating or strengthening the governance of user groups, and building lasting relationships with stakeholders that plan to remain engaged with the initiative in a supporting or facilitating role—after projects close. Some stakeholders suggested that CBAs would be most successful through a model that emphasizes commitment to an ongoing relationship with continued engagement and financing. Additionally, staff in the GEF Secretariat highlighted the need to consider a long-term approach during project preparation (not just implementation).

This approach should take sustainability beyond project close into account, outlining or planning for a long-term view of the impact of the project for communities.

139. **Setting realistic expectations.** Country- and corporate-level stakeholders cautioned against unrealistic expectations for interventions targeted at the local community level. It can be challenging to work with communities, especially if the capacity levels of project staff (facilitation and outreach skills) and/or communities (group formation and governance, financial management, project reporting, technical capacity for new livelihoods activities, community monitoring, participatory planning) need to be supported with additional effort. It is important to be realistic about what a project can achieve in three to five years—particularly if, based on feedback from project implementers, in some cases activities on the ground do not start until year two of implementation. Moreover, working directly with communities to build capacity and create buy-in for the project can be labor intensive. Stakeholders also noted that the burden of achievement of global environmental benefits should not be placed solely on communities.

140. **Building on what currently exists.** A lesson from country stakeholders who work directly with communities is that building on social capital and cohesion in existing groups (even if such groups are dormant) can be easier and less time-consuming than creating new groups. One area where stakeholders saw potential synergies with existing GEF activities is through creating links to high capacity in communities that participate in the GEF SGP. In Cameroon, the country case study found that projects based on local initiatives and implementation approaches, as well as strategies involving IPLCs and other local stakeholders, were quite successful. Consideration of capacity-building activities, establishment of multistakeholder consultative platforms and other co-management instruments, programmatic synergies between projects funded by the GEF and other development partners, and baseline reference data are equally important to the success of CBA-modeled projects. In this regard, in Cameroon, programmatic synergies were created with other development partners such as the World Wildlife Fund–US (WWF-US), the National Participatory Development Program, the Rainforest Trust, and the International Tropical Timber Organization to support various initiatives with similar conservation and sustainable development objectives.

141. **Involving the right stakeholder groups.** Government, Agency, and executing agency staff concur that proper ex ante analysis is a success factor both in terms of articulating the role of CBAs in project documents and in understanding the heterogeneous situation of communities. Engagement with local actors and empowerment of local (provincial and regional) authorities were also seen as contributing to better results. Additionally, engaging with private sector stakeholders to create linkages between alternative livelihoods activities and markets is an important success factor for CBA projects. The importance of finding partners with deep local knowledge and a history of engagement with local communities will help expedite points of departure for projects and ensure better design. An example of a GEF project that involved the relevant stakeholders is Indonesia's Citarum project. Here the government used GEF funding to innovate a new way to deliver a CBA, hiring a consortium of technical experts either from the communities or from organizations that work with the communities, including representatives from academia, civil society, and government to provide guidance on all aspects of project

design and implementation and facilitate working with communities. This approach was seen as both an innovation and a factor for success.

142. **Providing adequate capacity-building activities, facilitation, and support for social capital.** Country stakeholders discussed the importance of allocating adequate time and resources for socialization, capacity building, and project facilitation at the community level. Project teams implementing the Strengthening of Social Forestry in Indonesia project cited as one of their greatest challenges the time and resources required to conduct socialization and capacity-building activities before community grants could be rolled out. Late in year two of implementation, grants were just starting to be rolled out to the highest-capacity groups. Both time and high-quality facilitation are considered important success factors. There was strong community facilitation in Indonesia's Citarum project—so much so that the community facilitators were still in touch with and involved in the communities on a voluntary basis three years after the project closed. Though the facilitator in the site visit conducted by the IEO was not from the village, she lived there for the duration of the project and her continuous presence and in-depth knowledge of the village was considered an asset to the project by community members. In contrast, one of the challenges associated with some of the villages that participated in the Conservation and Sustainable Use of High-Andean Ecosystems through Compensation of Environmental Services for Rural Poverty Alleviation and Social Inclusion project (GEF ID 4773) in the Jequetepeque basin in Peru was the remoteness of the location: community members had to travel up to eight hours one way to attend meetings. Community members perceived that the quality and quantity of facilitation they received through the project was less than villages that were less remote, and they contributed their lack of involvement in project design and implementation at least partially to the remoteness of their community and lack of facilitation.

143. **Good monitoring of CBA processes.** There is limited evidence of GEF CBA projects tracking indicators that reflect activities central to processes associated with CBAs—for example, the ability of groups to govern, the number of resources under the control of communities, the inclusion of vulnerable groups, community scorecards, actions taken to address complaints, and participation in leadership roles and decision-making. Without data and indicators to track the processes that are important in ensuring that a CBA is functioning as designed, it can be difficult to manage adaptively and to correct course if needed. Some stakeholders suggested that it would be helpful for the GEF to come up with standards for measuring some of the activities that support achievement of global environmental benefits such as CBA processes or socioeconomic indicators. An example of a GEF project that monitored CBA processes well is presented in Box 2.

2. Value addition and limitations of CBAs in the GEF

144. This section outlines perspectives from across the GEF partnership on the value addition of CBAs relative to other approaches. It also describes some of the limitations associated with CBAs as reported by interviewees.

145. **GEF stakeholders across the partnership had positive feedback on the value added of CBAs.** At the country level, stakeholders maintained that CBAs are a potential mechanism to address equity issues within communities. This observation is supported by the literature, which states that CBAs—while not a panacea to ensure equity—can be used as an instrument to work with communities to address internal inequity (Mahanty et al. 2006). Country stakeholders also mentioned that they associated the approach with an increased likelihood of sustainability through increased involvement, community stakeholders valuing their own direct contributions into project design and implementation, and increased agency at the community level. Country stakeholders also perceived that CBAs can contribute to a change in mindset and lead to behavioral changes toward the environment, fostering more interest in collective benefits by providing concrete, tangible benefits for communities. This point aligns with one made in a recent IEO evaluation, which found that behavior change is crucial for generating environmental benefits—underscoring that successful projects employ participatory approaches (GEF IEO 2023a).

146. **GEF Secretariat and GEF Agency representatives mentioned additional benefits associated with CBAs.** These include governance benefits; peacebuilding in postconflict areas; empowerment of communities, which can contribute to the durability and ownership of investments; improved agency for decision-making and community planning; improved self-management; the inclusion of vulnerable or marginalized community members; and the avoidance of elite capture. These benefits were further linked with achieving environmental outcomes. Initiatives by the GEF and other development partners involving the Terai Arc Landscape in Nepal were cited in this context (Box 6), with ongoing application of a CBA credited with producing benefits extending beyond individual projects. In the remote, conflict-affected region, WWF-US reports that resource governance through local communities, as supported by the GEF and other donors, is perhaps the only model of functional governance in the area.¹⁸

Box 6. GEF application of CBAs in Nepal's Terai Arc Landscape

The Integrated Landscape Management to Secure Nepal's Protected Areas and Critical Corridors project (GEF ID 9437) joins a long history of GEF support to the Terai Arc Landscape in Nepal, and exemplifies a CBA. The project employs an integrated approach for natural resource management by combining community-based biodiversity conservation and sustainable forest and land management with national- to regional-level planning and coordination among multiple sectors that affect the landscape. It was designed to adopt a new approach to intersectoral, multistakeholder landscape-level planning, with coordination and capacity-building activities for key ministries of government and regional natural resource management and planning bodies. Integrating a CBA in the initiative is in line with Nepal's National Biodiversity Strategy and Action Plan, which supports the meaningful participation of local communities in the management of natural resources and landscape approaches. It is also aligned with Nepal's Forest Policy (2015), which identifies community, collaborative, leasehold, protection, buffer zone, religious, and private forests as critical to the provision of social, economic, and ecosystem services.

¹⁸ WWF website, "[Terai Arc Landscape \(TAL\), Nepal.](#)"

A small grant scheme was designed to stimulate the engagement of diverse stakeholders across the Terai Arc Landscape, open to community-based organizations, CSOs, and local nongovernmental organizations. Subgrants were awarded for community SFM as well. Local stakeholder consultations were needed to determine the feasibility of appropriate models and development of a strategic framework for community-based natural resource management. One of the outcomes is improved participatory planning for sustainable management of the Banke-Bardia complex. An activity under this is participatory assessment is to identify priority community and forest sites on which to focus. Other efforts designed by the project include community-based human-wildlife conflict prevention and management and community-based anti-poaching units.

147. CBAs are seen as potential mechanisms to address trade-offs between short-term economic gain and long-term environmental conservation. According to Agency stakeholders, CBAs allow for the generation of short-term socioeconomic benefits that directly meet the needs of communities—empowerment, governance, inclusion, and ownership. Agency staff noted that although these benefits may not be directly linked to immediate environmental benefits, providing them can incentivize communities to participate in long-term conservation activities that contribute to the achievement of environmental goals. Some Agency stakeholders viewed the approach as exemplifying a win-win trade-off. To be sure, some project funds are spent on activities that are not directly related to environmental objectives (such as building roads, schools, and health centers); but those investments, when selected in a participatory manner, can contribute to community buy-in and support for environmental objectives. CBAs can thus nudge behavior change—for example, through providing infrastructure or economic activities that meet community needs and are linked to conservation activities, and through conducting socialization and education campaigns that build awareness about the importance of natural resources. Beyond the benefits associated with providing community infrastructure, the participatory processes involved were also seen to increase legitimacy. This finding aligns with the literature, which states that a CBA is often an effective instrument for gaining legitimacy for environmental initiatives among local stakeholders (Brown and Lassoie 2010; Kull 2002; Sripun et al. 2017).

148. In Madagascar, stakeholders agreed about the potential for CBAs to address these trade-offs and believed it was important to invest in high-quality and ongoing communication and education to help local communities understand the dynamics between the environmental and economic dimensions of development. In Peru, stakeholders felt it was essential that the populations involved in projects see positive changes in the short term in order to create buy-in for the project.

149. While there may be contextual differences among communities, it is necessary to consider basic living conditions (food, health, housing) when designing interventions. Understanding basic living conditions as a starting point can contribute to the promotion of sustainable management practices when considering the whole picture of communities that rely on the natural resources the project aims to protect. An example of well-integrated environmental and socioeconomic trade-offs is the Conservation and Sustainable Use of Biodiversity, Forests, Soil and Water to Achieve the Good Living in the Napo Province, Ecuador project (GEF ID 4774). Project participants reported that the CBA applied in this project did a

good job in helping them understand the community's incentive for participating in the intervention because they linked the project to increased pasture and improved water quality.

150. **CBA**s are not a one-size-fits-all solution. According to stakeholders interviewed across the partnership, CBAs are most relevant for the GEF when the identified drivers of environmental degradation are at the community or local level and where interventions will work directly at the interface of human activity and the environment. CBAs are seen as less relevant for projects that address policy or central governance (although stakeholder feedback on these types of projects should be incorporated, as mandated by the GEF Stakeholder Engagement Policy). CBAs are also seen by some stakeholders as less relevant for projects where the main activity revolves around large procurements such as major roads or large-scale infrastructure. In cases where GEF interventions work at the human-environment nexus and the focus is at the community level, a CBA may be considered. Across the literature, there are repeated examples of the importance of context in implementing a CBA and cautions against taking rigid universal approaches (see, e.g., Lüthi et al. 2009 and Parlee et al. 2021).

151. **Stakeholders across the partnership pointed to the challenges associated with scaling CBA projects.** They noted the need to ensure a commensurate number of staff and financial resources to avoid diluting the model in attempting scale-up. Project implementers warned against increasing geographical scope or covering a larger number of communities without a parallel increase in staffing. CBAs are more labor intensive than other approaches. Agency and country-level stakeholders pointed to the SGP for lessons on scaling CBAs.

V. CONCLUSIONS AND RECOMMENDATIONS

1. Conclusions

Relevance

152. **CBA**s are relevant for the GEF as reflected in their presence in the multilateral environmental agreements; GEF projects, programs, and policies; and national priorities. Although the approach is not mandated in the GEF, there is language that reflects key dimensions of CBAs (including active participation in project design and implementation) in the conventions the GEF serves, especially the UNCCD, the CBD, and the UNFCCC. Consistent with convention guidance, GEF focal area strategies—especially those for biodiversity, land degradation, and climate change adaptation—contain references to key CBA concepts, and in some instances directly reference the application of CBAs. The GEF policies that focus on inclusion also include language supportive of CBAs, although without mandating the approach. GEF projects using CBAs broadly align with country priorities, although the extent to which countries are supportive of decentralizing decision-making to the community level and implementing comprehensive participatory approaches varies. GEF financing has provided opportunities for countries to innovate using CBAs.

Alignment with good practice

153. **GEF CBA projects are in partial alignment with good practice, with some improvements in recently designed projects relative to older projects.** Only a minority of the CBA projects identified are considered to be “comprehensive,” with above-average ratings along the six dimensions of good practice. Areas of improvement include going beyond consultations to actively involving communities in decision-making, incorporation of local institutions and customs, ensuring the accountability of implementers to users, and recognition of human rights and equality.

154. **The devolution of financial and technical resources to communities—an important aspect of CBAs—has declined in recent projects.** Almost 75 percent of recently designed projects did not mention or describe devolving resources as part of the project design. The share of projects that devolved financial and technical resources to communities decreased from 30 percent for completed projects to 23 percent for ongoing projects.

155. **Strong examples of GEF projects or programs the support CBAs are found in the SGP and the ICI.** The SGP has a long history of supporting CBAs and is a built-in resource and mechanism for identifying bottom-up initiatives with a track record of implementation success and existing capacity. There were few examples from the evaluation portfolio of financial resources flowing to communities for self-management, although there are mechanisms in the GEF that support CBAs such as the SGP and the ICI.

Community engagement in design, implementation, and monitoring

156. **There was limited evidence of community involvement in project design beyond consultations; community involvement was more apparent during implementation and M&E.** It was most common for local nongovernmental organizations, civil society partners, and community members to be introduced to a finalized project design instead of providing the opportunity to incorporate their feedback in project design. There is more evidence of community involvement in project implementation (i.e., through grants given directly to groups, and participatory planning) and some evidence of participatory M&E in terms of monitoring project processes and environmental conditions.

157. **The GEF project cycle presents challenges for implementing CBA projects, both in terms of involving local stakeholders in design, and in allowing enough time to see results before project close.** The amount of time and resources allocated during project preparation is insufficient to conduct the outreach, engagement, and analysis that would allow projects to reflect the needs of communities as identified by the communities themselves. Furthermore, CBA projects typically involve more upfront activities with communities, such as socialization, group formation or reinforcement, capacity building, and participatory planning processes before other project activities such as small-scale infrastructure and livelihoods activities (selected by the communities) can be provided and supported by facilitators. The three- to five-year project cycle does not always allow enough time for conducting all these activities before project close.

158. **Monitoring of CBA processes in MSPs and FSPs is weak.** There is limited evidence of CBA projects tracking indicators that reflect activities central to processes associated with CBAs—such as the ability of groups to govern, the number of resources under the control of communities, the inclusion of vulnerable groups, community scorecards, actions taken to address any complaints, and participation in leadership roles and decision-making. The lack of data and indicators limits the GEF’s ability to adaptively manage CBA projects.

Inclusion

159. **The GEF’s CBA projects have become more inclusive of women, IPLCs, and youth over time, although systemic inequalities have not yet been addressed.** Women, youth, and IPLCs are included more frequently in more recently designed projects. However, the extent to which projects explicitly address systemic inequalities that prevent their participation, particularly of women, was unclear.

Results and performance

160. **GEF CBA projects were associated with better performance ratings.** Projects that adopt a CBA beyond the minimum requirements of basic consultation are associated with higher outcome ratings than in the overall GEF portfolio. CBA projects are also associated with more frequent achievement of improved environmental conditions—such as improved land management, land restoration, carbon sequestration, reduction of wildlife poaching and illegal logging, endangered species protection, and water quality improvement—as well as broader adoption and socioeconomic co-benefits related to resilience, livelihoods improvement, poverty reduction, governance, and empowerment.

161. **The sustainability of CBA project outcomes postcompletion was frequently associated with behavior change, and to some extent alternative livelihoods.** Livelihoods activities were more likely to continue past project close if the activity was relevant for the local context; linked to local markets; and received continued support from the private sector, civil society, or another project. The processes associated with CBAs are best supported with continued engagement to ensure that targeted environmental and socioeconomic co-benefits are sustained. This conclusion aligns with the IEO’s finding in the 2017 Annual Performance Report that high stakeholder buy-in, financial support for follow-up, and sustained efforts by the executing agency contributed to higher outcomes during post-implementation (GEF 2019b). Furthermore, previous IEO evaluations have identified factors that contribute to sustainability such as income-generating activities that link local community benefits to improved environmental management. Across country cluster evaluations conducted by the IEO, low stakeholder buy-in was a hindering factor for sustainability—this hindering factor could be addressed by well-designed and -implemented CBA projects.

Lessons

162. **The evaluation identified several lessons learned that are important for the GEF to consider; in some cases, they may be difficult to apply given the GEF project cycle and processes.** For example, applying a long-term approach is challenging within GEF project

timelines and the amount of time and resources allocated for project preparation. A similar lesson is the importance of setting realistic expectations as to what small investments at the community level can achieve in a short amount of time. One potential mechanism to mitigate the long time required to for implementing CBA projects and seeing results is through building on the social capital and cohesion of existing groups versus starting new ones.

163. **Other lessons underscore the importance of prior ex ante analysis and involving the right people in CBA projects.** After identifying the right stakeholders, adequate time and resources must be allocated to such processes as capacity building and facilitation. These activities should be monitored to allow for an understanding of whether the processes inherent to the CBA are being well applied and allow for adaptive management.

2. Recommendations

164. **Recommendation 1:** The GEF Secretariat should ensure that co-design of projects with communities is possible under the suite of GEF policies and guidelines, for projects where community partnership is a critical element. The ongoing review of GEF policy and guidelines should be done in anticipation of the proposed “whole of society” approach in GEF-9, which emphasizes stakeholder engagement across different segments of society.

165. **Recommendation 2:** Building on earlier guidance, the GEF Secretariat, together with the GEF STAP, should provide more clarity and guidance on when and how CBAs can be used in GEF projects. This would include examples of results indicators observed in projects and appropriate guidance to facilitate the use of CBAs.

166. **Recommendation 3:** The GEF Secretariat should develop an approach for tracking of devolved responsibility and/or financial resources to the local level for GEF projects as appropriate. Such tracking could differentiate between resources allocated to national CSOs, IPLCs, women’s groups, etc. as relevant.

ANNEX A: EVALUATION PORTFOLIO

GEF ID	Project Title	GEF Phase	Country Name	Lead Agency Name	Total Financing (\$ M)	Funding Source	Project Completion
1837	Extending Wetland protected Areas through Community Based Conservation Initiatives	GEF - 4	Uganda	UNDP	0.80	GET	Completed
2184	SIP: Stimulating Community Initiatives in Sustainable Land Management (SCI-SLM)	GEF - 4	Regional	UNEP	0.91	GET	Completed
2369	PRC-GEF Partnership: An IEM Approach to the Conservation of Biodiversity in Dryland Ecosystems - under the PRC-GEF Partnership on Land Degradation in Dryland Ecosystem Program	GEF - 4	China	IFAD	4.55	GET	Completed
2632	MENARID: Participatory Control of Desertification and Poverty Reduction in the Arid and Semi Arid High Plateau Ecosystems of Eastern Morocco	GEF - 4	Morocco	IFAD	6.00	GET	Completed
2732	MENARID: Institutional Strengthening and Coherence for Integrated Natural Resources Management	GEF - 4	Iran	UNDP	4.32	GET	Completed
2907	Re-engineering the National Protected Area System in Order to Achieve Financial Sustainability	GEF - 4	Dominican Republic	UNDP	3.20	GET	Completed
2975	Mindanao Rural Development Program Phase II - Natural Resource Management Project	GEF - 4	Philippines	World Bank	6.35	GET	Completed
3276	Promoting Sustainable Land Management in Las Bambas	GEF - 4	Peru	UNDP	4.00	GET	Completed
3279	Citarum Watershed Management and Biodiversity Conservation Project	GEF - 4	Indonesia	ADB	3.75	GET	Completed

3299	Strengthening the Capacity of Vulnerable Coastal Communities to Address the Risk of Climate Change and Extreme Weather Events	GEF - 4	Thailand	UNDP	0.87	SCCF	Completed
3367	SIP: Community-Based Integrated Natural Resources Management in Lake Tana Watershed	GEF - 4	Ethiopia	IFAD	4.40	GET	Completed
3368	SIP: Participatory Integrated Watershed Management Project (PIWAMP)	GEF - 4	Gambia	AfDB	4.40	GET	Completed
3379	SIP: Participatory Environmental Protection and Poverty Reduction in the Oases of Mauritania	GEF - 4	Mauritania	IFAD	4.19	GET	Completed
3382	SIP: Community Driven SLM for Environmental and Food Security	GEF - 4	Niger	World Bank	4.67	GET	Completed
3396	SIP: Improving Policy and Practice Interaction through Civil Society Capacity Building	GEF - 4	Regional	UNDP	1.74	GET	Completed
3398	SIP: Eastern Nile Transboundary Watershed Management in Support of ENSAP Implementation	GEF - 4	Regional	World Bank	8.70	GET	Completed
3403	SIP: Kalahari-Namib Project: Enhancing Decision-making through Interactive Environmental Learning and Action in Molopo-Nossob River Basin in Botswana, Namibia and South Africa	GEF - 4	Regional	UNEP	2.18	GET	Completed
3443	SFM Strengthening Community Based Forest and Watershed Management (SCBFWM)	GEF - 4	Indonesia	UNDP	7.00	GET	Completed
3445	SFM: Integrated Community-based Forest and Catchment Management through an Ecosystem Service Approach (CBFCM)	GEF - 4	Thailand	UNDP	1.76	GET	Completed
3470	SLEM/PPP: Sustainable Rural Livelihood Security through Innovations in Land and Ecosystem Management	GEF - 4	India	World Bank	7.34	GET	Completed
3471	SLEM/PPP: Sustainable Land Water and Biodiversity Conservation and Management	GEF - 4	India	World Bank	7.49	GET	Completed

	for Improved Livelihoods in Uttarakhand Watershed Sector						
3472	SLEM/CPP: Integrated Land Use Management to Combat Land Degradation in Madja Pradesh	GEF - 4	India	UNDP	5.76	GET	Completed
3529	SIP: Harmonizing support: a national program integrating water harvesting schemes and sustainable land management	GEF - 4	Djibouti	UNDP	0.96	GET	Completed
3533	Protected Area Project (Projet d'Appui a la Relance de la Conservation des Parcs et Reserves, PARC-CI)	GEF - 4	Cote d'Ivoire	World Bank	2.54	GET	Completed
3589	CTI Coastal and Marine Resources Management in the Coral Triangle: Southeast Asia under Coral Triangle Initiative	GEF - 4	Regional	ADB	11.22	GET	Completed
3591	PAS: Strengthening Coastal and Marine Resources Management in the Coral Triangle of the Pacific - under the Pacific Alliance for Sustainability Program	GEF - 4	Regional	ADB	13.12	GET	Completed
3608	PRC-GEF Partnership: Sustainable Development in Poor Rural Areas	GEF - 4	China	World Bank	4.27	GET	Completed
3609	Strengthening the Financial Sustainability and Operational Effectiveness of the Venezuelan National Parks System	GEF - 4	Venezuela	UNDP	7.18	GET	Completed
3627	SFM: Promotion of Sustainable Forest and Land Management in the Vietnam Uplands	GEF - 4	Viet Nam	IFAD	0.65	GET	Completed
3635	SFM Strengthening Sustainable Forest Management and the Development of Bio-energy Markets to Promote Environmental Sustainability and to Reduce Green House Gas Emissions in Cambodia	GEF - 4	Cambodia	UNDP	2.36	GET	Completed
3637	SFM Transforming Management of Biodiversity-rich Community Production Forests through Building National Capacities	GEF - 4	Mexico	UNDP	6.90	GET	Completed

	for Market-based Instruments - under the Sustainable Forest Management Program						
3669	MENARID: Second Natural Resources Management Project	GEF - 4	Tunisia	World Bank	9.73	GET	Completed
3687	Madagascar's Network of Managed Resource Protected Areas	GEF - 4	Madagascar	UNDP	6.00	GET	Completed
3692	Effective Management of Nkhotakota Wildlife Reserve (PDMNWR)	GEF - 4	Malawi	World Bank	0.85	GET	Completed
3693	Strengthening the Protected Area Network within the Eastern Montane Forest Hotspot of Kenya	GEF - 4	Kenya	UNDP	4.50	GET	Completed
3717	SFM Sustainable Management of Biodiversity and Water Resources in the Ibarra-San Lorenzo Corridor	GEF - 4	Ecuador	IFAD	2.70	GET	Completed
3750	CBSP Catalyzing Sustainable Forest Management in the Lake Tele-Lake Tumba (LTLT) Transboundary Wetland Landscape	GEF - 4	Regional	UNDP	2.17	GET	Completed
3752	SPWA-BD: Consolidation of Cape Verde's Protected Areas System	GEF - 4	Cabo Verde	UNDP	3.10	GET	Completed
3753	Sustainable Financing of the Protected Area System in Mozambique	GEF - 4	Mozambique	UNDP	4.85	GET	Completed
3767	SFM Strengthening National Policy and Knowledge Frameworks in Support of Sustainable Management of Brazil's Forest Resources	GEF - 4	Brazil	FAO	8.85	GET	Completed
3770	SPWA-BD: Incorporation of Sacred Forests into the Protected Areas System of Benin	GEF - 4	Benin	UNDP	0.95	GET	Completed
3772	CBSP Forest and Nature Conservation Project	GEF - 4	Congo DR	World Bank	6.00	GET	Completed
3773	Support to the Madagascar Foundation for Protected Areas and Biodiversity (through Additional Financing to the Third Environment Support Program Project (EP3))	GEF - 4	Madagascar	World Bank	10.00	GET	Completed

3777	CBSP Sustainable Management of the Wildlife and Bushmeat Sector in Central Africa	GEF - 4	Regional	FAO	4.25	GET	Completed
3821	CBSP Sustainable Community Based Management and Conservation of Mangrove Ecosystems in Cameroon	GEF - 4	Cameroon	FAO	1.73	GET	Completed
3822	CBSP - A Regional Focus on Sustainable Timber Management in the Congo Basin	GEF - 4	Regional	UNEP	3.08	GET	Completed
3825	Mountains and Markets: Biodiversity and Business in Northern Pakistan	GEF - 4	Pakistan	UNDP	1.79	GET	Completed
3829	Sustainable Financing of Ecuador's National System of Protected Areas (SNAP) and Associated Private and Community-managed PA Subsystems	GEF - 4	Ecuador	UNDP	6.40	GET	Completed
3853	Building Capacity for Regionally Harmonized National Processes for Implementing CBD Provisions on Access to Genetic Resources and Sharing of Benefits	GEF - 4	Regional	UNEP	0.75	GET	Completed
3867	Improving Effectiveness of Protected Areas to Conserve Biodiversity in Burundi	GEF - 4	Burundi	UNDP	0.86	GET	Completed
3873	Developing and Demonstrating Replicable Protected Area Management Models at Nam Et - Phou Louey National Protected Area	GEF - 4	Lao PDR	World Bank	0.88	GET	Completed
3933	SFM Sustainable Management of Protected Areas and Forests of the Northern Highlands of Peru	GEF - 4	Peru	IFAD	1.72	GET	Completed
3940	Sustainable Management of Biodiversity in Thailand's Production Landscape	GEF - 4	Thailand	UNDP	1.94	GET	Completed
3941	IND-BD Mainstreaming Coastal and Marine Biodiversity Conservation into Production Sectors in the Malvan Coast, Maharashtra State	GEF - 4	India	UNDP	3.44	GET	Completed
3971	SFM Biodiversity Conservation through Sustainable Forest Management by Local Communities	GEF - 4	Bolivia	UNDP	5.50	GET	Completed

3992	CBPF: Strengthening the Effectiveness of the Protected Area System in Qinghai Province	GEF - 4	China	UNDP	5.35	GET	Completed
4034	Improving the Resilience of the Agriculture Sector in Lao PDR to Climate Change Impacts	GEF - 4	Lao PDR	UNDP	4.45	LDCF	Completed
4035	MENARID: Ecotourism and Conservation of Desert Biodiversity	GEF - 4	Tunisia	World Bank	4.27	GET	Completed
4080	SPWA-BD: Participatory Biodiversity Conservation and Low Carbon Development in Pilot Ecovillages in Senegal	GEF - 4	Senegal	UNDP	2.88	GET	Completed
4084	CBSP Conservation and Sustainable Use of the Ngoyla Mintom Forest	GEF - 4	Cameroon	World Bank	3.50	GET	Completed
4216	Integration of Climate Change Risk and Resilience into Forestry Management (ICCRIFS)	GEF - 4	Samoa	UNDP	2.40	LDCF	Completed
4221	SPWA-BD: Protected Area Buffer Zone Management in Burkina Faso	GEF - 4	Burkina Faso	UNDP	0.86	GET	Completed
4222	Promoting Autonomous Adaptation at the community level in Ethiopia	GEF - 4	Ethiopia	UNDP	5.31	LDCF	Completed
4340	Strategic Planning and Action to Strengthen Climate Resilience of Rural Communities in Nusa Tenggara Timor Province (SPARC)	GEF - 5	Indonesia	UNDP	5.00	SCCF	Completed
4470	Building a Multiple-Use Forest Management Framework to Conserve Biodiversity in the Caspian Hyrcanian Forest Landscape	GEF - 5	Iran	UNDP	1.90	GET	Completed
4551	Community Based Flood and Glacial Lake Outburst Risk Reduction	GEF - 5	Nepal	UNDP	6.30	LDCF	Completed
4554	Effective Governance for Small Scale Rural Infrastructure and Disaster Preparedness in a Changing Climate	GEF - 5	Lao PDR	UNDP	4.70	LDCF	Completed
4584	Improving Sustainability of PA System in Desert Ecosystems through Promotion of Biodiversity-compatible Livelihoods in and around PAs	GEF - 5	Kazakhstan	UNDP	4.36	GET	Completed

4616	Climate Change Adaptation to Reduce Land Degradation in Fragile Micro-Watersheds Located in the Municipalities of Texistepeque and Candelaria de la Frontera	GEF - 5	El Salvador	FAO	1.52	SCCF,GET,MTF	Completed
4625	Shire Natural Ecosystems Management Project	GEF - 5	Malawi	World Bank	6.58	LDCF,GET,MTF	Completed
4653	CBPF-MSL: Strengthening the Management Effectiveness of the Protected Area Landscape in Altai Mountains and Wetlands	GEF - 5	China	UNDP	3.54	GET	Completed
4659	LME-EA: Coastal Resources for Sustainable Development: Mainstreaming the Application of Marine Spatial Planning Strategies, Biodiversity Conservation and Sustainable Use	GEF - 5	Viet Nam	World Bank	6.50	GET	Completed
4696	Strengthening the Resilience of Small Scale Rural Infrastructure and Local Government Systems to Climatic Variability and Risk	GEF - 5	Timor Leste	UNDP	4.60	LDCF	Completed
4744	Mainstreaming Biodiversity Conservation, SFM and Carbon Sink Enhancement Into Mongolia's Productive Forest Landscapes	GEF - 5	Mongolia	FAO	3.59	GET	Completed
4751	Mainstreaming SLM in Rangeland Areas of Ngamiland District Productive Landscapes for Improved livelihoods	GEF - 5	Botswana	UNDP	3.08	GET	Completed
4792	Conservation of Coastal Watersheds to Achieve Multiple Global Environmental Benefits in the Context of Changing Environments	GEF - 5	Mexico	World Bank	39.52	GET	Completed
4839	Establishing Integrated Models for Protected Areas and their Co-management	GEF - 5	Afghanistan	UNDP	6.44	GET	Completed
4954	Community Agricultural Resource Management and Competitiveness (CARMAC)	GEF - 5	Armenia	World Bank	0.90	GET	Completed
4960	Scaling up Adaptation in Zimbabwe, with a Focus on Rural Livelihoods, by Strengthening Integrated Planning Systems	GEF - 5	Zimbabwe	UNDP	3.98	SCCF	Completed

4967	Scaling up Risk Transfer Mechanisms for Climate Vulnerable Agriculture-based Communities in Mindanao	GEF - 5	Philippines	UNDP	1.05	SCCF	Completed
5026	MENA: Badia Ecosystem and Livelihoods Project (BELP)	GEF - 5	Jordan	World Bank	3.33	GET	Completed
5056	Strengthening Community Resilience to Climate-induced Disasters in the Dili to Ainaro Road Development Corridor, Timor Leste	GEF - 5	Timor Leste	UNDP	5.25	LDCF	Completed
5187	GGW: Community based Rural Development Project 3rd Phase with Sustainable Land and Forestry Management	GEF - 5	Burkina Faso	World Bank	7.41	GET	Completed
5266	Oases Ecosystems and Livelihoods Project	GEF - 5	Tunisia	World Bank	5.76	GET	Completed
5481	Conservation of Biodiversity and Mitigation of Land Degradation Through Adaptive Management of Agricultural Heritage Systems	GEF - 5	Morocco	FAO	0.77	GET	Completed
5596	Sustainable Land Management in the Churia Range	GEF - 5	Nepal	WWF-US	0.92	GET	Completed
5656	Parks, People, Planet: Protected Areas as Solutions to Global Challenges	GEF - 5	Global	UNDP	1.83	GET	Completed
5789	Using SLM to Improve the Integrity of the Makgadikgadi Ecosystem and to Secure the Livelihoods of Rangeland Dependent Communities	GEF - 5	Botswana	UNDP	0.79	GET	Completed
5826	Strengthening National Systems to Improve Governance and Management of Indigenous Peoples and Local Communities Conserved Areas and Territories	GEF - 5	Philippines	UNDP	1.75	GET	Completed
6914	Adapting Afghan Communities to Climate-Induced Disaster Risks	GEF - 6	Afghanistan	UNDP	5.60	LDCF	Ongoing
6949	Conservation and Sustainable Use of Pamir Alay and Tian Shan Ecosystems for Snow Leopard Protection and Sustainable Community Livelihoods	GEF - 6	Tajikistan	UNDP	4.18	GET	Ongoing

8001	Community-based Climate Risks Management in Chad	GEF - 6	Chad	UNDP	5.25	LDCF	Ongoing
8005	Sustainable Land Management for Increased Productivity in Armenia(SLMIP)	GEF - 6	Armenia	IFAD	3.94	GET	Ongoing
8031	Sustainable Natural Resource Use and Forest Management in Key Mountainous Areas Important for Globally Significant Biodiversity	GEF - 6	Uzbekistan	UNDP	6.21	GET	Ongoing
9141	GEF-IAP:Participatory Natural Resource Management and Rural Development Project in the North, Centre-North and East Regions (Neer Tamba project)	GEF - 6	Burkina Faso	IFAD	7.27	GET	Ongoing
9147	Sustainable-City Development in Malaysia	GEF - 6	Malaysia	UNIDO	2.75	GET	Ongoing
9148	Securing Livelihoods, Conservation, Sustainable Use and Restoration of High Range Himalayan Ecosystems (SECURE)Himalayas	GEF - 6	India	UNDP	11.54	GET	Ongoing
9158	Strengthening the Conservation of Globally Threatened Species in Mozambique through Improving Biodiversity Enforcement and Expanding Community Conservancies around Protected Areas	GEF - 6	Mozambique	UNDP	15.75	GET	Ongoing
9180	Reducing Deforestation from Commodity Production	GEF - 6	Global	UNDP	14.58	GET	Ongoing
9194	Strengthening Adaptative Capacities to Climate Change through Capacity Building for Small Scale Enterprises and Communities Dependent on Coastal Fisheries in The Gambia	GEF - 6	Gambia	UNIDO	2.20	LDCF	Ongoing
9199	Enhancing Sustainability and Climate Resilience of Forest and Agricultural Landscape and Community Livelihoods	GEF - 6	Bhutan	UNDP	13.97	LDCF,GET,MTF	Ongoing
9212	Wildlife and Human-Elephant Conflicts Management	GEF - 6	Gabon	World Bank	9.06	GET	Ongoing

9213	Zambia Integrated Forest Land Project (ZIFLP)	GEF - 6	Zambia	World Bank	8.05	GET	Ongoing
9262	Agroforestry Landscapes and Sustainable Forest Management that Generate Environmental and Economic Benefits Globally and Locally	GEF - 6	Honduras	UNDP	13.29	GET	Ongoing
9266	Restoring Degraded Forest Landscapes and Promoting Community-based, Sustainable and Integrated Natural Resource Management in the Rora Habab Plateau, Nakfa Sub-zoba, Northern Red Sea Region of Eritrea	GEF - 6	Eritrea	UNDP	8.26	GET	Ongoing
9285	Community-based Sustainable Land and Forest Management in Afghanistan	GEF - 6	Afghanistan	FAO	10.50	GET	Ongoing
9294	Integrated ecosystem management project for the sustainable human development in Mauritania	GEF - 6	Mauritania	FAO	8.22	GET	Ongoing
9370	(NGI) The Meloy Fund : A Fund for Sustainable Small-scale Fisheries in Southeast Asia	GEF - 6	Regional	CI	6.00	GET	Ongoing
9372	Managing Together: Integrating Community-centered, Ecosystem-based Approaches into Forestry, Agriculture and Tourism Sectors	GEF - 6	Sri Lanka	UNDP	3.35	GET	Ongoing
9385	Forest Landscape Restoration in the Mayaga Region	GEF - 6	Rwanda	UNDP	6.21	GET	Ongoing
9389	Ensuring Sustainability and Resilience (ENSURE) of Green Landscapes in Mongolia	GEF - 6	Mongolia	UNDP	7.96	GET	Ongoing
9434	Securing the Long-term Conservation of Timor Leste Biodiversity and Ecosystem Services through the Establishment of a Functioning National Protected Area Network and the Improvement of Natural Resource Management in Priority Catchment Corridors	GEF - 6	Timor Leste	CI	3.34	GET	Ongoing

9437	Integrated Landscape Management to Secure Nepal's Protected Areas and Critical Corridors	GEF - 6	Nepal	WWF-US	6.70	GET	Ongoing
9449	Sustainable, Accessible and Innovative Use of Biodiversity Resources and Associated Traditional Knowledge in Promising Phytotherapeutic Value Chains in Brazil	GEF - 6	Brazil	UNDP	5.72	GET	Ongoing
9464	Strengthening the PA System in the Qilian Mountains-Qinghai Lake landscape	GEF - 6	China	UNDP	2.65	GET	Ongoing
9515	The Restoration Initiative, DRC child project: Improved Management and Restoration of Agro-sylvo-pastoral Resources in the Pilot Province of South-Kivu	GEF - 6	Congo DR	FAO	3.60	GET	Ongoing
9516	Reversing Deforestation and Degradation in High Conservation Value Chilgoza Pine Forests in Pakistan	GEF - 6	Pakistan	FAO	3.98	GET	Ongoing
9531	Conservation of Snow Leopards and their Critical Ecosystem in Afghanistan	GEF - 6	Afghanistan	UNDP	2.70	GET	Ongoing
9551	Capacity Development in Reducing Illegal Wildlife Trade and Improving Protected Area Management Effectiveness in South Sudan	GEF - 6	South Sudan	UNEP	5.33	GET	Ongoing
9556	Restoration of Arid and Semi-arid lands (ASAL) of Kenya through Bio-enterprise Development and other Incentives under The Restoration Initiative	GEF - 6	Kenya	FAO	4.16	GET	Ongoing
9573	Conservation and Sustainable use of Liberia's Coastal Natural Capital	GEF - 6	Liberia	CI	3.94	GET	Ongoing
9575	Sudan Sustainable Natural Resources Management Project- Additional Financing	GEF - 6	Sudan	World Bank	5.50	GET	Ongoing
9584	Integrated Approach in the Management of Major Biodiversity Corridors (IA-Biological Corridors)	GEF - 6	Philippines	UNDP	12.26	GET	Ongoing
9600	Strengthening of Social Forestry in Indonesia	GEF - 6	Indonesia	World Bank	14.32	GET	Ongoing

9601	CReW+: An Integrated Approach to Water and Wastewater Management Using Innovative Solutions and Promoting Financing Mechanisms in the Wider Caribbean Region	GEF - 6	Regional	IADB	14.94	GET	Ongoing
9604	Removing Barriers to Biodiversity Conservation, Land Restoration and Sustainable Forest Management through Community-based Landscape Management – COBALAM	GEF - 6	Cameroon	UNEP	3.11	GET	Ongoing
9606	Conservation and Sustainable Use of Biological Diversity in the Northwestern Landscape (Boeny region)	GEF - 6	Madagascar	CI	6.82	GET	Ongoing
9659	Kenya- Combating Poaching and Illegal Wildlife Trafficking in Kenya through an Integrated Approach	GEF - 6	Kenya	UNDP	3.83	GET	Ongoing
9661	Mali- Community-based Natural Resource Management that Resolves Conflict, Improves Livelihoods and Restores Ecosystems throughout the Elephant Range	GEF - 6	Mali	UNDP	4.12	GET	Ongoing
9671	Effective Management of Wadi El-Rayan and Qarun Protected Areas	GEF - 6	Egypt	UNEP	1.32	GET	Ongoing
9700	Strengthening the Management of Wildlife and Improving Livelihoods in Northern Republic of Congo	GEF - 6	Congo	World Bank	6.51	GET	Ongoing
9730	Generating Economic and Environmental Benefits from Sustainable Land Management for Vulnerable Rural Communities of Georgia	GEF - 6	Georgia	UNEP	1.45	GET	Ongoing
9735	Combating Illegal Wildlife Trade and Human Wildlife Conflict	GEF - 6	Angola	UNDP	4.10	GET	Ongoing
9745	Sustainable Land Management for Improved Livelihoods in Degraded Areas of Iraq	GEF - 6	Iraq	FAO	3.55	GET	Ongoing
9783	Integrated management of natural resources in the Bafing Faleme landscape	GEF - 6	Guinea	UNDP	7.06	GET	Ongoing

9798	Sustainable Land Management in Target Landscapes in Angola's Southwestern Region	GEF - 6	Angola	FAO	2.64	GET	Ongoing
9802	Promoting the Effective Management of Salonga National Park through Creation of Community Forests and Improving the Well-being of Local Communities	GEF - 6	Congo DR	UNEP	5.69	GET	Ongoing
9847	Expanding Conservation Areas Reach and Effectiveness(ECARE) in Vanuatu	GEF - 6	Vanuatu	IUCN	2.45	GET	Ongoing
9875	Participatory in situ Conservation and Sustainable Use of Agrobiodiversity in Hainan	GEF - 6	China	UNDP	1.51	GET	Ongoing
9880	Community-based Integrated Natural Resource Management Project	GEF - 6	Fiji	FAO	2.12	GET	Ongoing
9889	Mainstreaming Biodiversity Conservation through Low-Impact Ecotourism in SINAP II (ECOTUR-AP II)	GEF - 6	Panama	IADB	0.75	GET	Ongoing
9927	Building Resilience of Cambodian Communities Using Natural Infrastructure and Promoting Diversified Livelihood	GEF - 6	Cambodia	UNEP	0.52	GET	Ongoing
9978	Strengthening Resilience of Agricultural Lands and Forests in Dominica in the Aftermath of Hurricane Maria	GEF - 6	Dominica	UNEP	1.58	GET	Ongoing
10046	Ecosystem Restoration and Sustainable Land Management in Tongoa Island	GEF - 6	Vanuatu	FAO	0.87	GET	Ongoing
10083	Sustainable Natural Resources Management Project -AF	GEF - 7	Sudan	World Bank	5.94	LDCF,GET,MTF	Ongoing
10096	Ecosystems/Landscape approach to climate proof the Rural Settlement Program of Rwanda	GEF - 7	Rwanda	UNDP	8.36	LDCF	Ongoing
10159	Resilience of Pastoral and Farming Communities to Climate Change in North Darfur	GEF - 7	Sudan	FAO	2.43	LDCF	Ongoing
10162	Landscape Approach to Riverine Forest Restoration, Biodiversity Conservation and Livelihood Improvement	GEF - 7	Sudan	FAO	2.59	GET	Ongoing

10169	Combating land degradation and biodiversity loss by promoting sustainable rangeland management and biodiversity conservation in Afghanistan	GEF - 7	Afghanistan	FAO	5.91	GET	Ongoing
10192	Ecosystem conservation and community livelihood enhancement in North Western Zambia	GEF - 7	Zambia	UNEP	5.34	GET	Ongoing
10199	Improving Water Availability in The Gambia's Rural and Peri-Urban Communities for Domestic and Agricultural Use	GEF - 7	Gambia	AfDB	8.95	LDCF	Ongoing
10233	Sustainable Management of Conservation Areas and Improved Livelihoods to Combat Wildlife Trafficking in Madagascar	GEF - 7	Madagascar	UNEP	5.76	GET	Ongoing
10235	Strengthening Conservation and Resilience of Globally-significant Wild Cat Landscapes through a Focus on Small Cat and Leopard Conservation	GEF - 7	India	UNDP	4.50	GET	Ongoing
10236	Catalyzing Optimum Management of Nature Heritage for Sustainability of Ecosystem, Resources and Viability of Endangered Wildlife Species (CONSERVE)	GEF - 7	Indonesia	UNDP	6.27	GET	Ongoing
10243	Preventing forest loss, promoting restoration and integrating sustainability into Ethiopia's coffee supply chains and food systems	GEF - 7	Ethiopia	UNDP	20.34	GET	Ongoing
10249	Promoting Dryland Sustainable Landscapes and Biodiversity Conservation in the Eastern Steppe of Mongolia	GEF - 7	Mongolia	FAO	5.35	GET	Ongoing
10252	Strengthening management of protected and productive landscapes in the Surinamese Amazon	GEF - 7	Suriname	UNDP	5.17	GET	Ongoing
10268	Inclusive Sustainable Rice Landscapes in Thailand	GEF - 7	Thailand	UNEP	5.54	GET	Ongoing
10287	Integrated management of Cameroon's forest landscapes in the Congo Basin	GEF - 7	Cameroon	WWF-US	9.61	GET	Ongoing

1029 3	Transforming and scaling up results and lessons learned in the Monte Alen and Rio Campo Landscapes through an inclusive Landscape-scale approach, effective land use planning and promotion of local governance	GEF - 7	Equatorial Guinea	IUCN	5.35	GET	Ongoing
1029 5	Amazon sustainable landscape approach in the Plurinational System of Protected Areas and Strategic Ecosystems of Bolivia	GEF - 7	Bolivia	CAF	10.06	GET	Ongoing
1029 8	Integrated Community - Based Conservation of Peatlands Ecosystems and Promotion of Ecotourism in Lac Télé Landscape of Republic of Congo – ICOBACPE /PELATEL	GEF - 7	Congo	UNEP	6.11	GET	Ongoing
1029 9	Kazakhstan Resilient Agroforestry and Rangeland Management Project	GEF - 7	Kazakhstan	World Bank	6.28	GET	Ongoing
1031 4	Community-based forested landscape management in the Grand Kivu and Lake Tele-Tumba	GEF - 7	Congo DR	UNEP	13.76	GET	Ongoing
1034 1	Catalyzing Financing and Capacity for the Biodiversity Economy around Protected Areas	GEF - 7	South Africa	World Bank	13.43	GET	Ongoing
1034 8	Landscape Restoration and Ecosystem Management for Sustainable Food Systems	GEF - 7	Ghana	World Bank	12.76	GET	Ongoing
1035 0	Sustainable Natural Resource and Livelihood Adaptive Programme (SNRLAP)	GEF - 7	Sudan	IFAD	2.00	LDCF	Ongoing
1035 1	Biodiversity protection through the Effective Management of the National Network of Protected Areas	GEF - 7	Comoros	UNDP	4.02	GET	Ongoing
1038 1	Enhancing capacity for sustainable management of forests, land and biodiversity in the Eastern Hills (ECSM FoLaBi EH)	GEF - 7	Nepal	FAO	4.19	GET	Ongoing
1039 3	Strengthening the integral and sustainable management of biodiversity and forests by indigenous peoples and local communities in fragile ecosystems of the dry forests of the Bolivia Chaco	GEF - 7	Bolivia	FAO	3.50	GET	Ongoing

10404	Inclusive Conservation Initiative	GEF - 7	Global	CI	22.54	GET	Ongoing
10412	Sustainable Luangwa: Securing Luangwa's water resources for shared socioeconomic and environmental benefits through integrated catchment management	GEF - 7	Zambia	WWF-US	2.89	GET	Ongoing
10438	UAVs/drones for Equitable Climate Change Adaptation: Participatory Risk Management through Landslide and Debris Flow Monitoring in Mocoa, Colombia	GEF - 7	Colombia	CAF	0.50	SCCF	Ongoing
10481	Promoting Integrated Landscape Management and Sustainable Food Systems in the Niger Delta Region in Nigeria	GEF - 7	Nigeria	FAO	5.35	GET	Ongoing
10500	Livelihoods Carbon Fund 3 (LCF3)	GEF - 7	Global	CI	13.46	GET	Ongoing
10529	Strengthening Community-managed Protected Areas for Conserving Biodiversity and Improving Local Livelihoods in Pakistan	GEF - 7	Pakistan	UNDP	2.34	GET	Ongoing
10533	Restoration of Degraded Natural Forests and Soil Erosion Management Improvement in Erosion-Prone Regions of China	GEF - 7	China	UNDP	2.99	GET	Ongoing
10541	Sustainable management and restoration of the Dry Forest of the Northern Coast of Peru	GEF - 7	Peru	FAO	7.67	GET	Ongoing
10601	Food System, Land Use and Restoration Impact Program in Uzbekistan	GEF - 7	Uzbekistan	FAO	5.99	GET	Ongoing
10627	Programme to sustainably manage and restore land and biodiversity in the Guadalquivir Basin	GEF - 7	Bolivia	FAO	1.56	GET	Ongoing
10633	Green Finance for Sustainable Landscapes Joint Initiative of the CPF (GF4SL)	GEF - 7	Global	UNEP	0.91	GET	Ongoing
10637	Restoration Challenge Grant Platform for Smallholders and Communities, with Blockchain-Enabled Crowdfunding	GEF - 7	Regional	IUCN	2.00	GET	Ongoing

1069 2	Integrated Community-based Management of High Value Mountain Ecosystems in Southern Kyrgyzstan for Multiple Benefits	GEF - 7	Kyrgyz Republic	UNDP	2.64	GET	Ongoing
1070 2	Community-based Management of Tanguar Haor Wetland in Bangladesh	GEF - 7	Bangladesh	UNDP	4.05	GET	Ongoing
1071 3	Adapting to climate change and enabling sustainable land management through productive rural communities in Timor-Leste	GEF - 7	Timor Leste	UNEP	9.85	LDCF,GET,MTF	Ongoing
1073 1	Strengthened Systems for Community-based Conservation of Forests and Peatland Landscapes in Indonesia (CoPLI)	GEF - 7	Indonesia	IFAD	5.33	GET	Ongoing
1073 8	Strengthening and Sustaining the Coastal Resource and Fisheries Management in the Leyte Gulf	GEF - 7	Philippines	CI	1.80	GET	Ongoing
1075 7	Maintaining and Enhancing Water Yield through Land and Forest Rehabilitation (MEWLAFOR)	GEF - 7	Indonesia	UNIDO	1.78	GET	Ongoing
1078 0	Enhancing biodiversity considerations and effective protected area management to safeguard the Cook Islands integrated ecosystems and species	GEF - 7	Cook Islands	UNDP	3.50	GET	Ongoing
1078 9	Building Community Based Integrated and Climate Resilient Natural Resources Management and Enhancing Sustainable Livelihood in the South-Eastern Escarpments and Adjacent Coastal Areas of Eritrea	GEF - 7	Eritrea	FAO	15.68	LDCF,GET,MTF	Ongoing

ANNEX B: DETAILED SPECTRUM OF CBAs AND DIMENSIONS USED FOR GOOD PRACTICE ANALYSIS¹⁹

	Inform	Consult	Involve (Limited CBA)	Collaborate (Some CBA)	Empower (Comprehensive CBA)
	At minimum—per GEF Stakeholder Engagement Policy		CBAs, intentional design choice, community centered		
Goal	Provide information about project activities to communities in a timely manner	Obtain feedback on project design and project activities including analysis, issues, and alternatives from communities	To work with communities to ensure their concerns and desires related to the GEF project are considered and understood.	To partner with communities in aspects of decision-making (ie design, implementation, evaluation) for GEF projects	To place decision-making (managerial and financial) for a GEF project in the hands of communities
Promise	“We will keep you informed”	“We will listen to and acknowledge your concerns”	“We will ensure your concerns and desires are reflected in the project”	“We will look to you for advice and innovation and incorporate this in decisions as much as possible”	“We will help you to implement what you decide”

¹⁹ This table is adapted from [©International Association for Public Participation www.iap2.org](http://www.iap2.org).

<p>Dimension</p> <p>Devolved decision-making</p>	None	None	<p>Community engagement through design, implementation or evaluation, including IPs, women and vulnerable groups, who provide feedback but <u>not clear how feedback is incorporated into decision-making</u>. Some mention of accountability of implementer to local intuitions without defined sanctions and/or recourse for misalignment with agreements or plans.</p>	<p>Regular community engagement through design, implementation or evaluation, including IPs, women and vulnerable groups, who advise but do not make decisions. Possible accountability of implementer to local intuitions with some acknowledgement of sanctions and/or recourse for misalignment with agreements or plans.</p>	<p><u>Robust concentration of decision-making authority</u> by communities, including IPLCs , women and vulnerable groups, through design, implementation and evaluation. Clear accountability of implementer to local intuitions with defined sanctions and/or recourse for misalignment with agreements or plans.</p>
<p>Dimension:</p> <p>Devolved financial and technical resources</p>	None	None	<p>Community <u>has limited control</u> over financial and technical resources.</p>	<p>Financial and technical <u>resources require the approval</u> of community or community groups.</p>	<p><u>Financial and technical resources are devolved</u> to community or community groups.</p>
<p>Dimension:</p> <p>Incorporation of local institutions and customs</p>	<p>Local institutions are informed and/or there are capacity-building efforts in place.</p>	<p>Local institutions are consulted and/or there are capacity-building efforts in place.</p>	<p>Considerations in design and implementation for the improvement, strengthening, or recognition of local institutions, rules and rights as defined by the representatives of local institutions themselves.</p> <p>but limited direct incorporation into decision-making</p>	<p>Considerations in design and identifiable actions in implementation for the integration, improvement, strengthening, or recognition of local institutions, rules and rights as defined by the representatives of local institutions themselves,</p> <p>but not authority to make decisions.</p>	<p>Specific mandates and activities that address the improvement, strengthening, or recognition of local institutions, rules and rights as defined by the representatives of local institutions themselves, and integration of customs and institutions into design, implementation and evaluation,</p>

<p>Dimension:</p> <p>Legitimacy in the eyes of users</p>	<p>None</p>	<p>None</p>	<p>Project documents describe how community, including IPLCs, women and vulnerable groups, consider the project and its implementers to be partially in accordance with the norms and customs of those affected by the project.</p>	<p>Describe how community, including IPLCs, women and vulnerable groups, consider the project and its implementers to be mostly in accordance with the norms and customs of those affected by the project with no critical omissions.</p>	<p>Describe how community, including IPs, women and vulnerable groups, consider the project and its implementers to be fully in accordance with the norms and customs of those affected by the project.</p>
<p>Dimension:</p> <p>Accountability of implementers to users</p>	<p>Accountability processes are defined in the project documents, which could include regular meetings among implementers and users, anonymous feedback mechanisms etc.</p>	<p>Project documents include planning for monitoring and evaluation of accountability processes defined in the project documents with results of any actions taken reported back to users.</p>	<p>Project documents describe ways in which implementers respect the rights of users to access information and influence implementation.</p>	<p>Dispute mechanisms are described in project documents that show how claims may be made by users against implementers, including a mechanism for external mediation/judgement.</p>	<p>Project documents describe sanctions that may be levied by users on the implementers in case of malfeasance or failure to comply with agreed-upon actions or policies.</p>
<p>Dimension:</p> <p>Human rights and equality</p>	<p>No mention of human rights or equality.</p>	<p>Project documents mention human rights or equality without specific actions or objectives.</p>	<p>Project documents mention specific actions, objectives for at least one of human rights or equality.</p>	<p>Project documents mention specific actions, objectives for human rights and equality.</p>	<p>Project documents report specific transformational changes related to human rights or equality.</p>

<p>Examples</p>	<p>Project proponents inform prior to, and possibly during project implementation the purpose and general plans for the project. Some discussion may take place in terms of questions and answers but no significant change to implementation results from feedback.</p>	<p>Project proponents talk with local community members and leaders about the general or specific logics, plans and progress of the project, with explicit invitation for feedback, which is systematically reviewed by the project proponent.</p>	<p>Project proponents involve a representative group of community members to regularly discuss project logics, plans and progress, seeking recommendations for change and correcting activities and objectives as the project is implemented, and report back regularly to the community.</p>	<p>Project proponents collaborate with a representative group of community members to regularly discuss project logics, plans and progress, seeking recommendations for change and correcting activities and objectives as the project is implemented, and report back regularly to the community. As part of the project management structure, financial and technical decisions require community sign-off</p>	<p>Project proponents facilitate a representative group of community members to manage the project, with decision-making authority, financial and technical resources are controlled by the community and the project implementers report to the community group.</p>
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ANNEX C: INTERVIEWEES

Name	Role	Organization
Global/Central Stakeholders		
Orissa Samaroo	Vice President, GEF Policy and Portfolio Management	Conservation International
Genevieve Braun	Programme Officer, GEF Coordination Unit	FAO
Ina Salas	Portfolio Monitoring and Reporting Specialist	FAO
Yon Fernández	Head of Indigenous Peoples Unit	FAO
Sano Akhteruzzaman	Chair	GEF CSO network
Ulrich Apel	Senior Environmental Specialist	GEF Secretariat
Hannah Fairbank	Asia Regional Coordinator and Senior Biodiversity Specialist	GEF Secretariat
Ikuko Masumoto	Knowledge and Policy Officer	GEF Secretariat
Jean Marc Sinnassamy	Africa Regional Program Manager and Senior Environmental Specialist	GEF Secretariat
Sarah Wyatt	Biodiversity Specialist	GEF Secretariat
Mark Zimsky	Biodiversity Coordinator, Senior Biodiversity Specialist	GEF Secretariat
Hannah Reid	Researcher	International Institute for Environment and Development
Pedro Lara Almuedo	Programme Officer	UNCCD
Nick Remple	Global Advisor, Community-Based Landscape Management	UNDP
Diana Salvemini	Project Management Specialist	UNDP
Angela Armstrong	Senior Environmental Specialist	World Bank
Drite Dade	Senior Environmental Specialist	World Bank
Nyaneba Nkrumah	Senior Natural Resources Management Specialist	World Bank
Erik Reed	Senior Environmental Specialist	World Bank
John Donaldson	Panel Member for Biodiversity	GEF STAP
Alex Moscuza	Programme Management Officer	GEF STAP
Gonzalo Oviedo	IUCN Senior Advisor for Social Policy	GEF IPAG
Cameroon Country Case Study		
Atangana Francis ALBERT	Environmental Specialist	World Bank
Dr Michael Njume Ebong	Chief Executive Officer	CHEDE Cooperative Union Ltd
Dr Gordon Ajonina	Director	Cameroon Wildlife Conservation Society
Monsieur ARMAND ASSENGZE	Forest and Environment Sector	FAO
Monsieur Saidou ADAMA	Government official	MINEPDED
Emanuel ARRAH	Government official	MINEPDED
Dr Aurélie Taylor DINGOM	Government official	MINEPDED
M. Sanga GUENDO	Government official	MINEPDED
Valerys JOUOGUEP	Government official	MINEPDED
Monsieur WAOUO Jacques	Forest and Environment Sector	MINEPDED
Dr Amadou WASSOUNI	Government official	MINEPDED
Mme Adele ZABOYA	Government official	MINEPDED
Dr ZEH-NLO MARTIN	Government Official	PNUD
Armand William MALA	Consultant	Rainforest Alliance
M. Jean Marie ETOGA	Senior Environmental and Social Safeguards Officer	WWF-US
Dr Zacharie Ndogmo NZOOH	Project Manager	WWF-US
Lydia ADA	Community Member	ETEKESSANG (NGOYLA)
Jodelette AGUELE	Community Member	ETEKESSANG (NGOYLA)

Name	Role	Organization
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Émilienne ATSUM	Community Member	ETEKESSANG (NGOYLA)
Rosalie Bidjama	Community Member	ETEKESSANG (NGOYLA)
Laurentine KIWIA	Community Member	ETEKESSANG (NGOYLA)
Eugène LEBENG	Community Member	ETEKESSANG (NGOYLA)
Rose MBENG	Community Member	ETEKESSANG (NGOYLA)
Pierrette MONI	Community Member	ETEKESSANG (NGOYLA)
Eugénie MUNE	Community Member	ETEKESSANG (NGOYLA)
Brigitte YAINA	Community Member	ETEKESSANG (NGOYLA)
Marie ZAMESSIE	Community Member	ETEKESSANG (NGOYLA)
Henriette AMANDA	Community Member	MABAM (NGOYLA)
Élyse AMPE	Community Member	MABAM (NGOYLA)
Jacqueline AYAH	Community Member	MABAM (NGOYLA)
Nadège AYAH	Community Member	MABAM (NGOYLA)
Fabrice DOBELA	Community Member	MABAM (NGOYLA)
Pauline EKADIO	Community Member	MABAM (NGOYLA)
Flore EKOTTO NGON	Community Member	MABAM (NGOYLA)
Samson MEMBWA	Community Member	MABAM (NGOYLA)
Jean MOUGNAGO	Community Member	MABAM (NGOYLA)
Gilles Mpono	Community Member	MABAM (NGOYLA)
Pierre NGAN	Community Member	MABAM (NGOYLA)
Roger SALO	Community Member	MABAM (NGOYLA)
(Délégué GIC)	Community Member	MABAM (NGOYLA)
Angeline Ekeng	Community Member	Mbouda
Mariana Ekeng	Community Member	Mbouda
Andrees FOLLAH	Community Member	Mbouda
Denis Atoh MOTANJONG	Community Member	Mbouda
Landnus TANDUWN	Community Member	Mbouda
SM. Alphonse BAMETOL	Community Member	MOKOLO(NGOYA)
SM. Rodrigue NKOLA	Community Member	MOKOLO(NGOYA)
Hyacinte TAMODJEM	Community Member	MOKOLO(NGOYA)
Agnès ANGA	Community Member	MOUANKO
Péroline BONDINGUA	Community Member	MOUANKO
Augustine EBEGNE	Community Member	MOUANKO
Alvine ENGUEDJE	Community Member	MOUANKO
Hélène MBOUMDATH	Community Member	MOUANKO
Dora MISSONBA	Community Member	MOUANKO
Annette MOUDEMA	Community Member	MOUANKO
Hedire MOUDOUTHE	Community Member	MOUANKO
Jacqueline MOUSSONGO	Community Member	MOUANKO
Erna NGOUE	Community Member	MOUANKO
Clinton Jokor ALI	Community Member	MOUANKO (Lobethal)
Steh DIKWEDI KALKE	Community Member	MOUANKO (Lobethal)
Jacques EKOLLE	Community Member	MOUANKO (Lobethal)
Pierre ESSOME ESSOME	Community Member	MOUANKO (Lobethal)
FOKAN	Community Member	MOUANKO (Lobethal)
Jean IGRI	Community Member	MOUANKO (Lobethal)
Penda KWEDI	Community Member	MOUANKO (Lobethal)
Daniel KWEDI KWIN	Community Member	MOUANKO (Lobethal)
Bruno LAISIN	Community Member	MOUANKO (Lobethal)
laise MINDJONGUE	Community Member	MOUANKO (Lobethal)
Joyceline MZOYEM	Community Member	MOUANKO (Lobethal)
Lizette NDELLE	Community Member	MOUANKO (Lobethal)
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Herve NGALLE	Community Member	MOUANKO (Lobethal)

Name	Role	Organization
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Djindo AHMADOU	Community Member	Ngoyla
Laminou AHMADOU	Community Member	Ngoyla
Léance AKOULA	Community Member	Ngoyla
A Eugénie BDEL	Community Member	Ngoyla
Souaibou ISMAILA	Community Member	Ngoyla
Kouleya IYAWA	Community Member	Ngoyla
Ousman Sadje	Community Member	Ngoyla
Carine ADJAZE	Community Member	ZOULABOT I (NGOYLA)
Antoinette AMELE	Community Member	ZOULABOT I (NGOYLA)
Paulette ANDJOH	Community Member	ZOULABOT I (NGOYLA)
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Pascal Blaise BABOT	Community Member	ZOULABOT I (NGOYLA)
Jean-Paul DOUDOUMO	Community Member	ZOULABOT I (NGOYLA)
Lolita ETSIELE BABOT	Community Member	ZOULABOT I (NGOYLA)
Brice KAMZOH	Community Member	ZOULABOT I (NGOYLA)
Armand MBEH	Community Member	ZOULABOT I (NGOYLA)
Denise MBOTEGUE	Community Member	ZOULABOT I (NGOYLA)
Louis MEDJO	Community Member	ZOULABOT I (NGOYLA)
Carole MELENGUE	Community Member	ZOULABOT I (NGOYLA)
SM. Hervé METOULL	Community Member	ZOULABOT I (NGOYLA)
Annie NKOLMBA	Community Member	ZOULABOT I (NGOYLA)
Fred William TENGUE	Community Member	ZOULABOT I (NGOYLA)
Indonesia Country Case Study		
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Matias Minggu	Secretary	Bappeda East Manggarai District
Katarina Setia	Staff for Program Planning, Data and Evaluation	Bappeda East Manggarai District
A Alexis	Head of Economy Development Division	Bappeda Manggarai District
Kiki Artina	Staff	Bappeda Manggarai District
Bonevantura Dedi Hendrian Dugis	Staff	Bappeda Manggarai District
Hila Jonta	Head of Office	Bappeda Manggarai District
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Robert	Former Point Person of SPARC Program	BKSDN, Manggarai District
Ojom Sumantri	Head of Balai PSKL Jawa Bali Nusa Tenggara—Implementing Partner for SSF Program	Center of Social Forestry and Environment Partnership (PSKL) Jawa Bali Nusa Tenggara
Pudjo Hutomo	Institutional/Policy Specialist Component 3	Consortium PT. Inacon Luhur Pertiwi
Dwi Kristianto	Comdev Specialist-Component 4	Consortium PT. Inacon Luhur Pertiwi
Agus Sriyanto	Leader Component 1—Biodiversity	Consortium PT. Inacon Luhur Pertiwi
Didit Susiyanto	Comdev Assistant—Component 4	Consortium PT. Inacon Luhur Pertiwi
Soeparno Wirodidjojo	Project Leader- Citarum WMBC Program	Consortium PT. Inacon Luhur Pertiwi
Albertus Abu	Community Member	Bea Muring Catholic Parish Community
Kristoforus D	Community Member	Bea Muring Catholic Parish Community
Yohana Cecilia Daputri	Community Member	Bea Muring Catholic Parish Community
Aloisius Duas	Community Member	Bea Muring Catholic Parish Community
Rofinus Haman	Community Member	Bea Muring Catholic Parish Community
Konstantibus Mansur	Community Member	Bea Muring Catholic Parish Community
Noberia Marini	Community Member	Bea Muring Catholic Parish Community
Kristiani Mira	Community Member	Bea Muring Catholic Parish Community

Name	Role	Organization
Yustina Mita	Community Member	Bea Muring Catholic Parish Community
Stefanus Randut	Community Member	Bea Muring Catholic Parish Community
Paulus Sadan	Head of Kemas Proklam	Bea Muring Catholic Parish Community
Daniel Sudirman	Community Member	Bea Muring Catholic Parish Community
Edeltrudis Tanggo	Community Member	Bea Muring Catholic Parish Community
Videlis Vigis	Community Member	Bea Muring Catholic Parish Community
Ronaldus Wantas	Community Member	Bea Muring Catholic Parish Community
Petromualdus Charly Krowa	Priest	Bea Muring Catholic Parish Community
Thomas Aquinas Mbiru	Community Member	Coffee Production Division—Bea Muring Catholic Parish Community
Aman	Community Member	Conservation Model Village—MDK Cihanjavar
Aman	Community Member	Conservation Model Village—MDK Cihanjavar
Syarip Hidayat	Community Member	Conservation Model Village—MDK Cihanjavar
Abdul Kohar	Community Member	Conservation Model Village—MDK Cihanjavar
Budi Mawarli	Community Member	Conservation Model Village—MDK Cihanjavar
Nana	Community Member	Conservation Model Village—MDK Cihanjavar
Eri Nurhayat	Community Member	Conservation Model Village—MDK Cihanjavar
Dede Rukman	Community Member	Conservation Model Village—MDK Cihanjavar
Uli	Community Member	Conservation Model Village—MDK Cihanjavar
Wawan	Community Member	Conservation Model Village—MDK Cihanjavar
Chriesdian Casanova	Community Member	Conservation Model Village—MDK Sugih Mukti
Yayah Dariah	Community Member	Conservation Model Village—MDK Sugih Mukti
Ace Hermawan	Community Member	Conservation Model Village—MDK Sugih Mukti
Dede Irawan	Community Member	Conservation Model Village—MDK Sugih Mukti
Dewi K	Community Member	Conservation Model Village—MDK Sugih Mukti
Elah Nurhayati	Community Member	Conservation Model Village—MDK Sugih Mukti
Tati Rohayati	Community Member	Conservation Model Village—MDK Sugih Mukti
Suherian	Community Member	Conservation Model Village—MDK Sugih Mukti
Ujang Sukmana	Head of Community Group	Conservation Model Village—MDK Sugih Mukti
Laksmi Dhewanthi	Director General of Climate Change Control—OFP GEF	Directorate General of Climate Change Control, MoEF
Agus Rusly	Secretary General of DG of Climate Change Control	Directorate General of Climate Change Control, MoEF
Sylvana Ratina	Fungsional (Former Head of BBKSDA West Java)	Directorate General of Conservation of Natural Resources and Ecosystems (Dirjen KSDAE), MoEF

Name	Role	Organization
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Rudiono	Staff BPPE	Directorate of Essential Ecosystem Management Development (BPPE), Directorate General of Conservation of Natural Resources and Ecosystems (Dirjen KSDAE), MoEF
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Tubagus Ajie	Chief of Preparation of Community Forestry (HKm) and HTR (Kasubdit Penyiapan HKm dan HTR)	Directorate of Preparation of Social Forestry Area (PKPS), Directorate General of Social Forestry and Environmental Partnership (Dirjen PSKL), MoEF
Syafda Roswandi	Chief of Director of Preparation of Social Forestry Area (Dir. PKPS) Preparation of Community Forestry (HKm) and HTR (Kasubdit Penyiapan HKm dan HTR)	Directorate of Preparation of Social Forestry Area (PKPS), Directorate General of Social Forestry and Environmental Partnership (Dirjen PSKL), MoEF
Yuliati Basri	Chief of Forest Use Planning and Community Development (Kasie P2PM)	Forest Management Unit (BKPH) Maria Donggo Masa
Faruk	Head of BKPH Toffo Pajo Soromandi	Forest Management Unit (BKPH) Toffo Pajo Soromandi
Iksan	Staff of Social Forestry Unit	Forest Management Unit (BKPH) Toffo Pajo Soromandi
Bangkit Maulana	Staff of BKPH Toffo Pajo Soromandi	Forest Management Unit (BKPH) Toffo Pajo Soromandi
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Name	Role	Organization
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Apolinaris Samsudin Geru	Implementing Partner-Program SPARC— Head of Climatology Station Lasiana BMKG—East Nusa Tenggara	Head of Climatology Station Banten, BMKG
Silvester Ariatno Djehaut	Head of Local NGO—Implementing Partner Program SPARC in Manggarai—East Nusa Tenggara	NGO Tunas Jaya Foundation
Tini Gumartini	Natural Resources Management Specialist	World Bank
Iwan Gunawan	Senior Natural Resources Management Specialist	World Bank
Anastasia Bisium	Community Member	Cotton Mattras Group—Woman Group
Christian Budi Usfinit	Manager Program SPARC	UNDP Indonesia
Katarina Imul	Head of Community Group	Cotton Mattras Group—Woman Group
Kristina Ju	Community Member	Cotton Mattras Group—Woman Group
Osilia Linda	Community Member	Cotton Mattras Group—Woman Group
Beata Niwung	Community Member	Cotton Mattras Group—Woman Group
Silvester Nobli Robin	Head of Deno Village	Deno Village
Anwar	Community Member	Forest Farmer Group—KTH Dana Kala
Bunyamin	Head of Community Group	Forest Farmer Group—KTH Dana Kala
Fitriani	Community Member	Forest Farmer Group—KTH Dana Kala
Hamidah	Community Member	Forest Farmer Group—KTH Dana Kala
Hurman	Community Member	Forest Farmer Group—KTH Dana Kala
Jufri	Community Member	Forest Farmer Group—KTH Dana Kala
Abdul Karim	Community Member	Forest Farmer Group—KTH Dana Kala
Nurrahma	Community Member	Forest Farmer Group—KTH Dana Kala
Ratnah	Community Member	Forest Farmer Group—KTH Dana Kala
Rosina	Community Member	Forest Farmer Group—KTH Dana Kala
Israr Ardiansyah	Head of Community Group	Forest Farmer Group—KTH Ncai Ama Nofi
Arena	Community Member	Forest Farmer Group—KTH Ncai Ama Nofi
Chintami At	Community Member	Forest Farmer Group—KTH Ncai Ama Nofi
Fariani	Community Member	Forest Farmer Group—KTH Ncai Ama Nofi
Fitri	Community Member	Forest Farmer Group—KTH Ncai Ama Nofi
Ahmad Haddu	Community Member	Forest Farmer Group—KTH Ncai Ama Nofi
Irawati	Community Member	Forest Farmer Group—KTH Ncai Ama Nofi
Jaimuddin	Community Member	Forest Farmer Group—KTH Ncai Ama Nofi
Kusmiati	Community Member	Forest Farmer Group—KTH Ncai Ama Nofi
Sinta Mutiara	Community Member	Forest Farmer Group—KTH Ncai Ama Nofi
Nurwalida	Community Member	Forest Farmer Group—KTH Ncai Ama Nofi
Rahmawati	Community Member	Forest Farmer Group—KTH Ncai Ama Nofi
Abakar	Community Member	Forest Farmer Group—KTH Oi Rida
Abdurarahman	Community Member	Forest Farmer Group—KTH Oi Rida
Siti Aisah	Community Member	Forest Farmer Group—KTH Oi Rida
Anuriah	Community Member	Forest Farmer Group—KTH Oi Rida
Arahman	Head of Community Group	Forest Farmer Group—KTH Oi Rida
Damrin	Community Member	Forest Farmer Group—KTH Oi Rida
Fitri	Community Member	Forest Farmer Group—KTH Oi Rida
Ismail Gau	Community Member	Forest Farmer Group—KTH Oi Rida
Hamilah	Community Member	Forest Farmer Group—KTH Oi Rida
Makrifah	Community Member	Forest Farmer Group—KTH Oi Rida

Name	Role	Organization
Naima	Community Member	Forest Farmer Group—KTH Oi Rida
Muhammad Natsir	Community Member	Forest Farmer Group—KTH Oi Rida
A Rafik	Community Member	Forest Farmer Group—KTH Oi Rida
Ahmad	Community Member	Forest Farmer Group—KTH Sonco Ama Sunu
Anwar	Community Member	Forest Farmer Group—KTH Sonco Ama Sunu
Bambang	Community Member	Forest Farmer Group—KTH Sonco Ama Sunu
Ismail	Community Member	Forest Farmer Group—KTH Sonco Ama Sunu
Jainudin	Community Member	Forest Farmer Group—KTH Sonco Ama Sunu
Mursalim	Community Member	Forest Farmer Group—KTH Sonco Ama Sunu
Nederwandi	Community Member	Forest Farmer Group—KTH Sonco Ama Sunu
Sahrul	Community Member	Forest Farmer Group—KTH Sonco Ama Sunu
Muhamad Saleh	Head of Community Group	Forest Farmer Group—KTH Sonco Ama Sunu
Muhamad Sidik	Community Member	Forest Farmer Group—KTH Sonco Ama Sunu
Adrianus Jelami	Head of Gapong Village	Gapong Village
Aleks Lapak	Head of Kemas Proklam	Gapong Village
Sisilia Ima	Community Member	Horticulture Woman Group
Merlin Paus	Community Member	Horticulture Woman Group
Erna Rut	Community Member	Horticulture Woman Group
Venansia Saiman	Community Member	Horticulture Woman Group
Yuliana Umut	Community Member	Horticulture Woman Group
Aswan	Head of Kramabura Village	Kramabura Village
Aleks Sal	Head of Kemas Proklam	Liang Bua Village
Bibiana Bis	Community Member	Livestock—Goat Group
Lusia Goarni	Head of Community Group	Livestock—Goat Group
Yovita Jenaut	Community Member	Livestock—Goat Group
Gerda Geong	Community Member	Livestock—Pig Group
Elisabeth Mamus	Head of Community Group	Livestock—Pig Group
A Rafik	Head of Maria Utara Village	Maria Utara Village
Kuras Abubakar	Head of Nowa Village	Nowa Village
Algi Syarif	Head of Ntori Village	Ntori Village
Ambrosius Roni	Community Member	Organic Fertilizer Developer—Bea Muring Catholic Parish Community
Yovita Lilut	Community Member	Paddy Field and water group
Yohanes Nabit	Community Member	Paddy Field and water group
Aleksius Parus	Community Member	Paddy Field and water group
Yeremias Taleng	Community Member	Paddy Field and water group
Mamat Rahmat	Staff	PMO SSF Program , MoEF
Dede Rohadi	Program Leader	PMO SSF Program , MoEF
Erna Rosdiana	National Advisory	PMO SSF Program , MoEF
Iis Roahiti	Village Facilitator	Program CWMBBC
Rosarius Naingalis	District Facilitator	SPARC Manggarai District
Siti Salmah	Dompu District Facilitator	SSF Program
Mei Liana Sulistia	Assistant Wawo Sub District, Bima District	SSF Program
Tamrin	Bima District Facilitator	SSF Program
Riswan Buhori	Head of Village	Sugih Mukti Village
Floidosius Asmin Ate	Community Member	Water group and livestock group

Name	Role	Organization
Yohanes Deman	Community Member	Water group and livestock group
Emanuel Kristianus Harum	Community Member	Water group and livestock group
Silfinus Jehatu	Community Member	Water group and livestock group
Yuliana Lisa	Community Member	Water group and livestock group
Susana Lulus	Community Member	Water group and livestock group
Wilhemus Pantur	Community Member	Water group and livestock group
Seravina Dadi	Community Member	Woman Farmer Group—KWT Baeng Koe
Herlinda Dewi	Community Member	Woman Farmer Group—KWT Baeng Koe
Yustina Diu	Head of Community Group	Woman Farmer Group—KWT Baeng Koe
Modesta Empal	Community Member	Woman Farmer Group—KWT Baeng Koe
Maria Ince	Community Member	Woman Farmer Group—KWT Baeng Koe
Fenisia Kurniati	Community Member	Woman Farmer Group—KWT Baeng Koe
Melania Mel	Community Member	Woman Farmer Group—KWT Baeng Koe
Regina Nusum	Community Member	Woman Farmer Group—KWT Baeng Koe
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Madagascar Country Case Study		
Lalao Aigrette	National Technical Advisor for Mangroves	Blue Ventures—Madagascar
Patrick Rafidimanantsoa	Head of Conservation interim	Blue Ventures—Madagascar
Yacinthe Razafimandimby	Vice-president of FIMIADAKADI Association	Conservation International
Jacynthe Razafindandy	Manager of Protected Areas	Conservation International
Gandy Arnaud Manoelison	Senior Programme Officer	C3 Diego
Aubergie Maelas Zafitiana	Programme Officer	C3 Diego
Serge Rajaobelina	Founder and Chairman of Sahanalala, Founder of Fanamby	Fanamby / Sahanalala
Gislain Benoro	Field agent, Loky Manambato	Fanamby
Hortensia Bezara Hosnah	Landscape Manager / Fanamby / PFGAP	Fanamby
Richelin Jaomary	Conservation Manager, Loky Manambato	Fanamby
Nicolosa Salo	Park Director, Loky Manambato	Fanamby
Mack Brice Sianghouissa	Coastal and Marine Conservation Manager, Loky Manambato	Fanamby
Hajarivo Andrianandrasana	General Resources Officer	FAPBM
Serge Ratsirahonana	Monitoring and Evaluation Manager	FAPBM
Hanta Rabefarihy	Ex-MRPA National Coordinator	GEF-UNDP-MRPA (2013 to 2017)
William Peterson Andrianantenaina	Regional Director of Environment and Sustainable Development Interm	MEDD, Government / Atsimo Andrefana Region
Claude Christian	Regional Director of Environment and Sustainable Development (DREDD Diana)	MEDD, Government / DIANA Region
Cyriaque Rafanomezantsoa	Deputy chief of local forestry unit (adjoint chef cantonnement)	MEDD, Government / District of Sakaraha
Bakoly Françoise Rakotoarimanana	Chief of local forestry unit (chef cantonnement)	MEDD, Government / District of Toliara II
Paul Ali Mamichar Nadiariniaina	Local forestry yardmaster (chef de triage forestier)	MEDD, Government / District of Vohemar
Rivosoa Rabenandrianina	Director General of Sustainable Development	MEDD, Government / National
Hery Andriamirado Rakotondravony	Current GEF Operational Focal Point	MEDD, Government / National
Christine Edmée Ralalaharisoa	Ex-GEF Operational Focal Point, Technical Support Manager	MEDD, Government / National
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Hafany Tombondray	Vice president of Association Tsimoka / MBG / PFGAP	Missouri Botanical Garden (MBG)
Longin Mahatoro	Mayor of Ankilimalinika and Chairman of FIMIADAKADI Association	Commune of Ankilimalinika
Jaomise Andriariziky	Mayor	Commune of Daraina

Name	Role	Organization
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Edmond Jaotina	Chairman	Local Association of fisherman
Tertius Rodriguez Belalahy	Manager of Terrestrial Protected Areas	Madagasikara Voakajy
Hervé Solo	Operations officer	MNP Diego
Onja Ramamonjy-Ratrimo	Comanagement and Development Officer	MNP National Office
Anselme Marcel Atalahy	Operations officer	MNP Sakaraha
Juliette Raharivololona	Park Director, Zombitse Vohibasia	MNP Sakaraha
Manantsoa Andriatahina	Environment Programme Officer, Environmental Focal Point for GEF projects in Madagascar	UNDP Madagascar
Lanto Andriamampianina	Terrestrial Conservation Manager	WCS National Office—Madagascar
Ravaka Natacha Ranaivoson	Marine Conservation Manager	WCS National Office—Madagascar
Erik Reed	Natural Resources Management Specialist	World Bank—Madagascar office
Fenohery Rakotondrasoa	Conservation Manager	WWF national office
Valencia Ranarivelo	Senior Advisor	WWF national office
Fanja Razafindramasy	Database manager	WWF national office
Vanona Mboty	Chairwoman	Mti local women's association in Vaillage Ambavarano (Fokontany Ansampilay)
Marisoa Alda	Community Member	Nosy Hara PA
Eloi Joseph	Community Member	Nosy Hara PA
Ali Julien	Community Member	Nosy Hara PA
Marohay Norbert	Community Member	Nosy Hara PA
Radotoarimanana Bakoly Françoise	Chef Cantonment	Ranobe Park PA
Bernard Mbehely	Community Member	Ranobe Park PA
Voabelo Tsianegnena	Community Member	Ranobe Park PA
Pascal Tsilengna	Community Member	Ranobe Park PA
Raharimanana Tsimiova	Community Member	Ranobe Park PA
Peru		
Luis López	Presidente de la Asociación	Asociación de Productores Agropecuarios ABC- Tumbaden, Cajamarca
Napoleón Durand	Presidente de la Asociación	Asociación productores ecológicos para la conservación del Refugio de vida silvestre Laquipampa
Armandina Quiroz Rodas	Miembro asociación de mujeres Monte Chico	Comité de gestión RVSBN Udimá
Melina Durand		Comité de gestión RVS Laquipampa
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Emiko Miyashiro	Especialista en Economía Ambiental	MINAM-Dirección General de Economía y Financiamiento Ambiental
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Name	Role	Organization
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Sr. Luis Castro	Inkañaris project manager (at that period)	PROFONANPE
Omar Corilloclla	Director monitoreo y evaluación	PROFONANPE
Claudia Godfrey	ex Directora técnica	PROFONANPE
Juana Kuramoto	Jefa de investigacion	PROFONANPE
Odile Sanchez	Area My E	PROFONANPE
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Joel Rolando Córdova Maquera	Head of area RVSNB Udima	SERNANP
Elmer Segura	Especialista, turismo y social,	SERNANP
Abdías Villoslada Taipe	Head of RPNYC	SERNANP
Francisco Medina	project manager	UNDP
Timor-Leste		
Manuel Mendes	Country Director	Conservation International
Fernando Araujo	Chief of Department of Watershed Management	Ministry of Agriculture and Fisheries, Directorate General of Forestry, Coffee, and Industrial Plants
Armando Mendonça	Technical Staff on Reforestation	Ministry of Agriculture and Fisheries, Directorate General of Forestry, Coffee, and Industrial Plants
Adelino Rosario	Government Official	Ministry of Agriculture and Fisheries, Directorate General of Forestry, Coffee, and Industrial Plants
Adão Barros	Coordinator of Forest Guard	Ministry of Agriculture and Fisheries, Directorate General of Forestry, Coffee, and Industrial Plants
Marcelino da Cruz	Chief of Suco	Ministry of State Administration/ Suco Council in Fahilebo
Aleixo Tilman	Chief of Suco	Ministry of State Administration/Suco Council in Horai-Quic
Luis dos Santos	Chief of Suco	Ministry of State Administration/Suco Council in Talimoro
Lourenço Hornay	Acting Chief of Suco Baricafa	Ministry of State Administration/Suco Council of Baricafa
Hernanio Ribeiro	Chief of Suco	Ministry of State Administration/Suco Uailili
Eugenio Lemos	Director	Permatil
Faustino da Silva	Director National of Biodiversity	Secretariat of State for the Environment
Augusto Pinto	Director National of Climate Change	Secretariat of State for the Environment
João Carlos Soares	Director General	Secretariat of State for the Environment
Elisa dos Santos	Director	Timor Verde
Bernadete Fonseca	Former SSRI Project Coordinator	UNDP Timor-Leste
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Olderico Baptista	Group members in aldeia Sarelani	Community member of Suco Baricafa
Silverio Baptista	Group members in aldeia Sarelani	Community member of Suco Baricafa
Adão Hornay	Group members in aldeia Usufasu	Community member of Suco Baricafa
Juanita Lemos	Group members in aldeia	Community member of Suco Baricafa

Name	Role	Organization
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Julio Pires	Vice Chief of group from aldeia Sarelani	Community member of Suco Baricafa
Cristovão Preto	Focal Point for Soil Conservation	Community member of Suco Baricafa
Juvinal Sarmiento Pereira	Vice Chief of group from aldeia Usufasu	Community member of Suco Baricafa
Abril Alves	Group member	Community member of Suco Fahilebo
Agilda Cabral	Group member in Tuhilo Kraik	Community member of Suco Fahilebo
Leopoldo de Araujo	Group member in Tuhilo Leten	Community member of Suco Fahilebo
Mariazinha do Rosario	Group member in Tuhilo Leten	Community member of Suco Fahilebo
Patrocínio Gusmão	Group member	Community member of Suco Fahilebo
Carlos Sávio	Group member	Community member of Suco Fahilebo
Mario Sávio	Group member in Tuhilo Leten	Community member of Suco Fahilebo
Abelino Xavier	Group member	Community member of Suco Fahilebo
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Manuel Marques	Group member	Community member of Suco Horai-Quic
Natalia Marques	Group member	Community member of Suco Horai-Quic
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Carlos da Silva	Chief of Aldeia Tuhilo Leten	Suco Council in Fahilebo
Norteia Ribeiro	Administrative Staff	Suco Council in Fahilebo
Santina Ximenes	Youth representative from Tuhilo Leten	Suco Council in Fahilebo
Claudio Mendonça	Chief of Aldeia Lauhelo	Suco Council in Horai-Quic
Marcelino Pires	Administrative Staff	Suco Council in Horai-Quic
Alberto Soares	Chief of Aldeia Abat Laran	Suco Council in Talimoro

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PART 2: TECHNICAL ANNEXES TO THE MAIN REPORT

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Annex 1. Country Case Study Methodology

Intro and Purpose

The case studies for the evaluation of Community Based Approaches (CBA) at the GEF play an important role as the main mechanism for systematically gathering country and community-level feedback on the merits, impacts, challenges, and lessons for GEF projects that use CBA. The case studies will focus on the latter portion of the evaluation objective (in italics): *assessing the extent to which community-based approaches are prevalent in the GEF projects and programs, their characteristics, the extent to which these approaches influence the effectiveness and sustainability of GEF interventions, and to provide lessons on their use.*

The case studies will take an in-depth look at the extent to which the characteristics of GEF CBA projects align with best practice, and any linkages with CBA design elements to project effectiveness and sustainability. Best practice elements linked to project performance were identified through a literature review conducted for the evaluation. They include: devolution of decision-making and financial and technical resources to communities; ensuring accountability of implementers to users; the importance of taking a long-term approach to ensure results can be maintained by the community over time; recognition of human rights, gender and equality; building on local priorities and capacities integrating CBA with other governance structures; identifying and using traditional knowledge; ensuring social aspects are included in monitoring and evaluation; and ensuring that projects build social capital.¹

Analysis of sustainability in GEF CBA projects in these case studies will build off previous IEO work identifying factors that influence sustainability after projects have closed. The 2017 Annual Performance Report (APR) identified key factors contributing to higher outcome ratings and broader adoption at post-completion which included stakeholder buy-in, political support, availability of financial support for follow up, and sustained efforts on the part of the national executing agency. Case studies will assess the extent to which these factors (and others) played a role in outcomes and sustainability. Projects that have been closed for three years or longer will be reviewed using the [Post Completion Verification Instrument](#), which looks beyond project completion to comprehend whether and how longer-term project outcomes are being reached and sustained over time, as well as the extent to which GEF-supported interventions have led to broader adoption – or even transformational change – across markets and systems.

The purpose of this note is to provide an overview of the country case study methodology. It is meant to serve as guidance to country case study teams and ensure that a consistent approach is applied across the different country case studies, which will be carried out by different individuals.

Evaluation Questions

The country case study will add to the evidence based collected by the evaluation to address the following evaluation questions from the approach paper and evaluation matrix:

KQ 1: How relevant have GEF projects that use community-based approaches been to the national priorities of GEF recipient countries?

KQ 4: How have community-based approaches influenced and contributed to better environmental and socio-economic outcomes?

KQ 5: What factors have influenced the usefulness and value-added of community-based approaches to the performance of projects using them?

KQ 6: To what extent are the results of GEF projects that use community-based approaches sustainable?

KQ 7: To what extent are there tradeoffs or tensions between environmental objectives and economic needs of people living in project areas? How does this affect sustainability of interventions using community-based approaches?

Case study approach and methodology

Five case study countries were selected using the following criteria: prevalence of CBA portfolio; a mix of project ratings (outcome and sustainability) – positive, negative and neutral; focal area diversity, diverse agency representation, and regional coverage (Africa, Asia, and Latin America). The case study selection process is outlined in a separate note that will be posted to the evaluation webpage. Annex 2 shows the projects in the case study countries.

Two-week missions are anticipated to each case study location, with the majority of the time spent in the field visiting project sites and gathering feedback from resource users, especially local communities. Though extensive feedback cannot be collected from every community at each project site due to resource constraints, the evaluators will be attentive to scoping whether there are one or two project sites in each country that would provide an opportunity for additional in-depth data collection to be carried out on a community wide basis to answer questions on inclusion, motivation for participating, and perceived benefits of the intervention from a wider group of stakeholders than those present during the site visit. This scoping would include determining whether communities are geographically concentrated, presenting an opportunity for phone or household surveys, and whether there are any issues that would merit additional data collection.

Several data gathering activities will be carried out as part of the case study work. It is anticipated that the mission preparation will start at least 4-6 weeks prior to travel and will involve background reading, remote interviews, and planning, followed by about two weeks in country. The work program for each case study will include the following: 1) **Document review** - country strategy documents and project documents; the GEF IEO CPE for the country (if available) and the GEF country page for the case study country; 2) **Interviews** with key informants (government officials, GEF operational and political focal points, country Agency staff, project staff); 3) **GIS analysis** (where possible) – remote sensing to validate and/or better understand environmental changes and inform selection of site visits; 4) **Site visits** to a subset of project sites; and 5) **Community level data gathering** through interviews, focus group discussions and/or community surveys. Activities 1 and 2 will take place prior to the mission, and to the extent possible, so will activity 3.

Document and portfolio review

The project document review will be undertaken in preparation for the country case study and will include, at minimum, the following documents: government strategy documents relating to climate and environment, review of the broad GEF portfolio in the country; and project documents (design document, implementation reports, mid-term review, and any evaluations). As these documents are reviewed a list of key stakeholders related to the projects will be compiled. Any geolocation information will be noted for potential GIS analysis or site visit selection. Furthermore, the portfolio of ongoing and completed projects will be scanned by an evaluation analyst to identify any additional projects that use CBA approaches that didn't meet the initial inclusion criteria used to determine inclusion in the country case study CBA portfolio (explicit reference to CBA approaches in project title, objectives, of components).

Key informant interviews

Given the relatively short amount of time spent in-country, ideally some of the key informant interviews will be carried out remotely, prior to travel, via videoconference. On the heels of the COVID pandemic, remote meetings and videoconferencing are more common and accepted, the evaluation will take advantage of this culture shift. Any follow-up can be done in person once in-country, as well as interviews with those that could not be reached via videoconference. Conducting as many of the interviews as possible remotely makes it possible to spend more time at the project sites, gathering feedback from natural resource users and communities. Furthermore, conducting key informant interviews ex-ante allows for more feedback from knowledgeable stakeholders to be factored in to selected field visit sites. At minimum, each country case study will include interviews with 10 key informants. Stakeholders from the government, civil society, GEF agencies, and project staff will be interviewed. Interview templates are included at the end of this note. The option of holding a civil society roundtable, which would include inviting representatives of civil society for a group discussion, will be explored.

GIS Analysis

Where feasible, and if location information is present in project documents or can be provided by project staff, the case studies will include some GIS analysis of environmental change, and the sustainability of any changes, in project areas. The GIS data would be case specific and depend on the Global Environmental Benefits targeted by the projects, but some example datasets include the [Global Land Cover Change dataset \(2000 – 2020\)](#), and the [Forest Carbon Fluxes dataset \(2000 – 2020\)](#). Data on observed change at the project site level can also help drive site selection, validate outcomes reported in the terminal evaluation, and help prepare for community interviews. If adequate data is available, GIS analysis will be done for a subset of complete projects prior to travel. However, if it is not available the evaluation team can collect this data while in the field, using their smartphones to collect GPS tracking data which would allow for post mission GIS analysis.

Site visits

Visits to project sites will be selected independently by IEO staff or consultants, based on initial feedback from interviews, a review of project documents, and any GIS analysis. The site visits will be carried out to validate any reported environmental or social outcomes, to better understand context of the project and the CBA approach and to gather feedback from communities and scope whether additional community data gathering through mobile or community surveys that would continue after the initial

site visit will be possible. The site visits will be carried out for all closed projects (at least one site per project) and for projects under implementation if possible, with a preference for projects that have been under implementation for at least two years. The site visit for closed projects with validated terminal evaluations provides an opportunity to conduct data gathering to complete the post-completion verification instrument.

Community data gathering

It will be critical to gather as much data from community members as possible during the limited time spent at project sites. The approach used will be fit for purpose, but at minimum the evaluation team will aim for is 2-3 semi-structured interviews per project site, followed by two focus group discussions (one with women and one with men). This will require pre-arrangement with village leaders and should reflect an understanding of the different user groups and the context of the project. Before data collection begins, an ethics statement will be shared with community stakeholders. This statement will inform them of the purpose of the evaluation, that their participation is voluntary and has no effect on future programming if any, explain the role of IEO and convey that their responses will not be attributed to them.

Case study protocol

The first step is a review of background documents (country strategy, portfolio, project documents, case study methodology note, case study selection note, and interview protocol). Then, the GEF IEO will draft an introductory email to the in-country project managers, the OFP, and other relevant stakeholders as identified with the help of GEF IEO. The evaluator, with the help of a local consultant, will make arrangements for initial interviews and draft a mission agenda with a timetable, list of persons to be met, and list of project sites will be drafted in agreement with the OFP. The agenda should be prepared and shared with national partners at least a month prior to the mission. Prior to meetings with national and local stakeholders (as relevant) the evaluator will share a two-page note explaining the evaluation and the approach. The sequence of activities should be as follows: i) background research and preliminary analysis (including GIS analysis if possible); ii) outreach to country stakeholders to introduce case study and select and confirm a date for the mission; iii) conduct as many interviews as possible over video, while drafting mission agenda (to be circulated with country stakeholders prior to mission); iv) mission travel – to include inception meeting with OFP, follow up interviews in capitol, site visits, and debrief with OFP; v) any follow up data collection in communities (if possible); vi) report writing.

Site selection

Project sites will be selected by IEO with the help from OFPs and project staff based on the following criteria: 1) Intervention typology (type and depth of CBA used in project design; 2) accessibility/seasonality and availability of stakeholders for interviews (including COVID-19 safety protocols); 3) ability to conduct GIS analysis prior to the mission (whether location data is available in project documents or from project staff); 4) balance of sites that are near major cities with those that are in more remote areas. Visits to sites from closed projects with validated terminal evaluations will be prioritized, with secondary priority given to site visits for ongoing projects in later stages of implementation. At least one site from each closed project will be attempted. The site sampling approach will be documented in the case study writeup.

Each country case study will produce the following outputs:

- Case study writeup (see template at the back of this note)
- [Post completion verification](#) instrument (for closed projects that have been completed for at least three years)
- List of persons interviewed
- Interview notes (with video recordings of interviews if done via videoconferencing)
- Videos and pictures of site visits with date, time and latitude/longitude coordinates

The country case studies will be carried out by the TTL and an international consultant with the support of local consultants.

Schedule

July – August 2022 (and beyond, as needed): Preparation – hiring, onboarding, preliminary contact with OFPs, Agencies and projects staff, GIS Analysis, drafting of stakeholder lists and agendas, preliminary interviews. The order of the case studies is still under consideration and will depend on consultant availability, weather and holiday considerations and feedback from the OFPs.

September – January 2023: Data collection, follow-up surveys, report drafting

Key Informant Interview Guidelines

KQ 1: How relevant have GEF projects that use community-based development approaches been to the national priorities of GEF recipient countries? (Government officials, OFP, Agency staff, project staff)

Indicators:

- Presence of language supporting community-based approaches in country strategy or priorities
- Perceptions of the importance of community based (vs. other) approaches in environment interventions, articulation of the value-add of the approach, rationale for use.
- Evidence/examples of community-based approaches from GEF projects being scaled up, mainstreamed or replicated using criteria from previous IEO evaluation on scaling up.

Example questions (Government officials, OFP, Agency staff):

- To what extent are community-based approaches relevant for environmental strategy in this country?
- Do you have any examples from policy and practice of where the approaches are reflected in any government strategy, vision, policy, etc or prioritized for funding? *For example forest policy decentralization reforms, transferring ownership and management responsibilities for natural resources to user organizations*
- How does the CBA approach integrate into other sectors in and outside natural resources management? Is there any evidence of strong links and complementarity with those aspects considered in the CBA under GEF?

- What is your opinion on the value add of projects that use a community-based approach in their design and implementation?
- How would you compare projects that use CBA to projects that don't use community-based approaches? What are the strengths/weaknesses?
- Are you aware of any GEF projects that use community-based approaches [list CBA projects identified] being scaled up, mainstreamed, or replicated beyond the GEF pilot?

KQ 4: Have community-based approaches influenced and contributed to better environmental and socio-economic outcomes?

Indicators:

- Perceptions on whether project design elements of CBA are linked to environmental or social outcomes
- Feedback on value add of the community-based approach including how the approaches are received, and community perceptions on their level of engagement.

Example questions (Government officials, project staff, communities):

- How have [the projects] led to improved environmental outcomes? To what extent can these environmental outcomes be linked to the project design?
- How have [the projects] led to improved social or economic outcomes for women and men in the communities? To what extent can these social or economic outcomes be linked to the project design? Note to interviewer: If needed, you can prompt with the following examples of socio-economic outcomes – livelihood improvement, poverty reduction, empowerment, wellbeing, governance, fragility.
- What have been the benefits and challenges of CBA in [the projects]? Who has been most benefited or burdened?
- How are CBA approaches received by local government and by communities? Why?
- What are the (a) implementer's and (b) community's motivations for participating in CBA projects?
- How well do the GEF CBA projects take gender into consideration? Is this different for non -CBA projects?

KQ 5: What factors have influenced the usefulness and value-added of community-based approaches to the performance of projects using them?

Indicators:

- Description/evidence of context and enabling factors influencing performance
- Stakeholder perceptions on factors influencing performance for environmental interventions using community-based approaches

Questions to ask (Government officials, project staff, community members):

- What are CBA factors that influence performance or usefulness of [the projects]?

- What are the external factors (policies, institutions, cultural norms) that facilitate or hinder the implementation and/or effectiveness of CBA in achieving results for [the projects]?
- Were there any existing community structures for the management of natural resources in place prior to the project? If so how well did the project align/complement? Is there adequate consideration of what already existed and demonstrated some level of success?
- How have CBA approaches fit with communities' local culture and capacity?

KQ 6: To what extent are the results of GEF projects that use community-based approaches sustainable?

Indicators:

- Feedback on factors influencing sustainability from IEO evaluations, focusing on subset of projects using community-based approaches.
- Perceptions on the likelihood of sustainability of community-based approaches (in comparison to other approaches).
- Information on anticipated sustaining of environmental benefits, identification of project design as a factor in likelihood of sustained benefits (for example: community buy-in/participation; community involvement in design, monitoring, upkeep, community roles in financing, etc).
- Achieved environmental and socio economic benefits sustained at least three years after project completion

Questions to ask (Government officials, project staff, community members):

- What is your perception on the (observed or likely) sustainability of GEF projects that use CBA?
- Are CBA approaches more likely, less likely or similar likelihood of sustainability relative to projects that don't use CBA?
- Under what circumstances are CBA projects most likely to have sustainable results?
- (If applicable) What are the elements of CBA design that you associate with sustainability? (for example: decentralized decision making; community involvement in design, monitoring, upkeep, community roles in financing, etc).
- To what extent are owners of the project equipped to manage the activities, assets or results of the project after its completion? [probe for livelihoods, natural resource governance, decision making, financial planning, social or cultural equity, or other]?
- If CBA approaches entail transferring management authority from governments to communities, was the transfer ensured by the relevant government entity to last beyond the duration of the project?
- What aspects of government contributions are necessary conditions for successful CBA?
- Are there any other factors that would make GEF projects that use CBA more sustainable?

KQ 7: To what extent are there tradeoffs or tensions between environmental objectives and economic needs of people living in project areas? Does this affect sustainability of interventions using community-based approaches?

Indicators:

- Perceptions on stakeholder incentives related to immediate socioeconomic needs vs. long term environmental outcomes.

Questions to ask (government staff, project staff, communities)

- What are the stakeholder incentives related to immediate socioeconomic needs vs. long term environmental outcomes?
- Have you seen any examples from CBA projects where there was a good balance between immediate socioeconomic needs and long-term environmental outcomes?
- Can you think of examples in which CBA hindered environmental objectives?

Annex 1. Country Case Study Report Outline (Max 20 pages + annexes)

The case study report should take into consideration that it is not an evaluation of the projects, but rather a data gathering exercise for a larger evaluation. Therefore, the following report outline should be used, providing data on the key evaluation questions.

I. Background and Context

- Brief description of overall evaluation (use language from the approach paper)
- CBA in the country (including the portfolio of projects with data on status, agency, start and end dates, financing amounts, GEF phases, ratings). Highlight the GEF projects selected for site visits
- Alignment with national priorities, laws, strategies, policies
- Other relevant information (strength of civil society, strength of CBA approach in country, etc)

II. Evaluation methods and approach

- Site selection criteria
- Description of data collection methods

III. Findings:

- KQ 1: How relevant have GEF projects that use community-based development approaches been to the national priorities of GEF recipient countries? (Government officials, OFP, Agency staff, project staff)
- KQ 4: Have community-based approaches influenced and contributed to better environmental and socio-economic outcomes?
- KQ 5: What factors have influenced the usefulness and value-added of community-based approaches to the performance of projects using them?
- KQ 6: To what extent are the results of GEF projects that use community-based approaches sustainable?

- KQ 7: To what extent are there tradeoffs or tensions between environmental objectives and economic needs of people living in project areas? Does this affect the sustainability of interventions using community-based approaches?

IV. Analysis and Main findings Conclusions. Discuss trends, anything that stands out after interviews and site visits. Do not make recommendations.

V. Annexes: Persons consulted, image files

Annex 2. Cameroon Case Study

Evaluation of Community Based Approaches at the GEF: Cameroon Country Case Study

Prepared by: Leonard Usongo, Independent Consultant

May 2023

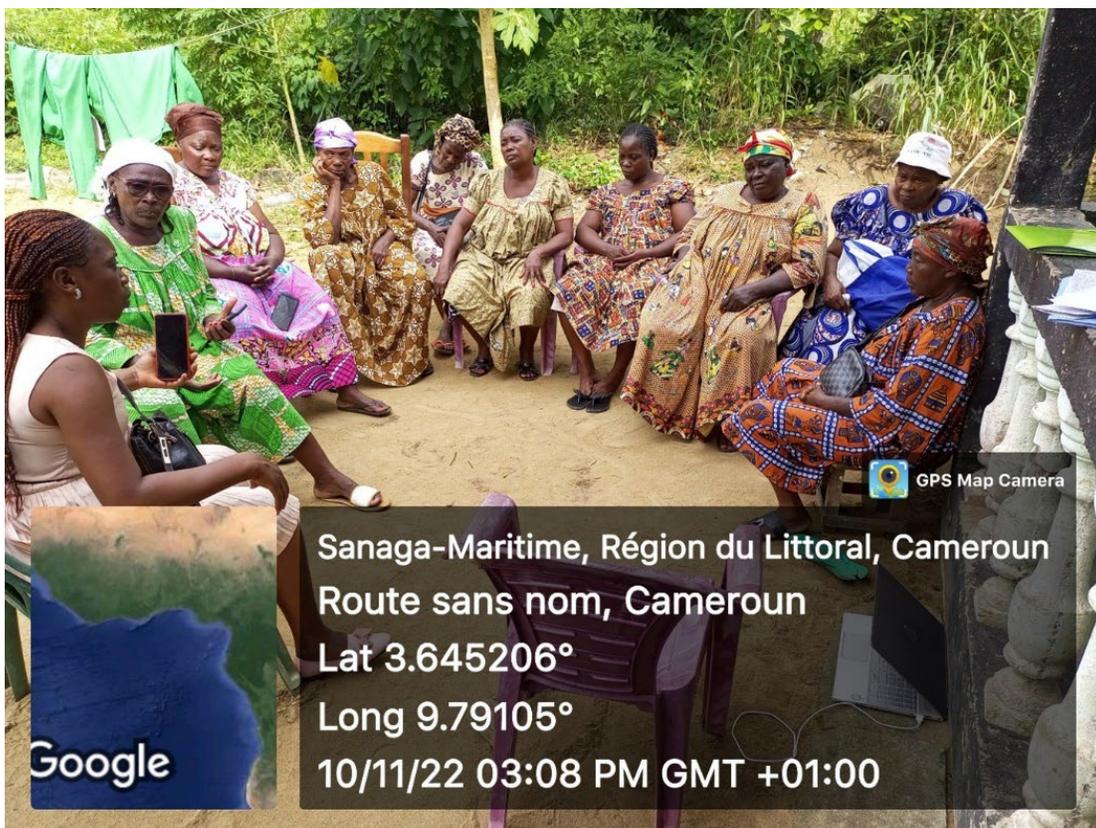


Photo credit: Leonard Usongo

Background

Cameroon, a Congo Basin country, is home to over 7850 plant species belonging to 1800 genera in 220 families; making it one of the most diverse countries in Africa in terms of plant biodiversity (Onana, 2011). Of these, 815 species are endangered (Onana and Cheek, 2011). The Cameroon landscape has different vegetation types, including high rainfall Biafran forest, lowland moist Congolese forest, montane and semi-deciduous forest ecosystems.

According to a 2018 ranking published by the World Wildlife Fund (WWF), Cameroon's fauna and flora biodiversity ranks 21st globally and 4th in Africa. However, this rich environmental potential "is undergoing serious damage from natural or man-made causes such as climate change, drought, floods, desertification, deforestation, multifaceted pollution, coastal and river erosion with many consequences for the well-being of people and the country's economy".

To address this, the government of Cameroon through the 1994 forestry and wildlife laws, introduced the concept of community forest. This was to empower indigenous and local communities derive direct and indirect benefits from forest resources through sustainable forest management. Despite this legal recognition, the appropriation of the concept by the communities remains difficult.

Laws, policies, strategies that support community-based approaches in Cameroon

The selected projects for this case study are all aligned with Cameroon's national priorities, strategies and policies on biodiversity conservation, participatory natural resource management and sustainable development. Cameroon is signatory to United Nations Convention on Biological Diversity (CBD). This Convention provides a global framework for concerted actions on biodiversity with the objective of ensuring the conservation of biological diversity, the sustainable use of its components and the equitable sharing of its benefits.

In order to meet its obligations within CBD framework, Cameroon in 1999 developed its first National Biodiversity Strategy and Action Plan (NBSAP) that was officially validated in 2000. The second National Biodiversity Strategy and Action Plan (NBSAP) was developed in 2012 and was implemented until 2020. The NBSAP 2012 document is still being used pending the writing of document for document for the next implementation phase.

The NBSAP 2 document presents Cameroon's 2020's biodiversity mission which can be summarized as follows: 'To take all necessary measures to reduce the rate of biodiversity loss at the national level and to ensure the long term sustainability of key ecosystems, in order to ensure that, by 2020, biodiversity and other ecosystem services continue to contribute to the creation of wealth including through mainstreaming, capacity building and financing of biodiversity-related activities through strong partnership, participation of indigenous and local communities and a focus on gender issues, as a safeguard for future generations'.

Target 16 relates to CBA, by 2020, benefit sharing from payments for the sustainable use of biodiversity, genetic resources and associated traditional knowledge contribute to increased incomes for local communities.

The GEF funded projects also aligned with other national strategy documents such as the national REDD+ strategy, Growth and Employment Strategy Paper (GESP), national development strategy with 2030 development vision (NDS30) and other sectoral documents for the forestry and wildlife sectors. These strategic documents in one way or the other address CBA at least in their conception.

The legal basis for environmental protection in Cameroon is the 1996 framework law on environmental management and regulatory instruments in key production sectors including the 1994 Forestry, Wildlife and Fisheries Laws. Other important legal instruments include the 2003 Biotechnology Law, 1998 Water Law, 2001 Mining Code and 2011 Framework Law. The 1994 Forestry, Wildlife and Fisheries laws went further to recognize and incorporate the concept of community forestry in chapter 2, article 34 and section 2 of the document. In Article 3 of the implementing decree, a community forest is defined as a forest in the non-permanent forest domain, which is the subject of a management agreement between a village community and the forest administration. The management of this forest is the responsibility of the beneficiary village community, with the support or technical assistance of the forest administration. This law recognizes the importance of communities in the management and conservation of biodiversity.

Institutionally, the ministry of environment, nature protection and sustainable development (MINEPDED) is the national focal institution for biodiversity conservation. Meanwhile, the Ministry of Forestry and Wildlife (MINFOF) is in charge of protected areas and wildlife management. The national network of protected areas consists of national parks, wildlife reserves, wildlife sanctuaries and zoos. In order to address the needs of indigenous and local communities living next to protected areas, MINFOF created community hunting zones and community forests. There are also other sectoral ministries responsible for implementation of the National Program for Conservation and Management of Biodiversity in Cameroon (PCGBC).

Other community management mechanisms include sacred forests and community land management codes.

The projects that were subject of this study are listed in Table below. Within this framework, seven projects were evaluated on CBA, three of which were visited in order to verify project results and impacts, and consult with beneficiary local communities and other field stakeholders on their views on the projects. Projects visited were those already completed at least 3-5 years from the date of current evaluation exercise, allowing for an assessment of the sustainability of project outcomes are project close. Below projects were selected for site visits:

- ◇ A Bottom Up Approach to ABS: Community Level Capacity Development for Successful Engagement in ABS Value Chains in Cameroon (*Echinops giganteus*) (GEF ID 5796)

- ◇ CBSP Conservation and Sustainable Use of the Ngoyla Mintom Forest (GEF ID 4084)
- ◇ CBSP Sustainable Community Based Management and Conservation of Mangrove Ecosystems in Cameroon (GEF ID 3821)

The evaluated projects in Cameroon had community components featured community-based approaches in their implementation.

Portfolio of projects using a community-based approach

To identify projects that were likely to include a community-based approach for the broader evaluation, purposive sampling was used to identify projects from the GEF portfolio in the biodiversity, land degradation, climate change adaptation focal areas and related multi-focal area projects. Projects that were explicit in their use of a community-based approach in their title, objectives, or activities were selected. Based on this sampling a portfolio was identified for Cameroon and included seven projects, four ongoing and three completed (Table 1). Components and activities that demonstrate a community-based approach are described in Table 2.

Table1: GEF project portfolio evaluated in Cameroon

GEF ID	Agency	Focal Area	Status	GEF Phase	Project Title
10287	WWF-US	Multi Focal Area	Ongoing	GEF – 7	Integrated management of Cameroon’s forest landscapes in the Congo Basin
9604	UNEP	Multi Focal Area	Ongoing	GEF – 6	Removing Barriers to Biodiversity Conservation, Land Restoration and Sustainable Forest Management through Community-based Landscape Management – COBALAM
5796	UNDP	Biodiversity	Completed	GEF – 5	A Bottom-Up Approach to ABS: Community Level Capacity Development for Successful Engagement in ABS Value Chains in Cameroon (Echinops giganteus)
5210	UNEP	Biodiversity	Ongoing	GEF – 5	Sustainable Farming and Critical Habitat Conservation to Achieve Biodiversity Mainstreaming and Protected Areas Management Effectiveness in Western Cameroon SUFACHAC
4739	UNEP	Biodiversity	Ongoing	GEF – 5	Participative Integrated Ecosystem Services Management Plans for Bakassi Post Conflict Ecosystems (PINESMAP-BPCE)
4084	World Bank	Biodiversity	Completed	GEF – 4	CBSP Conservation and Sustainable Use of the Ngoyla Mintom Forest
3821	FAO	Biodiversity	Completed	GEF – 4	CBSP Sustainable Community Based Management and Conservation of Mangrove Ecosystems in Cameroon

Table 2. Project objectives, detail on community-based approaches in selected projects

GEF ID	Objective	Components using community- based approaches	Community based approaches described in project documents
10287	The project's objective is to strengthen the integrated management of Cameroon's globally important forest landscapes in the Congo Basin to secure its biological integrity and increase economic and livelihood opportunities for forest dependent people.	<p>Component 3: Advancing sustainable forest management (SFM) through non-timber forest product (NTFP) and hardwood value chains</p> <p>Component 4: Increasing benefit generation from biodiversity through sustainable tourism development</p>	At the start of the ProDoc stage of project development, objectives and a methodology for stakeholder engagement were elaborated ⁷ based on several main steps or components: (i) a kick-off workshop to launch the ProDoc development process; (ii) national and local (or site level) stakeholder consultations; and (iii) a validation workshop/process.
9604	Improved biodiversity conservation and community livelihoods in three landscapes in the Western High-lands (WHC) and South Region of Cameroon, through participatory community-based land-scape management in the WHC and the development of enterprises based on responsible resource use.	Component 2: Capacity and incentives development to support HCVF/KBA management and SLM and SFM deployment	During the PPG, indigenous peoples and local communities represented by the village Chiefs have been consulted and involved in all project validation activities. These community representatives will continue to be engaged through face-to-face community meetings, individual interviews, and workshops. Representative will be also included in the Project Steering Committee and the Project thematic Technical Working Groups.
5796	Selected indigenous and local communities in Cameroon participate successfully in ABS-compliant value chains based on genetic resources (GRs) and/or associated traditional knowledge (aTK).	<p>Component 1. Strengthened community capacity on ABS and successful engagement in target value chains in Cameroon (<i>Echinops giganteus</i>)</p> <p>Component 2. Incorporation of ABS-compliant value chains and dissemination of lessons learned in national legislation and regulatory frameworks in Cameroon</p>	The project's approach is a bottom-up approach to ABS by involving people in project design and capacity building at the community level for successful engagement in ABS value chains in Cameroon.
5210	To promote biodiversity conservation and mainstreaming in production landscape at Bakossi Banyang Mbo area of Cameroon through sustainable farming practices that improved community livelihood options and commercial opportunities.	Component 2. Sustainable Farming practices and promotion of communities' livelihood and biodiversity conservation through IESMP	This project has adopted a methodology based on conservation awareness and education, and the involvement and support of local stakeholders. The activities were previously validated by the communities. But the project design did not follow the participatory approach

4739	Reduce pressure on natural resources from competing land use in wider landscape	Outcome 3.1: Enhanced cross-sector enabling environment for integrated landscape management	This project has adopted a methodology based on conservation awareness and education, and the involvement and support of local stakeholders. The activities were previously validated by the communities. But the project design did not follow the participatory approach.
4084	The PDO is to improve the conservation and management of the Core Area and improve access to income-generating activities for local communities in the project area.	Component 2 – Design and Implement a Livelihood Support Mechanism (LSM)	This project was based on a review of existing methodologies for similar successful mechanisms, and in close consultation with local stakeholders. Operational procedures will be adopted through a validation workshop with local community representatives as a project activity before the LSM becomes operational.
3821	To ensure long term sustainable livelihoods of local communities living in and around mangrove areas	Outcome 2: Mainstreaming of mangrove management in local development	This project has informed and invited people to a project design meeting. It then informed and supported stakeholder dialogue so that key public and private actors understood what was required for (and committed resources to) sustainable mangrove management and local socio-economic development.

Evaluation methods and approach

Site selection criteria

The project sites were selected by the IEO in close collaboration with the consultant. The following criteria were used: i) intervention typology (type and depth of CBA used in the project design ii) accessibility/seasonality and availability of stakeholders for interviews (including COVID-19 security protocols) iii) balance between sites that are close to major cities and those in more remote areas. Site visits to completed projects with validated final evaluations were prioritized for site visits. Thus the three sites visited (Ngoyla, Mouanko and Mbouda (for the Lebialem communities) were visited. The selected sites are shown in Figure below. The field work was undertaken in November 2023.

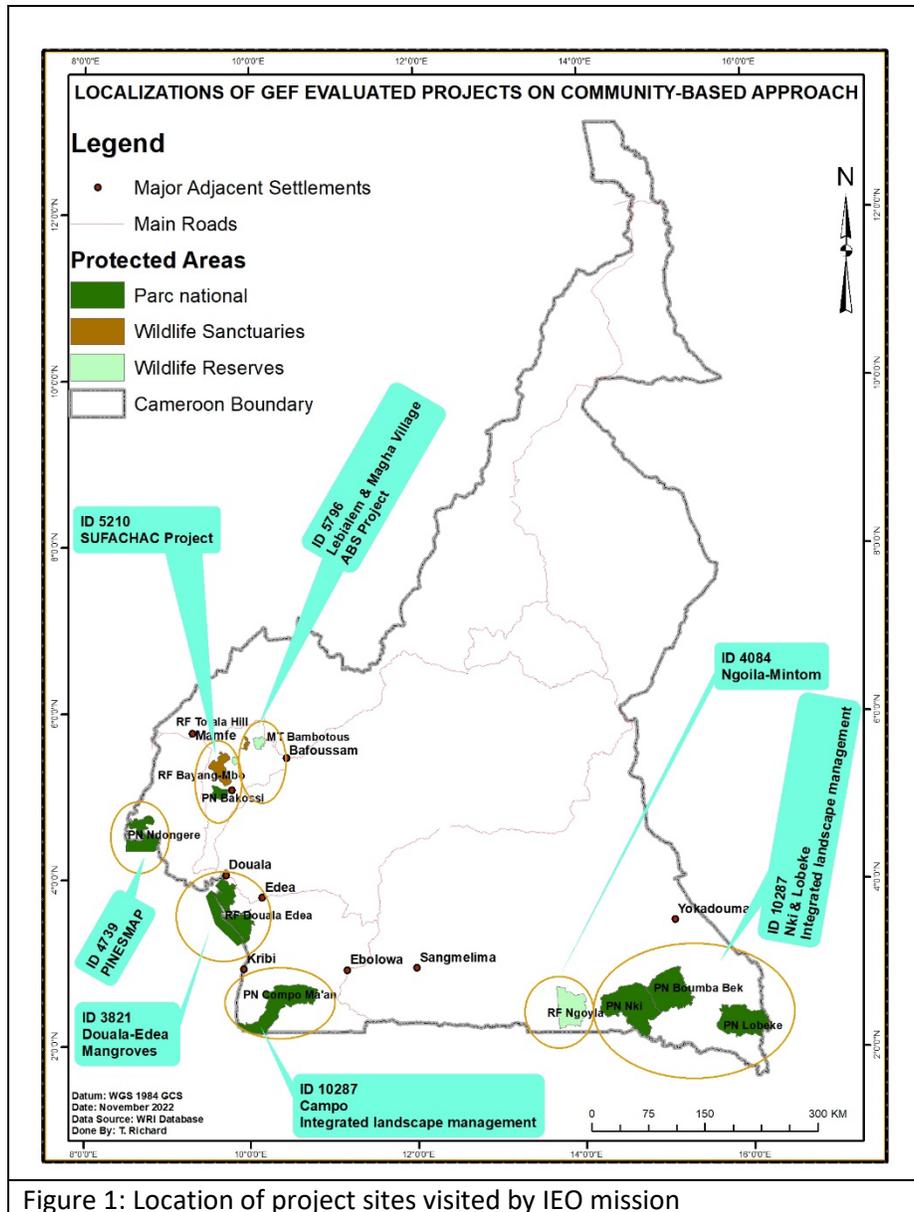


Figure 1: Location of project sites visited by IEO mission

Data collection methods

Document review

The review of project documents was done from the preparatory to the analytic phases of the evaluation. The documents reviewed comprised strategic documents such as government climate and environment strategy, NDS30, REDD+ national strategy, NBSAP, the national GEF portfolio, various project documents made available to the consultant (concept paper, implementation reports, mid-term review and any evaluations). During review process of the

documents, a list of key project stakeholders was compiled and shared with the Evaluation Office.

Key Informant Interviews

The interviews were conducted with various stakeholders at national and field levels. The stakeholders were divided into 3 categories, namely: government (MINFOF and MINEPDED in particular), implementing agencies (UNDP, World Bank, Rainforest Alliance, WWF, FAO, etc.), and implementing partners (CWCS, EruDef, etc.). The survey forms proposed by the Evaluation Office for stakeholders' consultations were reviewed and adjusted to suit the local context. Interviews were conducted in a transparent and participatory manner. In total, 10 government officials were interviewed, four representatives of GEF implementing agencies, two consortium partners from national NGOs and 67 members of beneficiary villages and community-based organizations.

Site visits and community data collection

Priority was given to site visits to closed projects with validated final evaluations, with secondary priority given to site visits to ongoing projects with at least two years of activity.

A combination of methods was used in the field data collection. The following methods were used: i) Plenary group meetings - These meetings were held at each project site visited, bringing together all stakeholders potentially involved in project implementation. Depending on size of the group, focus group discussion meetings were organized in two or three groups per site. One group of women, one group of men and sometimes mixed groups made of women and men. The meetings' objectives were: a) to inform and sensitize stakeholders on the purpose of the evaluation case study b) assessment of their perceptions of the project and their contributions in terms of lessons learnt, benefits and other related information. The agenda and organizational arrangements (including protocol aspects) were designed to optimize time allotted for stakeholders' consultations. Depending on the number of participants, proposed meeting venues were discussed with field project staff.

In total, eleven stakeholders' consultative meetings were held during field site visits divided as follows: two meetings respectively in Mouanko (ID 3821) and Mbouda (ID 4084) and seven in Ngoyla (ID 5796).

Limitations

The IEO mission was limited in the number of sites it could visit due to time constraints, many potential sites, and the dispersion of project sites across the country. Consequently, the case studies do not systematically conduct in-depth analysis to draw causal relationships between all project activities and outcomes, but rather they collect qualitative data (supplemented by quantitative data where available) to gather stakeholder feedback, understand the reasons for success or failure of CBA, and look at sustainability post completion. The site visits focused

primarily on CBA components or activities. IEO relied upon project self-evaluation or independent evaluation reports, complemented by primary data collected by the field team to carry out analysis.

Findings:

KQ 1: How relevant have GEF projects that use community-based development approaches been to the national priorities of GEF recipient countries?

Overall, all projects in the case study portfolio aligned with Cameroon's main sectoral guidelines and policies, and contribute to Cameroon's national priorities in environment, land use planning, forest management, biodiversity conservation and sustainable development. However, after an analysis of the legal framework and review of project documents, it is noted that there are gaps in support for the framework that can be attributed to inadequate technical capacity and knowledge, and understaffing of relevant sectorial ministries to enforce existing frameworks.

The consultations with national stakeholders (government officials, OFP, implementing agencies) and project staff at field level, demonstrated the relevance of CBA in the context of Cameroon. Despite shortcomings of existing legal framework, there were positive results from some of the field projects (ID 9604 and 5796) to promote participatory natural resource management with active engagement of Indigenous Peoples and Local Communities (IPLCs).

Cameroon has set out its development vision and goal of becoming an emerging economy by 2035. This vision shapes national development initiatives and strategies in industrialization, development of the private sector, resource allocation, sub-regional, regional and international integration, partnership and development assistance. The vision also lays the foundation for other key policies, including the second phase of the ESMP for 2020-2027, the Cameroon Economic Growth Acceleration Plan and the national strategy for development of the rural sector (SDRS). These strategies promote integration of the environmental dimension into the various policies and strategies and aim to ensure sustainable management of natural resources including environmental benefits.

In developing GEF projects, the implementing agencies ensure that the projects are aligned with the country's priorities. The main focus is on biodiversity conservation. The project "A Bottom-up approach to ABS: Community level capacity development for successful engagement in ABS value chains in Cameroon (*Echinops giganteus*)" GEF ID: 5387 was in line with NBSAP2 vision. The vision states that by 2035, a sustainable relationship with biodiversity is established for its use and benefits in order to meet the development needs and welfare of local communities, and ecological integrity is preserved through sectoral and decentralized interventions with participation of all stakeholders including local communities. The ABS project contributed in the development of a national framework on benefit sharing and supported the development of a legal framework for APA.

Some of the projects contributed to the achievement of national priorities through various training programs on a wide range of topics. Others contributed to national development objectives by financing of income generating activities such as SUFACHAC and PINESMAP. The conservation and sustainable use of Ngoyla-Mintom projects contribute to biodiversity conservation particularly in the Cameroon segment of transboundary landscape involving protected areas in Gabon (Minkebe) and Congo (Odzala). The Sustainable Community Based Management and Conservation of Mangrove Ecosystems in Cameroon (ID 3821) promoted the creation of community forests within the Atlantic coastal mangrove ecosystems (GCP/CMR/030/GFF project).

KQ 4: Have community-based approaches influenced and contributed to better environmental and socio-economic outcomes?

After a both a review of project documents, followed by site visits to a sample of project sites, the IEO mission had difficulties obtaining concrete evidence of results on the ground. This is primarily due to absence of baseline data upon which concrete monitoring indicators should have been formulated.

However, the different stakeholders, governmental institutions, NGOs and IPLCs interviewed by the mission provided some feedback on changes in the ecological dynamics and wellbeing of the communities associated with GEF financed projects that used CBA. The results of environmental and socio economic components of the three completed projects which were visited by evaluation mission are presented in below.

[Conservation and Sustainable Use of the Nogyla Mintom Forest \(ID 4084\)](#)

Environmental outcomes: Environmental outcomes could not be measured in a robust manner due to the absence of baseline data to determine environmental indicators to. Monitoring indicators for agro-sylvo-pastoral activities such as reduction in hunting and improvement forest vegetation dynamics were not included in the project results framework.

The terminal evaluated reported that that agroforestry activities were developed, while fish, farming and livestock activities were not quite successful. Therefore, the TE found no significant impact in reducing hunting activities by IPLCs. On vegetation impacts, it was difficult to assess the economic gains and contributions to biodiversity conservation.

Social outcomes: Implementation of micro-projects in the agro-pastoral sector should in principle reduce pressure on the forest and therefore contribute to carbon stocks. However, following field visits to the project areas, beneficiary populations from common initiative groups (CIGs) in BAPLET Etekessang and Alliance Albis of Bissobilam indicated that the project did not significantly contribute to improving livelihood of local communities and biodiversity conservation of the forest landscape. This observation should be viewed with caution due to unavailability of project database and baseline information.

Most community members interviewed were unable to provide concrete feedback on project benefits to the communities. However, from a social context, the project contributed to organizational structuring of local actors through the creation of common initiative groups and cooperatives. These groups still formally exist, however they are no longer active.

[Sustainable community management and conservation of mangrove ecosystems in Cameroon "](#)
GEF Code: 3821

Environmental outcomes

A community-based approach was incorporated in the sustainable management of mangrove resources component of the project. The project supported creation of community forest, the Manoka Community Forest covering 2,700 ha and development of simple management plan for the community forest. The project developed a guide for management of community mangrove forests. This document has been published and is a good knowledge product produced by the project for use by other conservation projects. The project funded various training programs covering wide range of disciplines involving beneficiary communities and other important local stakeholders.

The community forests established with technical and financial assistance from the project have tangible environmental impacts by contributing to the increased land area owned by IPLCs and carbon sequestration. However, following their creation, management of community forest is described by stakeholders as costly. [Communities report challenges managing these forests and indicate they need assistance with these costs. Results from field visit confirm established community forests are not fully operational due to inadequate finances, and technical and management problems. This represents an immediate challenge for community forestry in the project area.](#) The weak institutional environment is another factor facing community forestry in the region. Interviews with project team confirmed these identified shortcomings in community forestry. The existence of specific frameworks for protection and management of mangrove forest ecosystems developed by the project demonstrates the government's recognition of the importance and vulnerability of mangrove ecosystems. The framework was developed on a consensual basis following consultations of the different stakeholders. A major activity of the project was production of management tools to promote an integrated and knowledge-based approach for management of mangroves ecosystems. The project contributed to:

- development of a national strategy for sustainable management of mangroves and other coastal ecosystems
- a master plan for research on mangroves and other coastal ecosystems, and a specific information center on mangroves. The center provides information and data on mangroves and coastal ecosystems to policy makers, private operators and other stakeholders operating in mangrove areas
- establishment of multi-stakeholder platforms to enhance inter-sectoral dialogue to coordinate field interventions within mangroves and coastal ecosystems

However, despite the useful tools developed by the project, application of CBA in project implementation strategy has not been adequately reinforced and supported, based on field observations and consultations of beneficiary communities. The training of community members and other stakeholders on the approach was limited, and the follow up and monitoring by the project team was also limited. The project contributed to gazettement of Douala-Edéa national park and the classification of Rio Ntem estuary as Ramsar site. It also contributed to the creation of communal forests in Bamouso and Ekondo-Titi. The gazettement process was participatory with involvement of local communities in delimitation of future boundaries of the protected area and surrounding multiple use zones that included community farmlands etc.

Gazettement of Douala-Edea national park and designation of RAMSAR site are direct project also contribute to biodiversity conservation of fragile and highly threatened mangroves ecosystems.

Social outcomes

According to the project team, the project's approach to improving social or economic outcomes of women and men included building their capacities in managing mangrove resources for biodiversity conservation and livelihoods. The establishment of communal forest is an important socio-economic outcome since revenues generated from its exploitation directly benefit the local communities and economy. Community forestry enables communities to dispose of and use the resources of their territory in a sustainable way. The project financed various income generating activities to reduce dependence by local communities of mangroves and wildlife. The socio-economic outcomes are linked to project's development objectives to ensure long-term sustainability of livelihoods of local communities living in mangrove areas.

CBA is perceived by local institutions and communities as a tool to increase participation of all stakeholders, especially rural communities in natural resource management processes and sustainable management of mangrove ecosystems in particular.

A "learning by doing" training on sustainable fishing techniques, sustainable timber harvesting and mangrove restoration was carried out by the project with participation of over 100 community members. Over 2,5 hectares of degraded mangrove areas were restored with participation of the local communities. Training modules were developed by the project in business plan development. The communities of Lobe-Mbeka, Eboundja, Mouanko and Canto Bakoko participated in the training which brought together 74 local resource persons including 49 women. The project team indicated CBA was considered during the design of the project to enable execution of activities such as gazettement process and establishment of community and council forests which required participation of local communities. Other important factors taken into consideration during project development were the non-existence of legal and policy framework to support management of critical ecosystems such as mangrove ecosystems, current unsustainable practices of mangroves exploitation, the weak integration of local

communities in local development planning framework and inability to mainstream community-based approaches for sustainable use and management of mangrove forests and coastal ecosystems.

[A Bottom-up approach to ABS: Community level capacity development for successful engagement in ABS value chains in Cameroon \(*Echinops giganteus*\) \(GEF ID: 5796\)](#)

Environmental outcomes

The ABS project was designed with a bottom-up approach as presented in the project title. During consultation with GEF implementing agency UNDP and other project stakeholders notably CBOs, traditional rulers, cooperatives and local associations, stakeholders indicated that the success of the project was in part due to the wide range of stakeholders the project mobilized. The project was implemented in Lebialem Division and Magha-Bamumbu (Wabane sub division) and Lewoh (Alou sub division). Since 2016, the project area is going through socio political crisis with minority Anglophone communities demanding more autonomy from the central administration. The crisis led to displacement of some activities such as capacity-building workshops out of the project area. In fact, the socio-political context has significantly hampered implementation of field activities.

Notwithstanding, of all the 7 projects evaluated, this project had the most demonstrable results associated with the CBA approach in Cameroon. A significant achievement of this project was its contribution in the elaboration of law N° 2021/014 of 09 July 2021 governing access to genetic resources, their derivatives, associated traditional knowledge and the fair and equitable sharing of benefits arising from their use.

This law aims among other things the following:

- ◇ support valorization of genetic resources and associated traditional knowledge in order to encourage their conservation and sustainable use
- ◇ regulating access to genetic resources, their derivatives and/or associated traditional knowledge
- ◇ ensure involvement of IPLs in sharing of benefits arising from use of genetic resources or associated traditional knowledge
- ◇ contribute to improving the living conditions of local communities
- ◇ improve the contribution of biodiversity to development and human well-being

Considering the above, the ABS project contributed to laying a good foundation for sustainability and institutionalization of benefit sharing and conservation of genetic resources. Local participation and ownership of project activities was established through local cooperatives for marketing of *Echinops*. The project lacked adequate funding and a project exits strategy which impacted sustainability in terms of local ownership and institutionalization of results and lessons learnt.

Social outcomes

The IEO mission held meetings with ABS project stakeholders and in particular His Royal Highness and Senator Lekunze in his dual capacity as a Senior Chief from the project area and senator. He is also the chairman of the local development committee made up of several villages in the project area and main source for production of *Echinops giganteus* and *Mondia whitei*.

HRH Lekunze and other community leaders highlighted project benefits to the communities, setbacks and lessons learnt. Below is a resume of main points from the consultation meetings:

Positive aspects for the local communities

- i. The project generated revenues from sales of the species thereby contributed to improving household economies and wellbeing of the communities. A kilogram of *Echinops* was sold at 2700 FCFA local farmers. The money was redistributed in different percentages to the local cooperative, local development council and local producers. The local development council invested money received from sales of *Echinops* in social projects such as road construction, health centers, etc. Although no statistics were presented, the respondents indicated revenues generated from *Echinops* contributed to construction and equipment of a health center in Magha village
- ii. By redistributing revenues generated to various local beneficiaries, the project contributed to establishment of a local benefit sharing mechanism
- iii. Although the project did not develop value-chain for the species,²⁰ project activities contributed to local team building, social cohesion and community participation in development projects. Community member during interviews indicated all social strata (youths, men, women, etc.) participated in project activities
- iv. The setting up a local cooperative to coordinate sales of the species is proof of local ownership and active engagement in *Echinops* value chain
- v. Two nurses were trained by the local development councils with funds received from *Echinops* sales. The ABS project provided some medical equipment to the local health center
- vi. The community leadership encouraged organizational development, cooperation and responsibility in managing the income generated by the project

Despite above positive outcomes of the project, certain constraints were enumerated which were later confirmed during site visit.

²⁰ This was reportedly due to the short time horizon of the project (as perceived by community members). Groups were formed and supported, but there was insufficient time for them to test the tools they developed.

- i. There were challenges associated with a difficult enabling institutional environment mainly due to a lack of a shared vision on project implementation and deliverables between the local administration represented by the municipal council and the village development committee responsible for execution of community projects funded through revenues generated from *Echinops*.²¹ The differences between both structures could have been avoided in the design of project's governance structure. Secondly, the respondents talked about interference of the municipal council which wanted to manage project revenues from *Echnops* trade
- ii. *Echinops* species cannot be domesticated following several field attempts by local farmers. The species grows better in the wild. Further research is needed to determine whether the species can be cultivated by local farmers

Additional feedback from communities and project stakeholders:

- i. There was a request to increase and replicate the lessons learned and best practices of the ABS project in the form of community participation and local benefit sharing mechanism in future interventions
- ii. Stakeholders noted Insufficient capacity building of cooperative staff, local farmers and other local stakeholders in areas such as agroforestry techniques, harvesting and processing techniques, and management of local community enterprises which constrained the potential benefits of the project

KQ 5: What factors have influenced the usefulness and value-added of community-based approaches to the performance of projects using them?

The combination of document analysis and interviews with IPLCs and other stakeholders made it possible to identify critical factors which determine and influence CBA integration and application in GEF funded projects in Cameroon. Results of this analysis clearly demonstrate **that projects based on local initiatives, implementation approaches, strategies involving IPLCs and other local stakeholders are quite successful.** Likewise, **consideration of capacity building activities, establishment of multi stakeholders' consultative platforms and other co-management management instruments, programmatic synergies between GEF funded projects and other projects, baseline reference data are equally important for success of 'CBA modelled' projects.** In this regard, programmatic synergies were created with other development partners such as the World Wildlife Fund (WWF), National Participatory

²¹ The conflict between the municipal council and village development committee triggered tensions and mistrust between two important local governing structures responsible for economic and social development of their community. The social implication of such conflicts is demotivation of the people to support development projects.

Development Program (PNDP), USA based Rainforest Trust and the International Tropical Timber Organization (ITTO) to support various initiatives with similar conservation and sustainable development objectives.

Analysis of the data and interviews with local communities and organizations at the local level highlighted the factors that influence added value(s) of community-based approaches to CBA project implementation.

It was found **that local actors do not always identify with the design of projects**. More often than not, the IPLCs were invited to workshops to present the project design and objectives to them than ensuring better understanding of CBA concept and participation in project implementation. Such situations do not allow IPLCs to be more engaged and take ownership of the projects. This is the case with the GEF ID 4084 project. For ID 5796, local interviewees indicated that decisions notably on strategic decisions on project orientations with management implications on the ground were taken at the national level without consultation of local project stakeholders. As part of lessons learnt, the local stakeholders proposed for future projects, strategic decision making should involve grass root consultations in order to build local legitimacy and ownership in the context of CBA.

The strategy of involving local stakeholders is also a major issue in successful implementation of CBA projects. Factors that influenced relatively good performance of ABS project (ID 5796) was involvement of local leaders in project implementation. **The engagement of local leaders and resource persons accelerated achievement of project results.**

In the framework of certain projects, the involvement of local authorities is more encouraged and this seems to catalyse implementation of field activities. These observations were made during stakeholders' consultations of ID 5210 and 4739 projects. However, in the case of ID 3821, according to FAO GEF implementing agency for this project, the involvement of technical departments of MINEPDED and MINFOF through letters of agreement facilitated implementation of field activities and participation of local stakeholders.

Within the framework of project 3821, the participation of civil society, including three national NGOs, namely Cameroon Wildlife Conservation Society (CWCS), Cameroon Ecology (CamEco) and the Organization for Environment and Development (OPED), in project implementation accounted to some extent to success in the implementation of project activities. **These organizations have good understanding of the local context and were instrumental in facilitating participation of local communities.**

The lack of staff with capacity to guide and facilitate community-based approaches was identified as a major challenge faced by GEF ID 4084 where the CBA approach was seen as inadequately implemented due to the lack of proper staffing and experience.

However, it was noted that **projects that build on successful local initiatives or activities were more successful**. In this respect, a good example is ID 5796 project and to some extent GEF ID

4084. In fact, the project activities that brought results were those that relied on agroforestry, a practice that was already underway in the Ngoyla area (ID 4084). For ID 5796, the project relied on the exploitation of the genetic resource (*Echinops giganteus*) which was already being practised by the local communities.

The implementation approach is also a key factor to guarantee success of CBA in projects. **Following the principles of the free, prior and informed consent (FPIC) requirements is a good entry point to involve this important stakeholder group who were a gateway to project implementation** in Cameroon. This is because FPIC mandates consultation of the IPs who are key local actors and other vulnerable groups. In the case of project 4084, the activities did not follow the IPLC principles despite the fact that this project was dealing with IPLCs. The approaches were not culturally appropriate at the beginning with lessons learnt at each project phase for improvements.

The project stakeholders felt that due to the time required to ensure sustainability of project actions, monitor project impacts using theory of change, the **current project timelines were too short to see results.**

Capacity building is a critical factor in the implementation of CBA projects. For ID 5796 project, the lack of capacity building of local resource persons in various aspects of domains such as value chain, design, implementation and management of community projects, etc., was a major constraint. Most expertise for research and certain activities were sourced externally with little effort to train and empower local resource persons. Local respondents said, insufficient capacity building and participation of community-based organizations (CBOs) in project implementation hindered timely execution of field activities. The same observations apply to ID 4084 project. Insufficient capacity in livestock and fish farming techniques by beneficiary IPLCs contributed to limited impacts of livelihood activities on the ground.

The benefits of project implementation are not always tangible and visible on the ground. In the case of ID 5796 project, communities noted the absence of concrete material benefits from the project. From inception, the local communities indicated that there was an agreement by project management to handover at the end of the project certain equipment such as motorcycles and wheelbarrows to the local cooperative. For some reasons the equipment was not handed to the communities. The communities were discontented by project's decision not handing over the equipment. It is difficult to predict long term implications of such decisions on future projects in the area.

Multi stakeholders' collaboration and programmatic synergies catalyse project implementation and economy scale. In the case of ID 3821 project, through collaboration with regional Central African Forests Ministers' Commission (COMIFAC) shared lessons learnt and capitalized its experience in sustainable management of mangroves with "sister" project in the Republic of Congo (GCP/PRC/007/GFF, concomitantly funded and implemented by GEF. The project developed programmatic synergies with technical partners such as the World Wide

Fund for Nature (WWF), the UNDP, USA based the Rainforest Trust foundation, and the International Tropical Timber Organization (ITTO) contributed to project results and sharing of common vision on sustainable mangroves management. The project team indicated that, various partnerships and programmatic synergies led to revitalization of two existing multi-stakeholders'/inter sectoral consultative platforms on mangrove management in Rio del Rey and Rio Ntem zones of Cameroon's estuary. The multi stakeholders' platforms contribute to information exchange and collaboration to promote protection and sustainable management of mangroves and coastal ecosystems.

The CBA through the different platforms has facilitated mechanism of for information and knowledge sharing among the different stakeholders, local administration, NGOs and community-based organisations (CBOs) involved in sustainable mangrove management. The platforms have enabled members of each stakeholder group to be more involved in sustainable management of mangroves and management of conflicts related to natural resource use.

The participation of minority groups is also an important factor in achieving project objectives using CBA. These actors are highly dependent on natural resources for their livelihoods. Involvement of women, youth and local people in project implementation is also important.

The sustainability of the project in terms of local ownership and institutionalisation of project results and lessons learned are better guaranteed when there is adequate funding and better worked out exit strategy. This is the case with ID 5796 project whereby due to insufficient funding there was inadequate appropriation of project results. From consultation of the different stakeholders, general speaking, implemented projects require more funding and time generate transformative impacts both on the environment and social aspects including perceptions and support from local communities.

ID 5796 project due to limited funding, could not carry out research on *Echinops* domestication, value chain and other studies to ensure economic spin-offs from exploitation and marketing of the species.

KQ 6: To what extent are the results of GEF projects that use community-based approaches sustainable?

A project is considered sustainable when the continued use of its results can be ensured after the completion of the project. Therefore, in the context of the evaluation of GEF projects, the sustainability of the approach is defined as the extent to which the results of the application of the approach are assured after the completion of the project implementation.

To this end, the various projects implemented benefit from a monitoring and evaluation component that ensures the capitalization of lessons learned. However, some projects such as ABS supported community level capacity development with active engagement of local

communities in *Echinops giganteus* value chains. The ABS project contributed to the development of a regulatory framework and structuring of communities. But beyond that, this project has made it possible to set quotas for the distribution of revenues from the exploitation of genetic resources, even though it was limited to the training and implementation of tools.

The Sustainable Community Management project (ID 3821) contributed to empowering local communities of Manoka through community forestry despite identified management challenges of community forests. The project has developed various management tools to promote community forestry and best management practices. However, the site visits highlight the need to accompany communities a few years after the adoption of the tools for better appropriation and greater sustainability.

The Conservation and Sustainable Use project in Ngoyla Mintom (ID 4084) provided small grants to communities for agro-pastoral activities. The Common Initiative Groups (CIGs) that benefited from the micro-grants for the most part stopped their activities once the project ended. The micro-grants offered concrete financial assistance to CIGs and boosted cocoa production and banana plantations of the communities. By contrast, interviewees said the results were not the same for livestock and fish farming projects. One of the lessons learnt from small grants scheme is necessity for training of IPLCs and beneficiary CIGs in various domains, fish farming, agriculture, livestock management etc. It was observed that micro projects were relatively sustainable in areas where beneficiary groups were well trained. However, during site visits, most of the micro projects were found to have little transformational impacts on livelihoods for the communities.

Replication of best practices and successful models are important elements of sustainability. In the context of GEF projects, the replication approach refers to lessons and experiences from the project being used to design and implement other projects. Replication can be of two types: replication itself which is application of lessons and experiences from a project to other locations within the project area. Scaling up refers to the application of lessons and experiences on a larger scale in the same region but with increased financial inputs from other sources. As part of the ABS project, a document on lessons learned and good practices was developed. However, this document is not widely disseminated to the general public.

KQ 7: To what extent are there tradeoffs or tensions between environmental objectives and economic needs of people living in project areas? Does this affect the sustainability of interventions using community-based approaches?

[Conservation and Sustainable Use of the Ngoyla Mintom Forest. GEF ID 4084](#)

For the GEF ID 4084 project, the Livelihood Support Mechanism (LSM) has been implemented to support the livelihoods of IPLCs. The activities of this component aim to improve the livelihoods of these stakeholders. The activities included agroforestry, fisheries and livestock production. In principle, livestock and fish farming are meant to produce animal protein to make up for the protein produced by livestock alone. However, if the activities are unsuccessful, the communities turn back to the pre-project activities, such as hunting and bush meat trade.

In relation to cocoa-based agroforestry activities, the community initiative groups funded had an impact on production and improved sources of income. However, this activity ultimately competes with biodiversity protection in case of inadequate land use planning.

As a result, tensions between natural resource managers (MINFOF) and local communities remained perceptible. The compromise to reverse current trends within forest dependent communities, is to initiate income-generating activities adapted to local context with long term assistance.

[Sustainable community management and conservation of mangrove ecosystems in Cameroon \(GEF ID 3821\)](#)

The exploitation of mangroves is a major source of income to local communities. It is therefore important for the project to develop tools promoting sustainable management. The tools developed by the project team include management frameworks, protected areas management and forest landscape restoration. In the context of this project, CBA supported stakeholders' consultations leading to creation of Manoka community forest and gazettelement of Douala-Edéa National Park. However, these activities conflict with the exploitation of mangrove resources notably wood harvesting as fuelwood and artisanal fishing. The CBA approach made it possible for the project to integrate local communities living in mangrove areas in local development planning to avoid conflicts in resource use. The lack of alternatives to economic development opportunities other than fishing, fish smoking and exploitation of mangrove resources were major barriers in project implementation.

According to the implementing agency, CBA is a good approach but must be supported by sustainable financing mechanism(s) without which environmental objectives will be hindered by locally driven economic and community livelihood activities.

[A Bottom-up approach to ABS: Community level capacity development for successful engagement in ABS value chains in Cameroon \(*Echinops giganteus* and *Mondia whitei*\) GEF ID: 5387](#)

The exploitation of *Echinops* and subsequent revenues generated from trade in the species contributed to reducing potential conflicts between communities and forest administration. The local communities unsuccessfully experimented with domestication of the species. The project activities in the initial phase were limited to awareness raising phase, capacity building, mobilizing local beneficiary communities and support to the elaboration and adoption of the law on genetic resources. There are opportunities to further invest in value chain of the species. This will provide more tangible results and lessons learnt on conservation and development values of such a project.

Crosscutting: Gender and Inclusion

An analysis of the constraints related to achievement of project results showed that IPLCs were not generally involved in project design (GEF ID 4804). Project stakeholders indicated this led to a lack of activities adapted to their context and insufficient funding to support co-management initiatives. Interviews with local NGOs indicated limited funding to community actions. IPLCs interviewed in for this project indicated they saw a drop in hunting returns and therefore exerted greater hunting efforts over the years for bush meat. Furthermore, IPLCS indicated that the short lifespan of the project did not allow for sufficient time for them to become familiar with the project's vision, strategy and implementation activities.

In terms of gender, the findings are mixed. In GEF ID 3821 women were involved at all levels of the project although to varying degrees. At the community level, specific activities targeted women and youths as the main beneficiaries especially income generating activities. Results from field analysis showed that women are active in fish smoking and trade. They are also involved in mangrove exploitation as fuelwood for domestic use and fish smoking. The latter are well structured and dynamic. This explains why the project invested in training women in mangrove exploitation techniques, improve smoking techniques and awareness raising against illegal and unsustainable exploitation of natural resources. In GEF ID 5796 gender was well taken into account during the design phase of the project, but during implementation, attention to gender was impacted by the security situation in the area. This explains the reported poor results of gender mainstreaming in project during implementation. The project did support women's associations within value chain of *Echinops giganteus* and *Mondia whitei*. Women are represented in the local cooperative responsible for marketing of the species.

Main Findings

Most of the projects evaluated seek to reconcile conservation and sustainable development.

This demonstrates government's political engagement to ensure biodiversity conservation through protected areas and other initiatives contribute to livelihood of surrounding local communities.

From a review of documents of various projects, the **absence of baseline reference data is a problem for end-of-project assessment**. None of the projects evaluated carried out baseline studies to monitor long-term socio-economic (education, income, livelihoods, etc.) and environmental (size and condition of the impacted areas).

The CBA approach is highly relevant for environment projects in Cameroon, aligning with national priorities with a focus on biodiversity conservation, in addition to national strategic programs such as the Growth and Employment Strategy Paper (2035), national REDD+ strategy etc. Alignment with legislative and regulatory frameworks was seen a critical factor for success of the approach. Challenges for implementing the approach at the national level are associated with capacity and resources.

The GEF projects examined integrated CBA to varying degrees in project design and implementation. While many of the projects adopted participatory approaches in design and

implementation, some weaknesses in the approach were identified including insufficient consultation and coordination with local communities (especially IPLCs) and the perceptions that decision making was occurring at a central, rather than local level.

CBA contributed to the achievement of environmental objectives of the projects. Robust data on broader environmental impacts associated with the approach is limited, but there are reports from some communities about positive environmental outcomes associated with the approach. Some other examples of successful environmental activities implemented by the projects using CBA include capacity building of local communities, creation of community forests, and co-management of protected areas. Beyond direct environmental benefits, there were successes in contributions to national policy formulation.

Project impacts are limited once the projects phase out. The sustainability of CBA was related to the following factors: development of exit strategies which emphasize building an enabling institutional environment (this includes training of local management institutions to support collaborative management); include staff expertise; in-depth, inclusive multi stakeholders' consultations; ex-ante analysis of socio-cultural dynamics; and building on previous experience/existing community institutions.

Evidence on socioeconomic co-benefits associated with CBA projects was limited, but there is potential to improve wellbeing. Field visits revealed that community forestry and community wildlife management do have potentials to generate incomes for local economies for jobs creation, welfare and empowerment of the communities in terms of access rights and management of natural resources but evidence was anecdotal.

Project timelines were seen as an impediment to achievement of results. Capacity building, awareness raising, and support for institutional development takes time, sometimes more time than what is allocated for project implementation. Stakeholders felt that results from CBA projects require longer time horizons.

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Annex 1: Persons consulted

Name		Organization
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ARRAH Emanuel (provenance buéa)	Government official	MINEPDED
JOUOGUEP Valerys	Government official	MINEPDED
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Mr GUENDOH Sanga		MINEPDED
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Dr DINGOM Aurélie Taylor		MINEPDED
Dr ZEH-NLO MARTIN		PNUD
Mr ADAMA Saidou		MINEPDED
Dr NZOOH Zacharie Ndogmo		WWF
Mr ETOGA Jean Marie)		WWF
ALBERT Atangana Francis		World Bank
Mr WAOUO Jacques		MINEPDED
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Julie (responsable suivi évaluation et apprentissage)		Rainforest Alliance

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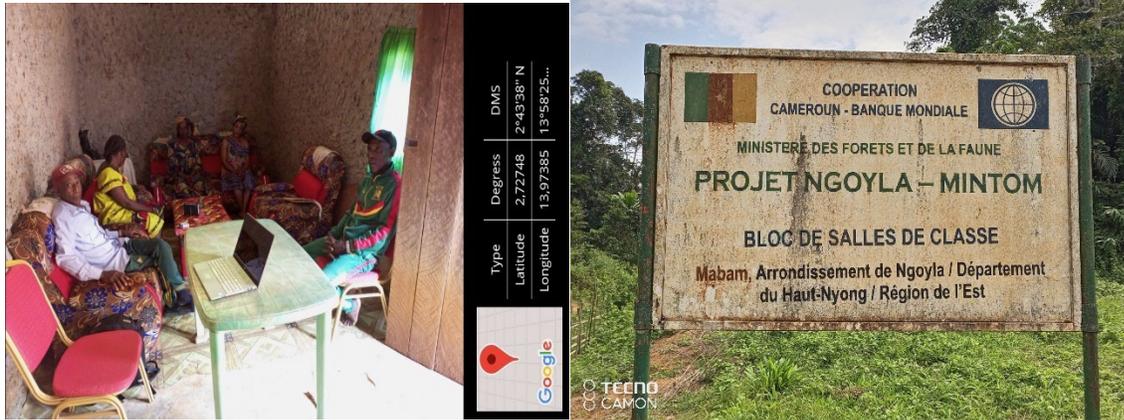
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EKOLLE Jacques
LAISIN Bruno
IGRI Jean
FOKAN
NGALLE Herve
NDOUMBE Alexandre
MINDJONGUE Blaise
KWEDI KWIN Daniel
ESSOME ESSOME Pierre

NDELLE Lizette
MZOYEM Joyceline
YCNISE Emelt
KWEDI Penda
Location: MOUANKO 11/11/2022
Name of participant
MOUSSONGO Jacqueline
ANGA Agnes
MOUDOUTHE Hedire
MISSONBA Dora
NGOUE Erna
MOUDEMA Annette
MBOUMDATH Helene
ENGUEDJE Alvine
BONDINGUA Petroline
NDELLE Lizette
EBEGNE Augustine

Location: Mbouda 11/15 and 11/16
Name of participant
TANDUWN Landnus
FOLLAH Andrees
EKENG Mariana
EKENG Angeline
MOTANJONG Denis Atoh

Annex 2: Images





Type	DMS
Degrés	2°35'48" N
Latitude	14°1'38" ...
Longitude	14,02734



Type	DMS
Degrés	2°41'18" N
Latitude	14°0'16" ...
Longitude	14,00456



Type	DMS
Degrés	2°41'18" N
Latitude	14°0'16" ...
Longitude	14,00456



Type	DMS
Degrés	2°35'48" N
Latitude	14°1'38" ...
Longitude	14,02738



Type	DMS
Degrés	2°37'51" N
Latitude	14°1'38" W
Longitude	14,01907



Type	DMS
Degrés	2°35'48" N
Latitude	14°1'38" ...
Longitude	14,02737



Sanaga-Maritime, Région du Littoral, Cameroun
 Route sans nom, Cameroun
 Lat 3.645206°
 Long 9.79105°
 10/11/22 03:08 PM GMT +01:00



Mouangko, Région du Littoral, Cameroun
 Route sans nom, Mouangko, Cameroun
 Lat 3.640672°
 Long 9.786264°
 11/11/22 10:24 AM GMT +01:00



Annex 3. Indonesia Case Study

Evaluation of Community Based Approaches at the GEF: Indonesia Country Case Study

Prepared by: Kate Steingraber, GEF IEO; Rodd Myers, Dala Institute; and Mariana Silvana Moy, Independent Consultant

April 2023



Community-rehabilitated forest outside of protected area in Cihajawar, supported by GEF ID: 3279. Photo credit: Kate Steingraber

Background

Indonesia is a mega biodiverse country rich in natural resources, which are often the source of conflicting land claims by communities, the state, and private enterprises. Community-based approaches to environmental conservation and restoration are often seen as a way to (a) mitigate some of these conflicts (b) produce meaningful socio-economic results for community members and (c) improve both the immediate and long-term environmental results of projects. While a popular contemporary approach to environmental projects in Indonesia, the extent to which projects are community based varies considerably, with few effective laws in place to ensure the benefit-sharing, procedural participation, and recognition, of local communities and especially Indigenous people.

Laws, policies, strategies that support community-based approaches in Indonesia

Statutory mechanisms

Indonesia's regulatory environment is complex and overlapping. There are several regulations that relate to community-based approaches in the context of GEF programming, however, they tend to be context specific and often do not relate to the ways that people may participate, but rather in how they can benefit. For example, the inti-plasma oil palm scheme dictates that local communities must maintain 20% of oil palm plantation areas. In practice, communities often have little control over the costs of inputs and sales, nor over the ways in which plantations are managed (Myers et al. 2015). Efforts to legislate the ways in which benefits from carbon sales are shared have also been challenged by bureaucracy (Setyowati 2021; Dyarto and Setyawan 2021).

One example of a community-based approach in Indonesia is the Community-Based Forest Management (CBFM) program, which aims to involve local communities in the management and conservation of forests. Under this program, communities are granted legal rights to manage and use forest resources, and they are given support and training to develop sustainable forest management practices (Table 1).

Table 1. Arrangements for HKm, HD and HTR social forestry schemes

	Community forests	Village Forests	People's Planted Forests	Partnership Forest	Customary Forest
	Hutan Kemasyarakatan (HKm)	Hutan Desa (HD)	Hutan Tanaman Rakyat (HTR)	Kemitraan Kehutanan	Hutan Adat (HA)

Scope	Group or cooperative use rights over: - Timber from planted trees only, in Production Forest - Non-timber forest products. - Environmental services.	Village management rights over: - Timber from both natural and planted forest, in Production Forest areas. - Non-timber forest products. - Environmental services.	Individual or cooperative use rights in Production Forest, under three different models: - Independent, established at own initiative and cost. - Partnership or joint venture with plantation company. - Led by a company under an outgrower scheme.	Group of farmers or community members, not government employees.	Claimants must meet specific conditions and prove that the territory claimed is one customarily used by ancestors.
Conditionality	Use subject to separate business license. Not alienable, cannot be collateralised.	Use subject to separate business license.	Use rights granted at outset. Not alienable, only planted trees can use be used for collateral.	Community claimants must have used the land for at least the last five years.	Ownership rights for customary communities
Duration	35 years	35 years	60 years	10 years	permanent
Laws (see below)	1, 3, 4	1,2, 4	1,4,5	1,4,7	1,4,6

These statutory schemes are governed by the following laws:

1. Peraturan Menteri Lingkungan Hidup dan Kehutanan Nomor 83 Tahun 2016 tentang Perhutanan Sosial on social forestry
2. Peraturan Kementerian Kehutanan Nomor 89 tahun 2014 tentang Hutan Desa on village forests
3. Peraturan Menteri Kehutanan Nomor 88 tahun 2014 tentang Hutan Kemasyarakatan on community forests
4. Peraturan Direktur Jenderal Perhutanan Sosial dan Kemitraan Lingkungan KLHK Nomor 13 tahun 2016 tentang Pedoman Verifikasi Permohonan Izin Usaha Pemanfaatan Hasil Hutan on benefit-sharing from forest products
5. Kayu pada Hutan Tanaman Rakyat (IUPHHK-HTR) on people's planted forests

6. Putusan Mahkamah Konstitusi Nomor 35 tahun 2012 tentang pengelolaan hutan adat yang dikembalikan kepada masyarakat hutan adat dan hutan adat bukan merupakan hutan negara, melainkan tanah adat yang harus dilestarikan on customary forests.

7. Peraturan Menteri Lingkungan Hidup dan Kehutanan Nomor 39 tahun 2017 tentang Perhutanan Sosial di Wilayah Kerja Perum Perhutani.

Over the last decade there has been increasing attention paid to customary forests, which have been sanctioned by statutory law. Law 5 of 1960 (i.e., the BAL) recognizes adat (customary or custom) law as coexisting with national law; however, few regulations have been introduced that relate directly to adat

(Wright 2011). We note Ministry of Agriculture rule Permen Agraria 5/1999 as an exception

in which customary land rights are recognised in non-forestland. Article 5 of the BAL reads

as follows:

The Agrarian law applies to the land, water and air space is customary law, to the extent that it is not contrary to national interest and the State, which is based on national unity, Indonesian socialism and the regulations contained in this Law and other regulations, and to any elements that rely on religious principles.

Forestry Law 41/1999 effectively negated customary land tenure security for those with customary claims over forests by regulating that all forestland not owned under private land rights be directly controlled by the State. Within this, only claimants meeting the following criteria would be considered as having customary forests: (1) the society is organized as a distinguishable community; (2) there are existing structures and institutional arrangements; (3) there are clear territories and boundaries based on customary law; (4) customary law and customary judiciaries still exist; (5) societies still gather forest products to fulfil their daily needs; and (6) the claim has the support of the district government. These principles have been in place for 15 years, and yet Constitutional Court challenges were required to lead to hutan adat being realized in the country.

The government often cited the BAL as a constraint to issuing hutan adat, in which it is stated that the allocation of land should not contradict national interests (Contreras- Hermosilla and Fay 2005). Before the Constitutional Court decisions, Moeliono (2002) and Moniaga (1993; 2007) already questioned in what ways the role of national law and practices would erode adat traditions and serve to integrate local communities politically, economically, and socially into the nation-state.

Aside from forest management, there are few laws that compel implementers to engage the community beyond cursory consultation (Hasyim et al. 2021; Myers et al. 2016). Instead, Indonesia has opted for the strong representation of the village government, which has substantial control over interventions within the borders of the village, and has access to the annual village funds, which are issues directly for the development of each village by the national government (Arifin et al. 2020).

In addition to these programs, there are also a range of community-based initiatives that focus on sustainable agriculture, marine conservation, and renewable energy. These initiatives involve local

communities in the design, implementation, and monitoring of environmental projects, and they aim to build the capacity of communities to manage their natural resources in a sustainable way.

Another example of community-based approach in Indonesia is the establishment of marine protected areas (MPAs). MPAs are areas of the ocean that are set aside for the conservation of marine resources, and they can be established and managed by local communities. A number of community-based MPAs have been established, often with the support of NGOs and other organizations. These MPAs are managed by local communities, who work together to monitor and enforce fishing regulations, control pollution, and educate others about the importance of conservation.

Similarly, the establishment of community fisheries is prevalent in Indonesia. Community fisheries are areas of the ocean that are set aside for the exclusive use of local communities, who are responsible for managing and protecting the resources within those areas. By establishing community fisheries, local communities are able to regulate fishing practices, reduce overfishing, and promote sustainable fishing practices. In addition, these fisheries can provide economic benefits to local communities, as they can be a source of food and income .

Customary mechanisms

Customary governance systems that support community-based approaches are under the broad umbrella of “adat” (custom), and specifically, “hukum adat” (customary law). Custom and customary law are impossible to understand for the entire country as they are as diverse as the cultures that have built and maintained them. They are also dynamic and changing over time (Davidson and Henley 2007). While there are many examples of how custom ensures the participation of some members of society, it can be equally as exclusive along age, marital status, lineage, caste, and gender (Elmhirst et al. 2017). Adat has a significant impact on community-based- approaches as it often governs who can, and cannot, participate and benefit from community activities, and it is especially relevant for the allocation of land, which is often governed more by adat than statutory certification in Indonesia (Lund 2021).

The political context in Indonesia

During the early post-independence period in the 1950s and 1960s, the government of Indonesia was heavily involved in the management and exploitation of natural resources. This period was characterized by a strong state-led development strategy, which included nationalization of foreign-owned companies and the establishment of state-owned enterprises.

In the 1970s and 1980s, however, there was a shift towards decentralization and deregulation of the natural resource sector. This was driven in part by the economic crisis and the need to attract foreign investment. The government began to privatize state-owned enterprises and opened up the natural resource sector to foreign investment.

In the 1990s, Indonesia experienced a period of democratization and decentralization. The government began to devolve more power to regional and local governments, which were given greater autonomy in

managing natural resources. However, this period was also marked by corruption and weak governance, which led to environmental degradation and conflicts over resource access.

In recent years, there has been a renewed focus on natural resource governance in Indonesia. The government has introduced a range of reforms aimed at improving the management and regulation of the natural resource sector. These include efforts to combat corruption, strengthen environmental regulation, and increase transparency and public participation in decision-making.

Despite these reforms, however, challenges remain in managing Indonesia's natural resources. These include issues such as conflicting land claims, weak enforcement of environmental regulations, and the continued influence of powerful vested interests in the sector. The political context will continue to shape the governance of natural resources in Indonesia, and the success of reform efforts will depend on the ability of policymakers to navigate these complex dynamics.

Portfolio of projects using a community-based approach

To identify projects that were likely to include a community-based approach for the broader evaluation, purposive sampling was used to identify projects from the GEF portfolio in the biodiversity, land degradation, climate change adaptation focal areas and related multi-focal area projects. Projects that were explicit in their use of a community-based approach in their title, objectives, or activities were selected. Based on this sampling a portfolio was identified for Indonesia and included seven projects, four ongoing and three completed (Table 2). Components and activities that used a community based approached within the projects visited by the field mission were identified in Table 3.

Table 2. GEF projects identified as using CBA approach in Indonesia

GEF ID	Project Title	GEF Phase	GEF Agency	Financing	Project Status
10757	Maintaining and Enhancing Water Yield through Land and Forest Rehabilitation (MEWLAFOR)	GEF – 7	UNIDO	1,775,313	Ongoing
10731	Strengthened Systems for Community-based Conservation of Forests and Peatland Landscapes in Indonesia (CoPLI)	GEF – 7	IFAD	5,329,452	Ongoing

10236	Catalyzing Optimum Management of Nature Heritage for Sustainability of Ecosystem, Resources and Viability of Endangered Wildlife Species (CONSERVE)	GEF - 7	UNDP	6,272,018	Ongoing
9600	Strengthening of Social Forestry (SSF) in Indonesia	GEF - 6	World Bank	14,317,909	Ongoing
4340	Strategic Planning and Action to Strengthen Climate Resilience of Rural Communities in Nusa Tenggara Timor Province (SPARC)	GEF - 5	UNDP	4,933,943	Completed Rating (outcome): Satisfactory
3443	Strengthening Community Based Forest and Watershed Management (SCBFWM)	GEF - 4	UNDP	6,900,000	Completed Rating (outcome): Moderately Satisfactory
3279	Citarum Watershed Management and Biodiversity Conservation Project (CWMBBCP)	GEF - 4	ADB	3,614,678	Completed Rating (outcome): Successful

Table 3. Project objectives, data on CBA in projects visited for fieldwork

GEF ID	Objective	Components using community-based approaches	Community based approaches described in project documents
4340	To enable the NTT province to strengthen climate resilience of its rural communities to improve livelihood, food, and water security	<p>Community-based pilots intended to diversify and strengthened livelihoods and sources of income for vulnerable rural communities.</p> <p>Planning and policy with local government and rural communities integrating climate resilience actions in their development policies, plans, and programs.</p>	<p>Grants were given to community groups for livelihoods, food and water security through community-based management. They were expected to diversifying sources of income to be less sensitive to climate change. Water resources infrastructure and management improvements undertaken to take climate change into account.</p> <p>Villages were supported to integrate adaptation measure into their community vision maps and create</p>

			community-based climate risk information system.
3279	Improved integrated water resources management in the Citarum river basin	<p>Component 1. Biodiversity inventory, habitat mapping and GIS</p> <p>Component 2. Land restoration rehabilitation pilot</p> <p>Component 4. Biodiversity conservation mainstreaming on the production landscape</p>	<p>Biodiversity management action plans developed through participatory process, and communities involved in ongoing monitoring of biodiversity.</p> <p>Conservation village models were developed with communities that border conservation areas. Communities were given grants to allocate towards livelihoods activities, decided in a participatory manner amongst their group members.</p>
9600	The Project Development Objective (PDO) is to improve access to forest land use rights and strengthen community management in selected priority areas allocated for social forestry	Component 2 – Strengthening community management within social forestry	<p>Project activities include participatory forest management, community forest management and mapping.</p> <p>Existing community groups are supported by the project, new community groups are form and provided capacity building. Grants will be directly awarded to community groups</p> <p>The appropriate implementation of the management plans will be overseen and ensured through a supervision mechanism that is designed to ensure that activities are in line with the management plan and that feedback is provided to the beneficiaries</p>

			There is a project level grievance redress mechanism established within the implementing arrangements of the project.
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Evaluation methods and approach

Data collection methods

As a first step, project documents were reviewed to gather a list of key stakeholders to interview, learn more about project context, design, and achievements, and help decide selection of field visits. Key informant interviews were carried out before the mission (remotely), and during the mission with more than 177 stakeholders in Indonesia (national government officials, agency staff, national level implementing agency staff, civil society, indigenous peoples advocacy group; regional government; academia, consortiums involved with project management, local government, regional NGO staff, and community members) (see Annex 1). With local communities the evaluation carried out focus group discussions and made efforts to include the voices of vulnerable groups and women.

IEO collected feedback about the factors or challenges that influence the usefulness, value-add, and ultimately performance of projects that use a community-based approach. Some of the factors for success and challenges relate to good project management (such as good working relationships, land tenure issues, remoteness of project sites and lack of infrastructure, issues related to migration, etc) and are not presented, instead the focus is on feedback specific to GEF projects that use a community-based approach.

Site selection criteria

Of the seven projects identified as part of the Indonesia portfolio covered by this case study, three were selected for field visits. Two closed projects were prioritized, and then within the resource and logistical constraints of the mission (project sites are dispersed throughout the country) one ongoing project was selected.

The country case study was undertaken in two phases. The first in December 2022 by Rodd Myers and Mariana Silvana Moy, and the second in January 2023 by Kate Steingraber and Mariana Silvana Moy. Interviews in Jakarta were carried out during the January mission. The evaluation mission met with stakeholders from the following project sites:

GEF ID and project name	Sites visited
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4340: Strategic Planning and Action to Strengthen Climate Resilience of Rural Communities in Nusa Tenggara Timor Province (SPARC) (closed)	<ol style="list-style-type: none"> 1. Manggarai District (Bappeda Office, Project Staff, Local NGO, Community members and Head of Village at Gapong Village and Liang Bua Village) 2. East Manggarai District (Bappeda Office, Community members of Bea Muring Parish and Head of Deno Village)
9600: Strengthening of Social Forestry (SSF) in Indonesia (ongoing)	<ol style="list-style-type: none"> 1. Bima District, West Nusa Tenggara Province (KPH Maria Donggomasa Office, Community members of KTH Dana Kala and Head of Ntori Village, and Community members of KTH Oi Rida and Head of Maria Utara Village) 2. Dompu District, West Nusa Tenggara Province (KPH Toffo Pajo Soromandi, Community members of KTH Ncai Ama Nofi and Head of Karamabura Village, and Community members of KTH Sonco Ama Sunu) 3. Denpasar: Balai Besar PKPSL Jawa Bali Nusa Tenggara 4. Jakarta: PSKL-Ministry of Environment and Forestry, PMO, and World Bank
3279: Citarum Watershed Management and Biodiversity Conservation Project (CWMBCP) (closed)	<ol style="list-style-type: none"> 1. Bandung District, West Java Province (BBKSDA West Java Office, Community Members of MDK Sugih Mukti and Head of Sugih Mukti Village, Sindang Pakuon Village for PES Scheme, Saguling Waduk/Dam) 2. Purwakarta District, West Java Province (Community members of MDK Cihanjavar)

Limitations

The IEO mission was limited in the number of sites it could visit due to time constraints, many potential sites, and the dispersion of project sites across the country. Consequently, the case studies do not systematically conduct in-depth analysis to draw causal relationships between all project activities and outcomes, but rather they collect qualitative data (supplemented by quantitative data where available) to gather stakeholder feedback, understand the reasons for success or failure of CBA, and look at sustainability post completion. The site visits focused primarily on CBA components or activities. IEO relied upon project self-evaluation or independent evaluation reports, complemented by primary data collected by the field team to carry out analysis. Data availability limited the extent to which sustainability could be assessed. For example, in Citarum, the IEO team was unable to obtain the GIS coordinates for neither the restored conservation areas, nor the rehabilitated border areas and was therefore unable to validate the claims of improved environmental status by project teams and community with data. The inability to share basic coordinate data with the evaluation team calls into question the sustainability of the GIS database system, as well as continued capacity to use this data in the management of protected areas and to track environmental status change over time.

Findings:

KQ 1: How relevant have GEF projects that use community-based development approaches been to the national priorities of GEF recipient countries?

All stakeholders interviewed at the national, regional and local levels felt the CBA approach used in GEF-projects was relevant for the context in Indonesia. Government respondents pointed to the increasing prominence community-based approaches within government strategy. According to respondents, the approach of working directly with villages is embedded within national and sub-national approaches to environmental management and development that focus on decentralizing decision making to the village level. GEF grants were used to further programming that was already in place and to advance the government's agenda. The additionality of the GEF in this context was seen by national government officials as providing concrete/tangible results from working directly with communities, and in allowing for experimentation of new modalities of working with communities. For example, a consortium of sector experts was enabled by the GEF grant as part of the Citarum project.

Community-based approaches are well-suited for implementation in local contexts. In the context of climate change adaptation, the CBA approach allowed for tailored responsiveness to multi-dimensional risks as demonstrated in the SPARC project. Respondents indicated that they valued CBA because it allowed for better integration of local knowledge than in top-down approaches.

CBA is seen as especially relevant in and near forests. Community members themselves generally found the approach relevant because they wanted to be involved in the decision-making processes on land that they use. In the example of the Social Forestry project, forest-use rights were afforded to communities to undertake agroforestry, providing livelihood opportunities while protecting the environment. In the case of Citarum, the project was seen as meeting the needs of the communities, albeit at a small scale. A representative from an Indigenous peoples' advocacy group felt that the approach is relevant, but that in practice, inclusion of Indigenous people in mixed communities is challenging. They stressed that IPLCs should be involved in the design phases of the projects.

The CBA project management structure was also viewed as relevant. Project boards involve a range of stakeholders related to the project, in addition to the technical team (including province level representatives), there is a separate PMU from the government. In SPARC, the project management structure was less clear to community members who only understood the project as a collaboration between the civil society implementer and the local government but didn't have a sense that there was oversight by communities members at the project level.

Though the approach was deemed relevant, what CBA means in the context of projects was not always explicit in project documents, relying on assumed meanings. In the CWMBCP project the TE pointed out some definitional issues and inconsistencies around the term community-based forest and watershed management for example. The TE notes that frequent reference is made to the community-based model, but the model isn't well defined. Two possible interpretations are offered, one is that it relates to the process of strengthening local community-based organizations (CBOs) for more meaningful participation in natural resource management or another is that it relates to the development of sub-watershed management plans with participation of local communities. The TE concludes that a clear definition of the model would enhance the likelihood of replication (TE, 48). In the SPARC project, the community-based nature was more explicit and was primarily concerned with decision-making around project implementation but stopped short of devolved financial management.

KQ 4: Have community-based approaches influenced and contributed to better environmental and socio-economic outcomes?

Environmental outcomes:

The link between community-based approaches and environmental outcomes is not explicit in the project design, logframes and reports. The terminal evaluation from GEF ID 3443 – SFM Strengthening Community Based Forest and Watershed Management describes measurement issues that hinder reporting on environmental and social outcomes. They are summarized here, with a focus on those most relevant for CBA. The TE notes that

‘the objective level indicator does not reflect the incremental added value of the GEF funding. For example, in the wording of the indicator there is no indication that the support is through community-based management, and it is unclear which watershed functions and ecosystem services are targeted’ (TE, 11).

The TE also notes that one of the aims under Output 1 was to strengthen the capacity of community-based organizations (CBOs), in order to better support forest and watershed management but states that this is not sufficiently reflected in the output level performance indicators. Though there were some shortcomings in terms of indicators, there also were some indicators that stand out in terms of monitoring progress of CBA projects, and inclusion. Key Indicator No. 6 was “The amount of funding provided to support community-based management of natural resources in the 6 provinces in which the demonstration sites are located.” The TE reported USD 5,214,300 achieved against this indicator, though it remains unclear what the target was. The project also measured inclusion through Key Indicator No. 4, “Proportion of (a) women and (b) the landless involved in community groups across the 6 demonstration sites.”

Similarly, the terminal evaluation for GEF ID 3279 – Citarum Watershed Management and Biodiversity Conservation Project does not have any data on environmental status change.¹ While environmental outputs are reported on in the TE, the link between those results and CBA is not immediately clear, and it remains an open question whether or not results such as the development of eight biodiversity management action plans in a participatory process, the installation of GIS systems, and biodiversity surveys related to, required, or were affected by CBA.

Projects affected mindsets and behaviors that benefited protected areas. Prior to the project, communities in Citarum reported taking resources from the conservation areas – wood for cooking for example. Communities reported a decrease in ‘illegal’ logging which they attributed partially to increased awareness of community members about the regulations supporting protected areas, increased community patrols, and empowerment of the communities as entities responsible for monitoring the areas. In Cihanjavar village, community members felt that an environmental status change of increased tree cover had led to improved water (both quality and quantity), and better conditions for their rice paddies. Communities received more than 100 palm sugar trees which were used to restore the area bordering the conservation area. Men harvest the palm sugar, which is then processed and sold by women, this is further discussed in the gender and inclusion section below.

Similarly, in the Social Forestry project, the IEO field mission visited four communities in Bima and Dompu and heard community perspectives on how they are seeing both environmental and socioeconomic benefits during early implementation of project activities (Image 1). The environmental benefits include the ability to prevent illegal logging, and also a shift away from illegal logging by the community members themselves. The communities report a shift in mindset, better understanding of the importance of conservation, and new awareness about the boundaries of the protected areas. They also report conducting patrolling activities. The expected socioeconomic benefits will be measured in terms of improvements in household income by planned independent surveys, according to the project managers. Examples of livelihoods support include processing and marketing coffee and oil from a local fruit in Maria Utara (Image 2).



Image 1. Agroforestry scheme in Dompu started with support from the Social Forestry Project. Photo credit: Kate Steingraber



Image 2. Communities harvest fruit and nuts and process into oils sold locally and regionally with support from the Social Forestry project. Photo Credit: Kate Steingraber

Community members often implemented data collection activities related to environmental benefits, but were not aware of how to use the data. In the Citarum project, biodiversity tracking tools were used in the eight conservation areas tracking changes from 2013 – 2016 and show mixed results, with high variance along the quantitative indicators collected as part of the Biodiversity Tracking Tool indicating both negative and positive changes in the species monitored. Trail cameras were used as part of the project (Images 3 and 4), local forestry officials received training in how to use them and so did community members, but IEO could not find evidence that they were currently in use. Similarly, rainfall measurement devices were installed in Manggarai as part of SPARC. During the project implementation, farmers diligently recorded the data, but were not clear on how to use it to influence their practices. Further, at the time of the evaluation, none of the instruments described in this section were active in the field.



Image 3. Leopard captured at camera trap in Gunung Papandayan Nature Reserve, West Java. Photo credit: Forestry Regional Office of West Java



Image 4. Leopard's footprint in Cikeupuh Wildlife Reserve, West Java. Photo credit: Forestry Regional Office of West Java

The Payments for Ecosystem Services (PES) schemes have seen mixed results. The PES scheme piloted in the Citarum project was not successful. As reported in the TE, and verified in interviews, the PES pilots were not viable during the project implementation period. This was attributed by stakeholders to inadequate local regulations that would allow for the necessary management arrangements between upstream communities and downstream water users. IEO heard from community members that efforts to continue working on a PES scheme that will provide payments to upstream users in exchange for efforts to curb erosion and improve water for downstream users are still in process. This was triangulated among members of the consortium set up to support project implementation, and local government officials. In contrast, an example of a successful PES scheme is found in GEF ID 3443 that linked a hydropower company to communities who received compensation for planting and improving sediments. These activities reportedly yielded measurable reductions in sediments at project close.

Communities reported participating in a community and conservation area mapping exercise for the first time as part of the projects. This was helpful for environmental conservation because the communities reported that they had better understanding of official boundaries and felt empowered to patrol against illegal logging. For example, in Sugih Mukti, villagers described learning the boundaries of the 9,600 ha conservation area and removing 16 illegal agriculture plots from the conservation area. In this village the livelihood activity supported by the project also addresses an environmental challenge: the villagers selected a waste management facility that they operate for profit. They collect waste throughout the village for a fee, and then sort through the refuse, reselling or recycling what they are able to. Stakeholders in the Social Forestry Project also reported participating in a participatory mapping exercise for the first time (Image 5).



Image 5. Group members in Dompu discuss the land showed in GIS maps provided by the project team. The communities participated in the mapping exercise and saw the land from this perspective (showing ground cover and boundaries) for the first time. The maps were a valuable tool to facilitate discussions for the evaluation mission. For example, it was possible to see which sites had the least amount of forest cover and understand decision making around removing trees to plant corn prior to the project and plans to re-incorporate trees while practicing agro-forestry as part of the Social Forestry project. Photo credit: Kate Steingraber

The environmental outcomes for SPARC were limited. As a climate change adaptation project, SPARC was proposed on the premise that changes in local climates necessitated behavioral shifts among rural communities in terms of food production, water use, and livelihood activities. It was therefore related to climate change adaptation at local levels rather than mitigating against climate and environmental changes. While there were multi-stakeholder groups established at the district levels, they tended to focus on the primary concerns of the project, having to do with agriculture and livelihoods, true to the project design (see SPARC final report). The project did not have any environmental objectives or targets that were measurable.

Socioeconomic outcomes:

Surveys undertaken by GEF ID 3443 – SFM Strengthening Community Based Forest and Watershed Management found that average monthly household incomes increased in project areas from income generated from community-managed areas. Household incomes were independently surveyed by external consultants, as part of a participatory project impact assessment. Referenced to control households, the targeted households had increased monthly income in all six demonstration areas, ranging from 40% more in the DAS Palu to 146% more in Sub-DAS Tulis. Adjusting for inflation, these income levels exceed the target of IDR 635,470 (TE). The findings on household income increases are caveated based upon findings during the TE fieldwork, and raise questions on the likelihood of sustainability.

In the Citatrum project, the TE makes no substantial reference to any data on outcomes related to livelihoods or other socioeconomic co-benefits, but communities attribute livelihoods benefits to the project. Data collected during interviews with community members revealed that the livelihood support activities were highly valued by community members. The MDK conservation community group in Sugih Mukti village was formed under the project and during early implementation group members learned about the idea to create a waste management facility to generate income. They attribute their current and past economic benefits to the project, they earn money from separating out plastic and collecting trash from neighborhoods, as well as through creating compost. The group leader estimated that up to 70 people have graduated out of the group and moved on to higher paying jobs after getting starting with income improvements from the waste management facility. The expansion of the waste management facility after project close is further discussed in the sustainability section below. The other village visited by the project in Cihanjavar also benefitted from livelihoods support. In addition to income generated from harvesting sugar palm, villagers benefitted from support to handicraft production and provision of livestock to groups and individuals. The handicraft machine was provided to a group of individuals who learned from the leader how to make tables, handicraft, knives, etc. One group member estimates that he makes 1 to 2 billion IDR annually from selling the handicraft.

The legacy of CBA in the SPARC project is in bottom-up approach in which local communities had considerable autonomy to set their own priorities in terms of livelihoods activities. Across all three sampled villages, respondents praised SPARC for its community-based approach and enabling the community members to decide their own livelihood activities. Unanimously across the sampled villages, respondents felt that they were in control of what the activities were and what inputs were needed. They noted in several instances that the quantity of inputs were limited by SPARC, but understood that the project had resource limitations and were comfortable with their ability to direct those expenditures within those limitations.

Similarly, although still under implementation, the Strengthening of Social Forestry in Indonesia project is praised by respondents as being flexible and adaptable to interests of communities. The project especially interesting given the relatively large size of the GEF grant – USD 14,317,909 at approval (a full size project at the GEF is a grant of more than USD 2 mil – the average size GEF grant for GEF-7 was USD 6,948,141 (inclusive of agency fee). The money is being used to support the government’s social forestry program, which allows participating community groups to choose between five different types of management schemes for land that is in some cases being illegally farmed. The project is unique in that it aims to provide a full spectrum of support, from formal legal permission to use (and protect) the land for up to 35 years under the condition that the land be used for agroforestry. The project provides support for capacity building, group formation, and planning for grants that groups will receive after their formal permission is cleared through the necessary approving authorities. Groups select which economic activities or livelihoods support they want. National project staff report that community groups have proposed rights to 200,000 hectares of forest so far. The project design is appreciated by the ministry because it allows for flexibility. This project also is positioned to support Indigenous claims over forest land through the pursuit of customary forest designation. To date, there have been no customary forestry schemes, however the project team stressed their intention to ensure inclusion of Adat (customary group) communities (see table 1). The project team reported challenges with changing the mindset of communities away from cultivating corn, trying to shift focus to fruit trees, honey and livestock. They also report some challenges developing value chains, mostly in terms of finding private sector partners, especially in more remote areas.

KQ 5: What factors have influenced the usefulness and value-added of community-based approaches to the performance of projects using them?

Project time horizons can be difficult to navigate, timelines impede likelihood of seeing outcomes at project close. Project stakeholders (GEF Agencies, Implementing Agencies, and community facilitators) noted that the amount of time required to work directly with communities in a bottom-up approach is higher relative to top-down approaches. This is especially true for projects that take a sequenced approach, that first on building capacity (for decision making, environmental issues, administrative issues, financial management, etc), before working on financing the activities chosen by the communities. All of these activities can be difficult to fit into project time spans, especially in SPARC in which implementation in some villages was limited to 1.5 years.

The approach is ‘easier’ to implement when there are established and well-functioning groups in place and projects can build upon the existing social infrastructure. Project teams can reestablish or strengthen existing groups and use that as a starting point for project activities. Through the CBA approach, the projects tailor interventions based on the social/existing condition, focusing on building capacity to sustain project interventions, augmenting existing management capacity etc. The project team for the ongoing Social Forestry project indicated they have had the most success with building capacity of groups that already existed. IEO validated this through meeting with both new and existing groups, and witnessed the differences between the two in terms of capacity, social cohesion and governance. In contrast, all of the groups in SPARC were established for the express purpose of receiving funds and none had institutional training that would enable them to function institutionally. At the time of the evaluation, all of the groups were functionally inactive although maintained registry with the department of agriculture.

Lack of policy coherence² at the national level is a challenge in Indonesia. In recent years, agriculture policies that support and promote the cultivation of corn were put into place, but this happened at the expense of forest areas. Project teams then had the difficulty of trying to nudge community members away from growing corn, into using agroforestry. Projects that require working across different agencies are more complex, but inter-agency cooperation and coordination is seen as key. When the projects are centrally managed, upstream and downstream coordination influences success as does alignment with national programs.

Livelihoods activities in CBA projects were more successful when paired with linkages to markets. The closed projects included training and capacity-building on issues related to agricultural and non-timber forest product production, but generally failed to systematically make adequate linkages with markets. In all of the SPARC villages, community respondents suggested that they were not provided with any market-related training or capacity-building, and that they lacked the ability to translate improved production to higher incomes in a significant and sustainable way. One SPARC community member expressed that “we have lots of tomatoes, but we can’t even eat them all and have nowhere to sell them.” Similar sentiments were expressed by other community members who waited for buyers to come to the farm gate and expressed lack of knowledge over whether or not prices offered were fair. This, according to respondents, curtailed the value-addition potential that the project might have otherwise had. We also note that project proponents relate this limitation to the short implementation period. However, there were some examples of linkages with markets in other projects. In the ongoing SSF project, for example, successful examples of livelihoods activities were found, with higher profits reported by communities that are able to conduct marketing and sales activities to reach consumers

beyond their local communities. In the Citarum project, some of the small business created through project activities are ongoing (trash collection/recycling, handicrafts, sugar palm). There were some linkages to regional markets in the handicraft business, but the trash collection and sugar palm markets were mostly within the villages.

Involvement of local governments is key to success of CBA projects. Local, regional, and national stakeholders stressed the importance of involving local governments in project design and implementation. This includes governments at the village, district and provincial levels. According to agency staff, if these actors are involved and supportive, projects can move forward more easily. This was confirmed by IEO through interviews with village leaders during field visits. These leaders confirmed the importance of their involvement, both to ensure that interventions were targeting the right locations and addressing the pressing needs of communities, and also to ensure coordination with any other donor funded activities. Consequently, changes in leadership can present a challenge if turnover is difficult to manage.

Community facilitation is important for success of CBA projects. Facilitators should be well-trained, and should be a daily presence in the communities where they work, providing ongoing and as needed support (SSF and Citarum examples). Similarly, community respondents in SPARC emphasized that the visits from implementers was key to advancing their processes, and that although appreciated, they would like to have had more interaction.

KQ 6: To what extent are the results of GEF projects that use community-based approaches sustainable?

Because there was limited data collected on environmental outcomes, it is difficult to trace sustainability of the project outcomes from an environmental perspective.

Project stakeholders from both villages that IEO visited from the Citarum project confirmed that both the forest rehabilitation zones in community managed buffer zones, and the conservation areas themselves had achieved and sustained improved environmental status as a result of project activities. The community members reported continuing their patrol efforts. IEO was unable to validate the continued use of the GIS tracking system provided through project activities. It was reported that the more than half of the camera traps provided by the project are still in use by the regional government, but IEO was unable to validate.

Sustainability of socioeconomic outcomes is mixed. The communities in Cihanjavar and Sugih Mukti villages both report that their group is still active, and that most of the livelihoods activities are ongoing. In Sugih Mukti the waste management facility that was started with GEF seed money was scaled up by a private sector entity (PT BIODIV Energi) who supported the group as part of their corporate social responsibility efforts, and then further support was provided by the national government. The group leader provides training on how to manage finances, and group members report that these activities continue to date. The group currently collects 15 tons of trash monthly from the area and group members plan to make handicrafts from the usable refuse. In Cihanjavar, community members reported earning an estimated IDR 4,500,000 from producing palm sugar, an activity that is still ongoing. The group using the handicraft machine is also still benefitting from the investment.

The terminal evaluation of GEF ID 3443 observed that likelihood of sustainability for the community-based organizations supported under the project was largely dependent upon the internal capacity of

the CBO to secure funding, the cohesiveness of the CBO and the location of the CBOs. Without the support of the facilitators, it seemed there was a general drop in activity.

In SPARC districts, adaptation is now a crosscutting initiative that officials credit to the project. In many ways, the enthusiasm for SPARC remains in communities. However, the multi-stakeholder fora have dissipated or been absorbed into other processes (also related to COVID, which made convening and travelling challenging). The farmer groups in all the villages sampled for SPARC were inactive, but the learnings from SPARC remain and respondents report using them on their individual farms. Benefits from livestock-based projects dissipated quickly, with almost all respondents reporting that they had sold off their livestock or they had died. In Gapong Village, respondents stated that the livestock had been sold to pay for immediate educational needs of children and not replenished. They noted that when expensive events arise, like tuition, a funeral, or a wedding, there is considerable pressure to sell the animals. In all of the villages sampled, there were indications of elite capture in which one member, often the group leader, continued to conduct the activities such as raising goats, making manure, producing seeds and so on while the other group members had reverted to pre-project activities.



Image 6. Cattle Cage Funded by SPARC Project in Bea Muring Area. Photo credit: Mariana Silvana Moy

Image 7. Fertilizer House Funded by SPARC Project in Bea Muring Area. Photo credit: Mariana Silvana Moy

KQ 7: To what extent are there tradeoffs or tensions between environmental objectives and economic needs of people living in project areas? Does this affect the sustainability of interventions using community-based approaches?

In Bima and Dompu the example of the tradeoffs and tension between environmental objectives and economic needs is very apparent.

Project staff for the ongoing Social Forestry project are candid about the challenges they face in changing the mindset of communities. The private sector presence creates a market and an incentive to grow corn. Community facilitators are working on promoting the agroforestry approach, especially to communities that are illegally using land to grow corn. One of the appeals to these communities is that they get formal permission to use the land, and no longer have to worry about getting reported or caught by authorities. With formal land tenure comes access to agricultural extension services, and the project teams are promoting the project using an anti-poverty message. By switching to agroforestry, which allows communities to sell fruit from trees, community members will be able to use any improvements in income to improve wellbeing (send children to school, etc). Project teams felt like this approach had been successful in convincing communities to join the project.

Crosscutting: Gender and Inclusion

The Citarum project targeted two specific groups to receive support through CBOs, and women's participation represented 21% of the total. The project also targeted landless farmers, but saw lower levels of inclusion of this group, at 8.4% of the total.

In the villages visited by the evaluation, IEO did not observe that women played a leadership or decision-making role in the community groups. Women were beneficiaries of the livelihoods activities, though they had different activities and different roles than men. For example, in Cihanjawa, the men harvest the palm sugar, and the women process it (Images 8 and 9) . From this, one woman reported receiving IDR 150,000 per day to help support her family's needs. In Sugih Mukti village, the women reported joining the group that runs the waste management activities because they were jobless and needed income. The men went out into the community and collect the waste, making up to IDR 100,000 a day, while the women made IDR 30,000 for sorting the refuse. Women interviewed by IEO were glad they joined the group, but indicated that women's participation needs to be encouraged, convincing women that there is an economic benefit is key.



Image 8. Sugar palm in Cihanjavar, provided by GEF ID 3443. Photo: Kate Steingraber
Image 9. Women processing sugar palm to sell locally in Cihanjavar. Photo: Kate Steingraber

In SPARC, women's groups were developed in all of the villages sampled and there were indications that women had autonomy to determine the activities of the group. The TE suggests that there were a low ratio of women extension workers and states that:

women are insufficiently catered by extension services for various reasons: the agriculture agency mostly employs male extension workers (in Manggarai 20% are female and in Sabu Raijua and East Sumba this is only 5%); gender training has not been provided to extension workers; extension approaches and tools have not incorporated gender specific needs and approaches. This is problematic since women in NTT play a key-role in managing important assets such as small livestock like pigs, chicken and seed, and play a key-role in crop production, harvesting and processing.

It further noted that about 1/3 of the project participants were women across SPARC, and that there was little leadership training or support for women despite UNDP's emphasis on gender equality.

Respondents suggested that **CBA needs to engage women from the start and separately from men**, given the patriarchal structures in many communities. Overall, the involvement of women was often in women's groups. In SPARC, women and men were provided the same opportunities to participate in terms of the availability of project resources, but there was little explicit evidence to suggest that the project activities accommodated for the extra domestic burdens that women experience. While group meeting times were designed to accommodate women's schedules, they also did not make explicit attempts to even out other activities so that women could participate as fully as men. In SSF, the

experience was mixed. Some respondents reported that men were the main family member involved in the project while women generally stayed at home, but there were also examples of groups where the main force driving economic production of seed oil (including processing, marketing, and distributing) were carried out by women.

According to the SSF project: **The project will focus on mitigating potential elite capture, which could occur in the context of management of common pool resources such as community forest.** The project does not involve benefit sharing in the sense of collective “profits” to be managed or distributed to a collective on a landscape scale. However, access to participate is a guiding tenant, and guidance and training are to be provided to ensure access to marginal groups to avoid elite capture. The distribution of income within the participating groups (community enterprise groups and/or farmer groups) will be addressed through the groups’ governance arrangements. Group structure, regulation, and dynamics form part of the training and development provided to these groups of community members as part of the FMU facilitators’ role, to be supported under this SSF project. (PAD, 24)

Analysis and

It was difficult to link GEF projects using community-based approaches to broader impact, but there is evidence of achieved environmental and socioeconomic outcomes. In the case of the Citarum project, many of the project level outcomes were achieved, but it was difficult to measure broader environmental status change, or sustainability because of the lack of data. Interviews during field visits indicate that environmental conservation activities are ongoing, and some of the livelihoods activities continue, with some strong examples of success. The SPARC project exhibited limited sustainability of the livelihoods activities. The SCBFWM project showed some achievement of both environmental and socio-economic outcomes at project close.

Working with existing groups: Existing groups can be ‘faster’ and easier’ to set up, and working with them is certainly a logical starting point and a tenet of CBA (to start with pre-existing institutions), however, the mechanisms of inclusion and exclusion within the groups is often unclear (though some projects include explicit efforts to avoid elite capture), and in most cases, the groups were formed as a requirement to access funds. In most villages included in this evaluation, the groups were only animated in order to obtain funding, and often lack the institutional governance capacity and momentum to be self-sustaining, innovating groups working toward common objectives.

GEF projects using community-based approaches varied in their level of comprehensiveness of the approach. Whilst SPARC devolved decision-making to community members, it failed to sufficiently root into the community such that communities had the capacity to continue the activities. Communities were involved in thematic decisions but were not involved in procurement or access to markets, which limited sustainability. Similarly, the Citarum project involved capacity building around environmental and livelihoods issues, and devolved decision making to groups, supported by grants issued directly, however there was limited involvement in project management (with the exception of forest monitoring).

There were both great appreciation for the projects, and limited sustainability of results. Most respondents reflected favorably on the sampled projects and had anecdotal examples of impact while admitting that the impact felt in the project were not lasting, especially in the case of SPARC. This was less true in the case of the Citarum project. The limited sustainability of results is related to the lack of

institution-building with most projects working with community groups but largely depending on the government to continue support services for the communities, which failed to materialize.

Time horizons: Limited implementation periods limited the sustainability of the projects, and the ability to help community groups to mature into self-actualized collectives.

Gender and Inclusion: While some projects made specific efforts to include women in project activities, the extent which structural issues that may prevent full participation and benefit-sharing of women is less certain. Although there are indications of newer projects that include space for addressing explicit IP issues such as customary forests, there are not any clear and specific objective or strategy to including Indigenous People and institutions in the sampled projects.

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Annex 1: Persons consulted

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Ojom	Sumantri	M	Head of Balai PSKL Jawa Bali Nusa Tenggara - Implementing Partner for SSF Program	Center of Social Forestry and Environment Partnership (PSKL) Jawa Bali Nusa Tenggara	Denpasar

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Algi	Syarif	M	Head of Ntori Village	Ntori Village	Wawo Sub District, Bima District, West Nusa Tenggara
A	Rafik	M	Head of Maria Utara Village	Maria Utara Village	Wawo Sub District, Bima District, West Nusa Tenggara
Arahman		M	Head of Community Group	Forest Farmer Group - KTH Oi Rida	Maria Utara Village, Wawo Sub District, Bima District, West Nusa Tenggara
Siti	Aisah	F	Community Member	Forest Farmer Group - KTH Oi Rida	Maria Utara Village, Wawo Sub District, Bima District, West Nusa Tenggara
Makrifah		F	Community Member	Forest Farmer Group - KTH Oi Rida	Maria Utara Village, Wawo Sub District, Bima District, West Nusa Tenggara
Hamilah		F	Community Member	Forest Farmer Group - KTH Oi Rida	Maria Utara Village, Wawo Sub District, Bima District, West Nusa Tenggara

Abakar		M	Community Member	Forest Farmer Group - KTH Oi Rida	Maria Utara Village, Wawo Sub District, Bima District, West Nusa Tenggara
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Fitri		F	Community Member	Forest Farmer Group - KTH Oi Rida	Maria Utara Village, Wawo Sub District, Bima District, West Nusa Tenggara
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Abdul	Karim	M	Community Member	Forest Farmer Group - KTH Dana Kala	Ntori Village, Wawo Sub District, Bima District, West Nusa Tenggara
Bunyamin		M	Community Member	Forest Farmer Group - KTH Dana Kala	Ntori Village, Wawo Sub District, Bima District, West Nusa Tenggara
Jufri		M	Community Member	Forest Farmer Group - KTH Dana Kala	Ntori Village, Wawo Sub District, Bima District, West Nusa Tenggara
Nurrahma		F	Community Member	Forest Farmer Group - KTH Dana Kala	Ntori Village, Wawo Sub District, Bima District, West Nusa Tenggara
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Kusmiati		F	Community Member	Forest Farmer Group - KTH Ncai Ama Nofi	Kramabura Village, Dompu District, West Nusa Tenggara
Chintami	At	F	Community Member	Forest Farmer Group - KTH Ncai Ama Nofi	Kramabura Village, Dompu District, West Nusa Tenggara
Fitri		F	Community Member	Forest Farmer Group - KTH Ncai Ama Nofi	Kramabura Village, Dompu District, West Nusa Tenggara
Rahmawati		F	Community Member	Forest Farmer Group - KTH Ncai Ama Nofi	Kramabura Village, Dompu District, West Nusa Tenggara
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Sinta	Mutiara	F	Community Member	Forest Farmer Group - KTH Ncai Ama Nofi	Kramabura Village, Dompu District, West Nusa Tenggara
Arena		F	Community Member	Forest Farmer Group - KTH Ncai Ama Nofi	Kramabura Village, Dompu District, West Nusa Tenggara
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Muhamad	Saleh	M	Head of Community Group	Forest Farmer Group - KTH Sonco Ama Sunu	Nowa Village, Dompu District, West Nusa Tenggara
Ahmad		M	Community Member	Forest Farmer Group - KTH Sonco Ama Sunu	Nowa Village, Dompu District, West Nusa Tenggara
Bambang		M	Community Member	Forest Farmer Group - KTH Sonco Ama Sunu	Nowa Village, Dompu District, West Nusa Tenggara
Nederwandi		M	Community Member	Forest Farmer Group - KTH Sonco Ama Sunu	Nowa Village, Dompu District, West Nusa Tenggara
Sahrul		M	Community Member	Forest Farmer Group - KTH Sonco Ama Sunu	Nowa Village, Dompu District, West Nusa Tenggara
Anwar		M	Community Member	Forest Farmer Group - KTH Sonco Ama Sunu	Nowa Village, Dompu District, West Nusa Tenggara

Muhamad	Sidik	M	Community Member	Forest Farmer Group - KTH Sonco Ama Sunu	Nowa Village, Dompu District, West Nusa Tenggara
Ismail		M	Community Member	Forest Farmer Group - KTH Sonco Ama Sunu	Nowa Village, Dompu District, West Nusa Tenggara
Mursalim		M	Community Member	Forest Farmer Group - KTH Sonco Ama Sunu	Nowa Village, Dompu District, West Nusa Tenggara
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Beata	Niwung	F	Community Member	Cotton Mattras Group - Woman Group	Gapong Village, Cibal Sub District, Manggarai District, East Nusa Tenggara
Kristina	Ju	F	Community Member	Cotton Mattras Group - Woman Group	Gapong Village, Cibal Sub District, Manggarai District, East Nusa Tenggara
Osilia	Linda	F	Community Member	Cotton Mattras Group - Woman Group	Gapong Village, Cibal Sub District, Manggarai District, East Nusa Tenggara
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Flodosius Asmin	Ate	F	Community Member	Water group and livestock group	Gapong Village, Cibal Sub District, Manggarai District, East Nusa Tenggara
Silfinus	Jehatu	F	Community Member	Water group and livestock group	Gapong Village, Cibal Sub District, Manggarai District, East Nusa Tenggara
Susana	Lulus	F	Community Member	Water group and livestock group	Gapong Village, Cibal Sub District, Manggarai District, East Nusa Tenggara
Wilhemus	Pantur	F	Community Member	Water group and livestock group	Gapong Village, Cibal Sub District, Manggarai District, East Nusa Tenggara
Yohanes	Demam	F	Community Member	Water group and livestock group	Gapong Village, Cibal Sub District, Manggarai District, East Nusa Tenggara

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Marselinus	Hasan	M	Catholic Priest - Inisiator-Facilitator Bea Muring/SPARC Project	Bea Muring Catholic Parish Community	East Manggarai District
Matias	Mingga	M	Secretary	Bappeda East Manggarai District	East Manggarai District
Ferdinandus	Mbembok	M	Head of Economy Development Division	Bappeda East Manggarai District	East Manggarai District
Katarina	Setia	F	Staff for Program Planning, Data and Evaluation	Bappeda East Manggarai District	East Manggarai District
Silvester Nobi	Robin	M	Head of Deno Village	Deno Village	Poco Ranaka Sub District, East Manggarai District
Paulus	Sadan	M	Head of Kemas Proklam	Bea Muring Catholic Parish Community	Poco Ranaka Sub District, East Manggarai District
Ambrosius	Roni	M	Community Member	Organic Fertilizer Developer - Bea Muring Catholic Parish Community	Poco Ranaka Sub District, East Manggarai District
Edeltrudis	Tanggo	F	Community Member	Bea Muring Catholic Parish Community	Poco Ranaka Sub District, East Manggarai District
Kristiani	Mira	F	Community Member	Bea Muring Catholic Parish Community	Poco Ranaka Sub District, East Manggarai District
Kristoforus	D	M	Community Member	Bea Muring Catholic Parish Community	Poco Ranaka Sub District, East Manggarai District

Noberia	Marini	F	Community Member	Bea Muring Catholic Parish Community	Poco Ranaka Sub District, East Manggarai District
Albertus	Abu	M	Parish Priest	Bea Muring Catholic Parish Community	Poco Ranaka Sub District, East Manggarai District
Ronaldus	Wantas	M	Community Member	Bea Muring Catholic Parish Community	Poco Ranaka Sub District, East Manggarai District
Thomas Aquinas	Mbiru	M	Community Member	Coffee Production Division - Bea Muring Catholic Parish Community	Poco Ranaka Sub District, East Manggarai District
Daniel	Sudirman	M	Community Member	Bea Muring Catholic Parish Community	Poco Ranaka Sub District, East Manggarai District
Videlis	Vigis	M	Community Member	Bea Muring Catholic Parish Community	Poco Ranaka Sub District, East Manggarai District
Yohana Cecilia	Daputri	F	Community Member	Bea Muring Catholic Parish Community	Poco Ranaka Sub District, East Manggarai District
Yustina	Mita	F	Community Member	Bea Muring Catholic Parish Community	Poco Ranaka Sub District, East Manggarai District
Stefanus	Randut	M	Community Member	Bea Muring Catholic Parish Community	Poco Ranaka Sub District, East Manggarai District
Konstantinus	Mansur	M	Community Member	Bea Muring Catholic Parish Community	Poco Ranaka Sub District, East Manggarai District
Aloisius	Duas	M	Community Member	Bea Muring Catholic Parish Community	Poco Ranaka Sub District, East Manggarai District
Rofinus	Haman	M	Community Member	Bea Muring Catholic Parish Community	Poco Ranaka Sub District, East Manggarai District
Petromualdus Charly	Krowa	M	Priest	Bea Muring Catholic Parish Community	Poco Ranaka Sub District, East Manggarai District

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Yeremias	Taleng	M	Community Member	Paddy Field and water group	Liang Bua Village, Rahong Utara Sub District, Manggarai District
Yohanes	Nabit	M	Community Member	Paddy Field and water group	Liang Bua Village, Rahong Utara Sub District, Manggarai District
Yovita	Lilut	F	Community Member	Paddy Field and water group	Liang Bua Village, Rahong Utara Sub District, Manggarai District
Elisabeth	Mamus	F	Head of Community Group	Livestock - Pig Group	Liang Bua Village, Rahong Utara Sub District, Manggarai District
Lusia	Goarni	F	Head of Community Group	Livestock - Goat Group	Liang Bua Village, Rahong Utara Sub District, Manggarai District
Bibiana	Bis	F	Community Member	Livestock - Goat Group	Liang Bua Village, Rahong Utara Sub District, Manggarai District
Yovita	Jenaut	F	Community Member	Livestock - Goat Group	Liang Bua Village, Rahong Utara Sub District, Manggarai District
Sisilia	Ima	F	Community Member	Horticulture Woman Group	Liang Bua Village, Rahong Utara Sub District, Manggarai District
Venansia	Saiman	F	Community Member	Horticulture Woman Group	Liang Bua Village, Rahong Utara Sub District, Manggarai District

Yuliana	Umut	F	Community Member	Horticulture Woman Group	Liang Bua Village, Rahong Utara Sub District, Manggarai District
Merlin	Paus	F	Community Member	Horticulture Woman Group	Liang Bua Village, Rahong Utara Sub District, Manggarai District
Erna	Rut	F	Community Member	Horticulture Woman Group	Liang Bua Village, Rahong Utara Sub District, Manggarai District
Gerda	Geong	F	Community Member	Livestock - Pig Group	Liang Bua Village, Rahong Utara Sub District, Manggarai District
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Annex 4. Madagascar Case Study

Evaluation of Community Based Approaches at the GEF: Madagascar Country Case Study

Prepared by: Kate Steingraber, Evaluation Officer, GEF Independent Evaluation Office

March 2023



Mangrove restoration area in Ambavarano village supported by GEF project ID 3687

Photo Credit: Ariel Elyah

Background

In Madagascar, home to an unparalleled biodiversity in the African region, it is now recognized that community action plays an important role in ensuring effective stewardship and management of natural resources. In the 1990s there was a narrower focus on conservation without much consideration for

how to manage the people living around protected areas, user rights were not protected or acknowledged. Since the 1990s, driven by a shift in government strategy and reinforced by various projects, support to grassroots communities has continued to grow and become more formalized. This has seen projects move from a more 'top down' approach to one that is more 'bottom up' and reflects the role of communities as important stakeholders. From local social conventions, better known as 'Dina', to management transfers, the forms of community involvement in environment interventions have become more diverse over time.

This case study analysis situates the community-based approaches promoted by the GEF in their implementation context in Madagascar. The case study was carried out for the Evaluation of Community Based Approaches¹ at the GEF by the GEF Independent Evaluation Office.

Laws, policies, strategies that support community-based approaches in Madagascar

Formal mechanisms

Community-based interventions in Madagascar are governed by a number of formal regulations at the national level, including:

1. Law No. 96 025 on the Local Management of Renewable Natural Resources, commonly known as the "GELOSE Law" (September 30, 1996): This law defines the regulatory framework for the transfer of natural resource management to the grassroots communities or COBAs (communautés de base). Among other things, it provides for a management contract binding the community, the State or its local representation, the Commune, and the designated manager of the protected area. The GELOSE law is one of the legal bases for the explicit recognition of the role of COBAs in conservation.
2. Decree No. 98 610 (August 13, 1998) on Relative Land Tenure Security: defines the procedures for recognizing and delimiting the land occupied by the local community that benefits from the management of renewable natural resources. Note: In the legal context of Madagascar, a decree (issued by the executive branch) is easier to repeal than a law (issued by the legislative branch).
3. Decree No. 2000 027 on COBAs: in line with the GELOSE law, this decree specifies the structure and operating procedures of the grassroots communities that may be entrusted with the management of renewable natural resources.

4. The protected areas code (COAP) came into law in 2001. It set out the principles for the existence of the network, notably the need to represent Madagascar's diverse ecosystems through a mosaic of territories in order to represent and conserve the national natural heritage. Madagascar National Parks was mandated to manage the national network comprising parks and reserves in IUCN categories I, II and IV, but was also called upon to encourage and support the creation and consolidation of privately owned and managed reserves known as voluntary protected areas. **A new COAP was established in 2015**

The "Dina"

The Dina is a kind of collective agreement that straddles the line between the formal and the informal. Its scope is generally limited to a well-defined territory. The existence of the Dina predates the existence of the regulatory texts governing COBAs. In addition, some Dina - outside the environmental context - provide for the death penalty for violations of established community codes. This is the case, for example, of the *Dina Menavozo* (red throat), which was intended to combat theft and organized crime in certain regions of south-eastern Madagascar.

Because of their potentially violent nature, Dina are not universally accepted in official legislation, though it is legally recognized as a form of bylaw under the national Dina Law of 2001. Nevertheless, as local collective agreements, they are present in the customs and traditions of communities and therefore critically important for projects that employ a community-based approach. Dina related to community based natural resource management should normally be submitted and approved by the court to ensure alignment with legislation.

The COBAs themselves are accustomed to calling the internal regulations governing their members, *Dina*. Penalties, often financial - called "*vonodina*" - are applied in case of infringement of the community rules. Illegal logging by COBA members, for example, is subject to *vonodina*. Repeated violations of the terms of the Dina can lead to the exclusion of the offending member.

The political context in Madagascar

Starting in 2009, Madagascar experienced a decade of political turmoil. In March 2009, after a Coup d'Etat³, the President elected in 2002 was forced to resign and flee the country. This was followed by a transition period of nearly five years, marked in particular by tense relations between the Malagasy state, then led by Andry Rajoelina, and donors. It is in this politically challenging context that the design and implementation of GEF-5 projects took place.

Portfolio of projects using a community-based approach

To identify projects that were likely to include a community-based approach for the broader evaluation, a keyword search was conducted on data from the GEF Portal on project title, objectives and

components. Based on this keyword search a portfolio was identified for Madagascar and included eight projects, six ongoing and two completed (Table 1). Four ongoing projects were not analyzed for this case study: Sustainable Management of Conservation Areas and Improved Livelihoods to Combat Wildlife Trafficking in Madagascar (GEF ID 10233); Conservation and Sustainable Use of Biological Diversity in the Northwestern Landscape (Boeny region) (GEF ID 9606); Participatory Sustainable Land Management in the Grassland Plateaus of Western Madagascar (GEF ID 5354); Conservation of Key Threatened Endemic and Economically Valuable Species in Madagascar (GEF ID 5352). Field visit site selection prioritized closed projects, ongoing projects were selected to maximize the short time allocated to conduct fieldwork.

Table 1. GEF projects selected for site visits

GEF ID	Project Title	GEF Phase	GEF Agency	Financing	Project Status
3773	Support to the Madagascar Foundation for Protected Areas and Biodiversity (through Additional Financing to the Third Environment Support Program Project (EP3))	GEF - 4	World Bank	10000000	Completed Rating (outcome): Moderately Unsatisfactory
3687	Madagascar's Network of Managed Resource Protected Areas	GEF - 4	UNDP	5999611	Completed Rating (outcome): Satisfactory
5486	A Landscape Approach to Conserving and Managing Threatened Biodiversity in Madagascar with a Focus on the Atsimo-Andrefana Spiny and Dry Forest Landscape	GEF - 5	UNDP	5329452	Ongoing
10696	Inclusive conservation of sea turtles and seagrass habitats in the north and north-west of Madagascar	GEF - 7	UNEP	3370320	Ongoing

Table 2. Project objectives, data on community-based approaches used in projects

GEF ID	Objective	Components using community-based approaches	Community based approaches described in project documents

3687	Expand the PA system of Madagascar by developing a sub-network of managed resource protected areas in represented ecological landscapes, comanaged by local government and communities and integrated into regional development frameworks.	Component 2 - Institutional capacity & decentralized PA governance framework for MRPA. Component 3 - Public-private partnerships & financial sustainability.	This project included some devolved decision making and accountability, legitimacy in the eyes of users through creation of participative boundaries, zoning and land use, and recognition of community land tenure ; and a strategy for sustainability of results – the project was designed in a way to be appreciated and appropriated by local communities and authorities by improving livelihoods based on revenues linked to sustainable resource use from the new protected areas, and also to safeguard interests of all stakeholders with respect to activities and benefits emanating from the site.
3773	The global objective of the project is to contribute to the preservation of the quality of regional and global commons through improved natural resources management and biodiversity protection in critical ecological regions, defined as national PA and their corresponding buffer zones and corridors. (GEF Objective)	Component B: Local community support and development: (approx. 90,000 households and over 1,000 grassroots community organizations) - including monitoring of safeguards implemented under EP3, implementation of compensation for communities surrounding two new forest corridors, mitigation of remaining conflicts around established PAs, and support to community-based organizations to increase involvement in PAs management notably through the community-based forestry management contracts.	Weak devolved decision making , project fell short of providing this power to local stakeholders whose livelihoods were affected by the creation of PAs. Note: The community-based approach used by the project mostly supported one time safeguards payments to offset the inability of communities to use forest resources for livelihoods.
5486	To protect biodiversity within the Atsimo Andrefana Landscape from current and emerging threats, and to use it sustainably, by developing a collaborative governance framework for sectoral mainstreaming and devolved natural resource management.	Component 2: Community-based conservation and sustainable use operationalized Outcome associated: Landscape level planning and economic analysis support the mainstreaming of biodiversity into management of the Atsimo Andrefana Landscape, covering three districts and totaling ~2.4 million hectares	This project included limited devolved decision making and accountability , communities were consulted in design; partial incorporation of local institutions and customs ; and moderate consideration of sustainability of results through the landscape governance approach and expected benefits through livelihoods activities.

10906	Adopt integrated approaches for inclusive conservation of sea turtles and seagrasses and the sustainable management of their habitats in North-West Madagascar	<p>Outcome 2: Improved management of marine turtle and seagrass habitats in the project sites</p> <p>Outcome 3. Local communities and private sector adopt sustainable livelihood and business practices that address sea turtle and seagrass conservation</p>	<p>Devolved decision making through the involvement of community members in the selection of income generating activities to pilot (combined with analysis of what is suitable); accountability of implementation to users – the project will set up and manage a grievance redress mechanism (GRM) as recommended that would address project affected persons; incorporation of local institutions and customs – the project will ensure that the agreements with Community Associations do not violate traditional natural resources right system of the local people in favor of the Associations and compliance with Dina; sustainability of results – plans exist for financial and institutional sustainability, as well as environmental sustainability.</p>
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Evaluation methods and approach

Data collection methods

As a first step, project documents were reviewed to gather a list of key stakeholders to interview, learn more about project context, design, and achievements, and help decide selection of field visits. Key informant interviews were carried out before the mission (remotely), and during the mission with more than 50 stakeholders in Antananarivo (national government officials, agency staff, national level implementing agency staff, civil society, other stakeholders with knowledge of the environment sector in Madagascar) and in the regions (regional government, regional NGO staff, academia, local government, and community members) (see Annex A for list of persons consulted). With local communities the evaluation carried out focus group discussions and made efforts to include the voices of vulnerable groups and women.

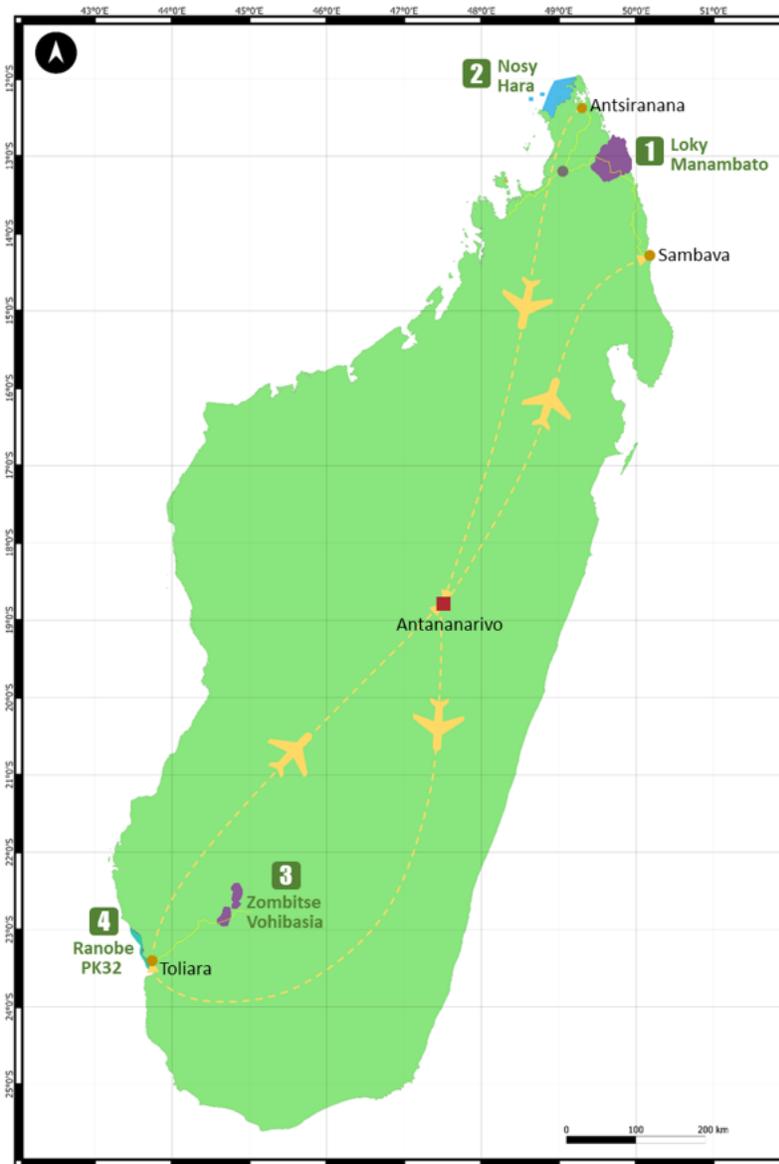
Site selection criteria

Of the eight projects identified as part of the Madagascar portfolio covered by this case study, four were selected for field visits. Closed projects were prioritized, and then within the resource and logistical constraints of the mission (most of the project sites are remote⁴ and dispersed throughout the country)

two ongoing project sites were selected. Some of the sites were so remote that villagers traveled up to two days to a central location to be able to participate in interviews.

The evaluation mission took place from November 3 – 18, 2022 and was led by Kate Steingraber, GEF Evaluation Officer, GEF IEO with support from Ariel Elyah, Independent Consultant. The evaluation mission met with stakeholders from the following project sites, numbers from the table reflect the numbers on the map of site visit locations.

GEF ID and project name	Sites visited/met with representatives from communities
1. 3687: Madagascar's Network of Managed Resource Protected Areas (closed)	1. Andranotsimaty (Loky Manambato PA) 2. Ambavarano (Loky Manambato PA)
2. 10696: Inclusive conservation of sea turtles and seagrass habitats in the north and north-west of Madagascar (ongoing)	3. Community members from four communities in the Diana region (around the Nosy Hara PA), namely Lalandaka, Antsako, Ankingameloka and Ambaro in the district of Antsiranana II.
3. 3773: Support to the Madagascar Foundation for Protected Areas and Biodiversity (through Additional Financing to the Third Environment Support Program Project (EP3) (closed)	4. Beba Manamboay (near Zombitse Vohibasias PA) 5. Andasy (near Zombitse Vohibasias PA) 6. Andranomaitso (near Zombitse Vohibasias PA)
4. 5486: A Landscape Approach to Conserving and Managing Threatened Biodiversity in Madagascar with a Focus on the Atsimo-Andrefana Spiny and Dry Forest Landscape (ongoing)	7. Ankilimalinika (Ranobe PK32 PA) 8. Maromiandra (Ranobe PK32 PA) 9. Andabotoka (Ranobe PK32 PA) 10. Mamery (Ranobe PK32 PA)



Map of sites visited by IEO mission

Limitations

The IEO mission was limited in the number of sites it could visit due to time constraints, many potential sites, and a decision to focus on remote sites due to stakeholder feedback received during initial consultations. Consequently, the case studies do not systematically conduct in-depth analysis to draw causal relationships between all project activities and outcomes, but rather they collect qualitative data

(supplemented by quantitative data where available) to gather stakeholder feedback, understand the reasons for success or failure of CBA, and look at sustainability post completion. The site visits focused primarily on CBA components or activities. IEO relied upon project self-evaluation or independent evaluation reports, complemented by primary data collected by the field team to carry out analysis. The geospatial analysis was conducted with the best data available in the closest proximity to the starting and ending points of the project, and the time period after completion, but these are not precisely aligned with actual start and ending dates of the project.

Findings:

KQ 1: How relevant have GEF projects that use community-based development approaches been to the national priorities of GEF recipient countries?

All groups of stakeholders consulted (central and local government, implementing agency staff, GEF agency staff, NGOs, academia and community members) agreed that community-based approaches are highly relevant in the context of management of protected areas and the buffer zones surrounding them in Madagascar. There are two main dynamics that were mentioned as factors that emphasize communities in PA management. The first is a lack of resources to manage the large land area encompassed by protected areas. Communities are seen as a valuable resource to support forest patrol and ecological monitoring activities. The second dynamic is the role that human actions play in deforestation. Communities in and around the PAs rely on natural resources for livelihoods and subsistence including but not limited to clearing land (slash and burn) for agricultural practices or grazing zebu (cattle); charcoal production; mining (legal and illegal); timber extraction; illegal poaching, etc.

Stakeholders interviewed identified the mechanisms through which they see CBA projects (including those financed by the GEF) addressing environmental challenges, these included: socialization and/or education about the need for and value of protecting the environment; creating a sense of ownership for the protected areas; developing capacity of local communities to manage resources; capacity building and provision of assets that promote sustainable livelihoods. Creating a sense of ownership was identified by stakeholders as important to increase the likelihood of sustainability of outcomes. A few other viewpoints were shared on the relevance and value-add of the community-based approach in Madagascar:

- Multiple stakeholders reflected the view that the previously employed ‘top-down’ approach hadn’t been successful or wasn’t relevant given the context which necessitates taking community needs into consideration when designing a project.
- The relevance of the approach was linked to equity issues by some stakeholders who see efforts to leverage community-based approaches to make everyone less poor, versus making some individuals better off from project activities.
- Cost management was seen a value-add of the community-based approach, with CBA it’s possible to federate many stakeholders which makes the limited project funds go farther

KQ 4: Have community-based approaches influenced and contributed to better environmental and socio-economic outcomes?

The data on broader environmental impacts (environmental status change) associated with completed GEF-financed activities using community-based approaches is limited, this is reflected in project documents and confirmed with key stakeholders. However, there is data on environmental outputs and outcomes associated with the projects (expanded coverage of protected areas, number of hectares under improved management, etc). Data on socioeconomic outcomes is limited. Broadly speaking, both government and NGO stakeholders reported that while there is an historical lack of robust monitoring and evaluation of environmental and socio-economic outcomes at the project level, there has been a shift towards collecting community level data both on ecological trends and human wellbeing associated with recently designed projects. Although they were unaware of any examples where project level ecological reporting was consolidated or reported up, there is an incentive for communities to continue the ecological monitoring started by the GEF projects because it's usually a prerequisite for financing from future projects led by NGOs.

Some stakeholders attributed any perceived lack of broader impact of CBA projects to project design choices and targeting, indicating that because of the big surface area targeted and insufficient budget, the projects have focused on breadth (wide coverage) over depth (more resources provided to each community/household). In general, stakeholders thought community co-management works well for both environmental and social outcomes, pointing to more success along both dimensions in communities with access to nearby economic activities (for example, communities located next to a national park benefit from revenue streams associated with tourism, men serve as tour guides and women make handicrafts or food items to sell).

Here data on project environmental and socio-economic outcomes is presented for the two closed projects visited by the evaluation mission. Information is sourced from project documents, supplemented by interview findings.

1. GEF ID 3773: Support to the Madagascar Foundation for Protected Areas and Biodiversity (through Additional Financing to the Third Environment Support Program Project (EP3))

Environmental Outcomes: The IEG performance evaluation report (PPAR) conducted an ex-post evaluation of this project, finding the following:

- The project increased the coverage and helped expand the number of Protected Areas in Madagascar, directly supporting the management of 33 Protected Areas covering 2.7 million hectares of land and supporting the expansion of 860,000 hectares of land under PAs (through newly established or expanded protected areas). However, management was found to be unsustainable due to lack of institutional capacity and insufficient financial resources (PPAR, 11).
- The EP3 project contributed to natural resources protection in a fragile setting (during the political instability described above), ensuring that donors, environmental NGOs, and other stakeholders would collaborate under a single framework (PPAR, 11).
- In spite of the expansion of PAs, GIS analysis conducted by IEG found that the increased placement of forest habitat under PAs in the EP3 did not result in the envisioned reduction of deforestation rates (PPAR, 13).⁵

Field visits confirmed what was stated in the PPAR. Stakeholders at the implementation level reported that the environmental benefits were heterogeneous, differing between each PA (as reflected in the Geospatial analysis conducted by IEG). They also said that the pressures on the PAs were difficult to overcome, especially those relating to migration. However, one aspect of the project was seen as successful and sustained - field visits and interviews with community stakeholders and NGO staff confirmed that capacity building and community forest patrols were effective, helpful to the regional government, and that community forest patrols were still ongoing, in some instances on a voluntary basis. In two of three of the villages visited, other organizations (such as Madagascar National Parks) had taken over funding of forest patrol activities, where community members could earn a modest sum of money either to conduct the forest patrols on their own, or to serve as guides for Madagascar National Park staff to conduct the forest patrols. The incentive to continue the forest monitoring activities is linked to the expectation that doing so would make the community more attractive or eligible for additional project activities, however community members stated that they also saw the intrinsic value in the activity.

Socioeconomic outcomes: Local communities surrounding PAs did not see agricultural incomes improve or livelihoods restored as a result of project support (PPAR, 16). Failure to address agricultural productivity around the PAs was identified as one explanatory factor for the continued deforestation occurring in PAs supported by the project. The community development activities funded by the project reached less than half of the intended beneficiaries, most of whom expressed dissatisfaction with compensation activities through project surveys. The PPAR analyzes secondary data on the incomes of households located in project villages supported by safeguard activities (meant to offset loss of income from inability to use the newly formed PA) and villages without support and found no significant difference between the two groups of households (PPAR, x).

Feedback from project stakeholders in the field complements what was reported in PPAR. Project benefits were not felt widely across communities, which may be attributed at least in part to the amount of resources allocated per village. This was validated in both villages visited by IEO, where the community members reported that very few people benefitted from the project's activities to support livelihoods – in one village 11 people in a village of 400 received seeds for cash crops and although agricultural implements were meant to be shared between community members the resources provided were considered insufficient. In a second community visited by IEO with a population of 4,000 people, 20 households received cassava seeds and agricultural implements.

2. GEF ID 3687: Madagascar's Network of Managed Resource Protected Areas

Environmental outcomes: The MRPA project supported creation of five protected area sites, encompassing 1,464,972 HA, and it also set up baseline inventories for the five sites, management support, and community ecological monitoring systems. According to the Terminal Evaluation (TE), a total of 90 patrol missions were conducted over the course of the project, and analysis showed that this is associated with a drop in the number of breaches of the protected area from 2014 to 2015. The project developed the institutional capacity of village organizations to monitor land use. At project close there were 80 village organizations supported, with management contracts signed, however the capacity to enforce management actions associated with the contracts was considered variable in the TE.

From IEO field visits to the Daraina commune, community members estimated that around 70% of community members are sensitized to protect the environment, while around 30% continue to practice slash and burn. The women's association in Ambavarano village, benefiting from the MRPA project, reported an example of environmental conditions improving through a women led mangrove reforestation subproject. The mangrove is reportedly a good habitat for crabs. The crabs are harvested for self-consumption and for sale to collectors during the rainy season. Fishing is one of the most important livelihood activities in this area, so the mangrove restoration activity directly supports this important source of income. IEO validated the communities' reports of improved environmental status for the mangrove forests through GIS analysis, and found that the area supported by the project, bordering the Ambavarano village, did in fact see an increase in mangrove coverage. These GIS findings are presented in the sustainability section below.

Socio-economic outcomes: The terminal evaluation reports ongoing support to income-generating activities including market gardening crops, small animal farming, winnowing, ecotourism, fish farming and beekeeping.

During field visits, community members reported that the project had a good balance between social and community development outcomes, creating and supporting vanilla, cashew and octopus value chains, and ecotourism. The success of the livelihoods activities is linked to involvement of Sahanala⁶ social enterprise, which links local producers to certification process and value chains that allow for their goods to be sold domestically and internationally. Formerly supported by the MRPA-GEF project, the association of local fishermen in Ambavarano became a robust federation in 2018. Since then, this community-based structure collaborates with Fanamby and Sahanala for comanaging the fishery resources around. The collection center for fishery products contributes to socioeconomic development of the villagers, while supporting their environmental tasks. The center establishes environmental specifications and standards for collected fishery products. Any fishermen wanting to deal with the center must follow these rules. This collection center is comanaged by Sahanala (private sector), Fanamby (NGO), and the Ambavarano community itself. The crops produced by communities that were supported by Sahanala include vanilla, cashew nuts, patchouli and spices. Other economic activities created by the project include Camp Amoureux in Menabe Antimena and Camp Tattersalli in Loky Manambato (Camp Tattersalli was currently in disrepair during the time of the mission due to the lack of revenue from reduced tourism during COVID, but plans are underway to repair the camp). There are also agreements in place with a local hotel in Nosy Ankao which purchases fish and vegetables (photo 1) from producers under an arrangement supported by the project. Consequently, the fisher groups interviewed report a change in mentality and mindset as they view the natural resources as an asset that must be protected for future generations.



Photo 1. The MRPA-GEF project supported the implementation of community-led farming, this family chose to farm vegetables. Until now, some farmers continue to their plots, the produce from this plot is sold to a private sector partner (Miavana Time and Tide).

3. GEF ID 5486: A Landscape Approach to Conserving and Managing Threatened Biodiversity in Madagascar with a Focus on the Atsimo-Andrefana Spiny and Dry Forest Landscape

This project is ongoing, but project activities are ending in late 2022/early 2023, preliminary results related to the project include the forest patrols and ecological monitoring as well as activities to sensitize people to the need for forest preservation and protecting water resources. The project team plans a socio-economic survey for the terminal evaluation, but project documents do not mention baseline data collection for comparison of before/after project activities.

KQ 5: What factors have influenced the usefulness and value-added of community-based approaches to the performance of projects using them?

IEO collected feedback about the factors or challenges that influence the usefulness, value-add, and ultimately performance of projects that use a community-based approach. Some of the factors for success and challenges relate to good project management (such as consistency of project teams, good working relationships, land tenure issues, remoteness of project sites and lack of infrastructure, issues related to migration, pressures on land use related to draught etc.) and are not presented, instead the focus here is on factors specific to GEF projects that use a community-based approach.

CBA projects that provided support to regional governments were appreciated. GEF funding was provided not only for project implementation (through an NGO) but also to support the work of regional government officials. The direct support for regional authorities reduced cost of interventions for national authorities, and improved the attitude of the regional government toward the project as they felt ownership and increased trust, a sentiment that was also perceived by some project stakeholders (GEF ID 3773 and 3687) as a factor that contributed to improved performance.

In-depth, ex-ante analysis to inform design is necessary for interventions that reflect local context. Some stakeholders identified an element that was lacking in some of the CBA projects in Madagascar - in-depth contextual analysis of each community (or at minimum of the issues at regional level) including analysis of community needs, explore relevant governance structures, assess access to value chains, and understand specific drivers of environmental degradation. Some tangible examples of how this could impact project performance includes allowing projects to tailor activities (such as financial procedures) to align with seasonal nature of agricultural activities, to ensure that any livelihood activities are linked to markets. Consultations that are inclusive, locally led, and include extensive fieldwork were described as the best approach. For example, the EP3 project (GEF ID 3773) was seen as having an insufficient analysis which contributed to ill-selected livelihoods as part of one-time safeguards payments for some communities that were not appropriate for the context, nor linked to markets which lead to a lack of sustainability.

Continuous tailored community sensitization and capacity building is important. An example of where this was a limiting factor comes from GEF ID 5486 – stakeholders reported that some project activities did not align with community capacity and resources, and that planning activities were seen by regional government stakeholders as too high level and theoretical for communities. For example, the species monitoring, and biodiversity observation activities required access to computers, which wasn't always possible given the context in remote communities.

Strong and continuous communication with communities was seen as a factor for success. Project stakeholders highlighted good communication campaigns associated with GEF ID 3687 which explain the rules of interventions, roles for community members, expected benefits, and education about the natural resources that need to be protected and why. An example of why this is especially important is seen in frustrations expressed by community member associated with GEF ID 5486 who cited the lack of communication about promised project activities. In this instance, community members felt that they were promised project activities that they hadn't yet received as the project was coming to an end, however it is important to note that women and vulnerable groups did receive project support, it was the remainder of the community that felt that they didn't receive the promised activities. When project activities are promised and not delivered it creates frustration, negative feelings toward the project and

its implementers, and (worse case) retaliation in the form of forest fires.⁷ Communities also report becoming disenchanted with government and project staff changes, and with long inception periods and drawn-out times between when project is introduced and activities hit the ground, these challenges can reportedly be at least partially mitigated by communication.

Participation of NGOs with strong local knowledge and ongoing commitment to communities is tied to performance and sustainability. Stakeholders linked the level of involvement of NGOs as an important factor not only for performance, but also sustainability. A factor credited with the continuation of forest patrol efforts in communities where other activities financed by projects had stopped was the continual involvement of key partners (Madagascar National Parks was highlighted), and the amount of time and effort they had put in with communities during the early phases of the project to explain the importance of supporting efforts to reduce environmental degradation in protected areas. In contrast, the lack of long-term NGO engagement associated with the GEF ID 3773 project in the Toliara region was considered a hindering factor, as once the NGOs are seen as gone from the area there are reports that the activities they promoted (avoidance of slash and burn agriculture, promotion of forest monitoring, etc.) decline or erode.

Reasonable expectations in terms of objectives and project timelines are important. Stakeholders indicated that it's important that targets reflect reality on the ground (which may differ between regions or communities) and that longer time horizons may be necessary to create the capacity to work together with communities. This was also seen as a challenge, with projects that last three to five years, the time period is insufficient to demonstrate sustainable outcomes for the environment and for communities.

Level of stakeholder involvement during design is important. Implementing NGOs, who are often very knowledgeable about local context and conditions in project areas, reported that they were not offered a chance to provide feedback on project design – projects were presented in a 'take it or leave it' approach. More inclusive consultations procedures would be beneficial, involving stakeholders at different levels, from community representatives to regional and central governments and the private sector.

A 'patchwork approach', where project activities supported some, but not all, communities around a PA limited impact. The field team learned that many donor supported projects (not just the GEF) use what is described as a patchwork approach, where a project would support some (but not all) communities near a protected area. The other communities may or may not be participating in other projects funded by other donors. This approach makes it difficult to see consolidated environmental and social impacts associated with GEF projects that use a community-based approach. This relates to sustainability as well, because different donors have their own priorities and ways of working with communities, in the example of the MRPA project, stakeholders reported that the projects that came after the GEF do not have such strong links to the community level.

KQ 6: To what extent are the results of GEF projects that use community-based approaches sustainable?

Stakeholders at all levels expressed a recognition of the importance of maintaining the integrity of the protected area and a commitment to supporting outcomes achieved by projects, though they faced many challenges in the form of pressures related to migration, mining, forest fires and lack of livelihood

support (in addition to other socioeconomic challenges such as health, water and sanitation, and education). Key informants described the following elements as important for sustainability:

- The importance of considering continuity of project activities when designing the project. Projects should be explicit about how sustainability (especially financial and institutional sustainability) will be ensured.
- Sustainability depends on continued financing of implementing NGOs and communities, continuation of any partnerships established (for example with the private sector).
- There can be ownership and sustainability within one commune or an area that has community-based protection, but there may be other issues in a nearby commune with different level of support or different management system which impacts overall sustainability of the protected areas of interest. This is linked to the use of a patchwork approach in working in and around protected areas as described in the previous section.
- Sustainability of livelihoods activities was seen as unlikely for the EP3 project (GEF ID 3773) given the lack of prior analysis (ie improper seeds for the climate, insufficient agricultural implements) and lack of connection to markets/value chains.

In general, the stakeholders interviewed expressed the perception that activities that seem to have been sustained past project close are those considered 'soft' such as training, capacity building, education campaigns, while activities that were considered 'hard' or more tangible (infrastructure, assets for income generating activities etc.) tended to be less likely to be sustained. This was reflected in observations from field visits where agricultural inputs/activities were not yielding benefits (or yielded limited benefits to a few individuals) versus the community education campaigns or capacitation for forest patrol which seem to be leading to some behavior change through influencing mindsets around the need to care for protected areas.

The main aspect of the EP3 project (GEF ID 3773) that continued was the existence of the CLPs (Local Park Committee) and the continued activities of forest patrols. The forest patrol activities are seen as very effective and helpful for the regional government and communities gave examples of when they had caught poaches or other people behaving improperly in protected areas and brought them to local authorities for prosecution⁸. One example of a highly functional CLP is in Andasy village, where the CLP is still active and functional and has expanded from an original five members to nine. There is also a CLP support committee with 11 members, four of whom are women (photo 2).



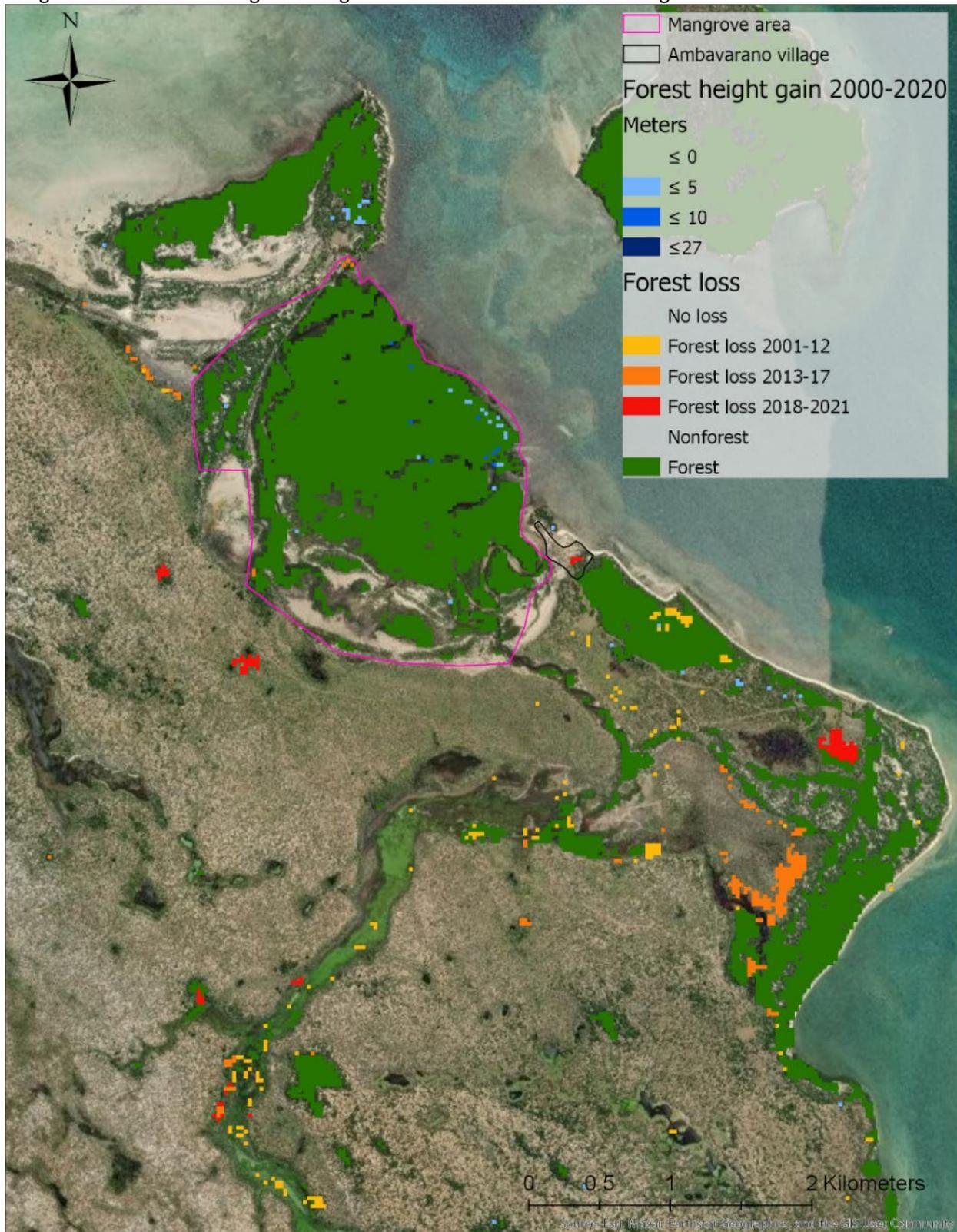
Photo 2. Andasy Village CLP Committee and newly formed CLP Support Committee, which added women in supporting roles

Forest patrols also continue in the Loky Manambato area, associated with GEF ID 3687. Additionally, Conservation efforts in Loky Manambato are working well, with communities reporting relatively few forest fires and little illegal logging.

A GIS analysis of the MRPA (GEF ID 3687) project activities encouraging protection of a mangrove forest near Ambavarano village supports the assertions by the community that the project contributed to positive environmental status change. As a starting point, IEO analyzed forest loss and gain data between 2000 and 2021 (Hansen et al, 2013 and Potapov et al. 2022) in the project area, shown in Image 1. As Image 2 shows, during the time periods preceding the project, during the project, and after the project, the areas to the southeast and due south from the village experience forest loss, while in the mangrove forest, the forest cover increased. Given the long-time span, and lack of geographical

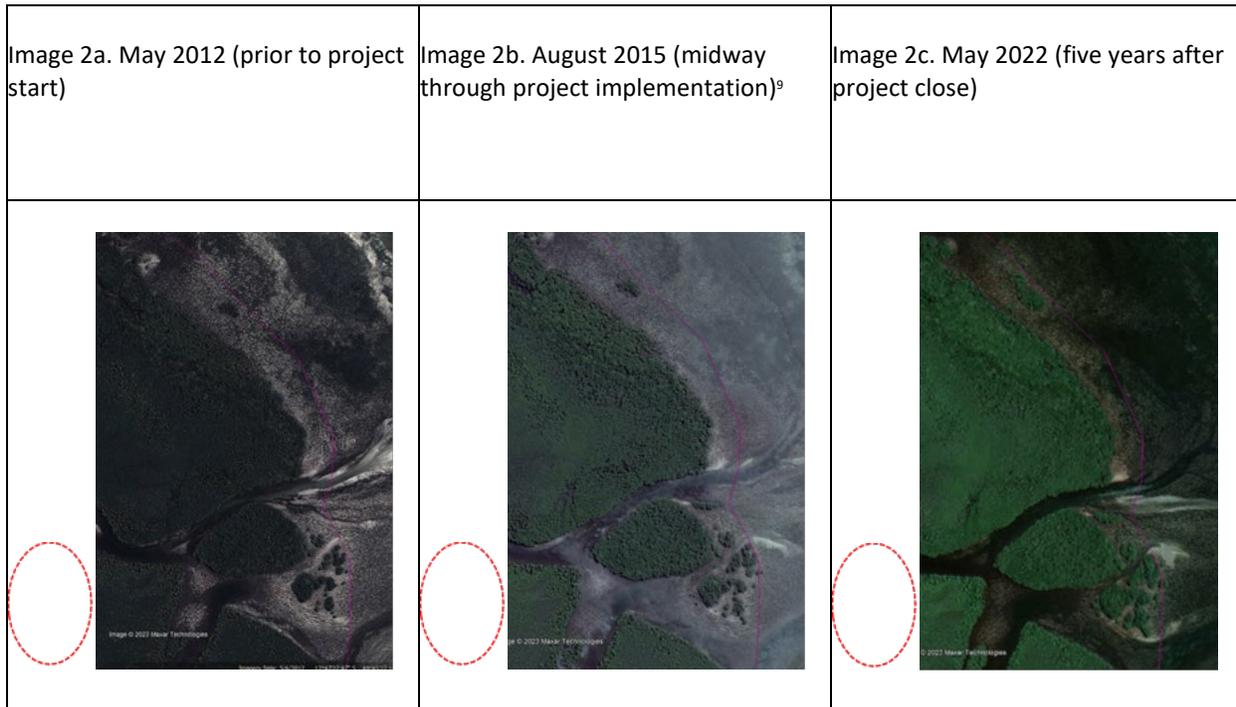
precision in the forest cover data (datasets are global and may lack precision at the local level), further analysis was undertaken using high resolution images available in Google Earth.

Image 1. Forest cover change in mangrove forest near Ambavarano village



Note: The area encircled in pink is the mangrove areas that the communities describe supporting through the project. The village of Ambavarano is located southwest of the mangrove forest.

Image 2. Google Earth high resolution image of mangrove forest



Images 5a-c further validate the environmental change in mangrove reported by the women supporting the forest. Image 5a is from before the project began implementation, image 5b is from during implementation, and image 5c, showing noticeable mangrove regrowth, is from five years after the project closed. This shows, at least on a small scale, the environmental status change associated with project activities, and sustainability after project close.

In addition, the livelihoods activities supported by the project in collaboration with Fanamby/Sahanala NGO (as described in the previous section, Sahanala works to connect local producers to national and international markets) continue as of November 2022, the ability of communities to access domestic and international markets has contributed dramatically to sustainability of the livelihoods activities. From interviews, IEO learned that not all project areas exhibited this level of success for the livelihoods component of this project. IEO notes that Sahanala has a distinct advantage in this area where vanilla production and international trade have been established for some time.

KQ 7: To what extent are there tradeoffs or tensions between environmental objectives and economic needs of people living in project areas? Does this affect the sustainability of interventions using community-based approaches?

The narrative of protected area management in Madagascar is underpinned by the tension between short term economic needs and long-term environmental needs. Examples of where projects have addressed the different needs are found in the projects examined for the case study, most notably:

GEF ID 3687: This project was designed in a way to address the short-term socio-economic needs through efforts to improve livelihoods. The livelihoods activities were linked to domestic and international market through partnership with a local organization. The rationale for the livelihood activities was linked to sustainable resource use of resources from the protected areas, this was accompanied by intentional efforts to safeguard the interests of stakeholders that benefited from and contributed to managing the protected areas. As people have more secure alternative sources of income, they feel less dependent on natural resources to survive and this can reduce pressure on natural resources.

GEF ID 5486: This project also provided some support for livelihoods through provision of seeds, implements, and other livelihood support. The project conducted socialization and education of community on their role in protected area management. Communities were sometimes paid, but sometime worked on a voluntary basis, to conduct forest patrols, report livelihoods activities and conducted socialization and education of communities on the role they were being asked to play in protected area management.

When asked how to address this tension stakeholders had the following feedback:

- It is important to have investment for communication and education on the tradeoffs related to the environment and social dimensions, this is reflected in the design of GEF ID 10696 and project team's efforts to educate communities to manage their coastal resources and protect the species that live there while also providing information about the short term economic benefits that would be received through project activities. It is also important to be explicit about the tradeoffs in the design of the project.
- The context and analysis of projects must acknowledge poverty/dependence on natural resources and on valuing local knowledge, to address the tradeoffs it's important to understand the individual context at the selected project site, and recognize that GEF interventions should not only focus on environment, but must also consider livelihoods and holistic thinking about the broader needs of communities (schools, roads, health).

Crosscutting: Gender and Inclusion

Stakeholders reported some challenges moving forward on gender, but there was widespread agreement on the importance of continued efforts to intentionally integrate women into project activities. Some regions were described as more difficult for encouraging female participation in project activities, for example, in the southwest part of the country women are traditionally less involved in decision making and there are social norms prevent women from participating. Some success has been found in social marketing campaigns to enhance participation, but it remains a challenge.

GEF projects (GEF IDs 3687 and 5486 stand out in this respect) conducted tailored livelihoods activities, and noted the importance of having complementarity in support between male and female community members (ie if the man works as a tour guide, the women can make and sell handicrafts). Stakeholders felt it was important to reinforce the role of women in management of local community activities,

through giving women leadership roles or encouraging their participation in management committees, or potentially through savings and lending groups. GEF ID 5486 targeted women and vulnerable people to receive project assets before other community members, they were given support in the form of needles and supplies for handicrafts in addition to materials for cultivating peanuts, however stakeholders reported that they attempted to grow the crop but felt that the climate of their area was insufficient to support a good peanut yield. GEF ID 3687 put women in charge of growing and restoring mangrove forests, as reported above, in Ambavarano village, the practice continues to date. Women in this project were also trained on vegetable growing and leadership management. The women's association is reported to be still active in Ambavarano.

There were some challenges with inclusion during project design at multiple levels. In general, members of the regional government staff felt there was a lack of representation of local governments in decision making processes. They noted the need before final validation of project concept to do more consultation with regional stakeholders to ensure that project design reflects field reality. In addition, some stakeholders reported that the EP3 project gave resources and power to those that were able to express their needs amongst the community, only the loudest. This is linked to education and capacity levels, but it's an example of how in some communities there are high-capacity stakeholders who can potentially coopt the benefits of the project.

Although it is early in implementation of GEF ID 10696, NGO staff did not feel they were directly consulted for their feedback on project design, but rather the project was presented to them. Community members associated with this new project suggested that only targeting individuals in that are members of associations can lead to feelings of exclusion among other community members. One solution offered by community members to these feelings of exclusion was to provide general infrastructure that is more likely to benefit the whole community.

Analysis and Main Findings

Communities play a critical role in protected area management in Madagascar. Stakeholders agreed that communities that live around protected areas not only contribute to environmental degradation but also have a critical role to play, along with other actors, in the management of protected areas.

There is limited evidence linking GEF CBA projects with broader environmental impacts and social outcomes in Madagascar. There is a lack of robust data collection on either type (environmental or socioeconomic co-benefits) of outcome, or broader impacts, at the project level (though newly approved projects have made some notable improvements in measurement including baseline data collection to show improvement, for example on livelihoods); one reason given as contributing to limited impact is the patchwork approach employed around PAs in Madagascar with not all communities around a targeted PA receiving the same level or amount of support.

CBA projects in practice were not as inclusive or participatory as they were described in project documents. The reality on the ground as perceived by communities and local stakeholders generally reflects less robust engagement than what is described in project documents, with some exceptions. Challenges remain in including women in projects and in integrating women into decision-making roles. The social aspects, including gender, of CBA projects are complex and require organizations with adequate capacity to support these projects.

Sustainability of livelihoods activities is mixed, and more likely to continue where robust links to markets were created or supported by projects. Training and capacity building related to livelihoods was valued, but the productive assets were either not maintained or not sufficient to cover more than a few people in each community, diluting any impact on socioeconomic status. Appropriately tailored activities, linkages to markets, and ongoing support from organizations with technical expertise in livelihoods made success more likely.

Sustainability of forest patrol activities is strong and likely to continue, and was linked to behavior change supported through training and capacity building. Protected areas staff reported a continued lack in resources for forest monitoring, communities can help fill that gap. Directing payments to community members for carrying out or supporting forest patrols continues and provides a consistent source of income to participating community members. There are some examples of communities carrying out forest patrols on a voluntary basis, demonstrating their support to conservation efforts linked to the projects.

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Annex A: Persons consulted

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Gandy Arnaud	Manoelison	M	Senior Programme Officer	C3 Diego	Diego/Antsiranana
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Longin	Mahatoro	M	Mayor of Ankilimalinika & Chairman of FIMIADKI Association	Commune of Ankilimalinika	Commune of Ankilimalinika
Jaomise	Andriariziky	M	Mayor	Commune of Daraina	Commune of Daraina
Tsilegna	Pascal	M	Secretary-General of Maromiandra Commune Vice-president of FIMIADKI Association	Commune of Maromiandra	Commune of Maromiandra
Yacinthe	Razafimandimby	M	Regional Marine Coordinator / CI / PFGAP	Conservation International (CI)	Diego/Antsiranana
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Richelin	Jaomary	M	Terrestrial Conservation Manager, Loky Manambato	Fanamby	Vohemar, commune of Daraina
Gislain	Benoro	M	Field agent, Loky Manambato	Fanamby	Vohemar, commune of Daraina
Hortensia Bezara	Hosnah	F	Landscape Manager / Fanamby / PFGAP	Fanamby	Diego/Antsiranana
Serge	Rajaobelina	M	Founder & Chairman of Sahanala, Founder of Fanamby	Fanamby / Sahanala	Antananarivo
Serge	Ratsirahonana	M	Monitoring and Evaluation Manager	FAPBM	Antananarivo
Hajarivo	Andrianandrasana	M	General Resources Officer	FAPBM	Antananarivo
Hanta	Rabefarihy	F	Ex-MRPA National Coordinator	GEF-UNDP-MRPA (2013 to 2017)	Antananarivo
Tertius Rodriguez	Belalahy	M	Manager of Terrestrial Protected Areas	Madagasikara Voakajy	Diego/Antsiranana
William Peterson	Andrianantenaina	M	Regional Director of Environment & Sustainable Development Interm	MEDD, Government / Atsimo Andrefana Region	Toliara
Claude	Christian	M	Regional Director of Environment & Sustainable Development (DREDD Diana)	MEDD, Government / DIANA Region	Diego/Antsiranana
Cyriaque	Rafanomezantsoa	M	Deputy chief of local forestry unit (adjoint chef cantonnement)	MEDD, Government / District of Sakaraha	District of Sakaraha

Bakoly Françoise	Rakotoarimanana	F	Chief of local forestry unit (chef cantonnement)	MEDD, Government / District of Toliara II	District of Toliara II
Paul Ali Mamichar	Nadiariniaina	M	Local forestry yardmaster (chef de triage forestier)	MEDD, Government / District of Vohemar	District of Vohemar
Rinah	Razafindrabe	M	Director General of Environmental Governance	MEDD, Government / National	Antananarivo
Christine Edmée	Ralalaharisoa	F	Ex-GEF Operational Focal Point, Technical Support Manager	MEDD, Government / National	Antananarivo
Hery Andriamirado	Rakotondravony	M	Current GEF Operational Focal Point	MEDD, Government / National	Antananarivo
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Hafany	Tombondray	M	Vice president of Association Tsimoka / MBG / PFGAP	Missouri Botanical Garden (MBG)	Diego/Antsiranana
Hervé	Solo	M	Operations officer	MNP Diego	Diego/Antsiranana
Onja	Ramamonjy-Ratrimo	F	Comanagement & Development Officer	MNP National Office	Antananarivo
Juliette	Raharivololona	F	Park Director, Zombitse Vohibasia	MNP Sakaraha	District of Sakaraha
Anselme Marcel	Atalahy	M	Operations officer	MNP Sakaraha	District of Sakaraha
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Marohay	Norbert	M	Community Member	Nosy Hara PA	Iftaty
Marisoa	Alda	M	Community Member	Nosy Hara PA	Iftaty
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Rivosoa	Rabenandrianina	F	Gender Director of Sustainable Development	Ministry of Environment and Sustainable Development	Antananarivo
Vanona	Mboty	F	Chairwoman	Mti local women's association in Vaillage Ambavarano (Fokontany Ansampilay)	Ambavarano
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Annex 5. Peru Case Study

Evaluation of Community Based Approaches at the GEF: Peru Country Case Study

Prepared by: Gabriela López Sotomayor, Independent Consultant

April 2023



Photo Description Jequetepeque River Basin, site of GEF ID 4773

Photo credit: Flickr

Background

Peru has a complex geography where 33 million Peruvians coexist within an enormous diversity of landscapes, species, and cultures, which define it as a mega-diverse country. Among other megadiverse countries, Peru is home to 70% of the planet's biodiversity. This biodiversity has an equally cultural heritage. According to the National Policy for the mainstreaming of the intercultural approach (2017), cultural diversity is an intrinsic value of Peruvian society and a resource for development. Peru is one of the countries with the greatest cultural diversity in the world, which is closely related to the extraordinary geographic, biological, and climate diversity existing in its territory.

This cultural richness is found in the diversity of peoples, cultures and expressions found throughout its regions. Peru has 47 indigenous languages spoken by nearly 4.5 million Peruvian men and women. There are 54 distinct groups of indigenous peoples located in the Andes mountains and in the Amazon basin, officially recognized in the Database of Indigenous Peoples of the Ministry of Culture, together with an additional portion of its population concentrated in the coast, from the Tumbes region to the Tacna region. Furthermore, there are more than 200 cultural expressions and practices of various peoples officially recognized as Intangible Cultural Heritage of the Nation. Today, the positive recognition of cultural diversity contributes to the need for the government to demonstrate the fundamental role that the right to cultural identity plays in the full exercise of citizen rights under equal conditions, as well as in the reduction of inequality, the elimination of all forms of discrimination, and the promotion of development that supports cultural identity and social inclusion.

Therefore, in recent years, the State has sought to act with cultural relevance and contribute to the elimination of discrimination, respect for cultural differences, social inclusion, and national integration. However, the political instability of the last few years and especially that which has existed since December 2022, exposes an uncertain political course.

At the level of the Ministry of the Environment-MINAM, restructuring and guidelines that support social inclusion have been developed. In 2013, the National Service of Natural Protected Areas by the State - SERNANP, restructured its Functional Operational Units-UOF, of the Management Directorate of Natural Protected Areas-ANP, incorporating for the first time a UOF for participatory management in ANP. This was followed by development of management guidelines in 2015, that were updated in 2018. These

guidelines make the following premise explicit: it is not possible to achieve a good state of conservation of biological diversity, if people do not get involved and obtain benefits from said conservation. As expressed in the guidelines, the ANP states its willingness to create institutional plans and improve the relationship with communities to work in a participatory and cooperative manner.

Similarly, in 2015 the Directorate of Biological Diversity of MINAM, began the formulation of the Guide for the Elaboration of Participatory Management Plans in Ramsar Sites, through a pilot with communities in the Ramsar Lucre Huarcapay¹ site. Later, the said guide was approved in 2018 through Ministerial Resolution (RM 186-2018-MINAM) to strengthen participatory social administration in local management, facilitating the incorporation of cultural and socioeconomic values in the management tool and in its implementation. As of early 2023, there are three Ramsar sites that have already developed their participatory management plan.

During this same period, the process of incorporating gender developed as a transversal approach in the elaboration of the Nationally Determined Contributions-NDC of Peru, by the key actors of five prioritized public sectors: Ministry of the Environment- MINAM, Ministry of Women and Vulnerable Populations- MIMP, Ministry of Culture- MINCU, Ministry of Agriculture and Irrigation-MINAGRI, and Ministry of Energy and Mines-MINEM. Between 2014 and 2019, the incorporation of a gender approach in the preparation of the NDC was fostered by the increased sensitivity to this issue in both national and international contexts. Although a commitment and political will to incorporate a gender approach in the elaboration of the NDC is evident so far, the mainstreaming process has only advanced in initial stages: commitments have been established, definitions have been created. Specific delineation of appropriate methodologies and tools will be carried out during the later stages at the regional and local levels.

Even with these advances, the number of socio-environmental conflicts in the country is increasing every month, with 221 social conflicts registered in December 2021,² of which 140 (63.3%) are related to socio-environmental issues, according to the report of the nation's Ombudsman's Office (Defensoría del Pueblo).

Taking into account the Peruvian sociocultural, environmental and institutional context, examining community based approaches (CBA) is highly relevant, since it is necessary to strengthen intercultural dialogues, build collective proposals and also because there is currently an opening of the State that previously did not exist and needs to be consolidated and strengthened for better performance in the implementation of inclusive strategies in the territories.

[Laws, policies, and strategies that support community-based approaches in Peru](#)

Currently in Peru, the CBA is highly relevant. In recent years the importance of including participatory approaches has been made explicit in national guidelines, and such strategies have been recognized in the role of the State. For many decades, this type of approaches has been promoted mainly by civil society. Formally, the community-based approach is being supported by various national and sectoral policies, laws and strategies:

- ILO Convention 169 concerning Indigenous and Tribal Peoples in Independent Countries. Peru has approved and ratified this Convention since 1993, which has two basic postulates: the right of indigenous peoples to maintain and strengthen their own cultures, ways of life and institutions, and their right to participate effectively in decisions that affect them. It guarantees the right of indigenous and tribal peoples to determine their own priorities with regard to the development process, insofar as it affects their lives, beliefs, institutions and spiritual well-being and the lands they occupy or otherwise use, and to control, to the extent possible, their own economic, social and cultural development.
- State policies³ within the framework of the National Agreement:
 - Policy 33: State policy on water resources. Approved on August 14, 2012. speaks to establishing water governance systems that allow the informed, effective and articulated participation of the actors involved in water resources.
 - Policy 34: Territorial Planning and Management. Approved on September 24, 2013. Promotes a strategic, integrated, effective and efficient process of territorial planning and management that ensures human development throughout the national territory, in an atmosphere of peace, which allows the convergence of interests, identities and cultures of the populations. It indicates that the State will regulate and promote a planned process of multiscale, intersectoral, intergovernmental, participatory territorial planning, as a tool for integrated land management.
 - Policy 35: Information society and knowledge society. Adopted on August 16, 2017. This policy expresses the commitment to promote an the sharing of information for a knowledge society oriented to integral and sustainable human development, based on the full exercise of people's freedoms and rights, and capable of identifying, producing, transforming, using and disseminating information in all human dimensions including the environmental dimension.
- Law N° 29785-2011, Law on the Right to Prior Consultation of Indigenous or Native Peoples, recognized in ILO Convention 169. This act regulates the right to consultation and prior, free and informed consent of indigenous peoples, whenever legislative and administrative measures affecting their collective rights are envisaged. The purpose of the consultation is to reach an agreement or consent between the State and indigenous or native peoples regarding the legislative or administrative measure that directly affects them,

through an intercultural dialogue that guarantees their inclusion in the State's decision-making processes and the adoption of measures respectful of their collective rights.

- Law N° 29792- 2011 of the Creation, Organization and Functions of the Ministry of Development and Social Inclusion, which was created to articulate the policy of development and social inclusion in the country. Its main objectives are to design, conduct, execute and articulate this set of policies and strategies aimed at promoting social inclusion.
- Presidential Resolution N° 50-2013-SERNANP, which restructures the Functional Operational Units of the Directorate of Management of Natural Protected Areas of the National Service of Natural Areas Protected by the State–SERNANP. This restructuring incorporates the functional Operational Unit of Participatory Management in the ANP.
- Supreme Decree N° 011-2015-MINAM, which approves the National Climate Change Strategy, and contains provisions to “Consider the gender and intercultural approach in relation to climate risk management, in national and development plans”.
- Presidential Resolution N° 222-2018-SERNANP, which approves the Participatory Management Guidelines in the National System of Natural Areas Protected by the State.
- Ministerial Resolution N° 186-2018-MINAM, which approves the Guide for the Development of Management Plans for Ramsar Sites, which contemplates a specifically participatory approach.

Portfolio of projects using a community-based approach

To identify projects that were likely to include a community-based approach for the broader evaluation, purposive sampling was used to identify projects from the GEF portfolio in the biodiversity, land degradation, climate change adaptation focal areas and related multi-focal area projects. Projects that were explicit in their use of a community-based approach in their title, objectives, or activities were selected. Based on this purposive sampling, a portfolio was identified for Peru and included four projects, two closed and two ongoing (Table 1). Table 2 includes information on the objectives, components using a community-based approach and the approaches described in project documents.

Table 1. GEF projects identified as using CBA approach in Peru

GEF ID	Agency	Focal Area	Status	GEF Phase	Project Title
10541	FAO, IUCN	Multi Focal Area	Ongoing	GEF – 7	Sustainable management and restoration of the Dry Forest of the Northern Coast of Peru
4773	IFAD	Biodiversity	Ongoing	GEF – 5	Conservation and Sustainable Use of High-Andean Ecosystems through Compensation of Environmental Services for Rural Poverty Alleviation and Social Inclusion (MERESE)
3933	IFAD	Biodiversity	Completed	GEF – 4	SFM Sustainable Management of Protected Areas and Forests of the Northern Highlands of Peru (Inkañaris)
3276	UNDP	Land Degradation	Completed	GEF – 4	Promoting Sustainable Land Management in Las Bambas (MST)

Table 2: Project objectives, data on community-based approaches used in projects

GEF ID	Objective	Components using community-based approaches	Community based approaches described in project documents
10541	To restore and sustainably manage the dry forests of the Northern Coast of Peru, facilitating the conservation of biodiversity and ecosystem services, increasing the resilience of communities and their livelihoods, and supporting the achievement of the Land Degradation Neutrality (LDN) target.	<p>Component 1. Promoting governance with multi-sectoral, multi-level and multi-stakeholder approach for the sustainable development of dry forests in Peru.</p> <p>Component 3. Sustainable production practices for the conservation of the natural heritage of dry forests in the Peruvian Northern Coast.</p>	<p>The project will strengthen an enabling environment for adequate participatory and inclusive management of dry forests in the North Coast of Peru.</p> <p>The project will seek participatory management of protected areas.</p> <p>The project works on strengthening information systems for decision-making on land use.</p>

			<p>The project contains a complaints and grievance mechanism and will report on consultation, participation, and engagement process report.</p> <p>Communities as in the stakeholder engagement report are information recipients (not involving in planning and revision).</p>
4773	<p>To protect and sustainably use the High-Andean ecosystems that provide environmental services, especially biodiversity and water, by transferring economic resources from downstream beneficiaries to upstream rural communities of the intervention watersheds.</p>	<p>Component 1: Conservation and Sustainable Management of High Andes Ecosystems.</p> <p>Component 2: Improvement of the Institutional Framework for Environmental Services in Peru through implementation of PES/CES schemes.</p>	<p>There project has devolved decision-making and accountability, and incorporation of local institutions and customs.</p> <p>The stakeholders in the watersheds have an active role in implementation.</p> <p>At least 30% of community groups are led by youth and women. A focus on promoting the participation of women and youth was also incorporated.</p>
3933	<p>To ensure the sustainable and participatory management of protected areas and communal forested lands in the Northern highlands of Peru while addressing existing barriers and threats.</p>	<p>1) Support to the regional system of protected areas in Lambayeque and Cajamarca</p> <p>2) Promotion of forest management in buffer zones of the protected areas considered in the project</p>	<p>Devolved decision making and accountability</p> <p>Incorporation of local institutions and customs.</p>

3276	Private sector, Government, NGOs and local communities interact constructively in support of SLM, taking advantage of corporate responsibility programmes of the mining sector	<p>Strengthening capacities of institutions and community representatives in Las Bambas to plan, propose and evaluate initiatives in support of SLM</p> <p>Strengthening capacities of farmers in Las Bambas to apply SLM</p>	<p>Incorporation of local institutions and customs</p> <p>Identifiable actions in implementation for the integration, improvement, strengthening, or recognition of local institutions, rules and rights but no authority to make decisions.</p> <p>Legitimacy in the eyes of users</p> <p>Sustainability of results</p> <p>Participatory planning, community management plans for grasslands and pasturelands (for elaboration of ecological economic zonification)</p>
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Evaluation methods and approach

Data collection methods

Initially, the documents of the four projects selected for the case study in Peru were reviewed. This review allowed to for identification of key institutions and actors to be included in the interviews. The original intention was to carry out field visits, but given the context of political crisis in the country this option was suspended then canceled.

18 virtual and telephone interviews were conducted involving 26 representatives of public institutions at the national and local level (MINAM, SERNANP), project implementing institutions (PROFONANPE, UNDP, IFAD-MINAM), members of local communities and associations (Laquipampa, Udimá, Tumbaden), members of regional platforms (Good Governance Platform MERESE Jequetepeque), a representative of a Municipal Water and Sewerage Company (EMAPA Cañete), representatives of civil society (CooperAcción), and a representative from a national level indigenous women's organization (ONAMIAP).

The virtual interviews were conducted between January 5 and February 23, 2023. (See full list in Annex 1).

Limitations

In general, the case study was not designed to conduct in-depth analysis to draw relationships between project activities and all outcomes. The IEO team was unable to conduct site visits due to political unrest in Peru. Remote interviews were carried out, and the analysis relied on evaluation reports supplemented by interviews.

Findings

KQ 1: How relevant have GEF projects that use community-based development approaches been to the national priorities of GEF recipient countries? (Government officials, OFP, Agency staff, project staff)

Relevance

There was broad agreement across stakeholder groups that applying this type of approach is highly relevant. Officials at the national level recognize that there is a message from the latest ministerial efforts of MINAM to focus on the benefits generated by interventions for the population. They highlight the country's effort to incorporate the participation and rights of indigenous peoples through, for example, the Law on Prior Consultation⁴ or the rules of citizen participation. However, members of civil society indicate that, although these norms have been approved, the role of the State is still weak because it is not clear on to promote and apply them in practice, mentioning as evidence the lack and limitation of spaces for dialogue in areas with extractive activities, showing a habit of limited consultation.

In addition, all the actors interviewed agree that any intervention must consider the active involvement of the population in decision-making on the sustainable use of natural resources and organizational development, aspects specifically addressed by the CBA. They mention that it is necessary to show the importance of the process of involvement of the populations which would require systematic application to demonstrate the value add and collect lessons learned.

The approach is very suitable for territories where a large proportion of the population belongs to a peasant community. The approach starts from working with collectives, beyond people addressing collective rights encourages thinking about development together. This was seen as a highly relevant process to promote change in management of territory and natural resources.

There was also agreement that a people-centered approach must start from improving the living conditions of communities, addressing basic aspects such as malnutrition and health, promoting sustainable livelihoods, all of which facilitate a more fruitful dialogue.

SERNANP considers that it is the only public office with an environmental role that now conducts a specific approach in favor of the people. It has changed its view towards the population as no longer a subject of benefit but as partners of conservation, building a horizontal relationship. This approach to community development with a view to self-management has no national funding and according to the interviewees the cooperating institutions still consider it risky to deliver resources directly to the communities, although it is a way of organizational strengthening that could be accompanied by the various institutions that intervene in the territory.

SERNANP officials recognize the influence that civil society organizations and cooperating institutions have had for an evolution towards understanding the importance of the participatory approach:

10 years ago, I would not understand. Now, I know that the work is with the communities. Before, when I was head of an ANP I did not understand it, I did not know that the needs of the communities must be met. Without realizing it we were doing it. Few organizations understand the needs of the communities and co-decide together, that is what I feel we have been trying to develop, talking as equals. A leader told me to go from protest to proposal and from proposal to action. Any project that addresses conservation and environmental issues should use these approaches. If they do not join the communities, it is not possible, they are demanding it. I think they are at a turning point. They have been marginalized, they have not had a good experience, they have not been given a piece of the development pie. Many transparent and corruption-free community and indigenous organizations will succeed, better than we do.

Although the interviewed representatives of the institutions agree that the approach is relevant, they consider that it is key to contribute to empowerment, leadership and citizen participation in spaces such as communal assemblies, being necessary that institutions and projects consider that communities and their leaders already have to assume another role, of co-management and co-direction of the interventions that are made in the territories they occupy and use.

Advantages

According to the people interviewed, community-based approaches favor the practice of citizenship. Human well-being has to do with closing gaps in health, education, and having healthy ecosystems. Another perceived benefit is that working with people generates interest in creating successful

interventions, which can contribute to sustainability. Project participants value their own contributions and take care of what they have built. They shift from seeing themselves as beneficiaries, there is local ownership and further local initiatives can spring from the initial investment.

Implementers interviewed agree that the CBA has no disadvantages, but that is challenging to apply in the context of human and environmental systems. The approach generates results to which not all actors are accustomed to, such as promoting the practice of citizenship, and the ability to dialogue, which is not well received by all groups involved.

Local actors report that applying this approach has allowed (for example, in the town of Udima) a change in attitude. Previously, there were detractors of conservation, but after verifying the project benefits for themselves, community members became involved as communal volunteer park rangers under the format of a vigilance committee. According to the local interviewees, there are no disadvantages in the use of the approach, instead they consider it necessary whenever there are populations linked to the territory. Specifically for the context of peasant communities, they see it as the only functional approach, because it creates space for collective work.

Representatives of indigenous organizations and civil society agree with these perceptions, emphasizing that it is necessary for projects to apply these approaches because it is critical to listen to communities about how they are interested in developing the projects, how women want to participate, and understand their own internal local dynamics as well as their previous knowledge before embarking on a process of joint design. Then, projects will be truly adapted to their reality, designed with greater knowledge of the context and their ways of life, without jeopardizing their territorial autonomy. They consider that projects with a CBA focus bring dynamism and learning to communities, improvement in lifestyles, and greater exchange of information.

The design:

The CBA approaches in project documents examined for the case study were not elaborated in detail. The project objectives focused on conservation aspects and referred to the populations as key actors, understanding the CBA as a transversal approach. However, the implementers admit that, in the design, the approach only mentioned the direct participation of the community, but this participation was not explicitly delineated.

Implementers from GEF ID 3276 report the importance of maintaining a common discourse when applying an approach, which is not always achieved when multiple institutions with different agendas are involved. For this reason, with the intention of ensuring quality application of the methodology, they decided not

to outsource implementation to a local NGO, as was initially proposed. They considered it less risky and linked to a greater likelihood of following up on the participatory approach.

The implementing entity of GEF ID 4773 and 3993 mentioned that it was not involved in the design of the project and that community-based approaches were not included at first added at a later point in time. Stakeholders point out that it is necessary to improve the design of projects by having greater knowledge of the local reality and the involvement of local actors, otherwise tensions are generated later when trying to adapt strategies and actions according to the local context which are not in alignment with the project documents. In some cases, there is a lack of flexibility of involved stakeholders which generates distance from local actors when they see that the approaches have not been designed with sufficient knowledge of their local reality. In this regard, it is reported:

In the design, knowledge of the current reality is fundamental. Additionally, it is necessary to contemplate a period of generating basic improvements in living conditions in the communities where the project is to be implemented. It is not possible to arrive with a discourse of sustainable development where the State is not present and there are no basic services such as drinking water, health, education, with high levels of malnutrition. It is necessary first to attend to these aspects, the ecosystem is their home, and recognize the citizenship of the community members. Faced with this request to fund basic needs donors are reluctant to fund these activities in a project targeted toward conservation or climate change and there are examples where projects are not funded. In addition, many times those involved in project design conduct these activities while working in distant locations without being in contact with the local reality or knowing it.

On some occasions, projects are designed with two or three implementing institutions which have different guidelines and work approaches, which would should lead to an alignment of approaches. However, this doesn't always happen because the project executor is required to do everything quickly.

They also mention that in GEF projects the implementation is done at least two years after having made the design, and in that time many things change, the baseline is not always updated, nor the new conditions are analyzed. Applying to restructure a project takes time, the new conditions can be from a change in community management to the event of an oil spill, all of which requires flexibility to adjust the proposals.

The application of the approach and how it is defined

In the context of Andean and Amazonian communities, CBA is an important approach but it's equally important to clarify how it is defined. Interviewees mention that the ecosystem-based approach-EBA was promoted before, then the CBA, now there is the nature-based solutions-SBN while they anticipate future changes in approaches emphasized by donors, they consider that the most crucial thing is that the people are in the center, the peasant communities are governed by assemblies and communal norms not recognized by law but approved by communal assembly.

Interviewees report that organizations and institutions come with multiple agendas that change in focus over time, their efforts to strengthen capacities focus on the following: vindication of rights, market inclusion, productivity, a greater focus on natural resources and climate change, but without neglecting the importance of development. They point out that ecological systems are open systems, and no one has bothered to generate a skeleton. CBA can help to encompass it, but for that it will have to be discussed and aligned with other approaches, for example, the very fashionable SBN (nature-based solutions).

KQ 4: Have community-based approaches influenced and contributed to better environmental and socio-economic outcomes?

The information presented here is based on three of the four projects. The Sustainable Management and Restoration of the Dry Forest of the Northern Coast of Peru Project (GEF ID 10541) is in early stages of implementation, activities in the field have yet to begin therefore the case study is unable to report on outcomes.

Socio-economic outcomes:

Conservation and Sustainable Use of High-Andean Ecosystems through Compensation of Environmental Services for Rural Poverty Alleviation and Social Inclusion - MERESE (GEF ID 4773)

According to implementers, there were governance benefits associated with the project. It promoted the development of spaces for inter-institutional and intersectoral dialogue, specifically linked to investment in natural infrastructure, as well as Water Governance Policies-DPGA. The project has also facilitated the generation of strategic alliances, for example in the Jequetepeque basin, where a platform of 32 members from three regions of the country was formed. This platform was implemented as a technical group within the Water Resources Council⁵ of the Jequetepeque–Zaña basin, with the intention of supporting that conservation and monitoring actions.

In the MERESE project, community groups with legal status that develop productive activities that depend on or use wetlands, native forests, or grasslands, located in the basins, were invited to present subprojects for the conservation and sustainable use of high-Andean ecosystems of the Jequetepeque and Cañete River basins. The delivery of public resources⁶ to the communities has been innovative, through this infusion of resources given directly to communities they have strengthened their internal governance and financial management capacity.

The project provided capacity building and technical knowledge. From the perspective of the representative of the association of producers of the Jequetepeque basin, the project added to what they had already been doing with the management of the irrigation canal, the value-add of the project was providing technical knowledge. Previously they had formed an association and sought institutional support to preserve the area and improve the availability of water, due to the fact that the hamlet of Alto Peru, in the district of Tumbadén (San Pablo, Cajamarca) houses 284 lagoons. It is an aquifer cushion of considerable importance that contributes to the Gallito Ciego dam. The project helped to promote activities that they had already started: improvement of farms, pastures, small-scale livestock. However, it's important to note that communities expressed their discomfort at not having been involved in the MERESE agreements or participating in the platform, they perceived that remoteness of their community does not allow them to receive the same opportunities as others that are less remote.

In the Cañete basin, the MERESE project contributed to the reclaiming of a sense of community organization – these groups carried out work tasks and made collective agreements, for example declaring certain areas off limits or managing temporary closure of pastures. They also recognized two forests (Forest of Lloque and Forest of Love) as permanent conservation forests. These forests are located in the peasant community of Vilca and house ancient woodlands.

Project stakeholders agree that the project provided better interaction between contributing communities and recipients, especially in the Cañete basin. Water was an issue that was important to local stakeholders, it allows them to conduct their livelihood activities. The communities put into practice capacities for the management of financial resources for the conservation and sustainable use subprojects that were financed through competitions. Progress has been made towards a common understanding on the issue of caring for water sources from the different actors.

There is no quantitative information to support the claim that the project contributed to better living conditions, but according to local perceptions there is better pasture for livestock and greater agricultural production (milk and guinea pig rearing), in some cases the new income is reportedly used for feeding families and school education. The experiences in both areas have encouraged some nearby communities and hamlets to organize and implement similar actions with the support of, for example, the Rural Agrarian-Agro Rural Productive Development Program. The implementers of the project report that improvements were achieved, but there was no income baseline to conduct a robust comparison.

SFM Sustainable Management of Protected Areas and Forests of the Northern Highlands of Peru (GEF ID 3993)

The project facilitated the first formation of formalized producer associations. This was the first local experience of having an official organization, at project close there was insufficient facilitation and support to strengthen the newly formed organization.

The impact of the livelihoods activities on revenues could not be determined quantitatively as there was no baseline or tracking system to provide such information.

The success of the livelihoods activities was mixed. Some of the livelihoods activities were successful (beekeeping, coffee, tare). It is reported that some individuals continue to carry out these project-supported livelihoods activities on their own some persons continue with the activities individually and with greater awareness to conduct them in an environmentally friendly manner. However, local actors in Udimá report that some productive activities did not work because local production conditions and their previous knowledge were not considered. Therefore, they believe that there was inadequate professional guidance, that previous knowledge and skills were not considered, and that availability of local materials was not taken into consideration.

Local authorities were reportedly supportive of the approach but reportedly lacked the background with communities that would facilitate local acceptance and trust. In several cases⁷ there are documented complaints and a history of not respecting legal process. In addition, local authorities were reported to not have adequate capacities to develop collaborative relationships with the population. This aspect required the project to create processes to avoid conflicts and to repeat the approach and awareness process with each change of local authority. In localities like Udimá they report that local authorities never have a presence in the area, and they perceive them as distant in every way.

The project improved governance in that it facilitated a horizontal and positive relationship between the state (SERNANP) and the population in the Udimá area, a relationship that was distant due to the normative role it plays in the context of the Reserva de Vida Silvestre de Udimá-RVSU (Udimá Wildlife Reserve). The project improved the population's confidence in the institutions. In this sense, SERNANP is now integrated into the dynamics of associations and hamlets.

Promoting Sustainable Land Management in Las Bambas (GEF ID 3726)

In the MST Las Bambas project, conversations were held with the communities, agreements and actions were defined, people were selected with themselves in a communal assembly to train with inclusive criteria. The trained people then fulfilled the role of promoters in issues of community organization, improvement of productive systems, and strengthening of capacities on resources. Three programs were created for everyone: youth, women, adults, male managers and non-managers. There were two promotions of 100 people, picking up the farmer-to-farmer training approach applied since the 1980s in southern regions of the country.

The project focused on the development of "thinking" (education, skills, forms of relationships between the main actors, and research) rather than on the physical transformation of the environment, betting on the development of competencies on agroecology and agrobiodiversity, and on institutional improvements.

The main activities included land management, water management, agrobiodiversity management, and mechanisms to generate effective collaboration between the private sector, government and local communities. The project focused on three main objectives, of which two were related to capacity development (at the level of institutions and one at the level of families) and a third aimed at the generation of a model of interaction between the private sectors, government and local communities in a context of mining activity.

Though there was no formal monitoring or indicators to link this project to improving income and food security, there is some data on socio-economic co-benefits to communities. Implementers report that the communities managed to increase their agricultural yield per plot between 200 to 250% with good agroecological practices. Community members sold their surplus in the market and had more income at the family level. At the communal level, the communities marketed certified organic crops to the mining company, forming a communal collection company.

The project was widely accepted locally, according to interviewees and background documents. The communities advocated for an appreciated the skills development activities, indicating that it helped them address the problems that afflict them that they had previously identified⁸.

The project used an appropriate cultural approach, given the context of working with indigenous communities. Priority was given to hiring local Quechua-speaking inhabitants of Cusco and Apurimac to carry out extension as Yachachiqs, who are leaders selected by their communities and recognized for their

knowledge. They received training and capacity building and then supported local families to adopt of various practices. Other projects⁹ have capitalized on the Yachachiq approach to strengthen other community groups in the Apurimac region.

Environmental outcomes:

Conservation and Sustainable Use of High-Andean Ecosystems through Compensation of Environmental Services for Rural Poverty Alleviation and Social Inclusion - MERESE (GEF ID 4773)

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According to the latest implementation report (June 2021), a total of 37 conservation and recovery subprojects were implemented (9,026.15 ha for direct financing and 5,045.25 ha for voluntary commitments) and 6 Territorial Management Plans-PGT (3 per basin) were completed to support the development of complementary activities for conservation actions, mainly irrigation systems.

The interviewees corroborate that the project focused on carrying out studies and strengthening capacities to achieve these conservation and recovery actions in around 14 thousand hectares, most of them in the Cañete basin. From the contribution of the project, a hydrological monitoring system has been installed in the Cañete basin (Laraos), and it is constituted as a pilot site at the ANP level to include this information in environmental monitoring. SERNANP is continuing support.

SFM Sustainable Management of Protected Areas and Forests of the Northern Highlands of Peru (GEF ID 3993)

According to the Terminal Evaluation, vegetation cover within and outside conservation modalities was maintained in 2016, with an average reduction of 0.84 total hectares of both Wildlife Reserve (Reserva de Vida Silvestre). The local actors interviewed confirm that prior to the project they used areas of the reserve for agricultural activities, but now they value more the forest and the presence of birds. They mention that before, there was more deforestation and cattle were grazing without limit. The project has contributed to behavior change toward conservation efforts and they have agreements with SERNANP to graze only in a Special Use Zone and with a rotation system. In addition, capacities of local communities and members of the management committee of the Laquiampa and Udimá Wildlife Reserves were strengthened.

Promoting Sustainable Land Management in Las Bambas (GEF ID 3726)

The project contributed to the strengthening of agroecological capacities and agrobiodiversity, but there is not enough quantitative evidence on areas with sustainable land management and agrobiodiversity. In terms of water management, 3 different basins are reported covering 3,923 km² with better management.

KQ 5: What factors have influenced the usefulness and value-added of community-based approaches to the performance of projects using them?

Accessibility of project sites:

In the MERESE project, the same approach has been applied in two basins, however the local involvement between the two areas has been very different. In the Jequetepeque basin, the formation of institutional platforms has been facilitated among multiple regions in the north of the country (Lambayeque, La Libertad, Cajamarca) to implement conservation and monitoring actions in the management of water resources with agreements with local communities to conserve water sources.

However, representatives of local actors in this area report that they are not properly linked or involved in the design and decisions on these reward mechanisms. They consider that they are in a strategic place in the headwaters of the basin, but they have only participated in meetings and that because they live in a remote area that requires 6 to 8 hours of travel by land there is insufficient involvement of communities in decision making processes and platforms, they do not know the function of the platforms or who makes them up. They expressed a desire to see cooperatives and local associations included in the platforms. Remoteness is also a challenge for local governments, missions to visit remote project sites can last up to a month in duration.

Aspects of the MST project were sustained past project close, the improved capacity for agroecological and agrobiodiversity was perceived as intact. The basins with improved water management are still intact.

Capacity of partners to work with communities:

Strong capacity in partner organizations (implementing agencies, governments, and private sector) to work with communities to reinforce territorial management capacities is critical.

For example, in the MERESE project, providing companies (EP)¹⁰ are involved at the project level. However, at the national level there is a lack of capacity of providing companies to reconcile agreements, this is at least partially attributed to limited experience. The representative of an EP mentions that in the EP there should be specialized staff and support to work with communities on environmental management, however sometimes this is lacking and can limit project effectiveness.

In contrast, in the Cañete basin the facilitating role of institutions such as SERNANP played an important role in supporting capacity building through participatory action plans developed with communities. This co-management approach is highly relevant as it seeks to find consensus, and address specific problems faced by communities, but it can require skill support and facilitation.

Implementers of the MST project stated that there is local buy-in for the CBA approach, however they face resource constraints when working with native or peasant communities. There is a shared vision of capacity building but this falls on the local governments, the issue how regional governments receive support from the central governments to work directly with communities has not been resolved.

Previous experience with similar projects

A history of previous interventions, particularly in very remote areas, is a factor that accelerates project results especially in terms of organizational strengthening. For example, in the Inkañaris project, project achievements in Udima were not consolidated and now the organization is very weak, unlike in Laquipampa where there are strong results, attributed to groups' experience with previous projects that continue their involvement to date, involving more producers.

In the MERESE project, the presence of pre-existing associative structures (communities or associations) added value to project implementation. For example, there is a greater involvement and functioning of local institutions in the Cañete basin compared with the Jequetepeque basin.

KQ 6: To what extent are the results of GEF projects that use community-based approaches sustainable?

From the SFM Sustainable Management of Protected Areas and Forests of the Northern Highlands of Peru project (GEF ID 3993) there was limited sustainability after project close. According to the interviewees, very few Business Plans-PDN survived over time. The plans were developed, but there was no support for production and marketing, so very limited progress has been made. One example from local producers relates to tare - with the income from the cultivation of 1.5 hectares of tare, the Association of Ecological Producers for the Conservation of the Laquipampa Wildlife Refuge-APROECO, generated an economic

fund that is used basically to cover costs of legal procedures such as the annual obtaining of certificates of validity of power of attorney of the association, a procedure that annually costs 400 soles.

In Laquipampa, of the five associations that were formed, only one is still in operation and is quite successful. Their plot serves as a demonstration plot, it is visited by community members from other villages. After the project closed, the association won funding for two additional projects from the National Program for Innovation in Fisheries and Aquaculture-PNIPA. They harvest tilapia which allows them to consume one part and sell the rest to local restaurants and other community members.

In the MST project there were some aspects of sustainability present. The plans that were developed as part of the project were updated, and are considered important starting points for local development planning. The efforts to build local capacity and reinforce local leadership continue to show results - one local technician later became provincial major, other stakeholders that received support through the project work for a local civil society institution. The increase in the production of native products made it possible to reinforce the local and regional identity as a sustainable produce. Working with recovered potato varieties, some producer associations were able to access state subsidies and projects (For example Procompite).

Other projects have capitalized on the Yachachiq approach promoted as part of the MST project to strengthen other community groups in the Apurimac region. Ayninakuy Project, led by the International Finance Corporation (IFC, in partnership with the Government of Canada)

The following factors were found to influence sustainability of GEF CBA projects in Peru:

Capacity building and leadership strengthening

All the interviewed actors agree on participation in decision-making, leadership and strengthening of community capacity as pillars of sustainability. They suggest that the strengthening of local leaders should always be present in the formulation of projects. For implementers of the MST project, an indication of likelihood of long term impact of the project is the commitment towards strengthening of local institutions, in addition to strengthening agroecology and agrobiodiversity. They highlight that a local member of the project later became provincial mayor, which contributed to the sustainability of the project approach in addition to demonstrating the project's contribution to local leadership.

They also consider that local empowerment contributed to sustainability at the organizational level which is evidenced by the involvement of men and women in subsequent projects in the area as promoters.¹¹

Some of these individuals also participate on municipal governments and as recognized producers of organic crops.

Local government commitment

Implementers unanimously identified a challenge to sustainability related to the commitment of local governments. Sustainability can be negatively impacted by political instability, the volatility of technical teams, and corruption, another challenge is lack of resources within local government budgets. Therefore, the sustainability of projects anchored in local governments was described as potentially weak, but in contrast, projects anchored in local communities can be an alternative. This belief was echoed by officials at the local level who stressed the importance of local spaces, they can continue to function even when the national or regional governments are not working well. Local buy-in is critical. Even if national commitment isn't present, activities can still advance at the local level with the support of the local population base.

None of the 3 projects evaluated shows evidence of consistent progress in the commitment of local governments, but they do show commitment of the communities, especially in the MST and in the Cañete basin of the MERESE project.

Local government involvement in territorial management

Local SERNANP actors and implementers agree that conscious involvement of local governments in the sustainable management of ecosystems is a key factor for sustainability. They indicate that local governments are mostly involved with economic issues and logistical aspects without being aware of the implications associated with this type of territorial management and participatory project approaches, which makes it difficult to integrate these concepts in local policies. They mention that the communities involved in these projects are generally more aware of these issues than local authorities.

None of the 3 projects evaluated shows evidence of consistent progress on this issue.

Strength of local institutions

Local institutions are also recognized by the various actors as a key player for sustainability. Projects that focus on family groups over community organizations, NGOs, or associations weakens communal institutions. Most stakeholders agreed that government agencies are not adequately prepared to support these approaches or an intercultural approach.

Institutions such as SERNANP with a presence in the national territory are working towards developing a bridge between the State and local populations linked to protected areas. Implementers of the MERESE project identify that in the Cañete basin there is more probability of sustainability due to the presence of the RPNYC, but in the Jequetepeque basin they see sustainability as uncertain.

Quality facilitation

A factor that influences the performance and adoption of projects with a CBA approach, according to the implementers, is the facilitation capacity of project professionals, beyond their technical capabilities. It is challenging to work with populations, to develop confidence gradually with listening skills, and furthermore, many people are not willing to move to remote areas that require intense physical effort to move around communities.

Stakeholders gave examples of unprepared project personnel who represent the State and even write in official minutes using incorrect language, thus generating distrust and rejection by the communities. The lack of capacity for quality facilitation undermines local involvement, and consequently the sustainability of interventions.

Continued engagement and monitoring

The various actors interviewed agree that it is important to have mechanisms for external accompaniment and monitoring of the communities when local capacities have not yet been consolidated. It was also agreed that with time, communities themselves can gradually develop such mechanisms. However, none of the 3 projects evaluated has developed these mechanisms for sustainability through continued support and monitoring.

Some implementers emphasize the need to be able to monitor qualitative aspects such as empowerment, well-being of women and men in the communities, as they are key aspects for sustainability and are generally not monitored or evaluated.

Articulation of actors for territorial governance

Implementers and local actors point out the need for and importance of working in a clear and articulated manner for the sustainability of interventions, both at the level of local authorities and at the point of local actors linked to a territorial space such as watersheds. Although the MERESE mechanisms have a law, a regulation and there are also ordinances that recognize the formation of good governance platforms in the basins, there are still reports by stakeholders of insufficient capacity to govern the

mechanism created by the projects that manages the upper and lower part of the basin, calling into question likelihood of sustainability.

The platforms have been created so that the communities as contributors have active participation and manage the resources jointly with the provider companies, but as mentioned by actors involved in the MERESE project, the communities or actors of the upper basin and lower basin are distanced not only geographically but also culturally and socially. The implication is that there is no single member or actor that has the necessary skills and capabilities to promote collective and intercultural spaces for dialogue and joint planning. The EPE are not yet ready to assume this role. The three projects showed efforts to articulate actors at the local level.

Intercultural approach

Representatives of civil society and indigenous organizations emphasize the importance of undertaking projects with an intercultural lens, this is fully compatible with community-based approaches. They mention that the sustainability of interventions requires respecting the diversity of development schemes, beyond proposing unitary public policies. They add that in planning policies it is necessary to reflect a definition of territory recognizes cultural dimensions the development views of the inhabitants of the territories.

They point out that projects that address the management of natural resources are always linked to the issue of territorial planning, which does not yet have a national law. The MINAM is the governing body of the environmental OT under a process that is considered top-down. The interviewees report that it is necessary to approach the OT in an inverse, bottom-up way, and with an intercultural approach, which would allow sustainable involvement in the local management of the territory.

SERNANP local representatives emphasize that incorporating technical, biophysical and sociocultural aspects is key to make making consensual decisions with the community. This starts with articulating the different actors, dialogues including knowledge sharing.

The MST project and the MERESE in the Cañete basin are the ones with the greatest evidence in incorporating an intercultural approach.

KQ 7: To what extent are there tradeoffs or tensions between environmental objectives and economic needs of people living in project areas?

Faced with this question, the various actors interviewed expressed several thoughts. They agree that it is essential that the populations involved see positive changes in the short term to generate buy-in for the projects. While there may be differences in context between communities, it is necessary to consider the need to improve basic living conditions (food, health, housing) as a starting point for interventions.

Local actors and representatives of indigenous organizations stressed that before starting a project, the needs of the populations must be gathered in situ, in order to have a deep understanding local context and prioritize the inhabitants' topics of interest to define the type of intervention to be carried out. This is critical to build each project for local reality and to ensure that projects align with existing local processes instead of expecting the population to adapt to the project.

Addressing basic living conditions was seen as an action that would motivate communities to promote sustainable management processes in the territory. Public officials at the national level support this idea, confirming that an environmental project is paired with improvement in basic services (availability and quality of water, education, health), they foresee greater impact. Interventions that jointly address socioeconomic and environmental issues are considered a good option for the context where there are communities face poverty and harsh living conditions.

Another aspect to consider when designing projects to deal with these tradeoffs, is the importance of understanding the social and productive dynamics within the community in order to understand the right incentives for the local population. Project implementers indicated that the project can provide facilitation, and analysis of the territory and that the community can then decide what to do. For example, the project can present the following type of analysis: if you communities desire improved condition of grasslands, it becomes necessary to close some areas for recovery or to have rotation systems. This option can be presented then a joint analysis can explore possible implications and consequences of the different options, with the ultimate decision left to communities (with the assistance, analysis, and facilitation provided by projects).

Representatives of civil society point out specific tensions associated with the presence of extractive industries. Communities worry both about water sources and natural resources, but they also want to access the economic benefits generated by extractive activities. For example, when communities perceive water sources are at risk, conflicts are generated because private companies receive the permits from the state, but from the perspective of communities the state does not provide key basic services at the community level. In this situation, the role of projects is key. The MST project is an example, it provided information to communities, for example, on ecosystems, for decision-making, and to strengthen capacities for dialogue.

Other relevant experience in Peru

There are other examples of projects that have reached or are achieving a balance between immediate socio-economic needs and long-term environmental outcomes that were mentioned:

- EbA Montaña-IKI Project¹² in Cañete watershed, implemented with the RPNYC between 2012 and 2015, which reported the following achievements: improvement in the availability of water, places where springs that had already disappeared reemerged, the increased production of milk of their cattle, the management of fences for the shearing of vicuñas, initially handling 110 hectares and, after 3 years, 245.
- Project Building Resilience in the Wetlands of the Datem del Marañón Province¹³ implemented by PROFONANPE between 2017 and 2023. It consists of developing a mixed strategy to improve the quality of life of the indigenous population of the province of Datem and the conservation of a natural area with unique characteristics. So far, biobusinesses have been generated that are proving successful.¹⁴

Crosscutting: Gender and Inclusion

Gender

None of the three projects analyzed included a specific strategy for gender or a budget allocated to support advancing of gender related issues. However, all three projects did make efforts to include the presence of women in activities. Some examples are provided below:

GEF ID 3726: The project, consistent with its inclusive and participatory approach, was able to influence the strengthening of women's and youth organizations by providing support them at the district and regional levels.

GEF ID 3993: The terminal evaluation reflected the lack of gender approach, indicating that although the design of the project considers the involvement of women, it does not allocate a budget or propose the elaboration of a gender strategy as a starting point for the implementation of such involvement. The project has not mainstreamed the gender approach in its management instruments, nor in the tools it has made available to families. However, the project has been concerned during its first stage (2012-2013) with the involvement of women in participatory rural diagnostics and their validation. In the last stage of the project, the Business plans) of Udimá registered a significant presence of women.

The information reported in the TE was supported in interviews, where it was mentioned that formal efforts to engage women were not reflected in a plan. The formation of women's associations was encouraged, but the organizational aspect remained weak. The women tried to continue business activities on their own, but they canceled their efforts during the pandemic period.

GEF ID 4773: The project did not have a gender action plan (PIR, 2021), nor a gender strategy. However, actions were incorporated that facilitated inclusion of women and young people in the communal groups. They benefited by the subprojects, both as members of the boards of directors (77.1% have a woman and 37.1% have a young person); or as leaders of groups (11.4% led by a woman and 5.7% by a young person). MERESE project implementers pointed out that integrating a gender approach requires addressing structural aspects to ensure that participation is effective. The gender approach was not a part of the design of the project, only an indeterminate percentage of participation was requested, and participation was understood merely as the presence of women in events or activities.

Inclusion

According to a representative of an indigenous organization, it is necessary for local governments to educate themselves on indigenous peoples and their ways of life in order to develop more empathy for them, and to consider exclusive policies for indigenous peoples, establishing specific management or sub-managements contributing to indigenous state institutions to register the people's demands.

This aspect is still quite challenging on several levels. At the design phase, it is considered by the implementers and local actors that gaps remain in adequate participation of actors familiar with the context and local reality. This lack of adequate knowledge resulted in some project sites facing the inability to find relevant key stakeholders, especially remote areas (ie the Jequetepeque Basin in MERESE project). There have also been difficulties identifying sustainable productive options due to the ignorance of local reality that could be addressed with timely consultation and prior dialogue with the inhabitants (Laquipampa and Udimá in Inkañaris Project).

Conclusions

The CBA approach is declaratively supported, but it is not yet operative. Currently, there is a legal and regulatory framework that supports the implementation of CBA. The State expresses an intention to focus on the benefits for the population generated by interventions. Achievements of CBA projects have been more effective in some cases than in others, this can be attributed in part to circumstantial characteristics of the people in charge. There is no evidence of an institutional effort to ensure implementation of CBA with the methodological care required.

There is an incomplete implementation of the approach. There is evidence of a demand for the State and project implementing institutions to define mechanisms that put community based approaches into practice (ie projects that considering specific contexts, improving local people's inclusion in the design of projects, strengthening the capacities of the human teams involved in the implementation). In short, there is a demand for consistent application of the approach, from the conception of the project to efforts to maintain sustainability, but efforts so far in the GEF portfolio have fallen short.

Importance of soft capacity building. There is evidence that in a context of constant socio-environmental conflicts such as what is found in Peru, it is necessary to develop capacities for intercultural dialogue. Furthermore, the development of local leadership is identified as a key element for sustainability, alongside the need for implementors to provide quality facilitation.

The CBA approach has no disadvantages. It is recognized that the CBA approach is the more appropriate in any territory linked to any population.

The sustainability of socio-economic and environmental results is more likely with continued engagement and support. Two projects showed differing results in terms of sustainability. The sustainability of MERESE project activities was heterogenous across different project sites, results were continued in the Cañete basin where there was a history of similar interventions and where communities received continued support. The Inkañaris project lacked continuation of support for communities where the MST project strengthened its results due to its work in leadership and supporting local institutions.

There is no evidence of robustness of monitoring and information systems. The monitoring systems implemented by the three projects to determine the progress of socioeconomic and environmental indicators are limited or absent.

Communities as a fundamental local actor in ecosystem management. Communities play a key role in land management that is generally more committed and involved than that of local or regional authorities. However, communities are not usually direct recipients of financial resources.

The application of the CBA approach is limited when it lacks the consideration of gender and inclusion. It is evident that the application of the CBA approach requires consolidating conceptual and operational capacities to apply cross-cutting approaches such as gender and interculturality. Gender approaches were not seen applied in an intentional, methodological manner across the GEF projects in Peru. The MST project provided a good example of factoring in indigenous peoples, however this was an outlier among the projects reviewed.

The context of poverty cannot be overlooked. Environmental interventions that take place in a context of poverty are more likely to receive community buy-in and support (and be sustained) when they are paired with interventions to provide improvements in basic services.

Acronyms

ANP	Protected Natural Area
CBA	Community based approach
EBA	Ecosystem Based Approach
GEF	Global Environment Facility
CNDHH	Coordinadora Nacional de Derechos Humanos (National Coordinator of Human Rights)
EMAPA Cañete	Empresa Municipal de Agua Potable y Alcantarillado Cañete Sociedad Anónima (Municipal Company of Potable Water and Sewage of Cañete)
GCF	Green Climate Fund
MERESE	Mechanisms of Rewards for Ecosystem Services (MRSE)
MINAM	Ministry of the Environment
MST	Sustainable Land Management
ONAMIAP	Organización Nacional de Mujeres Indígenas Andinas y Amazónicas del Perú (National Organization of Andean and Amazon Indigenous Women)
PROFONANPE	Fondo Nacional para Áreas Naturales Protegidas por el Estado (National Fund for State Protected Natural Areas)
SBN	Nature-based Solutions
SERNANP	Servicio Nacional de Áreas Naturales Protegidas por el Estado (National Service of State Protected Natural Areas)

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INFORME IMPLEMENTACIÓN PROYECTO (PIR) Proyecto MERESE-FIDA- GEF . Año fiscal 2017 (01 Julio 2016 -30 Junio 2017).

INFORME IMPLEMENTACIÓN PROYECTO (PIR) Proyecto MERESE-FIDA– GEF. Año fiscal 2018 (01 Julio 2017 -30 Junio 2018)

PROJECT IMPLEMENTATION REPORT (PIR) - Proyecto MERESE-FIDAGEF Project grants. GEF Fiscal Year 2019 (01 July 2018 - 30 Jun 2019)

INFORME IMPLEMENTACIÓN PROYECTO (PIR) Proyecto MERESE-FIDA– GEF. Año fiscal 2020 (01 Julio 2019 - 30 Junio 2020)

INFORME IMPLEMENTACIÓN PROYECTO (PIR) Proyecto MERESE-FIDA– GEF. Año fiscal 2021 (01 Julio 2020 - 30 Junio 2021)

FAO-GEF Project document. Sustainable management and restoration of the Dry Forest of the Northern Coast of Peru. 2021.

Cerrón Macha, J. PROJECT DOCUMENT (PRODOC): "SUSTAINABLE MANAGEMENT AND RESTORATION OF THE DRY FOREST OF THE NORTHERN COAST OF PERU". PLAN FOR INDIGENOUS PEOPLES. 2021.

Annex 1 Persons consulted

#	Type of Institution	Stakeholder	Contact person	Project	Date of interview
1	National level- Ministry	MINAM- Dirección General de Ordenamiento Territorial y de la Gestión Integrada de los Recursos Naturales- DGOTGIRN	Doris Guardia Yupanqui- Director	GEF 10541- Bosque seco	January 5 th
2	National level- Ministry	MINAM-Dirección General de Economía y Financiamiento Ambiental - DGEFA	Susana Saldaña Especialista en Financiamiento para la Infraestructura Natural Emiko Miyashiro. Especialista en Economía Ambiental	GEF 3933- - Inkañaris	February 23 rd , 12 pm
3	National level- Ministry	MINAM-Dirección General de Economía y Financiamiento Ambiental - DGEFA	Elena Castro Simauchi Coordinadora de Promoción de la Gestión Integrada de Recursos Naturales Luis Ledesma- Director Economía ambiental	GEF 4773- MERESE	January 26 th
4	National level- Ministry	MINAM- Dirección General de Cambio Climático y Desertificación DGCCD	Jorge Miguel Leal Pinedo Especialista en Desertificación y Sequía	GEF 3276- Las Bambas	February 1 st 10 am
5	National level- Private environmental fund in Peru	PROFONANPE-	Claudia Godfrey- ex Directora técnica, Omar Corilloclla, Director monitoreo y evaluación, Odile Sanchez , Area My E Juana Kuramoto, Jefa de investigacion	GEF 3933- Inkañaris GEF 4773- MERESE	February 3 rd 10 am

			Sr. Luis Castro , Inkañaris project manager at that period.		
6	National level- Service of protected areas	SERNANP- Directorate of Management of Natural Protected Areas	Marco Arenas - Responsible for the Functional Operational Unit of Participatory Management of the Natural Protected Areas	GEF 3933- Inkañaris GEF 4773- MERESE	January 23 trd, 4pm
7	Project level	FIDA	Jerónimo Chiarella - Project manager	GEF 4773- MERESE	January 27th, 3 pm
8	Project level	UNDP	Francisco Medina -project manager		February 2, 2.30 pm
9	Local level- Service of protected areas	SERNANP- Head of local protected area	SERNANP in Chiclayo- Head of area RVSBN Udimá Joel Rolando Córdova Maquera,	GEF 3933- Inkañaris	January 25th, 5.30 pm
10	Local level- Service of protected areas	SERNANP- Head of local protected area	Abdias Villoslada Taipe. Head of RPNYC- 064-243888 , 968218462 Elmer Segura -Especialista, turismo y social, Hulfer Lázaro– Especialista en RRNN, encargado en monitoreo biofísico.	GEF 4773- MERESE	January 30th 4pm
11	Local level	Comité de gestión RVS Laquipampa	Melina Durand	GEF 3933- Inkañaris	February 1 st, 5 pm
12	Local level	Comité de gestión RVSBN Udimá	Armandina Quiroz Rodas- Miembro asociación de mujeres Monte Chico	GEF 3933- Inkañaris	February 7th 6.30 pm

13	Local level	Asociación productores ecológicos para la conservación del Refugio de vida silvestre Laquipampa	Presidente de la Asociación: Napoleón Durand-	GEF 3933-Inkañaris	February 3rd, 8 am
14	Local level	EMAPA Cañete	Contacto: Emilio Hito – Gerente General de EMAPA Cañete Correo electrónico:	GEF 4773-MERESE	February 1st 11 am
15	Local level	Plataforma de Buena Gobernanza MERESE Jequetepeque	Helder Aguirre – Coordinador de la Plataforma de Buena Gobernanza MERESE Jequetepeque. Ex coordinador de cuenca de Jequetepeque del Proyecto MERESE-FIDA.	GEF 4773-MERESE	January 27 th 2 pm
16	Local level	Asociación de Productores Agropecuarios ABC-Tumbaden, Cajamarca	Luis López – presidente de la Asociación	GEF 4773-MERESE	February 2 nd, 1 pm
17	National indigenous level	Organización Nacional de Mujeres Indígenas Andinas y Amazónicas del Perú (ONAMIAP)	Ketty Marcelo López Presidenta Jr. Santa Rosa 327, Lima, Perú.	General perspective	January 27th, 9 am
18	Civil society	CooperAcción	Henry Vásquez	General perspective	February 17th , 9 am

Annex 6. Timor Leste Case Study

Evaluation of Community Based Approaches at the GEF: Madagascar Country Case Study

Prepared by: Octavio Araujo, Independent Consultant

March 2023



Reforestation site in Aituto (Ainaro, Timor-Leste) supported by GEF project ID 5056

Photo Credit: Octávio de Araújo

Timor-Leste Country Case Study

Background

During an extended period of weak central governance, foreign development agencies and international NGOs broadly favoring a community-based approach (CBA) played a dominant role in Timor-Leste reconstruction (World Bank 2013). It is expected that the CBA builds community-level social capital, increases the demand for good governance, empowers communities, and enhances poverty targeting, sustainability, efficiency and effectiveness, development's inclusiveness, and poverty reduction efforts (Hernandez 2020). Based on the promising results of bottom-up approach, the Government of Timor-Leste (GoTL) decided to integrate CBA in national and rural infrastructure development projects through the *Programa Nasional Dezenvolvimentu Suku* (PNDS) aiming at increasing development in rural areas through intensive participation of local communities in every aspect of basic infrastructure development projects.

Application of CBAs in Timor-Leste has permeated non-infrastructure development projects such as community-based natural resource management (CBNMR) in marine protected areas (MPAs)²², forest protected areas (JICA Timor-Leste 2016), community resilience building (UNDP Timor-Leste 2016), and disaster risk management (IOM International 2017). Not only does multi-level engagement²³ and coordination help communities achieve expected results effectively and efficiently, but it also allows them to establish social networks, exchange knowledge, and build capacity. This eventually helps sustain rural development efforts initiated by the projects in the long run.

This case study analysis situates the community-based approaches promoted by the GEF in their implementation context in Timor-Leste.

State administration, legal framework, policies, and strategies that support community-based approaches in Timor-Leste

Timor-Leste State Administration System

Administratively, Timor-Leste is split into 14 municipalities: Lautem, Baucau, Viqueque, Manatuto, Dili, Aileu, Manufahi, Liquiça, Ermera, Ainaro, Bobonaro, Covalima, Oecussi, and Atauro. The municipalities are further sub-divided into administrative posts, then sucos

²² In 2013, the USAID Coral Triangle Support Partnership (CTSP) worked hand in hand with the Ministry of Agriculture and Fisheries (MAF) through its National Directorate for Fisheries and Aquaculture to develop and capture a model of practice for the Management of Coastal and Marine Resources in Timor-Leste.

²³ Multi-level in this context means that GoTL and GEF had first engagement at the global level to bring the fund to Timor-Leste, followed by Agencies and corresponding line ministries' (Ministry of Agriculture and Fisheries, Secretariat of State for the Environment, and Ministry of State Administration) engagement, and eventually PMU and Suco Leaders/Constituents

("villages") and then aldeias (hamlets). Sucos are considered as the smallest political units in Timor.

Chief of sucos, a non-politically appointed position, play an important role in mobilizing local communities to implement projects of collective interest, preserving peace and social stability, mediating disputes and conflicts, and contributing indelibly to improving living conditions of the population and Socioeconomic progress. They preside over the suco councils, composed of youth and women, Chief of Aldeias and *lian nain* (elder/traditional authority).

Legal Frameworks for Decentralization and Rural Development in Timor-Leste

The following legal frameworks are strongly relevant to decentralization efforts in Timor-Leste:

- Timor-Leste National Constitution defines local government as “corporate bodies endowed with representative organs, with the objective of organizing the participation by citizens in solving the problems of their own community and promoting local development without prejudice to the participation by the State”.
- Decree-Law No. 5/2004 on community authorities (composed of suco chiefs, chief villages, and the members of suco councils).
- Decree-Law No. 4/2012 on the Integrated District²⁴ Development Plan (PDID) which is the main mechanism for devolving budgetary power to local governments.
- Decree-Law No. 8/2013 establishes the statute of *Programa Nacional de Desenvolvimento dos Sucos* (PNDS) or the National Suco Development Programme.
- Decree Law No. 4/2014, which establishes the organic statute of administrative pre-decentralization structures.
- Decree Law No. 23/2021 which establishes the organization, composition, and powers of the bodies of local power, as well as the legal framework for the administrative decentralization of the State.

Community-Driven Development (CDD) in PNDS

The implementation modality for PNDS in Timor-Leste centers in the Community-Driven-Development’s (CDD) principles (DFAT Timor-Leste 2013). This approach gives communities control over decision making and management and use of development funds, with the long-term aim of reducing poverty. From 2013 to 2022, the program provided Timor-Leste’s 442 suco (villages) with an annual grant of \$50,000 - \$75,000 to fund small-scale infrastructure projects identified, planned, constructed, managed, and maintained by local communities.

The prevalence of CDD in Timor-Leste since the introduction of PNDS has facilitated the permeation of CBAs in non-infrastructure development projects that are in favor of bottom-up approach approach. CBA has been introduced as part of co-management effort in community-based natural resource management (CBNMR) in marine protected areas (MPAs), forest

²⁴ In the past, the term “district” was used to refer to “municipality” administration unit.

protected areas, community resilience building, and disaster risk management in many parts of the country.

The Political Context in Timor-Leste

Timor-Leste maintained a national unity and stability after its 2006 political crisis. The country has successfully organized peaceful and transparent parliamentary and presidential elections since the end of UN mission in 2012. However, the political contestation in Timor-Leste continues to divert the attention toward the most pressing economic development issues. Since the restoration of independence in 2002, the petroleum sector remains the dominant sector in Timor-Leste’s economy and for state revenue (Neves 2022). There is widespread recognition and awareness that the country needs to urgently diversify its economy.

The GoTL has explicitly expressed their concern on environmental issues and the threat of climate change. They have formulated specific national policies²⁵ and regulatory framework related to fisheries management, biodiversity conservation, and climate change adaptation. Nevertheless, they have not fully mainstreamed environmental concerns into concrete actions such as endorsing an increase of the portion of the annual General State Budget (GSB) to relevant line ministries and strengthening institutional capacity of relevant ministries to improve service delivery. This creates dependency on bilateral and multilateral agencies to fund the operational activities of relevant line ministries (i.e., Ministry of Agriculture and Fisheries, Secretary of State for the Environment, and Ministry of State Administration).

Portfolio of projects using a community-based approach

To identify projects that were likely to include a community-based approach for the broader evaluation, a keyword search was conducted on data from the GEF Portal on project title, objectives, and components. Based on this keyword search a portfolio was identified for Timor-Leste and included four projects, two ongoing²⁶ and two completed (see **Table 1**).

Table 2: GEF projects selected for site visits

GEF ID	Project Title	GEF Phase	GEF Agency	Financing	Project Status
4696	Strengthening the resilience of small scale rural infrastructure (SSRI) project and local government system to climate variability	GEF-5	UNDP	4,900,000.00	Completed

²⁵ National Biodiversity Strategy and Action Plan, Nationally Determined Contributions, and Climate Change Policy

²⁶ The IEO mission found that as of the start of the mission implementation activities for Project #10713 had still not started and it was decided to exclude this project from field visits.

5056	Strengthening community resilience to climate-induced disasters in the Dili to Ainaro road development corridor (DARDC)	GEF-5	UNDP	5,250,000.00	Completed
9434	Securing the long-term conservation of Timor-Leste's biodiversity and ecosystem service through the establishment of a functioning national protected area system and the improvement of natural resource management in priority catchment corridors (TLSNAP)	GEF-6	Conservation International	3,340,367.00	Ongoing
10713	Adapting to climate change and enabling sustainable land management through productive rural communities in Timor-Leste	GEF-7	United Nations Environment Programme	9,845,662.00	Concept approved

Table 3: Project objectives, data on community-based approaches used in projects

GEF ID	Objective	Components using community- based approaches	Community based approaches described in project documents
4696	Critical small scale rural infrastructure is climate resilient designed and implemented through participatory approaches and strengthened local governance systems, reflecting the needs of communities vulnerable to increasing climate risks.	<p>Outcome 2: Local Administrations integrate climate risks into participatory planning, budgeting and standards of small-scale rural infrastructure development.</p> <p>Outcome 3: Small scale rural infrastructure made resilient against climate change induced risks (droughts, floods, erosion and landslides) in at least the 3 Districts of Liquiça, Ermera and Baucau (Physical Investment Component)</p>	The project used extensive community input to identify the relevant risks and to set priorities for action on climate resilience. This approach enhanced the level of national and local ownership of project activities. It also established/strengthened community maintenance group for water supply project . In addition, the project provided input to the PDID planning manual to include aspects of climate risks to infrastructure, including Annex 12 on maintenance and operation which emphasizes Community Management Action Plan (CMAP) as part of the community roles in basic maintenance by beneficiaries group. Additionally, it provided small grants to community-based NGO project to conduct activities such as tara-bandu, check dam construction, terracing, tree and grass planting along the roads, rural infrastructure, water protection, school campaign, radio, and workshop.
5056	Critical economic infrastructure for sustained human development protected from climate induced natural hazards (flooding, landslides, wind damage) through better policies,	Outcome 3: Community driven investments implemented to reduce climate change and disaster induced losses to critical infrastructure assets and the wider economy	To make the outcomes and interventions sustainable, the project formed community groups, trained them in DRM, farming techniques, controlling erosion and utilizing weather information . The project also supported establishment of women's group in each suco/aldeia with DRM fund with the aim to involve them in identifying activities, developing and implementing community action plan . The action

	strengthened local DRM institutions and investments in risk reduction measures within the Dili to Ainaro development corridor		plan is community driven and gender-focused developed through CVCA process focusing measures to reduce the climate induced disaster risks and vulnerabilities of the target communities. Lastly, communities were also involved in participatory community vulnerability assessments.
9434	Securing the long-term conservation of Timor-Leste's biodiversity and ecosystem services through the establishment of a functioning National Protected Area System and the improvement of natural resource management in priority catchment corridors	<p>Outcome 2.2: Capacity of communities to manage their natural resources substantially increased</p> <p>Outcome 3.1: Sustainable forest management in priority catchment corridors substantially improved</p> <p>Outcome 3.2: Priority degraded areas rehabilitated and/or reforested</p>	The project Involved youth in training program for environmental management, built the capacity of community level conservation groups through training, exchange visits, and learning-by doing field activities, integrated community-based sustainable forest management into suco NRM plans and initiated the implementation of NRM plans. The project also worked closely with government and communities to develop, validate, and approve priority forest rehabilitation and reforestation plan, established/strengthened nursery center, and trained communities on vegetation techniques.

Evaluation methods and approach

Data collection methods

The IEO mission in Timor-Leste started with a review of project documents and legal framework and policy documents on decentralization and CBNRM. This initial step led to the identification of a group of key stakeholders for interviews and focus groups discussions (FGDs) in Dili and target municipalities. Overall, 12 key stakeholders (national government officials, national level implementing agency staff, civil society organizations, and partners, MAF representatives in municipalities, local leaders, and community members) were interviewed in Dili and municipalities where the project sites are located. Moreover, around 36 participants (27 males, 9 females) took part in three FGDs held in Barifaca (Lautem), Horai-Quic (Ainaro), and Fahilebo (Liquiça).

To capture the gender information, the mission ensured that women group members in project sites are encouraged to participate in the FGDs and that their stories/experience are captured.

Site selection criteria

Overall, the three projects selected for IEO mission were/are being implemented in eight municipalities in Timor-Leste. The total number of project sites where physical infrastructures and other activities took place is 52²⁷ (See **Annex B**); However, since both #4696 and #5056 have interventions in two similar sites (sucos) in Ermera municipality, the number is reduced to 50 sucos.

Due to the large number of project sites dispersed in various location in the country, the site selection for field mission took two factors into consideration:

- Not all activities in these sites are linked to community-based approach²⁸
- The IEO mission had resource constraints in term of time and logistics (many sites are located in remote areas where travelling in rainy seasons is not advisable)

After consultations with key stakeholders and the IEO TTL, the field mission was planned to seven sites (sucos) across five municipalities. Since closed projects were more prioritized than the ongoing ones, 5 sites (Talimoro, Uailili, Horai-quic, Aituto, and Manutasi) belong to project #4696 and #5056 and 2 sites (Fahilebo and Baricafa) to project #9434. It is important to note that activities in one site (suco) are also dispersed in various sub-locations. Hence, having small number of sites for field mission has the advantage of allowing for more visits to the fields and various locations where those activities took place. No interviews or site visits were conducted for #10713 as the project has not implemented any relevant activities at this stage.

The country case study was undertaken by Joaquim Freitas and Octavio Araujo, both independent consultants based in Timor Leste. Interviews in Dili were carried out during December 2022 and January 2023. The evaluation fieldwork took place during **6-days** over a period of three weeks between **20 December 2022** and **10 January 2023** in the following 8 sites across 6 municipalities:

Table 4: 8 sites selected for IEO field mission in Timor-Leste

Project #	Location		Field mission activity
	Municipality	Suco/Sites	
4696	Ermera	Talimoro	<ul style="list-style-type: none"> • Interview with local leader and focal point • Visit to water source and collection points

²⁷ The number is based on the Suco administrative level

²⁸ Some project activities focus more on capacity building for national government and are implemented either by NGOs or private companies.

	Baucau	Uailili	<ul style="list-style-type: none"> • Interview with NGO, local leader, and focal points • Visit to NGO nursery center • Visit to water source
5056	Aileu	Lausi	<ul style="list-style-type: none"> • Interview with MAF representative in Aileu municipality • Visit to plantation site in aldeia Manumerlolo • Visit to MAF Forestry nursery in aldeia Riafusu
	Ainaro	Horai-quic	<ul style="list-style-type: none"> • FGD with local leader and community members • Visit to nursery center Kartolu • Visit to agroforestry site Kartolu • Visit to reforestation site in Lauheli
		Aitutu	<ul style="list-style-type: none"> • Visit to reforestation site
		Manutasi	<ul style="list-style-type: none"> • Interview with MAF forestry representative • Visit to nursery centre and reforestation site
9434	Liquiça	Fahilebo	<ul style="list-style-type: none"> • FGD with local leader and community members • Visit to water and soil conservation site • Visit to community group livestock site • Visit to reforestation site
	Lautem	Baricafa	<ul style="list-style-type: none"> • FGD with local leader and community members • Visit to two nursery centres • Visit to one water conservation site • Visit to one plantation site

Limitations

In general, the field mission was not designed to conduct in-depth analysis to draw relationships between project activities and all outcomes. Lacking some crucial data, the IEO mission was limited from performing analysis of socio-economic outcomes from the three projects. Moreover, time and resource constraints did not allow the IEO mission to visit most sites where many other small-scale infrastructure construction and rehabilitation took place.

Findings:

KQ 1: How relevant have GEF projects that use community-based development approaches been to the national priorities of GEF recipient countries? (Government officials, OFP, Agency staff, project staff)

Interviews and FGD with all groups of stakeholders confirm that there is a strong consensus on the high relevance of CBAs to the national priorities of Timor-Leste based on the following reasons. Firstly, since 2012 Timor-Leste has been rolling out its decentralization programme, PNDS, which aims to increase development in rural areas through intensive participation of local communities in every aspect of basic infrastructure development projects. However, during its early implementation phase where only limited budget was available, PNDS was not able to respond to the heterogenous needs of Timor-Leste's 442 sucos and their aldeias. This limitation opened the window of opportunity for GEF projects' intervention. Since the CBA approach adopted by GEF projects resembles PNDS's CDD approach, the GEF projects served as a platform

to introduce CBA modality, implement the much-needed infrastructure or natural resource management projects in remote parts of Timor-Leste – which otherwise remain neglected by the central government – and upgrade PNDS materials (manuals and guidelines). In fact, project #4695 – which followed guidelines of PDIM and PNDS manual on the procedure of CBA such as community engagement, needs identification, decision making, and obtaining approval from suco and municipality level – also led to the improvement of GoTL’s planning manual for PDIM (*Planeamento de Desenvolvimento Integrado Municipal* or Integrated Municipality Development Plan). The manual now has some content on climate risks to infrastructure, including Annex 12 on maintenance and operation.

Secondly, CBA promotes local ownership of project outputs (i.e., clean water facility, forest plantation, nursery centers, water/soil conservation sites, etc.) through its voluntary contribution modality. This is an appropriate solution to reduce the high cost for materials- and labor-intensive projects provided that PNDS’s annual grant allocation for each suco is relatively low (only between USD 50,000 – USD 75,000) to fund every aspect of infrastructure project in sucos and isolated *aldeias* with heterogeneous needs. Moreover, the highly centralized and bureaucratic decision making, coupled with underfunded programmes in line ministries²⁹ tend to slow down rural development in many vulnerable parts of Timor. Hence, community’s collective voluntary contribution in term of time and physical labor comes in handy. For project #5056 in Talimoro (Ermera) and Uailili (Baucau) and project #9434 in Baricafa (Lautem) and Fahilebo (Liquiça), communities volunteered their time and labor for construction works, preparation of seedlings at nursery centers, and tree planting activities. Some even went as far as licensing (informally) the use of property (traverse land) for water pipes transmission or community water collection points (taps) when needed.

Thirdly, apart from working directly with communities, the GEF projects partnered up with line ministries to support existing programmes which also use CBAs. This is a quite common for project #5056 which established an LOA with Ministry of State Administration (MSA) to transfer the budget portion (USD 400,000) of the LDCF grant to MSA for the Top-Up Grant mechanism. The pilot mechanism was used to integrate DRM/DRR and climate change adaptation into the annual municipal planning and budgeting system in the four municipalities targeted by the project. Activities include the prioritization and approval of community priority projects, the procurement process following the PDID procedures to contract the local communities, and oversight and supervision of the implementation of these projects. Project #5056 also established another LOA with MAF, with a total grant of USD 391,000, to support the implementation of climate resilience measures focusing on agroforestry, reforestation, and watershed management activities to reduce the impact of climate change induced disasters related to floods, landslides, and droughts. Activities include the establishment of tree nurseries, agroforestry, plantations and reforestation, terracing, building of check dams and dewponds as well as construction of organic

²⁹ In 2022 GSB, only 1.2% was allocated to Ministry of Agriculture and Fishery and 0.14% to Secretary of State for the Environment.

composts. Overall, the LOAs enabled the underfunded line ministries to carry out programme in target municipalities while at the same time strengthened their project management skills.

KQ 4: Have community-based approaches influenced and contributed to better environmental and socio-economic outcomes?

Desk review, interviews and FG discussions revealed different accounts on influence and contributions of GEF financed projects using CBA approaches on environmental and socio-economic outcomes.

Environmental Outcomes

The three GEF projects implemented the following activities that have led to achievement of various environmental output and outcomes:

- For project #5056, TE reports claim that around 220,000 seedballs were prepared and disseminated for reforestation plantations to rehabilitate larger vulnerable slopes previously damaged by slash and burn agriculture, erosion, and other forms of ecosystem degradation. The project also supported the plantation of bamboo in slope areas to prevent disasters and provide alternative source of income to the local communities. In Aileu municipality, the IEO field mission confirmed that the total number of seedlings distributed by MAF³⁰ to community to be planted in private properties for the three-year period is 180,000.³¹

³⁰ The IEO mission faced time and capacity constraints to identify whether the DARDC project's target reforestation coverage of 50,000 hectares for the Dili-Ainaro (outside of the WB road project RoW) was reached and if ongoing maintenance continues. The field visits in conducted in Ainaro (Horaiquic, Aitutu, and Manutasi) and Aileu (Lausi) covers approximately four hectares (0.008% of the target coverage area). Only Lausi and Aitutu show significant progress in terms of tree growth and density.

³¹ There is no clear outline of the target coverage for reforestation of degraded land in the project document (for out 3.2.)

- For project #4696, TE reports on planting of trees and vegetation along the road (as part of soil bioengineering) and along irrigation canal/water source areas (as part of soil and water conservation) in various locations which showcase the main difference between the conventional and climate-resilience infrastructures in the country. The total area coverage towards the end of the project is reported to be more than 0.8 Ha project for the former and more than 0.3 Ha for the latter. During the field visit in Baucau (Uailil) and Ermera (Talimoro), it was observed that water source in both locations remain protected from erosion and pollution thanks to the project intervention.



Photo 1: Forest plantation in 5 sites showing sign of growth due to suitable tree species for the local climate and proper protection fencing system. The site in Manutasi shows a clear sign of failure due to removal of fences by

- For project #9434, it is reported in the MTR that the project has reached 44.8% of its target area (500 ha) for reforestation of degraded land.

Field visits to six plantation sites during the mission observed that in sites where community members planted suitable tree species, applied proper planting technique and built proper protection system (fences) and where MAF Forestry staff regularly rehabilitated the fences and

monitored the sites³², there is a general tendency to achieve better results than the ones only managed by community. For project #5056 in Lausi (Aileu), Horai-quic Kartolu (Ainaro), Hoarai-quic Lauheli (Ainaro) and Aitutu (Ainaro), the IEO mission observed signs of good growth and high survival rates. Most of the trees have shown signs of growth, reaching an average height of 5-6 meters and radius of 30 cm. This is also the case for two plantation sites for project #9434 in Baricafa (Lautem) and Fahilebo (Liquiça).



Photo 2: A water pond located in water conservation site of TLSNAP project established by the community with the support from a local NGO in Fahilebo

Soil/water conservation has been an additional component for project #9434. During field visit to one site in Fahilebo (Liquiça), stakeholders claimed that since community-based water and soil conservation activity was implemented in early 2022, there have signs of higher ground water level than in the past. This was confirmed by measurement data collected by the project partner from August 2021 to September 2022.³³

³² As mentioned above, DARDC project established a LOA with MAF Forestry Directorate

³³ It needs to be considered that other natural phenomenon such high frequency of rainy season in the region in the past three years due to La Niña can also contribute to high level of groundwater.

It is important to highlight some noticeable failures in project sites. The TE for #4696 already reports that some roadside planting was not successful due to lack of water, animal grazing, and unsuitability of some of the tree species. Additionally, it also reports on the lack of application of proper techniques in areas that require terracing, rainwater trenches and larger up-slope catchment area treatments to reduce runoff. Field visit to one site in Manutasi (Ainaro) for project #5056 also reveals an unsuccessful result of community-based reforestation effort due to land dispute issue between neighboring communities. The land dispute was attributed to shallow consultations with communities, an example of where CBA wasn't applied in a robust manner. A key respondent claimed during the mission that the other community's members removed the fence system which protected the four Ha plantation area a few years ago. The open grassland site is completely abandoned and only used for livestock grazing. Additionally, during an interview for the same project in Aileu, a respondent mentioned about low survival rate of seedlings due to late distribution for planting and the unsuitability in applying Fukuoka seedballs in steep slope sites. IEO was unable to visit plantation sites belonging to private community owners, and therefore could not validate their existence or sustainability.

Socio-Economic Outcomes

Both desk reviews and interviews with PMUs confirm that GEF projects are aware of the linkage between environmental issues and livelihoods of communities in target areas. The projects provided training and alternative source of livelihoods for better farming practices, sustainable fisheries, agroforestry and other income generating activities, which provided the dual benefits of improving household economy and also supporting environmental protection and disaster management.

Most groups of stakeholders consulted acknowledged the contribution of the GEF CBA projects to some socio-economic outcomes to an extent. It is observed that project #4696 and #5056 generated more immediate socio-economic outcomes than project #9434. The reasoning behind that is that construction of small-scale basic infrastructure such as irrigation schemes, water distribution facilities and collection points (taps), and road rehabilitation responds immediately to communities' basic needs. TE of project #5056 mentioned that irrigation canal development supports agricultural activities and improve local economy and enhance their resilience and adaptive capacity. Communities in Uailili (Baucau) and Talimoro (Ermera) shared that prior to project intervention, they had to spend extra time to fetch water from distance locations for households use and irrigation of horticulture. Thanks to the project, they can now reduce time and efforts allocated to water collection. One stakeholder in Uailili (Baucau) added that access to water has enabled community to perform water-intensive activities such as horticulture and house renovation.

Respondents in Talimoro (Ermera) from project #4696 and in Fahilebo (Liquiça) from project #9434 elaborated that access to water for community in the upstream areas has enabled them to practice horticulture and sell the products to the local market. Respondents in Fahilebo (Liquica) claimed to have earned between USD 120-300 per year due to increased frequency of

annual harvest³⁴ as a direct result of water availability. Another key respondent claimed that tree planting activities in Osuala (Baucau) supported by project #4696 have contributed to the reduction of the level of damage on public road during rainy season. This, in turn, allows farmers to have the access to the road all year round to reach their markets without any intermittence during rainy season.

One exceptional success story in agroforestry intervention in Horai-quic (Ainaro) accounts for the long-term result of project #5056 on livelihood. During the site visit to a small coffee plantation, one community member explained that when he received seedlings of casuarina tree (*Casuarina equisetifolia*) from the project a few years back, he planted them in his property as part of the effort to reduce soil erosion and at the same time prepare the condition for coffee plantation. Three years ago, he then planted coffee seedlings (not from the project) on the same site under the shade of casuarina trees. The coffee shrubs have matured and started to produce berries in 2022. It is expected that the first harvest is to take place during the second quarter of 2023. The CBA design used by the project made a difference in the sense that approach differed from conventional top-down approaches that focus on construction of structures, Instead, the CBA used by the project centered community members and involved them in hard- and soft-

³⁴ One harvest can generate a profit between USD 40-100/household.



Photo 3: First coffee cherries from a small plantation in Horai-Quic, Ainaro under the shade of casuarina trees

engineering (reforestation and sometimes agroforestry). Community members are willing to use their land for those activities. Their participation is voluntary but there is expectation that they will reap the environmental and socio-economic benefits of the reforestation and agroforestry in the future.

Overall, the IEO mission in Timor-Leste has not been able to establish a causal relationship between all GEF projects and economic outcomes for households in target communities due to several reasons. Firstly, there are limited baseline/midline/endline data to help establish a benchmark for identifying any changes in household income level after project intervention. Secondly, the practice of bookkeeping does not permeate daily routine of households operating in small-scale business in Timor-Leste. Any figures provided are based on personal recollection over an unclear timeline rather than being drawn from a logbook. Lastly, it takes at least eight to ten years for projects that introduce agroforestry (except for coffee and other fruits trees) and animal husbandry to claim that individual households can now generate stable income from project activities. During the field mission, it was identified that most of the plantations are less than five years old and the trees have not reached maturity level. A key respondent from project #9434 acknowledged that the project has not obtained any tangible socio-economic results at this early stage from its intervention however they expect to be able to earn future profit.

It is important to acknowledge the role of CBA as an effective mechanism to involve community members in reforestation/afforestation activities and take ownership of the outputs. Despite

some failures to achieve end of project outcomes and sustain the results, CBA has generated significant impacts judging from the level of awareness and participation of community members in project activities. This is underscored by their significant contributions to prepare and planted hundreds of thousands of seedlings in both public and private property, to build basic geoengineering structure to conserve water and soil, to license the traverse of water pipes through their property, to be part of the facility management groups, and to participate in animal-husbandry.

KQ 5: What factors have influenced the usefulness and value-added of community-based approaches to the performance of projects using them?

Based on interviews with key stakeholders and observation of FG discussion activities in target sucos, the following factors are considered:

- **Proper engagement with local actors helps secure mutual respect and trust-based relationship**

Establishing mutual respect and trust-based relationships is of utmost importance for interventions at the community level. For GEF projects, this has been achieved through showing respect to existing socio-cultural structures and traditions, positioning communities as partners and active agents of change, and fostering inclusion and transparency in decision-making and financial procedures. As a result, implementation of project activities became more effective and efficient as there are/were tremendous supports from leaders and community members alike (chief of suco, suco council, and community members, including women representatives).

Interviews and FGDs reveal that all local stakeholders (PMU, Suco leaders, and NGO) play their role in socializing project objectives with their communities and in mobilizing resources to facilitate effective project implementation. As community leaders, chiefs of Suco often made appeal to their constituents for cooperation and maximum participation in project activities. This resulted in successful mobilization of community members to join groups (i.e. nursery group, livestock group, facility management group, etc.) and volunteer. Some national stakeholders praised GEF projects for the success in promoting voluntarism and cultivating a strong sense of ownership. Both voluntarism and local ownership are crucial elements for cost-effectiveness during project implementation and sustainability of outputs and outcomes post-project completion. The Terminal Evaluation from project #5056 outlines that the national government is planning to replicate some of these elements for future project in other parts of the country.

- **The empowerment of local authorities and leaders is necessary for a successful project implementation**

It is evident that chiefs of Sucos play an important role in local governance. Their consent for project intervention remains crucial. During consultations in Uailili (Baucau), Baricafa (Lautem), Horai-Quic (Ainaro), Talimoro (Ermera) and Fahilebo (Liquiça), the chief of Sucos and Aldeias expressed genuine appreciation for GEF projects' intervention in their

administrative territory. They also shared that PMU properly consulted with them from the onset during the phase of project design, implementation, and evaluation. In term of capacity building, they were involved in knowledge exchange and awareness raising activities on climate change, natural resource management, and early warning system and equipped with proper skills to enhance their participation in the project implementation. Both the TE and field mission for project #4696 in Uailili highlight the provision of short-term training for construction, monitoring, inspection, and verification to the 30 target sucos by PMU staff. The support has made it possible for them to develop climate-resilient proposals submitted for government funding.

Stakeholders in Uailili (Baucau) pointed out that GEF ID #4696 has contributed to strengthening their unity and environmental awareness in the community. They have always been aware of the linkage between the forest ecosystem and the excess availability of underwater reserve in their area. Having community-based water source protection as an important element of the project encouraged them to take more seriously their custodianship role of the natural resource. Tapping on this unity and awareness, they came together to express a strong opposition to a road upgrade project that poses negative environmental impact (i.e., clearing of small patches of old trees which provide ecosystem services to the area) to their village. Fortunately, after a series of negotiations with relevant national stakeholders and project developers, they managed to successfully strike a fair negotiation which led to alteration of the construction plan. The project developer has agreed to proceed with an alternative road which is located far from Uailili forest patches.

Stakeholders in Uailili (Baucau) also expressed the same strong opposition to national government's plan to transfer all community water supply services to the national public water utility (Bee Timor-Leste E.P.). The main reason being that national authority will reallocate water resources into many other users in areas outside of Uailili³⁵ (Baucau) which consequently threatens water resources carrying capacity. Additionally, it is predicted that the monthly water user fee charged by the national authority³⁶ will be significantly higher than that the current monthly fee enforced by the facility management group (\$ 3.00 for distribution to household tanks and S 0.50 distribution at public water collection points).

³⁵ The current clean water distribution system established by DARDC project in suco Uailili (Baucau municipality) distributes water to a total of 272 households in aldeia Uamalu Boe and Uaubalu which are located 3 km away from the water source.

³⁶ In Dili municipality, the rate for every thousand litter is \$0.20/day for domestic consumers.



Photo 4: The main water source in Uailili (Baucau) which provides clean water supply to households in Uailili (Baucau)

- **The strengthening of social capital of the target community enables communities to maximize their participation in project activities**

Communities' social capital can be strengthened through their engagement with both internal (local authorities, local leaders, community members, and women and youth group) and external actors (national government representatives, development agencies, and technical experts) in rural development projects. This is evident in the three GEF projects which have strong local presence in the community during the project period through activities such as site visits with national governments, training, and workshops, and FGDs. Both the TE and IEO mission document how the engagement of community with actors representing government agencies (Forestry Department from Ministry of Agriculture and Fisheries, Secretariat of State for the Environment, Ministry of Public Works, and Ministry of Social and Solidarity), public institute (Bamboo Institute), CSO (Timor Verde and Permatil), and technical consultancy/private companies facilitates the transfer of knowledge and skills which in turn elevate their capacity and eventually maximize collaboration in project design, implementation, and monitoring and evaluation. Both TEs and the IEO mission also confirm that all three GEF projects closely engaged with both communities and relevant government agencies to help strengthen local and national government coordination mechanism in natural resource management and rural-infrastructure development. This contributes to effectiveness and sustainability of project outputs.

The presence of the three projects in many villages and rural areas has transformed the sites into platforms where diverse actors/stakeholders interact to negotiate their interests and, most importantly, work as partners. Not only do multi-level engagement and coordination help them achieve expected results but it also allows them to build on existing efforts, establish social networks, exchange knowledge, and build capacity.³⁷ For example, participants from FGD in Horaik-Quic (Ainaro) pointed out that project #5056 builds on effort to construct a climate-resilient national level road between Dili and Ainaro which was implemented by World Bank's Road Climate Resilience Project (RCRP) a few year earlier.³⁸ During the FGD in Horai-Quic (Ainaro), some stakeholders reported that they have also engaged with other NGOs (both local and international such as Raibia, Red Cross Timor-Leste and Mercy Corps) to support agroforestry and disaster risk management in their area after the conclusion of project #5056. In addition, during the field visit to water source and clean water distribution system in Talimoro (Ermera), a key respondent elaborated that project #4696 intervened in some Sucos that are also beneficiaries of ILO's Road for Development (R4D) project.³⁹

- **Project monitoring and evaluation activities encourage collective learning**

There is a general tendency to overlook M&E merely as a process where evaluators (consultants) capture information from various stakeholders (national government, PMU, local leaders, community members, and beneficiaries). This perspective neglects the fact by engaging subjects in the process, participatory M&E encourages more learning and critical thinking from both data collectors/analysts and their key interviewees/FGD participants. Although it is not commonly acknowledged, the chief of sucos and group members frequently consulted by M&E officer/evaluator play important roles in the evaluation of project approach and mechanism in their community. A lot of their observations and critics helped the projects capture success stories, challenges and lesson-learned elaborated in the reports (fields, quarterly reports, annual, MTEs and TEs). This enabled the PMU to track the projects' progress towards their goals.

During the IEO mission in all target sites, it was observed that community members were keen to come together for sharing of and discussion on their reflection and perceptions on the three projects once again. Judging from the breadth and depth of their reflection, it is safe to say that they are used to such exercise. The frequency of such M&E activities held during the project lifetime allows them to continuously develop critical thinking skills which is necessary to assess project approaches and mechanisms, capture lesson learned, and

³⁷ UNDP provided technical training on plumbing system to community groups involved in the construction of water supply infrastructure system.

³⁸ The RCRP project was initiated in 2011 to provide the GoTL financial and technical support for the construction of a climate-resilient national level road between Dili and Ainaro to improve connectivity and reduce the vulnerability of the road to climate-induced disasters.

³⁹ Access to the community settlements and basic infrastructures are now more convenient than in past thanks to the construction of the rural road by the R4D project.

improve the design of future projects. This skill is highly relevant for all active agents of change, including local leaders and community members.

KQ 6: To what extent are the results of GEF projects that use community-based approaches sustainable?

Based on data from interviews, FGDs and on-site observations during the IEO mission, sustainability of the three GEF projects varies from project to project and from site to site. The sustainability analysis is heavily centered on the output of the two completed projects, #4696 and #5056, but only limited to agroforestry and clean water supply system activities.

The IEO field mission confirmed a few points raised in the TE regarding the lack of commitment of relevant institutions to continue the operations of project outputs. This is the case of #4696 in Uailili (Baucau) where there is no clarity on the status of the fee collection system from water users (households). Based on the original agreement between suco and its constituents, the mandatory fee is to be collected on monthly basis for future maintenance and repair purposes of the clean water supply system. Although one key respondent claimed that the collection system was still working, there is no further elaboration on the amount collected to date. Two other respondents confirmed that the user fee collection system had not been working properly due to lack of compliance. In general, there seems to be no concern on the unclear status of management fees as long as the facility remains operational, and no major upgrade is required. The concern will only arise if and when any damages occur. A site visit to Talimoro (Ermera) for the same project reveals that while the main water source and distribution tank are well protected, there are signs of disruption at some collection points (taps) due to lack of proper maintenance.⁴⁰

⁴⁰ Key respondents did not elaborate on the status of water collection system.

In the case of project #5056, three out of four community nursery centers established by the project through an LOA with MAF Forestry Directorate in both Ainaro and Aileu are completely abandoned. The lack of funds from the General State Budget (GSB) makes it more reasonable for MAF to operate one rather than four nursery centers. However, it is important to note that having a smaller number of nursery centers means a lower production level of seedlings in project sites which directly affects future reforestation efforts in the country. In addition, community members are less inclined to invest their time in agroforestry once provision of financial incentives ceases.⁴¹ They instead choose to maximize farming activities which are seen to generate more promising results in the short-run in comparison to agroforestry. As a result, the sustainability of those outputs (i.e., nurseries centers and agroforestry plantations) which remain operational to date is highly dependent on supports from MAF Forestry Directorate and international development agencies.



Photo 5: The main water distribution/storage system in Uailili (left) and Talimoro (right) are well-protected. Both systems remain operational to date.

⁴¹ The LOA with MAF funded by DARDC project provide an incentive of \$ 0.50/seedling. Payment is processed only if seedlings survival rate after planting is high (60 and above).



Photo 6: The only MAF-managed nursery centers that are still operating in Manutasi (lef) and Aileu (right)



Photo 7: One water collection point that has stopped working (left) and another one that is fully operating near the water source (right) in Talimoro (Ermera)

In term of the status of reforested area supported by project #5056, site visits to Horai-quic (Ainaro), Hoarai-quic Lauheli (Ainaro), Aitutu (Ainaro), and Lausi (Aileu) confirmed that seedlings have grown into young trees of 5 to 6 meters with various density thanks to forestry department's proper monitoring and protection system (fences). The one in Lausi seems to be doing better than the rest mainly due to its remoteness and isolation (fences and steep cliffs keep it safe from livestock encroachment). Experience from the failed plantation site in Manutasi (Ainaro) shows land dispute and lack of protection system (fences) threaten the sustainability of reforestation efforts. As less and less community members volunteer their time to replace the death seedings and repair damage fences, the sustainability of many reforestation sites becomes questionable in the future.

Analysis of interview and observation data collected from project #9434 indicates an increased level of awareness about the importance of reforestation and water/soil conservation which is essential for sustainability of project outputs (nursery centers, plantation sites, water/soil conservation site, and animal husbandry). Some members even claimed that their environmental awareness already existed before project intervention took place and was further enhanced by

the project.⁴² Nevertheless, the lack of indicators of existing financial mechanism to date to support project activities beyond the project lifetime might affect the likelihood of sustainability. This is based on the observation that activities such as reforestation and animal husbandry have not yet generated income for the groups at this stage. Community feedback in Baricafa (Lautem) reveals that some community members are less inclined to commit to reforestation/agroforestry due to the long-term investment required and the challenging resource allocation between those activities and their usual labor-intensive farming.

The above-mentioned examples lead to a conclusion that the CBA design alone cannot guarantee the sustainability of project outputs and outcomes in rural setting where support from central government is limited and opportunities to diversify sources of livelihood are scarce. Additionally, the short duration of engagement (five years or less) with no follow-up does not provide enough time for community to develop a strong sense of ownership.

KQ 7: To what extent are there tradeoffs or tensions between environmental objectives and economic needs of people living in project areas? Does this affect the sustainability of interventions using community-based approaches?

High rates of population growth and the high dependence on agriculture have speed up the conversion forested land to agricultural use in Timor-Leste (World Bank 2009). The degradation of land and other natural resource for economic gain continues to create human-environment tension in the country. The IEO mission observed the following tensions between environmental objectives and economic needs:

- Communities are aware of the importance of reforestation and nature conservation in protecting ecosystem services (i.e., provision of foods, conserving soil/water, reducing the risk of climate hazards, etc.). However, they are always conflicted about how to maintain a balance between environmental protection and their sustaining their livelihood. The failure of central government to bring prosperity to rural areas as well as weak project interventions in alternative sources of livelihood leaves them with no option but to turn to nature and exploit its resources (such as timber, firewood⁴³, and wildlife) as their main source of livelihood. They continue to cut down trees for firewood, let livestock graze freely in forest plantations, and practice slash and burn farming. This leads to major environmental degradation around the country. Applying CBA in isolation from other crucial livelihood interventions in specific and national rural

⁴² The community, Baricafa (Lautem), is known to have strong affiliation with natural and their cultural elements as seen in the rest of Lautem municipality. This behavior contributes to the promotion of pro-nature conservation.

⁴³ According to Government's statistic, *nine in every ten households* use firewood as their main cooking fuel.

development plans in general does not completely address environmental problems in the long-run.

- The underlying insecurity and instability associated with unresolved land tenure issues in Timor-Leste pose negative effect on the GEF project outcomes in some sites. It is reported that land conflict between neighboring communities, as seen in #5056 site in Manutasi (Ainaro) stems from both unclear land tenure and conflicted interest on land use. One side has agreed to reforest the area while the other resisted the idea because they would lose grazing site for the livestock. Additionally, in all three sites, livestock encroachment on forest and/or agroforestry plantations continue to threaten the survival of seedlings. Although free-fazing livestock is common and its negative environmental impact is evident, there seems to be no integration of sustainable livestock management across all three GEF-project to minimize its negative impacts on projects' outputs.
- Financial resource constraints imply that the cost of community-based activities for the PMUs needs to be reduced to the lowest level possible. Voluntarism is seen as a solution to this situation. However, experience has shown that volunteers are not willing to continue their voluntary activities over a long period as they face the reality of having to attend family needs as reported in project documents and highlighted during IEO mission. It is even worse when there are more free riders who barely contribute their time for the common good. This is also the dilemma for small-scale farmers who must voluntarily opt between unsustainable farming practice which generate incomes in the short-run and sustainable agroforestry activities which requires many years to be profitable.

The above-mentioned tensions tend to exert a negative impact on the sustainability of CBAs. Unless they are properly addressed through integrated manners (i.e., linking reforestation with sustainable livestock management, introducing horticulture-based agroforestry, improving market access of local products), the lifetime of project outputs beyond project completion period will remain questionable.

Crosscutting: Gender and Inclusion

There are clear indications that all three projects uphold the GEF belief on the contribution of systematic inclusion of gender aspects in the projects towards positive synergies between improved environmental impact and greater gender equality. This is based the fact that women are involved in almost every aspect of project implementation, including capacity building and M&E.

The following observations are highlighted from project documents and further confirmed through the IEO field mission:

- While leadership positions in the selected sites for field mission are pre-dominantly held by men,⁴⁴ there are certain positions and opportunities reserved for women such as women-only group in each suco responsible for identification of activities, development and implementation of community action plan for Disaster Risk Management (supported by project #5056), membership in horticulture and nursery center group (quota for women varies from location to location), training opportunity on water conservation and agroforestry ⁴⁵ (supported by project #9434), opportunities for horticulture activities, inclusion in community meeting for socialization or collective evaluation (M&E),⁴⁶ and opportunity to take over food and catering services for any project activity if needed (this applied to all projects). The quotas are seen as a necessary means to facilitate more inclusion and ensure that women are equally benefited from project activities as men are.
- The MTR for project #9434 highlights the high level of women's participation in various project activities (16% more beyond project's 30% target). It further reports that women's participation in community conservation groups in Irabere catchment area (33%) is lower than that in Comoro's (58%). This was further confirmed through an observation of the lower number of female participants in Baricafa (representing Irabere catchment) in comparison to the ones in Fahilebo (Comoro) during the IEO field mission. It can be argued that the difference in socio-cultural structure and dynamic between the two areas might be the contributing factor.

⁴⁴ The five chief of sucos with whom the IEO mission consulted are also male.

⁴⁵ 20 out of 40 participants are female.

⁴⁶ Female participants are always outnumbered the male one. This could be the result of traditional family arrangement where women are expected to stay at home and take care of the children.

- Based on the traditional gender role in many Timor-Leste households, especially in rural areas, women and girls are usually the ones responsible for gathering water for their families. Thanks to the intervention from project #4696 in Baucau, Ermera, and Liquiça



Photo 8: Female participants of FGD in Fahilebo (Liquiça) during IEO mission. Some of them had to bring their children to the meeting, a clear indication of how they juggle between traditional household role and active agent of change in rural development.

and project #5056 in Aileu

- and Ainaro, many communities now have access to clean water supply. This has helped reduce drudgery of women and girls who otherwise must travel long distance to fetch water.
- Although the concept of inclusion has been expanded widely beyond the scope of traditional concept of male and female, both TE and field mission confirms the lack of specific accounts on participation of other categories of marginalized groups (i.e., people with disability, women-headed households, and LGBTQ+) in project sites. The IEO mission sees the importance of mainstreaming gender equality ingrained in GoTL's policy – which embraces the inclusion of different group of marginalized communities – into GEF-funded projects to generate more disaggregated data which in turn help the formulation of future policy on gender and inclusion in CBAs.

Analysis and Main findings Conclusions.

CBA approaches applied in GEF projects allows active participation of Suco leaders and community members in project design, implementation, monitoring, and evaluation. The highly participatory element in almost all project sites is crucial as it facilitates effective project implementation and foster local ownership of project outputs. Additionally, it helps address any conflict during project implementation.⁴⁷ Provision of capacity building opportunities and other participatory activities (i.e., technical training, site visit, M&E, etc.) to Suco leaders and community members enables new knowledge and skills acquisition which in turn enables them to maximize their contribution to the project in specific and community-based rural development in general.

CBA is perceived by all relevant stakeholders as an effective approach to achieve expected results and contribute to sustainability of project outcomes. This is a strong consensus among all stakeholders because CBA allows local leaders and communities to coordinate among themselves and learn to identify problems, design plans, implement activities and monitor progress. At the end of the process, it is expected that they acquire new knowledge and skills, establish a strong sense of ownership of the project results. Communities perceived that CBA approaches were likely to be sustained, though the evidence from ex-post field visits on sustainability is mixed.

Community members are more likely to devote their time and energy to activities that generate promising results in the short-run rather than in investment that will only generate results in the long-run. Voluntarism is more common for establishment of water supply system or road construction in the village than for nursery establishment and tree planting. The main difference between the two types of activities is that for water supply and road construction it takes weeks or months to complete and generate significant changes (i.e., reliable access to clean water in the village, less risks to travel during rainy season) while nursery establishment and tree planting requires many years to produce meaningful results (i.e., high market value, strong root system to protect water source and soil, more carbon storage etc.). Most communities prefer to resume their individual livelihood activities as soon as project activities conclude as opposed committing to voluntary activities indefinitely.

Activities at almost all community-based nursery centers are difficult to sustain in the absence of funds from external actors. It is evident that the operation of activities in community-based nursery established during the project implementation period currently depend on project funds from external actors. Once project concludes, community members are less inclined to coordinate existing groups and volunteer their time to run the centers. This is further

⁴⁷ There is no other conflict reported in the project documents and identified during IEO mission except for the particular case in Manutasi (Ainaro) that involves land dispute.

exacerbated by the lack of clear exit plans in the project designs to secure the sustainability of outputs.

More time and continuous effort will be required to generate environmental and socio-economic outcomes from activities of GEF CBA projects. Low survival rates of planted seedlings due to weather conditions, suitability of plant species in selected sites, and livestock encroachment in the early stage of planting means that the actual coverage of reforested land is lower than that of end-of-project targets. This means that the actual environmental targets, such as area of forest coverage and level of vulnerability of the small-scale infrastructures to climate-induced disasters, will be much lower than expected if there is no effort to replenish the dead trees and repair damaged fences. Additionally, any surviving plants still require more years to reach maturity and provide ecosystem services (food, water source protection, soil conservation, timber, etc.) to the target communities.

Similarly, generating significant socio-economic impact requires more time and consistent work from all actors. Some projects have not obtained any tangible results at this early stage after completion; however, community members anticipate making a future profit.

There is limited evidence linking GEF CBA projects with socio-economic outcomes of beneficiaries in project sites in Timor-Leste. There is neither baseline/midline/endline data to establish a benchmark for measuring changes in income level after project intervention nor regular monitoring activities to report on any changes. The lack of this crucial M&E during project interventions period makes it extremely difficult to evaluate socio-economic outcomes many years later after project closure. While there some anecdotes of economic benefits, it is difficult to validate and quantify.

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Annex A: Persons consulted

First name	Last name	Gender	Role	Organization	Location
João Carlos	Soares	M	Director General	Secretariat of State for the Environment	Dili
Augusto	Pinto	M	Director National of Climate Change	Secretariat of State for the Environment	Dili
Faustino	da Silva	M	Director National of Biodiversity	Secretariat of State for the Environment	Dili
Bernadete	Fonseca	F	Former SSRI Project Coordinator	UNDP Timor-Leste	Dili
Fernando	Araujo	M	Chief of Department of Watershed Management	Ministry of Agriculture and Fisheries, Directorate General of Forestry, Coffee, and Industrial Plants	Dili
Adelino	Rosario	M	Technical Staff on Reforestation	Ministry of Agriculture and Fisheries, Directorate General of Forestry, Coffee, and Industrial Plants	Dili
Manuel	Mendes	M	Country Director	Conservation International	Dili
Eugenio	Lemos	M	Director	Permatil	Dili
Elisa	dos Santos	F	Director	Timor Verde	Baucau
Hernanio	Ribeiro	M	Chief of Suco	Ministry of State Administration/Suco Uailili	Baucau
Cesario	Ximenes	M	Chief of Aldeia	Aldeia Uamalu Boe, Suco Uailili	Baucau
Marcos	Mauleki	M	Chief of Aldeia	Aldeia Uatubalu, Suco Uailili	Baucau
Lourenço	Hornay	M	Acting Chief of Suco Baricafa	Ministry of State Administration/Suco Council of Baricafa	Lautem
Cristovão	Preto	M	Focal Point for Soil Conservation	Community member of Suco Baricafa	Lautem

Armando	Pinto	M	Chief of group from aldeia Usufasu	Community member of Suco Baricafa	Lautem
Juvinal	Sarmento Pereira	M	Vice Chief of group from aldeia Usufasu	Community member of Suco Baricafa	Lautem
Juanita	Lemos	F	Group members in aldeia	Community member of Suco Baricafa	Lautem
Adão	Hornay	M	Group members in aldeia Usufasu	Community member of Suco Baricafa	Lautem
Armando	Baptista	M	Chief of group from aldeia Sarelani	Community member of Suco Baricafa	Lautem
Julio	Pires	M	Vice Chief of group from aldeia Sarelani	Community member of Suco Baricafa	Lautem
Olderico	Baptista	M	Group members in aldeia Sarelani	Community member of Suco Baricafa	Lautem
Silverio	Baptista	M	Group members in aldeia Sarelani	Community member of Suco Baricafa	Lautem
Aleixo	Tilman	M	Chief of Suco	Ministry of State Administration/Suco Council in Horai-Quic	Ainara
Marcelino	Pires	M	Administrative Staff	Suco Council in Horai-Quic	Ainara
Antonio	Cardoso	M	Group member	Community member of Suco Horai-Quic	Ainara
Claudio	Mendonça	M	Chief of Aldeia Lauhelo	Suco Council in Horai-Quic	Ainara
Manuel	Marques	M	Group member	Community member of Suco Horai-Quic	Ainara
Angelina	da Costa	F	Group member	Community member of Suco Horai-Quic	Ainara
Natalia	Marques	F	Group member	Community member of Suco Horai-Quic	Ainara
Abril	Marques	M	Youth Representative from aldeia Kartolu	Suco Council in Horai-Quic	Ainara
Carlos	Mendonça	M	Group member	Community member of Suco Horai-Quic	Ainara

Adão	Barros	M	Coordinator of Forest Guard	Ministry of Agriculture and Fisheries, Directorate General of Forestry, Coffee, and Industrial Plants	Ainara
Armando	Mendonça	M	Coordinator of Forest Guard	Ministry of Agriculture and Fisheries, Directorate General of Forestry, Coffee, and Industrial Plants	Ainara
Luis	dos Santos	M	Chief of Suco	Ministry of State Administration/Suco Council in Talimoro	Ermera
Alberto	Soares	M	Chief of Aldeia Abat Laran	Suco Council in Talimoro	Ermera
Marcelino	da Cruz	M	Chief of Suco	Ministry of State Administration/ Suco Council in Fahilebo	Liquiça
Agustino	da Cruz	M	Chief of Aldeia Tuhilo Kraik	Suco Council in Fahilebo	Liquiça
Carlos	da Silva	M	Chief of Aldeia Tuhilo Leten	Suco Council in Fahilebo	Liquiça
Carlos	Sávio	M	Group member	Community member of Suco Fahilebo	Liquiça
Patrocínio	Gusmão	M	Group member	Community member of Suco Fahilebo	Liquiça
Abelino	Xavier	M	Group member	Community member of Suco Fahilebo	Liquiça
Abril	Alves	M	Group member	Community member of Suco Fahilebo	Liquiça
Mariazinha	do Rosario	F	Group member in Tuhilo Leten	Community member of Suco Fahilebo	Liquiça
Agilda	Cabral	F	Group member in Tuhilo Kraik	Community member of Suco Fahilebo	Liquiça
Mario	Sávio	M	Group member in Tuhilo Leten	Community member of Suco Fahilebo	Liquiça
Santina	Ximenes	F	Youth representative from Tuhilo Leten	Suco Council in Fahilebo	Liquiça
Norteia	Ribeiro	F	Administrative Staff	Suco Council in Fahilebo	Liquiça

Leopoldo	de Araujo	M	Group member in Tuhilo Leten	Community member of Suco Fahilebo	Liquiça
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Annex B: List of project sites for #4696, #5056 and #9434

Project #	Locations		Activity
	Municipality	Suco	
4696	Ermera (8 Sucos)	Lauala, Poetete, Hatolia, Talimoro, Leirema, Lemeia Kraik	Water supply system installation
		Manusae	Road construction
		Leguimea	Bridges rehabilitation project
	Liquiça (7 Sucos)	Maumeta	Rehabilitation of three water wells
		Dato, Metagou, Maubaralisa	Rehabilitation of road
		Motaulun	Water system
		Lisadilla	New river protection (gabion), river embankment construction
		Luculai	Soil bio-engineering
	Baucau (7 Suco)	Buruma	Road rehabilitation with bio-engineering 8
		Lacoliu	Construction of new irrigation scheme
		Uailili	Water source protection, water supply system, irrigation system
		Wailia, Ossoala	Rehabilitation of water supply system /protection of water source
		Gariuai	Water supply installation project
	5056	Ermera (2 Sucos)	Talimoro
Poetete			Water rehabilitation
Aileu (8 Sucos)		Madabeno	Check dams, water harvesting, compost, nursery, agroforestry, terracing and Reforestation
		Talitu	Check dams, water harvesting, compost, nursery, agroforestry, terracing and Reforestation
		Lahae	Check dams, water harvesting, compost, nursery, agroforestry, terracing and Reforestation
		Madabeno	Water source rehabilitation, Nursery site

		Malere	Water source rehabilitation
		Aisirimou	Check dams, water harvesting, compost, nursery, agroforestry, terracing and Reforestation
		Liurai	Check dams
		Cotolau	Check dams, compost, water harvesting, Water roof harvesting, water infiltration and reforestation
	Ainaro (8 Sucos)	Hilokomau	Water rehabilitation
		Horai-Quic	Check dams, nursery, reforestation, agroforestry
		Aitutu	Check dams, dew ponds, reforestation and terracing
		Manutasi	Reforestation, nursery
		Mulo	Check dams, dewponds, and compost
		Nunumogue	Check dams and compost
		Bulico	Water rehabilitation
		Casa	Nursery, Reforestation and terracing
	Same (1 Suco)	Holarua	Water rehabilitation
9434	Dili/Liquiça (4 Sucos)	Lihu, Fahilebo, Leorema, Ulmera	Nursery center, animal husbandry, water and soil conservation
	Lautem (6 Sucos)	Bahatata, Baricafa, Uacala, Lari Sula, Cainliu	Nursery center, reforestation, demarcation for protected area, development of business plan
	Viqueque (1 Suco)	Irabin de Cima	Nursery center, animal husbandry, water and soil conservation

