



Terminal Evaluation

Atlas ID: 00060049; PIMS No. 4136; GEF ID 3635

**Strengthening Sustainable Forest Management and Bio-Energy Markets
to Promote Environmental Sustainability and
to Reduce Greenhouse Gas Emissions
in Cambodia**



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Front cover: Clockwise from top left: Battambang – landscape; Improved Charcoal Kiln; Improved Cook Stove distributor (background) and producer (foreground), TE meeting with community forest stakeholders, CF map (© M.J.B. Green)

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ACRONYMS AND ABBREVIATIONS

ACFM	Alternative Community Forest Modalities
AFD	Agence Francaise de Developpement (French Development Agency)
AWP	Annual Work Plan
CBPF(s)	Community Based Protected Forest(s)
CCF(s)	Community Conservation Forest(s)
CF(s)	Community Forest(s)
CFMP	Community Forest Management Plan
CI	Conservation International
CLUP	Commune Land Use Planning
CO	Country Office (UNDP)
CPA(s)	Community Protected Area(s)
DANIDA	Danish International Development Agency
DLMUPCC	Department of Land Management, Urban Planning, Construction and Cadastre
DME	Department of Mines and Energy - formerly Department of Industry, Mines and Energy
DoA	Department of Agriculture
DoE	Department of Environment
ECK	Efficient Charcoal Kiln
ELC	Economic Land Concession
EoP	End of Project
EU	European Union
FA	Forestry Administration
FAC	Forestry Administration Cantonment
FAO	Food and Agriculture Organization of the United Nations
FCPF	Forest Carbon Partnership Facility
FFI	Fauna and Flora International
GDANCP	General Department for Administration of Nature Conservation & Protection
GDE	General Department of Energy
GDLMUP	General Department for Land Management and Urban Planning
GEF	Global Environment Facility
GERES	Groupe Énergies Renouvelables, Environnement et Solidarités
GHG	Green House Gas
GIS	Geographic Information System
ICoProDAC	Improved Cookstove Producers and Distributors Association of Cambodia
ICS	Improved Cook Stove
IPSS	Improved Palm Sugar Stove
IUCN	International Union for the Conservation of Nature and Natural Resources
M&E	Monitoring and Evaluation
MAFF	Ministry of Agriculture, Forestry and Fisheries
MLMUPC	Ministry of Land Management, Urban Planning & Construction
MME	Ministry of Mines and Energy/ formerly Ministry of Industry, Mines and Energy (MIME)
MoE	Ministry of Environment
MTR	Mid-Term Review
NGO	Non-Governmental Organization
NIM	National Implementation Modality
NSDP	National Strategic Development Plan
NTFP	Non-timber Forest Product
PA(s)	Protected Area(s)
PF(s)	Protected Forest(s)
PLUP	Participatory Land Use Planning
PMU	Project Management Unit
ProDoc	Project Document
RECOFTC	The Center for People and Forests (Regional Community Forestry Training Centre)
REDD	Reduction of Emission from Deforestation and Forest Degradation
RGC	Royal Government of Cambodia
RTA	Regional Technical Advisor (UNDP-GEF)
SFM	Sustainable Forest Management
ToR	Terms of Reference
TRAC	Target for Resource Assignments from the Core
TWG-F&E	Technical Working Group on Forestry & Environment

TWG-FR	Technical Working Group for Forestry Reform
UN	United Nations
UNCCD	United Nations Convention to Combat Desertification
UNDAF	United National Development Assistance Framework
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change
USAID	United States Assistance for International Development
WISDOM	Woodfuel Integrated Supply/Demand Overview Mapping
WWF	World Wide Fund for Nature

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Appreciation and thanks are due to the many people who willingly and enthusiastically spared their time to meet with the Evaluators, often at short notice, and share their experiences and observations, all of which helped to inform this evaluation. Details of those officially met and interviewed are given in **Annex 4** but there were many others, particularly among the village communities, who generously gave their time and hospitality.

The mission was hosted by the SFM Project Management Unit within the Forest Administration and particular thanks are due to Dr Chea Sam Ang (Project Director), Dr. Khorn Saret (Project Manager), Sovanna Nhem (SFM Project Advisor), and Daro Douk (National Project Monitoring and Evaluation Officer) and Chenda Nuon (Project Administrator), who efficiently dealt with logistical arrangements and helpfully met our information requirements. Within UNDP, Chhum Sovanny (UNDP Programme Analyst) and Johan Robinson (GEF Regional Technical Advisor) provided valuable assistance.

Special thanks are also due to Sim Bunthoeun (GERES Cambodia Country Director) and Chhneang Kirivuth (REFCOFT Community Forestry Partnership Coordinator), who accompanied us throughout the field visits and introduced us to their respective implementation activities. We also very much appreciated round table discussions within provincial government line agencies in the field and having the opportunity at the end of the mission to brief Project Board members from the respective line ministries on our initial findings.

The Evaluators are grateful to all those who provided feedback on the draft report, including UNDP, PMU, Project Steering Committee and also to Stephanie Ullrich, UNDP Evaluation Quality Assurance Consultant at UNDP Headquarters, New York. The opinions and recommendations in this report, however, remain those of the consultants and do not necessarily reflect the position GEF, UNDP or the Forest Administration and any other government agencies collaborating in the project's implementation. The consultants are responsible for any errors or omissions.

PROJECT DETAILS

UNDP/GEF Project Title:	Strengthening Sustainable Forest Management and Bio-Energy Markets to Promote Environmental Sustainability and to Reduce Greenhouse Gas Emissions in Cambodia
Atlas Award ID No:	00060049
UNDP Project ID No:	75402 or PIMS: 4136
GEF Project ID No:	3635
Evaluation Time Frame:	15 September – 30 December 2015
Date of Evaluation Report:	26 November (draft), 18 December 2015 (final)
Region and Countries included in the Project:	Asia Pacific, Cambodia
GEF Focal Area:	Biodiversity SO2 – Mainstreaming of Biodiversity in Production Landscapes/Seascapes and Sectors Contribution to SO1 - Sustainable Financing of Protected Area Systems at the National Level
GEF-4 Strategic Program:	SP4 Strengthening the Policy and Regulatory Framework for Mainstreaming Biodiversity Contribution to SP1 – Sustainable Financing of Protected Area Systems
Executing Agency:	UNDP Cambodia
Implementing Partner:	Forestry Administration, Royal Government of Cambodia (National Implementation Modality)
Responsible Parties:	Forestry Administration General Department for Administration of Nature Conservation and Protection (GDANCP), Ministry of Environment (MoE); General Department of Energy, Ministry of Mines and Energy (MME); General Department of Land Management and Urban Planning (GDLMUP), Ministry of Land Management, Urban Planning and Construction (MLMUPC)
Evaluation Team Members:	Michael J.B. Green and Sovith Sin

EXECUTIVE SUMMARY

PROJECT SUMMARY TABLE				
Project Title: Strengthening Sustainable Forest Management and Bio-Energy Markets to Promote Environmental Sustainability and to Reduce Greenhouse Gas Emissions in Cambodia				
Atlas Award ID:	Atlas: 00060049		at endorsement (Million US\$)	at completion (Million US\$)
UNDP Project ID:	75402 (PIMS: 4136)			
GEF Project ID:	3635	GEF financing:	2.364	2.364
Country:	Cambodia	IA/EA own:	2.500	1.662
Region:	Asia Pacific	Government:	0.600	0.600
Focal Area:	Biodiversity SO2	Other:		
Operational Program:	Sustainable Land Management	Total co-financing:	4.500	5.559
Executing Agency:	UNDP Cambodia	Total Project Cost:	9.964	10.184
Other Partners involved:	Forestry Administration	Prodoc Signature (date project began):	March 2010	
		(Operational) Closing Date:	Proposed: 28.02.2015	Actual: 30.12.2015

Brief description of Project

Cambodia has a diverse and extensive natural resource base that is reflected in its having some largely intact natural areas and relatively high forest cover (47.7% in 2014¹), particularly in comparison with most of its neighbouring countries of Thailand, Lao PDR, Viet Nam and other countries in South East Asia. Six of the world's 867 terrestrial ecoregions are represented in Cambodia, of which the Cardamom Mountains rain forests and Tenasserim-South Thailand semi-evergreen rainforests in the south-west of the country are considered to be among the most species-rich and intact natural habitats in South East Asia.

An extensive network of 36 protected areas covering 18.5% of total land area has been established to safeguard Cambodia's biodiversity under the jurisdiction of the Ministry of Environment, and a further 10.6% of total land area receives varying degrees of protection under the Forestry Administration, either as Protected Forest (8.8%) or Community Forest (1.8%)².

There are huge pressures on Cambodia's ecoregions and, in particular, their forest ecosystems. Total forest cover has decreased from approximately 72% in 1973 to 48% in 2014. Most of this decline reflects a loss of dense forest from 42% to 16% over this period, as compared to mixed forest cover (including plantations), which has remained fairly stable, being 30% in 1973 and 31% in 2014.

More disturbing is the increasing rate of deforestation, with much of the loss being from inside protected areas. The latest data from Global Forest Watch indicate that Cambodia has lost 14,471 km² of forest between 2001 and 2013, which equates to a 14.4% increase in the annual rate of deforestation – the highest in the world. Nearly one third of forest cover lost in 2014 was from inside protected areas and 45% from inside economic land concessions.

¹ Source: <http://www.opendevdevelopmentcambodia.net/briefing/forest-cover/> (16-10-2015)

² Source: <http://www.opendevdevelopmentcambodia.net/maps> (16-10-2015)

The long term solution to the problems of degradation and deforestation is for forests to be managed in a decentralized and sustainable manner by local communities, as proposed in the National Forest Programme, in ways that provide them with significant and secure long term benefits from sustainable forest-based businesses and other initiatives operating at landscape scales.

Thus, the overall (development) **objective** of the project, as defined in the Project Document, is:

“... to strengthen national SFM policy, integrate community-based sustainable forest management into policy, planning and investment frameworks and create markets for sustainable bio-energy technologies that reduce CO₂ emissions.”

Three outcomes were designed to address the three barriers to the solution, specifically:

- **Outcome 1:** National capacities and tools exist to facilitate the widespread implementation of sustainable community-based forest management and technologies that reduce demand for fuel wood.
- **Outcome 2:** Community-based sustainable forest management is being implemented effectively within a context of cantonment, province, district and commune level planning delivering concrete benefits to local communities.
- **Outcome 3:** Strengthened demand and supply chain for energy efficient cook stoves and end fuels.

Evaluation purpose, approach and methods

Terminal Evaluation is an integral part of the UNDP-GEF project cycle. Its purpose is to provide a comprehensive, systematic and evidence-based account of the performance of the completed project by assessing its design, process of implementation, achievements (outputs, outcomes, impacts and their sustainability) against project objectives endorsed by the GEF (including any agreed changes to the objectives during project implementation) and any other results. It is intended to enhance organizational and development learning; enable informed decision-making; and create the basis for replication of successful project outcomes.

External international and national consultants carried out this TE. The field mission comprised 12 days in-country (17-28 September 2015 inclusive) meeting and interviewing implementing partners, service providers, beneficiaries and other key stakeholders in Phnom Penh and in the field at various project sites in the four target provinces (Battambang, Pursat, Kampong Chhnang and Kampong Speu). In the provinces, provincial and commune officials, as well as individual household beneficiaries, were interviewed in order to assess the achievements and degree of ownership of the project at all levels of project intervention.

The evaluation was undertaken in as participatory a manner as possible in order to build consensus on achievements, challenges and lessons learnt, about which stakeholders were interviewed informally, with the help of interpretation as necessary. Evidence was cross-checked (triangulation) between as many different sources as possible to confirm its veracity.

Evaluation Results

The Project is evaluated as Satisfactory with respect to the achievement of its overall objective, based on assessment of project outputs and respective indicators and project performance. This means that it has minor shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency. This is an above ‘average’ accolade for all those involved in the Project’s formulation and implementation, being above the fifth highest of six possible scores awarded to GEF projects. Furthermore, all three Outcomes are rated as **Satisfactory**, which indicates that technical and financial resources have been allocated and

commitment expended across the breadth of the project commensurate with the necessary requirements.

The FA, with strong support from UNDP, is to be congratulated on its leading and coordinating role in this overall achievement; and full credit goes to the responsible ministries (GDANCP, Ministry of Environment; GDE, Ministry of Mines and Energy; GDLMUP, Ministry of Land Management, Urban Planning and Construction) for their cooperation and vital support. The high level of ownership, commitment and enthusiasm towards the project is self-evident among these ministries and their provincial agencies, local government administrations (communes) and forest communities. It has also been encouraging to observe directly that some of the community volunteer inputs to CF/CPA planning and management is driven by genuine conservation interests and commitments, not just income generating opportunities.

The overall objective is ground-breaking in terms of its vision to apply a community-based approach to SFM by incorporating it within a land use planning and management framework that is institutionalised at commune level (CLUP). Thus, Outcomes 1 and 2 address the institutional and policy needs at national level and the planning and management at the community level, respectively, to reverse current trends of increasing forest loss and degradation. Coupled with these two outcomes is a third that addresses bioenergy efficiency to reduce pressures on forest resources and to reduce CO₂ emissions.

Progress towards meeting targets for the project objective indicators has been substantive with respect to introducing SFM to Community Forests (CFs) and Community Protected Areas (CPAs) through community forestry and demonstrating how greenhouse gas (GHG) emissions can be reduced through fuel efficient improvements to cooking stoves and charcoal production, at the same time as improving livelihoods. Such progress translates directly into significant contributions to UNDAF and UNDP's 2011-2015 Country Programme with Cambodia. However, as yet there is only limited and sometimes conflicting evidence on the ground to show that current national trends of increasing deforestation and forest degradation are being reversed. Evidence of a 1% reduction in deforestation at project sites is undermined by other evidence of an 0.8% increase in degraded forest at such sites. Much more time, resources and know-how, along with improved monitoring, are required to be able to conclusively demonstrate that such interventions can achieve the desired impact of fundamentally reversing these trends in Cambodia.

Some excellent results have been achieved at the project sites, distributed across the four target provinces; and the achievements and lessons learned are intended to inform and strengthen the regulatory framework concerning different models of community-based forest management, as well as contribute to Cambodia's reduction in CO₂ emissions by means of alternative income generating activities.

Strategically important results include:

- **Marked strengthening and development of institutional capacity**, particularly within FA and GDANCP.
- **Multi-sector working**, notably at provincial levels where technical teams of focal persons from the four participating ministries (MAFF, MoE, MME and MLMUPC) have been established coordinate their technical and other support to communities engaged in CF and CPA planning and management, within the context of CLUP, and other communities involved in the production of energy efficient cook stoves and 'green' charcoal.
- **Integrating CFs and CPAs within Commune Land Use Plans**, thereby maximising the institutionalisation and ownership of SFM at grassroots level and, potentially, securing future resources through commune budgets. This bottom-up approach that is embedded in a system of local governance also lends itself to developing a landscape-scale approach to SFM and biodiversity conservation over the longer term.

- Showing **commitment and demonstrating** at national, provincial, commune and community levels that different models of community forestry management in CFs/CPAs/ACFMs (Alternative Community Forest Modalities) can work for the good of the environment and its people through a diverse range of conservation and sustainable income generating activities.
- Collating and screening a wealth of experience and lessons learned from the project into **new knowledge to inform policy and guide future management**.

Such achievements, however, are at risk of being undermined or usurped due to some serious shortcomings incurred during project implementation, notably:

- Significant delays in project implementation, including 18 months for the project to become operational in the field and a further one year for MoE to come aboard. Thus, there has been limited time to develop CPA management plans. Moreover, there has been little or no time for communities to implement recently/newly approved management and business plans for both CFs and CPAs, all of which require a certain amount of technical and/or financial resourcing. Local livelihoods depend on these plans being effectively implemented.
- Little attention has been given to the development of financing strategies and generating funds from other sources (Outputs 1.5 and 1.6, respectively), so the sustainability of project outcomes is fragile and dependent on rapid and effective implementation of CF/CPA business plans, which will require continued support from implementing partners at provincial levels, small grant support for new income generating initiatives and strong support from commune leaders to integrate CFs/CPAs within CLUPs. Longer term mainstreaming of SLM is likely to remain in jeopardy until such time as carbon financing, ecosystem servicing and other mechanisms can be set up to sustain community-based forestry.
- Little priority had been given to developing an Exit Strategy, as part of a Sustainability Plan, despite its recommendation in the MTR (2014). This was raised during the TE and a draft Exit Strategy was shared with the TE team in mid-November. The draft provides the basis of a strategy but falls short of providing strategic direction because it raises as many questions as it answers.

In line with GEF requirements (UNDP-GEF 2012), performance has also been rated in terms of project relevance, effectiveness, efficiency, sustainability and impacts, as well as the quality of M&E systems. These ratings are provided in the table below, along with a brief justification.

Criteria	Rating	Comments
Monitoring and Evaluation (using 6-point satisfaction scale)		
Overall Quality of Monitoring & Evaluation	MS	Further details in Sections 3.1.1, 3.2.1 and 3.2.3 .
<i>M&E design at project start up</i>	MS	Overall design framework of project is coherent: the three main barriers to reversing increasing loss and degradation of forests being reflected in the SRF by three inter-related Outcomes. Such coherence becomes confused or lost at more detailed Outputs level. M&E framework outlined in Project Document. SRF provides results-based approach to monitor progress against targets but only at Outcome level. Indicators poorly defined, many proving to be outputs and others insufficiently SMART, all of which jeopardised consistent monitoring of implementation progress. SRF overhauled at mid-term: outputs identified in ProDoc, introduced to SRF, indicators 'SMART'ened and targets clarified. Despite such improvements, poor design and inconsistent revisions to SRF limit its value for monitoring progress.
<i>M&E Plan Implementation</i>	MS	Routine reporting (Quarterly Progress Reports, APRs/PIRs), annual work plans and budgets, and meetings (Project Board) undertaken. Main activities sub-contracted to two service providers (NGOs), one of whom was tasked to monitor

		SRF and facilitate self-assessment of UNDP Capacity Development Scorecard. PMU should have been more proactive in monitoring and facilitating self-assessment exercises. Failure to establish all baselines at project onset is a significant weakness, as is the limited attention given to cleaning up and updating the SRF at project inception and mid-term in order to be able to focus on clearly defined, realistic targets and their achievement.
IA & EA Execution (using 6-point satisfaction scale)		
Overall Quality of Project Implementation/Execution	S	Further details in Sections 3.2.6
<i>Implementing Agency Execution</i>	S	UNDP Cambodia has worked closely with its implementing partner, FA, throughout the project. It has provided technical and administrative/ accountancy consultant support to PMU, as well as being represented on the Project Board as the development partner. The implementation approach is well designed and organisational structure of the project is fit for purpose. Overall, there is a strong sense of commitment and technical support from within PMU, its implementing partners and service providers, confirmed by feedback from stakeholders within the target villages and districts. Serious delays in implementation, such as over one year for the project to be operational - a shared responsibility of both IA and EA, have left insufficient time in which develop and implement CF/CPA management/business plans. This shortcoming potentially impacts on the sustainability of the project.
<i>Executing Agency Execution</i>	S	The Forestry Administration, as Implementing Partner under the National Implementation Modality, is responsible for national execution of the project and coordinates inputs from other ministries (MoE, MME and MLMUPC). Multi-sector cooperation, effected though creation of provincial line agency platforms, has been a major achievement.
Outcomes (using 6-point satisfaction scale)		
Overall Quality of Project Outcomes	S	Based on separate assessment of project Outcomes and Outputs (see Table 3.4 and Annexes 6-7).
<i>Relevance</i>	R	In principle, the overall (development) objective of the Project and its three outcomes remain as, if not more, relevant today as when the Project was conceived, given the 14.4% increase in Cambodia's annual rate of deforestation over the last decade or so – reportedly the highest rate in the world (see Section 3.3.2).
<i>Effectiveness</i>	MS	Extent of achievement of objective and outcomes, or likelihood of being achieved – Outcomes 1-3 achieved to a large extent but their fruition now depends on regulations being put in place, implementation of CF/CPA management/business plans to conserve forests and sustain livelihoods and effective transfer of quality assurance responsibility for cook stoves from GERES to ICoProDAC.
<i>Efficiency</i>	MS	Cost effectiveness of delivery of results diluted by significant delays in project implementation that has undermined extent of achievement of project objective and outcomes (i.e. effectiveness).
Sustainability (using 4-point likelihood scale)		
Overall Likelihood of Sustainability	ML	
<i>Financial resources</i>	ML	Project has not developed any financial strategies in MAFF or MoE to support community-based forestry through opportunities such as REDD and carbon financing. Nor has it generated any finance from other funding sources. REDD+ strategy is now eventually coming on-stream and there is talk about potential opportunities of linking it with community forest management. Such resources are critically important if SFM is to be mainstreamed, let alone consolidated within the existing 34 CFs and CPAs.
<i>Socio-economic</i>	ML	Project has demonstrated a range of socio-economic benefits and income-generating activities arising from SFM practices in CFs and CPAs and from the production of bioenergy efficient cook stoves and charcoal that reduce CO ₂

		emissions. Management and business plans are in their early stages of implementation; hence the jury is still out with respect to demonstrating improved livelihoods at an economically sustainable scale.
<i>Institutional framework and governance</i>	L	Project has strengthened institutional capacities in SFM and provided guidance and lessons learned from piloting a range of models of community-based forest management and conservation, all of which are needed to better inform and strengthen the legal framework for CFs and CPAs and establish/maintain multi-sector platforms for coordinating inputs to their planning and management.
<i>Environmental</i>	L	Project has demonstrated a desire on the part of communities to plan for the long-term sustainable management of forests to meet their livelihood needs while conserving biodiversity and reducing CO ₂ emissions. Such plans are likely to be realised if technical and financial resources can be secured to support the realisation of the plans.
Impact (using 3-point impact scale)		
<i>Environmental status improvement</i>	S	Examples: SFM practices introduced to CFs and CPAs that reverse forest loss and land degradation, such as establishment of 7 woodlots covering 1,781 ha to supply firewood for charcoal production and 4,902 ha of woodlots to harvest fuel wood.
<i>Environmental stress reduction</i>	S	Examples: improved technologies for bioenergy efficient cook stoves and charcoal production that reduce emissions by 29,949 tCO ₂ e/year and 945 tCO ₂ e/year, respectively.
<i>Progress towards stress/status change</i>	S	Change in deforestation rate from 0.5% per year to -0.46% per year in project target sites across 4 provinces, compared with 0.71% annual deforestation rate in target provinces.
Overall Project Results (using 6-point satisfaction scale)	S	

Satisfaction scale: Highly Satisfactory, Satisfactory, Moderately Satisfactory, Moderately Unsatisfactory, Unsatisfactory, Highly Unsatisfactory

Sustainability scale: Likely, Moderately Likely, Moderately Unlikely, Unlikely
Impact scale: Significant, Minimal, Negligible

Relevance scale: Relevant; Not Relevant

Recommendations to follow up or reinforce initial benefits from the project

The Project has broken new ground, demonstrating to good effect, how CFs/CPAs/ACFMs can be managed sustainably and how CO₂ emissions can be reduced. Much needs to be done **to consolidate** and **replicate** the Project's achievements on parallel fronts. Opportunities to reinforce the benefits from the Project include the following:

- i. **Finalise, endorse and/or officially approve, and disseminate remaining CF/CPA Management and Business Plans.**
- ii. **Disseminate knowledge, experience and best practice in community forestry and emissions reduction** by means of a series of guidelines and case studies on ACFMs and IGAs.
- iii. **Institutionalize provincial multi-sector platforms, comprising focal persons from the four ministries (MAFF, MoE, MME and MLMUPC) participating in the project**, to ensure that communities continue to be supported during the implementation of CF and CPA management and business plans.
- iv. **Support implementation of CF/CPA management and business plans** by providing or facilitating opportunities for revenue generation to improve livelihoods and manage forests.
- v. Undertake further research and/or analysis on important, unexpected results that have emerged during project implementation in order to inform future interventions. These include:
 - Ground-truthing the increase in forest degradation detected in target sites from recent analysis of landsat imagery and follow up with the relevant communities.

- Undertake further analyses, substantiated by interviews, to understand the increasing disparity in female income generation between household heads and non-heads.
 - Complete the assessment of inventories of forest resources and their condition in order to detect any changes that might need to be addressed.
- vi. **Explore and develop markets for products of IGAs with emphasis on establishing or enhancing pro-poor value chains.**
- vii. **Adopt a more precautionary approach to health and safety aspects of income generation.** For example, those involved in charcoal production should either be wearing face masks or, ideally, flues should be in place all of the time.
- viii. **Ecotourism developments need to be based on a proper understanding and consistent application of ecotourism principles, with a clear community-based orientation.** This includes the effective management of visitor impacts such as litter, which needs to be addressed through incentives or disincentives (e.g. 'polluter pays' principle).

Recommendations for future directions underlining main objectives

The project has made substantial progress towards its development objective. Its success to date has resulted in government's commitment, with keen support from UNDP, to replicate this approach and mainstream it throughout other provinces in Cambodia as an integral part of CLUP. Government's commitment is fully supported and encouraged, based on the evidence-based findings of this TE. Key steps towards the future are as follows:

- i. Crucial to transitioning towards the mainstreaming of community-based SFM will be to **consolidate on existing achievements and adequately resource, technically and financially, the implementation of the CF/CPA/ACFM management and business plans** that have only recently been approved or, in the case of CAPs, are shortly due to be approved.

Thus, the **draft Exit Strategy should clearly identify what needs to be in place by the end of the project** and how the necessary resources can be secured to ensure that there is no loss of momentum in implementation, otherwise it will undermine and potentially destabilise communities' ownership and engagement in the initiative because of the negative impact on their livelihoods.

Funds for the immediate future, as from January 2016, will need to come from existing budgets within government, possibly with some modest external support from UNDP, to cover this transitioning phase. Other opportunities for fairly immediate short-term funding might include: UNDP-GEF Small Grants Programme, for which a strategy is being developed in line with GEF-6; certainly the budgets of Communes once CFs/CPAs/ACFMs have been integrated with CLUPs; and micro-financing to establish revolving funds.

- ii. **Identify and secure funds for mainstreaming SFM across all provinces.** Government, with UNDP support, is already pursuing potential opportunities under the REDD+ Strategy. In this context, **it is strongly recommended that the scope of the REDD+ demonstration sites be expanded to include SFM target sites within CFs/CPAs/ACFMs.** Even if this is successful, it will take some time for funds to be forthcoming and, therefore, the priority is to fill the immediate gap for 2016 (Item i).
- iii. **Prioritise and follow up on actions identified above in Section 4.3** to reinforce existing benefits from the project.

1. INTRODUCTION

1.1 PURPOSE OF THE EVALUATION

The GEF Monitoring and Evaluation Policy³ has two overarching objectives at the project level, namely: to promote accountability for the achievement of GEF objectives through the assessment of results, effectiveness, processes and performance of the partners involved in GEF activities; and to improve performance by the promotion of learning, feedback and knowledge sharing on results and lessons learned among the GEF and its partners, as a basis for decision-making on policies, strategies, programme management, projects and programmes.

Terminal evaluation is an integral part of the UNDP/GEF project cycle. Its purpose is to provide a comprehensive and systematic account of the performance of the completed project by assessing its design, process of implementation, achievements (outputs, outcomes, impacts and their sustainability) against project objectives endorsed by the GEF (including any agreed changes in the objectives during project implementation) and any other results.

Terminal evaluations have four complementary purposes:

- i. To promote accountability and transparency, and to assess and disclose levels of project accomplishments.
- ii. To capture and synthesize lessons that may help improve the selection, design and implementation of future GEF activities, as well as to suggest recommendations of replication of project successes.
- iii. To provide feedback on issues that are recurrent across the portfolio and need attention, and on improvements regarding previously identified issues.
- iv. To contribute to the GEF Evaluation Office databases for aggregation, analysis and reporting on effectiveness of GEF operations in achieving global environmental benefits and on the quality of monitoring and evaluation across the GEF system.

To this end, the terminal evaluation is intended to:

- i. enhance organizational and development learning;
- ii. enable informed decision-making; and
- iii. create the basis for replication of successful project outcomes.

The Terms of Reference (ToR) for this Terminal Evaluation, *Strengthening Sustainable Forest Management and Bio-Energy Markets to Promote Environmental Sustainability and to Reduce Greenhouse Gas Emissions in Cambodia*, are attached as **Annex 1**. They are generic and do not include any provisions specific to this project.

1.2 SCOPE AND METHODOLOGY OF THE EVALUATION

1.2.1 Scope and context

The Terms of Reference (ToR) for this Terminal Evaluation (TE) of the full-size project on *Strengthening Sustainable Forest Management and Bio-Energy Markets to Promote Environmental Sustainability and to Reduce Greenhouse Gas Emissions in Cambodia* are attached as **Annex 1**. They are based on the aforementioned UNDP *Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF*

The TE has been undertaken in line with GEF principles concerning independence, credibility, utility, impartiality, transparency, disclosure, ethical, participation, competencies and capacities³. The consultants have signed the Evaluation Consultant Code of Conduct Agreement Form (**Annex 2**), thereby agreeing to abide by the UNEG Code of Conduct in the UN System (2008).

³ The GEF Monitoring and Evaluation Policy 2010, Evaluation Document November 2010, No. 4. 32 pp.

The evaluation process is independent of GEF, UNDP, Ministry of Agriculture, Forestry and Fisheries' (MAFF) Forest Administration (FA) and project partners. The opinions and recommendations in this Terminal Evaluation are those of the Evaluation Team, comprising one international and one national consultant, and do not necessarily reflect the position of GEF, UNDP, FA or any other Project stakeholders. Once accepted, the Terminal Evaluation becomes a recognised and publicly accessible component of the project's documentation.

This TE follows in the wake of a Mid-Term Review (MTR) conducted in July 2013 and the final report completed in September 2013⁴. A revision of this review, considered necessary "for a number of reasons", was undertaken in May 2014 and completed in September⁵. Management's response to the recommendations and proposed actions in the revised MTR is attached as **Annex 3**. Management's response to the MTR and the way in which implementation has been adapted to address weaknesses and reinforce benefits is an important consideration of this TE.

The TE was carried out between mid-September and December 2015. The field mission comprised 12 days in-country (17-28 September inclusive) meeting and interviewing co-financiers, implementing partners, service providers, beneficiaries and other key stakeholders in Phnom Penh and in the field at various project sites in the four target provinces (Battambang, Pursat, Kampong Chhnang and Kampong Speu). In the provinces, provincial and commune officials, as well as individual household beneficiaries, were interviewed in order to assess the achievements and degree of ownership of the project at all levels of project intervention. Details of the itinerary and schedule of meetings with over 132 stakeholders are attached as **Annex 4**.

1.2.2 Approach and methodology

Terminal evaluation is an evidence-based assessment of a Project's concept and design, its implementation and its outputs, outcomes and impacts as documented in the Annual Progress Reviews (APRs), Project Implementation Reports (PIRs) and Sustainable Results Framework (SRF), which provides indicators and targets for measuring success in implementation.

A flexible, mixed approach was adopted for this evaluation, with emphasis on qualitative changes resulting or potentially resulting from the project. Both inductive and deductive methods were used, based on gathering quantitative and qualitative data from a carefully selected range of sources. Evidence was gathered by reviewing documents, interviewing key, selected stakeholders, visiting sites and from other ad hoc observations. A list of documents reviewed by the evaluators is attached as **Annex 5**.

A draft itinerary was shared with the Evaluation Team prior to the mission and revised to accommodate their feedback. The evaluators specified that: all four target provinces should be visited; provincial implementing partners, service providers, CF and CPA beneficiaries (community members) and agency staff, and commune officials should be met; and that the different types of community forest as well as the full range of energy efficient stoves and kilns should be visited. Selection of specific sites was largely left to PMU because they were best qualified to work out the logistics in relation to road conditions, travel times and availability of stakeholders. Selection of beneficiaries for group discussions and individual interviews was left to the discretion of the Evaluators. These sessions were often held in the absence of PMU staff and the service providers, though they were available to the Evaluators throughout the mission as resource persons, translators and facilitators of meetings and other arrangements. Notes taken from the many meetings and interviews are summarised in **Annex 4**.

Interviews with stakeholder groups were undertaken in as participatory a manner as possible and facilitated sensitively in order to gain and maintain their interest and build consensus. Questions

⁴ Mid-Term Review of Project entitled "Strengthening Sustainable Forest Management and Bio-Energy Markets to Promote Environmental Sustainability and to Reduce Greenhouse Gas Emissions in Cambodia. Sept. 2013.

⁵ Mid-Term Review: Strengthening Sustainable Forest Management and Bio-Energy Markets to Promote Environmental Sustainability and to Reduce Greenhouse Gas Emissions in Cambodia. Final Report, Sept. 2014.

were based around the evaluation questions matrix developed for this TE (**Annex 8**). Those with project beneficiaries (communities) were conducted informally, with the help of interpretation as necessary, and using a semi-structured framework that focussed on achievements, challenges and lessons learned. A fourth consideration was income generation and the extent to which it had increased (or decreased), in percentage terms, as a result of specific interventions during the life of the project. The confidence of individual household beneficiaries was gained by 'hearing their story' and then engaging with it constructively.

Focus group discussions with government partners (line ministries and their agencies) were more structured, using a selection of key evaluation questions developed for this evaluation (**Annex 8**).

Evidence was validated by cross-checking (triangulation) in as many different ways as possible. This was achieved by using different informants and other sources of information (e.g. reports) and, where appropriate and practicable, reinforced with direct observation.

Key aspects of the evaluation approach included:

- Planning the evaluation in consultation with the National Consultant, UNDP and the Project Management Unit (Inception Report).
- Identifying the project's key stakeholders and ensuring that a full range of views was solicited in the interviews with implementing partners and beneficiaries.
- Cohesive, integrated working together by the International and National Consultant, to maximise the effective use of their time and ensure that the achievements and short-comings of project stakeholders were consistently acknowledged and, where appropriate, challenged.
- Building consensus among the different stakeholders about the project's success, challenges (short-comings) and lessons learnt.
- Basing findings on evidence that is considered to be credible, reliable and useful. This is particularly important with respect to assessing changes in baseline indicators and evaluating the extent to which targets have been met, as reflected in the SRF.
- Taking into account changes made and progress achieved as a consequence of the MTR.

Preliminary findings were shared with the Executing and Implementing agencies (UNDP and FA), together with their partners and service providers, at a debriefing meeting of the Project Board chaired by H.E. Dr. Chea Sam Ang, Project Director and Deputy Director General, Forestry Administration on 28 September 2015. This provided an important opportunity to validate these findings in an open, objective manner and generate further consensus through discussion and additional feedback before committing them to paper.

In addition to a descriptive assessment, project achievements (outputs and outcomes), sustainability of outcomes, monitoring and evaluation system (design and application), were rated with respect to **either** the level of satisfaction achieved **or** the likelihood of various dimensions of the outcomes being sustainable by the end of the project. Also, three criteria (relevance, effectiveness and efficiency) were used, as appropriate, to evaluate the levels of achievement attained with respect to the project objective and outcomes in accordance with GEF requirements. These criteria are defined as follows⁶:

- **Effectiveness** is the extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance.
- **Efficiency** is a measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.

- **Relevance** is the extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies.

The different scales for rating various criteria are shown in **Table 1.1**, and further defined in **Table 1.2** (level of satisfaction scale) and **Table 1.3** (likelihood of sustainability scale). Sustainability concerns the extent to which environmental, social and economic benefits are likely to continue from a particular project or program after GEF assistance/external assistance has ended⁶.

Table 1.1 Ratings and their scales for different evaluation criteria⁶

Outcomes, Effectiveness, Efficiency, M&E, I&E Execution	Sustainability	Relevance
6. Highly Satisfactory (HS): no shortcomings 5. Satisfactory (S): minor shortcomings 4. Moderately Satisfactory (MS): moderate shortcomings 3. Moderately Unsatisfactory (MU): significant shortcomings 2. Unsatisfactory (U): major shortcomings 1. Highly Unsatisfactory (HU): severe shortcomings	4. Likely (L): negligible risks to sustainability 3. Moderately Likely (ML): moderate risks 2. Moderately Unlikely (MU): significant risks 1. Unlikely (U): severe risks	2. Relevant (R) 1. Not relevant (NR)
	Additional ratings if relevant	Impact
	Not Applicable (N/A) Unable to Assess (U/A)	3. Significant (S) 2. Minimal (M) 1. Negligible (N)

Table 1.2 Definitions of ratings of levels of satisfaction (*Guidelines for GEF Agencies in Conducting Terminal Evaluations*, 2008)

Rating	Definition
Highly Satisfactory (HS)	The project had no shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency.
Satisfactory (S)	The project had minor shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency.
Moderately Satisfactory (MS)	The project had moderate shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency.
Moderately Unsatisfactory (MU)	The project had significant shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency.
Unsatisfactory (U)	The project had major shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency.
Highly Unsatisfactory (U)	The project had severe shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency.

The project objective and outcomes were rated according to their respective outputs (**Table 3.4**), based on evidence provided by PMU and assessed by the evaluators (**Annex 6**), and by means of performance indicators (**Annex 7**) using the 6-point satisfaction scale (**Table 1.2**). Other aspects of performance, such as effectiveness, efficiency, relevance and sustainability, were assessed using the full set of ratings shown in **Table 1.1**.

Two additional assessment tools applied to this project by UNDP are its Capacity Development Scorecard (**Annex 9**) and the GEF Tracking Tool for Biodiversity Projects (**Annex 10**), both of which are attached to the report.

⁶ *Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-Financed Projects*, UNDP Evaluation Office, 2012

Table 1.3 Definitions of levels of risk to sustainability of Project outcomes (*UNDP Evaluation Guidance for GEF-Financed Projects*, 2012)

Rating	Definition
Likely (L)	Negligible risks to sustainability, with key outcomes expected to continue into the foreseeable future.
Moderately Likely (ML)	Moderate risks , but expectations that at least some outcomes will be sustained.
Moderately Unlikely (MU)	Substantial risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on.
Unlikely (U)	Severe risk that project outcomes as well as key outputs will not be sustained.

UNDP CO was provided with a draft report in November to share with the Implementing Agency, Service Providers and UNDP Regional Office. Comments received by the Evaluators contributed to significant improvements to this final version of the report, completed in December 2015. The audit trail for these review comments can be found in **Annex 11**.

A main limitation to the evaluation concerns the several occasions when it has been necessary to update analyses and assessments as final reports are completed by PMU and the service providers. Also a lot of cross-checking has been necessary as different versions of key documents, such as the SRF, are sometimes in circulation, causing confusion and taking time to resolve.

1.3 STRUCTURE OF THE EVALUATION REPORT

The structure of this Terminal Evaluation report follows the latest UNDP guidance for terminal evaluation of GEF-Financed Projects⁴ and follows Annex F of the UNDP template for *Terminal Evaluation Terms of Reference*. This first introductory chapter describes the purpose of evaluation and methods used. Chapter 2 describes the project and its objectives, within the development context of Cambodia. Findings from the evaluation are presented in Chapter 3, focusing in turn on the formulation, implementation and results (outputs, outcomes and impacts) of the project. Aspects of each of these three components of the project cycle were assessed using the rating systems outlined above in Table 1.1. Conclusions are drawn in Chapter 4, highlighting the strengths, weaknesses and outcomes of the project. Lessons learned from the experience are identified, along with practical, feasible recommendations that build on the project's interventions. These are linked to follow-on opportunities arising from government's commitment to a further phase and transition towards mainstreaming this SLM initiative.

2. PROJECT DESCRIPTION AND DEVELOPMENT CONTEXT

2.1 PROJECT START AND DURATION

Implementation of this UNDP/GEF full-size project entitled *Strengthening Sustainable Forest Management and Bio-Energy Markets to Promote Environmental Sustainability and to Reduce Greenhouse Gas Emissions in Cambodia* officially commenced on 18 March 2011, by which time all contracting parties (Royal Government of Cambodia as the Implementing Agency and UNDP as Executing Agency) had signed the Project Document. This followed in the wake of an extensive period of design during 2009, including the Local Project Appraisal Committee meeting on 25 November 2009 and approval from the GEF Secretariat in May 2010. The project was originally planned to end on 28 February 2015 but this was extended on a no cost basis to 31 December 2015, following the recommendations of the Mid-Term Review (MTR).

During the inception phase a project office was established within the Forestry Administration (FA) in July 2011 and the drafting of the Inception Report was concluded with an Inception Workshop on 3 November 2011, following which two service providers were procured in March and April 2012, respectively. The project took over one year to become operational and only in early 2014 (a further two years) did one of the partners, Ministry of Environment (MoE), become fully engaged. Thus, the project had only been operational on the ground for about six months when the original MTR was conducted in July 2013; and its further revision under a separate consultancy began in May 2014 just after the MoE's work on Community Protected Areas (CPAs) was kicked-started with a workshop in April 2014. Project milestones are listed in **Table 2.1**.

Table 2.1 Project milestones and their dates (Source: MTR report, 2014)

	Milestone	Date
1	Revised project concept certified as meeting GEF criteria for PIF purposes	28 Aug 2008
2	Design of full-size project proposal	2009
3	Local Project Appraisal Committee meeting	25 Nov 2009
4	GEF approval	May 2010
5	Agency Approval (UNDP ProDoc signature)	March 2010
7	Delegation of authority	9 June 2010
8	Project start date (Project Document signed by Royal Government of Cambodia and UNDP CO)	18 March 2011
9	Project launched (workshop)	31 May 2011
10	SFM office established in FA	July 2011
11	Inception workshop	3 Nov 2011
12	Request for proposals from Service Providers	Nov 2011
13	Strategic Results Framework revised	Dec 2011
14	Contracts signed with the two Service Providers (RECOFTC and GERES)	March/April 2012
15	RECOFTC & GERES begin project implementation with project scoping and baseline studies	May-Nov 2012
16	Actual field implementation starts	Dec 2012
17	Mid-Term Review ⁷	July - Nov 2013
18	Mid-Term Review revised	May - Sept 2014
19	10 month no-cost project extension approved by Project Board and UNDP	late 2014
20	Terminal Evaluation	Sept – Dec 2015
21	Proposed project closing date	28 Feb 2015
22	Actual project closing date	30 Dec 2015

⁷ **Note:** The MTR report is dated September 2013 but the file with the final version is labelled 25 November 2013. This 2013 report was not approved and a further MTR was undertaken in 2014 by a different consultant.

2.2 PROBLEMS THAT THE PROJECT SOUGHT TO ADDRESS

2.2.1 Context

Cambodia, with a total land area of 181,035 km², is among the poorest of countries in South East Asia and, globally, is ranked 136 out of 187 countries with respect to its Human Development Index of 0.584. This compares with Myanmar (0.524) in the Low Human Development category; Lao PDR (0.569) and Viet Nam (0.638) in the Medium Human Development category along with Cambodia; and PR China (0.719), Thailand (722) in the High Human Development Category⁸.

Despite its Medium Human Development status, Cambodia has a diverse and extensive natural resource base that is reflected in its having some largely intact natural areas and relatively high forest cover (47.7% in 2014⁹), particularly in comparison with most of its neighbouring countries of Thailand, Lao PDR, Viet Nam and other countries in South East Asia.

Six of the world's 867 terrestrial ecoregions¹⁰ are represented in Cambodia, of which the Cardamom Mountains rain forests and Tenasserim-South Thailand semi-evergreen rainforests in the south-west of the country are included in the WWF Global 200 list of ecoregions for priority conservation on account of their exceptional concentrations of species and endemics (**Figure 2.1**). These two ecoregions are considered to be among the most species-rich and intact natural habitats in South East Asia¹¹.

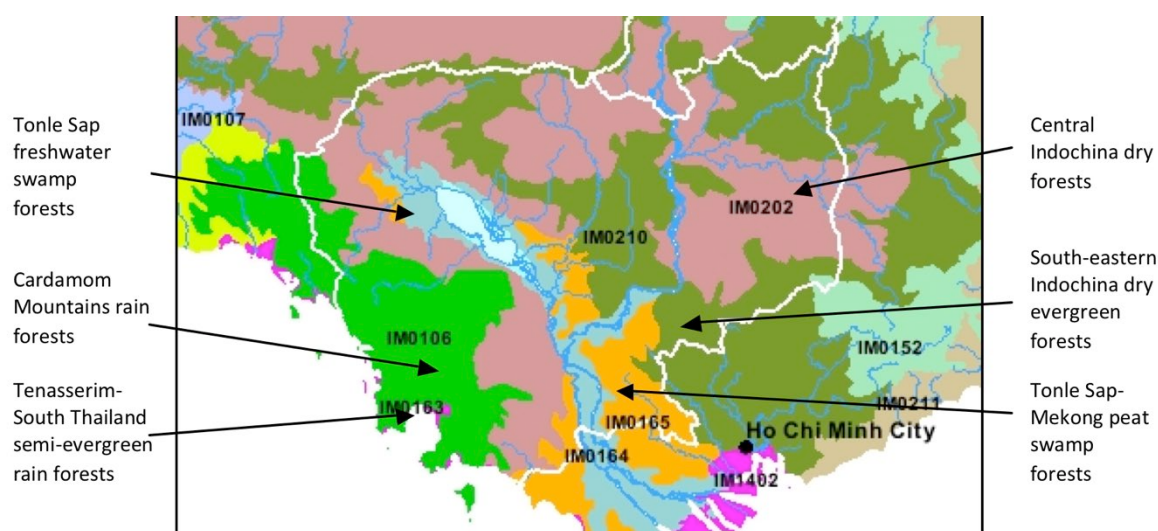


Figure 2.1 Cambodia's six terrestrial ecoregions, of which the Cardamom Mountains and Tenasserim-South Thailand rain forests are a global priority for conservation. (Source: Project Document)

An extensive network of 36 protected areas covering 18.5% of Cambodia's land area has been established to safeguard Cambodia's biodiversity under the jurisdiction of the Ministry of Environment, initiated under the 1993 Royal Decree on the Protection of Natural Areas and more recently reinforced by the 2008 Protected Areas Law. A further 10.6% of total land area receives varying degrees of protection under the Forestry Administration, either as Protected Forest (8.8%) or Community Forest (1.8%) under the 2002 Forestry Law. The extent of these protected

⁸ Unless otherwise indicated, statistics are for 2013 (UNDP 2015, *Human Development Report 2014*, New York).

⁹ Source: <http://www.opendevelopmentcambodia.net/briefing/forest-cover/>

¹⁰ Ecoregions are defined as "relatively large units of land containing a distinct assemblage of natural communities." (Olsen et al., 2001, *Terrestrial Ecosystems of the World. Bioscience* 51 (11): 933-938.

¹¹ Project Document, p.6.

areas (PAs), protected forests (PFs) and community forests (CFs) is shown in **Figure 2.2** and it is important to appreciate that large tracts of forest fall outside this network (**Figure 2.3**)¹².

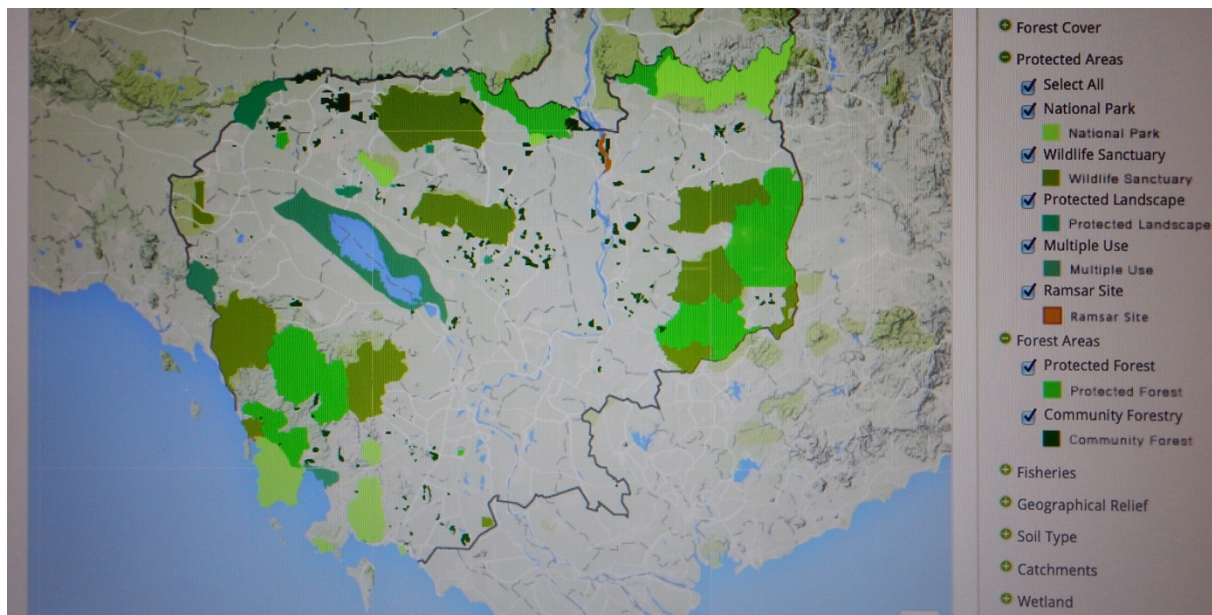


Figure 2.2 Distribution of protected areas (36), Protected Forests (9) and Community Forests (337) in Cambodia. Protected areas comprise National Parks (8), Protected Landscapes (8), Wildlife Sanctuaries (14), Multiple Use Areas (3) and Ramsar Wetlands (3). Source: <http://www.opendevelopmentcambodia.net/maps> (16-10-2015)

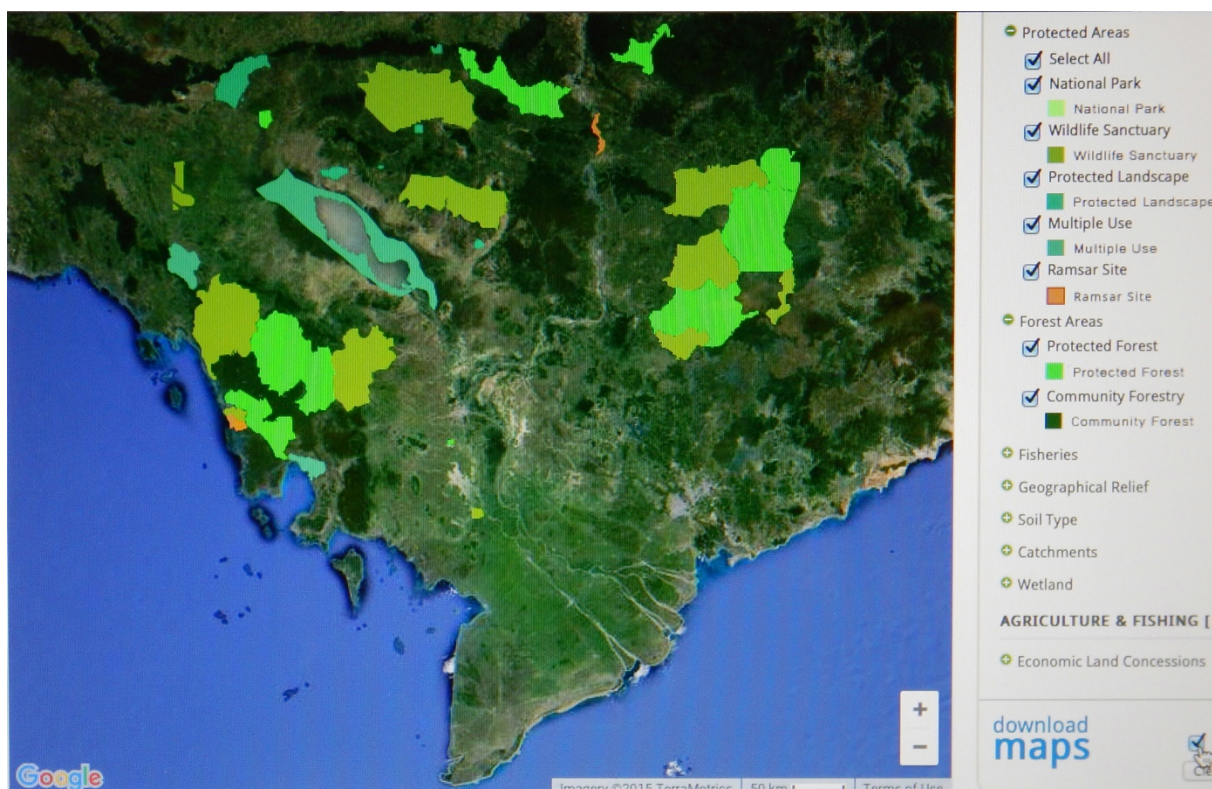


Figure 2.3 Satellite image of Cambodia showing large tracts of forest (dark green) that lie outside Cambodia's present network of protected areas, Protected Forests and Community Forests. Source: <http://www.opendevelopmentcambodia.net/maps> (16-10-2015)

¹²The Project Document refers to 70% of Cambodia's forests being under some level of protection, either as PAs under the MoE or as Permanent Forest Reserves under the FA (p. 7).

At the time of the project's formulation, approximately 85% of Cambodia's population depended on agricultural and/or forest production as the primary source of their livelihoods¹³. Moreover, forest resources contributed between 30% and 42% of total household incomes of rural people (Project Document). Forest resources are a vital part of the economy, providing subsistence and saleable products for local communities in rural areas and with respect to their environmental services that benefit society at large (e.g. maintenance of soil structure and fertility, regulation of hydrological cycles, carbon sequestration).

Those within protected areas, protected forests and community forests may be used sustainably, except in Core or Conservation zones, subject to the approved management regime in line with the decreed purposes of the site's designation. Elsewhere, forests support the livelihoods of their nearby communities, as well as providing important habitat for wildlife and connectivity between protected areas. Thus, Cambodia's forests represent a significant value in terms of forest resources, biodiversity, and carbon stocks of national, regional and global importance.

There are huge pressures on Cambodia's ecoregions and, in particular, their forest ecosystems. Total forest cover has decreased from approximately 72% in 1973 to 48% in 2014. Most of this decline reflects a loss of dense forest from 42% to 16% over this period, as compared to mixed forest cover (including plantations), which has remained fairly stable, being 30% in 1973 and 31% in 2014¹⁴.

More disturbing is the fact that the rate of deforestation is increasing and much of the loss is from inside protected areas. The latest data from Global Forest Watch¹⁵ indicate that Cambodia has lost 14,471 km² of forest between 2001 and 2013, which equates to a 14.4% increase in the annual rate of deforestation – the highest in the world. Further analysis of these and more recent data shows that nearly one third of forest cover lost in 2014 was from inside protected areas and 45% from inside economic land concessions¹⁶.

2.2.2 Drivers of deforestation

Within a regional context, Cambodia has relatively high forest cover but the marked downward trend in recent decades is in stark contrast to some of its neighbouring and other countries in South East Asia (Figure 2.4).

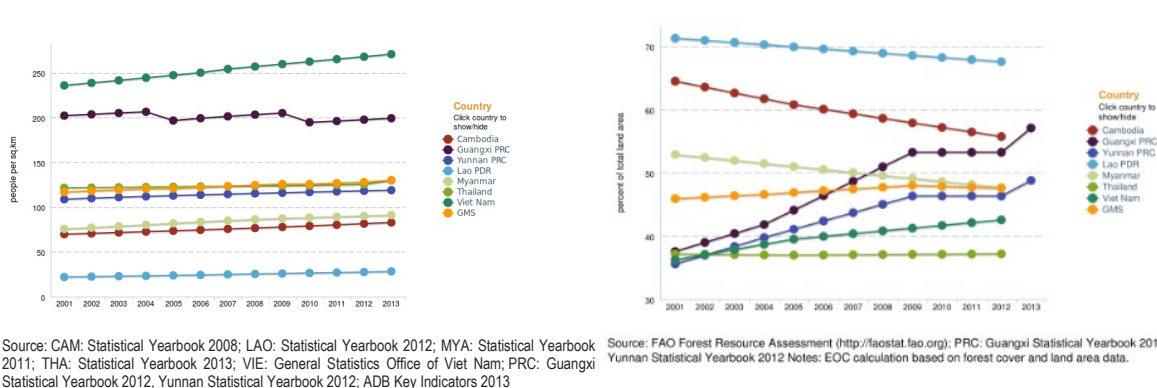


Figure 2.4 Trends in human population density (km⁻²) and forest cover as a percentage of total land area in S.E. Asian countries. Source: <http://www.gms-eoc.org/gms-statistics> (15-10-2015)

¹³New data due to emerge from Cambodia's latest agricultural census indicate that 75% of the population now live in rural areas and 80% of them are either farmers or depend on NTFP for their livelihood.

¹⁴<http://www.opendevdevelopmentcambodia.net/briefing/forest-cover/> (16-10-2015). Note that at the time of the project's formulation in 2009, forest cover was approximately 60%.

¹⁵<http://earthenginepartners.appspot.com/science-2013-global-forest>

¹⁶<https://www.cambodiadaily.com/news/cambodia-sees-worlds-fastest-acceleration-of-forest-loss-94318/>

Cambodia's population has increased from some 9 million in the 1960s to 15.1 million in 2013, undoubtedly contributing to increasing pressure on forest resources. However, population density is among the lowest in South East Asia (**Figure 2.4**) and the annual growth rate is declining: from 2.5% as reported by the National Institute of Statistics in 2007 to an average of 1.7% for 2010-2015 (UNDP, 2015). Approximately 80% of the population is rural (20.3% is urban) and, based on 2002-2012 data, 18.6% live below the national poverty line and 20.5% live below the international poverty line of US\$1.25 per day⁸.

Table 2.2 Direct and indirect drivers of deforestation and forest degradation (Source: MTR, 2014)

Driver category	Direct drivers	Indirect drivers
Governance drivers	• Military bases and roads for legitimate defence purposes, as well as support to illegal logging and encroachment on forests by soldiers. • Government officials at local levels engaged in/ tolerant of illegal land sales, forest clearing • inadequate implementation of NRM and land policies and laws.	• Lack of dialogue between forestry officials and military commanders at national level. • Relatively weak institutional strength of natural resource sector, corruption at different levels, weak law enforcement. • Weak community participation in forest management and decision-making • Inadequate benefit sharing from forest resources (including revenue sharing) • Land tenure systems - lack of local ownership of the resources/land; lack of clarity over access to forest resources
Policy and legislation drivers	Apparent priority of Economic Land Concessions over forestry concerns allows large tracts of forest land to be allocated to private sector firms, displacing local residents and removing forest cover.	• Long-term public land planning policies not in harmony between sectors. • CF approval processes administratively complex, lacking full transparency
Economic drivers	International: • Investment capital for commercial plantations and land speculation provides significant short-term incentive for unsustainable land use. Subnational/local: • Economic Land Concessions – conversion of forest to agricultural use for large-scale commercial production • Population pressures – growing local communities, migrant encroachment – causing clearing for agricultural expansion into forested areas. • Lack of means for efficient, sustainable production/ use of timber, wood-based fuel and forest products.	International: • Global commodity markets, with high prices for agricultural products – sugar, rubber and palm oil – and timber. Subnational/local: • Poverty, livelihoods – Options and markets for revenue generation from sustainable forest management are not developed. • Large urban market for charcoal fuel
Technology drivers	• Lack of knowledge and use of appropriate technology in tree growing, and nurseries production among communities. • Lack of awareness and means for the population to make use of improved stove and charcoal production technology.	• Lack of security of supply of wood/ charcoal to energy users. • Limited formal energy infrastructure – electricity, natural gas – on a nation-wide scale, leaves Cambodians in urban and rural areas still dependent on fuelwood and charcoal for domestic and commercial uses.
Other drivers: (anthropogenic)	• Commercial logging - timber demand was 400,000 tons/year in 2006¹⁷ • Fires used by local residents in land clearing or other small-scale management; inadequate capacity to manage fires	Climate change: reduction in rainfall amounts, more extreme weather events.

Other main direct and indirect drivers of deforestation and degradation of Cambodia's forests include: governance issues, such as conflicting policies and legislation on forest management and land use, economic factors such as commercial agriculture, poverty and poor livelihoods for rural forest dependent communities, and the limited or lack of access to technological advances

¹⁷ <http://www.unccd.int/cop/reports/asia/national/2006/cambodia-eng.pdf>

and solutions, such as energy infrastructures and green energy sources¹⁸. Further details are summarised in **Table 2.2**.

Anthropogenic activities, including logging (much of it illegal), consumption of wood for fuel, commercial and subsistence agricultural expansion, and development activities, such as road construction and increasing human settlement, are the major causes of forest loss and degradation. Although timber extraction currently accounts for only 6% of the total national demand for wood (**Table 2.2**), logging to supply this timber plays a key role in deforestation by making forests accessible and, therefore, vulnerable to other of forest degradation and conversion of the land to other land to other uses.

Biomass is the main source of energy for Cambodia, mainly in the form of the wood and charcoal. Fuel wood provides about 70% of the total energy demand and is used for domestic cooking, and by industries such as agro-industry, garment factories and brick and tile kilns. Household fuel wood (including both firewood and charcoal) amounts to 5,700,000 tons annually (80% of the national demand), of which 700,000 tons (10%) is consumed in the capital city (Table 2.2).

Table 2.3 National wood demand (estimates from various sources, Project Document p.17)

National wood demand	Tons	%
Timber (Source: NIS)	400,000	6
Industrial fuel wood for Phnom Penh garment and brick industries (Source: GERES)	1,000,000	14
Rural fuel wood (Source: UNDP-MIME-GERES)	5,000,000	70
Fuel wood and charcoal in Phnom Penh (Source: UNDP-MIME-GERES)	700,000	10
Total	7,100,000	100

2.2.3 Underlying problem and resolution of the barriers to its solution

The underlying problem to be addressed by the project is that forests in Cambodia are being degraded and lost due to the limited capacities and incentives that exist for government and civil society, notably including local communities, to ensure that they are managed sustainably.

A number of legal and policy provisions to support the resolution of problem were in place at the onset of the project, notably:

- The 2008 Rectangular Strategy II, which emphasizes sustainable forest management (SFM) as a means of improving rural livelihoods and contributing to economic growth. Community use of forests and commercial forest plantations on degraded land are supported, alongside a commitment manage reserved forests efficiently in accordance with international standards through partnerships with external agencies and civil society.
- The National Forest Programme (2010-2029), Sub-programme 4, which aims to bring 2 million ha under management by 2029 through four decentralized modalities (community forestry, community-based production forestry, partnership forestry and community conservation forestry).
- The National Wood and Biomass Energy Strategy, which was in the early stages of development under the Ministry of Mining & Energy.
- Protected areas legislation (see Section 2.2.1), which includes provisions for community participation in the management of Community Protected Areas (CPAs) within the sustainable use zones of PAs.

¹⁸Project Document, pp 17-18; Poffenberger, M. 2013, Community REDD+ in Oddar Meanchey Province. In: Poffenberger, (ed.) *Cambodia's Contested Forest Domain. The Role of Community Forestry in the New Millennium*. Ateneo do Manila University Press, Manila, pp 61-84.

- Government endorsed 'Forest Concessions' (established for commercial forestry) and 'Economic Land Concessions' (introduced to promote economic investment through production activities other than forestry) are subject to a moratorium on logging, introduced in 2002.

The long term solution to the problems of degradation and deforestation is for them to be managed in a decentralized and sustainable manner by local communities, as proposed in the National Forest Programme, in ways that provides them with significant and secure long term benefits from sustainable forest-based businesses and other initiatives operating at landscape scales. Three barriers were identified that needed to be addressed in order to realize the solution, specifically:

- Limited capacities and incomplete regulatory framework to support SFM, along with inter-ministerial collaboration and national experience in working at landscape scales.
- Local communities unable to realize the potential benefits from forests due to a whole variety of reasons, including lack of resources and/or technical know-how and the need for due legal processes.
- Limited dissemination and application of available energy-efficient technologies for the use of fuel wood and woody biomass.

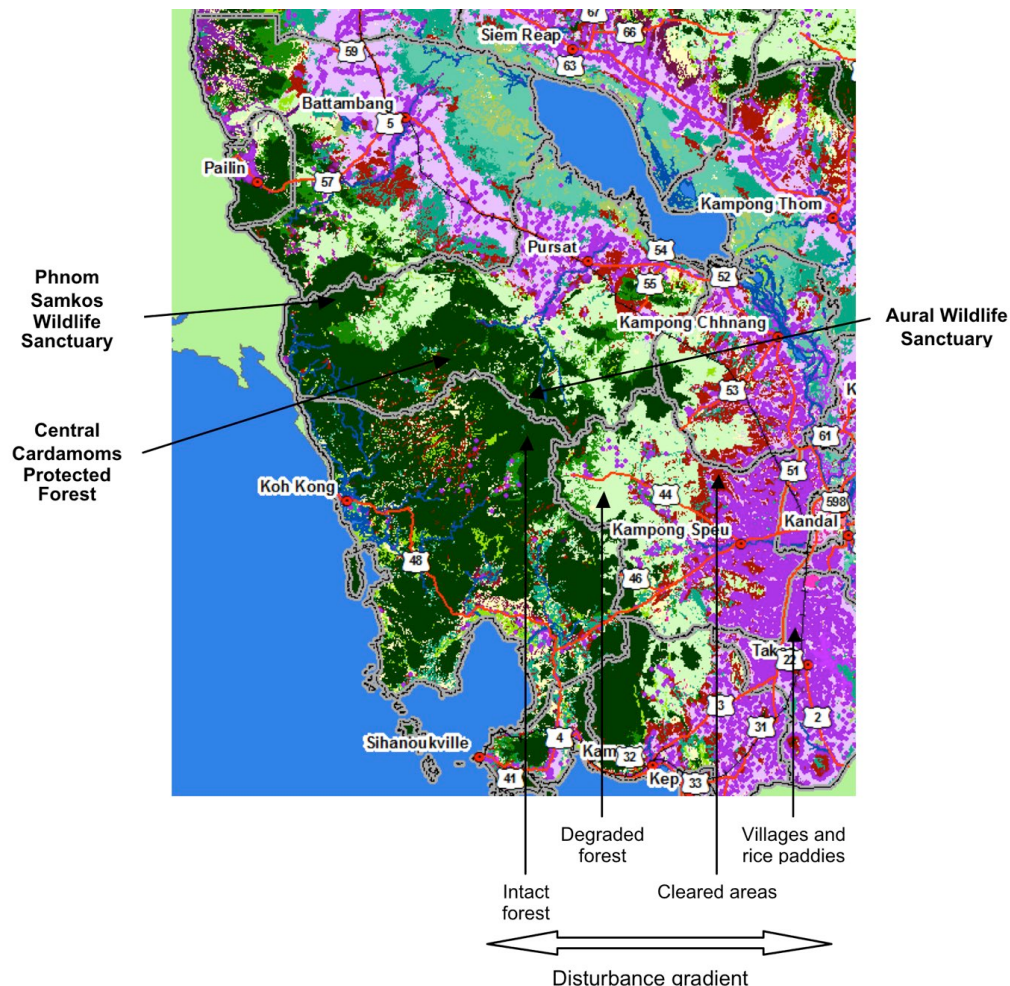


Figure 2.5 Location of the four target provinces (Battambang, Pursat, Kampong Chhnang and Kampong Speu) that extend from the lake shores/river of Tonle Sap to the Cardamom Mountains, showing patterns of land use that reflect a gradient of disturbance from rice paddies, settlements and cleared areas in the vicinity of Tonle Sap to intact forest in the Cardamom Mountains. (Source: Project Document)

Further details are provided in the Project Document (pp 24-27); and in the MTR (2014) there is further mention of the long-standing difficulty of coordination between the FA and GDANCP (General Department for Administration of Nature Conservation & Protection) and their respective ministries, Ministry of Agriculture, Food and Fisheries (MAFF) and MoE.

Four target provinces were selected during the formulation of the project (**Figure 2.5**), based on the following criteria:

- They harbour globally important biodiversity, centred on the Cardamom Mountains Rain Forests, A WWF Global 200 ecoregion that is restricted to Cambodia and an adjacent bordering area in Thailand and threatened by land degradation and climate change.
- They are among the most important sources of the fuel wood and charcoal that is consumed in Phnom Penh and nearby provincial urban centres.
- The existence of some major Government, NGO and community activities in this region on which the project will be able to build.
- The presence of large adjacent areas of land under the aegis of FA and MOE, providing experiential opportunities for inter-institutional collaboration.
- The opportunity to demonstrate a landscape approach to the planning and management of community-based forestry and conservation, alongside major adjoining areas of production landscape.
- Their proximity to and accessibility from Phnom Penh, which provides opportunities to raise the project's visibility and, therefore, utility for the establishment of demonstrations.

Maps of the locations of project intervention sites are shown in **Figure 2.6**.

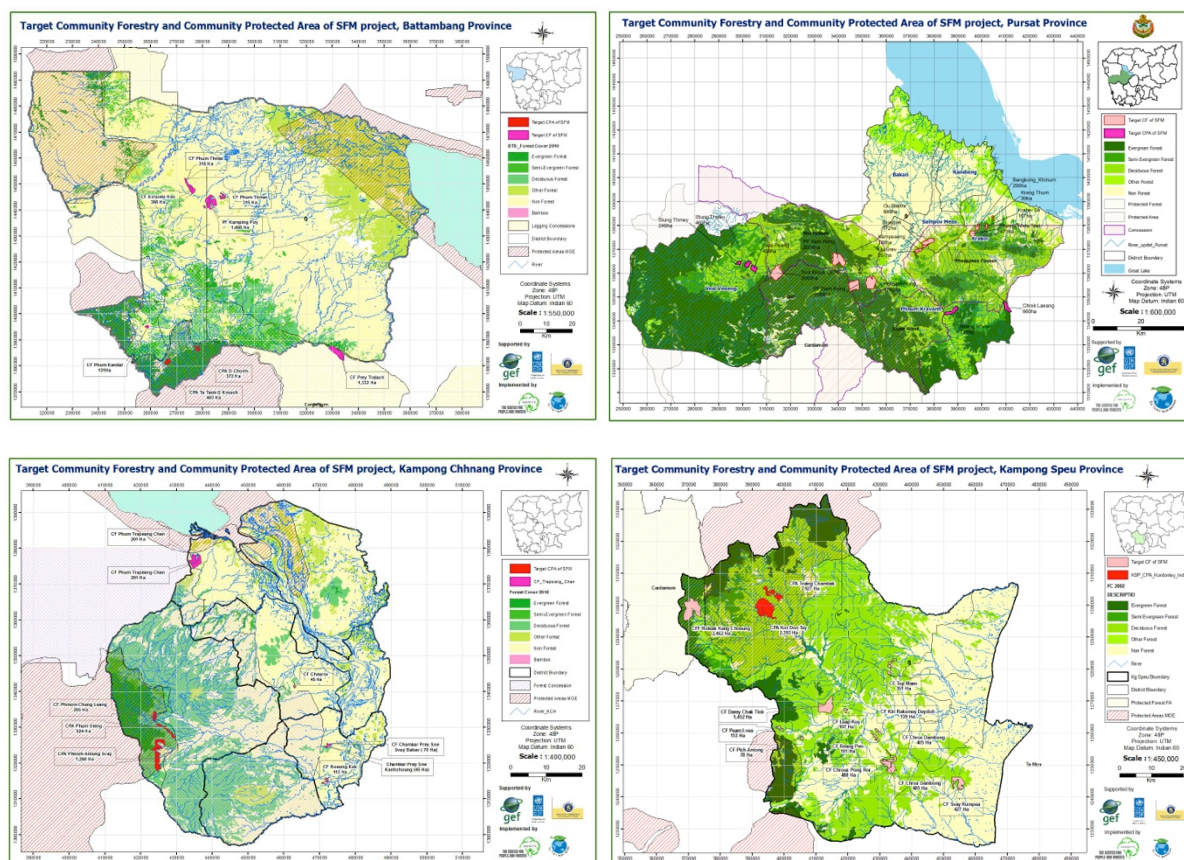


Figure 2.6 Location of project intervention sites within the four target provinces (Battambang, Pursat, Kampong Chhnang and Kampong Speu), courtesy of RECOFTC.

2.3 IMMEDIATE AND DEVELOPMENT OBJECTIVES OF THE PROJECT

The overall (development) objective of the project, as defined in the Project Document, is:

“... to strengthen national SFM policy, integrate community-based sustainable forest management into policy, planning and investment frameworks and create markets for sustainable bio-energy technologies that reduce CO₂ emissions.”

The project will also contribute to the broader development objectives of the UN Development Assistance Framework (UNDAF) and the UNDP Country Programme Action Plan (CPAP)¹⁹:

- **UNDAF Outcome 1:** Promotion of equitable, green diversified economic growth
UNDAF Country Programme Output 1.2: By 2015, more people living in Cambodia benefit from, and participate in, increasingly equitable, green, diversified economic growth.
- **UNDP Country Programme Action Plan Outcome 2:** By 2015, national and local authorities, communities and private sector are better able to sustainably manage ecosystems goods and services and respond to climate change.
UNDP Country Programme Action Plan Output 2.1: Pro-poor sustainable forest/protected area management and bio-energy productions accelerated.

2.4 MAIN STAKEHOLDERS

A wide range of stakeholders having interests vested in the project are identified in the Project Document and updated details are provided in the MTR (2014). They include government, civil society, private sector, NGOs and donor organisations as summarised below.

Government stakeholders include agencies operating at the national and local levels:

- **Ministry of Agriculture, Forestry and Fisheries (MAFF)** and in particular, the **Forestry Administration (FA)** and its **Community Forestry Office**, which is in charge of the National Community Forestry Program.
- **Ministry of Environment (MoE)**, given its position as head of the environment sector and home to the GEF Operational Focal Points and, in particular, its **General Department for the Administration of Nature Protection and Conservation (GDANCP)**, which is responsible for protected areas management.
- **Technical Working Group for Forestry Reform (TWG-FR)**, which provides a mechanism for government-donor coordination to support and strengthen development activities within forestry and environment. It plays a key role in the development of the National Forest Programme. It is co-chaired by the European Union Delegation to Cambodia (formerly by DANIDA) and a Secretariat coordinates donor inputs and monitors the TWG's Action Plan.
- **Ministry of Land Management, Urban Planning and Construction (MLMUPC)** deals with the registration of land tenure of state public land, state private land, communal land and private land. It is responsible for the registration of State Public Lands, such as forests and ensuring their registration in the cadastre.
- **Ministry of Mines and Energy (MME, formerly MIME)** is lead government agency for the energy sector and, therefore, has interests in initiatives related to energy efficiency and renewable energy development and utilization.
- **Ministry of Interior (MoI)** is in charge of the de-concentration and devolution (D&D) of administrative management and budgets to provincial, district and commune levels. MOI hosts the Organic Laws (2008) for D&D, including the D&D Framework (2005) which includes a call for the role of commune councils in land use planning.

¹⁹Lemareshquier, T. *et al.* (2014). Mid-Term Review of CPAP 2011-2015.

- **Ministry of Economy and Finance (MEF)** collects revenues generated by FA and, in turn, decides the annual budget allocation to all government agencies. The budget provided to FA is substantially below the requirements for implementing its programs.
- **National Community Forestry Program Coordinating Committee (NCFPCC)** is a multi-stakeholder committee consisting of regional, provincial, and local community forestry networks, as well as government members and NGO representatives that actively support CF. It is intended to coordinate activities in support of community-based forest management and conservation, but has been dormant for some time. Community forest groups have called for the need to reactivate the NCFPCC.
- **FA cantonment offices** are the main entities with responsibility at regional level for applying FA policies. They are represented at local level by **division** and **triage** offices.
- **Provincial departments of MoE and MME** have responsibility for applying policies at provincial level, including support to PAs in the provinces.
- **Commune Councils** are responsible for Commune Land use Plans (CLUPs) within which CFs/CPAs/ACFMs are an integral part.
- **PA superintendents and rangers** are the government staff in daily contact with local communities.

Civil society stakeholders include:

- Rural communities
- Urban consumers of wood energy
- Firewood and charcoal merchants
- Wealthy actors with interests in land grabbing

Private sector stakeholders include business enterprises and institutions with existing or potential interest in SFM and forest-based businesses:

- Micro, Small and Medium Enterprises (MSMEs), including cook stove producers
- SMEs and larger enterprises in the provincial urban areas
- Larger enterprises at the national scale in Cambodia
- Financial institutions (Micro-Finance Institutions and banks)
- Investment funds in Cambodia and abroad; purely commercial as well as social funds
- Business development service providers
- Other service providers in various areas (including technical artisans supporting cook stove producers)
- Chambers of Commerce and sectoral business associations

International NGOs include:

- **Conservation International (CI)** - Central Cardamom Mountains Program: forest and biodiversity protection, land use planning and rural livelihoods improvement for natural protection, operating mainly in Pursat and Koh Kong Provinces.
- **Fauna and Flora International (FFI)** manages a Trust Fund for the Cardamoms, organized together with CI and Agence Française de Développement (AFD). Interest from trust fund is used for paying rangers, law enforcement, community conservation forestry, support to establish CPAs in Phnom Aural and Phnom Samkos wildlife sanctuaries.
- **Wildlife Conservation Society (WCS)** – working with FA and DANIDA on forest land issues in relation to Economic Land Concessions and demarcation of community areas.

- **PACT** Community Forestry Initiative supports networks, drafts legislation and provides training for CF development.
- **Lutheran World Federation (LWF)** supports CFs in Kampong Speu, Kampong Chhnang and Battambang, and CPAs in Phnom Aural WS, as part of its Integrated Rural Development and Empowerment Project.

UNDP and other donor organisations

- **UNDP** Country Programme Action Plan supports a suite of projects under its Outcome 2, which aims to build capacity for sustainable management of ecosystems goods and services and responding to climate change; UNDP/GEF Small Grants Programme
- **DANIDA** provides strategic planning for CF development, potential areas for CF sites; capacity needs assessment; other support to FA
- **Ministry of Foreign Affairs, Finland** supports **ForInfo** with RECOFTC and GERES – improving livelihoods through generation and ownership of forest information by local people and services market project.
- **USAID** Helping Address Rural Vulnerabilities and Ecosystem STability (HARVEST) Project has an NRM component for CF and CPA in Pursat and Battambang, working with US company Fintrac and FFI. Supporting Forests and Biodiversity (SFB) aims to enhance effectiveness of government and key natural resource managers at national and subnational levels for sustainable forest management and economic development in the Eastern Plains Landscape and Prey Lang Landscape, working with Winrock International and NGO partners (RECOFTC, WCS, East-West Management Institute and WWF).
- **European Union** supports Sustainable Forest Management and Rural Livelihood Enhancement through Community Forestry and REDD initiatives in Cambodia, working with Oxfam and RECOFTC on CF sites, including in Pursat Province.
- **World Bank** Rural Energy Strategy Program supports MME's efforts in the Wood and Biomass Energy Strategy, the Sustainable Charcoal Pilot Project (GERES with MME and FA) and the planned Commercialization of Efficient Cook Stoves.
- **AFD** supports MoE with CPAs in Phnom Aural WS, Kampong Speu, on green charcoal plantations/biomass production.
- **UN-REDD** supports development of forest carbon credit for community forests through implementation of National Forest Programme, integrating REDD+ into community forestry regulations and investigation of conservation concession models.
- **FAO's** Enhancing Community-Based Forest Management & Utilization for the Improvement of Rural Livelihoods in Cambodia is promoting the development of CF enterprises in non-SFM target provinces - possible opportunity to share lessons.

2.5 EXPECTED RESULTS

The project is designed to address the three barriers identified to reverse the ever increasing loss and degradation of forest cover (see **Section 2.2.3**) by means of three Outcomes, with their respective strategies (outputs), as follows (MTR, 2014):

Outcome 1: National capacities and tools exist to facilitate the widespread implementation of sustainable community-based forest management and technologies that reduce demand for fuel wood²⁰.

²⁰Outcome 1, as specified in the Project Document, was “National capacities, policies and regulations exist to facilitate the widespread implementation of SFM, integrating energy efficiency, biodiversity, sustainable land management and livelihood considerations” but it was modified during the project inception phase. Outcomes 2

Strategy - Outputs²¹:

- 1.1 Institutional capacity in FA and GDANCP (Output 1.1 in MTR, 2014)
- 1.2 A supportive legal framework exists for all models of community-based forest management and conservation mentioned in the NFP (Output 1.2 in MTR, 2014)
- 1.3 Commune land use planning (CLUP) in communities where the project supports CFs and CPAs incorporates improvements in SFM and efficient energy approaches to PLUPs and DLUPs (reworded version of Output 2.3 in MTR, 2014)
- 1.4 National Wood Energy Implementation Strategy exists, incorporating private sector modalities (Output 1.6 in MTR, 2014)
- (1.5) Financial strategies in MAFF and MoE to support SFM, including opportunities for REDD and carbon financing for sustained funding to support community-based forestry (Output 1.8 in MTR, 2014)
- (1.6) Financing generated from other funding sources (banks, green funds, etc.) by end of project (Output 1.10 in MTR, 2014)

Outcome 2: Community-based sustainable forest management is being implemented effectively within a context of cantonment, province, district and commune level planning delivering concrete benefits to local communities.

Strategy - Outputs:

- 2.1 Management and business plans for CFs and CPAs, that provide environmental and financial sustainability and opportunities for business development, are developed, approved and beginning implementation (reworded version of Output 2.4 in MTR, 2014).
- 2.2 Average income of households, and of women, from profitable enterprises based on the sustainable management of forest resources increases in target communities (combined Outputs 2.7 and 2.8 in MTR, 2014)

Outcome 3: Strengthened demand and supply chain for energy efficient cook stoves and end fuels.

Strategy - Outputs:

- 3.1 Increased market share of improved cook stoves and charcoal kilns – number of units (reworded version of Output 3.1 in MTR, 2014)
- 3.2 Increased market share of improved cook stoves – percent market share (reworded version of Output 3.2 in MTR, 2014)

and 3 were not changed.

²¹The SRF has undergone many changes during project implementation and it is very difficult and time-consuming to track these due to the lack of consistent terminology. Much attention during the MTR was given to improving the SRF and Section 3.1.2 of the 2014 report articulates a set of outputs against which progress was measured. Many of these outputs were originally defined as indicators in the Project Document; most of them appear in the latest version of the SRF (November 2015), numbered under the 'Strategy' column. To avoid any further confusion, the TE focuses on measuring progress against these outputs in the SRF (November 2015), referring back to their status where reported in the MTR (2014). Changes made to the SRF can be summarized as follows:

- A number of indicators in the Project Document were modified during the project inception phase, resulting in an **amended SRF** (Inception Report, Annex1).
- Indicators were reviewed during the MTR (2014), many were more appropriately identified as outputs, numbered and incorporated as such in the SRF under respective outcomes. Some of these outputs (formerly indicators) in Section 3.1.2 were found to be duplicative (Outputs 1.4 and 1.5) and, therefore, were dropped from the **revised SRF**; others concerned with establishing baselines (Outputs 2.3 and 3.4) were clearly not indicators and deleted. Also, Output 1.7 (Annual volume of sustainable wood produced from the wood lots starting in Year 2) was dropped, as was Output 1.9 (Financing generated from forest/wood energy related carbon credits by end of project) following approval from the Management Board and RTA. The **revised SRF** is Table A6-2 of the MTR (2014) report; changes are summarized in Table A-6.3.

- 3.3 Annual CO₂ emission from stoves and kilns reduced (reworded version of Output 3.3 in MTR, 2014)
- 3.4 Establishment of demonstration palm sugar stoves (PSSs) in one province, Kampong Speu (new indicator, identified in Table A-6 of MTR 2014 report)
- 3.5 Operational improved cook stove production clusters increase (reworded version of Output 3.5 in MTR, 2014)
- 3.6 Income of stove producers increases (reworded version of Output 3.6 in MTR, 2014)
- 3.7 Number of woodlots based on CFMPs and area of woodlots managed for efficient energy by local communities/farmers increases (reworded version of Output 3.7 in MTR, 2014)

2.6 BASELINE INDICATORS ESTABLISHED

An analysis of the baseline situation for the three Outcomes of the project was a key part of its formulation, as detailed in the Project Document. The analysis concluded that a number of conditions that preceded the project were likely to continue in its absence. These barriers are summarized below, in line with the three project Outcomes.

1. Institutional, policy and regulatory environment barriers to SFM:

- Initiatives for national level coordination and leadership fail to build on provisions in the National Forest Programme, reducing the chances for SFM and related action on energy demand issues to be widely adopted and sustainable.
- Institutional capacities, in terms of awareness, knowledge, systems and resources, are inadequate, especially at provincial levels, to provide effective and relevant support to SFM.
- Gaps exist in the regulatory framework, specifically in relation to alternative models of community-based forest management and conservation.
- The development of genuine decentralized capacities and effective representation of local interests in decision-making in provincial and policy contexts is hindered by lack of integration between central, provincial and local levels in relation to SFM.

2. Barriers to mainstreaming biodiversity conservation into community-based forest management, and providing viable livelihood benefits for local communities:

- Efforts are dispersed, with lack of strategic focus and priorities at local and provincial level that should be devolved from the overall planning framework in the NFP.
- Local communities lack incentives, capacities and tenure/user rights to protect forests against threats (external or internal), resulting in a continuation of the current trends of deforestation and forest degradation.
- Local people suffer from livelihood vulnerability, limited access to forest-based income streams and high exposure to the effects of climate change and other environmental risks.
- Fuel wood markets depend on unsustainable extraction from natural forests.

3. Technical and logistic barriers to improved cook stoves and charcoal production:

- Manufacture and uptake of more efficient cook stoves is low at national level, due to the limited development of production clusters and marketing channels for distribution to rural consumers.
- Charcoal production suffers from unsustainable sourcing and inefficient use of fuelwood, reducing forest cover and adding to carbon emissions.

- National levels of fuel wood consumption, and unsustainable extraction of wood from forests, continue at present high levels, resulting in the continued loss or degradation of forests and their carbon reserves.

Indicators derived from this analysis provide the basis of the Strategic Results Framework and other monitoring tools such as the Annual Progress Report (APR). Some of these indicators were modified further in the Inception Report (2011), others were left for determination during project implementation by the Service Providers, and a small number were subsequently changed or refined in line with MTR (2014) recommendations. The current version of the SRF is in **Annex 7** and reference should be made to its many revisions in Footnote 21.

2.7 MID-TERM EVALUATION

The revised MTR concluded that overall project performance had been **Satisfactory**, based on 12 of 17 aspects of performance being rated as such, but progress towards the project objective was considered to be only **Moderately Satisfactory**. The latter can be attributed to implementation delays, including a year's inception phase before service providers were hired to technically assist and facilitate the delivery of outcomes and the fact that the Ministry of Environment (MoE) did not come on board until early in 2014. In fact, the project had only been operational on the ground for about six months when the original MTR was conducted in July 2013; and MoE's work on Community Protected Areas (CPAs) had only just been kicked-started with a workshop in April 2014, just prior to the start of the revision to the MTR in May 2014. Notwithstanding these shortcomings, assessment of capacity development using the UNDP scorecard during the MTR revision showed an achievement of 24/42, which represents 62% of the end of project target.

Key recommendations arising from the revised MTR included:

- Extend the project timescale to the end of 2015 to compensate for implementation delays, for which costs were considered unlikely to be significant and limited to project management.
- Adopt a revised SRF, amended according to results-based management best practice and aligned to be more coherent with Annual Project Reports (APRs) and Project Implementation Reports (PIRs).
- Focus on clear milestones to improve delivery of outcomes and include them in TORs of service providers.
- Develop a sustainability plan with an exit strategy now.

3. FINDINGS²²

3.1 PROJECT FORMULATION

3.1.1 Analysis of Logical Framework

The overall objective of this project, defined in **Section 2.3**, is to demonstrate how forest loss and degradation can be halted and reversed by addressing the key barriers to their protection and sustainable utilisation in ways that benefit local communities and contribute to reducing CO₂ emissions, as articulated in **Section 2.2.3**. Four provinces that abut or encompass the Cardamom Mountains were targeted (**Figure 2.5**) because this area is a global priority for conservation. As indicated in the MTR (2014), there was a thorough process of problem identification and analysis in consultation with stakeholders, as well as assessments of institutional weakness, policy and regulatory gaps, community-based forest management practices and the promotion of available energy-efficient technologies and markets based on fuel wood and biomass.

The project has had a long gestation, dating back to January 2008 when a Project Identification Form (PIF) was first submitted with respect to *Strengthening sustainable forest management and bio-energy markets to promote environmental sustainability and to reduce greenhouse gas emissions in Cambodia* and, after several revisions, certified on 29 August 2008 as meeting GEF criteria for project identification and preparation. Project formulation and approval by GEF in May 2010 took almost two years and a further year elapsed before the project was launched in May 2011 (**Table 2.1**).

The overall design framework of the project is coherent, seeking to address the threats to globally important ecoregions earmarked for priority conservation on account of their high species diversity and endemism (**Section 2.2.1**). The three main barriers identified to reverse the increasing loss and degradation of forest cover (see **Section 2.2.3**) are reflected in the SRF by means of three inter-related Outcomes and their respective indicators to track progress towards the targets to be achieved. However, such coherence becomes confused or lost at the more detailed level of Outputs, despite some realignment during implementation. To elaborate:

- Five Outputs are defined in the Project Document (pp. 48-60 and listed below) but they are not comprehensive with respect to the activities described under the respective Outcomes, some are not clearly defined they are not included in the SRF (pp. 74-78).

Output 1.1: *A supportive legal framework for SFM*

Output 1.2: *National capacities and political will in FA and GDANCP promote SFM through a decentralised landscape-based approach, integrating commune land use planning*

Output 2.1: *Plans in FA cantonment and MOE PA offices for development of community-based forest management, integrated with local development plans*

Output 2.2: *Models for rapid CF allocation and quick benefit generation from community management of forests*

Output 3.1: *Local technology suppliers capable of producing, distributing, maintaining and financing improved cook stoves*

- This issue is picked up in the Inception Report (November 2011), which states that “some outputs, which were not clear have been made clearer partly in the revised Strategic Results Framework, see Annex 1, and partly in the TORs ...” While the revised SRF in the Inception Report has been corrected of several mistakes and its Indicators improved, the relationship between Outputs and Indicators remains confused as the latter are not included in the framework.

²² In addition to a descriptive assessment, all criteria marked with an asterisk in the 2012 *Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects* are supposed to be rated. The relevant subsections in Section 3 on *Findings* are marked by an asterisk; and the rating and its justification are provided immediately at the beginning of the subsection, followed by the evidence.

- The confusion with Outputs is amplified during the project's implementation as noted in the MTR (2014, p. 19). For example, the indicators under Outcomes 1 and 2 (but not Outcome 3) are numbered as Outputs in the Annual Reports. Furthermore, many of the indicators in the SRF relate to Outputs rather than Outcomes; moreover, some of the indicators are, themselves, outputs rather than outcomes. Thus, some further refinement of SRF was undertaken during the MTR (2014, pp 39-41), although these were limited so as not to jeopardize the project monitoring that was already underway.
- A key improvement to the revised SRF currently in use is the inclusion of Outputs, although these have been derived from some of the indicators and are not the same as those originally defined in the Project Document, as listed above. This is a serious short-coming, making it difficult to track progress in the achievement of Outputs in a consistent manner.

Finally, it should be noted that there are a significant number of inconsistencies or mistakes in the Project Document that were subsequently identified and corrected in the Inception Report, dated November 2011 (Section B). Examples include: the proposed number of community forest sites (cited variously as 20, 30 and 50); the reduction in CO₂ emissions from improved cook stoves (cited variously as 79,200, 59,400 and 39,600 tons CO₂); four versus six training and production centres for Neang Kongrey stoves; and 37 versus 100 producers of such stoves.

3.1.2 Assumptions and risks

As indicated in the MTR (2014), the main assumptions in the Project Document are consistent with international best practice in community forest conservation. They try to tackle the main drivers of deforestation in Cambodia by empowering forest communities to engage in sustainable forestry on lands secured for such purposes, and by improving access to improved stoves and charcoal-making technology to reduce the rate of fuel wood consumption. Additionally, many assumptions are made in estimating the reduction in CO₂ emissions from the development, distribution and use of improved (fuel efficient) cook and palm sugar stoves, and improved kilns for charcoal production (Project Document, pp 110-119).

A number of risks are associated with these assumptions, as identified in the MTR (2014):

- Political inability or limitations within the line agencies responsible for forests and nature conservation to resist the pressures of business interests favouring conversion of forest lands to large-scale agriculture, as well as those arising from Economic Land Concessions.
- The degraded status of forests in some CFs, limiting the viability of potential income generating activities for the benefit of local livelihoods.
- Various challenges (e.g. fuel wood supplies, distribution and marketing of products) associated with establishing sustainable enterprises for improved cooking/palm sugar stoves and charcoal kilns by the end of the project.

In the Project Document the identification and treatment of risks is confusing. Five risks are identified in a risk matrix alongside respective mitigation strategies (Table 16, p. 67)²³; 15 risks are identified in the SRF (pp 74-78); and 8 risks are listed in a risk log alongside their impact, probability and countermeasures / management response (Annex 9, pp 154-155). Only 4 of the 5 risks from the matrix appear in the risk log²⁴ and 4 of the 8 risks logged in Annex 9 do not appear in the SRF. Each of these sets of risks stand alone without any explanation of the apparent inconsistencies between them and how they relate to each other.

While most of these risks were retained, four were removed from the revised SRF based on the MTR findings and four new risks were added in connection with:

- **Project objective** - deforestation drivers being beyond the control of the project;

²³Four of these risks can be tracked back to the Project Identification Form (PIF) of 28 August 2008 and refer specifically to prevention of the project objective from being achieved.

²⁴"Inadequate ... coordination among provincial stakeholders" (Table 16) is not reflected in the Risk Log.

- **Project objective** – meeting the target number of stoves produced and marketed in order to achieve the emissions reduction target;
- **Output 2.1** – approval of management and business plans being beyond the responsibility of the project; and
- **Output 2.5** – condition of forests being too degraded to significantly contribute to income generating activities.

A log of risks with corresponding mitigation strategies was generated for the Inception Report (2011), using the UNDP Risk Log System, and this has been routinely updated in the quarterly Project Progress Reports (PPR). Management of critical risks is tracked in the combined Annual Project Review (APR) / Project Implementation Review (PIR) reports that meet GEF and UNDP reporting requirements.

In 2015, a number of Critical Risk Management Measures were undertaken in response to the: limited viability of forest-based businesses due to the low productive potential of forests; limited capacity or interest of forest communities to organize themselves; and the limited interest from the private sector due to unproven viability. Action taken included a review of business ideas in close consultation with CF members, as a result of which 22 income generation activities were identified from pilot CF enterprises. With additional financial support from RECOFTC, the Appropriate Harvesting Technologies were applied to measure the productivity of bamboo, fuel wood and timber resources collection. Also, a silvicultural handbook was drafted to support all CF members to sustainably collect forest resources in accordance with their respective CF management plans.

The other significant risk that should not be overlooked was the initial reluctance of MoE to agree to participate in the implementation of the project, as mentioned in Section 2.1.

3.1.3 Lessons from other relevant projects incorporated into project design

The baseline analysis undertaken during the project's design and outlined in the Project Document (pp. 29-39) shows that forest resources had been under immense pressure over the previous two decades. This was due principally to the delegation of forest management to the private sector through logging concessions by government during the 1990s, in return for much needed revenue generated from timber production. By 1997 over half of all forest land in Cambodia was licensed to 30 companies, covering some 6.5 million hectares. Illegal logging was widespread and in 1997 an estimated 4 million m³ of timber (eight times the sustainable yield) were illicitly extracted. The failure of the logging concession licensing system and their devastating impact on Cambodia's forests²⁵ led to their suspension in 2001 and moratorium on logging in 2002. This lesson led to the Forestry Administration, with donor support, to explore alternative forms of forest management and rehabilitation, including community forestry.

In response to the need for an overall framework for forestry development and with support from DANIDA and FAO, the Government consulted extensively with stakeholders and developed a National Forest Programme (NFP) in 2009 that is underpinned by community-based approaches to forest management and conservation. The TWG-F&E constitutes an important forum for coordinating Government and donor initiatives in support of the NFP. The integration of donor initiatives is also facilitated through the Multi-donor Livelihood Facility, under which DANIDA, DFID and the New Zealand Government coordinate the provision of support to local people's livelihoods.

A number of lessons learned from other projects were incorporated into the project's design from early on during its conceptual stage (PIF, August 2008). They include:

²⁵Only 6% of Cambodia's forests retain commercially valuable dense evergreen forests (Project Document p. 30).

- Land use planning and zoning, based on the DANIDA project, *Demarcating Cambodia's Forest Estate: Developing the Demarcation Process in Kampot, Kratie, Mondulkiri and Preah Vihear Provinces*, and the completed UNDP/UNF/GEF *Cardamom Mountains Protected Forest and Wildlife Sanctuaries Management Project*.
- Local governance and the simplification of procedures with communities and local authorities implementing community forestry, based on the EC/UNDP/SEARCA Small Grants Programme for Operations to Promote Tropical Forests (SGP-PTF).
- The JICA/Forest Administration Community Forestry with Contribution to the Livelihood Improvement of the Local People Project is expected to provide valuable lessons in terms of selecting attractive and viable land management options under community forestry.

A principle area in which lessons from other initiatives have been incorporated into the project design relates to the third barrier to reversing the degradation and loss of forests, which is the limited dissemination and uptake of available energy efficient technologies for the use of fuel wood and woody biomass.

There have been a number of small-scale programs to promote bioenergy in rural Cambodia, such as the UNDP/GEF Small Grants Programme's biomass electrification project, GERES's Cambodia Fuelwood Saving Project, and an SME biomass gasification pilot. Lessons from past efforts suggest that there is a strong interest in and demand for community bioenergy projects but they need considerable push and new strategies to reach the rural poor and rural entrepreneurs. In June 2007, the World Bank Energy Sector Management Assistance Program (ESMAP) conducted a baseline assessment of the rural energy sector in Cambodia and found that the introduction of energy efficient and bioenergy technologies can substantially improve rural energy services by both lowering the costs and making them available in remote areas of the country.

Experience with five technologies over the previous decade was reviewed as part of the project's formulation – cook and palm sugar stoves, charcoal kilns, biodigesters, and retailing of water filters and cook stoves – and the results of the analysis are summarised in Annex 3 of the Project Document. Lessons include:

- Large-scale uptake of these technologies has been impeded by limited technical, business management and financial management skills among current or potential manufacturers, and limited access to financial resources to invest in equipment. For example, producers of traditional cook stoves do not have the capacities and skills to start producing the more efficient New Lao Stoves themselves.
- The widespread adoption of efficient cook stoves is constrained by the limited development of distribution mechanisms. Many villages in Cambodia have no markets and only small village stores whose store owners and potential purchasers tend to lack the financial liquidity necessary to purchase the stoves.
- Businesses producing energy-efficient cook stoves are inadequately integrated into market and value chains, with the result that they have limited market penetration and benefit from only a small proportion of the final sale price of their products.
- Overall, the uptake of energy-efficient technologies has been promoted by only a very few NGOs. There are no research institutions available to support testing, developing and applying such technologies to Cambodia's culture and environment.
- Businesses based on energy-efficient technologies do not realize their full potential as they fail to take adequate account of the quantity and quality of the energy resources on which they depend. There is little information on the potential of different vegetation types to yield fuel wood and woody biomass in a sustainable manner. Such information that exists is not

communicated effectively to business managers, nor do some have the capacity to understand and apply it.

- Promotion of energy-efficiency technologies has also been hindered by limited institutional capacities within MME, which leads the energy sector.

Further lessons identified in the Inception Report include:

- Capacity building should be tailored to line departments individually, while more generic training (e.g. business planning) may include cantonment as well as Department of Environment and PAs staff. This approach takes into account Danida's 2006 assessment of lessons learnt in the Natural Resources and Environment Sector, one of which concerned the difficulty of training across sectors and the importance of focusing on existing organizational structures in order to be sustainable.
- At the time of the Inception Report Workshop, 120 Commune Land Use Plans (CLUPs) had been registered countrywide, providing a wealth of experience and lessons for the future development of CLUPs within the project target sites by relevant ministries and line departments, supported by the project Service Providers.

3.1.4 Planned stakeholder participation

The main stakeholders are identified in **Section 2.4**. As noted in the MTR (2014), key elements of the project's design involved substantial consultation with stakeholders at national, provincial, district, commune and village levels. It included the identification of problems and the development of suitable solutions through systematic planning with key stakeholders, and effective coordination of different agencies and actors. Problem analysis was accompanied by thorough stakeholder consultation and analysis.

Many of these stakeholders were involved throughout the design and implementation of the project. There is no doubt that stakeholder participation was further enhanced by the hiring of two international NGO service providers post project inception, both of whom are well experienced in working with a wide range of stakeholders, particularly in building capacity at community levels. This earned the project considerable trust and respect, particularly at grassroots levels.

3.1.5 Replication approach

Replication is fundamental to the design of project, which will generate and promote sustainable models of community-based forest management and markets for bio-energy technologies in pilot areas distributed across 4 provinces for future replication at national level. The pilot areas under Component 2 were selected specifically for their potential generation and demonstration of such models, due to the diversity of biological, physical and social conditions, the existence of a solid and diverse baseline of activities in relation to community-based forest conservation management and the presence of diverse institutional actors.

The Project Document (pp. 52-53) includes a strategy for maximizing the replication of sound models and good practices, summarised as follows:

- Close coordination and harmonizing of work plans with the Secretariat of the Technical Working Group on Forests and Environment (TWG-F&E), the umbrella body responsible for coordinating government agency SFM-related.
- Use of Component 2 pilot areas as case studies for Component 1 proposed capacity development activities, including field visits to demonstrate good practice.
- Establishment and use of sustainable financing mechanisms (including carbon funding) to start-up new forest-based businesses without direct project support.

- Promotion of the formation and functioning of national and/or provincial forums/platforms for sharing knowledge and experience about sustainable forest management, forest-based products and energy efficient technologies.
- Active engagement with a diverse array of organizations, including government agencies, institutions, NGOs, through partnerships listed in Annex 15 of the Project Document.
- Generation of easily accessible and widely distributed set of documents that feature lessons learnt in the field about viable forest-based businesses and management models.

The inclusion of a business-based approach to SFM and energy efficient technologies is considered critical for their large-scale replication, as they can only be sustained if they are economically viable and beneficial to local communities. Ten potential economically viable business models of energy-efficient technologies and forest-based enterprises were identified and developed during formulation for piloting and replication during implementation. These are summarised in Annex 7 of the Project Document.

3.1.6 UNDP comparative advantage

SFM was an important priority in UNDP's Country Programme for Cambodia at the time of the project's conception (PIF, August 2008), when UNDP Cambodia supported the development of rural livelihoods through improved access to sustainable energy services. The UNDP Country Office maintains close working relationship with the ministries relevant to this project, as well as with the influential Supreme National Economic Council. It also has significant experience in the forestry sector and community-based natural resource management through the EC UNDP SEARCA SGP-PTF. Thus, this project provides further opportunity to build on UNDP's previous and on-going work on conservation and sustainable use of natural resources in Cambodia, much of which has been funded by the GEF in the past.

As stated in the Project Document, the project is aligned with the UNDP's Strategic Plan goal for environment and energy, "to strengthen national capacity to manage the environment in a sustainable manner while ensuring adequate protection of the poor" (paragraph 109). Many aspects of the Strategic Plan are directly relevant to the project, for example: "to mainstream environmental and energy issues into development planning; mobilize finance for improved environmental management; address increasing threats from climate change; and build local capacity to better manage the environment and deliver services, especially water and energy." UNDP also recognizes that disaster risk reduction has many elements in common with climate risk reduction and, where appropriate, combines its efforts in these two areas.

The role of businesses with the project's design also aligns well with UNDP's experience with the private sector, which is recognised as a key partner in the delivery of its Strategic Plan. Thus, there is much synergy to be gained from the project's proposed outputs that support, either directly or indirectly, both enhanced private sector engagement and private sector development in community forestry and the 5 priorities of the UNDP Private Sector Strategy, namely: (a) strengthening policy and institutional infrastructure; (b) facilitating value chains; (c) promoting investments in pro-poor goods and services; (d) fostering inclusive entrepreneurship; and (e) engaging the private sector in policy dialogues.

3.1.7 Linkages between project and other interventions within the sector

In the PIF (August 2008), reference is made to the Government of Cambodia's confirmed commitment to continuing its reform of the land and forestry sectors and to implementing the Convention on Biological Diversity in its Third National reports to the UNCCD and the CBD. Under the National Strategic Development Plan (NSDP) 2006-2010, Cambodia committed to strengthening the contribution of the forestry sector to poverty reduction and socio-economic development. Macro-goals under the NSDP included objectives to increase of forest cover to 60% by 2015 and to reduce fuelwood dependency from 83.9% of households (2005) to 52% by

2015. Under its National Forest Programme, Cambodia is promoting the forestry sector's contribution to poverty reduction by strengthening community forestry. The Cambodia Forestry and Environment Action Plan 2007-2010 of the TWG-F&E stresses opportunities to improve socio-economic conditions of the rural people through improved governance and partnerships in the management of natural resources and emphasizes the scaling up of community forestry as a development priority. Moreover, the National Policy of Rural Electrification by Renewable Energy and the National Wood Energy Working Groups are cognizant of the importance of sustainable supplies and consumption of wood energy and of increasing the efficiency of energy consumption.

The goal of the project to focus on supporting implementation of the 2009 National Forest Programme²⁶, as explained in the Project Document (pp. 40-41). The first component of the NFP highlights the vital importance of forest classification and demarcation to underpin the long-term management of forest resources. Both are essential for the establishment of community-based forestry initiatives and require close collaboration between FA and relevant provincial, district and commune authorities in order to speed up the process and link forest demarcation to Participatory Land Use Planning (PLUP) and Commune Land Use Planning (CLUP) at the local level.

The second component of the NFP addresses 'Forest Resource Management and Conservation' through improved national land-use planning, support to implement forest management systems, contributing to the conservation of genetic diversity of forest resources and support for post-harvest management and marketing. It calls for systems, mechanisms and activities that will contribute to the implementation of future SFM practices impervious to regime change. This includes developing plans for post-concession management and effective control of forest crime, as well as presenting various options for institutional reform, such as setting up SFM systems at Forest Management Unit level.

The case is made in the Project Document for a landscape approach to SFM to ensure public accountability through participatory mechanisms for representation of interests from the provinces, districts and communes, as well as other concerned ministries. A landscape approach involves the development of models with a wide range of alternative SFM systems that integrate benefit sharing among local communities, environmental protection, environmental services, watershed protection and carbon sequestration.

More specifically, the project is designed to contribute to Programme 4 of the NFP on Community Forestry by developing community-based forest management and conservation in ways that allow local people to establish viable and equitable forest-based businesses, while at the same time respecting the regenerative capacity and biodiversity of the forests. This approach to achieving the objective of the NFP will be complemented by addressing 'demand-side' issues, specifically the unsustainable levels of demand for fuel wood that are jeopardising the potential for forests to be managed in a sustainable manner. This will be achieved through support to the production and dissemination of energy efficient cook stoves, under Outcome 3 of the project.

Coordination between the activities of this project and other projects supporting the implementation of the NFP will be promoted through the mechanism of the Technical Working Group on Forestry and Environment (TWG-F&E). It is proposed in the Project Document that the PMU is physically located in the FA with the TWG-F&E Secretariat and that the two operations harmonize their respective work plans. Similarly, coordination between the SFM project and other initiatives related to wood energy will be promoted through the Wood Energy Working Group, led by the General Department of Energy, Ministry of Industry Mines & Energy.

The project is part of a diverse portfolio GEF projects managed by UNDP CO, including the biodiversity project *Establishing Conservation Areas Landscape Management (CALM) in the*

²⁶The objective of the NFP is: "The forest resources provide optimum contribution to equitable macro-economic growth and poverty alleviation particularly in rural areas through conservation and sustainable forest management, with active participation of all stakeholders."

Northern Plains and the SLM project *Building Capacity and Mainstreaming Sustainable Land Management in Cambodia*. CALM, in particular, relates to mainstreaming biodiversity and community-based livelihood conservation into the productive landscape. The Wildlife Conservation Society (WCS), implementing partner of that project, is a member of TWG-F&E and these two projects are expected to create a strong alliance in promoting community-based forest resources management through this mechanism, such as coordinating activities and sharing lessons learnt (Project Document, p. 88).

Project activities related to identifying sustainable funding mechanisms for SFM will be closely linked to current and proposed UN initiatives to Reduce Emissions from Deforestation and forest Degradation (REDD). In particular, it is proposed to develop a coordinated series of GEF proposals on REDD+²⁷ readiness to promote regional cooperation among countries in the Lower Mekong Basin.

Other relevant interventions within the forestry and energy sectors with which the project will collaborate, as indicated in the PIF, include the following and further details can be found in the Project Document (pp. 30-38) and in the Inception Report (Section D with summary table):

- The UNDP/GEF medium-sized project on *Building Capacity and Mainstreaming Sustainable Land Management in Cambodia*, which is piloting SLM and innovative ideas in three Cambodian provinces. The proposed project will replicate successful pilots in other provinces experiencing high pressures on forest resources.
- The UNDP/GEF project on *Building Capacities to Integrate Water Resources Planning in Agricultural Development*, the Natural Resource Management and Livelihood Program (funded by DANIDA/DFID), which is piloting participatory land-use planning at the commune level.
- The World Bank/Forest Administration *Capacity Building for Sustainable Forest and Land Management* project implemented by RECOFTC, which is facilitating the legal designation of community forests and strengthening capacities in participatory land use and forest planning, conflict management and participatory monitoring, evaluation and dissemination.
- The biodigester programme, supported by the Netherlands Development Organisation (SNV), and the EU funded fuelwood savings project that is supported by GERES.

The close linkages between the project and UNDP's Country Programme for Cambodia are elaborated in **Section 3.1.6**;

3.1.8 Management arrangements

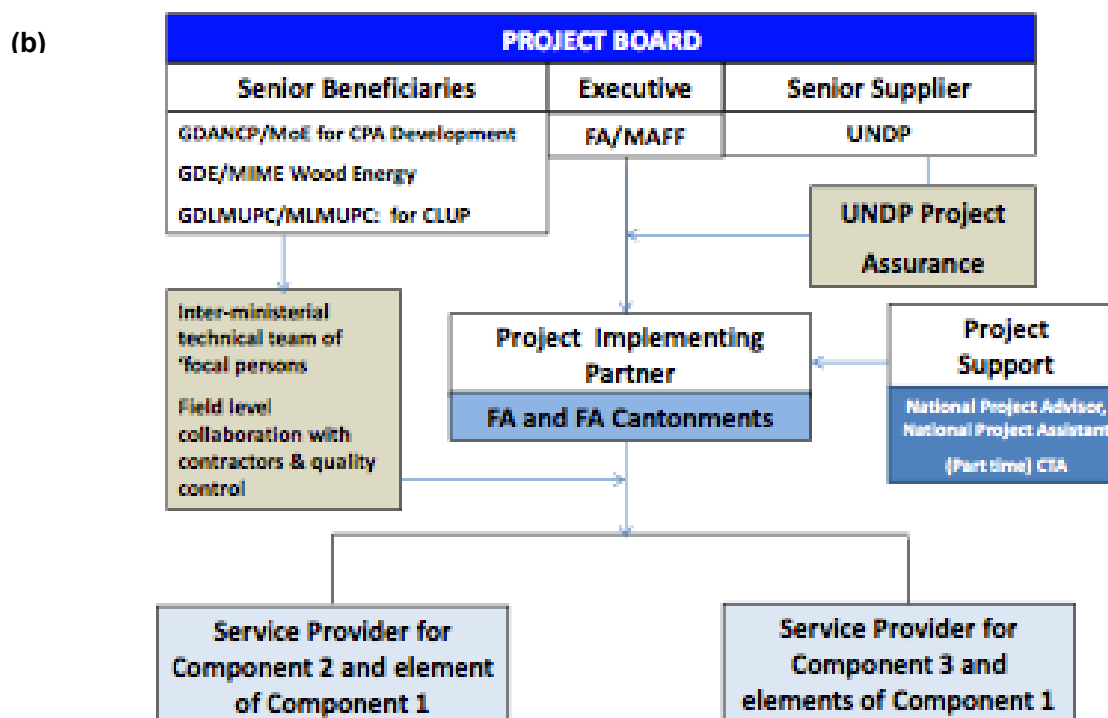
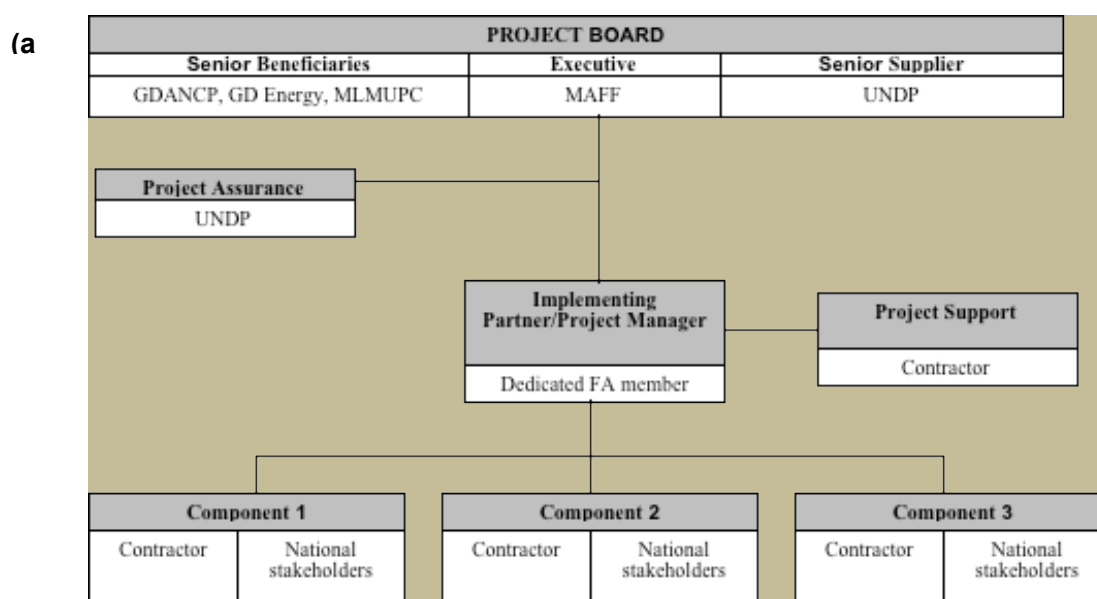
UNDP is responsible to the GEF Secretariat for the implementation of the project, which is being executed by the Forest Administration as the Implementing Partner under the UNDP National Implementation Modality (NIM). The term implementation is defined in the Inception Report (p. 66-67) as the management and delivery of program activities to achieve specified results that will contribute to development outcomes, as set forth in the Strategic Results Framework and Annual Work Plans²⁸. NIM is the UNDP format for a program-based approach that follows the Paris Declaration (2005) on donor harmonization and government ownership. It means that Government will exercise full ownership and the partnership includes all stakeholders in a common effort. The National Forest Programme is the vehicle for this program-based approach.

²⁷A REDD+ country participant is a developing country located in a subtropical or tropical area that has signed a Participation Agreement to participate in the Readiness Fund under the Forest Carbon Initiative Facility (<https://www.forestcarbonpartnership.org/redd-countries-1>).

²⁸An Implementing Partner assumes full responsibility and accountability for the effective use of UNDP resources and the delivery of outputs. An Implementing Partner may enter into agreements with other organizations or entities, known as 'responsible parties', such as service providers (or NGOs), that may provide goods and services to the project, carry out project activities and produce project outputs. Responsible parties are accountable directly to the Implementing Partner. (Source: Inception Report, 2011, pp.66-67)

The organisational structure of the project as proposed in the Project Document, modified during the inception phase and as implemented by mid-term is shown in **Figure 3.1**. There has been little change to the overall structure, the key developments being:

- Creation of a Project Management Unit, based within the FA;
- Procurement of two (GERES and RECOFTC) rather than three services providers under the terms of an implementation agreement;
- Provision of an Inter-ministerial Technical Team of Focal Persons, who are represented on the Project Board by their respective line ministries and support implementation in the field;
- Confirmation and elaboration of the roles and responsibilities of government partners.



(c)

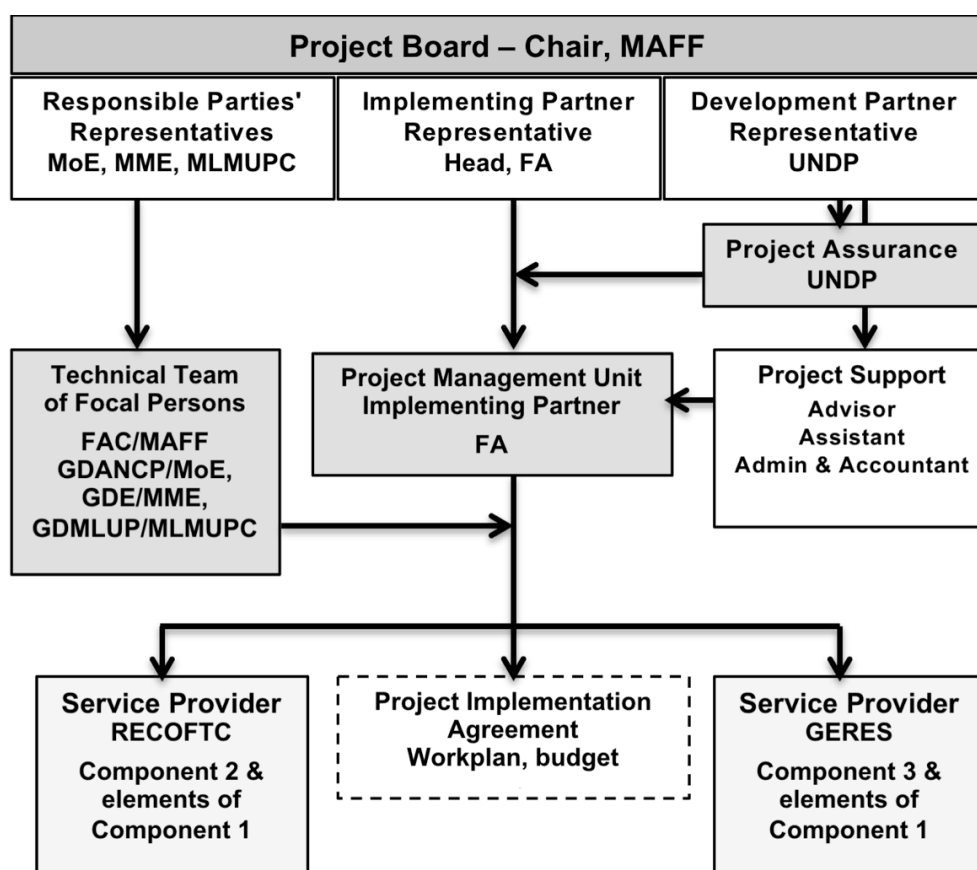


Figure 3.1 SFM project organisational structure: (a) as planned (Source: Project Document), (b) at inception (Source: Inception Report, 2011) and (c) by mid-term (Source: MTR, 2014)

Key roles and responsibilities within the current structure are as follows:

- **Project Board** is the decision-making body²⁹ with overall oversight and responsibility for the project, including inter-ministerial coordination, ensuring commitment of resources, resolving problems within and external to the project; approving the annual work plan and quarterly reports. The Board also approves the appointment of the Project Manager. It meets twice a year.

Project Boards members are MAFF (Chair, designated by the Minister and not from FA, the Implementing Partner), the other government implementing partners/beneficiaries (MoE, MME and MLMUPC), and UNDP to provide technical assurance and independent oversight and monitoring of the project. DANIDA was included alongside UNDP in the design of the Board, in view of their work under the Natural Resource Management & Livelihoods Programme, but was dropped following completion of their work in 2012.

- **Forest Administration** responsibilities include: project management; community-based forest management on its lands under four different modalities; assignment of designated staff to support project implementation; hosting the project at national and provincial levels through provision of office space; facilitating partnerships with NGOs, private sector, MoE, MIME and within the FA to support implementation.

²⁹Project Board decisions should be made in accordance with standards that ensure management for development results, best value for money, fairness, integrity, transparency and effective international competition. If consensus cannot be reached within the Board, the final decision rests with UNDP (Project Document, para 237.)

- **GDANCP** responsibilities include: contributing to the guidance and oversight role of the Project Board, including representation of the interests of communities on MoE's PAs land; assigning dedicated staff to support implementation of relevant project activities, such as CPAs management planning and business development; and developing a improved enabling environment within the context of PAs legislation.
- **General Department of Energy, MIME**, has similar responsibilities to GDANCP in respect of energy-related issues, as well as the production of a Wood and Biomass Energy Strategy and Plan.
- **Department of MLMUP, MLMUPC**, has similar responsibilities to the other implementing partners in respect of land-use planning issues at provincial, district and commune levels, particularly in relation to the integration of community-based forest management and conservation within CLUP and state land mapping.
- **Project Director** is the Director of FA or the Deputy Director in charge of Community Forestry. Responsibilities include: line management of the Project Manager; approval of annual work plan, budget and financial report, along with UNDP, before their submission to the Project Board; assistance in addressing risks that would affect project outcomes and impacts; and building synergy and alignment with the TWG-F&E and other Development Partners. The **Project Director** position is not reflected in the organizational structure in **Figure 3.1** but s/he provides the link between the PMU and the Project Board.
- **Project Management Unit** is staffed by a small team of consultants and headed by the Project Manager, who reports to the Project Director. The **Project Manager** is a staff member of FA seconded to the project, having day-to-day responsibility for preparation and implementation of the Annual Work Plan with support from consultants (originally a **CTA** and latterly a **National Project Advisor**, **Project Assistant**, and an **Administrator**, including finance).
- **The Inter-ministerial Technical Team of Focal Persons** is responsible for supporting the FA in delivering the project. They review the work plan and budget and, importantly, work closely with PMU and service providers in the provision of technical support to the districts and communes through their respective provincial departments.
- **Service Providers** are responsible for delivery of Outcome 2 (RECOFTC) and Outcome 3 (GERES), along with respective elements of Outcome 1 linked to the other two Outcomes, were recruited through open competition following a Request for Proposals drafted during project Inception. Their targets are set in the ToRs of their contracts and they work in partnership with provincial departments (or cantonments in the case of FA) of the Technical Team ministries, as well as district and commune government officers. RECOFTC has offices in each province and has subcontracted the services of Mlup Baitong, a national NGO, to provide some of the training at the local level. GERES is based entirely in Phnom Penh and makes regular visits to the field to provide training and technical guidance. Responsibilities are confirmed in a signed Project Implementation Agreement with FA regarding their work with PMU, government ministries and with each other in delivering their target outputs according to the annual work plans and budgets.

Details about the key institutional stakeholders and their inputs to the project can be found in Table 18 of the Project Document; and further details of mechanisms for implementing the project at provincial and community levels are given in Section E of the Inception Report (pp. 26-28).

UNDP is responsible for arranging the annual, external audit of the project as part of its project assurance function. The UNDP Country Office draws up an annual audit plan for its nationally implemented projects by November each year and informs the respective Implementing Partner. Findings are referred to the PMU team for response and appropriate remedial actions.

3.2 PROJECT IMPLEMENTATION

3.2.1 *Adaptive management (changes to project design and project outputs during implementation)*

The MTR (2014) concludes in Section 4.1.3: “the project does practice effective adaptive management”. This is based on well-managed work planning and regular, results-based reporting by PMU and the service providers; financial management and disbursement procedures being followed; monitoring and evaluation procedures having been applied and solutions generally found to short-comings in coordination with partners; and risks within the control of the project being mitigated.

The TE evaluators are generally in agreement with this conclusion with respect to changes to project design and project outputs. Specific examples of adaptive management include the following:

- An unexpected shortfall of US\$ 1 million in UNDP funding at the outset of project implementation, which was accommodated in a revised budget by reducing consultant inputs and eliminating the need for a full-time CTA. Other significant changes made to the project document during the inception phase were:
 - national execution of the project by the FA in accordance with the NIM Manual;
 - procurement of two rather than three service providers to simplify management;
 - establishment of an inter-ministerial technical team of focal persons at provincial level to meet quarterly and ensure that relevant field support is provided from their respective line ministries (MME, MoE and MLMUCP); and
 - clarification and changes to project Outputs, including strengthening of gender mainstreaming, all of which necessitated revision of the SRF and the addition of a gender-related indicator.
- The SRF was overhauled during the MTR (2014) to address many inconsistencies, improve the SMARTness of indicators³⁰ and make it more coherent with the planned interventions in the Project Document in order to enhance monitoring of project implementation. The main changes, summarized in Table A6-3 of the MTR report (pp. 88-94), related to the following:
 - Outputs identified in Project Document were introduced to the SRF under their respective Outcomes to simplify monitoring and reporting on project interventions.
 - Indicators were consolidated, in the case of duplication, and rationalized in cases of being inappropriate for a particular Outcome or reflecting an activity rather than a measure of its progress.
 - Targets were clarified, made more specific or, in some cases, defined as appropriate.
 - Three indicators under Outcome 1 were recommended for deletion and agreed by the Project Board, subject to RTA approval, as they were felt to be beyond the scope of the project. Only one of these indicators (financing generated from forest/wood energy-related carbon credits by end of project) was approved for deletion from the SRF by the RTA, the others being kept to sustain financial support for community forestry and technologies that reduce demand for fuel wood.

3.2.2 *Partnerships arrangements (with relevant stakeholders in the country/region)*

As noted in the MTR (2014, Section 3.1.5), the project involves substantive consultation and partnership working among stakeholders at national, provincial, district, commune and village

³⁰Indicators should be: **S**pecific, **M**easurable, **A**chievable, **R**elevant and **T**ime-bound (UNDP-GEF 2012, *Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-Financed Projects*)

levels. Active participation of stakeholders commenced at the design stage and has continued throughout implementation, during which mechanisms have to be established to ensure close communication between the parties responsible for project implementation (MAFF, MoE, MME and MLMUPC) and their relevant provincial line agencies, as well as between provincial agencies and communities at local level. The potential for partnership and coordination has been further strengthened by the initiation, in January 2014, of monthly meetings at provincial level of all the main project stakeholders.

Crucial to the success of the project has been the establishment of multi-sector technical platforms within each of the four districts to support PMU and its Service Providers in their work with local communities. These technical teams comprise focal persons from the relevant lines agencies of MAFF (FAC), MoE (GDANCP), MME (GDE) and MLMUPC (GDMLUP) as shown in **Figure 3.1**. While there was considerable delay these platforms became fully functional in mid-2014, due to the time taken to resolve long-standing coordination difficulties between the respective ministries of FA and GDANCP, the platforms performed well thereafter and good progress was achieved in developing CPA management and business plans.

Such delays in project implementation have resulted in insufficient time to support development and implementation of CF and CPA management and business plans, along with their integration in CLUPs. Close partnership working between CFs and CPAs and their respective commune authorities will be important to secure financial support and realize these plans.

3.2.3 Feedback from M&E activities used for adaptive management

The M&E framework is outlined in the Project Document (Section 5. pp. 91-94) and some further details are provided in the Inception Report (pp. 33-35). The framework comprises:

- annual budgets and work plans;
- quarterly progress reports monitored via the UNDP Enhanced Results Based Management and regular updates of the Risk and Issues logs in ATLAS. Platform entered into Monitoring activities;
- Annual Project Review/Project Implementation reports (APRs/PIRs), which combine both UNDP and GEF reporting requirements;
- periodic site visits; and
- independent evaluations at mid- and end of term.

The SRF provides a results-based methodology for monitoring progress against targets, using a suite of supposedly SMART indicators that track the project's objective and outcomes. It was intended that the baselines of the indicators be established at the onset of the project. The SRF is routinely subject to review during the inception phase and at mid-term and, in the case of this project, was revised on both occasions.

Two other tracking tools were deployed by PMU, UNDP's Capacity Development Scorecard and the GEF Tracking Tool for Biodiversity Projects, and applied to MoE (Department of Research and CPAs) and MAFF (FA and the Community Forestry Office). Both of these were reviewed at mid-term and subjected to further review in this TE. They are attached as **Annexes 8 and 9**, respectively.

The Project Document also makes specific reference to the M&E plan being closely aligned with that of DANIDA and TWG-F&E, (p. 91), for example through joint work planning, auditing and project evaluation (Annex 6, p. 179). The Evaluators are not aware of this ever being followed up.

Significant adaptive management measures taken in response to M&E activities include:

- Major revision of the budget during the inception phase to address the US\$ 1 million shortfall in grant funding, as already cited in Section 3.2.1). The budget was also revised

annually in response to the previous year's expenditure; and 93.2% had been disbursed by the end of the third quarter in 2015.

- Procurement of two rather than three service providers to reduce administrative costs and simplify coordination in delivery of the three outcomes.
- Revision of the SRF during the inception phase and the MTR, as cited in Section 3.2.1.
- Various responses by PMU, following approval by the Project Board, to the MTR (2014) recommendations. These include a no cost extension of the project to December 2015 and the development of an Exit Strategy for sustaining activities post-project. The Evaluators' comments on Management's response can be found in **Annex 3**, the key issues being the lack of priority in producing an Exit Strategy in a timely manner and the limited documentation of the project's outputs (other than final progress reports) currently available, by way of guidelines, best practices and case studies.

3.2.4 Project finance

The total budget in the Project Document is US\$ 9.963 million, of which US\$ 2.363 million (24%) is grant-aided by GEF, US\$ 1.5 million (15%) is TRAC funding (grant) from UNDP, US\$ 600,000 (6%) is an in-kind contribution from RGC's Forest Administration, US\$ 1 million (10%) is unfunded and the rest (45%) is co-financing, comprising US\$ 3 million (30%) from DANIDA, US\$ 800,000 (8%) from GERES and US\$ 700,000 (7%) from UNDP. As shown in (**Table 3.1**), resources for the unfunded part of the budget was not realised, although UNDP agreed an additional allocation of US\$ 161,707 for the 2015 budget (Budget Revision G03, 27 March 2014) and there was further co-financing from DANIDA during implementation, resulting in a small increase in the ratio of 'GEF: all other funds'.

Table 3.1 Status of budget by funding source at endorsement, start, mid-term and end of project

Fund source	Fund type	Fund status at CEO endorsement (US\$) ¹	Fund status at inception (US\$) ²	Fund status at mid-term (US\$) ³	Fund status at term end (US\$) ⁴
GEF	Grant	2,363,635	2,363,635	2,363,635	2,363,635
UNDP	Grant (TRAC)	1,500,000	1,500,000	1,500,000	1,678,576
Unfunded	Grant	1,000,000	0	0	0
Subtotal	Grant	4,863,635	3,863,635	3,863,635	4,042,211
RGC/FA	In-kind	600,000	600,000	600,000	600,000
Subtotal	In-kind	600,000	600,000	600,000	600,000
UNDP	Co-finance	700,000	700,000	700,000	700,000
DANIDA	Co-finance	3,000,000	3,000,000	3,753,875	3,753,875
GERES	Co-finance	800,000	800,000	800,000	800,000
RECOFTC/ForInfo ³¹	Leveraged	0	0	304,826	304,826
Subtotal	Co-finance	4,500,000	4,500,000	5,558,701	5,558,701
Total		9,963,635	8,963,635	10,022,336	10,200,912
GEF: Co-financing funds		1:1.90	1:1.90	1:2.35	1:2.35
GEF: All other funds		1:3.22	1:2.79	1:3.24	1:3.32
Grant/in-kind: Co-financing funds		1:0.82	1:1.01	1:1.25	1:1.20

Sources: ¹Project Document (03-2011); ²Inception Report (11-2011); ³MTR (09-2014) Report, amended; ⁴UNDP (G05-2015)

³¹ForInfo is funded by the Ministry of Foreign Affairs, Finland. These leveraged funds became available in March 2014 and were used to pilot coppicing and other silvicultural practices in two CFs in Pursat Province.

Table 3.2 Annual planned budget by project outcomes, M&E and management

Component	Funding Source	2011 US\$	2012 US\$	2013 US\$	2014 US\$	2015 US\$
Outcome 1	UNDP	50,886.00	13,452.00	0.00	0.00	0.00
	GEF	187,694.00	197,650.00	226,342.00	187,688.00	15,000.00
	Total	238,580.00	211,102.00	226,342.00	187,688.00	15,000.00
Outcome 2	UNDP	3,500.00	217,648.00	295,579.00	126,431.00	0.00
	GEF	185,506.00	342,453.00	163,210.00	268,407.00	207,703.97
	Total	189,006.00	560,101.00	458,789.00	394,838.00	207,703.97
Outcome 3	UNDP	1,500.00	80,000.00	116,760.00	102,035.00	0.00
	GEF	254,200.00	267,000.00	90,350.77	201,465.00	150,000.00
	Total	255,700.00	347,000.00	207,110.77	303,500.00	150,000.00
Monitoring & Evaluation	UNDP	12,800.00	33,000.00	58,986.00	41,600.00	17,000.00
	GEF	19,500.00	30,000.00	105,156.85	86,080.00	132,057.02
	Total	32,300.00	63,000.00	164,142.85	127,680.00	149,057.02
Project Management	UNDP	31,314.00	55,900.00	58,675.00	57,900.31	0.00
	GEF	36,090.00	77,388.00	19,270.00	11,444.19	29,542.08
	Total	67,404.00	133,288.00	77,945.00	69,344.50	29,542.08
Project Total	UNDP	100,000.00	400,000.00	530,000.00	327,966.31	17,000.00
	GEF	682,990.00	914,491.00	604,329.62	755,084.19	534,303.07
	Total	782,990.00	1,314,491.00	1,134,329.62	1,083,050.50	551,303.07

Sources: UNDP Budget Revisions 2011, 2012, 2013, 2014, 2015

Table 3.3 Annual disbursement of funds by project outcomes, M&E and management

Component	Funding Source	2011 US\$	2012 US\$	2013 US\$	2014 US\$	2015 Q3 US\$	Component Total	% Project Total#
Outcome 1	UNDP	59,923.88	13,451.36	158,753.00	0.00	-4,293.22	227,835.02	5.6%
	GEF	364.91	229,451.42	24,347.90	179,586.00	20,537.80	454,288.03	11.2%
	Total	60,288.79	242,902.78	183,100.90	179,586.00	16,244.58	682,123.05	16.9%
Outcome 2	UNDP	236.00	150,947.00	295,579.00	195,547.70	0.00	642,309.70	15.9%
	GEF	0	308,047.04	158,138.00	210,488.73	3,800.00	680,473.77	16.8%
	Total	236.00	458,994.04	453,717.00	406,036.43	3,800.00	1,322,783.47	32.7%
Outcome 3	UNDP	51.77	150,528.12	119,839.89	186,035.00	0.00	456,454.78	11.3%
	GEF	4,513.33	221,902.42	141,368.35	122,115.00	147,120.00	637,019.10	15.8%
	Total	4,565.10	372,430.54	261,208.24	308,150.00	147,120.00	1,093,473.88	27.1%
Monitoring & Evaluation	UNDP	6,406.97	9,455.49	54,894.78	65,260.94	45,687.96	181,706.14	4.5%
	GEF	3,996.06	32,211.41	52,262.75	68,717.60	38,228.28	195,416.10	4.8%
	Total	10,403.03	41,666.90	107,157.53	133,978.54	83,916.24	377,122.24	9.3%
Project Management	UNDP	28,116.65	61,209.43	62,640.35	42,698.57	18,113.80	212,778.80	5.3%
	GEF	9,502.80	40,242.16	9,793.66	12,282.39	6,448.03	78,269.04	1.9%
	Total	37,619.45	101,451.59	72,434.01	54,980.96	24,561.83	291,047.84	7.2%
Project Total	UNDP	94,735.27	385,591.40	691,707.02	489,542.21	59,508.54	1,721,084.44	42.6%
	GEF	18,377.10	831,854.45	385,910.66	593,189.72	216,134.11	2,045,466.04	50.6%
	Total	113,112.37	1,217,445.85	1,077,617.68	1,082,731.93	275,642.65	3,766,550.48	93.2%

Sources: UNDP Budget Revisions 2011, 2012, 2013, 2014, 2015 (up to end of 3rd quarter)

#Percentages based on total project budget of US\$ 4,042,211, of which US\$ 275,661 (6.8%) was unspent by 30.10.2015.

According to the Project Document (Footnote 56, p. 79), UNDP and its Implementing Partner (FA) planned to mobilize the unfunded component of US\$ 1m during project implementation. If these funds did not materialise, then it was planned to address the shortfall by revising the SRF during the MTR. In practice, the budget was revised during inception and reliance on the unfunded amount was totally removed from the Multi-Year Budget & Work Plan 2011-2015 (Inception Report, pp. 136-141), largely by reducing high inputs from local consultants (>800 months) and

the Chief Technical Advisor (44 months). This revision was deemed appropriate and improved the focus on activities to be implemented (MTR 2014, p. 37), a conclusion supported by the TE Evaluators.

The annual planned budget and disbursement of the budget, comprising GEF and UNDP grants, is summarised in **Tables 3.2** and **3.3**, respectively. Analysis of the data shows a reasonably close relationship between planned and actual disbursement of funds (**Figure 3.2**), which is indicative of efficient financial management of project funds. The major discrepancy is in 2013 when only 14.5% of the planned budget was disbursed; in all other years over 90% was disbursed and, exceptionally, 99.97% in 2014. Currently, by the end of the third quarter of 2015, only 50% (US\$ 275,643) of the remaining budget (US\$ 551,303) had been spent.

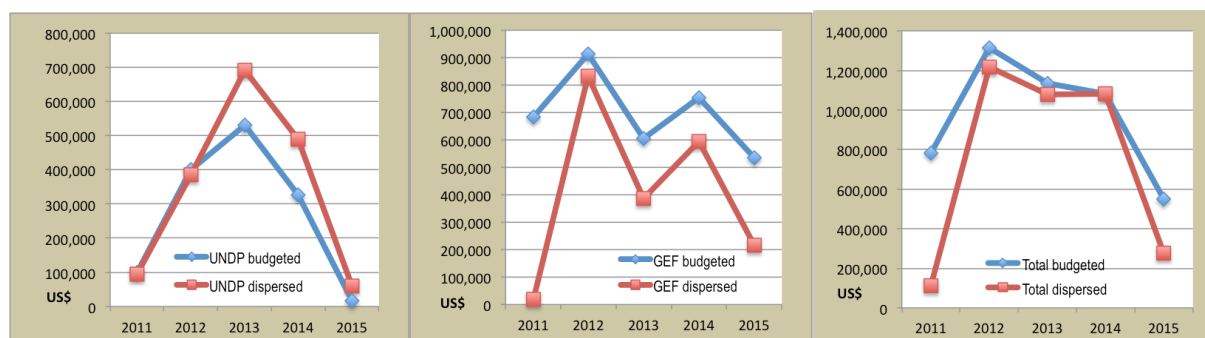


Figure 3.2 Annual disbursement of planned budget for UNDP, GEF and total funds, based on financial data from Tables 3.2 and 3.3.

Overall, annual disbursement was spread fairly evenly across the life of the project, following an underspend in 2011 and then tailing off in the last year (**Figure 3.3, left**). This is suboptimal due to the slow start and some subsequent delays to the project (e.g. CPA management planning), the optimal being a more curved rather than linear relationship in 2011-2013 with highest expenditure in 2012 and 2013 before tailing off in 2014 and 2015.

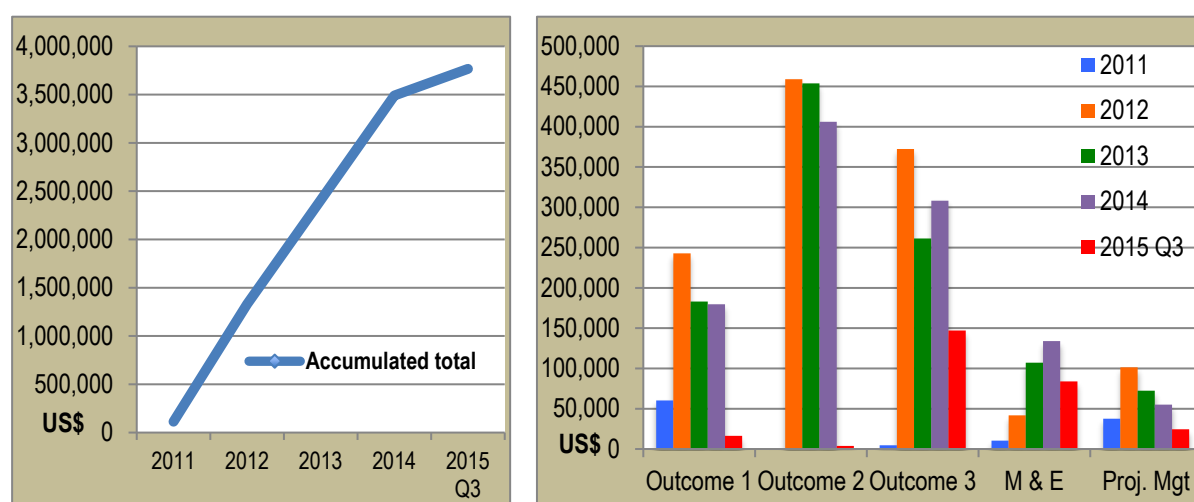


Figure 3.3 Annual accumulative disbursement of total funds (**left**) and annual disbursement of funds by outcome, monitoring/evaluation and project management (**right**)

A more detailed analysis of project components by outcomes, M&E and project management (**Figure 3.3, right**) shows:

- Fairly consistent, high level of disbursement for Outcomes 1-3 during 2012-2014, being highest initially and then reducing to negligible amounts by 2015 for Outcomes 1-2. The relatively high disbursement for Outcome 3 in 2015 appears to be inconsistent with the fact

that GERES concluded its contract in February 2015, much of which related to Outcome 3. It is presumed that some deliverables, hence payments, were delayed.

- M&E picked up in 2013-2014 with the MTR, followed by the TE in 2015.
- Unsurprisingly, project management costs reflect the patterns of disbursement for Outcomes 1-3.

3.2.5 Monitoring and evaluation: design at entry and implementation*

The design of the M&E system at entry and its subsequent revision during implementation, largely in response to MTR findings, is rated as *Moderately Satisfactory*. This is higher than the *Moderately Unsatisfactory* rating at mid-term due to improvements made in response to MTR findings.

As summarised in Section 3.2.3, the M&E framework is outlined in the Project Document and, to some extent, further elaborated in the Inception Report. The SRF, along with the GEF Tracking Tool for Biodiversity Projects and UNDP's Capacity Development Scorecard, are key tools for tracking project implementation in terms of outputs and longer-term outcomes and impacts.

The monitoring systems were rated as 'moderately unsatisfactory' in the MTR (2014) due to weaknesses in the original design of the SRF that subsequently were not modified during project implementation, for example during the inception phase. While a number of these shortcomings were addressed in the MTR (2014) report and subsequently, changes were limited to clarifying and/or refining project outputs and indicators for ease and enhancement of monitoring. It is GEF policy not to change the language of Objectives and Outcomes during project implementation unless there are serious problems, for obvious reasons of undermining M&E.

Thus, the Evaluators are in agreement with MTR findings about the inherent weaknesses in the SRF, while acknowledging the limited improvements made to this framework and, importantly, the fact that PMU has been thorough in its monitoring of the results-based system. Much of this monitoring is well documented in the APRs/PIRs.

A significant handicap has been the absence of baselines for many of the indicators at the onset of the project. These should have established during the inception phase, particularly those of a more complex nature (e.g. requiring interpretation of satellite imagery). Instead, they were deferred for various reasons, no doubt exacerbated by delays in procurement of service providers, and latterly became burdensome. Earlier intervention might have resulted in more pragmatic solutions to 'SMARTening' some of these indicators.

Another handicap has been the absence of a coherent set of outputs from the three project outcomes. Improvements were made in the MTR (2014) by incorporating them into the SRF but it remains a challenge to track a given set of activities from the onset to the end of implementation.

Clearly, the project would have benefitted from the services of an M&E specialist during the inception phase to validate the SRF and apply the monitoring system outlined in the Project Document.

3.2.6 UNDP and Implementing Partner implementation / execution*, coordination and operational issues

Implementation by UNDP and its Implementing Partner (FA) is rated as *Satisfactory*. This is consistent with the *Satisfactory* rating given in the MTR (2014).

The implementation approach, described in **Section 3.1.8**, was well designed and the organisational structure has proved to be fit for purpose with a little modification during implementation (**Figure 3.1**). The National Implementation Modality (NIM) has proved to be

effective, with the FA as the implementing partner, and the establishment of multi-agency platforms at provincial levels to technically support implementation and build capacity among local communities engaging in forestry and protected areas management practices has been a model of successful cooperation. This achievement is all the more significant given the challenge and time taken to resolve long-standing collaboration difficulties between the respective ministries of FA and GDANCP, as discussed in Section 3.2.2.

The Project Board, which is responsible for making executive decisions, met for a third time in February 2015 when it approved a no cost extension to the contract with RECOFTC and closure to GERES' contract in February 2015, subject to certain outstanding provisions. Board members also participated in the briefing on the initial findings of the TE Evaluators.

PMU, comprising a small team of UNDP consultants headed by a Project Manager seconded from the FA, functions well and works closely with the two services providers, GERES and RECOFTC. The latter, in close collaboration with the provincial agencies, engage effectively and in a very participatory manner with the local communities. Their primary task has been to facilitate the development of management and business plans for CFs and CPAs (RECOFTC) and promote the development, production and distribution of efficient stoves and kilns (GERES) to reduce CO₂ emissions. Initially, there were some coordination issues between the two service providers, exacerbated to some extent by high staff turnover with GERES, but these issues were resolved. Overall, there is a strong sense of commitment and technical support from within PMU, its implementing partners and service providers. This was confirmed by feedback from stakeholders within the target villages and districts.

One observation is that there is almost total reliance on the service providers for technical support, even to the extending of updating the SRF. Arguably, this should be within the role and technical competence of the PMU.

3.3 PROJECT RESULTS

3.3.1 Overall results (attainment of objectives)*

The Project is evaluated as Satisfactory with respect to the achievement of its overall objective, based on assessment of project outputs and respective indicators (**Annex 6**, summarised in **Table 3.4**, and **Annex 7**), and project performance (summarised in **Table 3.5**).

The overall objective is ground-breaking in terms of its vision to apply a community-based approach to SFM by incorporating it within a land use planning and management framework that is institutionalised at commune level (CLUP). Thus, Outcomes 1 and 2 address the institutional and policy needs at national level and the planning and management at the community level, respectively, to reverse current trends of increasing forest lost and degradation. Coupled with these two outcomes is a third that addresses bioenergy efficiency to reduce pressures on forest resources and to reduce CO₂ emissions.

Some excellent results have been achieved at the project sites, distributed across the four target provinces; and the achievements and lessons learned are intended to inform and strengthen the regulatory framework concerning different models of community-based forest management, as well as contribute to Cambodia's reduction in CO₂ emissions by means of alternative income generating activities.

Strategically important results include:

- **Marked strengthening and development of institutional capacity**, particularly within FA and GDANCP.
- **Multi-sector working**, notably at provincial levels where technical teams of focal persons from the four participating ministries (MAFF, MoE, MME and MLMUPC) have been established coordinate their technical and other support to communities engaged in CF and CPA planning and management, within the context of CLUP, and other communities

involved in the production of energy efficient cook stoves and ‘green’ charcoal.

- **Integrating CFs and CPAs within Commune Land Use Plans**, thereby maximising the institutionalisation and ownership of SFM at grassroots level and, potentially, securing future resources through commune budgets. This bottom-up approach that is embedded in a system of local governance also lends its to developing a landscape-scale approach to SFM and biodiversity conservation over the longer term.
- Showing **commitment and demonstrating** at national, provincial, commune and community levels that different models of community forestry management in CFs/CPAs/ACFMs can work for the good of the environment and its people through a diverse range of conservation and sustainable income generating activities.
- Collating and screening a wealth of experience and lessons learned from the project into **new knowledge to inform policy and guide future management**.

Such achievements, however, are at risk of being undermined or usurped due to some serious shortcomings incurred during project implementation, notably:

- Significant delays in project implementation, including 18 months for the project to become operational in the field and a further one year for MoE to come aboard (**Table 2.1**). Thus, there has been limited time to develop CPA management plans. Moreover, there has been little or no time for communities to implement recently/newly approved management and business plans for both CFs and CPAs, all of which require a certain amount of technical and/or financial resourcing. Local livelihoods depend on these plans being effectively implemented.
- Little attention has been given to the development of financing strategies and generating funds from other sources (Outputs 1.5 and 1.6, respectively), so the sustainability of project outcomes is fragile and dependent on rapid and effective implementation of CF/CPA business plans. This will require continued support from implementing partners at provincial levels, small grant support for new income generating initiatives and strong support from commune leaders to integrate CFs/CPAs within CLUPs. Longer term mainstreaming of SLM is likely to remain in jeopardy until such time as carbon financing, ecosystem servicing and other mechanisms can be set up to sustain community-based forestry..
- Little priority had been given to developing an Exit Strategy, as part of a Sustainability Plan, despite its recommendation in the MTR (2014), This was raised during the TE and a draft Exit Strategy was shared with the TE team in mid-November. It provides the basis of a strategy but falls short of providing strategic direction because it raises as many questions as it answers.

Thus, the final chapter of this report considers these shortcomings in more detail.

Achievement of the project’s overall (development) objective “...to *strengthen national SFM policy, integrate community-based sustainable forest management into policy, planning and investment frameworks and create markets for sustainable bioenergy technologies that reduce CO₂ emissions*” is rated as **Satisfactory (Annex 7)**, based on the ratings of the five indicators for the project objective and taking into account the **Satisfactory** rating scored for each of the three outcomes. While this is very good result, it is important to consider the implications of the extent to which the targets for each of the project objective indicators have been met, as follows:

1. Considerable progress has been made towards the target of 125 CFs and 34 CPAs having been approved by FA and MoE, respectively. To date, 88 CFs, including 21 target CFs, of the 155 CFs in the four target provinces have been approved, along with 25 CPAs (including 11 targets CPAs) of the 35 CPAs in the target provinces. While scored as **Moderately Satisfactory**, it is acknowledged that the target may have been set too high and certainly could have been reviewed at mid-term.

2. Deforestation rates in FA and MoE forests have declined by approximately 1%, which is well short of the 10% target and, therefore, scored as **Moderately Satisfactory**. The good news is that net deforestation within these target forests is below zero (-0.5%), which is indicative of some small degree of recovery. This is a significant achievement within the national context of Cambodia having the highest rate of increase in deforestation in the world (14.4%), resulting in 14,471 km² of forest being lost between 2001 and 2013 (see **Section 2.2.1**).
3. **Moderately Unsatisfactory** is the 0.8% increase in degraded forest land within the project's target areas. Given the national context of Cambodia's high (14.4%) increasing rate of deforestation, this result is not a complete surprise but it undermines the veracity of the project's achievements and must be addressed as a priority action across the implementation of all CF/CPA management plans.
4. It has not been possible to evaluate whether or not the composition and condition of forest resources have remained/been maintained at baseline levels as relevant, comparative inventory data have not been presented.
5. The estimated reduction of 690,177 tCO₂e/year in GHG emissions from national sales of 650,784 improved cook stoves in 2014 is a **Highly Satisfactory** result, well in excess of the 61,000 tCO₂e/year target.

In summary, progress towards meeting the above targets for the project objective indicators has been substantive with respect to introducing SFM to CFs/CPAs through community forestry and demonstrating how GHG emissions can be reduced through fuel efficient improvements to cooking stoves and charcoal production, at the same time as improving livelihoods. However, more time, effort, know-how and improved monitoring are required to be able to conclusively demonstrate that such interventions can achieve the desired impact of fundamentally reversing Cambodia's current trends in deforestation and forest degradation.

The project's overall objective comprises three immediate outcomes that focus on: strengthened institutional capacity and policy framework for community-based forest management and conservation; community-based management and business planning to sustain forests and deliver benefits to local communities; and reduced CO₂ emissions resulting from increased demand and supply chains for energy efficient cook stoves and charcoal kilns. A qualitative assessment of the extent to which these outcomes have been addressed is provided in **Annex 6** for each of their respective outputs, taking into account what was originally planned (Project Document), findings of the MTR and subsequent observations from this TE. These findings provide the basis of the more quantitative evaluation of the SRF in **Annex 7** in which the project objectives, outcomes and outputs are rated, based on the extent to which targets have been met. The ratings for outcomes and their respective outputs are summarised in **Table 3.4** but the reader should refer to **Annexes 6 and 7** in order to fully appreciate the achievements, challenges and shortcomings in implementation at outcome and output levels. Key achievements and related considerations are summarised below.

Outcome 1

- **Outcome 1** and most of its outputs are rated as either **Satisfactory** (2) or **Highly Satisfactory** (2) reflecting: the impressive institutional capacity developed within FA and GDANCP; the successful integration of CFs and CPAs within CLUPs; and good progress in preparing policy guidance for different models of community-based forest management and a strategy for wood and energy.
- The results of an independent evaluation of the project's performance in building and strengthening institutional capacity at national, provincial, district, commune and community levels show a 77% improvement (see **Annex 9** for details), which is comfortably above the

target of 74%. This is a particularly encouraging result given the context of serious delays to the engagement of MoE as an implementing partner. Key institutional weaknesses emerging from the evaluation include the ability to resolve issues in the field (e.g. conflicting land claims with the Economic Land Commissions), landscape level planning, and fast-tracking the review and approval of CF/CPA management and business plans.

- A strategically important achievement is the inclusion of 5 target CPAs, 3CFs, 1CCF and 2 PFs within CLUPs, in terms of demonstrating both the parallel processes of CF/CPA management planning and commune land use planning, and the opportunities for synergy in sourcing funds for conservation and business development through sustainable IGAs (Output 1.3, **Annexes 6, 7**).
- Less than satisfactory progress has been made in developing financing strategies to provide tangible opportunities to sustain and mainstream SFM through, for example, carbon financing (**Moderately Unsatisfactory**); and there has been little progress towards generating other financing from activities in the target sites due to business development plans being well behind schedule (**Unsatisfactory**).
- Outstanding challenges under Outcome 1, in priority order, are: first and foremost, to secure financing and technical resources to support implementation of this initial tranche of management and business plans; secondly, to strengthen the regulatory framework for all conservation and livelihood aspects of community-based forest management; secondly and; and thirdly, to institute one or more financing mechanisms that will enable SFM to be mainstreamed across the country.

Outcome 2

- **Outcome 2** and all but one of its outputs are rated as either **Satisfactory** (2) or **Highly Satisfactory** (2) in recognition of the very significant, albeit delayed, achievement in developing management and business plans for 30 CFs, 11 CPAs; and 4 ACFMs, most if not all of which are likely to be approved by the end of the project. Such good work has been underpinned by the multi-agency platforms established within each province to support forest communities in the development and implementation of their plans and by the technical guidance and facilitation of the two service providers, GERES and RECOFTC, and the local NGO Mlup Baitong.
- The rapidly emerging challenge is to how to support communities implement their management and business plans post project, when existing coordination mechanisms, technical support and financial support end. It is further exacerbated by the degraded condition of many of the target CFs, which will require 3-5 years for restoration measures to begin to take effect. This challenge will be alleviated to some extent by the project's Training-for Action capacity building activities and the continuing support provided by Mlup Baitong to many target CFs and CPAs. However, the lack of opportunity to begin implementation of business plans during the life of the project impacts on the likelihood of sustainability to some extent.
- A priority consideration is the 0.8% increase in degraded forest lands within the project's target sites, as documented in **Annex 7** under the project's objective. This needs to be properly understood in terms of management (lack of) on the ground and corrective measures applied by means of appropriate interventions.
- In spite of the above challenges and risks to SLM approaches during implementation of this initial tranche of CF/CPA management plans, with supporting business plans, and the fact that many of the CFs are degraded, the project has made significant progress with respect to income generation from SFM approaches (Outputs 2.4, 2.5, Annexes 6,7). 29% of households (2,117) from across the spectrum of 30 CFs and 11 CPAs do benefit from forest resource-based IGAs for at least part of their income, which is an increase from the baseline situation. Data from Kampong Chhnang show that annual income from forest-

based enterprises has increased from US\$ 213 in 2012 to US\$ 283 in 2014 (Output 2.5, **Annex, 6**).

This is supported by informal interviews during the field mission (summarised in **Annex 4**): approximately 70-80% of community beneficiaries indicated that natural resources from target CFs/CPAs had contributed to their livelihood income (up to 60%). Out of 34 community members from Kirislakeo CF (Battambang Province), for example, 23 members (68%) accrued income from NFTP's and, in the case of 10 members (29%), this amounted to at least KHR 1,000,000 (US\$ 250) per season. Interestingly and importantly, the other 11 members (32%) participated in community forestry because of their commitment to CF protection and conservation for the benefit of their future generations.

One unexpected finding from analysis of the household data, which RECOFTC is about to complete, is a significant and increasing disparity in income generation among women. It has decreased from US \$67 to \$11 per month during the project period for those females who head the household; and increased from US \$74 to \$95 for non-head household females. While the disparity between household heads and non-heads can be explained by the more limited time for the household head to engage in IGAs, the increasing gap between income levels is an unexpected change that warrants further analysis and possibly research in order to inform future interventions.

- Ecotourism is among the IGAs to be developed, particularly in CPAs. Observations from visiting Chrok La-eang (Pursat Province), where ecotourism is the main income generating activity from those attracted to a river and walk up to a waterfall. Up to several hundred visitors come at weekends and litter is now spoiling the attractive destination. Current efforts to manage litter are ineffective and a more strategic approach needs to be adopted based on 'the polluter pays' principle. Collaboration between MoE and the Ministry of Tourism to develop eco-oriented policies for CFs and CPAs should also be explored.

Outcome 3

- **Outcome 3** and all of its outputs are rated as **Satisfactory** (6) or **Highly Satisfactory** (1) in respect of the very tangible achievements in reducing CO₂ emissions and improving livelihoods through fuel wood efficient interventions that at the same time created employment opportunities. Achievements over the life of the project, for which more examples and further details can be found in **Annexes 6-7**, include the following:
 - Market share for ICS increased from 1.7% to 35% (target = 17%), resulting in an estimated reduction in GHG emissions of 29,949 tCO₂e per year by 2015 (target for ICS = 19,800 tCO₂e/year).
 - Monthly income generated by cook stove producers, of which there are now 45 employing 180 (mostly local) people, has increased from baseline of US \$40 to \$87 (target = US \$60).
 - Seventeen energy efficient charcoal kilns constructed and operational (target = 16), resulting in an estimated reduction in GHG emissions of 945 tCO₂e per year by 2015 (target for ECK = 1,850 tCO₂e/year). Although only 50% of the emissions reduction target, this represents significant progress given that dead or coppice cuttings are used while woodlots are created for sustainable harvesting of fuel wood and awareness is raised about the merits of using green charcoal.
 - Eight woodlots (target = 5) covering about 1,700 ha (target = 617 ha) established to supply firewood for ECKs.
- Key challenges are: developing and expanding markets for stoves and charcoal, particularly given the difficult access to many rural areas; quality control of products (especially cook stoves); and given more emphasis to the further development of pro-poor or pro-producer

market chains³² that result in more equitable distribution of profits. There are further challenges with charcoal: the seasonal nature of its production and its comparatively low market value that is exacerbated somewhat by the current inability to find a market for wood vinegar, a by-product of processing.

- There is also a need to promote a more precautionary approach to health and safety aspects of income generation. Those involved in energy efficient charcoal production, for example, refer to their eyes 'getting used' to smoke conditions. Workers should be either wearing face masks with appropriate air filters or, ideally, flues should always be in place.

Table 3.4 TE ratings of Project Outcomes and Outputs, based on evidence in **Annex 6**

Outcomes and Outputs		Rating*					
		HS	S	MS	MU	U	HU
Outcome 1	National capacities and tools exist to facilitate the widespread implementation of sustainable community-based forest management and technologies that reduce demand for fuel wood.		✓				
Output 1.1	Institutional capacity in FA and GDANCP	✓					
Output 1.2	A supportive legal framework exists for all models of community-based forest management and conservation mentioned in the NFP.		✓				
Output 1.3	Commune land use planning (CLUP) in communes where the project supports CFs and CPAs incorporates improvements in SFM and efficient energy approaches to PLUPs and DLUPs.	✓					
Output 1.4	National Wood Energy Implementation Strategy exists, incorporating private sector modalities		✓				
Output (1.5)	<i>Financial strategies in MAFF and MOE to support SFM, including opportunities for REDD and carbon financing for sustained funding to support community-based forestry.</i>				✓		
Output (1.6)	<i>Financing generated from other funding sources (banks, green funds, etc.) by end of project.</i>					✓	
Outcome 2	Community-based sustainable forest management is being implemented effectively within a context of cantonment, province, district and commune level planning delivering concrete benefits to local communities.		✓				
Output 2.1	Management and business plans for CFs and CPAs, that provide environmental and financial sustainability and opportunities for business development, are developed, approved and beginning implementation		✓				
Output 2.2	FA cantonment and DoE PA offices have worked to develop community-based forest management development plans at the provincial level.	✓					
Output 2.3	Commune Land Use Plans (CLUPs) that integrate SFM through CFs/CPAs designed and approved by consensus among the locals government institutions	✓					
Output 2.4	Households in target forest communities earn income based on the			✓			

³²This is based on discussions in the field with a stove producer and a distributor. The latter travels around the countryside on his converted auto rickshaw selling New Lao Cook Stoves at KHR 15,000, having paid KHR 12,000 to a middle man who in turn had paid KHR 8,000 to the producer. In this example, the middle man added no value: he simply had the cash to pay for an order from the producer, for which his profit was 50% of the purchase price. The distributor, who collected the stoves directly from the producer, made a profit of less than 25% (KHR 3,000) after the deduction of fuel, transport and maintenance costs are taken in account. The producer claimed to be making a profit of about KHR 1,000 per stove. The cost of producing a New Lao Cook Stove is at least KHR 6,250 (materials and labour), so maximum profit is about KHR 1,500 (24% production costs). A labourer (skilled) involved in part of the production process can earn KHR 500 per stove and in one day can handle 50-60 stoves, generating a daily income of KHR 25,000-30,000 (US \$6-7.5). This is just about enough to meet basic livelihoods needs. It would seem that there is further opportunity to improve the pro-poor value of this market chain.

	sustainable management of forest resources						
Output 2.5	Average income of households, and of women, from profitable enterprises based on the sustainable management of forest resources increases in target communities		✓				
Outcome 3	Strengthened demand and supply chain for energy efficient cook stoves and end fuels.		✓				
Output 3.1	Increased market share of improved cook stoves and charcoal kilns: numbers		✓				
Output 3.2	Increased market share of improved cook stoves: percent market share		✓				
Output 3.3	Annual CO ₂ emission from stoves and kilns reduced		✓				
Output 3.4	Establishment of demonstration palm sugar stoves (PSSs) in one province, Kampong Speu		✓				
Output 3.5	Operational improved cook stove production clusters increase		✓				
Output 3.6	Income of stove producers increases	✓					
Output 3.7	Number of woodlots based on CFMPs and area of woodlots managed for efficient energy by local communities/ farmers increases.		✓				

* **HS** = Highly Satisfactory; **S** = Satisfactory; **MS** = Moderately Satisfactory;

MU = Moderately Unsatisfactory; **U** = Unsatisfactory; **HU** = Highly Unsatisfactory

Performance indicators, used by the Project to monitor progress in its achievement of the Development Objective as part of its APR, were also assessed and rated (**Annex 7**). Ratings of these indicators are consistent with those for project outputs, being **Satisfactory for Outcomes 1-3**.

In line with GEF requirements (UNDP-GEF 2012), performance has also been rated in terms of project relevance, effectiveness, efficiency, sustainability and impacts, as well as the quality of M&E systems. These ratings are provided in **Table 3.5**, along with a brief justification based on evidence outlined earlier in this Terminal Evaluation report or in the sub-sections below.

Table 3.5 Project performance ratings

Criteria	Rating	Comments
Monitoring and Evaluation (using 6-point satisfaction scale)		
Overall Quality of Monitoring & Evaluation	MS	Further details in Sections 3.1.1, 3.2.1 and 3.2.3 .
<i>M&E design at project start up</i>	MS	Overall design framework of project is coherent: the three main barriers to reversing increasing loss and degradation of forests being reflected in the SRF by three inter-related Outcomes. Such coherence becomes confused or lost at more detailed Outputs level. M&E framework outlined in Project Document. SRF provides results-based approach to monitor progress against targets but only at Outcome level. Indicators poorly defined, many proving to be outputs and others insufficiently SMART, all of which jeopardised consistent monitoring of implementation progress. SRF overhauled at mid-term: outputs identified in ProDoc, introduced to SRF, indicators 'SMART'ened and targets clarified. Despite such improvements, poor design and inconsistent revisions to SRF limit its value for monitoring progress.
<i>M&E Plan Implementation</i>	MS	Routine reporting (Quarterly Progress Reports, APRs/PIRs), annual work plans and budgets, and meetings (Project Board) undertaken. Main activities sub-contracted to two service providers (NGOs), one of whom was tasked to monitor SRF and facilitate self-assessment of UNDP Capacity Development Scorecard. PMU should have been more proactive in monitoring and facilitating self-assessment exercises. Failure to establish all baselines at project onset is a significant weakness, as is the limited attention given to cleaning up and updating the SRF at project inception and mid-term in order to be able to focus on clearly defined, realistic targets and their achievement.

IA & EA Execution (using 6-point satisfaction scale)		
Overall Quality of Project Implementation/Execution	S	Further details in Sections 3.2.6
<i>Implementing Agency Execution</i>	S	UNDP Cambodia has worked closely with its implementing partner, FA, throughout the project. It has provided technical and administrative/ accountancy consultant support to PMU, as well as being represented on the Project Board as the development partner. The implementation approach is well designed and organisational structure of the project is fit for purpose. Overall, there is a strong sense of commitment and technical support from within PMU, its implementing partners and service providers, confirmed by feedback from stakeholders within the target villages and districts. Serious delays in implementation, such as over one year for the project to be operational - a shared responsibility of both IA and EA, have left insufficient time in which to develop and implement CF/CPA management/business plans. This shortcoming potentially impacts on the sustainability of the project.
<i>Executing Agency Execution</i>	S	The Forestry Administration, as Implementing Partner under the National Implementation Modality, is responsible for national execution of the project and coordinates inputs from other ministries (MoE, MME and MLMUPC). Multi-sector cooperation, effected through creation of provincial line agency platforms, has been a major achievement.
Outcomes (using 6-point satisfaction scale)		
Overall Quality of Project Outcomes	S	Based on separate assessment of project Outcomes and Outputs (see Table 3.4 and Annexes 6-7).
<i>Relevance</i>	R	In principle, the overall (development) objective of the Project and its three outcomes remain as, if not more, relevant today as when the Project was conceived, given the 14.4% increase in Cambodia's annual rate of deforestation over the last decade or so – reportedly the highest rate in the world (see Section 3.3.2).
<i>Effectiveness</i>	MS	Extent of achievement of objective and outcomes, or likelihood of being achieved – Outcomes 1-3 achieved to a large extent but their fruition now depends on regulations being put in place, implementation of CF/CPA management/business plans to conserve forests and sustain livelihoods and effective transfer of quality assurance responsibility for cook stoves from GERES to ICoProDAC.
<i>Efficiency</i>	MS	Cost effectiveness of delivery of results diluted by significant delays in project implementation that has undermined extent of achievement of project objective and outcomes (i.e. effectiveness).
Sustainability (using 4-point likelihood scale)		
Overall Likelihood of Sustainability ³³	ML	
<i>Financial resources</i>	ML	Project has not developed any financial strategies in MAFF or MoE to support community-based forestry through opportunities such as REDD and carbon financing. Nor has it generated any finance from other funding sources. REDD+ strategy is now eventually coming on-stream and there is talk about potential opportunities of linking it with community forest management. Such resources are critically important if SFM is to be mainstreamed, let alone consolidated within the existing 34 CFs and CPAs.
<i>Socio-economic</i>	ML	Project has demonstrated a range of socio-economic benefits and income-generating activities arising from SFM practices in CFs and CPAs and from the production of bioenergy efficient cook stoves and charcoal that reduce CO ₂ emissions. Management and business plans are in their early stages of implementation; hence the jury is still out with respect to demonstrating improved

³³ The 2012 Guidance for conducting terminal evaluations of UNDP-supported, GEF-financed projects states in the Rating Project Performance table on page 30: Overall likelihood of risks to sustainability. This is misleading as it is the likelihood of sustainability which is supposed to be assessed, not the likelihood of the risk occurring.

		livelihoods at an economically sustainable scale.
<i>Institutional framework and governance</i>	L	Project has strengthened institutional capacities in SFM and provided guidance and lessons learned from piloting a range of models of community-based forest management and conservation, all of which are needed to better inform and strengthen the legal framework for CFs and CPAs and establish/maintain multi-sector platforms for coordinating inputs to their planning and management.
<i>Environmental</i>	L	Project has demonstrated a desire on the part of communities to plan for the long-term sustainable management of forests to meet their livelihood needs while conserving biodiversity and reducing CO ₂ emissions. Such plans are likely to be realised if technical and financial resources can be secured to support the realisation of the plans.
Impact (using 3-point impact scale)		
<i>Environmental status improvement</i>	S	Examples: SFM practices introduced to CFs and CPAs that reverse forest loss and land degradation, such as establishment of 7 woodlots covering 1,781 ha to supply firewood for charcoal production and 4,902 ha of woodlots to harvest fuel wood.
<i>Environmental stress reduction</i>	S	Examples: improved technologies for bioenergy efficient cook stoves and charcoal production that reduce emissions by 29,949 tCO ₂ e/year and 945 tCO ₂ e/year, respectively.
<i>Progress towards stress/status change</i>	S	Change in deforestation rate from 0.5% per year to -0.46% per year in project target sites across 4 provinces, compared with 0.71% annual deforestation rate in target provinces.
Overall Project Results (using 6-point satisfaction scale)	S	

Satisfaction scale: Highly Satisfactory, Satisfactory, Moderately Satisfactory, Moderately Unsatisfactory, Unsatisfactory, Highly Unsatisfactory

Sustainability scale: Likely, Moderately Likely, Moderately Unlikely, Unlikely
Impact scale: Significant, Minimal, Negligible

Relevance scale: Relevant; Not Relevant

3.3.2 Relevance*

In principle, the overall (development) objective of the project and its three outcomes remain as relevant today, with respect to promoting SFM through community management of forests and bioenergy efficient technologies to reduce CO₂ emissions, as when the Project was conceived. Indeed, lessons learned from the project are even more relevant today than ever before, given the 14.4% increase in Cambodia's annual rate of deforestation over the last decade or so – reportedly the highest rate in the world (see **Section 2.2.1**).

Most of the project interventions have been demonstrated to be highly relevant, for example the introduction of SLM through community forestry in CFs/CPAs and their integration within CLUPs, involving multi-stakeholder processes and mechanism to develop more sustainable, integrated visions for land use planning purposes. Promotion of energy efficient stoves for cooking and kilns for charcoal production can contribute significantly to Cambodia's national efforts to reduce CO₂ emissions, as well as generating income for livelihoods and probably contributing in less tangible ways to human health at household and community levels from the reduced wood smoke.

Some interventions require further research and/or refinement before deciding whether or not to invest in mainstreaming them, particularly in respect of their potential impacts on emissions reduction. For example, palm sugar stoves have had negligible market penetration to date. A market has yet to be found for wood vinegar, a by-product of charcoal production that could improve the economic viability of the process. Further research into the increasing disparity in income between females who are household heads and those who are not is also a immediate priority, necessarily to inform future income generation interventions.

Some uncertainty has been expressed by some with regard to the relevance of developing financial strategies being within the scope of this project to support SFM through community

approaches to forest management in CFs/CPAs. This may reflect the challenge rather than need for developing such strategies to put in place carbon and/or other financing mechanisms so that SLM can mainstreamed across other sectors and provinces. The CLUP initiative provides a timely opportunity and appropriate mechanism for mainstreaming SLM, as already being demonstrated by this project. With a REDD+ strategy recently drafted, now is an appropriate time to develop financing mechanisms to underpin such mainstreaming.

Table 3.6 Parts of the Country Programme Action Plan (2011-2015) supported by SLM project

Outcome Indicators [2010 baseline / 2015 target]	Output Indicators [2010 baseline / 2015 target]
2. By 2015, national and local authorities, communities and private sector are better able to sustainably manage ecosystem goods and services and respond to climate change. ▪ Stability of indices of ecosystem diversity and condition in target communities [TBC / remain stable at baseline] ▪ Number of communities that acquired land use rights for managing forest resources [0 / 30 sites]	2.1 Pro-poor, sustainable forest/protected area management and bio-energy productions accelerated. ▪ National Bio-Energy Strategy and Programme developed [no / yes] ▪ No. new units of biogas cook stoves installed to replace wood based cooking equipment [0 / 2,000] ▪ No. new jobs created for rural women for manufacturing and market distributions of fuel efficient cook stoves. [0 / 1,000] 2.2 National readiness for REDD+ supported to enable government and communities to access financial incentives for reducing deforestation and forest degradation. ▪ National REDD+ Strategy and Implementation Framework [no / yes] ▪ Framework for transparent and accountable benefit sharing [no / yes] ▪ No. of sites that successfully generated carbon credits [0 / 5]
6. By 2015, gender disparities in participation and economic growth reduced.	6.2 Increased access to gender-sensitive business development services for women small-business entrepreneurs ▪ No. of women trained on market-oriented business and technical skills per centre per year [50 / 100]

The UNDP 2011-2015 Country Program Action Plan (CPAP) for Cambodia is designed to address a number of lessons learned from the previous CPAP, for which greater focus is needed on rights holders. These include the following for which the SLM project is especially relevant:

- On democratic governance, UNDP needs to engage more with civil society, focusing on citizen engagement, participation and accountability, including at local level.
- On environment, having built capacity for biodiversity conservation, UNDP needs to focus on institutional structures that can link environment and livelihoods more effectively.
- UNDP should introduce more pro-poor bias into its program.
- On gender equality and women's empowerment, UNDP's should shift from developing gender-responsive national policies and plans to translating them into actions and measurable results.³⁴

³⁴Country Programme Action Plan between the Royal Government Cambodia and the United Nations Development Programme, 2011-2015.

Reference to the 2011-2015 CPAP shows that the SLM project is contributing directly to two of the six outcomes through partial delivery of three of the 15 outputs, involving at least seven initiatives for which national indicators have been developed. The outcomes concern improved ability to sustainably manage ecosystem goods and services, with specific outputs relating to pro-poor CF/CPA management and national readiness for REDD+ supported to access financial incentives for reducing deforestation and forest degradation, and reduced gender disparities in participation and economic growth, as summarised in **Table 3.6**. The country programme clearly reinforces the priority need for financial mechanisms and incentives to combat deforestation as part of a National REDD+ Strategy and Implementation Framework that is currently being developed.

3.3.3 Effectiveness and efficiency*

The effectiveness and efficiency with which Project outcomes were delivered is **Moderately Satisfactory** in both cases, for reasons given in **Table 3.5**. Outcomes 1-3 have been achieved to a large extent and their respective outputs have been completed in most cases, albeit with very limited time to implement CF/CPA management and development plans formulated within the last year or so. All CF management plans have now been approved and those for CPAs are under final review by MoE. Limitations with Outcome 3 concern the sustainability of internal skills training in cook stove production and quality assurance, given that GERES is handing on such responsibilities to the Improved Cook Stove Producer and Distributor Association in Cambodia (ICoProDAC).

3.3.4 Country ownership

The main stakeholders are identified in **Section 2.4**. As noted in the MTR (2014), key elements of the project's design involved substantial consultation with stakeholders at national, provincial, district, commune and village levels. It included the identification of problems and the development of suitable solutions through systematic planning with key stakeholders, and effective coordination of different agencies and actors. Problem analysis was accompanied by thorough stakeholder consultation and analysis.

Many of these stakeholders were involved throughout the design and implementation of the project. There is no doubt that stakeholder participation was further enhanced by the hiring of two international NGO service providers post project inception, both of whom are well experienced in working with a wide range of stakeholders, particularly in building capacity at community levels. This earned the project considerable trust and respect, particularly at grassroots levels.

The high level of ownership among many of the stakeholders also reflects the very nature of a project that offers win-win opportunities for government and local communities alike. Government is keen to delegate management responsibilities to forest communities, relieving itself of the costs, and communities are anxious to secure access to managing forest resources to improve their livelihoods.

There is considerable evidence from interviews and meetings during the TE mission that many stakeholders are already benefitting from income-generating activities supported by the project, as well as technical support from the service providers and provincial line agencies. Further evidence is the huge support for developing management and business plans for CFs and CPAs. Such evidence is reflected in some of the targets met in the SRF (**Annex 7**) and in the feedback received directly from those interviewed (**Annex 4**).

3.3.5 Sustainability*

The four dimensions of sustainability are rated in **Table 3.5** as either **Moderately Likely** or **Likely**, with evidence provided alongside. Other key evidence that the project is **Moderately Likely** or **Likely** to be sustainable in the immediate future includes:

- the strong ownership of the respective provincial government agencies and communities towards CFs and CPAs and their integration within CLUPs, providing opportunities of potential support from their respective communes through the Commune Development Plans and Commune Investment Plans;
- the integration of CF management plans into provincial forest management plans and CPA management plans into the respective sustainable use zones of protected areas under the authority of MoE, including the management plans of Sam Kos and Aural Wildlife Sanctuaries;
- the integration of CF, CPA and ACFM management plans MME's Cambodia Wood and Biomass Strategy and Action Plan.

The moderate likelihood of sustainability is dependent on continued support from implementing partners at provincial levels, small amounts of financial assistance for establishing new SLM income generating activities and strong support from commune leaders.

Longer term mainstreaming of SLM is **moderately likely** to remain in jeopardy until such time as major financing mechanisms, such as carbon trading and ecosystem servicing, can be set up to sustain community-based forestry.

3.3.6 Impact

Project impacts concern longer-term global environmental benefits, replication and other local effects.³⁵ They are rated in **Table 3.5** as **Significant** but it should be appreciated that this is on a local scale limited to the relatively small target sites.

Within a national context, the project's impact to date has been negligible, particularly when considered in relation to Cambodia's increasing rate of deforestation (14.4% per year) – the highest of any country in the world (Section 2.2.1) – and a 0.8% increase in degraded forest within target sites over the life of the project (Annex 7). Now that the project has demonstrated what can be achieved in SLM and emissions reduction, reversing current impacts on forest resources at a national scale will require major financing mechanisms support mainstreaming these initiatives over the longer term.

³⁵ Project impacts are defined in the *2012 UNDP Guidance for Terminal Evaluation of GEF-funded and UNDP-implemented Projects* as: Actual or anticipated, positive or negative changes in global environmental benefit, as verified by environmental stress and/or status change, and also taking into account sustainable development impacts, including changed livelihoods.

4. CONCLUSIONS, RECOMMENDATIONS AND LESSONS

4.1 CONCLUSIONS

In general, this project is very opportune and challenging. It has delivered some very good results, following a somewhat long gestation period of project implementation. The project is opportune with respect to its application of the provisions of the 2003 Sub-decree on Community Forestry Management as a vehicle for SFM and embedding CF/CPA plans within the CLUP process. Its challenge to bring relevant sectors together to deliver the outputs has been successfully demonstrated through the establishment of technical teams from the line agencies to support the planning and management of CFs/CPAs within the target provinces.

The FA, with strong support from UNDP, is to be congratulated on its leading and coordinating role in this overall achievement; and full credit goes to the responsible ministries (GDANCP, Ministry of Environment; GDE, Ministry of Mines and Energy; GDLMUP, Ministry of Land Management, Urban Planning and Construction) for their cooperation and vital support. The high level of ownership, commitment and enthusiasm towards the project is self-evident among these ministries and their provincial agencies, local government administrations (communes) and forest communities. It has also been encouraging to observe directly that some of the community volunteer inputs to CF/CPA planning and management is driven by genuine conservation interests and commitments, not just income generating opportunities.

Progress towards meeting targets for the project objective indicators has been substantive with respect to introducing SFM to CFs/CPAs through community forestry and demonstrating how GHG emissions can be reduced through fuel efficient improvements to cooking stoves and charcoal production, at the same time as improving livelihoods. Such progress translates directly into significant contributions to UNDAF and UNDP's 2011-2015 Country Programme with Cambodia. However, as yet there is only limited and sometimes conflicting evidence on the ground to show that current national trends of increasing deforestation and forest degradation are being reversed. Evidence of a 1% reduction in deforestation at project sites is undermined by other evidence of an 0.8% increase in degraded forest at such sites. Much more time, effort and know-how, along with improved monitoring, are required to be able to conclusively demonstrate that such interventions can achieve the desired impact of fundamentally reversing these trends in Cambodia.

The Project's overall rating as **Satisfactory** means that it has minor shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency. This is above an 'average' accolade for all those involved in the Project's formulation and implementation, being above the fourth highest of six possible scores awarded to GEF projects (see **Table 1.1**). Furthermore, all three Outcomes are rated as **Satisfactory**, which indicates that technical and financial resources have been allocated and commitment expended across the breadth of the project commensurate with the necessary requirements.

This overall rating is the same as that given at mid-term, although at that time only two outcomes were rated **Satisfactory** (Outcome 3 was rated as **Moderately Satisfactory**), so there has been some significant improvement. A full comparison between the two sets of ratings is not possible as the criteria rated do not all match.

4.2 CORRECTIVE ACTIONS FOR PROJECT DESIGN, IMPLEMENTATION, MONITORING AND EVALUATION

The overall framework of the project is well designed but the SRF has some significant shortcomings with respect to the SMARTness of its indicators, lack of baselines even after the inception phase of the project, and inconsistencies in terminology and treatment/use of outputs to monitor progress (**Sections 3.1.1, 3.2.1, 3.2.3**). These limitations have undermined the usefulness of the SRF for monitoring purposes and, indeed, it has only been updated for MTR

and TE purposes rather than used routinely to check on progress towards targets. In other respects, regular progress and financial reporting as been perfectly adequate.

Project implementation by the implementing (UNDP) and executing (FA) agencies is satisfactory for the reasons given in **Table 3.5**. The overriding short-coming concerns the various delays, ultimately leaving too little time to implement the CF/CPA management and business plans and, in the case of CPAs, to develop the management plans. This undermines the sustainability of the project, particularly in the absence of a robust Exit Strategy despite MTR (2014) recommendations for such a Strategy as part of a Sustainability Plan. An Exit Strategy has since been drafted in November but it is more of shopping list, than guidance and direction on what is or needs to be in place to ensure that the momentum of implementation is not lost when the project ends.

4.3 ACTIONS TO FOLLOW UP OR REINFORCE INITIAL BENEFITS FROM THE PROJECT

Recommendations

The Project has broken new ground, demonstrating to good effect how CFs/CPAs can be managed sustainably and how CO₂ emissions can be reduced while at the same time improving livelihoods through sustainable income generating activities. Much needs to be done **to consolidate** and **replicate** the Project's achievements on parallel fronts. Opportunities to reinforce the benefits from the Project and transition towards mainstreaming SLM across other provinces in Cambodia include the following priorities:

- i. **Finalisation, endorsement and/or official approval, and dissemination of remaining CF/CPA Management and Business Plans** is a high priority that should be expedited so that implementation can proceed. A protocol to monitor implementation of these plans should also be initiated.
- ii. **Dissemination of knowledge, experience and best practice in community forestry and emissions reduction.** A series of guidelines and case studies on income generating activities should be produced and lessons learned shared among community members. Guidance should include a handbook for planning and managing CFs/CPAs/ACFMs.
- iii. **Provincial multi-sector platforms, comprising focal persons from the four ministries (MAFF, MoE, MME and MLMUPC) participating in the project, should be institutionalized** to ensure that communities continue to be supported during the implementation of CF and CPA management and business plans.
- iv. **Implementation of CF/CPA management and business plans** should be supported by providing or facilitating opportunities for revenue generation to improve livelihoods and manage forests.
- v. A number of important and sometimes unexpected results have emerged during implementation that require further research and/or analysis in order to inform future interventions. These include:
 - Ground-truthing the increase in forest degradation detected in target sites from recent analysis of landsat imagery and following up with the relevant communities.
 - Further analysis of the increasing gap in female income generation between household heads and non-heads.
 - Complete the assessment of inventories of forest resources and their condition in order to detect any changes that might need to be addressed.
- vi. **Markets for products of IGAs should be explored and developed with emphasis on establishing or enhancing pro-poor value chains³⁶.** Existing value chains for cooking stoves can most probably be enhanced in ways that reduce the profit margins of middlemen

³⁶Note that this follows up on the MTR (2014) recommendation: "There should be a full financial analysis of the supply chains for stoves, charcoal and forest products."

and maximise those of the producers and distributors³². Markets for charcoal currently provide marginal financial benefits to the producers, and this could be improved by developing a market for wood vinegar.

- vii. **A more precautionary approach to health and safety aspects of income generation should be adopted.** For example, those involved in charcoal production refer to their eyes getting used to smoke conditions. Workers should either be wearing face masks with appropriate air filters or, ideally, flues should be in place all of the time. (Sometimes, flues are removed because there is no point in collecting the wood vinegar due to the absence of any market for it.)
- viii. **Ecotourism developments need to be based on a proper understanding and consistent application of ecotourism principles, with a clear community-based orientation.** For example, ecotourism is the main income generating activity in Chrok Laeang CPA, Pursat Province, the attraction being a river and walk up to a waterfall. Up to several hundred visitors may come at weekends and litter is now spoiling the attractive destination. Efforts to manage litter are ineffective and a more strategic approach should be adopted based around 'the polluter pays' principle. Collaboration between MoE and the Ministry of Tourism to develop eco-oriented policies for CFs and CPAs should also be explored.

4.4 PROPOSALS FOR FUTURE DIRECTIONS UNDERLINING MAIN OBJECTIVES

Recommendations

The project has made substantial progress towards its development objective "... to *strengthen national SFM policy, integrate community-based sustainable forest management into policy, planning and investment frameworks and create markets for sustainable bio-energy technologies that reduce CO₂ emissions*. Its success to date has resulted in government's commitment, with keen support from UNDP, to replicate this approach and mainstream it throughout other provinces in Cambodia as an integral part of CLUP. Government's commitment is fully supported and encouraged, based on the evidence-based findings of this TE. Key steps towards the future are as follows:

- i. Crucial to transitioning towards the mainstreaming of community-based SFM will be to **consolidate on existing achievements and adequately resource, technically and financially, the implementation of the CF/CPA/ACFM management and business plans** that have only recently been approved or, in the case of CAPs, are shortly due to be approved.

Thus, the **draft Exit Strategy should clearly identify what needs to be in place by the end of the project** and how the necessary resources can be secured to ensure that there is no loss of momentum in implementation, otherwise it will undermine and potentially destabilise communities' ownership and engagement in the initiative because of the negative impact on their livelihoods. The Exit Strategy needs to focus clearly on articulating the following:

- (i) Current status of project implementation, clearly highlighting outstanding commitments that need to be realized in order to sustain future benefits of achievement generated by the project (e.g. approval and adoption of policies, guidelines, management and business plans; coordination mechanisms for implementation of plans), the priority need being to maintain and consolidate SFM in the project's target sites and ensure the sustainability (including quality control measures) of the bioenergy emissions production programme.
- (ii) Technical and financial resources, institutional and other mechanisms, and anything else that is in place to take forward SFM and emissions reduction post-project closure. In particular, it need to identify to what extent budgets of national, provincial and

commune administrations can be re-aligned to accommodate SFM needs within the target sites post-project.

- (iii) Identification of the technical and financial gaps with respect to (i) - maintaining SFM in the target sites and supporting the emission reduction programme - that cannot be addressed by (ii).
- (iv) Identification of other potential resources, technical and financial, that might be rapidly deployed (i.e. secured within six months) to fill the gaps identified in (iii). **Most effective might be to resource one business development officer for each province** to support the implementation of the CF/CPA business plans by facilitating the securement of small pots of money to stimulate community forestry activities in accordance with the respective management plans.

Funds for the immediate future, as from January 2016, will need to come from existing budgets within government, possibly with some modest external support from UNDP, to cover this transitioning phase. Other opportunities for fairly immediate short-term funding might include: UNDP-GEF Small Grants Programme, for which a strategy is being developed in line with GEF-6; certainly the budgets of Communes once CFs/CPAs/ACFMs have been integrated with CLUPs; micro-financing to establish revolving funds. NGOs may also be able to provide technical support.

- ii. **Identify and secure funds for mainstreaming SFM across all provinces.** Government, with UNDP support, is already pursuing potential opportunities under the REDD+ Strategy. In this context, **it is strongly recommended that the scope of the REDD+ demonstration sites be expanded to include SFM target sites within CFs/CPAs/ACFMs.** Even if this is successful, it will take some time for funds to be forthcoming and, therefore, the priority is to fill the immediate gap for 2016 (Item i above).
- iii. **Prioritise and follow up on actions identified above in Section 4.3** to reinforce existing benefits from the project.

4.5 BEST/WORST PRACTICES IN ADDRESSING RELEVANCE, PERFORMANCE AND SUCCESS ISSUES

4.5.1 Lessons

Lessons identified from the design and implementation of this project are as follows:

- Use of the SFR is fundamental to the monitoring and evaluation of projects. Lack of due attention to ensuring it is fit for purpose at project inception stage will jeopardise the monitoring of implementation and ultimately be detrimental to the MTR and TE results. It is very important, therefore, to ensure that: (i) any changes to the project during the inception period and post-MTR are adequately reflected in the SRF; and (ii) progress towards targets is reviewed annually.
- Solutions to natural resource management normally involve a wide range of interest groups (stakeholders). This project has successfully demonstrated the importance of multi-sector cooperation.
- Quality control, in this case certification of cooking stoves by ICoProDAC, can play an important, even vital, role in securing a niche in the market place.
- Products from income generating activities need to be subjected to thorough research to identify their potential niches in markets (e.g. charcoal and wood vinegar from improved kilns, NTFPs such as prich, mushrooms)
- Nature-based tourism is often portrayed as being ecotourism but lacks environmental and social principles. Ecotourism principles need to be clearly disseminated among local communities and community-based ecotourism should be adopted as the standard for CFs/PCPAs.

- It should not be assumed that all CF/CPA community members are driven by IGA opportunities; some members were found to be genuinely driven by their belief in the importance of conserving forests.

4.5.2 *Best practices*

Best practices, many of which have already been highlighted in **Section 3.3.1** and elsewhere, are considered to be as follows:

- Multi-sector platforms, notably demonstrated at provincial levels where technical teams of focal persons from the four participating ministries (MAFF, MoE, MME and MLMUPC) regularly coordinated their technical and other support to communities engaged in CF and CPA planning and management, within the locally administered framework of CLUP.
- Recognising that ‘one size rarely fits all’ and, therefore, the importance of exploring different modalities of community forestry in order to widen the regulatory framework for SFM.
- Grounding SFM within a local administrative or governance system, in this case Commune Land Use Plans, and thereby maximising its institutionalisation and ownership at grassroots level. This bottom-up approach also increases opportunities for securing future resources through commune budgets, reducing reliance on more distant funding from central government and/or development agencies, and lends its to developing a landscape-scale approach to SFM and biodiversity conservation over the longer term.
- Demonstrating that benefits can outweigh costs of introducing CO₂ emissions reduction measures, in this case through the production and marketing of more energy efficient cook stoves and kilns for charcoal. These new income-generating activities have improved livelihoods significantly for producers and distributors of such technologies. The products have also benefitted the livelihoods of the consumers, with reduced financial or labour costs in obtaining fuel wood. Reduced smoke from more efficient incineration processes is a less tangible benefit to human health for all concerned.

4.5.3 *Worst practices*

There is no evidence of outright worst practices being adopted or encouraged by the project. The key example of poor practice, which may yet have immediate repercussions on the project successes to date, is the absence of any Exit Strategy well ahead (6-12 months) of the end of the project.

Annex 1: Terms of Reference for Terminal Evaluation**Individual Contractor****1. Assignment Information**

Assignment Title:	Project Terminal Evaluator
UNDP Practice Area:	Environment
Cluster/Project:	Environment and Energy/Sustainable Forest Management Project
Post Level:	Senior Specialist
Contract Type:	Individual Contractor (IC)
Duty Station:	Phnom Penh
Expected Place of Travel:	Kampong Speu, Kampong Chhnang, Pursat, Battambang provinces
Contract Duration:	23 days, from September – November 2015

2. Project Description

Forests in Cambodia are subject to a wide range of threats, including logging, forest fires, subsistence and commercial agriculture expansion, and the establishment of roads and human settlements. Loss of forest cover is of global significance due to its implications for biodiversity, land degradation and climate change. Deforestation also poses a major threat to the livelihoods of local people.

The project plays a critical role in implementing priority actions as identified in the National Forestry Programme and the National Strategic Development Plan 2009-2013 related to sustainable forest resource management, conservation, and community-based forest management. The objective of the project is to strengthen sustainable forest management (SFM), through integrating community-based sustainable forest management into policy, planning and investment frameworks and creating markets for sustainable bio-energy technologies which reduce CO₂ emissions. The project has three outcomes, namely, (1) improvement of existing national capacities, policies and regulations which facilitate the widespread implementation of SFM, integrating energy efficiency, biodiversity, sustainable land management and livelihood considerations; (2) community-based sustainable forest management is being implemented effectively within a context of cantonment/province, district and commune level planning and delivering concrete benefits to local communities; and (3) strengthened demand and supply chain for energy efficient cook stoves.

The project is funded by the Global Environment Facility (GEF) and the UNDP. The project is nationally executed by the Forest Administration (FA)/Ministry of Agriculture, Forestry and Fishery (MAFF), which is the Implementing Partner for UNDP/GEF. The FA has contracted with 2 service providers (Regional Community Forestry Training Centre (RECOFTC) and Group for Environment, Renewable, Energy and Solidarity (GERES) to implement technical assistance to the project. The project also works with Ministry of Land Management, Urban Planning and Construction (MLMUPC), Ministry of Mines and Energies (MME), Ministry of Environment (MOE)/ Department of Research and Community Protected Areas (DRCPAD) Development. The collaborative arrangement has been set up at the technical level through the designation of focal persons in the said ministries and departments. At senior executive level, the inter-ministerial project supervision is carried out by the project board.

PROJECT SUMMARY TABLE

Project Title:	<i>Strengthening SFM and Bio-energy Markets to promote Environmental Sustainability and to reduce Greenhouse Gas Emissions in Cambodia</i>			
GEF Project ID:	3635		<i>at endorsement (Million US\$)</i>	<i>at completion (Million US\$)</i>
UNDP Project ID:		GEF financing:		
Country:		IA/EA own:	1,500,000	
Region:		Government:		
Focal Area:		Other:		

		(In-kind contribution from government/FA= 600,000, Unfunded budget=1,000,000)		
FA Objectives, (OP/SP):		Total co-financing:		
Executing Agency:		Total Project Cost:		
Other Partners involved:		ProDoc Signature (date project began):		
		(Operational) Closing Date:	Proposed:	Actual:

3. Scope of Work

The evaluator is expected to frame the evaluation effort using the criteria of relevance, effectiveness, efficiency, sustainability, and impact, as defined and explained in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported projects. The evaluator is expected to complete and submit a set of questions covering each of the above criteria as part of an evaluation inception report in consultations with UNDP Country Office, the project team and the UNDP Regional Technical Advisor, and shall include it as an annex to the final report.

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the Project Board members, UNDP Country Office, project team, UNDP Regional Technical Adviser based in Bangkok and key stakeholders. The evaluators are expected to conduct a field mission to the four target provinces namely Kampong Speu, Kampong Chhnang, Pursat, and Battambang. The detailed schedule of the field mission will be developed during the inception stage when the evaluators design the evaluation methodology and approach.

Interviews will be held with the following organizations and individuals at a minimum:

- The Project Board members
- The SFM Project team based at the Forestry Administration
- Representatives of UNDP Country Office and the UNDP Regional Technical Advisor
- Representatives of inter-ministerial focal persons at the national and sub-national level, including MME, MOE, and MLMUPC.
- Local authorities and beneficiaries

The evaluators will review all relevant sources of information, such as the project document, project reports – including Annual Progress Report (APR), project budget revisions, Project Implementation Review (PIR), quarterly progress reports, Project Midterm Review Report (MTR), and any other materials that the evaluators consider useful for this evidence-based assessment.

4. Expected Outputs and Deliverables

The objectives of the evaluation are to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming.

The evaluation team will produce the following deliverables to UNDP CO and the Project Board:

- a) The inception report with detail methodology and approach of the Terminal Evaluation process.
- b) A presentation of an executive summary, jointly prepared by the International and National Consultants, including findings and recommendations to key stakeholders;
- c) A detailed draft evaluation report covering scope of the terminal evaluation with detailed attention to conclusion, lessons learned and recommendations; and
- d) List of annexes prepared by the consultants including TOR's, itinerary, list of persons interviewed, summary of field visits, list of documents reviewed, questionnaire and summary of results, and leveraged resources, etc.

The report together with the annexes shall be written in English and shall be presented in electronic form in MS Word format.

The specific deliverables in sequence, corresponding to the work and their corresponding target delivery dates within a maximum of 23 working days are summarized below:

Deliverables/ Outputs	Estimated Duration to Complete	Target Due Dates	Review and Approvals Required (Indicate designation of person who will review output and confirm acceptance)
Inception Report	No later than 2 weeks after starting evaluation mission.	15 September 2015	UNDP Regional Technical Advisor and UNDP CO
Presentation on initial findings	End of evaluation mission	09 October 2015	UNDP CO Project stakeholders
Draft Detail Evaluation Report (per annexed template)	Within 3 weeks of the evaluation mission	26 October 2015	UNDP Regional Technical Advisor, Project Board and UNDP CO
Final Report*	Within 1 week of receiving UNDP comments on draft	11 November 2015	UNDP Regional Technical Advisor and UNDP CO
Total: 23 days			

5. Institutional Arrangement

- The evaluation team will be composed of 1 international and 1 National Evaluators. The International Evaluator will act as Team Leader responsible for the leading of the TE mission and compiling the Terminal Evaluation final report; while the National Evaluator will provide facilitation and coordination support to the Team Leader.
- The principal responsibility for managing this evaluation resides with the UNDP CO in Cambodia. The UNDP CO will contract the evaluators and ensure the timely provision travel arrangements within the country for the evaluation team. The team will be responsible to, reporting to, UNDP CO after getting approval/acceptance of output from the National Project Manager and National Project Director. The Project Team will be responsible for liaising with the Evaluator team to set up stakeholder interviews, arrange field visits, coordinate with the Government etc.
- The Evaluators will also interact with the UNDP Regional Technical Advisor, if needed, to ensure that the approach and methodology as well as the evaluation report are sound and in line with the donor requirements.

6. Duration of the Work

The duration of the work is 23 working days starting from 02 September to 18 November 2015. Field work and interview with key stakeholders are expected to be finished by 07 October 2015. The presentation preparation to present the initial findings will be done by 09 October 2015. The project team and UNDP CO as well as UNDP RTA will provide feedback/comments no later than two weeks after the receipt of the draft report.

7. Duty Station

The Evaluator will need to travel to Cambodia during the period of 21 September - 09 October 2015 to conduct stakeholder interviews, visit the project sites (2-3 days visit to the project sites in Kampong Speu, Kampong Chhnang Pursat and Battambang provinces) and make a presentation of the initial findings of the evaluation. The consultant is expecting to be based at duty station at least 12 days and other work will be home-based.

8. Minimum Qualifications of the Individual Contractor

Qualifications for the International Evaluator

Education:	Master degree in environmental studies, development studies, and other related field.
Experience:	- Minimum 10 years of result-based project management, monitoring and evaluation of environmental related projects - Proven experience of evaluating similar projects, preferably involving UNDP or others UN Development Agencies or major donors

	• Technical knowledge in the targeted focal area(s): Climate Change Biodiversity, and Land degradation. • Experience working with government, particularly with projects under National Implementation Modality is an asset. • Experience and knowledge of the Cambodian development context.
Competencies:	• Demonstrates integrity by modeling the UN's values and ethical standards; • Promotes the vision, mission, and strategic goals of UNDP; • Ability to interact with senior government officials • Team leadership experience • Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability • Treats all people fairly without favoritism; • Fulfills all obligations to gender sensitivity and zero tolerance for sexual harassment.
Language Requirements:	• Full proficiency in English (written and spoken).

9. Criteria for Evaluation

Technical Evaluation Criteria	Obtainable Score
Minimum 10 years of result-based project management, monitoring and evaluation of environmental related projects	20
Proven experience of evaluating similar projects, preferably involving UNDP or others UN Development Agencies or major donors	30
Technical knowledge in the targeted focal area(s): Climate Change Biodiversity, and Land degradation.	20
Experience working with government, particularly with projects under National Implementation Modality is an asset	20
Experience and knowledge of the Cambodian development context.	10
Total Obtainable Score	100

10. Payment Milestones

The consultant will be paid on a lump sum basis under the following installments.

N	Outputs/Deliveries
1	First payment: 20% will be paid on signing contract and upon the receipt of inception report.
2	Second payment: 30% will be paid after the submission of the detail draft evaluation report and approval of certification of payment.
3	Final payment: 50% will be paid after the submission of the final report and approval of certification for payment and performance evaluation duly completed and signed by the E&E Team Leader.

11. Annexes to the TOR

Annex A: Project Strategic Result Framework

Annex B: List of documents to be reviewed

Annex C: Guidance for conducting terminal evaluation of UNDP supported, GEF financed projects

12. Approval

This TOR is approved by: *[indicate name of Approving Manager]*

Signature _____

Name and Designation _____

Date of Signing _____

Annex 2: Evaluation Consultant Code of Conduct Agreement Form**Evaluators:**

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and: respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form³⁷**Agreement to abide by the Code of Conduct for Evaluation in the UN System****Name of Consultant:** Sovith Sin**Name of Consultancy Organization** (where relevant):**I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.****Signed at Phnom Penh on** 18 September 2015**Signature:**

Evaluation Consultant Agreement Form**Agreement to abide by the Code of Conduct for Evaluation in the UN System****Name of Consultant:** Michael J.B. Green**Name of Consultancy Organization** (where relevant):**I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.****Signed at Phnom Penh on** 18 September 2015**Signature:**

³⁷ www.unevaluation.org/unegcodeofconduct

Annex 3:**UNDP Management Response to Mid-Term Evaluation**

Note that the management response and its tracking have been reviewed by the Evaluators and any comments of theirs are confined to the penultimate and last columns, preceded and highlighted by the word 'Evaluators', in the table below.

Overall comments: UNDP agreed with most of the observations and recommendation suggested by the MTR team. However, some suggestion has been already approved by the project board and UNDP. The follow up actions have been initiated and implemented to ensure it could be achieved in a timely manner.

MTR Recommendation	Management Response UNDP Country Office	Key Action(s)	Responsible Unit(s)	Time Frame	Tracking*	
					Status**	Comments
1. Corrective actions for the design, implementation, monitoring and evaluation of the project						
1.1 Extend the project timescale, to compensate for time lost during Inception, Service Provider (SP) recruitment and launching of implementation. - RECOFTC wishes to extend the time period, to finalize work on CFMPs and particularly CFBPs, and on corresponding features of CPAs. - GERES has said that they have no wish to extend the time period. - The recommended length of extension would be to the end of 2015.	Agree	SFM/UNDP prepare request letter of no-cost extension and send it to UNDP Regional for final approval. -SFM/PMU work with RECOFTC to prepare no cost extension work plan with clear milestones and timeline for project implementing partner endorsement -SFM/PMU prepared amendment of contract between FA and RECOFTC and revise payment milestones up to Nov 2015	PMU/SFM, UNDP, RECOFTC	Q.3-Q.4 2014	Completed	The extension already approved by Project board and UNDP Headquarter also approved it with no-cost extension Evaluators: Agree
1.2 SRF revision The revised SRF should be adopted and integrated into project monitoring and reporting mechanisms. The proposal to convert some of the current Outcome indicators to Outputs may appear to reduce the number of Outcome indicators reported in APR/PIRs, but there is a mechanism that could be applied by the Project Team to resolve this apparent problem:	Agree	- Quarterly Progress Report of RECOFTC and GERES is integrated the revised SRF - SFM work with RECOFTC and GERES to completed the baseline and target figures in the revised SRF	SFM/PMU	Q.4 2014	Completed	The updated SRF has been presented during SFM annual reflection on 02-03 Dec 2014. Evaluators: Revised SRF is much improved; changes not all approved in timely manner; some baselines still outstanding by TE.
1.3 Delivery of Outcomes Focus on clear milestones in Outcome areas	Agree	-SFM work with SPs to set specific/clear deliverables in their quarterly work plan, attached	SFM/PMU	Q.4 2014	Completed	The expected outputs of SP has been set as milestone

MTR Recommendation	Management Response UNDP Country Office	Key Action(s)	Responsible Unit(s)	Time Frame	Tracking*	
					Status**	Comments
for delivery by SPs. Such milestones are included as part of the ToRs for the SPs. Set annual (even quarterly?) milestones to encourage implementation, and monitoring of progress.		with progress report. SFM will work with RECFOTC to revisit the expected outputs in the extension period				deliverables on quarterly basis and presented during SFM annual reflection. Evaluators: Noted
2. Actions to follow up or reinforce initial benefits from the project						
2.1 SFM and local level benefit generation - Take final steps to approval of CFs/ CPAs and consolidate implementation - Ensure coordination of CF business plans with charcoal kiln business plans and woodlot management plans, at sites where both occur. Consider the "clustering" of CFs and coordination of their management and business plans where supply for ECKs can be supplied by more than one CF.	Agree	- SFM/PMU facilitated FA Technical Team at the national level to provide final comment to CFMP - SFM/PMU and RECOFTC work with MOE to refine the deliverable target related to CPA by Q.3 2015 - Business plan of ECK is developed with inclusion of the analysis of supply sources of firewood for ECK.	SFM/PMU RECFOTC GERES	By End of Project	Initiated	FA Technical team completed conducted all 30 CFMP review and share comment to FAC and RECOFTC for revision. Evaluators: Approvals of plans not completed by TE mission; Unclear if clustering effected.
2.2 Energy-efficient fuel wood technology - ECKs need their own business plans, but they must be developed in coordination with CFBPs. - For ECK wood supply issues, should be looking at linkages with a cluster of CFs and identify needs for infrastructure support – e.g. means of transport of wood, including vehicles – and setting the correct, incentivising price for suppliers of sustainably harvested wood.	Agree	- Business plan developed for each ECK taking into account cluster of CFs sites for fuel wood supply - Wood lots management plan is integrated as part of CFMP - Wood lot plantation with fast growing tree will be developed within specific CF target sites - Means of transport (Kor Yun) has been procured and provided to each ECK center.	SFM/PMU GERES	Q.1 2015	Completed	Business plan of ECK developed and being implemented. All ECK BP had been incorporated with CFMP. The project delivered eight Kor Yun to eight ECK centre. Evaluators: Same comments as for 2.1.
2.3 Project Management Maintain attention on risks/ assumptions in the Risk Log (in Atlas as well as in the Annual Reports). Risks to longer term sustainability of outcomes should also be considered and addressed.	Agree	- SFM/PMU updates the status of risks on quarterly basis in the quarterly report and annual report. - SFM/PMU to coordinate with SPs to ensure exit strategy and actions for each individual community is in place	SFM/PMU UNDP	By End of Project	Initiated	The status kept updated and included in the quarterly progress report. Evaluators: Noted – see 2.3 comment.
2.4 Sustainability and Impact	Agree	-SFM/PMU facilitates RECFOTC and GERES to	SFM/PMU	Q.4 2014	Completed	The exit plan of SP already

MTR Recommendation	Management Response UNDP Country Office	Key Action(s)	Responsible Unit(s)	Time Frame	Tracking*	
					Status**	Comments
It is essential to begin now on developing a Sustainability Plan, with an Exit Strategy.		develop Exit Strategy	RECOFTC GERES		Evaluators: Exit Strategy drafted post TE mission and incomplete.	developed and presented during SFM annual reflection Evaluators: Noted; risks to sustainability not addressed in timely way as Exit Strategy drafted post TE mission.
3. Proposals for future directions underlining main objectives						
3.1 Analyse the lessons learned from the pilot efforts, making use of the large sample of CFs/ CPAs, with respect to different factors presented by their specific conditions, documentation of impacts of forest condition indices, all leading to documentation of opportunities for future implementation and scaling-up.	Agree	- SFM/PMU facilitates with RECOFTC and GERES to document the project impacts, factors (contributing and hindering) toward project success. - SFM conducts Terminal Evaluation, which include the documentation of lessons learned and good practice of the project for future implementation and scaling up.	SFM/PMU UNDP External consultant	Q.3 2015	Initiated	Both SPs are working to document lessons learned, short stories. Some stories had been produced and attached with Annual Report, PIR Report. Evaluators: Little documentation achieved to date except final reports of Service Providers.
3.2 There should be a full financial analysis of the supply chains for stoves, charcoal and forest products.	Agree	SFM discussed with RECOFTC and GERES for possibility to conducting thorough financial analysis of supply chains for stoves, charcoal and forest products	SFM/PMU GERES RECOFTC	Q.1 2015	Completed	The business plan of charcoal and other forest products of all 30 CF already developed, Evaluators: Noted; TE recommends that in future more emphasis be give to developing pro-poor value chains.

* The implementation status is tracked in the ERC.

** Status: (Not Initiated, Initiated, Completed, and No Longer Applicable)

[Document dated Q2, 2015; last modified by UNDP 21 September 2015]

Annex 4: Itinerary, Observations and Persons Interviewed

Project Activity	Summary of Observations	Performance
Visit Kirslakeo CF In Battambang Province “Prich leaf business” Mon 21 Sept 2015	A. Reporting of Progress and Achievement by CF Leader 1. Background - Established since 1995 - 01 merchant buys the product from the community/ village. The merchant purchases an average 600kg – 1,500 kg based on: ▪ natural conditions ▪ Market price - The selling price from the village is from 3,000 riel to 12,000 riel. - Income from sales is: 1 kg = 300 riel – 1,000 riel (picking service) and per year they can get income 500,000 riel – 1,000,000 riel. - product markets are: provincial market and international market (Thailand) - amount of merchants purchasing the product: 01 person 2. Annual needs of community members in using forest resources - Lumber: 58 m³ (bought from outside) - Wooden poles: 275 poles (bought from outside) - Timber: 1,197 cubic meters (bought from both inside and outside) - Mushrooms, Prich leaves, Bamboo shoot, potatoes : 1,100 kg - Traditional medicine herbs: 145 kg 3. Community forest resources A. Tmor Keo Area (uses traditional method): 210 HA (full of trees and not very steep slopes and the fertility land) - Wood (10cm - 29cm): 104,160 trees = 9,164 m³ - Wood (> 30cm): 5,486 trees = 2,187 m³ - Total: 110,142 trees = 11,394 m³ - Tree seedlings: half grown: 296,666 trees, germinated seedling: 61,190 trees (has plenty no.1 trees and non-standard trees). B. Fourteen area (conservation area): 156 HA (Has landmines, steep slopes, Tree conservation area) - Land condition: Steep slopes and has landmines - type of land: Stone, sand not very fertility - Condition of forest: average, has plenty evergreen forest 4. Management strategy	Comments The project appears to lack a simple Good Practice Guide that should be developed for poor communities that have low ability to read and write. This guide should highlight specific practices that serve poverty reduction and biodiversity conservation activities. The guide should provide a selective overview of tools addressing aspects of timber harvesting, agroforestry, non-timber forest products, protected areas, local uses, and more. It illustrates the potential contributions forest biodiversity can make towards the livelihoods of the poor, and the importance of considering poverty reduction in sustainable forest management for CFs and CPAs.

Project Activity	Summary of Observations	Performance
	A. Tmor Keo Area (1st Area) - Take care, protect and forest restoration - Collect natural products by applying forest silviculture techniques - Prevent land and forest violation B. Fourteen Area - Take care and protect - Prevent land and forest violation and land grabbing - Collect non-timber forest products and traditional medicinal herbs (firewood, mushrooms, bamboo shoot, etc.). 5. Forestry Community Development - Forest silviculture: 250 USD - Land size: 50 M x 120 m = 6,000 m² - Can collect 60 cubic meters of firewood, 30 wooden posts - The community has sufficient knowledge and capable to apply their knowledge in actual practice 6. Amount of wild fruit harvesters - from 30 to 50 people per season - can collect an average of 20kg – 30kg per person per season (from mid-January to the end of March). 7. Challenges - Lack of management methods - lack of market for their products - The price is determined by the merchant (or based on harvesting service) - Easy to get spoiled (lack of storing/ packaging skills) - Lack of funds and patrol equipment - The local merchant causes high level of competition - Limited resources - the amount of products is determined by or depended on natural conditions - The community members have limited knowledge on poaching and illegal logging. - life threatening cases have occurred upon the committee and members - Rubble was dug and used for making roads (The rubble was dug from the community forest) - Limited lands for people to live on have caused some to request the community land for building shelter. 8. Proposal - Continue supporting the community - Assist in terms of financial support and patrol equipment	

Project Activity	Summary of Observations	Performance
	- Continue supporting in legal and technical training - Assist in locating markets for products - Funding - Technical skills in storing/ packaging and planting of NTFP - Prevent high levels of competition, increase NTFP Collection, strengthen the rule of law. 9. Future action plans - Plant commercial trees (along free land, between forests and along forest borders) - plant NTFP products (Prich shrub) in the community forest and community member fields - increase patrol and management - Increase capacity building and information dissemination to the community (benefits, terms and conditions, rules and regulations, etc.) - recruit new community members - prevent forest fires B. Direct Observation and Discussion with Beneficiaries The communities have adapted a new approach for collecting firewood based on silvicultural technique (e.g. thinning and pruning products) introduced by the project. The markets demand for some NTFP product such as prich, mushrooms, bamboo shoot, which have high seasonal demands, especially for prich that are mostly used for exporting to Thailand. Prich are seasonal vegetables and can be harvested during early the dry season in January to June. The harvest of prich leaves also depends on the demand (the maximum demand) that the community can harvest between 600kg to 1500kg per day and can sell at the price of 3,000 riel/Kg (late collecting season) to 12,000 riel/Kg (early of the year when prich is not available). Each household can generate income between 500,000 Riel (1-2 members / household) to 1,000,000 Riel (> 2members/household). The middleman has set up communities or village prich buyers to collect prich from community members who collected it from the forest and by providing 300riel to 1,000riel/Kg as commission for buying prich and the middleman can get high profit. However, there is only one middleman coming to buy the prich product and that could cause a monopoly problem of business and leads to lowering the price of collecting products. According to the community, prich products can collect more through better management and better study of the resources availability. The value chain study of this product should be carried out to ensure business management and sustainable profits. The product requires more attractive business management that helps more business people to invest in the product. The other NTFP products such as bamboo shoot, wild mushrooms, medicinal plants, are not fully extracted for business purposes. The community requires support in the form of financial resources to improve and implement the business management plan. The CF members have received different benefits from the CF. Among 34 members attending the meeting, 10 members are	

Project Activity	Summary of Observations	Performance
	received benefits more than KHR1,000,000 per season, 13 members have gained lower than KHR1,000,000, and more than 11 members are participating in CF activities without any benefit from CF due to interests in CF protection and conservation for future benefits of generation. The benefits from CF contributed to the total incomes of household s around 30-40%. Sustainable management of NTFPs (such as product and market development, market linkages, etc.) is not fully implemented. The current products are available according to the season and lacks of post-harvest handling such as packaging. Product price between farm gate and market is still lager gaps and the price depends on a single middleman. Fee collection on NTFPs were not applied and may not be able to sustain the introduced approach to the communities because of lacking management funds. The current strategy toward non-members by not collecting fees and just asking for permission may not be feasible although the intention was to attract new membership. Members and non-members of the CF have the same right of collecting NTFPs and extracting firewood and that can be the impact of losing interest from community members.	
Visiting Prey Trolach CF and Charcoal producers In Battambang Province Tue 22 September 2015	A. Reporting of Progress and Achievement by CF Leader 1. Background Information - Name of forest community: Prey Trolach - Location: Prey Trolach Village, Pen Village, Srotot Village, Prey Trolach Commune, Prey Omporn village, Prolay 18 Village, Stock Provuk Commune, Rokhakiri District, Battambang Province. - Established in 2003 - Community members: 614 Families (1,109 people – 611 women) - Total owned land: 1,332 HA, - Registered with Ministry of Agriculture on 15 March 2010 2. Management - The community forest is divided into 8 areas: - o Kach Pka mountain (for collecting timber) ▪ Type of forest: deciduous forest ▪ Total land mass : 468 HA ▪ Condition of forest: Good full with trees ▪ Condition of land: steep slope more than 30 degrees, sand and stones ▪ Type of wood: • Luxurious: 6.54 trees per HA = 1,436 m³ • Lumber No.1: 1.57 trees per HA = 31,13 m³ • Lumber No.2: 38 trees per HA = 6,94 m³ • Lumber No.3: 7,54 tress per HA = 1,46 m³ • Lumber No.4: 48 trees per HA = 8,02 m³ ▪ Total: 2,567 trees = 49 m³ per HA	Comments The market linkages and development is necessary for the charcoal production of this community. CF members have felt that the market is uncertain and has also received pressure from traditional producers. In the exit strategy, a implementation mechanism should be developed to ensure that the project activities will continue implementation. Fee collection and management should be introduced and ensure that the practice of fee collection will contribute to the sustainability of the CF. Basic health procedures to protect charcoal producers from smoke should be introduced such as wearing masks etc. during burning process.

Project Activity	Summary of Observations	Performance
	▪ Management: ▪ care and protect trees and other biodiversity ▪ remove and extract any wooden poles and timber through silviculture techniques by removing low quality trees and low standard trees. ▪ Collect non-timber forest product ○ Ou Preus Area (firewood collection area) ▪ Type of forest: Forest with semi-evergreen forest ▪ Land mass: 177 HA ▪ Condition of forest: Good full of trees <30 CM ▪ Condition of land: slope and sandy-loam soil ▪ Type of wood: • Luxurious: 4,036 trees = 6,659.93 m³ • Lumber No.1: 45,878 trees = 8,963.43 m³ • Lumber No.2: 22,054 trees = 4,098.02 m³ • Lumber No.3: 3151 trees = 6,028.65 m³ • Lumber No.4: 12355 trees = 2,267.59 m³ • Total: 87,473 trees = 165,990 m³ ▪ Management • care and protect construction timber and biodiversity • Remove or extract wooden poles and firewood ○ Phnom Lok Area (firewood collection) ▪ Type of forest: Forest with half tall trees ▪ Land mass: 224 HA ▪ Condition of forest: Good full of trees < 30 CM ▪ Condition of Land: sandy loam soil ▪ Type of wood: • Luxurious: 2,112 trees = 336.98 m³ • Lumber No.1: 23,632 trees = 3,764.15 m³ • Lumber No.2: 13,777 trees = 2,282.46 m³ • Lumber No.3: 3117 trees = 448.32 m³ • Lumber No.4: 4022 trees = 484.50 m³ • Total: 46661 trees = 73,645 m³ ▪ Management: • Take care and protect construction wood and biodiversity • Remove or extract wooden poles and firewood ○ Tuk Pus Area (forest restoration)	

Project Activity	Summary of Observations	Performance
	▪ Land mass: 18HA ▪ Condition of forest: High degradation and full of regeneration tree seedlings. ▪ Condition of Land: average slope < 10 degrees ▪ Type of Land: Sandy with stones and average level of fertility ▪ Type of wood: dicedious forest and wildlife animals. ▪ Management: • Take care and protect forest. • Maintain sanitation and firebreak path • Conventional method for planting trees according to land temperature and forest width • Patrol forest • Collect non-timber forest products and medicinal plants • Prevent illegal logging and violation of forest land. 3. Funds for community development - 1st time: ○ Create border posts: 50 posts ○ Create signs to put along border: 102 signs (02 big signs) ○ Total of expenditure USD300 - 2nd Time: ○ Plow around Bamboo ○ Mount up around bamboo hill ○ Spent a total of USD190 - Total cost for both activities: USD 490 4. Future plans - Have monthly meeting - Patrol along community forests - Construct a patrol booth - Fix border posts - Solve conflicts - Strengthen charcoal production - Prevent clearing of forest land and land grabbing - Disseminate the advantages of forests 5. Requests - Request for communication radios - Camera - Patrol equipment - Method for patrolling	

Project Activity	Summary of Observations	Performance
	- Continue supporting the project 6. Charcoal production kiln - Charcoal production furnace: are available in 02 areas with a total of 05 furnaces - o Srah Tort kiln: there are 02 kiln - o Ou Prers Kiln: there are 03 furnace - Restored kiln: GERES organization re-constructed the kiln in 2012. - o Srah Tort kiln: 5 members and managed by Mr. Rin Voeun - o Ou Preas kiln: 10 members and managed by Mr. Pov Ny - Each kiln uses an average 5 cubic meter of firewood and can produce 13 bags (1 bag = 40 Kg) for one kiln per month can produce up to 2 times. - The obtained firewood is: - o Purchased from firewood collecting group (Community members) collected from forest community through silviculture and 01 cubic meter cost 20,000riel - o Purchased from outside CF member (field) = 20,000 riel - 2014: - o Srah Tort furnace per a year can produce: ▪ 13 bags x 2times per month x 12 months x 2 furnaces = 624 bags or 624 bags x 40 kg per bag = 24,960 kg - o Ou Prers furnace per a year can produce: ▪ 13 bags x 2 times per month x 12 months x 3 furnaces = 936 bags or 936 bags x 40 KG per bag = 38320 Kg - o The total amount the 02 furnace can produce per year is 624 + 936 = 1,554 bags - 2015: - o Srah Tort Kiln : 0 - o Ou Prers kiln: 3 kiln x 2 time x 13 bag 7. Market - The produced charcoal can be sold at: - o Local market (Stock Proveuk, Prey Klot) - o Provincial market (Moung, Battambang) - o Outside provincial market (Pursat: Beung Kna District, Svay Daun keo District) - Sales price of charcoal - o 1 bag = 15,000 riel in 2015, 13,000 riel in 2014 - o In 2014 the income from sales was: 1,554 bags x 13,000 riel = 20,202,000 riel - o In 2015 (up to September) the income from charcoal sales was: 78 bags x 15,000 riel = 1,170,000 riel - o Net profit (Net gain): ▪ Input	

Project Activity	Summary of Observations	Performance
	• 2014 (firewood): 1,554x5 cubic meter/13 (5 cubic meter = 13 bags) = 598 cubic meters • Cost of purchasing firewood • Producer received: ○ 6,683,000 x 85% = 5,680,000 (5 people) ○ Community: 6,683,000 x 5% = 334,000 riel ○ Kiln maintenance: 6,683,000 x 8% = 534,000 riel ○ First aid kit: 6,683,000 x 2% = 134,000 riel • 2015 (firewood): 78 m² x (5/13) x 20000 riel = 600,000 riel ○ Cost of bags + wire + white powder = 78x1,000 riel = 78,000 riel ○ Income from charcoal sales: 78 bags x 15,000 riel = 1,170,000 riel ○ Profit from charcoal sales: 172,000 riel – (600,000 + 78,000) = 492,000 riel • The producer received: ○ 492,000 x 85% = 418,200 riel • Community received: 492,000 x 5% = 24,600 riel • Support kiln 492,000 x 8% = 39,300 riel • First aid kit 492,000 x 2% = 9,800 riel 8. Challenges - Rainy season - Selling price of charcoal has dropped and product markets are difficult to find - Lack of firewood collector - Lack of housing, clean water reservoirs, toilet. B. Direct Observation and Discussion with Community This CF appears to be well managed and strong leadership of the CF Manager (The Manager used to work for NGOs). The CF is combined by five villages. The manager of the CF has been elected by the communities in these five villages. The CF members have benefited from NTFP products such as mushroom, bamboo shoot, medicinal plants, firewood, etc. The CF Management team has confidence that they have enough capacity to help other CFs in managing their forest in a sustainable way. The communities have complained that there is high competency for charcoal production by traditional with the clean charcoal produced by the CF communities. The price of charcoal produced by the CF was ranged between KHR 16,000 to KHR 18,000. Normally, five m³ of firewood can produce 13 bags (1 bag = 40kg). With more than 11 members that attended the interviewing has noted that the income has ranged from less than 1 million riel, 2-3 million riel (6 CF members) and more than 4 million riel (5 CF members). The community has also benefited from selling wood vinegar at the cost of 6,000 riel per liter. The market structure, development, and linkages for wild products (mushroom, bamboo shoot, and other NTFPs) appear to be	

Project Activity	Summary of Observations	Performance																																																															
	limited. There is no market information about the demand of the products. Although market demands are quite high, farmers have no ideas about the required quantity and quality of charcoals. Health safety and awareness are not well researched and disseminate to the charcoal producers. The hazard from smoke can affect the lung and eyes if they are not well protected.																																																																
Visiting Bangkong Khmum CF "Process of Community Planning/ Trade planning and producing charcoal" Tuesday 22 Sept 2015	A. Reporting Progress and Achievement by CF Leader 1. Background of Community - Established in the year 2000 with a total of 132 households (132 people – 80 women) - Commune area is 299 HA (Mostly is forest) - Registration No. 356 and registered on 29 July 2015 2. At the end of 2012 the commune received support from the Sustainable Forestry Management project and successfully implemented the projects as below: - Community Forestry Management Plan - Business plan (Firewood collection group) - Constructed 01 Yoshimora Kiln 3. Are divided into 04 areas: <table><tr><th rowspan="3">Area</th><th rowspan="3">Objective</th><th colspan="4">Tree density per HA</th><th rowspan="3">Remarks</th></tr><tr><th colspan="2">10-29 CM</th><th colspan="2">>30 CM</th></tr><tr><th>Tree</th><th>Volume, m³</th><th>Tree</th><th>Volume, m³</th></tr><tr><td>Prech Jo 85.17HA</td><td>Forest restoration</td><td>202</td><td>19.15</td><td>16</td><td>17.74</td><td>Firewood field 17.5 HA</td></tr><tr><td>Cheur Teal preng 57.50 HA</td><td>Firewood for charcoal kiln</td><td>320</td><td>27.33</td><td>20</td><td>27.26</td><td></td></tr><tr><td>Trapaing Jombok 79.40 HA</td><td>Firewood for charcoal kiln</td><td>485</td><td>48.78</td><td>21</td><td>22.86</td><td></td></tr><tr><td>Tuk Smach 67.04 HA</td><td>Firewood for household usage</td><td>244</td><td>27.26</td><td>22</td><td>23.49</td><td></td></tr></table> 4. Firewood collectors collected the types of firewood from the community: (21/03/2014 – 09/2015) <table><tr><th>No.</th><th>Type of firewood</th><th>Quantity</th><th>Cost per cubic meter</th><th>Selling price per cubic meter</th></tr><tr><td>1</td><td>Alive firewood</td><td>102 cubic meter</td><td>5,000 riel</td><td>25,000 riel</td></tr><tr><td>2</td><td>Dead firewood</td><td>10 cubic meter</td><td>5,000 riel</td><td>25,000 riel</td></tr><tr><td colspan="2">Total income</td><td colspan="2">112 x 25,000 riel =</td><td>2,800,000 riel</td></tr></table>	Area	Objective	Tree density per HA				Remarks	10-29 CM		>30 CM		Tree	Volume, m³	Tree	Volume, m³	Prech Jo 85.17HA	Forest restoration	202	19.15	16	17.74	Firewood field 17.5 HA	Cheur Teal preng 57.50 HA	Firewood for charcoal kiln	320	27.33	20	27.26		Trapaing Jombok 79.40 HA	Firewood for charcoal kiln	485	48.78	21	22.86		Tuk Smach 67.04 HA	Firewood for household usage	244	27.26	22	23.49		No.	Type of firewood	Quantity	Cost per cubic meter	Selling price per cubic meter	1	Alive firewood	102 cubic meter	5,000 riel	25,000 riel	2	Dead firewood	10 cubic meter	5,000 riel	25,000 riel	Total income		112 x 25,000 riel =		2,800,000 riel	Comments:
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Project Activity	Summary of Observations				Performance	
	Total expense	112 x 5000 riel =		510,000 riel		
	Total profit	2,290,000 riel				
	- The total firewood collected by GERES and collecting group = 225 cubic meters - Total members in the collecting group is 16 people – 8 women					
	5. Method for dividing the profit among firewood collectors					
	- Community development funds 3% - Business funds 5% - First aid kit 2% - members share of profit 89% - Administration 1%					
	Note: First aid kit and Community development fund = 64,000 riel; and profit to be divided among other group members is 2,226,000 riel.					
	6. Process in producing charcoal					
	- implemented in 2014 - applied by 7 families = 7 people - can produce charcoal 23 time.					
	Year	Firewood	Quantity of coal produced	expense		Income
	2014	200 cubic meters	13 tons	2,053,000 riel		780,000 riel
2015	25 cubic meters	4.9 tons	773,800 riel	3,430,000 riel		
Total expense			2,826,800 riel			
Total income			11,230,000 riel			
Total profit			8,403,200 riel			
- method for dividing profit among the charcoal production team ▪ Community development fund 5% = 420,200 riel ▪ Furnace support 17% = 1,428,500 riel ▪ First aid kit 5% = 420,200 riel ▪ Profit to be divided 70% = 5,882,200 riel ▪ Administration 3% = 252,100 riel						
7. The total amount of Community development fund is:						
- Contribution to firewood collection team = 16 USD - Contribution to coal production team = 210 USD - Project fund = 500 USD - Total = 726 USD						

Project Activity	Summary of Observations	Performance
	8. Future plans - Plant trees along the community forest border - Plant trees for producing firewood - Clean firebreak path 1,700M along Cheur Teal Preng area - Clean the remaining waste in the firewood collection areas. 9. Challenges - lack of funds to implement management plan - Firewood resource is insufficient to support the needs - Charcoal markets are still scarce - Some community members have insufficient knowledge about charcoal production and firewood collection group. 10. Requests - Request to continue supporting the process of implementing the community management plan and help support in finding partner organizations. B. Direct Observation and Discussion with Beneficiaries This CF managed the forest by dividing the forest areas into three categories: 1) rejuvenated forest (85.17ha); 2) firewood and charcoal (79.40ha); & 3) family firewood. Kiln operation appears to be well organized. There were 26 people involved in charcoal production: 1) for operation and production of charcoal – 10 people; and 2) for wood collecting to supply to the kiln for charcoal production – 16 people. The construction of Kiln costs of US\$8,000 and an additional US\$4,000 was for construction of housing and toilet. This kiln can produce 600kg of charcoal per 10 days/cycles with 5m³ of wood. These charcoal producers have noted that the charcoals were sold in retails (in kilogram) with the price of KHR 800/kg if buy less than 20kg, if more than 20kg were bought, the cost will be reduced to KHR 650 / kg. This CF community has not sold charcoal in large bags. Wood supplies for charcoal production came from dead wood, poor quality wood and wood received from pruning and thinning. The market problem of this community is similar to other communities. There is limited market development and linkages. The communities have no information about the demand of charcoal in terms of quality and quantity. Health problems caused by smoke are another issue related to charcoal production.	
Visit Chrok La-eang CPA in Pursat Province “natural conservation areas and ecotourism” Wed 23 Sept 2015	A. Reporting of Progress and Achievement by CPA Leader 1. Community Background - Established in 2009 with 377 families (1783 people – 802 women) - Community area is expanded to 660 HA (150 HA was given in agreement with or approved by the Ministry of Environment) - Half of the forest are jungles and the rests are dioecious forest 2. Implementation of Forestry Management Plan	Comments The involvement of the community in ecotourism initiatives have bridged the gap that the community has started through envisaging the benefits of ecotourism and keeping the biodiversity intact and support conservation of the natural areas

Project Activity	Summary of Observations						Performance
	No.	Activity				Date	
	1	Institutional Capacity building and document filing				28-29 June 2014	
	2	Information gathering PRA				12-13 November 2014	
	3	Training of methodology of Inventory controlling					
	4	Conduct inventory of the CPA					
	4	Request to increase the forest land area of the community forest				01 July 2015	
	5	Present the results of inventory and discuss about requirements				12-15 July 2015	
	6	Meeting and discussion about rules and regulations with the committee members				17 August 2015	
	3. Planning about Community Nature Conservation Management						
	Area		Objective	Forest Density/ HA			Type of Forest
			5-10 CM	10-29 CM	>30 CM		
			Tree	Tree	Tree	Mass	
Ou Tmor, 161HA		Forest restoration	1,200	240	32	11.4	Forest dioecious
Teuk Tleak, 157 HA		Eco-Tourism	2,400	700	100	135.5	Tall Trees Jungle
Russei Kuch, 200 HA		Usage	1,100	256	20	7.08	Forest dioecious
Domnak Reach tkol, 142 HA		Conservation	2,400	500	100	175.75	Tall Trees Jungle
Ecotourism Service (2013-2015)							
No.	Type of Service	Price/Unit	Total Unit				
1	Ticket sales	1,000	98,862 people				
2	Motorcycle Parking	2,000	13,041 motorcycles				
3	Car parking	5,000	18,354 Cars				
4	Business Booths	2,000	08 Booths				
5	Hut Rental	15,000	21 huts				
Total Expense		47,213,200 Riel					
Total Income		76,553,000 Riel					
Net gain		29,339,800 Riel					
Fund Usage							
The income of the community is divided into 4 parts:							
- 30% for conservation activities							
- 30% for development activities							
- 25% for rescue or emergency relief activities							
- 15% for community development funds							
The community fund 27,600,000 riel is placed at Pursat's ACELEDA Bank.							
surrounding their villages. The increased incomes that flowed from the CPA-Ecotourism since 2006 have convinced many CPA members about the benefits of a community running ecotourism.							
There has been a perceptible change in the attitude of the community towards natural resources conservation. Over the years the villagers have supported the CPA management in fire prevention, providing intelligence inputs into wildlife poaching and timber smuggling. The illegal movement of forest production through Chrokr La-eang has completely stopped due to the active involvement of CPA and MOE-Rangers patrolling the area. The impacts from the community support towards biodiversity conservation in CPA can be clearly visualized from the reduced forest offences committed in the recent years.							
Ecotourism development for nurturing a more sustainable future for the people and their environment requires engagement of all key stakeholders at the outset of the process can be critical to the success:							
- Ownership of the process by the community and other key stakeholders, culminating in a shared vision and agreed micro implementation and plan.							
- Strengthening the capacity of community members to participate actively in the planning and implementation of ecotourism.							
- Training, supervise and provide long term mentoring processes should be taken into account after project completion.							

Project Activity	Summary of Observations	Performance
	The cash on hand at the Cashier is 1,739,800 Riel. 4. Future plans - Capacity building on hospitality and tourism - Patrolling - Forest replanting - Establish a Head Office - Improve the parking area - Create an income and expense statement - Collect commune contribution - Organize a committee meeting and strengthen the entertainment sector of the eco-tourism site - Establish a toilet in the eco-tourism area - Cleaning the environment around the tourism areas - Improve the ticket booth 5. Challenges - Division of benefits from non-timber forest products and eco-tourism services is unclear provision - Unclear relationship with relevant institutions - Many Community members are still living in poverty - Illegal logging from outsiders - Community committee and members are not exercising their roles and responsibility properly. - Many community members have unclear knowledge about the new community forest borders. - Limited ability in disseminating the community development plan to the members. 6. Requests - Request to continue support for implementing the management plan - Request to support in broadcasting about the community and especially the eco-tourism site to both national and international tourists. - Request to help facilitate in preparing a guest lodge and Hospitality skills. B. Direct Observation and Discussion with Beneficiaries This CPA has seen improvements in activities and ticket selling since it was established as an Eco-tourism area. The ecotourism beneficiaries have improved their livelihood and income from selling snacks and food, which contributes to at least 80% of the total household income for people interviewed. The community members benefited from both selling snacks and food and at the same time help to improve the protected areas. The protected areas have increased its size from 150ha to 660ha and the increasing of CPA areas can attract more	- Good facilitation and participatory in micro planning can generate mutual understanding and trust that cements good relations between the CPA authorities and CPA local communities. - Litter from tourists is a problem – it is removed but not entirely, which undermined notices asking visitors not to litter. A more effective approach needs to be developed, starting with good examples being of zero litter tolerance being adopted by those having market stalls at the entrance to the waterfall site.

Project Activity	Summary of Observations	Performance																										
	members and at the same provide better income to the community members. The level of involvement by the community during the visit of TE team is evidence as to the level of acceptance of CPA and at the same time generates income from the establishment of eco-tourism in the protected areas. By understanding the processes and benefits of the sustainable use of natural resources, communities have become more involved in community management activities. We can observe their involvement through the discussion processes of preparing management plans and CPA business plan. In Chrork La-eang CPA, the community members and park rangers (interviewed during the visit) cooperated to patrol the forest, sharing responsibility in identifying any illegal activities. While the park rangers' main responsibility is to actively patrol the forest for illegal activities, community members incorporate their patrols into their daily routines. Although there are many positive points that can assure a successful CPA activity implementation, we identified some problems that have arisen in the process of developing and managing CPA during the visit of TE team. We hope that by addressing these problems early in the development of CPAs that future problems can be lessened, raising the potential for a positive impact on the livelihoods of the community. This problem is issued in the future about the coordination between MOE and MOT because according to the rule (based on Eco-tourism group leader) has noted that any tourism activities with the income at least KHR 50,000, there will be a need to register for legal operations by the Ministry of Tourism. In this regard, there is a strong need for coordination between technical departments of MOE and MOT. The distribution of benefits between communities, especially econ-tourism, and the government is still unclear due to the lack of a legal framework and government policy.																											
Visit 185 K Thyda Chambok Thom in Kampobg Chhnang Reforestation site Wed 23 Sept 2014	9. Management and Community Forest Development - Community forest size: 631 HA - Preparation of Community Forest Management plan: The Forest area of the community is divided into 3 areas: <table><tr><th>No.</th><th>Area Name</th><th>Land Size (HA)</th><th>Management Objective</th></tr><tr><td>1</td><td>Chambok Thom</td><td>488</td><td>Extracting forest for traditional uses.</td></tr><tr><td>2</td><td>Kbal Beung Stock Ath</td><td>93</td><td>Forest Restoration</td></tr><tr><td>3</td><td>Ondong Lok</td><td>50</td><td>Conservation area for wildlife habitats</td></tr><tr><td colspan="2">Total</td><td>631</td><td></td></tr></table> Management Strategy: <table><tr><th>Area</th><th>Approach</th><th>Expected results</th></tr><tr><td>Chambok Thom</td><td> - Apply silviculture technique for forest extraction - Collect Non-timber Forest product - Protect and maintain tree seedlings </td><td>Extract at least 1,376 trees or 97.6m³ in one year for 5 years</td></tr></table>	No.	Area Name	Land Size (HA)	Management Objective	1	Chambok Thom	488	Extracting forest for traditional uses.	2	Kbal Beung Stock Ath	93	Forest Restoration	3	Ondong Lok	50	Conservation area for wildlife habitats	Total		631		Area	Approach	Expected results	Chambok Thom	- Apply silviculture technique for forest extraction - Collect Non-timber Forest product - Protect and maintain tree seedlings	Extract at least 1,376 trees or 97.6m³ in one year for 5 years	Comments: This CF received strong support from the local authority. The Chief of commune is enthusiastic to continue to support the project activities after project completion. However, there is a need of support from funding agencies to ensure the current approach is in a viable manner. Future supports from national and sub-national government to the implementation of the exit strategy should be in place and should include a funding and management mechanism.
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Project Activity	Summary of Observations	Performance						
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Ondong Lok	- Maintain natural seedlings - Create firebreak and annual cleaning - wildlife conservation - Rare tree species conservation	Annually clean 1,000 Meters of firebreak pathways						
	10. Community Forest Development I. Constructed two charcoal Kiln centers - Produced 8,550Kg of charcoal = 11 times of production - Extracted firewood around 40.5m³ from the community forest for supporting the production of charcoal. - Purchased 74m³ of firewood from outside of the community - Received 5,557,500 Riel as income from selling charcoal - Received 4,357,500 Riel as net gain from producing charcoal. II. Implementing the forest restoration project - In 2014: received funding support from SFM project with USD10,680.25 - o Re-planted a total of 22,652 trees around 11 Ha - o Constructed one seedling nursery - o Germinated tree seedling - 14000 trees - In 2015: received funding from SFM project with USD2000 and community contribution with USD400 so the total amount is USD2,400. - o Planted 14,000 trees in 5 Ha 11. Challenges - A forest fire broke out at the forest restoration area destroying 1,052 saplings (in 2014) - 15% of the trees planted in 2015 died due to prolonged dry season. - Charcoal production has been paused temporarily. 12. Future plans - Germinate tree seedling of another 10,000 trees - Buy 2,000 bamboo for planting - Resume charcoal production - Search for sources of funding from various partner organizations - Continue forest patrolling							

Project Activity	Summary of Observations	Performance
	C. Direct Observation and Discussion with Beneficiaries. The CF consists of three villages with 559HHs (1,305 people) members. This CF has received two kilns from the project. Since construction of kilns, these two kilns have produced 8,550kg of charcoals with 11 times (10days/ time). The price of charcoal was KHR650/kg. There are 30 people in each charcoal production group: three groups for firewood collection (5 members/group) and three groups for charcoal producers (5 members / group). The income from charcoal production has contributed around 20% to the total household income. There were a three months break from charcoal production because of crop production time (from July – September) and wet forest. According to the Chief of Commune Council, the CF areas were heavily damaged and forests faced clear cutting issues and there has no protection to the forest areas. Due to the SFM, the forest areas have rejuvenated and recovered back and she hopes that in the future, this CF will contribute to livelihood improvement as well as biodiversity conservation to 1,260 households (>6,000 people) from four villages. The project has contributed to: 1) Maintain trees and soils 2) Regrowth of the trees 3) Create job for communities through NTFP collection and charcoal production. In addition, the communities have improved: 1) understanding about the forest law; 2) methodology of firewood extraction and protection biodiversity; 3) local authority participation in the CF activities. Current activities introduced by SFM has been included in to the commune investment plan and the commune council will try to look for external funding support and plan to allocate some budget from the government commune development fund (CFD) to support this CF. Kilns are good for the communities because it can use bad wood and wood from pruning and thinning to produce charcoal and generate additional incomes to the households.	
Visit Banh Chcol Village, Kampong Chhang Province on Improved Cook stoves	Direct observation. The TE team met with a former GERES staff that used to manage the training centers for 6 years and now he has his own production shop, but also helps to support the center. The center trained the producers to produce three types of cook stoves: new Lao, Neang Kangrei, and normal stoves. One training session consisted of 15 trainees and ran for around 5 days. Most graduated participants opened their own business and some got employed for others. Most stove production can take around 15 days depending on the material for burning. If the producers used firewood, the burning can take only one day to produce a stove. Currently there are 70 members of the association. The detailed cost of production of Kangrei stove was: 1) materials – KHR1,250, craftsman – KHR 70-100, and other expenses – KHR2,300. The profit for one stove can be KHR700 for one Kangrei stove. However, due to available jobs at garment factories, many stove producers have stop producing and looked for jobs at	The Majority of the producers and some users mentioned that some advantages of clean cook stoves that were introduced by the project includes creating less smoke in the kitchen, needs less time to cook, saving energy (firewood), and portable so it can be shifted anywhere when required. Some other advantages (food was more delicious) were also reported. Members of the households are normally habituated to continue to use the things they

Project Activity	Summary of Observations	Performance
	garment factories because the incomes from working in the factory were higher than producing stoves. The center also supported the construction of sugar palm stoves. The labor cost for the production of the stove was between \$80 (normal stove) and \$100 (hybrid stove). Visiting Mrs. Bin Ros – Cook stove producer The TE team visited a woman, who was the head of household, producing new Lao Stove. The producer informed that the cost for producing one stove was around KHR6,500 – 7,000 and the selling price is KHR8,000. An average sale of stove per month was around 500 stoves and were mostly sold to middlemen. The middlemen sold the stoves to the distributors at a price of KHR12,000/stove and the distributors can sell with a price of KHR15,000 to KHR18,000. The distributors bought 100 stoves from the middlemen and sold for around 10-12 days in Kampot, Takeo, Kampong Speu, and Phnom Penh. There haven't been any problems about the market demand. The reason of buying stoves from the middlemen was due to lack of funds to buy directly from the producers. The middlemen allowed to owe money for up to 15 days to payback of the loan without any interest. -	got traditionally and hereditarily because it was easier. Therefore, the awareness and market advertisement of the cook stove products needs to be addressed. TE Team findings presents that it is clear for those different types of cook stoves (e.g. New Lao or Kangrey) existed in Cambodia (based on distributors). Not one type was fixed, best, and popular for all the areas. The appropriate and popular products was determined by and depended largely on availability of charcoals, energy savings, cost, and reduction in smoke emission, though there was no laboratory tests to measure energy efficiency and kitchen air pollution. However, to conclude which one is appropriate in terms of energy saving, and air pollution control especially kitchen air pollution needs to pass an effective laboratory test of all types of cook stoves.
Visit Oudong District, Kampong Speu Province on Improved Sugar Palm Stoves	Visiting Mr. Mom Sarun, Chief of Village at Prey Kduoch village, Phnom Toch Commune, Udong District This farmer was involved in sugar production as well as construction of the sugar palm stove. The sugar production was between March and July, after that the palm has no flowers. During the peak season, he can produce up to four palm pans of which one palm pan consisted of 50 liter of palm juice and this palm juice can produce 7.2kg of brown sugar per pan or 6.50kg per pan of powder sugar. This sugar producer has sold the sugar products to Conferrel Company at the price of KHR4,400/kg. Normally the company comes to collect sugar every 10 days and this farmer can sell up to 100kg of sugar per 10 days. The farmer can produce up to 1.4 – 1.5 ton per year. The sugar production contributes 70% to the total household income, while the rest was from rice production and sugar stove construction labor. This farmer is also involved in sugar stove construction and charges \$20/stove. The total cost of production per stove depends on material uses. For clay, the total cost is more than \$100, while the construction using cement is cost more than \$200/stove. The new stove saves firewood up to 70%. The traditional stove used around 20 sugar palm leaves, while the new stove introduced by the project consumed only 10-12 sugar palm leaves. The construction of sugar palm stoves were 20 stoves in 2014 and 145 stoves in 2015 and during the visit, this farmer has completed the construction of 128 stoves.	The project had been completed for eight months and there hasn't been any activities during the visit of TE team because it is off-season for sugar palm production. The project should look for continuing support for the production of sugar palm stoves. According to the people interviewed, this palm stove is quite good and saves from 50-70% of firewood. However, the cost of construction was quite expensive (around \$200/stove). If the cost of construction is reduced, the demand for the sugar palm stove will increase.

List of persons met/interviewed

No	Name	Position	Organization	Contact Details
Meeting at National Level on 18 September 2015				
1	Chea SamAng	Project Director, Deputy Director General	Forest Administration	
2	Sim Bunthoeun	Cambodia Country Director, GERES		
3	Khorn Saret	Project Manager, Deputy Director Department of Forests and CF		
4	Chhneang Kirivuth	Community Forestry Partnership Coordinator (CFPC)	RECOFT	
5	Mr. Heng Kunleang	Director	Department of Energy Development	
6	Phan Bun Thoeun	Chief of Office	Department of Energy Development	
7	Srey Marona	Project focal point	MOE	
8	Hue Chenda,	DDG	MLMUPC	
9	Daro DOUK	National Project Monitoring and Evaluation Officer/SFM Project	UNDP	
10	Nuon Chenda	Finance and Admin Officer	UNDP	
11	Nhem Sovanna	National Project Adviser	UN-REDD	
Meeting for debriefing at Sofitel Phokeatra Hotel on 28 September 2015				
12	Chum Sovanny	Program Analyst	UNDP	
13	Khoeu Sophal	Deputy of LMUPU	DLMUPCC.BB	
14	Kao Phon	Head of Office	Provincial Environment Department	
15	Hy Davy	Deputy head of Office	Provincial Department of Mines and Energy	
16	Chnong Kirivuth	CFPC	RECOFTC	
17	Mark Vanny	Program Coordinator	RECOFTC	
18	Ei Cheang Meng			
19	Ly Chou Reang			
20	Sim Buntheun	Director	GERES	
21	Cheang Chanrathana	Program Officer	GERES	
22	Meas Bonna	Program Officer	GERES	
23	Sath Sovan	Program Officer	GERES	
FAC in Battambang Province on 21 September 2015				
24	Khoeu Sophal	Deputy of LMUPU	DLMUPCC.BB	
25	Kao Phon	Head of Office	Provincial Environment Department	

26	Hy Davy	Deputy head of Office	Provincial Department of Mines and Energy	
27	Chnong Kirivuth	CFPC	RECOFTC	
28	Mark Vanny	Program Coordinator	RECOFTC	
29	Ei Cheang Meng	FA Provincial Staff	FA	
30	Ly Chou Reang	Chief of Cantonment	FA	
31	Sim Buntheun	Director	GERES	
32	Cheang Chanrathana	Program Officer	GERES	
33	Meas Bonna	Program Officer	GERES	
34	Sath Sovan	Program Officer	GERES	
CF in Kirislakeo Village, Battambang Province on 21 September 2015				
35	Reth Merth	Community Member		Anlong Svay
36	Chum Oudam	Community Member	Kirislakeo CF	Anlong Svay
37	Sneng Sokha	Community Member	Kirislakeo CF	Anlong Svay
38	Chhoun Dy	Community Member	Kirislakeo CF	Anlong Svay
39	Neang Phun	Community Member	Kirislakeo CF	Anlong Svay
40	Neang Chung	Community Member	Kirislakeo CF	Anlong Svay
41	Khat Yin	Community Member	Kirislakeo CF	Anlong Svay
42	Soung On	Community Member	Kirislakeo CF	Anlong Svay
43	Sang Sok	Community Member	Kirislakeo CF	Anlong Svay
44	Seng Mom	Community Member	Kirislakeo CF	Anlong Svay
45	Chhoun Deurn	Community Member	Kirislakeo CF	Anlong Svay
46	Khim San	Community Member	Kirislakeo CF	Anlong Svay
47	Men Soun	Community Member	Kirislakeo CF	Anlong Svay
48	Soung Dos	Community Chief	Kirislakeo CF	Anlong Svay
49	Mey Kong	Community Member	Kirislakeo CF	Anlong Svay
50	San Bun That	Community Member	Kirislakeo CF	Anlong Svay
51	Ouch Chan	Community Member	Kirislakeo CF	Anlong Svay
52	Bo Phat	Community Member	Kirislakeo CF	Anlong Svay
53	Heung Ly	Deputy Chief of Community	Kirislakeo CF	Anlong Svay
54	Nol Sreymao	Community Member	Kirislakeo CF	Anlong Svay

55	Tum Savy	Cashier	Kirislakeo CF	Anlong Svay
56	Touch Chanta	Community Member	Kirislakeo CF	Anlong Svay
57	Vat Sowat	Village chief	Kirislakeo CF	Anlong Svay
58	Uch Sray	Village member	Kirislakeo CF	Anlong Svay
59	Sin Davy	Community Member	Kirislakeo CF	Anlong Svay
60	Om Vary	Community Member	Kirislakeo CF	Anlong Svay
61	Meas Sita	Community Member	Kirislakeo CF	Anlong Svay
62	Khum Vearn	Community Member	Kirislakeo CF	Anlong Svay
63	Nhet Khorn	Community Member	Kirislakeo CF	Anlong Svay
64	Bin Khemrin	Community Member	Kirislakeo CF	Anlong Svay
65	Tol Sopheaktra	Community Member	Kirislakeo CF	Anlong Svay
66	Sok Heat	Community Member	Kirislakeo CF	Anlong Svay
67	Chin Kolab	Community Member	Kirislakeo CF	Anlong Svay
68	Cheang Jai	Community Member	Kirislakeo CF	Anlong Svay
Prey Tralach CF, Battambang Province on 22 September 2015				
69	In Oeurn	Roka Kiri Community Chief	Prey Klot	
70	Pov Ny	Deputy Chief	Prolay 18	
71	Min Sea	Note taker	Pen	
72	Prom Sareun	Sbat Community Chief	Prey Trolach	
73	En Dob	Committee	Prey Klot	
74	Heang Puth	Committee	Prey Trolach	
75	Khem Ou	Committee	Prolay 18	
76	Hum Hong	Committee	Prolay 18	
77	Roth Bunthan	Committee	Prolay 18	
78	Chin Plek	Committee	Prolay 18	
79	Long Neang	Committee	Ou Prers	
80	Kong Sin	Committee	Ou Prers	
81	Kong Channy	Committee	Ou Prers	
82	Kong Chanthy	Committee	Ou Prers	
83	Kong Chantrea	Committee	Ou Prers	

84	Kong Lim Seng	Committee	Ou Prers	
85	Lorith Touch	Committee	Ou Prers	
86	Soun Ken	Farmer	Srah Tort	
87	Mom Mean	Farmer	Srah Tort	
88	Touch Sreynich	Farmer	Srah Tort	
89	Chun Chan	Committee	Prey Ompoarn	
90	Sorm Dam	Committee	Prolay 18	
91	Sou pen	Committee	Prey Ompoarn	
FAC in Pursat Province on 22 September 2015				
92	Um Koeun	Officer	Department of Environment	
93	Chheang Chanratana	Field Officer	GERES	
94	Sak Ousaphea	Program Officer	RECOFTC	
95	Chhay Saran	Chief of FA Cantonment	Pursat FA Cantonment	
Bangkong Khmum CF on 22 September 2015				
96	Kun Sarin	Chief of CF	Bangkong Khmum CF	
97	Sou Sarem	Member	Bangkong Khmum CF	
98	Ouch Seng Mun	Secretary of CF	Bangkong Khmum CF	
99	Khuon Chan Vannak	Member	Bangkong Khmum CF	
100	Meng Sareoun	Member	Bangkong Khmum CF	
101	Hoeum Saoda	Member	Bangkong Khmum CF	
102	Bin Thet	Member	Bangkong Khmum CF	
103	Song Sayon	Member	Bangkong Khmum CF	
104	Duk Ken	Member	Bangkong Khmum CF	
105	Um Pok	Staff FA Triage	FA	
106	Duk Daro	Staff of PDOE	PDOE	
107	Ty Putheara	Provincial Coordinator	RECOFT	
Meeting with project beneficiaries (Community Protected Areas) at Chroek Laeang CPA, on 23 September 2015				
108	Sun Chamreoun	Deputy Chief of Community	Jrok La-eang Community	
109	Heang Bunta	Deputy Chief of Community	Jrok La-eang Community	
110	Meas Sok	Community member	Jrok La-eang Community	

111	Nob Neak	Community member	Jrok La-eang Community	
112	Ei Saho Sen	Community member	Jrok La-eang Community	
113	Non Nen	Community member	Jrok La-eang Community	
114	Yith Sambo	Community member	Jrok La-eang Community	
115	Soung Sareth	Park ranger	Oral Pis Mountain Animal habitat	
116	Om Keurn	Project officer		
117	Ly nang	Committee	Jrok Leang Community	
Meeting with project beneficiaries on CFMC, commune chief, FAD/FAT, RECOFTC, GERES on 23 September 2015				
118	Keo Darith	Programme Officer	RECOFTC	
119	Pum Meng	Boribo quarter Officer	Forestry Administration	
120	Pen Phearom	Officer	Mines and Energy	
121	Sok Se	Head of office	Mines and Energy	
122	Sim Bunthoeun	Country Director	GERES	
123	Soun Samean	Commune chief	Trapang Reav Commune	
124	Roeung Chamroeun	Charcoal Kiln	185K Community	
125	Chea Song	Deputy committee	185K Community	
126	Sang Mao	Deputy Committee	185K Community	
127	Cheang Chanrathna	Program Officer	GERES	
128	Chneang Kirivuth	CFPC	RECOFTC	
129	Ma Seav Jai	Program Coordinator	RECOFTC	
130	Vong Varyvyvuthy			
Meeting with Improved Cook Stoves producers at Kampong Chhnang and Kampong Speu on 24 September 2015				
131	Bin Ros	Cook stove producer	Banhchhcol village, Kampong Chhnang Province	
132	Mom Sarun	Chief of Village and sugar palm stove producer at	Prey Kduoch village, Udong District, Kampong Speu Province	

Annex 5: List of Documents Reviewed

- CF, 2015. Draft CF management plan and business plan of Prey Tralach CF.
- CPA, 2015. Draft community protected areas management plan of Ochorm CPA.
- Edward V. Maningo, 2015. Impact Assessment of the Project: Strengthening Sustainable Forest Management and Bio-Energy Markets to Promote Environmental Sustainability and to Reduce Greenhouse Gas Emissions in Cambodia. RECOFT, Phnom Penh, Cambodia.
- Energy Development Department, 2014. Final draft document. Cambodia wood and biomass strategy and action plan. MIME, Phnom Penh, Cambodia.
- Forestry Administration, 2015. Endorsement letter of CF management plans to Forest Cantonment of Battambang, Kampong Chhnang, and Kandal Provinces. Phnom Penh, Cambodia
- GERES, 2015. SFM greenhouse gases emission reduction monitoring report. Phnom Penh, Cambodia
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- UNDP, 2013. SFM annual project report. FA, Phnom Penh, Cambodia
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- UNDP, 2014. Minutes of SFM project executive board meeting on “Review and Endorse the 2014-2015 Annual Work Plan and Budget and Project Midterm Review’s Recommendation”. March 17. 2014. Phnom Penh, Cambodia.
- UNDP, 2014. SFM annual project report. FA, Phnom Penh, Cambodia
- UNDP, 2014. Strengthening Sustainable Forest Management and Bio-Energy Markets to Promote Environmental Sustainability and to Reduce Greenhouse Gas Emissions in Cambodia: Quarterly reports: Q1, Q2, & Q3. Phnom Penh, Cambodia.
- UNDP, 2015. Project Implementation Review (PIR) of FSM of PIMS 4136. Phnom Penh, Cambodia
- UNDP, 2015. SFM Project Implementation Review (PIR). Phnom Penh, Cambodia.
- UNDP, 2015. Strengthening Sustainable Forest Management and Bio-Energy Markets to Promote Environmental Sustainability and to Reduce Greenhouse Gas Emissions in Cambodia: Quarterly reports: Q1, Q2, & Q3. Phnom Penh, Cambodia.
- UNDP, 2015. UNDP Management Response Sustainable Forest Management Sustainable Forest Management Project, Mid-Term Evaluation.

NB Other literature consulted is referenced in the footnotes.

Annex 6: Project outputs – progress achieved in their delivery as reported by PMU, with comments by evaluators

Outputs	Progress Reported by PMU and in MTR 2014 Report	Terminal Evaluation Comments
Project Objective: To strengthen national SFM policy, integrate community-based sustainable forest management into policy, planning and investment frameworks and create markets for sustainable bio- energy technologies that reduce CO ₂ emissions.		
Outcome 1 - National capacities and tools exist to facilitate the widespread implementation of sustainable community-based forest management and technologies that reduce demand for fuel wood.		
1.1: Institutional capacity in FA and GDANCP	- The significant improvement in capacity rating to 24/42 in the 9 months from the time of the draft MTR attributed to: the additional training and field support provided since July 2013; and the engagement of GDANCP officers in the project at provincial levels. - Service Providers developed several capacity enhancement programs for government at all levels and for communities, with much emphasis on CF planning and management. Training also included: facilitation skills, CFMC management, records keeping and report writing, participatory CF resource assessment (inventory of forest and non-timber forest products), and introduction to SFM and WISDOM to understand supply and demand scenarios within the context of supply situation their link to commune land use planning (CLUP). - Study tours to sites in other parts of Cambodia have fostered CF management and business enterprise development. - Training included both men and women, ranging from 10% to 30% women across different sessions.	Institutional capacity of FA and GDANCP much improved: - Institutional capacity increased to 77.4% (31.5/42) by November 2015, having risen from 12.5/42 baseline to 24/42 at mid-term (Sept. 2014) and subsequently exceeded target of 31/42 [UNDP Capacity Development Scorecard – facilitated by independent evaluator and based on self-assessment by project and government agency staff in each of four provinces]. - Interviews with provincial agencies and observations of their relations with communities during field visits indicate much awareness and application of community forestry policies and practices to address SFM issues for the benefit of environment and people's livelihoods. For example, in Chrok La-eang CPA, close collaboration observed between CF and CPA institutions. - Multi-sector platforms for provincial agencies have enhanced appreciation of respective roles and technical capabilities, quite apart from enhancing coordination and cooperation in project implementation. Such platforms are underpinned by Project Implementation Agreements, signed between line ministries and their provincial agencies, who have benefited from training (of trainers) and inter-agency cooperation to deliver SFM outputs. - Outstanding challenge concerns the consolidation and sustainability of institutional capacity in supporting the implementation of recently completed CF/CPA management and business plans post project, as many CF, CPA, kiln, and stove activities are at too early a stage to be self-sustaining without further coaching and mentoring.

1.2: A supportive legal framework exists for all models of community-based forest management and conservation mentioned in the NFP.	- Project has been compiling lessons learned from ACFM field demonstrations to present to FA and relevant stakeholders at final closing consultative workshop, subsequent to which policies can be incorporated into existing CF regulatory framework. - MoE held national consultative workshop on CPA guidelines on 28 Sept 2015, with participants from national, provincial and community stakeholder groups. MoE confirmed its priority to endorse the CPA guidelines by end of 2015.	- Guidelines are in place for the development of alternative community forest modalities (ACFM), informed by field demonstrations piloted by the project. Government's responsibility to incorporate them within existing regulatory framework for CFs is outstanding. - Guidelines for CPA management and business plans more recently developed, following delays in implementation, and expected to be endorsed by MoE by end of project following recent consultation workshop in September 2015. Further action may be required to incorporate them within new regulatory frameworks after project completion. - Continuing technical support is necessary to consolidate regulatory frameworks to ensure they reflect best practice and lessons from field, and to support application of guidelines.
1.3: Commune land use planning (CLUP) in communes where the project supports CFs and CPAs incorporates improvements in SFM and efficient energy approaches to PLUPs and DLUPs.	- The CLUP training module was revised and updated by including SFM related topics, including WISDOM and SFM strategy and training DLUP team and stakeholders for field implementation. 5 CPAs, 3CFs, 1CCF, 2 PFs and 2 WISDOM integrated in CLUP process.	- Integration of SFM within CLUP processes, facilitated by provincial DLMUPCC and supported by other local government partners, is proving very successful from community management, livelihood and conservation perspectives. Additionally, integration of CFs and CPAs within CLUPs potentially provides wider range of financing opportunities and scope to develop landscape approach for SFM across adjacent communes at district levels. - Provincial government agencies met during TE mission welcomed CLUP and had engaged fully with creation of inter-agency platform to coordinate inputs to CF/CPA management/business plans and their integration with CLUPs. TE evaluators informed that platform had improved coordination and contributed to better informed CLUPs. - Provincial multi-agency platform needs to be institutionalised post-project to maintain coordination and collaboration.
1.4: National Wood Energy Implementation Strategy exists, incorporating private sector modalities	MME/GDE has been reviewing the draft Strategy & Action Plan and incorporating feedback from technical working groups in MME. The Strategy is expected to get approval at ministry level.	<i>Cambodia Wood & Energy Strategy \$ Action Plan</i> drafted in December 2014 and since finalised; it awaits approval from MME. It incorporates much experience gained from piloting/improving cook stoves, palm cook stoves and kilns for charcoal production. project, as well as other initiatives in which GERES has been involved, Private sector involvement is integral to the Strategy. Approval/adoption of the strategy is now with MME. - What is not completely clear from the Executive Summary is the impact of implementing the Action Plan in terms of CO₂ emissions reduction for each intervention. This could be provided in a summary table, alongside the costs of each intervention. It would also be useful to provide a separate table of achievements to date in CO₂ emissions reduction, based on annual production of cook/palm stoves and charcoal form kilns.

<i>Financial strategies in MAFF and MOE to support SFM, including opportunities for REDD and carbon financing for sustained funding to support community-based forestry.</i>	Project has supported policy reform and explored funding opportunities for CFs/CPAs to source income from ecosystem service approaches under development by other partners, such as MME's Wood & Biomass Energy Strategy that prioritizes green charcoal as a priority action. Another opportunity is REDD+ for which a strategy has been drafted and proposals invited from NGOs piloting REDD+ related initiatives.	Currently, no financial strategies have been put in place to support SFM. Little progress has been made during this project as identified opportunities, such as MME's Wood & Biomass Strategy and REDD+, have been in gestation or delayed over several years. They are now coming on stream and, therefore, more relevant to future mainstreaming of SFM as part of the project's exit strategy. According to FA/MAFF, a financial allocation is being considered to support commune-based forest management under the new REDD+ strategy for Cambodia.
<i>Financing generated from other funding sources (banks, green funds, etc.) by EoP.</i>	Project Board advised using the project's own interventions on greenhouse gas emissions reduction from improved cook stoves and charcoal. The SFM GHG ER monitoring report from GERES shows that ER of 30,894 tCO₂ was achieved from the distribution of 143,575 stoves and 17 operational charcoal kilns. Some 58 tons of green charcoals was produced from the 17 operational kilns as of December 2014, providing \$8,000 income.	- The purpose of this and the previous output is to identify and access finance to sustain SFM under community forestry beyond the life of the project. Given the present absence of any carbon trading scheme in Cambodia, these emissions reductions have no market value and, therefore, do not contribute to the future financing of any follow on activities to mainstream the project's successes. - The earnings from charcoal production are interesting but are more appropriately considered under household income generation (e.g. Outputs 2.4 and 2.5).
Outcome 2 - Community-based sustainable forest management is being implemented effectively within a context of cantonment, province, district and commune level planning delivering concrete benefits to local communities.		
2.1: Management and business plans for CFs and CPAs, that provide environmental and financial sustainability and opportunities for business development, are developed, approved and beginning implementation.	- Management and business plans completed for 30 CFs and reached final stage of approval process. - Plans for 4 ACFMs are at advanced stages as follows: Partnership Forest in Battambang reached step 8.7 (management plan); 1 PF and 1 CBPF in Pursat completed step 8.5 (participatory forest inventory); 1 CCF in Kampong Speu completed step 8.6 (inventory extension) and progressed writing of management plan. - Management plans drafted for 11 CPAs and currently under review by MoE.	- Good progress achieved towards target of 30 CFs and 4 ACFMs having management and business plans approved by end of project. - Despite initial delays of MoE in signing up to project, excellent progress towards target of 10 CPAs having management and business plans approved by end of project. Indeed, target will be exceeded by 1 extra CPA plan. - Approvals for CF/CPA management and business plans likely to be secured by end of project. - Key challenge resulting from delays in project implementation is to implement management/business plans in the absence of project financial/technical support. - Limited production options in some target forests, previously identified as a risk, is another challenge.

2.2: FA cantonment and DoE PA offices have worked to develop community-based forest management development plans at the provincial level.	▪ The 4 FA cantonments worked with other development partners to prepare CF management plans. CFO data show that 66 of the 155 CFs in the four target provinces were supported by FAC and various NGOs in 2015 to establish CF management. ▪ In addition to the 11 targeted CPAs in four provinces, DoE/PA in Battambang and Pursat have also supported other CPAs to develop their management plans (CPA data in 2014, DRCPAD).	▪ Target of 4 provinces achieved, FAs having actively supported the drafting of CF management and business plans of CFs. However, there is no evidence of Forest Cantonments in each province having developed community-based forest management plan at provincial levels. ▪ CPA management plans well prepared for Battambang and Pursat provinces. They included inventorying community forest resources and estimating demands of community members on utilization of non-timber forest products. ▪ Lack of funding sources and coordinating mechanism to support implementation of management and business plans after project completion is sustainability risk.
2.3: Commune Land Use Plans (CLUPs) that integrate SFM through CFs/CPAs designed and approved by consensus among the locals government institutions	▪ 4 CLUPs completed, of which 2 approved by provincial governors and two submitted to provincial Land Use Committees for endorsement.	▪ Target of 4 CLUPs incorporating SFM approved by end of project is likely to be achieved. ▪ CLUP is proving to be a vital mechanism for mainstreaming SFM, particularly with respect to incorporating CFs and CPAs within local land use planning processes.
2.4: Households in target forest communities earn income based on the sustainable management of forest resources	▪ 30 CF business plans developed, of which 23 are being implemented and generated income for 989 CF members/623 women. ▪ 11 CPA business development plans drafted, of which 6 are being implemented and generating income for 581 CPA beneficiaries/150 women.	▪ Target of at least 50% of CFs (15) and CPAs (5) providing some level of income to households is exceeded. Level of income and number of households not specified in SRF. ▪ During field mission, TE team noted that approximately 80% of target beneficiaries indicated that they have generated income from the use of NTFPs (e.g. prich leaf, bamboo shoots, honey bees, etc.) and poor quality wood for charcoal production. The contribution of natural resources from target CFs/CPAs to livelihoods varied from non-financial benefits to about 60% of total household incomes.
2.5: Average income of households, and of women, from profitable enterprises based on the sustainable management of forest resources increases in target communities	▪ Assessment of income from forest-based enterprise in target province of Kampong Chhnang shows increase from baseline of US\$ 213/year to US\$ 283/year..	▪ Target of 20% increase in annual incomes of SFM households (2012 baseline is US\$ 213/year) exceeded in Kampong Chhnang Province. ▪ Target of one fifth of households having increased income are headed by women – data currently not available to check against this target. ▪ Observations of TE team are that both men and women have benefited from income generation in target communities. In some areas such as Kiri Iskeo CF in Battambang Province, women may be benefitting from profits of KHR 500,000 to more than KHR 1,000,000 per annum. Each household can generate incomes from 500,000 Riel (1-2 members/household) to 1,000,000 Riel (>2 members/household).
Outcome 3 - Strengthened demand and supply chain for energy efficient cook stoves and end fuels.		

3.1: Increased market share of improved cook stoves and charcoal kilns: numbers	- Total ICS sold: 143,575 units (65,915 units sold per year) - Construction of 17 ECK completed and operational for charcoal production - IPSS: 20 demonstration stoves constructed - PEB recommended that the project should expand construction and distribution of IPSS. As a result, additional 170 stoves under construction.	- Targets of 90,000 ICS by year 3 and 16 ECK constructed have been met and exceeded. - Target of 800 IPSS by year 3 not applied due to contractual misunderstanding with Service Provider. Instead, 20 demonstration IPSS constructed, followed by a further 170. - GERES' contract ended in early 2015 but accompanied TE team to field to see production centres and charcoal kilns – all continuing to operate efficiently and effectively. Thorough training in stove making etc and attainment of quality standards underpins this highly successful initiative. Production of stoves honed to a fine art; maintenance of quality standards needs further institutionalisation; and there is plenty of scope for improving market chains, including emphasis on promoting pro-poor value chain, and widening distribution networks.
3.2: Increased market share of improved cook stoves: percent market share	- ICS market shared is 16.5% (Nationwide Domestic Use of Cooking Fuels and Devices Survey - GERES November 2013), which is up from baseline of 1.7% - Baseline for IPSS is 0.1% market share.	- Target of 17% increased in market share for ICS exceeded twofold (35%). - No market share data for IPSS due to its small penetration of the market.
3.3: Annual CO ₂ emission from stoves and kilns reduced	- Based on SFM GHG ER Monitoring Report, results for annual tCO₂ ER from Jun 2014 to Feb 2015 are: ICS = 19,993 and ECK=623 t CO₂. - Total accumulated CO₂e reduction is 30,894 tCO₂e comprising: ICS= 29,949 tCO₂e; ECK=945 tCO₂e (IPSS N/A due to too few numbers).	- ICS target of 19,800 CO₂e/year achieved (19,993 CO₂e/year) - ECK target of 1,850 CO₂e/year not achieved (623 CO₂e /year)
3.4: Establishment of demonstration palm sugar stoves (PSSs) in one province, Kampong Speu	- Awareness of IPSS raised among 248 participants (65 female) in 20 target villages ; 20 IPSS installed for demonstration purposes in Kampong Speu, - After this successful demonstration, 170 stoves installed in Kampong Speu (140), Pursat (10) and the tourist destination at Siem Reap (15).	- Target of raising awareness of IPSS in 20 villages met. - Target of installing an additional 20 IPSS exceeded by 150 stoves. - TE team noted that sugar palm production is seasonal. However, high value of product makes investment of US\$ 200 in constructing IPSS worthwhile as firewood consumption is reduced by 50-70%. If cost of construction can be further reduced, demand for IPSS will increase.
3.5: Operational improved cook stove production clusters increase	8 production centre clusters fully established (6 clusters in Kampong Chhnang, 1 in K. Speu. and 1 in Pursat) and producing ICS, NKS and NLS stoves.	- Target of additional 8 clusters in year 2 achieved. - Uncertain if a further 6 clusters established in year 3. - Regular monitoring and mentoring of production centres is necessary to ensure that product quality and standards are maintained. This role is being transferred to business association.

3.6: Income of stove producers increases	▪ Average income of stove producer is US\$ 86.53/month (Dec. 2014). ▪ (Re: GERES stove producers' profitability assessment) ▪ As of June 2015, all 45 ICS production unit owners have increasingly employed more local people (up to 180 employees). Based on income analysis of ICS conducted by GERES, the profit margin is about 800 riels (US\$ 0.2) per stove; and the average ICS employee produces at least 30 stoves per day. Thus, earnings amount to US\$ 6 per day but availability of work fluctuates.	▪ Baseline for average income was US\$ 40 per month; end of project target is US\$ 60 per month. It is likely that many employees receive at least this level of income as they can probably secure at least 10 days of work per month. ▪ TE team interviewed a woman who was the head of household and produced new Lao Stove. Informed that cost to produce one stove is KHR 6,500-7,000 and selling price is KHR 8,000. Producer sells some 500 stoves per month mostly to middlemen at a total profit of about KHR 500,000, (US\$ 125 per month). The middlemen sold stoves to distributors at KHR 12,000/stove and the distributors can sell for a price of KHR 15,000-18,000. ▪ Cost of production of Kangrei stove is: 1) materials – KHR 1,250, craftsman – KHR 70-100, and other expenses – KHR2,300. The profit from one stove can be KHR 700. ▪ Most stove production takes around 15 days, depending on the fuel for firing the clay. If producers used firewood, firing takes only one day. Currently there are 70 members of the association. ▪ More consideration should be given to distribute the profits from stove production more equitably by using a pro-poor value chain approach.
3.7: Number of woodlots based on CFMPs and area of woodlots managed for efficient energy by local communities/farmers increases.	▪ 8 woodlots, totalling about 1,700 ha, fully established for supplying of firewood for charcoal production using ICK. ▪ Woodlots for harvesting fuel wood have been established in 17 CFs. They cover 4,902 ha and their management is integral to the management plan. ▪ 602 ha has been established as woodlots in K. Chhnang for supplies of green charcoal and household firewood.	▪ Target of 5 woodlots covering 617 ha has been exceeded. ▪ TE team informed by CF/CPA members that the number of wood lots has been increased due to them understanding the benefits of securing natural resources. Management is efficient and effective due to their adoption of appropriate techniques, such as punning and collecting/harvesting dead wood.

Annex 7: Evaluation of Performance Indicators and Status of Delivery of Project Objective, Outcomes, Outputs

***Status of delivery colour codes:** **Green** / completed – indicator shows successful achievement
Yellow – indicator shows expected completion by the end of the project (or shortly thereafter)
Purple – Indicator show poor achievement - unlikely to be complete by end of Project
Grey – unable to evaluate based on data provided

***Satisfaction rating scale:** Highly Satisfactory, Satisfactory, Moderately Satisfactory, Moderately Unsatisfactory, Unsatisfactory, Highly Unsatisfactory

Strategy	Indicator	Baseline	Target	Status at mid-term (June 2014)*	Status at term end (Nov 2015)*	TE comments	Rating
Objective:							S
Project Objective: To strengthen national SFM policy, integrate community-based sustainable forest management into policy, planning and investment frameworks and create markets for sustainable bio-energy technologies that reduce CO ₂ emissions	No. of a. CFs and b. CPAs around the Cardamom mountain that have completed all legalization requirements to operate as an indirect result of SFM efforts in building capacity and policy approaches in government.	a. 72 CFs have agreement with FA b. 20 CPAs have developed a number of steps under CPA guidelines	a. 125 CFs (53 additional) have agreement with FA by EoP. b. 34 CPAs approved by EoP.	a. By May 2014, based on FA/CF statistics, 137 CFs are being established in Cardamom Mtns area, of which 86 potential CFs are approved by MAFF. Total of 87 CF Agreements signed by FAC up to June 2014. During this reporting period FAC signed 3 CF agreements in Kampong Speu. b. By May 2014, 36 CPAs established, covering 23,823 ha and involving 5,182 households in Phnom Aural and Phnom Samkos Wildlife Sanctuary. progress as following: ▪ 22 CPA regulations signed with GDANCP/MoE ▪ 0 CPA Management Plans endorsed / approved plus CPA agreement signed by GDANCP/MoE. Of total 137 CFs, approval of 15 potential CFs being finalized by MAFF in agreement with FAC. 11 CPA sites supported by SFM to start training-of-trainers in August-September and management planning process in 4th quarter 2014. 3 CPAs supported by FFI.	a. 88 CFs, including 21 target CFs, of all 155 CF in the target provinces had been approved by MAFF (CFO/FA Statistic 2015). The project is continuing to support 13 target sites (9 CFs and 4 ACFM) to get approval from MAFF. b. 25 CPAs (including 11 target CPAs) of all 35 CPAs in the target provinces were recognized by MoE. All 11 target CPA sties have been working on CPA management plan process, which expected to be fully completed by end of the project	Considerable progress made towards achieving targets of 125 CFs and 34 CPAs having completed all legal requirements for their operation but there remains a significant shortfall.	MS
	Deforestation rate reduction in protected forests in Kampong Speu, Kampong Chhnang, Battambang and Pursat provinces.	Trend in deforestation rates for 4 years before start of project in CF/ CPA sites, and in control sites. <u>0.5% according to FA2010</u>	Average deforestation rates in FA and MoE forests are 10% lower than rates in 4 years preceding project.	Final assessment of land cover to be conducted at end of project. Landsat images including FA forest cover assessment 2009/10, 2014/15 will be acquired for the beginning and end dates of the project and a proper remote sensing analysis carried out	Zero deforestation at target sites. Current deforestation rate in target sites is -0.46% per year; national deforestation rate was 0.5% per year (baseline), indicating that there is no deforestation rate in the target sites. However, the deforestation rate in the target provinces is +0.71% per year, which indicates the increase of areas classified as non-forests.	Assessment shows a 1% decline in rate of deforestation at target sites, from 0.5% to -0.5%, which is a positive result. This is well short of the 10% target.	MS
	Land area covered by degraded forest as % of	6.6% [revised]	10% reduction in land covered by	Final assessment of land cover to be conducted at end of project. Landsat images including FA forest cover	0.8% increase in land covered by degraded forest in the target areas.	The 0.8% increase in degradation in target areas	MU

Strategy	Indicator	Baseline	Target	Status at mid-term (June 2014)*	Status at term end (Nov 2015)*	TE comments	Rating
	total forest cover in Kampong Speu, Kampong Chhnang, Battambang and Pursat provinces.		degraded forest relative to total forest cover by EoP. [revised]	assessment 2009/10, 2014/15 will be acquired for the beginning and end dates of the project and a proper remote sensing analysis carried out	Remote Sensing Analysis, RECOFTC, 2014: -Land areas covered degraded forest at: Target site = 7.4% Land areas covered by degraded forest in the target sites had increased from 6.6% (Baseline, FA 2006) to current status of 7.4%; meaning there has been an increase of 0.8% in degraded forest in the target sites of the project; while the project aims to reduce the areas covered by degraded forest of 10%.	is a poor result and merits priority action to understand the field situation. It also highlights the risk of not monitoring of this indicator until end of project, by which time it is too late to take remedial action.	
	Indices of forest resources and condition in target community-managed forests	Inventory of forest resources in CFs and CPAs, undertaken at the start of CF process.	Indices remain at 100% of baseline levels by EoP.	Indices of ecosystem health, diversity and condition in target community-managed forests are identified below, having been included in baseline indicators reported earlier under the average canopy in CPAs=39.8% and in CF areas=38.4% to directly reflect the SFM plans implemented in target sites. These are considered to more accurately reflect project impacts, as follows: - Areas of conservation zone in CF management plans: 1,156 ha in 30 CF (10,800ha) target sites (13 management blocks) - Reforestation/enrichment planting zones in CF management plans is 1,370 ha in 30 CF (10,800ha) target sites (29 management blocks) - Pole & amp; timber management harvesting zones: 2,503 ha in 30 CF (10,800 ha) target sites - Bamboo management and harvesting zones: 616 ha in 30 CF (10,800 ha) target sites - Fuel wood supply (woodlot) zone: 4,912 ha in 30 CF (10,800 ha) target sites - CPAs targeted by project 11,136 ha in 11 CPA sites - CCFs target by project: 2,226 ha in 1 CCF Final assessment of land cover to be conducted at end of project (see above forest cover/degradation indicators).	Result of Forest Inventory in 30 target CFs: - Evergreen Forest: 671 ha divided to 9 CFMP blocks - Semi-Evergreen Forest: 966 ha divided to 5 CFMP blocks - Deciduous Forest: 8106 ha divided to 78 CFMP blocks - Non forested areas & grasslands: 1136 ha divided to 21 CFMP blocks. Result of Forest Inventory in 11 target CPAs: - Evergreen Forest: 372 ha divided to 4 CFMP blocks - Semi-Evergreen Forest: 966 ha divided to 5 CFMP blocks, - Deciduous Forest: 8106 ha divided to 78 CFMP blocks - Non-forested areas & grasslands: 1136 ha divided to 21 CFMP blocks	It is not possible to evaluate this result as the baseline situation has not been presented in a manner that enables comparisons to be made with end of project status.	Data deficient
	Annual greenhouse gas (GHG) emissions reduction (ER) due to adoption of improved cook stoves at the national level.	ER = 0	ER = 61,000t CO ₂ e/year	Based on SFM GHG emission monitoring report by GERES (June 2013 to May 2014), 1,247,357 ICS units sold nationally, corresponding to ER of 678,568 t CO ₂ e. (Based on parameters used in the NLS carbon project validated in 2007 under the VCS standard, the ICS dissemination from June 2013 to May 2014 would have reduced GHG by 496,170 t CO ₂ e/year. However, considering potential changes to the baseline, this value cannot be used for new carbon projects and should be taken cautiously.) Accumulative CO ₂ ER to June 2014 was 1,471,047.31 tCO ₂ e.	The 2014 annual ER from ICS at national level is 690,177 t CO ₂ e (GERES ICS project in Cambodia). At national level, 650,793 units were sold in 2014. Total ICS sold as of Dec 2014 was 1,617,576 units.	690,117 tCO ₂ e/year, based on national sales of 650,784 ICS in 2014 is an outstanding result, well in excess of 61,000 tCO ₂ e/year target (GERES ER Monitoring Report Feb. 2015).	HS

Strategy	Indicator	Baseline	Target	Status at mid-term (June 2014)*	Status at term end (Nov 2015)*	TE comments	Rating
Outcome 1: National capacities and tools exist to facilitate the widespread implementation of sustainable community-based forest management and technologies that reduce demand for fuel wood.							S
1.1 Institutional capacity in FA and GDANCP	Increase in institutional capacity rating in FA and GDANCP, as measured by UNDP capacity development scorecard	12.5/42 (See Project Document Annex 14)	31/42 (See Project Document Annex 14)	The Capacity Development Scorecard rating shows current achievement of 24/42, which represents 62% of EoP target. Progress has been improved with the recent full engagement by MoE and GDANCP.	Scorecard rating increased to 32.5/42 (RECOFTC Final Project Report, 2015).	This is a very good result given the context of delays to start up and full engagement of MoE. See scorecard in Annex 9.	HS
1.2 A supportive legal framework exists for all models of community-based forest management and conservation mentioned in the NFP.	a. Recommendations for amendment of existing guidelines (if needed) in NFP for CF for additional modalities and business enterprise plan. b. Recommendations for guideline documents for CPAs	a. Legal framework for CFs (2006) exists, but they are still lacking for ACFMs, and for business enterprise plan. b. CPA guidelines are in draft form.	a. CF framework amended to include the additional modalities of CF, and business enterprise development. b. CPA guidelines revised with lessons learned from SFM Project	The final draft ACFM concept notes (i.e. Partnership Forest (PF), Community Conservation Forestry (CCF), and Community Based Production Forestry (CBPF) and for Community Forest Business Plan (CFBP). Development planning process endorsed by FA. Concept notes are being used as road maps for trailing ACFMs and establishment of CF business plan in the field. Lessons learnt on ACFMs trailing and CFBP establishment are being documented and incorporated into project progress report and will be incorporated into current MAFF CF guidelines towards end of project.	a. ACFM concept notes (PF, CBPF, CCF) and CF Business Plan drafted and presented to FA and stakeholders. Lessons learned from 4 pilot sites (02 PF, 01 CBPF, 01 CCF) documented by RECOFTC, including specific recommendation to FA to amend existing CF guidance. b. MOE/DRCPAD held 2 sub-national consultation workshops on existing CPA guidelines. Issues raised included roles and benefits of communities from PAs, and self-sustaining finance to continue protection and management of CPA. c. National consultative workshop held in Sept. 2015 by MoE to review CPA MP. The revised CPA MP is officially endorsed by end of project.	Recommendations satisfactorily progressed through consultation process; actual amendments to legislation and guidelines subject to due government processes, which are outside project's control.	S
1.3 Commune land use planning (CLUP) in communes where the project supports CFs and CPAs incorporates improvements in SFM and efficient energy approaches to PLUPs and DLUPs.	CLUP training module reflects SFM and energy by integrating CF and CPA development and sustainability.	Land Use planning by local authorities includes some attention to SFM, but needs more focussed approach.	Improved CLUP training module incorporating SFM and energy approaches established at Provincial and District levels.	Multi-sector institutional capacity building and training in land use planning continues at provincial, district and commune levels under the District Land Use Planning Team (25 participants representing DLMUPCC, DoE, DME, FAC, DoA and local community. Training focused on integrating landscape functioning and people's livelihoods in CLUP, CLUP safeguarding and CLUP report writing. District Land Use Team has lead field training of local communities and facilitated CLUP process at commune level. CLUPs for the four target communes currently subject to public consultation and endorsement by the District State Land Working Group, prior to submission to Provincial State Land Management Committee for final approval.	The issue of SFM and fuel wood energy included in the facilitation process of CLUP development. Existing forests sites as well potential forest areas identified and resulted in the target 5 CPAs, 3CFs, 1CCF and 2 PFs being integrated in CLUP process. Development of commune land used planning, implemented in 4 target communes, almost completed. Provincial DLMUPCC is leading development of CLUP in cooperation with DoA, DoE, FAC, DME and commune council.	Training module target exceeded, with SFM and sustainable livelihood approaches incorporated into CLUP process.	HS
1.4 National Wood Energy Implementation Strategy exists, incorporating private sector modalities	Wood & Biomass Energy Strategy drafted.	Wood & Biomass Energy Strategy updated database in formulation and approved for implementation.	Wood & Biomass Energy Strategy developed to the point of approval.	Finalization of Strategy delayed: ad hoc Inter-Ministerial Working Group reactivated by MME to coordinate its finalization. Wood Energy Working Group (WEWG) recommended: further review and evaluation of data and databases available in various authorities, identifying how to rationalize and unify them; review past and on-going activities on wood energy and the impact of wood energy	Two-day national consultation workshop conducted with relevant stakeholders. MME/General Department of Energy currently reviewing draft Wood & Biomass Energy Strategy based on feedback from workshop.	Satisfactory progress: it is expected that the Cambodia Wood and Biomass Energy Strategy & Action Plan will be approved within time frame of project, or shortly thereafter.	S

Strategy	Indicator	Baseline	Target	Status at mid-term (June 2014)*	Status at term end (Nov 2015)*	TE comments	Rating
				on the environment, including garments, brickworks, rice milks and rubber processing, agri-business and cottage industries; estimate present consumption and forecast trends in supply and demand and their impact on the environment and wood and biomass residue energy-supply-costs; evaluate the potential for efficiency improvement in the wood and biomass residues energy sub-sectors and evaluate the economic and social feasibility and contribution that can be made long term by environmentally sustainable wood-energy-supplies, such as energy plantations and community forestry. Work plan discussed and agreed by GDE/MME in order to address above concerns and finalize the strategy.			
Financial strategies in MAFF and MoE to support SFM, including opportunities for REDD and carbon financing for sustained funding to support community-based forestry	REDD and carbon finance strategies by Year 4	0	X Qtr Year 4	No progress - limited expertise in Cambodia on REDD+ affected attempts to generate money from the REDD+ and carbon credits. It is impractical to earn from carbon credits or REDD+ without having policy and institutional set ups. A multi-donor funded project (FCPF REDD+), in which UNDP is a partner and FA is implementing agency, is planned to develop policy and make institutional arrangements, enhance capacity and develop fund sharing mechanism. Only then will it be possible to generate carbon funding to help sustain community forests. Project Board recommended an Assessment of Existing Fund Mechanisms, which was translated and shared with relevant institutions for comments. The study proposed 4 options: 1) Multi-donor REDD+ trust fund, 2) Government-administered National REDD+ fund, 3) REDD+ sub-fund under National Climate. Summary findings presented at 5 th Taskforce meeting and at which refinement of a proposal for REDD+ funding endorsed. Concept notes for a National REDD+ Fund proposal and ToR for national consultant developed. UNDP global and regional advisors are providing technical assistance.	Project has supported: policy reform and explored funding opportunities for CPAs to secure income from provision of eco-system services through partnering with other development partners; and supported update of Wood and Biomass Energy Strategy, with the promotion of green charcoal under the SFM project as one of the priority actions in the WBES. Activity has limited relevance to present project, but has been picked up by FCPF project under which REDD+ strategy has been drafted and revised following consultation meetings with stakeholders, including relevant government institutions and NGOs. Project has called for proposals from NGO piloting the REDD+ related initiatives.	Inadequate attention and priority given at outset of project to scope REDD+ and carbon financing in order that strategies might be in place by Year 4 to help secure long-term sustainability of SFM. Some significant progress achieved latterly through supporting development of REDD+ strategy.	MU
Financing generated from other funding sources (banks, green funds, etc.) by EoP	Amount generated across target sites.	Near zero	\$500,000	No progress – has proved impracticable to generate financing from other funding sources, such as REDD+ and voluntary carbon agreements, Payments for Ecosystem Services, eco-tourism and more conventional finance mechanisms, such as micro-finance and private sector investment. On the recommendation of Project management and Project Board, an in-house account of carbon saved from production and marketing of ICS and improved charcoal, plus an equivalent amount of carbon credits for the voluntary market generated from saved ICS and improved charcoal produced under SFM project was produced. Total GHG ER amounted 10,137 tCO ₂ e from	Approximately US\$8,000 earned from production of 58 tons green charcoal as of Dec 2014. Project Board recommended using GHG emission reduction data from ICS and charcoal production by SFM project. GERES reported GHG ER totalled 30,894 tCO ₂ from dissemination of 143,575 stoves (29,949 tCO ₂) and 58 tons green charcoal from 17 operational ICKs (945 tCO ₂).	Delayed preparation and approval of CF/CPA business plans limited chances to source new funds. Annual income from green charcoal sales was about US\$ 8,000. Potential annual income from ER by using ICS and green charcoal estimated at \$ 155,000 – 250,000 once	U

Strategy	Indicator	Baseline	Target	Status at mid-term (June 2014)*	Status at term end (Nov 2015)*	TE comments	Rating
				74,345 ICS and 72 tCO ₂ e from 17 Improved Charcoal Kilns up to 31 May 2014.		Carbon Market established in Cambodia (GERES, Nov. 2015 report).	
Outcome 2: Community-based sustainable forest management is being implemented effectively within a context of cantonment, province, district and commune level planning delivering concrete benefits to local communities							S
2.1 Management and business plans for CFs and CPAs, that provide environmental and financial sustainability and opportunities for business development, are developed, approved and beginning implementation.	No. of CPAs with management plans and business plans that have passed final stage of approval process and are being implemented. [Revised]	0 CPAs	10 CPAs have passed the final stage of approval process by EoP	CPA management planning process started after CPA orientation and kick start. CPA activities lead by GDANCP/MoE. Implementation structure, including focal persons at both national and sub-national level, identified and appointed, Target project CPA sites and work planning reviewed and endorsed.	All 11 CPA completed draft CPA management plans and are now under review by MoE.	Satisfactory progress: it is expected that CPA management and business plans will be approved within time frame of project, or shortly thereafter.	S
	Number of CFs with management and business plans that have passed final stage of approval process and are being implemented. [Revised]	0 CFs	a. 34 CFAs (including 30 CFs and 4 ACFMs) have passed the final stage of approval process by EoP. [Revised]	CF management planning comprises 8 steps (MAFF Prakas on Community Forestry, 2006): All 30 CFs progressed to step 7 (management planning process). Different management blocks already demarcated and participatory forest inventorying conducted and data analysed. Management plans drafted for all 30 CF sites and are being submitted to FAC for final review and approval.	All 30 target CFs reached final stage of management plan approval process and are being implemented. 4 ACFM progressed to step 8 (CF inventory). The 30 draft CF management plans carefully reviewed by FA technical team, including: proposed annual activity plan, objective of management blocks, result of forest inventory, level of demand and supply of forest resources by local people, to ensure proper management of forest resources. To date, 22 CFs have stated collection of forest resources, in particular NFTP, in accordance with management/business plans. 22 FAC officers who attended TOT training supported SFM staff to facilitate CF/ACFM management /business planning/ implementation. 10 DoE WS officers who attended TOT training supported SFM staff to facilitate 11 CPA management/ business plans.	Satisfactory progress: it is expected that CF and ACFM management and business plans will be approved within time frame of project, or shortly thereafter.	
2.2 FA cantonment and DoE PA offices have worked to develop community-based forest	No. of FA cantonment and DoE provincial PA offices that have community-based forest management development plans by	0 provinces.	4 provinces.	CF/CPA management planning are being provided to 4 FA cantonment and 4 MoE PA offices. Under the SFM project support, each FAC and MoE PA office of 4 target provinces currently continue to support development of 30 CF and 11 CPA management plans and 4 CLUP respectively as	Besides target CFs, all 4 FACs had worked with other development partners to establish CF management plans. CFO data (2015) show that 66 of the 155 CFs in 4 target provinces have been supported by	Very good progress, with evidence of some mainstreaming within provinces: 4 FACs and DoE PA offices in 4 provinces	HS

Strategy	Indicator	Baseline	Target	Status at mid-term (June 2014)*	Status at term end (Nov 2015)*	TE comments	Rating
management development plans at the provincial level.	EoP.			follows: 4 FA Cantonment offices continue working with communities to develop CF management plans. Currently, 30 CF sites are at the final stage of their approval from FAC.	FAC and NGOs to establish the CF management plans. In addition to the 11 target CPAs in 4 provinces, DoE /PA in Battambang and Pursat have also supported other CPAs to develop management plans (CPA data in 2014, DRCPAD).	produced community-based forest management development plans beyond their respective targets of 11 CPA and 30 CF plans.	
2.3 Commune Land Use Plans (CLUPs) that integrate SFM through CFs/CPAs designed and approved by consensus among the locals government institutions	No. of locally commune-based land use plan (CLUP) for SFM based on CF/CPA developed	0	4 CLUPs by EoP	CLUP process comprises 11 steps, defined by Sub-Decree on Procedure of Commune/Sangkat Land Use Planning (2009) and Commune/Sangkat Land Use Planning Guidelines (2010). CLUP has been progressed to completion of step 8: final draft CLUPs for Takreum (Battambang Province), Kbal Teouk, (Kampong Province), Samraong, (Pursat Province) and Tasal (Kampong Spue Province) communes have been endorsed by District State Land Working Group and are out for public consultation, prior to submission to Provincial State Land Management Committee (step 9) for final approval in Q.3 2014.	4 CLUPs for SFM finalised, of which 2 are approved by provincial governors and the other 2 have been submitted to the provincial State Land Use Committee. Existing forests sties as well potential forest areas have been identified and included in the CLUPs. Thus, the target 5 CPAs, 3CFs, 1CCF, 2 PFs and 2 WISDOMs integrated into CLUP process.	Very good progress, with target of 4 CLUPs met within time frame of project, or possibly shortly thereafter in the case of 2 approvals outstanding in November 2015. Vey positive feedback on inclusion of community forests within CLUP from Commune Chief.	HS
2.4 Households in target forest communities earn income based on the sustainable management of forest resources	No. of CFs and CPAs with households that experience increased income from forest enterprises	0 CFs 0 CPAs	At least 50% of CFs (15) and CPAs (5)	738 households in 21 CFs have piloted income generation from value chain, including fuel wood, bamboo, mushrooms, wild vegetables, traditional medicines. The formal assessment of income from forest based business to be conducted at EoP.	[Evaluators: 1,192 CF members benefitted from implementation of 17 CF business development plans by June 2015. Source: RECOFTC, May-June Quarterly Report]	Status in Nov. 2015 not provided by PMU. Evidence provided at mid-term indicates satisfactory progress for CFs and no progress with CPAs.	MS
2.5 Average income of households, and of women, from profitable enterprises based on the sustainable management of forest resources increases in target communities	% increase in average annual income from SFM of households in target forest communities [Revised]	Income derived from SFM by target households before implementation of the business plan [Revised] 2012: US\$ 213/yr	Increase in average annual income by 20% from the baseline level by EoP. [Revised]	Collection of field data has been on-going in all target CF sites where the CF business plans have been implemented. Assessment will be prepared by external consultant by end of Oct 2015.	Annual income from forest-based enterprise in target province (Kampong Chhnang) increased from: US\$ 213 (2012) to US\$ 283 (2014). Business plans completed for all 30 CFs and 11 CPAs and in various stages of implementation, resulting in 2,117 households (29% respondents) benefitting from IGAs based on forest resources, such as fuel wood, bamboo, mushrooms, wild vegetables, red ants and traditional medicines. This represents an increase in number of partially forest dependent households since onset of project.	33% increase in annual income of SFM households (from US\$ 213 in 2012 to US\$ 283 in 2014) in target province exceeds 20% target for Kampong Chhnang (target province).	S
	% increase in average annual income from SFM of women in target forest communities [Revised]	Income derived from SFM by target women before implementation of business plan is US\$ 56/month for female	20% increase in relation to baseline. 20% households with increased income are women-headed. Targets in	Collection of field data has been on-going in all target CF sites where the CF business plans have been implemented. Assessment will be prepared by external consultant by end of Oct 2015.	Analysis of 2,117 households (29% respondents) shows: US\$ income/month: Female Household Head: 11.12 Female non-Household Head: 94.58 Female average: 52.84	US\$ 74.4/month target exceeded for non-household females but has decreased well below US\$ 56 baseline for female head of households. While this	

Strategy	Indicator	Baseline	Target	Status at mid-term (June 2014)*	Status at term end (Nov 2015)*	TE comments	Rating
		non-household head and US\$ 62/month for female household head. Female average is US\$ 60.5 [Revised]	US\$ income/month: Female HHh: 67.2 Female non-HHh: 74.4 Female (mean): 70.8		(Final Report, RECOFTC, Dec. 2015)	suggests that female HH heads may find it more difficult to engage in IGAs due to commitments as HH head, this does not explain actual decline, which needs priority investigation to inform future interventions.	
Outcome 3: Strengthened demand and supply chain for energy efficient cook stoves and end fuels							S
3.1 Increased market share of improved cookstoves and charcoal kilns: Numbers	No. units sold/ established: - Improved cookstoves (ICS) - Palm Sugar Stove (PSS) - Efficient charcoal kilns (ECK)	No. units: - ICS: 30,000 - PSS: 20 - ECK: 3	No. units: - ICS: additional 90,000 yr3 - PSS: additional 800 yr3 - ECK: additional 16 yr3	- NKS and NLS: Since the project started total of 75,611 ICS units produced, of which 74,345 ICS units sold. In this reporting period additional 63,245 ICS units have been produced of which 65,290 (99 %) have been sold in the markets. Monthly ICS production has sharply increased to 10,142 units, exceeding project target of 7,500 units per month. 46 production units are fully operated of which 33 units run by women. Total of 98 (60 women) craftsmen employed in these units. Women predominately responsible for assembling stoves while men performed clay mixing tasks. - Efficient charcoal kilns: Since the project started total of 17 ECKs disseminated across four target provinces. In this reporting period additional 14 efficient charcoal kilns disseminated. - Palm Sugar Stove: Slower progress with Improved PSS due to nature and small size of the market being difficult to penetrate, and technological design still not settled. A plan to re-focus efforts on one province approved by Project Board. Awareness raised, trained 20 IPSS installers, constructed IPSS 20 showcases in 20 villages.	- ICS: 65,915 units sold annually - ICS: 143,575 units sold in total - 17 ECK constructed - Improved PSS: 20 demonstration stoves constructed; and 170 extra stoves are being constructed and distributed based on Project Board's recommendation.	Good progress in line with or exceeding targets, with the exception of PSS. Initial misunderstanding between contractor and service provider re: target of 800 PSS resolved and revised target of 170 additional PSS agreed post MTR. This target is still in process of being met.	S
3.2 Increased market share of improved cookstoves: percent market share.	% market share: ICS (NKS) PSS	% market share: ICS - 1.7% PSS - 0.1%	% increase in market share: ICS - 17% PSS - 4%	- Current ICS market share is 16.5% (Nationwide Domestic Use of Cooking Fuels and Devices: Baseline Survey, GERES November 2013).	- ICS: 35% increase in market share (GERES Final Report, 20.11. 2015) - PSS: Data not worth collecting available due to project's very small penetration of PSS into the market.	Very good penetration of market by ICS, double the 17% target. Further assessment of markets and design of the product is necessary for PSS before investing/ mainstreaming further.	S
3.3 Annual CO ₂ emission from stoves and kilns reduced	Annual CO ₂ emission reduction (tons) - ICS - PSS - ECK	- ICS = 0 tCO ₂ e/year - PSS = 0 tCO ₂ e/year - ECK = 0 tCO ₂ e/year	- ICS = 19,800 tCO ₂ e/year - PSS = 48 tCO ₂ e/year - ECK = 1,850 tCO ₂ e/year	Based on SFM GHG ER monitoring report (GERES, June 2013 – May 2014): Total GHG ER to end May 2014 from 74,345 ICS units sold: 10,137 tCO ₂ e Total ER to end May 2014 from 15 ECKs in operation: 72 tCO ₂ e	Based on SFM GHG ER Final Report (GERES, 20.11.2015): ICS = 29,949 tCO ₂ e/year PSS = not measured ECK = 945 tCO ₂ e/year	Good progress with ICS, exceeding annual target by 30%. Only 50% of annual target with ECKs but this will improve as new woodlots grow.	S

Strategy	Indicator	Baseline	Target	Status at mid-term (June 2014)*	Status at term end (Nov 2015)*	TE comments	Rating
3.4 Establishment of demonstration palm sugar stoves (PSSs) in one province, Kampong Speu	a. No. of villages where awareness raised b. No. of improved PSSs established.	a. 0 b. 0	a. 20 b. Additional 20 by year 3.	Awareness raising campaign on advantages of IPSS completed in 6 of target 20 target villages. 98 villagers (23 women) participated in campaign.	a. IPSS awareness raising conducted in 20 target villages involving 248 (65 F) participants. b. 20 demonstration IPSS installed	Satisfactory progress, in line with targets.	S
3.5 Operational improved cook stove production clusters increase	No. of operational ICS production clusters	25 clusters	8 additional in year 2, 6 additional in year 3	8 clusters fully established (6 clusters in KCH, one in KSP, and one in PST) and operational for ICS (including NKS and NLS stoves).	8 ICS clusters, comprising 45 cook stove producers (including IC, S NKS and NLS), established and operational (6 clusters in KCH, 1 in KSP and 1 in PST). Main ICS production is in Kampong Chhnang where producers, distributors, are at Kampong Chhnang. ICS production plan of each producer developed and regularly monitored to ensure production is achievable.	Satisfactory progress in line with targets. Exceed plan Regular monitoring and coaching needs to be maintained in each cluster, given future absence of GERES, to ensure quality of common clay mix and stoves.	S
3.6 Income of stove producers increases	Average income of stove producers	US\$40/month	US\$60/month by EoP	Current ICS production capacity ranges from 300 to 1,000 units per ICS Business Production Unit Owner (ICSPBUO). SFM trained and supported 45 ICSPBUOs. Total net revenue ranged from US\$ 60 to US\$ 200/month per ICSPBUO.	Average income of stove producer is US\$ 86.53/month. Income margin is c. 800 riels (\$0.2) per stove; each ICS employee produces at least 30 stoves per day (Stove Producers Profitability Assessment, GERES Dec. 2014). As of June 2015, all 45 ICSPBUOs have increasingly employed more local people (up to 180 employees).	Excellent progress, US\$ 60 target for stove producer's income exceeded by 44%.	HS
3.7 Number of woodlots based on CFMPs and area of woodlots managed for efficient energy by local communities/farmers increases.	a. Total number of woodlots integrated with CF management/ business plans and Charcoal Kiln business plans for fuel wood supply and green charcoal. b. Area of woodlots managed for wood energy.	a. 1 (Tram Kak CF) b. 0	a. 5 woodlots b. 617ha	a. 7 of 8 woodlots, covering about 1,700 ha, fully established to supply firewood for charcoal kiln. 17 CFs established woodlots for fuel wood harvesting; cover 4,902 ha and integrated in management plan. b. 602 ha established as woodlots in KCH to fuel wood supply for green charcoal.	a. 8 Woodlot areas, covering about 1,700 ha, established to supply firewood for charcoal kiln. 7 CFs established woodlots for fuel wood harvesting; cover 4,902 ha; integral to management plan. b. 602 ha were established as woodlots in KCH to fuel wood supply for green charcoal	Good progress in line with or exceeding targets for number and area of woodlots.	S

* Information on status at mid-term and end of term provided by PMU.

Annex 8:

Evaluation Questions Matrix

EVALUATION CRITERIA / SUB-CRITERIA	MAIN QUESTIONS TO BE ADDRESSED BY THE EVALUATION	WHAT TO LOOK FOR (INDICATORS)	DATA SOURCES	DATA COLLECTION METHODS
RELEVANCE TO GLOBAL, NATIONAL AND LOCAL ENVIRONMENT AND SUSTAINABLE DEVELOPMENT PRIORITIES				
1. Alignment of project with GEF global priorities	Is the project in line with the GEF Operational Programme (Sustainable Land Management) and its strategic priorities/ focal area?	Degree of alignment between project outputs and the relevant GEF strategic objectives	- Relevant documents - UNDP-GEF RTA	- Review documents - Consult with RTA
2. Project design (SRF) addresses identified threats and barriers	How does the project reflect the needs of Cambodia at national and local (commune and community) levels?	Project design in response to identified threats and barriers clearly reflected in SRF	- Relevant documents, including Project Document and policy provisions (lack of) for community engagement in forest and PAs management. - Stakeholders, including project partners	- Review documents - Consult with Project Board members and other stakeholders
EFFECTIVENESS – EXTENT TOWARDS ACHIEVING PROJECT OUTCOMES AND OBJECTIVE, AND OVERALL IMPACT IN REDUCING ENVIRONMENTAL STRESS AND/OR IMPROVING ECOLOGICAL STATUS				
3. Progress towards achievement of Objective, Outcomes and significance of impact	- To what extent did implementation of project activities meet the planned outcomes and objective? - What is (likely to be) impact of project on ecological status of biodiversity (and sustainable livelihoods)	- Extent of achievement of targets specified in SRF in accordance with SMART indicators - Results (quantitative and qualitative) of pilot studies and individual HH case studies	- PIRs - Service Providers' annual reports - MTR and Management Responses - Beneficiaries: line ministries, communities - UNDP Capacity Development scorecard	- Review documents - Consultations in the full range of stakeholders (Project Board, line ministries and their provincial agencies, communes, CF and CPA committee members, other villagers)
EFFICIENCY OF IMPLEMENTATION, IN LINE WITH INTERNATIONAL AND NATIONAL NORMS AND STANDARDS				
4. Execution efficiency	- To what extent has the EA enabled the project to meet its SRF targets on time and within budget. - What have been the key challenges to efficient execution and to what extent have these been addressed through adaptive management?	- Project extensions, cost over-runs - Risk management strategy - Accountability and ownership among partners	- Project Board minutes - UNDP Capacity Development scorecard - Other sources as listed below for IA	- Review documents - Consultations with Project Board (includes UNDP)
5. Implementation efficiency	- To what extent has the IA implemented the project in line with the annual work plan and met its SRF targets on time and within budget. - What have been the key challenges to efficient implementation and to what extent have these been addressed through adaptive management? - How have risks been avoided or mitigated?	- Annual work plan - Rate of disbursement and liquidation of project funds - Timeliness of procurement; capacity and commitment of service providers - Coordinating mechanisms at national and provincial levels	- ProDoc, PIRs, Annual Work Plans - UNDP CO, PMU, FA - Service providers - UNDP/GEF RTA	- Review documents - Consultations with PMU, UNDP project advisors, FA, service providers, RTA
SUSTAINABILITY – LIKELIHOOD OF FINANCIAL, INSTITUTIONAL, SOCIO-ECONOMIC AND/OR ENVIRONMENTAL RISKS TO SUSTAINING LONG-TERM PROJECT BENEFITS				
6. Design for	Were interventions designed to have sustainable	Sustainability Plan/Exit Strategy	ProDoc and project design (SRF)	Review documents

EVALUATION CRITERIA / SUB-CRITERIA	MAIN QUESTIONS TO BE ADDRESSED BY THE EVALUATION	WHAT TO LOOK FOR (INDICATORS)	DATA SOURCES	DATA COLLECTION METHODS
Sustainability	results that take into account identifiable risks, and did they include an exit strategy?	• SRF and changes arising from MTR • Examples of adaptive management • Arrangements in place for the transition	• PIRs • MTR • Project Board, PMU • Service providers • Prospective heirs	
7. Issues at implementation and corrective measures	• What issues emerged during implementation as threats to sustainability and how were they addressed?			• Review documents • Consultations with Project Board, Project Manager, PMU, service providers, RTA, 'inheriting' parties
8. Sustainability strategy	• Have heirs to the project been identified and prepared?			

Annex 9:

SFM Development Capacity Scorecard

Performance of the capacity building provided by RECOFTC to government partners under the SFM project was assessed by an external evaluator at the end in the penultimate month of implementation. The same UNDP scorecard for SFM capacity development, with criteria for 14 Strategic Areas of Support, was used as at onset of the project and at mid-term. The assessment was carried out in a participatory manner, whereby subnational and project staff in each of the four provinces undertook a self-assessment facilitated by the consultant. The overall score for the four provinces was derived from the average of the scores generated in the self-assessment, by the Service Provider, and the External Evaluator. The results of the assessment are provided in the table below, together with the baseline (initial) and mid-term scores for comparison. Further details can be found in the report³⁸.

Strategic Area of Support	Target for Cap. Dev.	Outcomes	Expected Outputs	Program Activities	Outcome Indicators (Scorecard)	Evaluation Score				Evaluation Comments
						Initial	Target	MTR	Final	
1. MAFF oversight & support to SFM	Systemic	Time spent on vetting and endorsing CF applications less than 4 months	New regulations for MAFF procedures	Support through NFP Action Plan to create change in procedures	0-There is a general lack of planning and management skills; 1-Some skills exist but in largely insufficient quantities to guarantee effective initiation; 2-Necessary skills available but bureaucratic hurdles many; 3-Adequate quantities of the full range of skills necessary available	1	3	2	2	Achievement from Target: 67% MTR: Improvements and training have taken place at provincial and national level but procedures for approval of CF applications do not appear to have been developed significantly; no CFs have passed final approval stage yet. Final: - Although there are some few shortcomings in terms of bureaucratic processes, there is generally a marked changes in terms of support to the NFP Action Plan. - There is generally a strong support from the MAFF to SFM.
2. Protocols for transparency	Systemic	Efficient communication strategies with policy makers, NGOs and local forest managers and communities	Communication strategies	Support through NFP Action Plan to change procedures	0-There is a general lack of management skills; 1-Some skills exist but in largely insufficient quantities to guarantee effective initiation; 2-Necessary skills available but bureaucratic hurdles many; 3-Adequate quantities of the full range of skills necessary available	1	2	1.5	2.5	Achievement: 125% MTR: FA has some experience in communicating to the public, but communication with local communities still appears top-down, with limited participatory feedback producing change; there is no evidence of a formal communication strategy Final: - While the protocols specific to NFP is not explicit, existing government procurement procedure is in place and is being adhered. - There is also a marked changes in terms of accessing information (ELCs, policies, program implementation through inception meetings, etc.). There are still, however, sensitive information that are not readily accessible to the public, especially those involving sensitive issues.
3. Definition of roles	Institutional	Institutional	Description of, in	On the job training	0-There is a general lack of job	1	2	1.5	3	Achievement: 150%

³⁸ Edward V. Maningo (November 2015), Impact Assessment of the Project: Strengthening Sustainable Forest Management and Bio-Energy Markets to Promote Environmental Sustainability and to Reduce Greenhouse Gas Emissions in Cambodia: The SFM Development Capacity Scorecard. RECOFTC, Phnom Penh

Strategic Area of Support	Target for Cap. Dev.	Outcomes	Expected Outputs	Program Activities	Outcome Indicators (Scorecard)	Evaluation Score				Evaluation Comments
						Initial	Target	MTR	Final	
& responsibilities for central & local staff		reforms with clear job descriptions	particular, roles & responsibilities of cantonment and division level staff for decentralized forest management	of local staff	descriptions 1-Some description exist 2-Descriptions available but bureaucratic hurdles to adopt the roles 3-Adequate description of full range of skills necessary					MTR: There has been some progress in job descriptions but there remains room for improvement. Final: - There is a marked improvement on the roles and responsibilities among the staff. - MoUs, designations and roles and responsibilities are being signed and issued to personnel involved in any tasks. - There is also a continuous upgrading of the skills of the staff. Several staff were sent to trainings overseas to acquire skills on SFM.
4. Inclusion of MoE in the FA controlled TWG-F/E	Institutional	Both FA & GDANCP participate regularly in TWG meetings	Shared strategies on SFM by MoE & FA	Project management located at TWG secretariat to facilitate MoE participation addressing constraints	0-There is a general lack of MoE attendance; 1-Some attendance exists; 2-Attendance semi-regular; 3-Attendance full online with FA & MoE contributions to TWG Action Plans	0	2	2	3	Achievement MTR: MoE relations with FA and TWG significantly improved, with MoE participation established at local levels and beginning at central/ senior levels. Final: - The reorganization of the MoE paved way for the improvement of the MoE participation in the regular TWG-FR meetings. There was also a close collaboration between MoE and FA that has resulted to the implementation of CPA. - There is annual CPA network meeting where there is a strong cooperation in the field between the FAC, DoE and Local Authority to complete work plan.
5. FA capacity to engage and build consensus among all stakeholders for decentralized forest management	Institutional	FA & relevant MoE department show political will to give mandate to cantonments & department	Political will transformed into action and operational initiatives	- Awareness raising of decision makers - Building provincial coordinating body - Learning by doing	0-There is no political will at all, or worse, the prevailing political will runs counter to the interests of SFM; 1-Some political will exists, but is not strong enough to make a difference; 2-Reasonable political will exists, but is not always strong enough to fully support SFM, 3-There are very high levels of political will to support SFM	1	3	2	2.5	Achievement: 83% MTR: The level of awareness has increased compared to the past and some political will is exhibited in their action. Final: - There is a general involvement of the other sectors in project implementations. Project Steering Committees are created to guide and oversee the implementation of various projects. - Despite providing support to the Subnational Levels, there are still limited deconcentration of authorities to the Subnational Offices. Monitoring on the ELCs are largely done at the central level especially on deciding sensitive issues. - There is an initial involvement of the local authorities in terms of managing the natural resources through Partnership Forestry and CLUP. This is still too early to evaluate since their engagement is largely project driven. It remains to be seen how the Communes sustain the PF after the phase-out of the project. There are indications, however, that the Communes have limited capacity. A District-level engagement may be feasible and needs to be tested. - Technical review of CFMPs mostly rests at the Central Level. Capacity building of the FACs on review of CFMPs are still needed.
6. Capacity building & awareness	Institutional	SFM inter-ministerial bodies	Alliances with other ministries'	SFM project staff works closely with	0-SFM institutions operate in isolation;	0	2	2	3	Achievement: 150%

Strategic Area of Support	Target for Cap. Dev.	Outcomes	Expected Outputs	Program Activities	Outcome Indicators (Scorecard)	Evaluation Score				Evaluation Comments
						Initial	Target	MTR	Final	
raising of provincial/ cantonment & district line agencies		at provincial level establish partnerships needed to achieve the objectives of SFM	provincial department, PA staff, NGOs & communities	cantonment staff & other line agencies of province using existing training manuals as well as learning through doing	1-Some partnerships in place but significant gaps and existing partnerships achieve little; 2-Many partnerships in place with a wide range of agencies, NGOs etc., but there are some gaps, partnerships are not always effective and do not always enable efficient achievement of objectives; 3-SFM institutions establish effective partnerships with other agencies and institutions, including provincial and local governments, NGOs and the private sector to enable achievement of objectives in an efficient and effective manner					MTR: Monthly coordination meetings of all relevant ministerial bodies, together with both Service Providers. have taken place at provincial level since January 2014. Final: - There is a strong collaboration at the provincial level. In the SFM area, there is a regular meeting among the provincial Line Departments. The coordinating committee is initiated by the office of the Provincial Governor - At the Project Level, the SFM has mustered the support among the different agencies. MOUs had been signed and is being adhered among the key players.
7. Capacity to monitor, evaluate, report & learn	Individual	Individuals carry appropriate values, integrity & attitudes towards learning	Reporting from cantonment level highlight lessons of importance for policy level & scaling up the approach	Responsible actors made aware of the importance of BD & PAs	0-Individuals carry negative attitude; 1-Some individuals have notion of appropriate attitudes and display integrity, but most don't; 2-Many individuals carry appropriate values & integrity, but not all; 3-Individuals carry appropriate values, integrity and attitude	1	2	1.5	3	Achievement: 150% MTR: Capacity improved but need more awareness effort needed. Final: - There are consideration of monitoring at the national level, especially on the carbon stocks and forest status. The staffs were sent for training overseas to enrich their skills. - The subnational staffs are also aware of their duty to learn and to conduct monitoring.
8. FA [& MoE] capacity to mobilize information and knowledge	Institutional	FA cantonments & divisions have the information needed to do their work	Available information on rules & approaches & modalities for SFM [& WS/NP] utilized and applied	Cantonments can make their own management plans for SFM in their jurisdiction	0-Information is virtually lacking; 1-Some information exists, but is of poor quality and of limited usefulness and difficult to access; 2-Much information is readily available, mostly of good quality, but there remain large gaps due to distance & communication; 3-Adequate qualities of high quality up to date information for protected area planning, management & monitoring is widely & easily available	2	3	2.5	2	Achievement: 67% MTR: Capacity improved compared to past; some support from Service Providers still needed. Final: - There are still limited information at the field that can be packaged to come up with an integrated plans at the landscape. - Except of K. Speu (under the Kandal FAC), a ultimate management plan at the landscape level is still lacking. Formulation of the Management Plans will largely depend on the external assistance. - Accordingly, some of the information on sensitive issues cannot be easily disclosed to the public and difficult to access. For example, the current ongoing land titling program are not readily available. Most of the information, like the ELCs and other sensitive information, that are posted in public by NGOs/ODC, are not updated.

Strategic Area of Support	Target for Cap. Dev.	Outcomes	Expected Outputs	Program Activities	Outcome Indicators (Scorecard)	Evaluation Score				Evaluation Comments
						Initial	Target	MTR	Final	
9. CFO & cantonment capacity to carry CF forward in more cantonments & integrate these in a landscape approach that features neighboring CPAs	Institutional	Cantonments have enhanced regular contact with MoE PAs	Provincial level forest land use & land management plans exist within a landscape approach that includes CPAs covering KS, KChh & Pursat provinces conceptually & operationally in a land use plan	Identify & support cantonments/'DoE's CF/CPA establishment to develop management plans	0-inter-ministerial interaction virtually lacking; 1-Some interaction exists, but is of poor quality and of limited usefulness 2-Much interaction takes place, but there remain large gaps due to distance & communication; 3-Adequate interaction of high quality up to date information for CF & protected area planning, management & monitoring is widely & easily available	1	2	1.5	1.5	Achievement: 75% MTR: Work on CF/CPA establishment process initiated across target areas in February 2014; progress is gaining momentum but still at an early stage. Final: - There is collaboration between the key players in implementing a Land Use Plan at the Commune level. However, there is lacking modality in integrating the various plans at the landscape level. There is still a limited understanding on the planning at the landscape level. There are several initiatives that has been launched by the other projects such as the APFNet and ADB-funded Watershed level landscape planning. - The formulation of the CLUP is also not well-understood among the Commune Council. These has been relegated to the District Land Use plan. This situation may limit the utility value of the Commune Land Use Plans, especially on decision-making (e.g. where to locate the ELCs, CBFMs, roads, settlements/land titling/ land concessions, etc.). - The National Park where the SFM was situated has no zoning or land use plan. This include the adjoining Wildlife Sanctuaries. Under this situation, there is difficulty in locating the development projects.
10. CFO/ cantonments' capacity to engage with local authorities	Institutional	Commune councils undertake commune land use planning without explicit focus on options for CF. Cantonment mainly to point out State Public Land forming part of the PFE	4 Commune land use plans include attention to both CF & CPA that fall within the commune's boundaries	FA Division staff & PA staff with the SFM project TA collaborate with local commune councils in integrating SFM into local land use planning	0-CF integration in commune LUP is virtually lacking; 1-Some information exists, but is of poor quality & of limited usefulness 2-Much information is readily available, mostly of good quality, 3-Adequate quantities of high quality up to date information for CF is widely & easily available	1	2	1.5	2	Achievement: 100% MTR: CLUP development with incorporation of SFM well underway. Final: - The target communes under the SFM project has developed their Commune Land Use Plan. However, there are indications that the utility value of the CLUP is less understood. The formulation of the CLUP is largely done by the DLUP team. - There are indications that the formulated CLUP only reflects the current land use instead of capturing the project land uses. There are still open areas that are not covered by management or remains under status quo (open access). - The link of the Commune Land Use Plans to the overall goal of the landscape is absent. This could be attributed to the absence of the landscape plan.

Strategic Area of Support	Target for Cap. Dev.	Outcomes	Expected Outputs	Program Activities	Outcome Indicators (Scorecard)	Evaluation Score				Evaluation Comments
						Initial	Target	MTR	Final	
11. MoE/ GDANPC has capacity to support village CPA development for management plan preparation for CPA in the sustainable use zone	Institutional	Department of Research & CPA of GDANPC has staff that is knowledgeable about steps in CPA development & management plan preparation	10 CPAs in Aural & Sakos WS have developed management plans that includes a landscape approach & business plans	Identify & support CPAs to develop management plans with environment friendly business options and a landscape approach covering KS, KChh and Pursat provinces & selected CF sites outside the WS	0-support skills for CPA virtually lacking; 1-Some support exists 2-Much support is found, but there remain large gaps due to distance & communications; 3-Adequate support of high quality & up to date information for CPA development	1	2	1.5	2	Achievement: 100% MTR: Work on CPA management & business plans initiated across target areas in February 2014; progress is gaining momentum but still at an early stage. Final: ▪ The SFM project has started implementing the CF and CPA Management Plans. Subnational staffs were trained on CF and CPA Management Plan formulation together with the community. However, the linkage of the CF and CPA Management Plan at the landscape level is not well established. There is still a gap of coordinating the landscape planning tools (e.g. WISDOM and CLUP) with the CPA and CF Management Planning. ▪ While CF and CPA management plans are designed to support the sustainable livelihood, there is generally limited links with this tool and business planning. The only very clear link with sustainable harvesting/utilization and business plan is the charcoal production business developed by Geres together with RECOFTC. To date, there is still very limited attribution of the CPA and CF Management Planning to successful business/enterprises of the community.
12. PA superintendent and rangers have capacity to monitor and prepare lessons learnt	Individual	PA superintendent & rangers work with already started CPA for management plan preparation	CPA management plans	5 rangers & PA director/WS participate in the development of management plans with business options & a landscape approach that conceptually & practically integrate CF lands outside the WS with CPA inside	0-Human resources are poorly qualified & unmotivated; 1-Human resources qualification is spotty, with some well qualified, but many only poorly & in general unmotivated; 2-HR in general responsibly qualified, but many lack in motivation 3-Human resources are well qualified & motivated	1	2	1.5	2	Achievement: 100% MTR: Work on CPA establishment process and staff training initiated across target areas in February 2014; progress is gaining momentum but still at an early stage. Final: ▪ There is a very positive support from the different subnational staff towards the SFM project. They demonstrated the interest to learn and participate in the formulating of the CF/CPA Management Plans. ▪ Same as above, there is still a weak linkage between the CPA Management Plans, sustainable utilization of the forest resources and business planning. ▪ There is also a need to strengthen the linkage of the CPA Management Plan at the landscape level (e.g. CLUP, WS Management Plan and FAC CBF Management Plan) and vice versa.
13. Rangers [and FA subnational] have capacity to consult with CPA [and CF] communities in a trustworthy manner	Individual	Individual rangers [and FA subnational] are appropriately skilled for their jobs in social consultations with CPA [and CF] communities	Selected rangers[and FA Subnational] skilled in developing management plans with CPA [and CF]	On the job training for rangers.	0-Skills of individuals do not match job requirements; 1-Individuals have some or poor skills for their jobs; 2-Individuals are reasonably skilled 3-Individuals are appropriately skilled for their jobs	1	2	1.5	2.25	Achievement: 112.5% MTR: Work on CPA establishment process and staff training initiated across target areas in February 2014; progress is gaining momentum but still at an early stage. Final: ▪ Rangers and FA subnational staff have undergone TOT under the SFM projects. They applied their skills with the community as part of their practicum. The successful formulation of the CF and CPA Management Plans demonstrated their capability to carry out their skills and high commitment.

Strategic Area of Support	Target for Cap. Dev.	Outcomes	Expected Outputs	Program Activities	Outcome Indicators (Scorecard)	Evaluation Score				Evaluation Comments
						Initial	Target	MTR	Final	
14. MoE coordination with other Govt. agencies	Institutional	Landscape/ provincial plan with multi-stakeholder participation	Provincial DoE & PA staff will engage in landscape level approach to SFM for Kampong Speu, Kampong Chhnang & Pursat & feed modalities to policy level	Landscape level approach within two provinces covering 3-4 SFM modalities	0-There is no political will at all, or worse, the prevailing political will runs counter to the interests of SFM; 1-Some political will exists, but is not strong enough to make a difference; 2-Reasonably strong political will exists, but is not always strong enough to fully support SFM; 3-There are very high levels of political will to support SFM	0-1	2	1.5	1.75	Achievement: 87.5% MTR: Political will now exists at the level of ministers, and MoE relations with FA and other government agencies have improved significantly, with monthly coordination meetings at provincial level since January 2014. Work remains to consolidate truly coordinated planning at the landscape level, and at all SFM modalities. Final: - Have high commitment to develop the CF and CPA Management Plans. But there is still a need to strengthen the definition and understanding on the concept of sustainable forest management at the landscape level. - There is still no formulation of a landscape level planning.
					Overall Score (out of 42) Percentage Score (%)	13 31.0	31 73.8	23 54.8	32.5 77.4	Overall Achievement: 104.8%

Annex 10:

GEF Tracking Tool for Biodiversity Projects



Tracking Tool for Biodiversity Projects in GEF-3, GEF-4 and GEF-5

Objective 2:

Mainstreaming Biodiversity Conservation in Production Landscapes/Seascapes and Sectors

Objective: To measure progress in achieving the impacts and outcomes established at the portfolio level under the biodiversity focal area.

Rationale: Project data from the GEF-3, GEF-4, and GEF-5 project cohort will be aggregated for analysis of directional trends and patterns at a portfolio-wide level to inform the development of future GEF strategies and to report to GEF Council on portfolio-level performance in the biodiversity focal area.

Structure of Tracking Tool: Each tracking tool requests background and coverage information on the project and specific information required to track portfolio level indicators in the GEF-3, GEF-4, and GEF-5 strategy.

Guidance in Applying GEF Tracking Tools: GEF tracking tools are applied three times: at CEO endorsement, at project mid-term, and at project completion.

Submission: The finalized tracking tool will be cleared by the GEF Agencies as being correctly completed.

Important: Please read the Guidelines posted on the GEF website before entering your data

I. General Data	Please indicate your answer here	Notes
Project Title	Strengthening sustainable forest management and bio-energy markets to promote environmental sustainability and to reduce greenhouse gas emissions in Cambodia	
GEF Project ID	3635	
Agency Project ID	4136	
Implementing Agency	UNDP	
Project Type	FSP	FSP or MSP
Country	Cambodia	
Region	EAP	
Date of submission of the tracking tool	Thursday, 30 May 13	Month DD, YYYY (e.g., May 12, 2010)
Name of reviewers completing tracking tool and completion date	Mr. Douk Daro, National Project M&E Officer/SFM 02-10-2015	
Planned project duration	4	years
Actual project duration	2	Project launching on 30 May 2011, Project Inception on 3rd November 2011, followed by a call ofr request for

		proposal and signed contract with service providers in mid- April 2012. The actual project implementation only start in May 2012. Up to May 2013, actual project implementation was 12 months (1 yrs,). Therefore, if counting from project launching up to May 2013, the project has already last for 2 years.
Lead Project Executing Agency (ies)	Forestry Administration (FA)	
Date of Council/CEO Approval	09-Jun-10	Month DD, YYYY (e.g., May 12, 2010)
GEF Grant (US\$)	US\$3,863,635	
Cofinancing expected (US\$)	US\$4,500,000	
Please identify production sectors and/or ecosystem services directly targeted by project:		
Agriculture		1: Primarily and directly targeted by the project 2: Secondary or incidentally affected by the project
Fisheries		1: Primarily and directly targeted by the project 2: Secondary or incidentally affected by the project
Forestry	1	1: Primarily and directly targeted by the project 2: Secondary or incidentally affected by the project
Tourism		1: Primarily and directly targeted by the project 2: Secondary or incidentally affected by the project
Mining		1: Primarily and directly targeted by the project 2: Secondary or incidentally affected by the project
Oil		1: Primarily and directly targeted by the project 2: Secondary or incidentally affected by the project
Transportation		1: Primarily and directly targeted by the project 2: Secondary or incidentally affected by the project
Other (please specify)		
II. Project Landscape/Seascape Coverage		
1. What is the extent (in hectares) of the landscape or seascape where the project will directly or indirectly contribute to biodiversity conservation or sustainable use of its components? An example is provided in the table below.		
Foreseen at project start (to be completed at CEO approval or endorsement)		
Landscape/seascape ^[1] area <u>directly</u> ^[2] covered by the project (ha)	3,693,200	The baseline figure gave the area in km2. This has been converted to ha here.
Landscape/seascape area indirectly ^[3] covered	18,103,500	The baseline figure gave the area in km2. This has been

by the project (ha)		converted to ha here.
Explanation for indirect coverage numbers:	The figure of 36,932km² given for the direct area of influence of the project is the total area of the four provinces in which the project will work at field level. In these provinces, the project will support the development of capacities of staff in FA cantonment and MOE province and district offices, and plans for the development of community-based forest management and conservation activities. The figure of 181,035km² given for the indirect area of influence of the project is the total terrestrial area of Cambodia, given that the objective of the project (to strengthen national SFM policy, integrate community-based sustainable forest management into policy, planning and investment frameworks and create markets for sustainable bio-energy technologies that reduce CO₂ emissions) has national scope.	Please indicate reasons
Actual at mid-term		
Landscape/seascape ^[1] area <u>directly</u> ^[2] covered by the project (ha)	159,147	Directly: the figure of 159,147 ha given for the direct area of influence of the project is the total area of the four provinces in which the project is building capacity of relevant government institutions to work with the local community to develop management plans including: business plans for the 30 Community Forests, covering 10,879 ha; 10 Community Protected Areas, covering 7,925 ha; trials of 4 alternative CF modalities (ACFM) covering 11,374 ha; and preparing integrated CF/CPA Commune Land Use Plans (CLUP), covering 128,969 ha
Landscape/seascape area indirectly ^[3] covered by the project (ha)	18,103,500	
Explanation for indirect coverage numbers:	The figure of 18,103,500 given for the indirect area of influence of the project is the total terrestrial area of Cambodia, given that the objective of the project (to strengthen national SFM policy, integrate community-based sustainable forest management into policy, planning and investment frameworks and create markets for sustainable bio-energy technologies that reduce CO₂ emissions) has national scope. The project has also made progress in the fasttracking of approval of community forests and starting to work on the process of establishment of Community Protected Areas. The process of the development of management plans for these areas are also being refined by the project. These important processes have national impact and therefore the national terrestrial area is reported as indirect project impact.	Please indicate reasons
Actual at project closure		
Landscape/seascape ^[1] area <u>directly</u> ^[2] covered	272,698	Direct areas of 30 CF, 04 ACFM, 11 CPA, and 04 CLUP

by the project (ha)		
Landscape/seascape area indirectly[3] covered by the project (ha)	18,103,500	The baseline figure gave the area in km2. This has been converted to ha here.
Explanation for indirect coverage numbers:	Project is building capacity of relevant government institutions to work with the local community to develop management plans including business plans for the 30 community forestry covered 10,879ha, 11 community protected areas covered 9,193ha, trial of 4 alternative CF modalities (ACFM) (Partnership Forestry, Community-Based Production Forestry and Community Conservation Forestry) covered 11,359 ha and prepare 4 Commune Land Use Plannings (CLUP) covered 241,267 ha The figure of 18103500 given for the indirect area of influence of the project is the total terrestrial area of Cambodia, given that the objective of the project (to strengthen national SFM policy, integrate community-based sustainable forest management into policy, planning and investment frameworks and create markets for sustainable bio-energy technologies that reduce CO2 emissions) has national scope.	Please indicate reasons

[1] For projects working in seascapes (large marine ecosystems, fisheries etc.) please provide coverage figures and include explanatory text as necessary if reporting in hectares is not applicable or feasible.

[2] Direct coverage refers to the area that is targeted by the project's site intervention. For example, a project may be mainstreaming biodiversity into floodplain management in a pilot area of 1,000 hectares that is part of a much larger floodplain of 10,000 hectares.

[3] Using the example in footnote 5 above, the same project may, for example, "indirectly" cover or influence the remaining 9,000 hectares of the floodplain through promoting learning exchanges and training at the project site as part of an awareness raising and capacity building strategy for the rest of the floodplain. Please explain the basis for extrapolation of indirect coverage when completing this part of the table.

2. Are there Protected Areas within the landscape/seascape covered by the project? If so, names these PAs, their IUCN or national PA category, and their extent in hectares		
Name of Protected Areas	IUCN and/or national category of PA	Extent in hectares of PA
1 Phnom Samkos	Wildlife Sanctuary	333,750
2 Phnom Aural	Wildlife Sanctuary	253,750
3 Central Cardamoms	Protected Forest	402,000
4 Kirirom	National Park	35,000
5 Tonle Sap	Biosphere Reserve	316,250
6 Samlaut	Multiple Use Area	60,000
3. Within the landscape/seascape covered by the project, is the project implementing payment for environmental service schemes? If so, please complete the table below. Example is provided.		
e.g. Foreseen at Project Start	e.g. Water provision	Please Indicate Environmental Service
	e.g. 40,000 hectares	Extent in hectares
	e.g. \$ 10 per hectare per year	Payments generated (US\$)/ha/yr if known at time of

		CEO endorsement
Foreseen at project start (to be completed at CEO approval or endorsement)		Please Indicate Environmental Service
		Extent in hectares
		Payments generated (US\$)/ha/yr
Actual at mid-term		Please Indicate Environmental Service
		Extent in hectares
		Payments generated (US\$)/ha/yr
Actual at project closure		Please Indicate Environmental Service
		Extent in hectares
		Payments generated (US\$)/ha/yr
Part III. Management Practices Applied		
4. Within the scope and objectives of the project, please identify in the table below the management practices employed by project beneficiaries that integrate biodiversity considerations and the area of coverage of these management practices. Please also note if a certification system is being applied and identify the certification system being used. Note: this could range from farmers applying organic agricultural practices, forest management agencies managing forests per Forest Stewardship Council (FSC) guidelines or other forest certification schemes, artisanal fisherfolk practicing sustainable fisheries management, or industries satisfying other similar agreed international standards, etc.		
e.g. Foreseen at Project Start	<i>E.g., Sustainable management of pine forests</i>	<i>Please indicate specific management practices that integrate BD</i>
	<i>FSC</i>	<i>Name of certification system being used (insert NA if no certification system is being applied)</i>
	<i>120,000 hectares</i>	<i>Area of coverage</i>
Foreseen at project start (to be completed at CEO approval or endorsement)	Community-based management of natural forests, including sustainable extraction of timber and NTFPs under strict BD safeguards provided for in CF/CPA management and business/enterprise plans	Please indicate specific management practices that integrate BD
	To be defined, may include FSC	Name of certification system being used (insert NA if no certification system is being applied)
	224,310 ha (30 CFs, 10 CPAs, 4 ACFMs & 4 CLUPs in four target provinces)	Please note: The target has been updated to 30 CFs, 10 CPAs, 4 ACFMs & 4 CLUP activities/outputs to be supported by the project in the inception report. Based on preliminary project scoping and baseline study reports and SFM first PIR 2012 report our baseline for all the sites was 224,310 ha. This target coverage areas may be slightly different/change after completing the actual ground works.
Actual at mid-term	30 Community Forestry Management Plans including Business/Enterprise Enterprise	Please indicate specific management practices that

	Development Plans CFMPs & CFBPs) are being developed. Currently progressing step 6 of the 8 steps planning process. In addition 4 additional Alternative Community Forestry Modalities (ACFMs) sites are also being trail on Partnership Forestry (PF), Community Conservation Forestry (CCF) & Community-Based Production Forestry (CBPF). Currently progressing step 4 of the 11 steps CF planning process. 4 Commune Land Use Plans (CLUP) are also being developed. Currently completeing step 4 of the 11 steps planning process. With regards to energy efficientcy related activities community woodlots are being established within CF. Currently 5 woodlot established, 3 other are being established. 9 improved charcoal kilns has been built, 7 other kilns are being constructed to promote green charcoal productions. 6 Improve cookstove (ICS) clusters has been established and ICS production has started. Up to October 2013, 23,960 units of cook stoves produced of which 23,206 marketed (in use).	integrate BD
	n/a	Name of certification system being used (insert NA if no certification system is being applied)
	Up to date, total area of coverage was 271,375 ha including 30 CFMPs/CFBPs covering 10,879 ha, 1 CCF covering 2,467 ha, 2 PFs covering 4,704 ha, 1 CBPF covering 2,069 ha and 4 CLUP covering 241,267 ha and 10 CPA covering 9,989 ha.	Please note: The baseline/target of 13,500 ha baseline was incorrect. The correct target is 224,310 ha (based on project scoping and baseline study report). The actual achievement at mid-term was 271,375 ha, exceeding the target, because the project completed field work in a number of CF sties that included more forest area. The total coverage area may change again after additional field work.
Actual at project closure	30 Draft Community Forest Management (CFMP) Plans finalized: FA completely reviewed all 30 draft CFMP and presented their comment to FAC and RECOFTC team for final revision. The CFMP review checklist has been used to provide specific comment, so FAC/RECOFTC are able to revise the draft CFMP and submit to FAC for approval. 11 CPAs had completed forest inventory. And result of forest inventory had already shared to local community. All 11 CPA has been progressing the CPA writing, which expected to finalized by end of Oct 2015. The project has pilot four sites – including two sites for Partnership Forestry (PF): one site for Community Based Production Forestry (CBPF) in Toul Krous commune, and one site for Community Conservation Forestry (CCF) in Roleak Kang Cheung commune. All four sties have been proceeding forward to Step 8 of CF Management Plan development process, while CF agreement were submitted for MAFF/FA. All four (04) CLUP books/plans completely drafted (Takream, Battambang, Samroang, Pursat, Khbal Teuk, Kampong Chhnang and Tasal, Kampong Spue province) and two CLUP had been approved by provincial state land use committee	Please indicate specific management practices that integrate BD

	The project established 08 ICS production clusters, consisting of 45 ICS production owners. The total ICS sold 143,575 units. The figures are over the target of 90,000 units/by end of project. Based on the SFM GHG ER Monitoring Report, the annual emission reduction, the total cumulated ER at the end of Feb 2015 was 29,949 tCO₂e. 17 ECK constructed and operated charcoal production but the production cycle, in average, is one time per month as people have been turning to farming activities. The business plan of each kiln centre has completed and integrated with CFMP and woodlot management plan. . Based on the SFM GHG ER Monitoring Report showed that the annual CO₂ ER, from Jun 2014 to Feb 2015 was 623 tCO₂, and total cumulated ER at the end of Feb 2015 was 945 tCO₂e. 25 of all 30 CFs has identified and established the woodlot areas (5,093 ha) for wood energy, which had been integrated with CFMP. And 07 CF has established the woodlot management plan for supplying the fuel wood to all 17 efficient charcoal kilns.	
	n/a	Name of certification system being used (insert NA if no certification system is being applied)
	Up to date, total area of coverage was 272,698 ha including 30 CF covering 10,879 ha, 1 CCF covering 2,462 ha, 2 PFs covering 6,828 ha, 1 CBPF covering 2,069 ha and 4 CLUP covering 241,267 ha and 11 CPA covering 9,193 ha.	Area of coverage
Part IV. Market Transformation		
5. For those projects that have identified market transformation as a project objective, please describe the project's ability to integrate biodiversity considerations into the mainstream economy by measuring the market changes to which the project contributed. The sectors and subsectors and measures of impact in the table below are illustrative examples, only. Please complete per the objectives and specifics of the project. <i>Please note: Markets are a focus of the project through CFMPs/CFBPs and the promotion of energy efficiency technology (i.e. improved charcoal kilns and productions and improved cook stoves). In the baseline TT, the "Market Transformation" section was mistakenly not completed. A retroactive baseline has been prepared and included here, along with the current status.</i>		
Name of the market that the project seeks to affect (sector and sub-sector)	<i>E.g., Sustainable agriculture (Fruit production: apples)</i>	<i>E.g., US\$ of sales of certified apple products / year</i>
	<i>E.g., Sustainable forestry (timber processing)</i>	<i>E.g., cubic meters of sustainably produced wood processed per year</i>
Foreseen at project start <i>Please note that target income were not given in the project document, nor the baseline TT; only target number of CFMPs/CFBPs, ICS units & charcoal kilns were defined. The minimum target net income reported here is calculated based on current market price for ICS and charcoal.</i>		
Name of the market that the project seeks to affect (sector and sub-sector)	Sustainable Forest thru CF/CPA management and business plan (i.e. fuel wood, bamboo, traditional medicine (being developed)	● 30 CFMPs & CFBPs : Income from collecting and saling of fuel wood (17 CFs), traditional medicine (3 CFs), ratant (1 CF), bamboo (3 CFs), poles (2 CFs) and Red ant eggs (2 CFs) ● 10 CPAMPs & CPABPs prepared. name/type of market not yet available. Will be defined in CPAMPs &

		CPABPs planning process. ● Target income generated N/A
	Wood Efficient Energy Technology thru production and marketing of Improved cook stoves (ICS) (being developed)	● 96,000 units of certified ICS produced and distributed by Feb 2015 ● Average target net Income of 24,000 US\$ from 96,000 certified ICS in use by Feb 2015
	Wood Efficient Energy Technology thru Woodlot development and Green Charcoal production (being developed)	● 236 tones of green charcoal produced (16 improve charcoal kilns introduced by the project) and marketed by Feb 2015 ● Estimated average target net income of 19,116 US\$ from saling 236 tones of green charcoal by Feb 2015
Actual at mid-term Please note that both ICS and Charcoal production is at an initial trialing stage. Full productions & marketing capacity is expected to be commenced in mid 2014.		
Name of the market that the project seeks to affect (sector and sub-sector)	Sustainable Forest thru CF/CPA management and business plan (i.e. fuel wood, bamboo, traditional medecine (being developed)	● Community Forestry management and Business/Enterprise Development Plans are being prepared for 30 CFs. All the 30 CFs have selected their products and business ideas (17 CFs for collectig and selling fuel wood, 1 CF for collecting and selling rattan, 3 CFs for collecting and selling traditional medecine, 3 CFs for collecting and selling bamboo, 2 CFs for collecting and selling red ants and eggs and 2 CFs for collecting and selling poles. Currently, a products vallue chain analysis are being carried out with entrepreneurs. ● Income generation N/A. Will be reported when CFBPs implementation start (Q3 2014)
	Wood Efficient Energy Technology thru production and marketing of Improved cook stoves (ICS) (being developed)	6 ICS production clusters established. 23,960 ICS units produced of which 23,206 ICS units marketed between February - October 2013. Net income generated is US\$ 5,801.5
	Wood Efficient Energy Technology thru Woodlot development and Green Charcoal production (being developed)	5 community Woodlots sites within CFs covered 1,385 ha have been established. 09 out of 16 Efficient charcoal kilns has been built. Business/enterprise plans for green charcoal productions are being prepared. Green charcoal production and marketing trails commenced
Actual at project closure		
Name of the market that the project seeks to affect (sector and sub-sector)	Sustainable Forest thru CF/CPA management and business plan (i.e. fuel wood, bamboo, traditional medecine (being implemented)	● Community Forestry management and Business/Enterprise Development Plans are being

		implemented for 30 CFs.. The selected products/business ideas in all CF sites included firewood collection (16 CF), bamboo (5 CF), pole (2 CF), rattan & mushroom and traditional medicine (7 CF). 22 CF have started the pilot implementation of CF business and had generated some income and benefited to at least 1,069 CF members.
	Wood Efficient Energy Technology thru production and marketing of Improved cook stoves (ICS) (being implemented)	8 ICS production clusters established. 143,575 ICS units disseminated to the market. Net income generated is USD 25,125.
	Wood Efficient Energy Technology thru Woodlot development and Green Charcoal production (being implemented)	07 Woodlot fully established for supplying of firewood for charcoal kiln, which covered about 1,700 ha.
Part V. Policy and Regulatory frameworks		
6. For those projects that have identified addressing policy, legislation, regulations, and their implementation as project objectives, Please complete these tables for each sector that is a primary or a secondary focus of the project. Please answer (1 for YES or 0 for NO) to each statement under the sectors that are a focus of the project.		
<i>Biodiversity considerations are mentioned in sector policy</i>		
Agriculture		Yes = 1, No = 0
Fisheries		Yes = 1, No = 0
Forestry	1	Yes = 1, No = 0
Tourism		Yes = 1, No = 0
Other (please specify)		Yes = 1, No = 0
<i>Biodiversity considerations are mentioned in sector policy through specific legislation</i>		
Agriculture		Yes = 1, No = 0
Fisheries		Yes = 1, No = 0
Forestry	1	Yes = 1, No = 0
Tourism		Yes = 1, No = 0
Other (please specify)		Yes = 1, No = 0
<i>Regulations are in place to implement the legislation</i>		
Agriculture		Yes = 1, No = 0
Fisheries		Yes = 1, No = 0
Forestry	1	Yes = 1, No = 0
Tourism		Yes = 1, No = 0
Other (please specify)		Yes = 1, No = 0

<i>The regulations are under implementation</i>		
Agriculture		Yes = 1, No = 0
Fisheries		Yes = 1, No = 0
Forestry	1	Yes = 1, No = 0
Tourism		Yes = 1, No = 0
Other (please specify)		Yes = 1, No = 0
<i>The implementation of regulations is enforced</i>		
Agriculture		Yes = 1, No = 0
Fisheries		Yes = 1, No = 0
Forestry	1	Yes = 1, No = 0
Tourism		Yes = 1, No = 0
Other (please specify)		Yes = 1, No = 0
<i>Enforcement of regulations is monitored</i>		
Agriculture		Yes = 1, No = 0
Fisheries		Yes = 1, No = 0
Forestry	1	Yes = 1, No = 0
Tourism		Yes = 1, No = 0
Other (please specify)		Yes = 1, No = 0

Annex 11

UNDP-GEF TE Report Audit Trail

**Consolidated comment and feedback on first draft TE Report of the SFM project
08 Dec 2015**

Project Information		
Project name	Strengthening Sustainable Forest Management and Bio-Energy Markets to Promote Environmental Sustainability and to Reduce Greenhouse Gas Emissions in Cambodia.	
GEF Project ID No:	00060049	
UNDP Project ID No:	PIMS: 4136	
Evaluation Time Frame	15 September – 30 November 2015	
Date of Evaluation Report submitted:	Draft: November 27, 2015	
Review by:	SFM Project Team, UNDP CO, UNDP RTA	
Comment/feedback on the TE Report from:	Response from Consultants	Remarks
UNDP CO: - Clearly separation the conclusions, recommendations and lessons learnt; and - Include UNDP Capacity Development Scorecard as one of the Annexes.	- Evaluators have followed the structure of the Evaluation Report Outline (pp. 36-37) in the 2012 UNDP Guidance for TEs. In order to maintain consistency with this structure, headings for conclusions, recommendations have been introduced to the existing structure. (Lessons already have a separate heading.) - UNDP Capacity Development Scorecard attached as Annex 9.	
SFM Project: Overall, the report has followed the template provided. And the report quality is acceptable. Some comments are noted in the Track-Changes inserted in the draft TE Report.		
Comment 10 (p. 29): Please review the Project Inception Report regarding the Project Management Structure and make revision of the text accordingly.	Additional, more detailed information from Inception Report incorporated, including organogram showing revised structure at Inception and new text on roles of Implementing Partners	
Section 3.3.1 Overall results (attainment of objectives)	This section has been strengthened, with provision of further information/ clarification in response to comments 19-21 and new material on progress with respect to the project's development	

	objectives, based on the indicators and targets in the SRF. A new section has also been inserted upfront regarding achievement of project objectives, based on the respective indicators in Annex 7 (SRF).	
Comment 19 (p. 38): Result of self-assessment score card should be highlighted and included in this section.	Included new text, and scorecard table of results reproduced in Annex 9.	
Comment 20 (p.38): Mlub Baitong, local NGO, is still continuing to support many target CF/CPA to implement the CF/CPA management plans after the project ends. I don't think so as the project apply the Training-for-Action in every project activities, to ensure that community have capacity to implement their plan after the project ends. In the case of CF, the development fund package is provided to each CF so they are able to implement their management plan, in particular for regular patrolling, CFMC meeting. However, the project is not able to monitor and check the capacity of community to implement the plan as the project ends. As already mentioned in the project reports, as many target CF are degraded which provided little benefit to community, in term of income generation. What is the observation?	Comments are addressed: local NGO mentioned, along with reference to degraded condition of may CFs, which limits immediate benefits until such time as restoration of habitat takes effect naturally along with interventions, such as woodlots, to develop and sustain incomes.	
Comment 21 (p. 38): Please provide brief info on each output status and include data on income from stove and charcoal as reported in the final GERES Report.	Such details on output status are already provided in the SRF (Annex 7 of Report), so reference to this Annex has been made repeatedly in Section 3.3.1 and some examples are highlighted.	
Comment 22 (p. 39): I think the project has strategically supported the pro-producer market chains, thru engaging them in the existed network, where all stove actors – distributors, whole sellers, producers, discuss all related issues, including supplying stove materials, setting stove price and so on, under coordination and facilitation support from GERES. The recommendation noted about charcoal, please provide further relevant finding that consistent to the proposed recommendation.	Comments on market chains, along with underlying opportunity in improve them in terms of pro-poor orientation, and charcoal incorporated.	
Comment 23 (p. 42): It's good to indicate the point of relevance to the today context. But I wish to see if there is any not relevant to the project. For example, the desire of project objective regarding Financial Strategies in MAFF and MOE but the project focused little to achieve this.	Further elaboration provided on project interventions and their relevance, including financial strategies.	
Comment 25 (p. 42): All CFMP have been officially approved by FA, except CPAMP, which is now under final review from MOE.	Changes made to text and also to Table 3.4 to ensure consistency.	
Comments 27-28 (p. 45): In the finding section, no texts refer to these recommendation. Please provide detail info in the finding sections.	Text on ecotourism litter management and health & safety inserted into findings section.	

UNDP RTA Overall the draft TE offers good insight into the project and is easily comprehensible, and I only have a few comments, summarized below:	Thank you	
1. I didn't have access to the ToR because it wasn't annexed in Annex 1, however I did review the ToR for this TE in April of this year, so I assume that the final version was similar to that early draft version (following the UNDP-GEF standard TE ToR).	Attached as Annex 1	
2. The following details on the Project Details page and Project Summary Table are missing and should be filled in: ○ GEF Project ID #: 3635 ○ Operational Program: Sustainable Land Management ○ The date of the final report should be updated	○ GEF Project ID #: 3635 inserted. Note that this template document prepared by UNDP cites GEF Project ID as 00060049 (see above). ○ Sustainable Land Management inserted ○ Date of the final report updated	
3. Pg. vii refers to this report as a Midterm Evaluation (MTE), and this should be corrected.	Corrected	
4. In the executive summary, the evaluators state that "the sustainability of project outcomes is currently in jeopardy", yet they rate all five sustainability factors as Likely or Moderately Likely. There should be more evidence provided for these ratings (section 2.3.5 on Sustainability is quite limited), or the narrative of the report in this regard should be adjusted.	Jeopardy has been clarified in this section of Exec. Summary – it refers to longer-term mainstreaming of SLM across the country. In the shorter term, sustainability of outcomes is considered to be fragile and requires continuing support, some of which has been in-built (institutionalized). The impacts section (3.3.6) has also been modified.	
5. The report describes how only recently in November 2015 did the project begin to work on an Exit strategy/sustainability plan, yet this planning is still rudimentary. What additional specific recommendations could be provided to the project team/ PMU/ implementing partner/ UNDP Country Office to assist with strengthening the Exit strategy/sustainability plan?	A framework and related suggestions have been articulated for the Exit Strategy in Section 4.4.	
6. The rational/criteria (i.e. sampling approach) for the selection of persons interviewed, sites visited, and other data reviewed should be described. Additionally, the nature of stakeholder involvement in conducting the evaluation should be described beyond just the inclusion of the annexed list of people interviewed. Furthermore, the evaluation approach should clearly explain how it yielded answers to the evaluation question and how it achieves the evaluation purposes and objectives.	These points have been addressed in revisions to the methods section.	
7. The evaluation criteria (i.e. relevance, effectiveness, efficiency, sustainability, and impact) should be described and defined. The evaluators can refer to UNDP and GEF M&E Guidance (e.g. the UNDP TE Guidance) for criteria definitions. Any possible limitations of the evaluation should be described (e.g. limited in-country time, language, time, resources, etc.) in the methodology section.	Evaluation criteria have been defined using 2012 GEF Evaluation Guidance; limitations have been described in the methods section.	
8. The TE does discuss the project's mainstreaming and the UN Development Assistance Framework (UNDAF) in some regards, but it doesn't adequately discuss the extent to which the project was able to mainstream of UNDP programme principles into its results. In this way, the	This is picked up and considered in the relevance section (3.3.2) in relation to UNDP's 2011-2015 Country Programme with Cambodia.	

report should also discuss the project's linkage to UNDAF (beyond just alignment with it) and its development results. As stated in the ToR, the TE should assess the extent to which the project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender, as applicable. The TE conclusions should also touch on the project's contribution to UNDP programme principles (e.g. gender equality, human rights and capacity development).		
9. In addition to the annexes already included, the following annexes are also required as described in the ToR: ○ Evaluation Question Matrix (that was included in the ToR Annex C: the ToR states that this Evaluation Criteria Matrix must be fully completed by the consultants and included as an Annex to the TE report) ○ Questionnaire or survey tool used (if applicable) ○ TE report audit trail (see template attached) ○ The finalized terminal GEF mainstreaming Tracking Tool (annexed by the CO) ○ In addition, the evaluation consultant agreement form (Annex 3) still needs to be signed by the consultant Michael J.B. Green.	○ Evaluation Question Matrix included as Annex 8. ○ Questionnaire or survey tool - not applicable ○ TE report audit trail attached as Annex 11. ○ Terminal GEF Tracking Tool for Biodiversity Projects attached as Annex 10. ○ Evaluation consultant agreement form (Annex 3) signed.	
10. Lastly, in Annex 7, the "Status at mid-term (June 2014)" column still needs to be filled in by the PMU as originally indicated in the Inception Report.	Completed by PMU	
The terminal GEF mainstreaming Tracking Tool also needs to be updated for this project, if it hasn't been already, and submitted along with the TE.	GEF Tracking Tool for Biodiversity Projects attached as Annex 10. Last updated by UNDP CO in October 2015. UNDP to address further as necessary.	
Finally, this TE should be included in the evaluation plan of the UNDP Country Office, which it is not yet. In addition, once the report is finalized and approved by the RTA and the CO, the evaluation report clearance form (see attached for form) should be signed by the RTA and by the CO and annexed to the report, then the CO will need to upload it, along with its management response (see template attached), to the ERC.	UNDP CO to address as necessary.	