Terminal Evaluation Report
Strengthening Multi-Sectoral Management of Critical Landscapes (SMSMCL)

Ministry of Natural Resources and Environment Samoa

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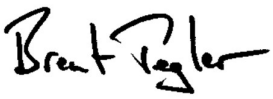
Global Environment Facility

Project Summary Table

Project Title:	Strengthening Multi-Sectoral Management of Critical Landscapes (SMSMCL)
UNDP PIMS# **GEF project ID#s**	UNDP GEF PIMS 4536 GEF ID 4550
TE time frame	Terminal Evaluation timeframe – March to August 2020
Region and country	Pacific, Independent State of Samoa, including Upolu and Savai'i Islands
GEF Focal Areas	Land Degradation Focal Area Strategy, Objective 3: Reduce pressures on natural resource from competing land uses in the wider landscape
Executing Agency/ Implementing Partner	Land Management Division – Ministry of Natural Resources and Environment (MNRE)
TE team member	International Consultant: Dr. Brent Tegler
UNDAP Outcomes and Outputs:	Asia and the Pacific Land Degradation (GEF-5) Objective LD-3: Integrated Landscapes: Reduce pressures on natural resources from competing land uses in the wider landscape Outcome 3.1: Enhanced cross-sector enabling environment for integrated landscape management; Indicator 3.1 Policies support integration of agriculture, rangeland, forest, and other land uses Outcome 3.2: Integrated landscape management practices adopted by local communities; Indicator 3.2 Application of integrated natural resource management (INRM) practices in wider landscapes GEF Trust Fund
Project Period	6 years & 8 months; Start Date 31 October 2013; End Date 30 June 2020
Project Cost	Project Preparation Grant: US$136,364 GEF Project Grant: US$4,736,363 Co-financing Total: US$24,217,000 GEF Agency Fees: US$ 473,636 **Total Cost: US$ 28,953,363**

Acknowledgements

The Terminal Evaluation (TE) acknowledges the exemplary support of the SMSMCL Project Management Unit essential to conducting a TE during the COVID-19 global pandemic. Assistance in coordinating remote interviews with a wide range of stakeholders on Upolu and Savai'i Islands providing much needed information to complete the evaluation. Many thanks also to all those who shared their knowledge and experience of the SMSMCL project contributing to the recommendations and lessons learned. Thanks also goes to those who provided comments and edits on the draft report, thereby strengthening the final document.



Brent Tegler PhD
Liana Environmental Consulting Ltd.
Phone: +1 416.554.2892
Skype Name: btegler
Email: btegler@nsenvironmental.com
Address: 6220 Fifth Line, RR 2, Fergus, ON, Canada N1M 2W5

Executive Summary

The Strengthening Multi-Sectoral Management of Critical Landscapes (SMSMCL) project was provided with a USD $4,736,363 grant from the Global Environment Facility (GEF) fund and was to receive a USD $24,217,000 in co-financing grants from the Independent State of Samoa (Samoa). The SMSMCL project summary and co-financing tables are provided below.

Table 5. Samoa Ministry of Finance Record of SMSMCL Project GEF Grant and Co-Financing Expenditures

Component	GEF Grant (US$)		Co-financing (US$)	
	Endorsed at Project Start (31 Oct 2013)	Expended by Project End (30 Jun 2020)	Co-financing at Project Approval (31 Oct 2013)	Co-financing Realized at Project End (30 Jun 2020)
Outcome 1: Communities and farmers are able to undertake and benefit from integrated land and water management on their traditionally owned lands	$4,000,000	$3,873,747	$19,136,535	$11,573,821
Outcome 2: Strengthened national enabling environment to promote integrated landscape management through local households and communities	$506,363	$541,148	$2,300,615	$2,067,361
Project Management	$230,000	$225,306	$1,210,850	$56,381
Totals	**$4,736,363**	**$4,707,804***	**$22,648,000**	**$13,697,563**

Table 6. Samoa Ministry of Finance Record of SMSMCL Project Co-Financing

Co-financing (type/source)	UNDP financing (US$)		Government (US$) (Parallel Funding*)		Total (US$)	
	Planned	Actual	Planned	Actual	Planned	Actual
Grants	$617,000	$970,563	$13,431,000	$5,630,000	$9,047,563	$6,600,563
Loans/ Concessions*	-	-	$8,000,000	$7,097,000	$8,000,000	$7,097,000
In-kind support+	-	-	$600,000	N/A	$600,000	N/A
Other	-	-				

* Parallel project co-financing included an AusAid Agro-Forestry project originally valued at AUD$5M, and later reduced to a reported expenditure of US$640,000, and the World Bank funded Samoa Agriculture Competitiveness Enhancement Project (SACEP) originally valued at US$18M and later reduced to US$13M (US$5M in grants and US$8M in loans).

+ N/A – Data for actual in-kind support was not available for Terminal Evaluation

Project Design

This project is the first upscaling initiative by Samoa to ensure land degradation issues across all levels of society are well addressed through the integration of sustainable landscape management into the planning framework and actions across multi-sectoral arrangements in order to achieve the long-term ***project goal***:

> *Samoa's productive landscapes are protected and sustainably managed to mitigate land degradation and to increase soil carbon sequestration so as to contribute to poverty alleviation and mitigation and adaptation to climate change impacts, as well as to contribute to global environmental benefits by overcoming barriers to integrated sustainable land management*.

The ***project objective*** is

> *To strengthen local capacities, incentives and actions for integrated landscape management to reduce land degradation and greenhouse gas emissions and to promote conservation whilst enhancing sustainable local livelihoods*

In order to achieve the objective and work towards the long-term goal the project supported local household and wider community actions to reduce pressures on natural resources from competing land uses in the wider landscape. This was bolstered by the development of national and local capacities and creating incentives in Samoa for effective integrated landscape management that consisted of actions to reduce major anthropogenic causes of land degradation and greenhouse gas emissions from land-use changes or practices, and promoted restoration and conservation of ecosystems leading to increased biodiversity conservation status and the improvement of ecosystem services.

The project included the following two outcomes and sixteen outputs (see Appendix 8) to achieve: project goal and objectives:

Outcome 1: *Communities and farmers are able to undertake and benefit from integrated land and water management on their traditionally owned lands (composed of different ecosystems and agriculture, fisheries and livestock production systems);*

Outcome 2: *Strengthened national enabling environment to promote integrated landscape management through local households and communities.*

The project design was appropriate in that it used a "multi-sectoral SLM approach" to address the multiple causes of land degradation to engage multiple government and non-government sectors to prevent ongoing land degradation and to restore existing degraded lands. The multi-sectoral approach worked with communities to better understand and identify issues related to the causes of land degradation and options for SLM and enhanced the capacity of government (particularly MNRE and MAF) and ENGOs to provide technical and financial support for improved SLM in Samoa.

The SMSMCL project was, however, challenged by unclear and unrealistic indicators and targets that were included in the Strategic Results Framework (SRF) (Appendix 8). A lack of careful review of the SRF early in the project and a lack of ongoing monitoring needed to collect the data necessary to evaluate targets has resulted in poor evaluation of results in the Terminal Evaluation (TE).

Project Results

The following table provides a summary evaluation for the SMSMCL project. Detailed evaluation supporting each of the ratings are provided in the associated evaluation report sections.

Monitoring and Evaluation (M&E)	**rating[+]**	**Implementing Agency (IA) & Executing Agency (EA) Execution**	**rating[+]**
M&E design at entry	S	Quality of UNDP Implementation – Implementing Agency	MS
M&E plan Implementation	HU	Quality of Execution - Executing Agency	MS
Overall quality of M&E	HU	Overall quality of Implementation / Execution	MS
Assessment of Outcomes	**rating[+]**	**Sustainability**	**rating[+]**
Relevance	R	Financial resources	MU
Effectiveness	U	Socio-political	L
Efficiency	S	Institutional framework and governance	MU
Overall Project Outcome Rating	MS	Environmental	ML
		Overall likelihood of sustainability	MU

[+] HS highly satisfactory; S satisfactory; MS moderately satisfactory; U unsatisfactory HU highly unsatisfactory;
[+] R relevant; NR not relevant;
[+] L likely; ML moderately likely; MU moderately unlikely; U unlikely.

Conclusions, Recommendations and Lessons Learned

Key Conclusions of SMSMCL Project

1. The SMSMCL project has demonstrated communities in Samoa understand the negative environmental implications of land degradation and the need for a multi-sectoral, integrated approach to restoring degraded lands and preventing further land degradation.

2. Government staff appreciate the need to work collaboratively with different government sectors and they recognize the value and have the ability to engage NGOs and the private sector in the achievement of multi-sectoral, integrated SLM.

3. The unsatisfactory rating of effectiveness for the SMSMCL project has highlighted the importance of establishing a SRF with indicators, targets and baselines that are well understood, measurable and monitored at the outset of the project.

4. The poor rating of sustainability highlights the need for an exit strategy to clearly establish a path forward for government as the responsible party to effectively scale-up SMSMCL activities in order to achieve the long-term project goal.

Key Recommendations for SMSMCL Project

1. Establish a formal institutional coordination mechanism that includes relevant government ministries, NGOs and private sector working collaboratively to manage multiuse landscapes through their combined efforts and shared technical resources in SLM.

2. MNRE Forestry Division provide support and monitor the SLM activities implemented by the project, particularly monitoring of project tree planting sights to ensure maintenance practices for tree establishment are followed and to ensure restoration areas are protected from other unsustainable land use practices.

3. Complete exit strategy activities including hand over of project activities to beneficiaries, NGOs and government stakeholders and work with government implementing agencies (MNRE, MAFF, MWCSD) to develop a multi-sectoral, multi-year plan to scaling up SMSMCL project activities in additional priority landscapes based on the government's available budgets and capacity.

4. In Samoa many NGOs lack the experience necessary to effectively and efficiently address administrative, financial management and reporting requirements associated with their contractual agreements (MOU). Given the global trend of NGOs becoming some of the most important facilitators (agents) of change at the community level, government should target capacity development to increase the ability of NGOs to participate in current and future project activities.

Key Lessons Learned and Recommendations for Future Programming

Project Design

1. There is a need to evaluate the efficiency and effectiveness of UNDP in bringing forward data and lessons learned from previous development projects to answer questions related to: 1. Do projects incorporate, utilize and benefit from the data generated in previous projects? 2. Do projects unnecessarily repeat work completed in previous projects? 3. Do projects apply the knowledge of "lessons learned" generated from previous projects?

2. UNDP should consider opportunities to develop hybrid finance mechanisms for GEF projects, whereby a portion of GEF funds (e.g. 60% to 80%) are used to finance activities that test and prove the Theory of Change over the five year "pilot phase" of the project and a second portion of GEF funds (e.g. 20% to 40%) are placed in a trust fund that is used to finance project activities proven to be successful during the pilot phase in the "post-project phase". This will necessitate a robust exit strategy that identifies roles, responsibilities, timelines, activities, stakeholders, etc. for post-project activities financed by the trust fund. The value of a hybrid project approach is the contribution to sustainability (scaling up).

3. The SMSMCL project followed a UNDP GEF project management model that included establishment of a PMU with dedicated staff and office infrastructure supported by UNDP funds with project oversight by government staff recruited for the PB and TSAT as well as UNDP Quality Assurance and oversight. At project closure the sustainability of project outcomes, including achieving the long-term goal, is challenged by the fact that the PMU is closed and no plan has been created for government to take on the responsibility to continue to implement project activities within the constraints of their existing staff capacity, infrastructure, and budgets. NIM projects should seek to fully integrate the PMU into existing government structures, whereby the PMU is made up of existing government staff, with infrastructure and budgets supplemented by UNDP during project implementation. In this way at project closure staff will remain in place to continue to implement project activities based on projected needs and available government support.

4. The SMSMCL gender analysis and action plan remain important documentation which should be referred to in the design of future SLM projects in Samoa.

Project Start-Up

5. Project start-up generally requires up to one year, for SMSMCL it took about two years. Project start-up should be recognized for its essential contribution to establishing a strong working foundation that supports the implementation of project activities over the life of the project including:
    a. refinement of the SRF and associated indicators, targets and baselines;
    b. preparation of an inception report;
    c. set up of the PMU, including hiring of staff, obtaining office and field infrastructure needs, training of staff in project reporting and financial management requirements;
    d. establishment of committees/teams/advisors that will oversee, support and manage the project, including PB, TSAT, and STA;
    e. establishment and initiation of a project monitoring framework, including the measurement of indicator baselines;
    f. development of strong, collaborative working relationships with project stakeholders; and
    g. a formal project launch.

6. Additional UNDP oversight during project start-up will help to ensure new projects complete tasks that contribute to successful implementation and monitoring of project activities and evaluation at project closure. UNDP may consider starting GEF projects by <u>immediately</u> hiring a STA on a short term (12-18 months) contract at project start-up. The "start-up" STA would be responsible for establishing a solid foundation for the project in terms of: 1. PMU establishment; 2. Inception Report; 3. Monitoring and Evaluation, including establishing baseline and confirming indicators, targets and monitoring of project objectives/outputs. The initial STA may continue with the project, if approved, or a contract may be established to hire a second STA to provide technical assistance over the remainder of the project.

7. The indicators, baselines and targets established at the outset of a project are essential to assess the achievement of project results. The lack of verifiable indicators in SMSMCL SRF impaired the ability of the TE to provide evidence-based information that was credible, reliable and useful to a comprehensive assessment of the project. UNDP should take an active role to ensure the project SRF and/or TOC are addressed through effective monitoring and evaluation of project targets and steps taken early in the project cycle that aim to ensure the long-term sustainability of project outcomes and the achievement of the project goal.

8. At Project Inception "SMART" criteria (Specific, Measurable, Achievable, Relevant, and Time-bound) should be used to assess SRF indicators and targets. This is particularly important to identify and revise indicators and targets that are determined to be "questionable" or "non-compliant" in regard to the criteria for "Measurable" and/or "Achievable". In this way the refinement of indicators and targets can occur as early as possible in the project cycle.

Project Monitoring and Evaluation

9. It is recommended that the proposed project budgets for M&E are reviewed by UNDP at project design stage to ensure the budget for M&E is sufficient to cover all costs. Budgeting for M&E must consider more than the budget for a staff position. The budget must include all costs associated with M&E, which in some cases can be substantial, including the costs for external data acquisition (e.g. satellite or orthoimagery), sub-consultant costs (salary, transport, accommodation, etc.) to conduct measuring tasks such as baseline and endline surveys, measure tools costs (e.g. tablets, software, etc.) needed to complete monitoring and evaluation tasks.

10. To fully evaluate long term sustainability, it is recommended UNDP initiate programs that conduct post-project monitoring of results. In the case of the SMSMCL project sustainability is dependent on trees planted during the project being maintained post-project to ensure their growth and establishment and the environmental benefits envisioned.

Project Reporting

11. NIM projects are dependent upon effective and efficient government financial management support. In Samoa the MoF has robust procedures that ensure fair and secure financial management, supporting on average over 150 projects. The SMSMCL project worked with MoF to develop streamlined procedures to more efficiently engage NGOs through an MOU process. The time required for payment of a purchase order through the normal procurement process precluded timely quarterly reporting on the completion of project activities by the PMU that must be made on a "actual expenditures" basis according to UNDP reporting procedures.

12. UNDP "actual expenditures" reporting requirements should take into consideration the financial management procedures of NIM projects that may require extra time for a project to report on the completion of activities in quarterly reports.

13. The information provided in PIRs assess the ability of a project to provide ongoing assessment and reporting of ProDoc indicators, baselines and targets. When data is not available to report on indicators, baselines and targets UNDP should investigate the root causes and assist the project in implementing changes required to address the issues identified.

Project Exit Strategy

14. To enhance project sustainability a robust exit strategy should be created that informs participating stakeholders and beneficiaries of project closure and develops a comprehensive strategy to achieve the long-term goal articulated in the TOC. An exit strategy should be developed and initiated at least two years prior to project closure and preferably earlier such as during the inception phase to ensure development of a TOC and an early recognition of an approach(es) that will contribute to sustainability (i.e. replication and scaling-up to achieve the TOC).

15. The development of an exit strategy should be a ProDoc requirement with the development of an exit strategy beginning early in the project cycle as part of the M&E strategy and implementation of the exit strategy beginning around two years prior to project closure. The purpose of the exit strategy is to ensure the orderly closure of a project and the sustainability of post-project activities directed at achieving the long-term goal as defined by the Theory of Change.

16. The "communication component" of projects makes an important contribution to advocacy and the behavioral change(s) that contribute to long term sustainability of a project's TOC. Project budgets supporting communication activities should be

consistent with the important contribution this component makes to project sustainability.

COVID-19 Global Pandemic

17. Travel restrictions associated with the COVID-19 pandemic prevented the international TE consultant from travelling to Samoa precluding the normal field work that would be associated with a TE. The TE consultant role of primary investigator and report author was constrained to internet-based interviews using Zoom, Skype and FaceBook Messenger. Where possible and where the internet connection was good, face-to-face meetings were conducted. It should be noted, however that interviews conducted remotely with or without face-to-face communication, lack non-verbal communication, which is documented to contribute 50% or more to human communication.

18. Using a remote-based interview approach to the evaluation of ***successful components of a project*** generally proceeded smoothly with a good level of confidence producing evidence-based evaluation results. The same cannot be said for the evaluation of ***less successful or challenging components*** of the project, as this evaluation component is dependent upon in-depth, interactive discussions that occur when the international evaluator is in the field interviewing project stakeholders individually and in focus group discussions.

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Acronyms and Abbreviations

CBD	Convention on Biological Diversity
CIM	Coastal Infrastructural Management (Plan)
DEC	Division of Environment and Conservation
FAO	Food and Agriculture Organization of the United Nations
GDP	Gross Domestic Product
GEF	Global Environment Facility
GHG	Green House Gas
INRM	Integrated Natural Resource Management
KBA	Key Biodiversity Area
LD	Land Degradation
LDC	Least Developed Country
MAF	Ministry of Agriculture and Fisheries
MESC	Ministry of Education, Sports and Culture
MoF	Ministry of Finance
METI	Matua i le ōō Environmental Trust Inc.
MNRE	Ministry of Natural Resources, Environment and Meteorology
MWCSD	Ministry of Women, Community, and Social Development
NBSAP	National Biodiversity Strategy and Action Plan
NIM	National Implementation Modality
NGO	Non-governmental Organization
NUS	National University of Samoa
OLSSI	Ole Si'osi'omaga Society Incorporated
PB	Project Board
PM	Project Manager
PMAT	Portfolio Monitoring and Tracking Tool
PMU	Project Management Unit
PUMA	Planning and Urban Management Agency
SACEP	Samoa Agriculture Competitiveness Enhancement Project
SDS	Strategy for the Development of Samoa
SFA	Samoa Farmer's Association
SIDS	Small Island Developing States
SLM	Sustainable land management
SMSMCL	Strengthening multi-sectoral management of critical landscapes
SMART	Specific, Measurable, Achievable, Relevant, and Time-bound
STA	Senior Technical Advisor
UNDP	United Nations Development Programme
WIBDI	Women in Business Development Inc.

1 Introduction

1.1 Purpose of the Evaluation

The objective of the Terminal Evaluation (TE) of the ***Strengthening multi-sectoral management of critical landscapes*** (SMSMCL) project as stated in the Terms of Reference (TOR) (see Appendix 1) is:

> *"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 TE provides evidence-based information that is credible, reliable and useful to provide a comprehensive assessment of the project's two main outcomes and four outputs:

Outcome 1: Communities and farmers are able to undertake and benefit from integrated land and water management on their traditionally owned land.

Output 1.1: Landowners engaged in farming in the targeted communities increase village land area under Sustainable Land Management practices

Output 1.2: Community leaders in targeted villages endorse participatory action plans and engage in sustainable land management practices on village land.

Outcome 2: Strengthened national enabling environment to promote integrated landscape management though local households and communities.

Output 2.1: National agencies involved in land use activities are able to effectively coordinate field interventions using a multi-sectoral approach.

Output 2.2: Policy makers and key stakeholders have an increased knowledge of Sustainable Land Management through services and training.

The methodology for the TE is based on guidance provided in the TOR and on the UNDP Programme and Operations Policies and Procedures (POPP), UNDP Evaluation Guidance for GEF-Financed Projects - Version For External Evaluators (2011), Handbook on Planning, Monitoring And Evaluating For Development Results (UNDP 2009), and GEF Monitoring and Evaluation Policy (UNDP 2010). The TE reviewed relevant project documentation and engaged stakeholders and beneficiaries in virtual interviews to understand their perspective of the project in terms of the benefits received, the capacity built, and adoption and implementation of activities supporting the project objective:

Project Objective: *to strengthen local capacities, incentives and actions for integrated landscape management in order to reduce land degradation and greenhouse gas emissions and promote nature conservation whilst enhancing sustainable local livelihoods*.

Key stakeholders were identified in consultation with UNDP CO and the Project Management Unit (PMU). Stakeholder consultations followed ethical guidelines to ensure safe, non-discriminatory, and respectful engagement of stakeholders following UNEG Ethical Guidelines for Evaluations (UNEG 2008). Those who participated in the evaluation were informed of the purpose of the evaluation, that their participation was voluntary and that all information collected was confidential and anonymous. The engagement approach went beyond simple questioning and encouraged *self-reflection and action-oriented learning*.

1.2 Scope and Methodology

The proposed methodology for the TE was modified due to travel restrictions resulting from the COVID-19 pandemic in 2020. In particular the field mission was postponed until such time travel restrictions would be lifted to permit international travel between Canada and Samoa. The desk review proceeded utilizing the available electronic documents provided to the TE consultant in an electronic DropBox. A remote interview schedule was developed with select stakeholders in consultation with UNDP CO and the PMU.

A TE Inception Report was provided for review and input from UNDP CO and the PMU. The Inception Report included a list of detailed questions around the evaluation headings of relevance, effectiveness, efficiency, sustainability, impact and gender and for each question the table outlined targets, data sources, and data collection methods (Appendix 2). Table 1 below outlines the timetable of the TE.

Table 1: SMSMCL Terminal Evaluation Timetable

Evaluation Activities	Timetable (2020)
1. Preparation of draft TE Inception Report	March 20th
2. Finalize and Validate TE Inception Report	March 27th
3. Conduct desk review of available project documents	March 16th to April 30th
4. Conduct remote interviews with selected stakeholders	March 30th to April 28th
5. Presentation of Preliminary Results	April 24th
6. Preparation of draft TE report for review	May 10th
7. UNDP & PMU review of draft TE report	May 10st to June 3rd
8. Incorporate feedback and submit final TE report	June 29th
9. Field validation mission	date TBD

1.2.1 SMSMCL Terminal Evaluation Desk Review

The evaluation reviewed and analyzed documentation as listed in the TOR, documents reviewed included:

- Project Document (ProDoc) and Project Inception Report
- Project Extension Report
- Annual Project Implementation Review (PIR)
- Quarterly Progress Reports
- Annual and Quarterly Work Plans
- Project Board (Steering Committee) Meeting Minutes
- Mid-Term Review / Evaluation and Project Management Response
- GEF Focal Area Tracking tools (LD PMAT)
- Project Monitoring Framework / Reporting
- Financial Reports
- Project publications

- Project Technical Reports
  - Gender Analysis
  - Gender and Social Inclusion Plan
  - Biodiversity Audits

1.2.2 SMSMCL Stakeholder Interviews

The TE TOR identified a 10 day in-country field mission to conduct stakeholder interviews, complete site visits to project communities and sites and to validate information reviewed in the desktop review. Due to travel restrictions resulting from the COVID-19 pandemic the field mission has been postponed until such time travel restrictions are lifted to permit international travel between Canada and Samoa.

In lieu of the field mission the TE followed a participatory and consultative approach utilizing remote stakeholder interviews with the best available communication technology, including Skype, FaceBook Messenger, and Zoom. Separate lists of summary evaluation questions were prepared for Government stakeholders, Communities and Farmer groups, and NGO implementing partners (Appendix 3). Summary questions were distributed to stakeholders to provide an outline for the remote interviews.

With assistance from UNDP CO and the PMU who, for some interviews were on-site to facilitate the necessary internet connection, a total of 52 individuals and organizations participated in remote interviews (see Table 2). Interviews with model farmers was gender balanced, providing good insights from project beneficiaries. In the NGO community a larger proportion of women were interviewed as a result of interviews with a group of women from the Samoan Women's Association of Growers (SWAG). A complete list of interview participants is provided in Appendix 4.

Table 2: Summary of Stakeholders Interviewed

Stakeholders	# Interviewed	
	Female	Male
Project Management Unit (PMU)	2	3
Senior Technical Advisor (STA)		2
Ministry of Natural Resources & Environment (MNRE)	2	5
Ministry of Finance (MoF)	3	
Ministry of Agriculture and Fisheries (MAF)		1
International Project Consultants	1	4
Model Farmers and Model Farmer Groups	5	6
University of Samoa	1	
Non-Government Organizations (NGO)	6	3
UNDP Samoa Country Office (UNDP CO)	6	1
UNDP Regional Technical Advisor (RTA)		1
Total	**26**	**26**

2 Project Description and Development Context

2.1 Project Overview

This SMSMCL project is the first upscaling initiative by the Government of Samoa to ensure land degradation issues across all levels of society are well addressed through the integration of sustainable landscape management in the planning framework and actions across multi-sectoral arrangements in order to achieve the Government of Samoa's long-term goal of:

> "*Samoa's productive landscapes are protected and sustainably managed to mitigate land degradation and to increase soil carbon sequestration so as to contribute to poverty alleviation and mitigation and adaptation to climate change impacts, as well as to contribute to global environmental benefits by overcoming barriers to integrated sustainable land management*."

The primary objective of the SMSMCL project is to strengthen local capacities, incentives and actions for integrated landscape management in order to reduce land degradation and greenhouse gas emissions and promote nature conservation whilst enhancing sustainable local livelihoods.

In order to achieve this objective, the SMSMCL project supported local household and community actions to reduce pressures on natural resources from competing land uses in the wider landscape. This was bolstered by the development of national and local capacities and creating incentives in Samoa for effective integrated landscape management that consisted of actions to reduce major anthropogenic causes of land degradation and greenhouse gas emissions from land-use changes or practices, and promoted restoration and conservation of ecosystems leading to increased biodiversity conservation status and the improvement of ecosystem services.

Implementation programs & priorities

- Sustainable Land Management (SLM) & Sustainable Agriculture Practices (SAP)
- Management of Key Biodiversity Areas (KBAs/CCAs)
- Soil Conservation & management
- Ecological Restoration of Degraded areas
- Livestock relocation & management of pig free roam
- Payment for Ecosystem Services (PES Scheme) and Reducing emissions from deforestation and forest degradation (REDD+)
- Integration of SLM into Education Curriculum
- Integration of SLM into Government Sector e.g. MAF Agriculture Sector Plan
- Sustainable Land Management Village Plans (SDVPs) Review
- Sustainable Land Management Plans created
- SLM Policy Review & Assessment
- Civil Society Organizations (CSO) Implementation component

2.2 Key Results and Assumptions

The SMSMCL project aimed to achieve two key results or major outcomes, and several outputs under these outcomes:

> ***Outcome 1: Communities and farmers are able to undertake and benefit from integrated land and water management on their traditionally owned lands (composed of different ecosystems and agriculture, fisheries and livestock production systems);***

In recognition of Samoa's traditional ownership of most of its land resources, the project's emphasis is on SLM through active participation of local communities to manage the wider landscape which they own and utilize. The SMSMCL project took a multi-pronged approach of promoting wider community-led sustainable land and water management actions and targeted households to assist them to convert from land degrading activities to sustainable land management actions.

> ***Output 1.1***: Increased land productivity and benefits at farmers' household level through adoption of sustainable land and water management.

The project assisted farmer households to adopt sustainable land and water management practices on parcels of land they utilize under household management. The project was to work with at least 5,000 farmer households in targeted landscapes to assist them to adopt improved land and water management practices and to also assist households outside these areas through a network of local NGOs, like the Samoa Farmer's Association (SFA) among others.

Through the support of the SMSMCL project, it was expected that at least 62,730 hectares of agricultural and forest land would have improved soil and water conservation and management practices. This was to include at least 18,000 hectares cultivated with ecologically sustainable traditional agricultural practices bolstered by integration with environmentally friendly climate and pest resistant crop varieties, mixed cropping, organic farming, agroforestry, contour/alley/terracing farming, and another 43,800 hectares covered with indigenous tree plantations under community management.

The project was intended to support the promotion of organic farming and more integrated ecologically sensitive farming to reduce the use of agrochemicals, improved SLM and Sustainable Forest Management (SFM) and compatible land-use by farming households such as: organic fertilizer use, low tillage agriculture, agro-forestry and alley cropping, tree plantations on sloping and contour mountain areas, and mixed cropping, as well as terracing-improvement measures on sloping/hilly or marginal lands, as appropriate.

The SMSMCL project was also to strengthen the adoption of a more mixed cropping as most lands that were currently producing well under farmer's expectations have been and still are cultivated with taro only. A shift from this mono-cropping practice into a more SLM friendly mixed-cropping approach was to come from the community itself and it was critical to establish community core groups to take the lead to make a difference.

> ***Output 1.2:*** Participatory village action plans formally agreed between local community leaders and the government and implemented through community participation, leading to improved SLM over traditionally owned landscapes.

The project was tentatively targeting the promotion of SLM activities in at least 126 villages. With existing sustainable village development plans for the 26 villages identified, this planned to integrate SLM into those plans, and expand to at least 24 further villages. The

SMSMCL project targeted to complete at least 50 village development plans that would have integrated SLM component ensuring the participation of 1,500 community member including men, women and youth.

The project was also to assist selected communities to develop participatory land use action plans using participatory methodologies e.g. Participatory Rural Appraisal tools as well as through the use of other tools e.g. web-available photos and maps so that they can analyse and plan conservation, restoration and management planning

Outcome 2: Strengthened national enabling environment to promote integrated landscape management through local households and communities.

The primary focus of the project was to strengthen national legal and institutional capacities to support community and landscape level SLM nationally. The project was seeking to strengthen not only government institutions that have mandates on SLM, but also other relevant sectors, NGOs, academia and the private sector. The following are the two main outputs under this Outcome.

Output 2.1: Strengthened frameworks to promote locally appropriate SLM through multi-sectoral approach, including technology transfer and information dissemination systems.

The project was to effectively support the Government of Samoa to increase and to reinforce institutional collaboration at the national level amongst government agencies that have direct relevance to SLM, especially among MNRE, MAF, and MWCSD to manage multi-use landscapes through combined efforts, shared technical resources and for agencies to boost collaborations thus strengthening a multi-sectoral approach.

Output 2.2: Systematic national capacity enhancement on SLM for policy makers, communities, private sector, and NGOs

The focus of this component was to build capacities of national policy makers and practitioners of SLM at the national level to have the up-to-date knowledge, tools and capacities to support household level, community and cross-community level SLM activities. A summary of key activities under this output include the following:

1. Building national capacities to assess GHG emission reduction and sequestration through SLM activities through building on global best practices and examples such as REALU, and the GEF funded Carbon Benefits Project.
2. Developing and implementing multi-sectoral approaches to Key Biodiversity Area (KBAs) management planning and implementation. The project will assist in the development of inter-sectoral approach to develop management plans for at least four KBAs as identified: Uafato-Tiavea Coastal Forest, the Apia Catchments, Central Savaii Rainforest and the Falealupo Peninsula with a total estimate coverage of 84,888 hectares.
3. The project will also organize other relevant SLM related training to government staff and by the end of the project, at least 100 staff from MNRE, MAF, MWCSC have completed the SLM training at USP.
4. The project will also support the development and institutionalization of at least one long term courses in undergraduate students in Samoa.
5. Developing and disseminating awareness and capacity building materials for local communities in the local language: Soils and water conservation/management manual targeting local communities in local language will be development as well as other relevant audio-video communication materials.
6. National SLM information system in line with information system for national

Environment Management Strategy will be established and will be accessible to all stakeholders including an interactive web-based decision support/information system available in English and Samoan languages for national and local authorities and local communities.

2.3 Development Context

Samoa is a Pacific Islands nation consisting of four main inhabited islands (Upolu, Savai'i, Manono and Apolima) and six smaller islands. The islands are of volcanic origin with rugged mountainous topography and steep terrain. Narrow coastal plains rise to mountain peaks of 1,859 m on Savai'i Island and 1,113 m on Upolu Island.

Samoa is located approximately 14^0 south of the equator, experiencing a warm tropical climate (average monthly temperature 22^0 to 30^0 C) with a marked wet season (November to April) and dry season (May to October) and annual rainfall of over 3000 mm. The El Niño Southern Oscillation can affect wet season temperatures and rainfall.

The majority of land remains natural as open and closed forest, wooded scrub, grasslands and wetlands (>68%). Natural forest cover has declined from 74% in 1954 to 58% in 2013. Agricultural land currently occupies about 25% of the land, consisting of mixed crops (6%) taro, bananas, breadfruits, yams and plantations (19%) of cacao and coconut.

Samoa's flora consists of 500 species of native flowering plants with about 25% endemic to Samoa. Faunal diversity includes 13 species of terrestrial mammals, 44 species of land birds, 21 seabirds, 15 reptiles, 59 species of insects, 64 species of land snails and 28 species of butterflies. Samoa's fish fauna is regarded as among the richest in the world, with up to 991 species recorded. The 2009 IUCN Red List of Threatened Species lists 11 terrestrial and 65 marine species as globally threatened, but the true number of threatened species in Samoa is much higher, perhaps in the hundreds (Convention on Biological Diversity https://www.cbd.int/countries/profile/?country=ws).

Samoa is defined as a Small Island Developing State (SIDS) with a population of 196,440 in 2017. The population is predominantly rural and agriculture is a major contributor to household subsistence. Natural resource exports (agriculture and fisheries) contribute 90% of exports. GDP is made up of the service sector (66%) and an increasing tourism sector (25%).

Customary land which is owned and managed following traditional extend family practices headed by *matai* accounts for 81% of land in Samoa. Public (government) land makes up 15% and 4% is freehold land.

2.4 Threats to land and water resources

The key threats identified in the SMSMCL Project Document are summarized below:

1. ***Land Use Change*** – economic development programs have in the past focused on the utilization of Samoa's natural resources through agricultural development, particularly plantations of coconut, cocoa and banana and taro. This has led to forest clearance, particularly coastal areas, forest fragmentation and the degradation of land through intensive, unsustainable agricultural practices. Impacts from land degradation extend to wetlands and coastal marine ecosystems through erosion and sedimentation.

2. ***Unsustainable Harvesting of Products*** – fuelwood and construction materials harvesting of terrestrial and mangrove forests was estimated at 1,500 hectares/year in 2005. Logging was banned in 2009, however, domestic used of forest products continues to degrade the quality of forest and mangrove ecosystems.

3. ***Pollution*** – poor household treatment of sanitary waste results in e-coli contamination and eutrophication of water. The increased use of agricultural fertilizers and pesticides and their runoff in the seas is suspected to cause die-back of lagoon coral reefs.

4. ***Invasive Alien Species*** – there is a large number (>80) of invasive plants and animals in Samoa, many of which have the potential to severely impact native species and ecosystems.

5. ***Extreme Weather Events, Seismic Events and Tsunamis*** – ecosystems and human infrastructure and well-being are at risk from natural events due to Samoa's location relative to tropical cyclones and tectonic activity. Climate change is predicted to result in less frequent but more intense cyclones, increasing temperatures and associated high heat days and more variable rainfall with an increase in annual rainfall and extreme rainfall events in the wet season and a decrease in dry season rainfall (PCCSP 2011).

3 SMSMCL Terminal Evaluation Findings

3.1 Project Design / Formulation

The project design was appropriate in that it used a "multi-sectoral SLM approach" to address the multiple causes of land degradation and to engage multiple government and non-government sectors to prevent ongoing land degradation and to restore existing degraded lands.

The multi-sectoral approach of the SMSMCL project embarked on two key fronts which informed the Strategic Results Framework objective and two outcomes (Table 3):

- Work with communities to better understand and identify issues related to the causes of land degradation and options for SLM, including working with government and non-government organizations.
- Enhance the capacity of government (particularly MNRE and MAF) and ENGOs to provide technical and financial support for improved SLM in Samoa.

The SMSMCL project design is well aligned with GEF-5 Land Degradation funding and the project objective and two outcomes are in line with GEF-5 Objective 3 – Integrated Landscapes (see Table 3).

Table 3: Alignment of SMSMCL project with GEF-5 Land Degradation Strategy

SMSMCL Objective and Outcomes	**GEF-5 Objective** and **Outcomes**
SMSMCL Project Objective To strengthen local capacities, incentives and actions for integrated landscape management to reduce land degradation and greenhouse gas emissions and to promote conservation whilst enhancing sustainable local livelihoods.	***GEF-5 Objective 3 Integrated Landscapes*** Reduce pressures on natural resources from competing land uses in the wider landscape.
Outcome 1: Communities and farmers are able to undertake and benefit from integrated land and water management on their traditionally owned lands.	***Outcome 3.2:*** Integrated landscape management practices adopted by local communities.
Outcome 2: Strengthened national enabling environment to promote integrated landscape management through local households and communities.	***Outcome 3.1:*** Enhanced cross-sector enabling environment for integrated landscape management.

The SMSMCL project also worked within the context of making a substantial contribution to achieving Samoa's Sustainable Development Strategy (SDS) 2012-2016 as noted by contributions made to SDS Indicators shown in Table 4.

Table 4: SMSMCL project contributions to Samoa's SDS 2012-2016 Targets	
SDS 2012-2016 Indicators	**SMSMCL Contributions**
• Increase percentage of land area covered by forest;	• Area under forest cover (no net loss due to land use conversion) under effective management achieved 132,075 hectares
• Proportion of land area planted under the community forestry program;	• Forest areas rehabilitation through promoting native tree planting and protected under village by-laws = 7,260.43 hectares.
• Increase number of terrestrial and marine areas and critical ecosystems and species protected;	• Increased density and diversity of native tree species in cyclone damaged landscapes around Apia planted 20 hectares
• Number of species threatened with extinction decreased	• 4 new KBA Management Plans for Uafato & Ti'avea, Falealupo, A'opo = 109,428 hectares. • Commitments made through village community consultations and/or Biodiversity Surveys completed towards the development of Management Plans = 15,132ha. • Review to update and improve Management Plan for Ole Pupu'e = 3,490ha. • Newly established Community Conservation Areas (CCAs) under village by-laws = 1,765ha.
• Expansion of ground water monitoring network;	• The project carried out surface water samples and testing in key target sites, including where fencing was installed to stop livestock grazing in riparian areas.
• Percentage of rehabilitated degraded lands and improved critical landscapes;	• Area under increased vegetative cover achieved 16,756 hectares • Around 10,000 cattle (30% of the baseline number of cattle) have either been relocated or fenced off from riparian areas for improved management of critical landscapes
• Increase community awareness on water catchment areas and risk of unsustainable methods of farming;	• Farmer households adopting at least one or more soil / water management and conservation practices on agricultural lands achieved households adopting soil management and conservation practices on their land covering at 5,540 hectares • Number of farmers engaged in organic farming practices achieved a 30% increase in number of households engaged in organic farming practices
• Increase land areas declared as water catchment reserves;	• 7,500 hectares of increased cover in riparian areas as a result of removing livestock
• Improve compliance with land used management plans.	• 38 villages participated in SLM planning, including 26 villages that had their Village Sustainable Development Plans reviewed in partnership with NGO OLSSI to identify SLM priorities, and another 12 villages that have SLM Plans developed by PMU team

The SMSMCL project is a National Implementation Modality (NIM) project with the PMU based in the Ministry of Natural Resources and Environment (MNRE) Land Management Division. The financial management of project funds, including procurement of goods and services supporting the project, are managed by the Ministry of Finance (MoF) of the Government of Samoa. As a NIM project, the implementation activities and project reporting which is on a "cash paid" or actual expenditures basis, depends on the capacity and effectiveness of the existing financial system. Financial management is one of the "in-kind" co-financing contributions to the SMSMCL project.

Lessons Learned

A "multi-sectoral SLM approach" is an excellent project design to address the multiple causes of land degradation through the engagement of multiple government and non-government sectors in activities designed to prevent ongoing land degradation and to restore existing degraded lands.

3.1.1 Project Strategic Results Framework

The SMSMCL Strategic Results Framework (SRF), its goal, objectives, outcomes with verifiable indicators, baselines and targets form the foundation of the SMSMCL project. The SRF has undergone changes over the course of the project. Referring to SMSMCL indicators, targets, means of verification, sampling frequency and location, the ProDoc stated, "*These will be further refined during project inception"*.

At the project inception phase, review and refinement was undertaken by the SMSMCL Project Team consisting at that of the Project Manager (PM) and Senior Technical Advisor (STA) with engagement of the UNDP Regional Technical Advisor (RTA). As reported in the SMSMCL Inception report:

> *There was also much concern with the very high targets expected based on local experience and capacity in SLM and Forestry work on customary land.*
>
> *There is a major disconnect between the prescribed targets in the project document and the actual capacity of the project to achieve these targets (MNRE, 2014).*

Despite the concerns raised only minor changes were made to the SRF targets and the inception report stated, "*…when new information is available for measuring main indicators that this be used to re-assess both baseline and targets in the same proportions as originally intended"*. The inception report concluded that "*Key stakeholders agreed that Output indicators and their targets were generally achievable by the project*."

TE investigation of the early review and refinement of the SRF indicators and their targets revealed the first STA raised the issues of the targets in October 2014 during the first review of Project Documents which identified key issues to be presented to and debated by the Project Board (PB). At the project inception phase, the Project Team clearly recognized the need to refine indicators and targets and significant proposed changes were presented to

the PB, who reviewed and endorsed the proposed changes at the Second Board Meeting (9th October, 2014).

The proposed changes endorsed by the PB were not supported by UNDP. The STA and PM were told by the RTA that changes to targets were not possible after having been approved in the ProDoc by GEF. As such the SMSMCL project proceeded with the knowledge that some SMSMCL indicators could not be measured and/or some targets could not be achieved.

The Mid-Term Review (MTR) of the SMSMCL project completed in November 2016, used "SMART" criteria – Specific, Measurable, Achievable, Relevant, and Time-bound – to assess SRF indicators and targets. Of particular concern are those indicators and targets which the MTR determined to be "questionable" or "non-compliant" for "Measurable" and/or "Achievable" criteria at the mid-way point of the project. The MTR SMART results were consistent with what was recommended by the Project Team to the PB in 2014 and during the inception phase and workshop in 2015.

Appendix 6 provides all MTR indicator evaluation tables. Summary results of are as follows:

- ***Objective Indicators and Targets*** one was not compliant and three were questionably compliant for one or more of the SMART criteria;
- ***Outcome 1 Indicators and Targets*** four were not compliant and three were questionably compliant for one or more SMART criteria; and
- ***Outcome 2 Indicators and Targets*** all were compliant with SMART criteria.

Following the MTR, a Post MTR mission was conducted by an international consultant to report on progress towards addressing MTR comments and prepare a strategy and action plan to improve project reporting (monitoring and evaluation) and revise the SMSMCL SRF. The Post MTR mission report was considered to be a working document supporting adaptive management and one of the recommendations was:

> ***Recommendation 1:*** *Submit the revised SRF to the GEF at the earliest possible date. The revised SRF (separate Annex 1) should be finalised and agreed by the Project Executive Board (PEB) and submitted as soon as possible (before January 2018) to the RTA with a request that it is submitted for approval by the GEF. Ideally this should be at the same time as the project extension request is made.*

The Post MTR report (January 2018), which included a revised SRF in response to MTR Recommendation 1, was shared with the RTA in July 2018. A revised SRF was approved by the PB in October 2018, and this was again sent to the RTA in January 2019, two years after the MTR had identified issues associated with the projects SRF indicators and targets. TE report Section 3.2.2 Project Monitoring and Evaluation provides further discussion regarding the revised SRF indicators and targets.

It is noteworthy that the SRF indicators provided some opportunity to use and assess gender-disaggregated data, with one of the original indicators being:

> *At least 500 Households benefitting - men and women equally from adopting SAPs and/or conservation practices*

and one of the revised indicators being:

> *At least 50 villages have developed plans integrating SLM with the participation of 15,000 community member including men, women and young*

Monitoring and evaluation by the project did not, however, provide gender disaggregated data nor were gender specific targets established.

Lessons Learned

The lack of resolution on issues associated with SRF indicators, targets and baselines has impacted the ability of the SMSMCL project to report on the success of SLM activities within communities and the work undertaken to enhance the capacity of government to scale up SLM activities in the future.

3.1.2 Risks and Mitigation Measures

The risks and mitigation measures and level of risk ratings identified in the ProDoc are re-assessed in Table 5 below. Risk identified by the SMSMCL ProDoc in regard to the participation and commitment of communities turned out to be of lower risk than anticipated and they are now determined to be lower by the TE. The risk associated with implementation of a strong multi-sectoral approach to SLM by the ProDoc was valid and it continues to be a substantial operational, organizational and strategic risk until a formal institutional coordination mechanism for multi-sectoral SLM is established. The TE also identified an ongoing significant financial risk to implementing SLM as government stakeholders indicated community SLM activities, such as those carried out by the SMSMCL project, are reliant upon external funding such as was provided by the UNDP GEF supported project. Other risks such as social, environmental, political, regulatory, safety and security are negligible in terms of implementing SLM.

Table 5. Analysis of ProDoc Risk Ratings and Mitigation Measures at Design Stage and at the time of Terminal Evaluation. Risk ratings used in the ProDoc were Low, Medium and High. Risk rating used in the TE follow UNDP Enterprise Risk Management (ERM) Effective Date – 13/03/2019, and are based on a combined assessment of likelihood and impact to determine a rating of High, Substantial, Moderate or Low using the ERM Risk Matrix.

Table 5. Analysis of ProDoc Risk Ratings and Mitigation Measures at Design Stage and at the time of Terminal Evaluation.				
Risks Identified in ProDoc	**Pro Doc**	**TE**	**Mitigation Measures Indentified in ProDoc**	**Terminal Evaluation Comments**
Lack of past experiences on a strong inter-sectoral approach for SLM in the past, especially with the MWCSD	**Medium**	**Substantial**	Though the envisaged inter-sectoral approach for SLM is a fairly new concept for Samoa, there have been other projects that have been implemented in an inter-sectoral approach - particularly on adaptation to climate change. This project was designed with close cooperation and collaboration with different government Ministries, and with participation of NGOs as well. Thus, there is considerable understanding and support for this inter-sectoral approach. The implementation of this concept in actual field situation will be the main challenge for the project. For this, the project will invest adequate time and resources to identify key issues where truly inter-sectoral approach is necessary, and where coordination alone is adequate, and where different agencies may lead some parts of the activities. This will be done during the project inception phase.	***Likelihood: Moderately Likely (3)*** The SMSMCL project has reinforced and in some cases introduced the concepts of a multi-sectoral approach for SLM. The intent to establish a formal institutional coordination mechanism that includes relevant stakeholders was not achieved by the project. ***Impact: Extensive (4)*** Future SLM initiatives will in many cases (30-50% of the time) be conducted by individual agencies without a multi-sectoral approach ***Mitigation Measures:*** The TE recommends the establishment of a formal institutional coordination mechanism that includes relevant government ministries, NGOs and private sector working collaboratively to manage multiuse landscapes through their combined efforts and shared technical resources in SLM.

Table 5. Analysis of ProDoc Risk Ratings and Mitigation Measures at Design Stage and at the time of Terminal Evaluation.				
Risks Identified in ProDoc	**Pro Doc**	**TE**	**Mitigation Measures Indentified in ProDoc**	**Terminal Evaluation Comments**
Low levels of participation by local people as most local communities do not see national projects as primarily benefiting them.	**Medium to Low**	**Low**	The project has clearly articulated an Output (1.1) that will assist the households to undertake improved soil and water conservation measures, including conversion to organic farming. This is expected to lead to an increase of household incomes on average by 10%. Thus, the project has been designed to ensure that communities and households benefit directly from the project and that such likely benefits have been communicated widely during project design phase. Please refer to socioeconomic benefits section for more details.	***Likelihood: Low Likelihood (2)*** The SMSMCL project demonstrated communities are interested in participating in SLM, such as organic farming and tree planting without immediate financial benefits ***Impact: Minor (2)*** To be effective participation must continue post-project, with long-term commitment to providing technical support for organic agriculture and maintenance of planted trees ***Mitigation Measures:*** TE report recommends follow-up support and monitoring to ensure SMSMCL project commitments continue post-project.

Table 5. Analysis of ProDoc Risk Ratings and Mitigation Measures at Design Stage and at the time of Terminal Evaluation.				
Risks Identified in ProDoc	**Pro Doc**	**TE**	**Mitigation Measures Indentified in ProDoc**	**Terminal Evaluation Comments**
Local SLM commitments will not be able to strong enough to deter land use practices that are contrary to SLM objectives, especially if sudden global rise in prices of exported agricultural commodities (such as Taro) become attractive proposition for communities to convert landuse	**Medium to High**	**Moderate**	Local decision making on land allocation and wider landuse in Samoa are primarily under the domain of traditional chiefs in a community. In order to ensure that village Chiefs understand the importance of SLM for the sustainability of their own land and water resources, they will also be focal targets for awareness raising as well as for ''entering'' village level activities, so that there is support for them for project activities. The project will also ensure that village chiefs of villages that are able to plan and implement successful SLM actions are also used as champions to have peer-to-peer influence on other Chiefs. During community consultations, many have noted on how the price increases in Taro led to forest clearance on steep forest lands, only to lead to landslides and their abandonment after the price decreases (leading to the abandoned land being infested with invasive species) and thus most communities are keen to avoid this from repeating. The project will ensure that the soil and water conservation practices introduced are able to increase yields on-farm, without the need to expand to natural ecosystems.	***Likelihood: Moderately Likely (3)*** Some TE interview respondents suggested restored areas may be at risk of conversion to agricutural use in future and some indicated preference for the use of herbicides to control weeds in plantations. The latter are activities that do not support SLM. Concern was also raised in regard to sustaining ongoing commitment to the required maintenance of planted trees to ensure their establishment and growth. ***Impact: Intermediate (3)*** It is estimated 20% to 30% of SLM results may be impacted over the long term. ***Mitigation Measures:*** Continued support in the form of follow-up visits from government and their NGO and private sector parners is required to reinforce and support the concepts of SLM and to conduct monitoring of the completion of ongoing maintenance and tree establishment.

3.2 Project Implementation

3.2.1 Adaptive Management of Project Design

Adaptive management of the SMSMCL project has contributed to achieving SRF targets. For example, Outcome 1 envisioned community consultation and engagement in 126 villages as outlined in the ProDoc. While one-on-one community consultation contributes to engagement, the PMU quickly recognized that it did not have the time or staff capacity to conduct meaningful one-on-one community consultations, particularly in the context of respecting traditional cultural practices involving a working relationship built on trust and acceptance within communities. The adaptive strategy adopted was to ask communities to identify candidates to participate in SLM training sessions to be held at a suitable central location that permitted inclusion of the initial 126 villages in the SMSMCL project, including follow up activities after SLM training with select members of some communities that showed the most interest in the implementation of SLM training activities.

3.2.2 Project Monitoring and Evaluation

Effective monitoring and evaluation of project activities and results has been an enormous challenge for the SMSMCL project. Root causes of the challenge stem from the indicators and targets identified at the outset in the ProDoc SRF which had issues such as:

- indicators and targets were not clearly explained, leading to ambiguity in regard to what constituted a baseline and what measure(s) of project activities could be used to track progress;
- baseline data for targets that was not immediately available and would require significant effort to be acquired for the project;
- targets that were unrealistic in the context that they could not reasonably be achieved by the proposed activities within the timeline of the project;
- targets that included highly sophisticated data sets relying on expensive and technical data collection/analysis methods that were beyond the scope of the project;
- indicators and targets that were not aligned with the associated activities there were actually undertaken by the project.

The SMSMCL project had significant monitoring and evaluation tasks to be undertaken to meet the requirements of reporting on SRF targets. Many of the targets required substantial effort to collect, analyze and report on quantitative and qualitative measures of change. The SMSMCL ProDoc did not, however, identify a level of effort or budget consistent with the requirements associated with indicators in the SRF. The ProDoc did indicate that the measurement of project indicators was the responsibility of the PM who would "*oversee hiring of specific institutions and delegate tasks and responsibilities to relevant Project Administrative Team members*" to be finalized in the Inception Phase and Workshop.

The SMSMCL Inception Report recognized the importance of M&E and identified the need to engage a Geographic Information System (GIS) expert stating:

> *GIS Monitoring & Evaluation International Expert to develop full monitoring framework, monitoring tools, means of verification, reporting tools needed for the project's monitoring and reporting - as well as building internal capacity using SamFRIS and other tools to monitor project indicators. This was originally planned as part of the work of the Inception*

Phase International Expert, but axed [dismissed] *by the National Steering Committee during its February 2014 meeting to focus on the hiring of the Senior Technical Advisor. This remains a critical activity of the project and needs to be initiated early for the measurement of baseline for all project indicators. This work would provide for an assessment of MNRE information system and improvement needed to ensure SLM data is fully incorporated, updated and monitored from within the Ministry.*

At the time the MTR was completed, a GIS international expert had not been hired nor was there a monitoring framework in place, as such most baseline information was not established and monitoring protocols to measure project success had not yet been developed. The MTR stated, "*the project team seems generally unprepared to address the intense monitoring requirements"*. A recommendation of the MTR was to *"strengthen project monitoring and evaluation systems'* and the Post MTR report stated, *"there was a need for "greater emphasis on monitoring, evaluation and adaptation"*.

The role of UNDP in overseeing implementation of M&E focused on PMU financial and project activity reporting. UNDP's annual Project Implementation Review (PIR) progress reports did not identify nor attempt to correct the project's problems associated with M&E SRF indicators. In the 2016 PIR UNDP supported recruitment of a GIS monitoring and evaluation expert to develop a full monitoring framework and reported "*the project has also conducted a GIS mapping survey and preliminary biodiversity assessment surveys and water quality monitoring in the target landscape"*. No PIR report identified M&E as an issue in critical risk management.

Over the course of the project efforts were made to improve SRF indicators and targets. First during the inception phase, with a second refinement proposed in response to the MTR. The PB approved a revised SMSMCL SRF with revised indicators and targets at their 18th Meeting in October 2018. The revised SRF was reviewed by UNDP's Regional Technical Advisor and the advice given was to retain and report on the original indicators and targets, while also providing a narrative and reporting on the new proposed indicators. The latter approach was followed in the draft SMSMCL Final Terminal Report.

The Post MTR Mission report's proposed revisions to the SRF, along with notes on the proposed changes is provided in Appendix 5. A comparison of the SRF framework approved by the Project Board (October 2018) against the original SRF presented in the Project Inception Report (May 2015) is provided in Appendix 8.

Lessons Learned

The measure of GEF project success (indicators, baselines, targets) contained in the Project Document (ProDoc) should be reviewed during the Project Inception phase using SMART criteria. Refinements as necessary should be made to clearly establish a final set of indicators, baselines and targets at the end of the project inception phase to be approved by GEF. The further adjustment of indicators and targets later in the project cycle to match actual project activities should not be permitted as this precludes a meaningful and accurate assessment of project achievements against benchmarks.

The GEF Land Degradation Focal Area - Portfolio Monitoring and Tracking Tool (PMAT) was employed to assess project performance. One indicator in the SRF utilized the PMAT to verify increased capacities for Integrated Natural Resource Management (INRM). The rating score of 5 (INRM framework is enforced) used in the final PMAT for the SMSMCL project is considered high by the TE given no formal framework for INRM has been developed nor are there formal enforcement mechanisms for INRM. Similarly, the PMAT rating score of 5 given for "C*apacity Strengthening"* is also considered high by the TE, for similar reasons, given the framework, regulations, mechanisms, and structures for cross-sectoral management are not yet in place.

3.2.3 Project Coordination and Operation

The SMSMCL project has a conventional project setup as noted by the outline provided below of the Executing Agency, Project Board, Technical Support and Advisory Team, Other Partners and UNDP CO. Effective coordination and implementation of activities among these project stakeholders encountered issues that negatively impacted on project performance due to the following (see report sections identified for a full description):

- Slow establishment of PMU (see section 3.3.3 Efficiency)
- Effective management of M&E program (see section 3.2.2 Project Monitoring and Evaluation)
- Proposed revisions to SRF (see section 3.1.1 Project Strategic Results Framework)
- Delays due to procurement (see 3.3.4 Efficiency)
- Late preparation of Exit Strategy (see section 3.2.4 Exit Strategy)

Executing Agency MNRE – Project Management Unit

The Project Management Unit (PMU) is located within the MNRE Land Management Division, one of the smaller divisions with MNRE, and has the lead role in project execution. It is headed by a Project Manager (PM) and supported by PMU team members including, a Forestry Advisor, Agricultural Advisor, Communications Coordinator and Administration/Finance Officer. The PM reports directly to the CEO of MNRE and also receives support from an international Senior Technical Advisor (STA). Additional technical support to the PMU is provided through international and local consultants engaged to assist in specific project activities. Ten field assistants were recruited to assist the PMU with the implementation of project activities in communities and an additional five temporary workers assisted with the ecological restoration of the Apia central catchment.

The PMU was staffed with funding from the SMSMCL project, as such, it operated very much as a distinct entity within the MNRE – it had its own office, contract staff, budget lines, infrastructure, activities, and external consultants. At the end of the project this fully functioning entity – the "PMU Office of the SMSMCL Project" – was closed and removed from the MNRE, including the contract staff who were no longer being paid by the project. This raises the question as to why the SMSMCL project was not fully integrated into the MNRE with a "SLM Office" composed of salaried MNRE staff (co-financing) that would remain in place when the project closed. At the

> JUST PRIOR TO THIS GEF PROJECT THE LANDS DIVISION WAS A RECIPIENT OF ANOTHER SLM PROJECT, THAT CONSTRUCTED A SLM CENTRE IN ASAU AND THE SAME SITUATION REPEATED ITSELF, STAFF DISPERSED, EXPERTISE WAS LOST, AND ASSETS WERE NOT FULLY USED
> Samoan Consultant

end of the project this would ensure there was a SLM office with the experience and staff capacity to continue those activities of the SMSMCL project that were developed, tested and demonstrated to be successful in achieving a multi-sectoral approach to SLM.

Other Implementing Partners:
To achieve the multi-sectoral approach of the SMSMCL project the PMU worked with a number of implementing partners to collaborate on project SLM activities. These partners include the government Ministries of Agriculture and Fisheries (MAF), Women, Community and Social Development (MWCSD) and the Samoa Tourism Authority.

The MWCSD has protocols for community involvement in development projects and these were used to guide and strengthen partnerships between the SMSMCL project, MWCSD and the project communities. Reviewing the ProDoc it was noted that a partnership arrangement among the MNRE, MWCSD and MAF was envisioned with a Memoranda of Understanding (MOU). This is reflected as a target for Outcome 2. No MOU was established, highlighting the fact the project did not achieve the SRF target of *"a formal institutional coordination mechanism including all relevant ministries to ensure integration of SLM in all sectors to manage multiuse landscapes through combined efforts,* [and] *shared technical resources"*.

A MOU was signed between MNRE, MAF and the Samoa Tourism Authority to clearly identify roles and responsibilities of the three entities for the development of the Atele Agritourism Park.

The project effectively engaged NGO partners such as the Samoan Women's Association of Growers (SWAG), Samoa Conservation Society (SCS), WIBDI (Women in Business Development Incorporation) and Ole Si'osi'omaga (OLSSI). However, concerns were raised both by the NGOs and the PMU about their involvement in the project including:

- the involvement of NGOs very late in the project cycle and the extremely limited time available to undertake meaningful activities with beneficiaries;
- NGOs noted the disbursement of funds to initiate work was slow (as a result of MOF financial procedures, (see report section 3.3.4) and in at least one instance the funds required to complete contract activities were cancelled;
- NGOs felt false expectations were raised by the project in terms of funds that communities might receive to implement priority activities identified in Village Sustainable Development Plans (VSDP) that were prepared with assistance from NGOs. Of the 26 VSDP updated by OLSSI, only two received follow-up funding from the SMSMCL project to implement priority activities. This placed the NGO in the difficult position of having to go back and inform communities they would not receive the support from the project they had anticipated to implement VSDP.
- the environmental NGO community in Samoa is relatively new and do not have extensive experience participating in large government projects such as SMSMCL, as such most NGOs experience difficulties with the administrative, financial management and reporting requirements set out in their contractual MOU agreements which can, in turn, impact the ability of the PMU to successfully complete project activities and meet project timelines.

The PMU organized workshops and hosted one-on-one meetings with NGOs to develop capacity among the local NGO community in developing proposals, and the administration, financial management and reporting requirements of MOUs.

Engagement of the National University of Samoa (NUS) was beneficial to the SLM Training of Trainers (TOT) exercise organized by the SMSMCL project and more importantly collaboration with the SMSMCL project lead to the development of both a Diploma in SLM (10 courses) and a B.Sc. with a Major in Sustainable Agriculture (15 courses) now being offered at the NUS. Student enrollment in the diploma course has risen from 4 to 12 and is now at 32 and increasing and the more recently developed B.Sc. major has 3 students enrolled.

SMSMCL Project Board

The Project Board (PB) provides high level oversight and approval of all project activities, including work plans and budgets. The PB ensures project financial resources are committed exclusively to activities that relate to achievement of the project objective. The PB is also responsible for the appointment the PM. The PB has met regularly and held effective meetings throughout the project period, holding a total of 24 meetings.

Technical Support and Advisory Team

The Technical Support and Advisory Team (TSAT) provides expert support and advice on specific technical questions throughout project implementation. Reports prepared by the TSAT are prepared to assist the PB in their review and decision-making processes. While the TSAT was to be initiated at the beginning of the project, it was not established until October 2018, five years after project initiation. The PMU reported that a TSAT was not considered necessary in the early stages of the project given the resources available including, the STA and PB.

Project Coordination Task Force

The SMSMCL Project Inception Report states:

> *The Project Coordination Task Force (PCTF) is a unique body to the SMSMCL project specifically integrated as an Output of Component 1 of the project. It is designed to reinforce the multi-sectoral approach of the project, as opposed to focus on "project-by-project" approaches. The PCTF will be the project tool to increase and to reinforce institutional collaboration at the national level amongst government agencies that have direct relevance to SLM, especially among MNRE, MAF, and MWCSD to manage multi-use landscapes through combined efforts, shared technical resources and to agencies to boost collaborations thus strengthening multi-sectoral approach.*

There is no record of the establishment of a PCTF in the PIRs, MTR or the SMSMCL Terminal Report.

UNDP

UNDP-CO has provided substantive support services to the project, including assistance in administrative issues, financial reporting, and substantial support to the procurement of international consultants. Under a Letter of Agreement signed with the Government of Samoa, UNDP CO procured and managed contracts for over 20 consultants, to allow the PMU to focus on working with consultants in achieving project results.

UNDP also provides technical advisory support through the Regional Technical Advisor of the Asia-Pacific Region, based in Bangkok.

UNDP has prepared thorough annual Project Implementation Review (PIR) progress reports. The SMSMCL project encountered significant challenges associated with the SRF (Section 3.1.1) and the associated monitoring and evaluation to report on targets (Section 3.2.2). The TE has determined that some targets have not been achieved, poorly achieved or no data exists to measure results (Section 3.3.3). Had UNDP PIR more clearly identified the risks associated with the SRF targets and the lack of monitoring early in the project cycle some of the problems reporting on project success at the end of the project may have been mitigated.

The SMSMCL project has faced significant challenges associated with procurement, including the staff time required to manage the procurement process and the implications of delayed payments impacting project quarterly reporting which is based on actual expenditures or "cash paid" basis. In future, UNDP may be able to work with the government of Samoa to improve the procurement process for internationally funded projects and to review the UNDP reporting process for projects which is based on actual expenditures.

Lessons Learned

When the SMSMCL PMU was dismantled at project closure questions of – who, how, when and where – project activities would be sustained needed to be carefully examined and answered to achieve scaling up of SLM.

3.2.4 Project Exit Strategy

The purpose of a project exit strategy is to ensure the orderly closure of a project and the sustainability of the project's outcomes. The exit strategy informs participating stakeholders and beneficiaries that project support will end on a specific date and outlines the roles and responsibilities of stakeholders and beneficiaries to sustain project activities once the project has closed to ensure the continuation of activities initiated by the project.

In addition, and more importantly, an exit strategy addresses sustainability in the context of the need to replicate and scale up successful project activities through the development of a strategy that outlines a process to reach all communities and stakeholders with the same needs. The need to scale up is common to all projects that have worked within a limited number of communities, often as pilot projects, reaching only the beneficiaries and stakeholders directly associated with the project communities.

To enhance the likelihood that project activities will be replicated and scaled up, an exit strategy should identify: lead and supporting roles and responsibilities for implementation; budgets; funding mechanisms; prioritized community locations; and a timeline that outlines the steps of an achievable process reaching all communities in need.

The framework for an exit strategy should be developed in the initial phases of the project cycle and refined as needed to enhance the sustainability of the project. Implementation of

an exit strategy begins in the final two years of a project, allowing time to adequately inform beneficiaries and stakeholders of project closure and to work with beneficiaries and stakeholders to develop a long-term plan for sustainability.

The SMSMCL project began discussion of the need for an exit strategy at the May 2019 meeting of the TSAT, 12 months before project closure in April 2020. In November 2019, a draft exit strategy was presented to the TSAT where initial input was provided, and there was a proposal to host a TSAT workshop meeting to provide additional input to the exit strategy. Due to various constraints the TSAT workshop was not held, instead the PMU worked to develop the final exit strategy. The SMSMCL project was therefore developing an exit strategy in the final year of the project, and did not have the benefit of substantive implementation of exit strategy activities prior to project closure as discussed above.

The draft SMSMCL Project Terminal Report presented an exit strategy that used a "phased over" approach, to identify recommendations and proposed next steps, that may be needed to ensure sustainability and replicability of the project's results. The exit strategy is presented as a table that assessed the project objective's four indicators and targets (see Appendix 6). The recommendations and proposed next steps are as follows:

Exit Strategy for Objective Indicator/Target 1

- There is a need for more field research on the impacts of good agricultural practices in increasing yields and in better understanding of the value of ecosystem services to livelihoods
- The NGOs need tools for data collection and analysis in partnership with extension services at MAFF and the Scientific Research Organization of Samoa (SROS).
- There is a need to build more capacity in mapping tools to monitor land use changes, such as SOLA/OT.
- There is a need to follow up the fencing to stop livestock grazing with planting of native trees in those areas so communities do not replace livestock with cropping.

Exit Strategy for Objective Indicator/Target 2

- There is a need to build more capacity in mapping tools to monitor land use, such as SOLA/OT.
- A SOLA/OT Community Server should be installed locally at MNRE for collation and management of data on conservation and forestry areas

Exit Strategy for Objective Indicator/Target 3

- The farmers and communities need tools for data collection and analysis in partnership with extension services at MAF and the Scientific Research Organization of Samoa (SROS).

Exit Strategy for Objective Indicator/Target 4

- Capacity development needed in modelling CO_2-equivalent avoided emissions and CO_2 sequestration, including capacity to collect and manage quality data sets as inputs into the models.

As presented above the SMSMCL exit strategy identifies “needs” but does not identify a viable strategy in the context of having engaged and obtained input and commitment from individuals and organizations that will be responsible to address the needs identified. In addition, there are the two project outcomes and associated sixteen indicators and targets that have not been assessed by the exit strategy.

It would be preferred for the SMSMCL exit strategy to have identified a phased (minimum one year) withdrawal and hand over of project activities to beneficiaries, NGOs and government stakeholders. The exit strategy should also have worked with government implementing agencies (MNRE, MAFF, MWCSD) to develop a multi-sectoral, multi-year plan to support and monitor the SLM activities implemented by the project and to create a plan for the scaling-up of SMSMCL project activities in additional priority landscapes based on the government’s available budgets and capacity.

Lessons Learned

An exit strategy that was designed and implemented well before project closure could have made an important contribution to the sustainability of the SMSMCL project’s SLM activities.

3.2.5 Project Finance

A summary of project finances identified in project documents is as follows (all figures are in US$):

Project Preparation Grant:	$ 136,364
GEF Project Grant:	$ 4,736,363
Co-financing Total:	$ 24,217,000
GEF Agency Fees:	$ 473,636
Total Cost:	**$ 28,953,363**

The record of expenditures provided by the Samoa Ministry of Finance (MoF) shown in Table 5 indicates the GEF grant funding of US$4,736,363, will be fully expended as intended at project completion. The MoF reported co-financing realized at project end was US$13,697,563, constituting about 60% of the US$22,648,000 of co-financing approved the project start.

Table 5. Samoa Ministry of Finance Record of SMSMCL Project GEF Grant and Co-Financing Expenditures

Component	GEF Grant			Co-financing		
	Endorsed at Project Start (31 Oct 2013)	Expended as reported in MTR (30 Jun 2016)	Expended by Project End (30 Jun 2020)	Co-financing at Project Approval (31 Oct 2013)	Co-financing reported by MTR (30 Jun 2016)	Co-financing Realized at Project End (30 Jun 2020)
Outcome 1: Communities and farmers are able to undertake and benefit from integrated land and water management on their traditionally owned lands	$4,000,000	$954,606	$3,873,747	$19,136,535	$596,663	$11,573,821
Outcome 2: Strengthened national enabling environment to promote integrated landscape management through local households and communities	$506,363	$91,488	$541,148	$2,300,615		$2,067.361
Project Management[+]	$230,000	$50,070	$225,306	$1,210,850	N/A	$56,381
Totals	**$4,736,363**	**$1,103,003**	**$4,707,804***	**$22,648,000**	**$596,663**	**$13,697,563**

* Remaining balance for outstanding commitments (TE, CTA and Open Tenure Consultant) will utilize entire GEF grant endorsed at project start

[+] N/A – data was not available for review at the time of the Mid-Term Review

The MoF finance data provided in Table 6 indicated UNDP exceeded the planned commitment of US$617,000, contributing an additional US$353,363 for a total of $970,563 in UNDP co-financing. Government co-financing from parallel project funding planned at the initiation of the SMSMCL project was reduced over the course of the project due to changes in the original agreements of both the AusAid Agro-Forestry project and the World Bank Agricultural Competitiveness Enhancement Project (SACEP). The actual co-financing achieved from the AusAid Agro-Forestry project was about US$640,000 (approximately 18% of AUD$5M originally committed). The actual co-financing achieved from the World Bank SACEP was about US$4,990.000 in grants and US$7,097,000 in loans (approximately 67% of US$18M originally committed). Data in regard to "in-kind support" co-financing from government was not available for review at the time of the TE.

Project budget tracking and activity reporting associated with the proposed co-financing is poor. The MTR reported on the level of co-financing achieved, but did not make any further assessment or recommendations. There is one mention of co-financing in the PIR (2017) in reference to the Forestry and Protected Area Management (FPAM) project, a project which is not listed as contributing co-financing to the SMSMCL project. The SMSMCL Terminal Report did not assess the contribution of co-financing.

Table 6. Samoa Ministry of Finance Record of SMSMCL Project Co-Financing

Co-financing (type/source)	UNDP financing (US$)		Government (US$) (Parallel Funding*)		Partner Agency (US$)		Total (US$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants	$617,000	$970,563	$13,431,000	$4,990,000			$9,047,563	$6,600,563
Loans/ Concessions*	-	-	$8,000,000	$7,097,000			$8,000,000	$7,097,000
In-kind support⁺	-	-	$600,000	N/A			$600,000	N/A
Other	-	-						

* Parallel project co-financing originally included an AusAid Agro-Forestry project originally valued at AUD$5M but this was later reduced with a reported expenditure of US$640,000 as the project was terminated in 2014. Co-financing also includes the World Bank funded Samoa Agriculture Competitiveness Enhancement Project (SACEP) originally valued at US$18M, however, an agreement was later signed between the Government of Samoa and the World Bank to reduce the total funding for the SACEP to US$13M, including US$5M in grants and US$8M in loans.

⁺ N/A – Data for actual in-kind support was not available for the Terminal Evaluation

Slow project start-up is reflected in the actual expenditures of 2% and 13% of the endorsed GEF budget in the first two years of the project. Over the next four years annual expenditures were on average about 21% of the endorsed GEF budget, reflecting the period when the majority of project activities were completed (Table 7). Unrealized exchange loss or gain was nominal, at +1.4% of the endorsed GEF budget (Table 7).

Table 7. Samoa Ministry of Finance Record of SMSMCL Project Annual Project Expenditures

Actual Expenditures and Endorsed GEF Budget (US$)									
Component	**Actual Expenditures**								**Endorsed GEF Budget**
	2014	**2015**	**2016**	**2017**	**2018**	**2019**	**2020**	**Total**	
Component 1	$31,954	$533,860	$814,911	$548,908	$919,567	$942,154	$82,394	**$3,873,748**	$4,000,000
Component 2	$40,847	$16,268	$189,603	$215,707	$70,478	$3,165	$5,080	**$541,149**	$506,363
Project Management	$830	$37,145	$40,430	$58,509	$32,638	$29,523	$26,231	**$225,307**	$230,000
Unrealized Exchange Loss/Gain	$1,121	$6,852	-$2,459	$49,769	-$926	$15,580	-$2,337	**$67,600**	1.4% gain on endorsed GEF budget
Totals	**$74,751**	**$594,125**	**$1,042,486**	**$872,893**	**$1,045,429**	**$990,422**	**$87,697**	**$4,707,804***	**$4,736,363**
Percent of Endorsed GEF Budget	2%	13%	22%	18%	22%	21%	2%	99%	**100%**

*Remaining balance of $28,559 is for outstanding commitments (TE, CTA and Open Tenure Consultant)

3.3 Project Results

3.3.1 Overall results

The following table provides a summary evaluation for the SMSMCL project. Detailed evaluation supporting each of the ratings are provided in the associated evaluation report sections above and below.

Monitoring and Evaluation	**rating[+]**	**Implementing Agency (IA) & Executing Agency (EA) Execution**	**rating[+]**
M&E design at entry	S	Quality of UNDP Implementation – Implementing Agency	MS
M&E plan Implementation	HU	Quality of Execution - Executing Agency	MS
Overall quality of M&E	HU	Overall quality of Implementation / Execution	MS
Assessment of Outcomes	**rating[+]**	**Sustainability**	**rating[+]**
Relevance	R	Financial resources	MU
Effectiveness	U	Socio-political	L
Efficiency	S	Institutional framework and governance	MU
Overall Project Outcome Rating	MS	Environmental	ML
		Overall likelihood of sustainability	MU

[+] HS highly satisfactory; S satisfactory; MS moderately satisfactory; U unsatisfactory HU highly unsatisfactory;
[+] R relevant; NR not relevant;
[+] L likely; ML moderately likely; MU moderately unlikely; U unlikely.

3.3.2 Relevance

Recent land management practices have led to the degradation of land in Samoa which is exacerbated by steep slopes, intense rainfall events and cyclones. The land management practices responsible for land degradation are linked to:

- tree cutting for timber resources and fuelwood to supply both local needs and as an income generating activity;
- land clearing for agriculture, particularly when larger plantations are created as an income generating activity;
- mono-cropping practices;
- past MAF programs that encouraged plantation establishment; and
- land abandonment associated with taro blight.

Degraded land is connected to multiple accompanying impacts, including:

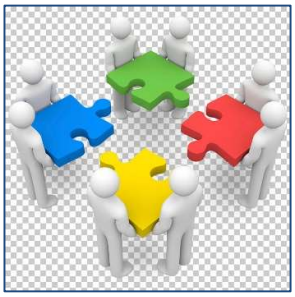
- soil erosion and an associated loss of soil fertility with impacts on food security and increased land degradation as a result of the need to replace degraded lands
- increased influx of sediments to watercourses

> OUR VILLAGE IS KNOWN FOR ITS HIGH-QUALITY TARO SO IN THE PAST WE CLEARED LAND TO ESTABLISH LARGE PLANTATIONS TO SELL TARO WHEN THE TARO BLIGHT CAME IN THE 1990S MANY OF THESE LANDS WERE ABANDONED, SOIL ERODED AND THEY WERE INVADED BY NON-NATIVE PLANTS
> Samoan Farmer

reducing water quality for human use and needed to support native biodiversity and impacting hydro-electric installations which require more frequent dredging of reservoirs and replacement of impellers that are more quickly worn out as a result of higher sediment concentrations in flowing water;

- a reduced water holding capacity of soil resulting in drier soils that negatively impact agriculture, increased runoff and flooding potentially having a negative impact on human infrastructure and native ecosystems;
- increased habitat for the invasion of non-native plants which negatively impact agriculture and native biodiversity.

Land management in Samoa has typically worked within individual sectors (agriculture, transportation, forestry, environment, protected areas, energy, etc.) with little communication among sectors regarding activities, overlap, synergies and positive and negative interactions. The term "silos" is often used when referring to the manner in which sectors operate whether within government or elsewhere. Sectors often adopt a closed approach to their activities, limiting the exchange of information, lacking transparency, protecting financial and staff resources, and showing an unwillingness to communicate and work with other sectors. This includes government to government sectors as well as non-government and private agencies working within various sectors.



A sector-based working environment in Samoa has contributed to land degradation and it reduces the success of efforts to achieve future SLM and land restoration. For example, in the past MAF programs encouraged economic crop development based on mono-culture cropping systems relying on the use of commercial fertilizers and pesticides. Mono-cropping is recognized as a contributing factor to land degradation and these programs were undertaken without collaborating with MNRE and the Samoan Water Authority to consider the potential negative consequences. The government has also not typically collaborated with NGOs to work on common issues, thereby missing out on the opportunity to support and utilize local knowledge and initiatives associated with SLM.

Government programs working with communities on SLM has considerable potential, but, effective community engagement, respecting traditional customs and values is costly for government, given the staff time and resources required. Collaborative efforts among government sectors and with NGOs and the private sector has the potential to provide more efficient and more effective SLM programs and activities that work with communities while also respecting traditional customs and values.

> ROAD IMPROVEMENTS INSTALLED DRAINAGE DITCHES AND CULVERTS TO PROTECT TRANSPORTATION INFRASTRUCTURE HOWEVER NO CONSIDERATION WAS GIVEN TO THE RUNOFF FROM CULVERTS ERODING AND FLOODING ADJACENT FARMLAND
> Government Staff Member

Given the issues discussed above the SMSMCL project is highly relevant under the GEF-5 Land Degradation focal area Objective 3 *Reduce pressures on natural resources from competing land uses in the wider landscape* (LD3).

The SMSMCL project was intended to establish a formal institutional coordination mechanism including all relevant ministries to ensure integration of SLM, completion of this activity would have made an important contribution to the achievement of key outcome GEF-5 LD3 *Enhanced enabling environments toward harmonization and coordination between sectors in support of SLM*. The SMSMCL project has supported relevant actions under LD3, including:

- ***capacity development*** (NUS TOT exercise, Diploma in SLM and B.Sc. with a Major in Sustainable Agriculture);
- ***avoiding deforestation*** in association with project activities adjacent to Key Biodiversity Areas (KBA),
- ***Payment for Ecosystem Services*** (PES) initiated by SMSMCL and currently being upscaled in a new UNDP funded project; and
- ***integrated watershed management*** associated with tree planting, livestock exclusion and restoration of agricultural land within riparian corridors intended to enhance water quality.

Relevance of the SMSMCL Project

The SMSMCL project is highly relevant in the context of the need to encourage land management practices that do not lead to land degradation and to restore existing areas of degraded land. It is also relevant in the context of the need to create multi-sectoral partnerships that take a coordinated approach to land use and land restoration addressing issues of land degradation.

3.3.3 Effectiveness

The SMSMCL project has completed a wide range of activities supporting the project goal, objective and two outcomes. The measure of effectiveness against targets established by the ProDoc and Inception reports is hampered by challenges associated with the SRF as discussed in report section 3.1.1. Nonetheless as reported by the PMU there is a long list of activities completed and these are shown to have achieved progress towards achieving the intent of the project goal, objective and outcomes. For a complete assessment of project achievements for all indicators and targets see Appendix 8.

Below is a summary table of project achievements (Table 8), using both the original indicators and targets from the project inception report (May 2015) and the revised indicators and targets approved by the PB (October 2018). In some cases, the level of achievement could not be determined as the project did not develop a baseline and/or the project did not collect the data or have the capacity to analyze the available data required to make an assessment against a proposed baseline at the end of the project. Additionally, some indicators had two targets, though in all cases only one of the two targets for an indicator had data available for assessment.

In regard to the 20 original targets the project achievements are:

- 7 indicators achieved 80% or more of the proposed target;
- 6 indicators partially achieved (10-80%) the proposed target;
- 2 indicators had very low (<10%) or no achievement of their target; and
- 5 indicators could not be determined.

In regard to the revised targets the project achievements are:

- 10 indicators achieved 80% or more of the proposed target;
- 4 indicators partially achieved (10-80%) the proposed target;
- 3 indicators had very low (<10%) or no achievement of their target; and
- 3 indicators could not be determined.

Table: 8 SMSMCL Achievement of Original and Revised Targets	Achieved (>80% of target) Achieved (10-80% of target) NC – not achieved (<10% of target) ND – not determined (no baseline/no endline data)	
Indicator #	**Level of Achievement (%)**	
	Original Target	**Revised Target**
Project Objective		
1	69%	67%
2	80%	173%
3	ND (no baseline)	1,191%
4	ND (49.4 hectares)	<0.1%
Outcome #1		
1	NC	ND (no baseline)
2	ND (no baseline)	1%
3	3%	202%
4	111% / ND (no data)	1,108% / ND (no data)
5	ND (no baseline)	100%
6	67% / ND (no data)	ND (no data)
7	76% / ND (no data)	380%
8	ND (no data)	ND (no data)
Outcome #2		
9	100%	100%
10	50% (estimate)	50% (estimate)
11	100%	100%
12	30% (estimate)	30% (estimate)
13	100%	100%
14	25% (estimate)	25% (estimate)
15	NC	NC
16	100%	100%

The project performance as measured against the original or revised indicators and targets was poor, given that half or more of the indicators were only partially achieved, not achieved or data were not available to assess the target. Four factors contributing to the TE assessment of the observed indicator and target data are discussed below.

1. ***Poor choice of indicators and targets*** – as discussed in section 3.1.1 above there was criticism of project indicators and targets from the outset of the project and attempts to resolve this issue took place throughout the project cycle.

2. ***Poor monitoring and evaluation (M&E) efforts to assess project achievements*** – there was no effort made to collect baseline data despite its requirement for some indicators. At the time of the MTR no M&E plan was in place and as such there had been no coordinated effort to collect data relevant to reporting of SRF targets. In July 2019 the PB approved a TOR to hire an international consultant to assist the project in M&E. This was very late in the project cycle (nine months before project closure) and the work carried out was largely directed at Geographic Information System (GIS) mapping to communicate project results. There were GIS requirements associated with M&E to establish baselines at the initiation of the project and to monitor project progress toward the achievement of outcomes that were not completed by the SMSMCL project.

3. ***Poor project management and implementation of project activities*** – the project had a very slow start-up as evidenced by the three years required to hire sufficient complement of staff needed for the PMU to manage and implement project activities:
    - October 2013 - project approval
    - October 2014 – first Senior Technical Advisor (STA) appointed
    - November 2014 – first Project Manager (PM) appointed
    - September 2015 - two Technical Team members appointed
    - April 2016 – second STA appointed
    - September 2016 – third Technical Team member appointed
    - December 2017 – acting PM appointed
    - February 2018 – second PM appointed
    - April 2018 – third STA appointed

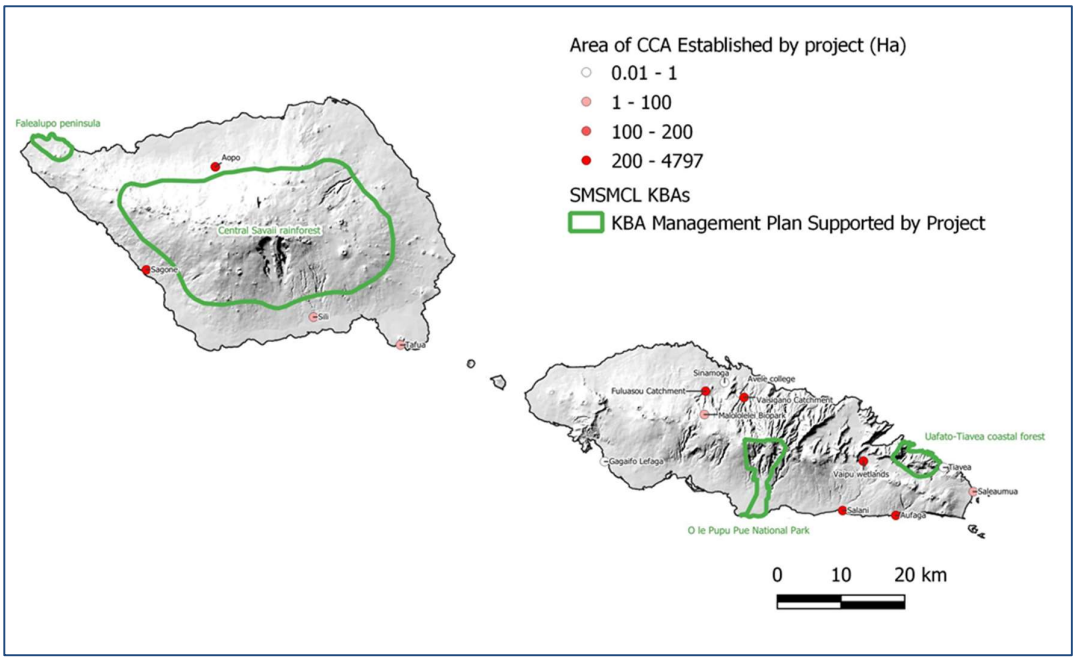
    The SMSMCL project was given an eighteen-month extension, and this should have provided compensation for the slow project start-up, but there are many factors associated with project management that can influence project performance.

    Significant staff changes, including the sudden and unfortunate death of the second STA in 2017 and the transfer of the first PM to a new position outside the PMU in the same year will have had an adverse impact on project performance.

Fortunately, an Acting PM position was filled immediately by one of the technical team members, followed by a third permanent PM position again by one of the SMSMCL technical team members. A third STA with a strong background working with UNDP was hired in April 2018. It is reasonable to assume these events created a disruption in project activities.

Other project management factors to consider was the lack of a Technical Support and Advisory Team (TSAT) that could review the SRF and project activities, including ensuring M&E was taking place to evaluate progress towards project targets. And the failure to establish a Project Coordination Task Force (PCTF) that was intended to increase and reinforce institutional collaboration among government agencies with direct relevance to SLM. A TSAT was eventually established in 2018, with its first meeting in October 2018, at the beginning of the eighteen-month project extension.

It was also noted in the MTR that upon review of PB meeting minutes, *"There were* [PB] *discussions on progress with respect to activities, but there seemed to be a limited focus on achievement toward results according to the project results framework"*. The PB has significant authority to keep projects on course given their role in reviewing and approving annual and quarterly work plans and budgets, and should therefore be responsible for the success of a project meeting its targets.



4. ***Unforeseen circumstances*** – it is inevitable that events will occur that challenge the implementation of project activities. Already mentioned above was the unfortunate sudden death of the STA. In addition to this, Samoa suffered a measles outbreak in 2019 and the COVID-19 pandemic in 2020, both occurring at a time when the project was fully engaged working towards the completion of tasks by the project end date – April 2020. Unfortunately for the SMSMCL project, GEF-5 projects were not eligible for project extension to compensate for delays resulting from the COVID-19 pandemic.

Effectiveness of the SMSMCL Project

The SMSMCL project has undertaken a significant number of SLM activities and engaged a large number of communities and individuals who are now committed to implementing SLM practices on customary land. It has also engaged and developed capacity within multiple sectors of government, NGOs and the private sector to implement and scale-up SLM activities. However as measured against targets established at the outset of the project and against targets revised near the end of the project the SMSMCL project has achieved 50-60% of what was envisioned when the project started in October 2013.

3.3.4 Efficiency

Procurement processes are a key component supporting project implementation. In the case of SMSMCL, which is a NIM project, procurement is through Samoan government financial systems. UNDP CO did, however, provide substantial assistance to the SMSMCL project procuring and managing contracts for international consultants as noted above (see Section 3.2.3). Local procurement involves staff and financial management procedures associated with the PMU, MNRE, MoF, Office of the Attorney General and UNDP. The financial management system provides secure and comprehensive financial management.

The SMSMCL project has experienced challenges with the procurement process and these have been reported to delay and, in some cases, preclude the implementation of project activities. Factors which contribute to the challenging procurement process include:

- There are about 14 steps in the procurement process, including the initial collection of quotes, the preparation of an approved purchase order, the acceptance of goods/services and the eventual approval and payment of suppliers based on receipts. At many of the steps the forms and paperwork are reviewed and verified and any errors, missing or lost items will necessitate corrections which will add more time to the process. Also, if a staff member is not at their station for one of the steps delays may be encountered, even when other staff members may be filling in as they may not be familiar with the history of the purchase.
- MoF has a large workload, administering on average more than 150 international projects at any one point in time;
- Some procurements may require an audit or they may require approval by the Tenders Board, adding time to the process; and
- Given the complexity of the procurement process it is often not be well understood by everyone involved leading to mistakes which in turn cause delays.

The challenges encountered by the SMSMCL project suggest other internationally funded projects are likely encountering similar challenges and delays to the implementation of project activities. While there are no simple solutions to resolve the challenges encountered in the procurement process, it would be beneficial for UNDP, MoF and those involved in the procurement process to consider the likely negative impact on project efficiency and to look for methods to improve the current process.

It was noted the SMSMCL project did make a substantial contribution to streamlining the procurement process used to engage NGOs in project activities. Through a review of the existing process by MoF and the Office of the Attorney General a new, direct procurement process was established, to more easily and quickly engage qualified NGOs through the establishment of an MOU outlining the performance standards, monitoring requirements and outputs to be provided.

Some individuals have indicated it would be preferable for the PMU to have more (full) control over the project's financial management to avoid delays created by working with government financial management systems. Contrary to this the MoF has indicated that the establishment of distinct, externally (internationally) funded project offices should not be permitted. MoF has rightly asserted that there is a need for greater (full) integration of internationally funded projects as this is the best way to develop the government capacity needed to achieve the long term goal of creating government ministries that are capable of implementing relevant, effective, efficient and sustainable development programs in Samoa (see also discussion of Executing Agency MNRE – Project Management Unit PMU office in Section 3.2.3).

One of the consequences of the procurement process is the delayed payment of goods and services for project activities which have been completed. This has ramifications for the PMU reporting process as project activities are considered completed on actual expenditures or "cash paid" basis only (i.e. when suppliers associated with a project activity are paid in full). Consequently, a project quarterly report can not acknowledge the completion of project activities (e.g. training workshops, field data collection, supply of farmer tools, etc.) until all suppliers associated with the activity have been paid by the government's financial system. Activities determined incomplete in one quarter have a ripple effect that impacts work plans and budgets in subsequent quarters. UNDP should consider the use of a reporting mechanism in parallel with the "actual expenditures" system to permit consideration of the completion of activities based on "committed expenditures" (i.e. posted but not yet paid by the government financial systems).

The efficiency of the SMSMCL project can also be considered in the context of successful and meaningful working relationships formed with stakeholder communities. Experience of the project NGO OLSSI undertaking community-based work in project communities suggests the key to successful community involvement is giving due recognition to community values and respecting traditional norms and protocols that communities rely on for all transactions in communal life. Experience shows it is always ideal to begin at the community level, setting up a formal face-to-face dialogue within their own traditional and formal meeting places. Only after relationships built on trust and mutual respect are established can a project proceed to collaborate on SLM activities that are locally appropriate and sustainable.

In Section 3.3.3 above the slow start-up of the project was identified as a factor reducing the effectiveness of the project. In the case of the SMSMCL project start-up was lengthy. Nonetheless, it is inevitable that every new project requires sufficient time to hire staff and establish a working office, including acquiring space, furniture and supporting equipment. During the project inception phase, sufficient time should be included in the work plan to complete tasks associated with project start-up and the time allocated for the implementation of project activities should be only be included in work plans at such time the project actually has a functioning PMU operating.

Efficiency of the SMSMCL Project

The efficiency of the SMSMCL project is linked to the financial systems that support the implementation of project activities. Challenges in the procurement process will affect the efficiency of the implementation of project activities.

Respecting local customs and traditions is the foundation of community engagement. When done correctly it takes time, but it is also efficient if the outcomes are successful and sustainable

Time invested in project start-up provides the foundation for successful management, implementation, monitoring and reporting on project activities.

3.3.5 Country ownership

National ownership of a UNDP GEF project is demonstrated through;

- the government provided the available co-financing to meet its commitment outlined at project inception (note co-financing was reduced see report section 3.2.5);
- the level of understanding and meaningful participation of government officials in project management;
- the direct participation of government ministries and staff in the implementation pf project activities; and
- the level of commitment of government to sustaining and scaling up project activities at project closure.

In the context of government co-financing, the commitment of US$600,000 in-kind co-financing was not tracked by MoF or reported on by the project. Nonetheless the provision of office and other infrastructure support by MNRE was substantial and likely equivalent to the original commitment.

There has been active participation of high-level government officials in the PB, including representatives from the Office of the Attorney General, MoF, MNRE, MAF, and MWSCD. Evaluation interviews conducted with government officials demonstrated an understanding of the SMSMCL project and a commitment to sustaining the principal of utilizing a multi-sectoral approach to SLM in the future. Government, however, has not yet prepared a detailed strategy, including multi-year work plans and budgets to sustain and scale-up project activities following project closure. . While there remains an opportunity for MNRE to develop multi-year work plans and budgets, it is preferable for the SMSMCL project to have initiated or completed this with relevant stakeholders as part of an exit strategy. In this way clear lines of responsibility and commitment are developed prior to project closure, thereby contributing to sustainability.

The SMSMCL project had direct participation of MoF in managing project finances, and the direct and active participation of staff and infrastructure support from national and local offices of the MNRE, MAF and MWSCD in a wide variety of project activities, including training workshops, forestry, agriculture, and conservation extension services, supply of tree and vegetable seedlings and data management.

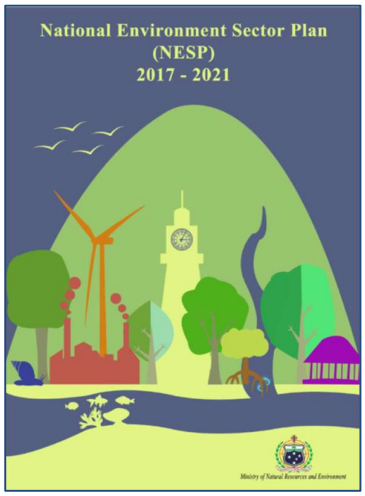
3.3.6 Mainstreaming

As a party to UNDP's Sustainable Development Goals (SDG) the Strategy for Development of Samoa 2016/17-2019/20 (SDS) is aligned with the SDGs. The following extracts from the SDS illustrates the alignment of SDS key outcomes and SDGs and highlights activities of the SMSMCL project which supported these.

SDS	*SDG*	*SMSMCL*
Priority Area 1 Economic		
Key Outcome 2: *Agriculture and Fisheries Productivity Increased*	SDG Goal 2: *End hunger, achieve food security and improved nutrition and promote sustainable agriculture*.	*Enhanced agricultural productivity utilizing SLM practices such as organic agriculture, multi-cropping and agroforestry was promoted.*
Key Outcome 5: *Participation of Private Sector in Development Enhanced*	SDG Goal 12: *Ensure sustainable consumption and production patterns.*	*The private sector was a stakeholder engaged in sustainable agriculture practices supporting SLM.*
Priority Area 3: Infrastructure		
Key Outcome 9: *Access to Clean Water and Sanitation Sustained*	Goal 6: *Ensure availability and sustainable management of water and sanitation for all*	*Improved watershed management was achieved through identification of new protected areas, tree planting and re-location of plantations and livestock away from riparian corridors.*
Priority Area 4: Environment		
Key Outcome 13: *Environmental Resilience Improved*	Goal 15: *Protect; restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss.*	*The multi-sectoral approach to SLM was directed at restoration of degraded land, biodiversity conservation in association with KBAs and sustainable agricultural practices going forward.*

The SMSMCL project has worked with government to integrate SLM into the following national policies and plans developed over the course of the project:

- National Environment Sector Plan 2017-2021;
- National Biodiversity Strategy and Action Plan 2016-2020
- Legal framework for Access and Benefit
- Sharing (ABS) national process under the Nagoya Protocol of the CBD;
- Policy development process on banning single-used plastics;
- Community Integrated Management Plans (CIM Plans) for 3 Project Districts;
- Agriculture Sector Plan (2016-2021);
- Soil Resources Conservation and Management Bill; and
- Samoa's National Invasive Species Strategy and Action Plan 2019 – 2024



The initiation of a Diploma in SLM (10 courses) and a B.Sc. with a Major in Sustainable Agriculture (15 courses) at the NUS represents a significant contribution to mainstreaming SLM through the future activities of graduates.

To ensure integration of SLM in all sectors the project was intended to establish a ***formal institutional coordination mechanism*** that included relevant ministries that worked collaboratively to manage multiuse landscapes through their combined efforts and shared technical resources. The SMSMCL project did not establish a multi-sectoral working group, however, it is hoped the integration of SLM in the above policies and plans will result in collaborative approaches to SLM during their implementation.

3.3.7 Gender

The social and environmental screening made at project preparation indicated a potential risk of significantly impacting gender equality and women's empowerment. The SMSMCL ProDoc also recognized the importance of considering gender in the context of SLM, stating, "*The project will ensure that a strong gender analysis is undertaken at the beginning of the project*".

At the time of the MTR, a gender analysis had not yet been completed and the SRF targets did not include the collection and analysis of gender disaggregated data.

In 2017 the SMSMCL project engaged an international consultant who completed a Gender Analysis Report (August 2017). The report contained thirty-six recommendations made in the context of SMSMCL outcomes and outputs regarding:

- Access to and control over assets and resources;
- Gender division of labor;
- Participation and gender-based livelihood patterns, and
- Power and decision-making

The gender consultant also prepared a Gender and Social Inclusion Action Plan (October 2017) that proposed aligned activities with specific outputs, targets, monitoring mechanisms and estimated costs.

While the project may have addressed many of the recommendations of the gender analysis and implemented some of the activities recommended in the action plan there is no documentation of how the SMSMCL project followed through on the gender analysis and action plan. The gender analysis remains an important document that should be referred to in future SLM work in Samoa.

The TE evaluation was able to speak with women farmers who reported benefiting from involvement in the SMSMCL project. The most important benefit being the provision of a "tunnel house" (green house), water tank and irrigation system that permits vegetable growing at the peak of the rainy season. Shortages of vegetables were reported during the rainy season as heavy rains preclude growing vegetables in open gardens. Income generation was also reported through the sale of vegetables.

The SMSMCL project also supported a proposal submitted by the Samoa Women's Association of Growers (SWAG) to expand bee keeping through training and the acquisition of 30 new hives with bees for their members.

Gender Analysis in the SMSMCL Project

The importance of gender inclusion was highlighted through the completion of a gender analysis and an action plan outlining activities which could be implemented by the SMSMCL project.

While it is evident women were engaged in the SMSMCL project the lack of gender disaggregated data and no documentation of implementation of activities outlined in the gender action plan foregoes the opportunity for the project to report on the successful engagement women in SLM.

The gender analysis and action plan remain important documentation which should be referred to by future SLM projects in Samoa.

3.3.8 Sustainability

Financial Resources
Discussion with government staff has indicated that without the funds received through international projects such as the SMSMCL it will not be possible to continue SLM activities such as were carried out during the project. UNDP GEF Small Grants Program (SGP) is a source of funds that can contribute to sustainability of SMSMCL SLM activities.

Farmers engaged in SMSMCL project activities associated with vegetable crop production reported financial benefits that would sustain the SLM gardening practices initiated by the project. The financial investment required for other farmers to replicate SLM gardening practices is likely to challenge the financial resources available to most community farmers.

The SMSMCL project undertook many tree planting initiatives to restore degraded lands. For some of the areas where trees were planted, the project hired workers to carry out the maintenance required to ensure the establishment of tree seedlings. Without project funds there will no longer be paid workers and the responsibility for ongoing tending and maintenance of tree seedlings to ensure their establishment to a "free-to-grow" stage will be the responsibility of the community. MNRE Forestry Division has indicated the communities are aware of their responsibility, indicating the Council of Chiefs will monitor and ensure the required maintenance is undertaken by the community without the need for external funding. Unfortunately, plantation monitoring results from earlier watershed rehabilitation efforts in Samoa show that implementation of follow up tree tending and maintenance is low on customary land without continued engagement by extension staff and additional incentives. (Martel 2015).

The SLM Diploma Program and B.Sc. Major in Sustainable Agriculture reported increasing enrollment contributing to financial sustainability of these SLM programs.

The sustainability of financial resources for future government or community initiated SLM is considered ***"moderately unlikely"***.

Socio-Political
Traditional land ownership does not impede efforts of the government and NGOs to work with communities on SLM. And many communities reported initiatives driven by the Council of Chiefs and supported by *matai* (elders) to implement specific SLM practices across all community land. There are, therefore, good opportunities to continue to work with communities on SLM.

Some farmers reported sharing their knowledge of SLM practices with other farmers in the community and with farmers visiting from outside the community. This suggests at a local level, replication and scaling-up of SLM may occur.

Some of the communities with SLM plans have committed to conservation efforts to retain their forest for the protection of threatened animals and plants in partnership with the Division of Environment and Conservation (DEC) and the Samoa Conservation Society. Rules and guidelines for eco-tourism developments have been endorsed by the communities to ensure sustainable management of key ecosystems and critically endangered species like manumea (Tooth-billed pigeon).

The government of Samoa supports the concept of SLM and staff indicated an understanding of and willingness to use the multi-sectoral approach needed to address SLM.

Overall sustainability of the socio-political environment is considered ***"Likely"***.

Institutional Framework and Governance

The SMSMCL project had intended to create a formal institutional coordination mechanism for the integration of SLM across sectors to ensure government ministries, NGOs and the private sector worked collaboratively to manage multiuse landscapes through their combined efforts and shared resources. The project did not establish a multi-sectoral coordinating body. Nonetheless, government staff indicated collaboration does take place among the MNRE, MAF and MWSCD. Intentional collaboration to undertake SLM was not confirmed by the TE.

There are examples of work that will likely continue post-project, such as the Manumea Recovery Plan with activities committed to and supported by the DEC. Also, the restoration of degraded lands initially supported by the project will continue to be integrated into the DEC operational plans.

Discussion with project and government staff to determine if concrete plans were being made to scale-up SMSMCL project activities, including the identification of priority areas, types of activities, next steps, budgets, etc. revealed that no concrete plans were being formulated. It was indicated that the government would integrate SLM into the work plans and budgets of the next fiscal year. The SMSMCL project could have provided more guidance to MNRE and MAF in regard to next steps as part on the project exit strategy.

Enhanced capacity of NGOs, farmer groups and individual farmers and the willingness indicated to work towards SLM suggests sustainability and some replication and scaling-up will take place through their efforts.

Overall sustainability of the institutional framework and governance is considered ***"moderately unlikely"***.

Environmental

The success rate for the establishment of tree seedlings is highly dependent on several years of follow-up maintenance to prevent competition from surrounding plants shading out and killing young seedlings and, in some cases, providing water during prolonged periods of drought. The Forestry Division and community members indicated follow up monitoring and maintenance of planted tree seedlings would be completed as required. There are also potential risks to establishment associated with the occurrence of severe drought and browsing by livestock.

The soils supporting multi-cropping, organic farming practices and agroforestry farming systems will be enhanced over time, thus contributing to environmental sustainability.

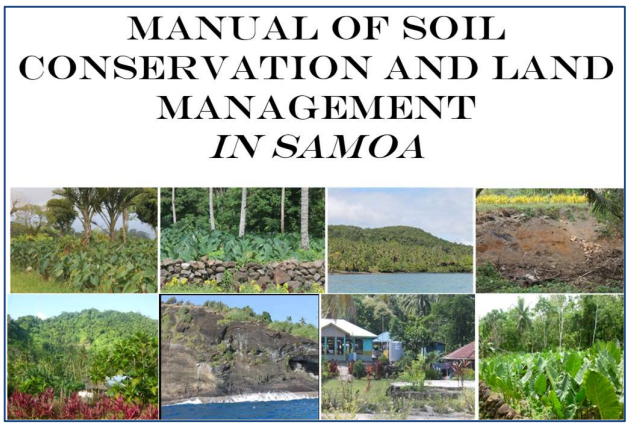
The environmental benefits derived from planting trees to restore degraded lands, enhance Key Biodiversity Areas (KBAs) and establish riparian buffers will provide long term sustainable environmental benefits if communities make the commitment to undertake the required maintenance needed to ensure tree seedling establishment.

Overall sustainability of environmental factors is considered ***"moderately likely"***.

Overall Likelihood of Sustainability

The sustainability of activities initiated by the project and adopted by communities is highly likely. Consideration of sustainability in the context of replication and scaling-up beyond the project communities achieves a lower rating as it is dependent on word-of-mouth and farm visits to transfer SLM knowledge among farmers which occurs locally and slowly, and on funds to purchase materials required to undertake some of the SLM activities. A lower overall sustainability rating is also related to a dependency on MNRE and MAF formulating plans, having access to funds and working collaboratively in new communities to scale-up SLM, factors which the TE investigations suggest are moderately unlikely.

The recently approved Green Climate Fund - Vaisigano Catchment Project with MNRE as the executing entity, includes a significant SLM component for the Vaisigano River watershed. Projects like this contribute to capacity development and they incentivize stakeholders to mainstream multi-sectoral approaches to SLM in all areas of Samoa where SLM is needed.



Scaling-up and replication of SLM are considered the most important aspects of sustainability and as this will largely be the responsibility of a government with limited financial resources and lacking an institutional framework for a multi-sectoral approach to SLM resulting in a lower overall rating of sustainability.

Overall sustainability is considered ***"moderately unlikely"***.

3.3.9 Impact

Impact of the SMSMCL project is assessed in the context of the Theory of Change (TOC) and the achievement of the project's long-term goal or "ideal state" of achieving multi-sectoral. integrated SLM throughout Samoa. To assess "impact" the success of the SMSMCL project is measured against its ability to achieve Intermediate States (IS) defined by the project objective and outcomes. The achievement of IS establish the TOC as a viable goal and they provide a solid foundation (capacity, infrastructure, planning, financing) for the ongoing work required after project closure to achieve the long-term goal.

The TOC outlined in Table 9 provides the framework used to assess SMSMCL project impact in Table 10. Impact Drivers (ID) and Assumptions (A) are based on outputs associated with the SRF's objective and two outcomes (see SRF Appendix 7). The IS identifies both the achievement of outputs and the establishment of foundation elements that provide stepping stones towards achievement of the long-term goal.

The qualitative assessment of SMSMCL's TOC presented in Table 10 below is based on desktop and remote interview investigations and follows guidance provided in the ROtI Handbook (2009). Note that the following ratings used in the impact assessment are heavily weighted towards the ability of the project to achieve of *future progress* towards achievement of the project's long-term goal.

> ***Not achieved (0)*** - the TOC component was not explicitly or implicitly identified by the project, and/or very little progress has been made towards achieving the TOC component, and the conditions are not in place for future progress
>
> ***Poorly achieved (1)*** there are no appropriate mechanisms set out to achieve the TOC component after SMSMCL's UNDP GEF funding has ended, and/or very little progress has been made towards achieving the TOC component, but the conditions are in place for future progress should new support be provided to complete this component.
>
> ***Partially achieved (2)*** the TOC component is explicitly recognized and the mechanisms set out to achieve it are appropriate but insufficient (e.g. there is no clear allocation of responsibilities for implementing the mechanisms after SMSMCL UNDP GEF funding ends). Moderate and continuing progress was and is being made towards achieving the TOC component, although there is not yet a strong basis assuring the eventual delivery of the intended impact (Global Environmental Benefits).
>
> ***Fully achieved (3)*** the TOC component is explicitly recognized and appropriate and sufficient mechanisms to achieve it are apparent (e.g. specific allocation of responsibilities and financial and staff support is available after SMSMCL UNDP GEF funding ends), and/ or substantial progress has been made towards achieving the TOC component and there is strong assurance of eventual delivery of the intended impact (Global Environment Benefits).

Table 9: SMSMCL Theory of Change Impact Drivers, Assumptions, Intermediate States and Impact

Objective/ Outcomes Impacts	Impact Drivers & Assumptions	Intermediate States	Impact
Objective: *To strengthen local capacities, incentives and actions for integrated landscape management to reduce land degradation and greenhouse gas emissions and to promote conservation whilst enhancing sustainable local livelihoods.*	***ID:*** Increase the area of land with increased vegetation cover in the project sites.	***IS:*** Within project sites a multi-sectoral approach has engaged communities, government and NGOs in effective SLM activities. A medium-term strategy has selected landscapes (sites, villages, watersheds) to upscale multi-sectoral SLM, the strategy identifies stakeholders, annual work plans and budgets for priority landscapes.	***Long Term Goal:*** *Samoa's productive landscapes are protected and sustainably managed to mitigate land degradation, to promote biodiversity conservation and to increase soil carbon sequestration so as to contribute to poverty alleviation as well as mitigation and adaptation to climate change impacts.*
	ID: Increase the area of forest cover under effective management and ensure no net loss of forest cover due to land use conversion		
	ID: Increase the agriculture income and food security of participating households as a result of actions to increase the productivity of land		
	A: Communities provide their land for SLM and they are willing to provide the labour needed for restoration programs that involve tree planting, fencing and follow up maintenance.		
	A: The SLM methods promoted by the project are adopted by communities and they successfully increase land productivity		
	A: SLM will mitigate (reduce) GHG emissions and increase sequestration of GHGs		
OUTCOME 1. *Communities and farmers are able to undertake and benefit from integrated land and water management on their traditionally owned lands.*	***ID:*** Encourage farmers to adopt organic agricultural farming practices	***IS:*** Villages in Samoa validate a variety of successful and highly visible SLM activities with proven benefits to farmers and ecosystem services.	
	ID: Tree planting program in cyclone damaged areas to increase tree density and diversity		
	ID: Encourage farmers to adopt soil/water management and conservation practices		
	ID: Farmers remove livestock from critical riparian zones		
	ID: Increase community awareness and understanding of SLM through development of village SLM plans		
	A: Government capacity (staff and knowledge) is available for required farmer extension services and training		
	A: Farmer benefits encourage the adoption of SLM practices		

Table 9: SMSMCL Theory of Change Impact Drivers, Assumptions, Intermediate States and Impact

Objective/ Outcomes Impacts	Impact Drivers & Assumptions	Intermediate States	Impact
	A: Monitoring programs will be instituted and results will demonstrate positive results		
OUTCOME 2. *Strengthened national enabling environment to promote integrated landscape management through local households and communities.*	***ID:*** Develop and translate Farmer Field Manuals on Soil Management and Soil Conservation	***IS:*** Government ministries, NGOs and the private sector become actively involved in multi-sectoral approaches to SLM	
	ID: Develop national policies and plans that support SLM through a multi-sectoral approach		
	ID: Create a multi-sectoral coordinating body within government for SLM		
	ID: Facilitation of increased involvement of NGOs and the private sector in SLM		
	ID: Create a national SLM information management system to provided resource tools and a data record of SLM activities		
	ID: Create SLM training opportunities at a tertiary institution in Samoa		
	A: Farmers will read and implement SLM activities provided in Field Manuals		
	A: Government policies and plans and a multi-sectoral coordinating body will result in annual work plans and budgets that implement SLM		
	A: NGOs and the private sector have the capacity (staff, training, funding) to carry out SLM		
	A: Government will maintain and utilize a SLM information management system		
	A: SLM tertiary training will lead to a more effective SLM workforce in government, NGOs and the private sector		

Table 10: Impact Assessment of the SMSMCL Theory of Change

Theory of Change Component	Qualitative Analysis	Rating
Objective: *To strengthen local capacities, incentives and actions for integrated landscape management to reduce land degradation and greenhouse gas emissions and to promote conservation whilst enhancing sustainable local livelihoods.*	• The SMSMCL project has engaged communities in SLM activities that restore degraded land, reduce GHG emissions and enhance sustainable livelihoods	**3**
ID: Increase the area of land with increased vegetation cover in the project sites.	• Degraded land was restored through tree planting and the establishment of riparian buffers • Project targets were not achieved	**2**
ID: Increase the area of forest cover under effective management and ensure no net loss of forest cover due to land use conversion	• Efforts to increase the size and to development management plans for KBAs and CCAs were successful	**3**
ID: Increase the agriculture income and food security of participating households as a result of actions to increase the productivity of land	• The project engaged a large number of households in activities to adopt more sustainable agricultural practices. • Baseline and endline data were not collected to measure and verify benefits • Farmer's interviewed reported satisfaction with crop yields and economic income generated	**3**
A: Communities provide their land for SLM and they are willing to provide the labour needed for restoration programs that involve tree planting, fencing and follow up maintenance.	• Communities did participate in SMSMCL project activities • Degraded lands and sensitive riparian stream corridors in areas of traditional land ownership were identified • Community members with some assistance from hired workers participated in tree planting and fencing • Follow up monitoring and maintenance is likely but there is no formal follow-up planned by government • Concern was raised regarding the use of fenced riparian areas for gardens	**2**
A: The SLM methods promoted by the project are adopted by communities and they successfully increase land productivity	• SLM methods were adopted by communities • Reliable data tracking the successful increase in land productivity is not available	**2**
A: SLM will mitigate (reduce) GHG emissions and increase sequestration of GHGs	• The success of seedling establishment and commitment to the maintenance required to guarantee tree survival is unknown • Targets established for GHG sequestration were overambitious and careful calculation of carbon sequestration associated with project SLM activities were not calculated	**1**

Table 10: Impact Assessment of the SMSMCL Theory of Change

Theory of Change Component	Qualitative Analysis	Rating
IS: Within project sites a multi-sectoral approach has engaged communities, government and NGOs in effective SLM activities. A medium-term strategy has selected landscapes (sites, villages, watersheds) to upscale multi-sectoral SLM, the strategy identifies stakeholders, annual work plans and budgets for priority landscapes.	• Government, NGOs and select farmers from project communities were engaged in training and implementation of multi-sectoral approaches to SLM • No medium-term strategies to upscale multi-sectoral SLM were prepared prior to project closure	**1**
Outcome 1: *Communities and farmers are able to undertake and benefit from integrated land and water management on their traditionally owned lands.*	• The SMSMCL project activities has provided SLM training, tools and infrastructure that has allowed participating communities and farmers to undertake and benefit from integrated land and water management on their traditionally owned lands	**3**
ID: Encourage farmers to adopt organic agricultural farming practices	• The project reported 1,759 farmers adopted organic farming methods • Certification of organic farms is challenging and project targets were not achieved	**2**
ID: Tree planting program in cyclone damaged areas to increase tree density and diversity	• Tree planting achieved about 1% of the target hectares • No measure of tree diversity was recorded required to assess increased tree diversity	**1**
ID: Encourage farmers to adopt soil/water management and conservation practices	• Limited information was available on the adoption of soil/water management and conservation practices by farmers • SMSMCL reported exceeding the target (5000) with 5,540 households participating • No reporting on the target hectares was provided	**2**
ID: Farmers remove livestock from critical riparian zones	• Farmers did participate in removing approximately 10,000 livestock from critical riparian zones through fencing and/or re-location • Target number (15,000) of livestock removed from riparian zones not achieved and no record of the area (hectares) of riparian zones protected	**2**
ID: Increase community awareness and understanding of SLM through development of village SLM plans	• Careful review and updating of priorities for 26 existing Sustainable Village Development Plans (SVDP) was completed by the NGO OLSSI • The PMU conducted participatory consultative processes in an additional 12 villages to develop SLM plans • The SMSMCL project supported implementation of a priority activity from 2 of the 26 SVDP • There is no report on the implementation of 12 SLM plans developed • The SMSMCL has not reported on mechanisms that will allow communities to implement priority activities identified in SVDP or SLM plans	**1**

Table 10: Impact Assessment of the SMSMCL Theory of Change

Theory of Change Component	Qualitative Analysis	Rating
A: Government capacity (staff and knowledge) is available for required farmer extension services and training	• MNRE forestry and MAF agricultural staff demonstrated the knowledge and initiative to provide SLM extension services • New training opportunities from NUS developed in collaboration with SMSMCL will increase government capacity in the future • Government lacks financial resources needed to support farmer extension services and training	**1**
A: Farmer benefits encourage the adoption of SLM practices	• Model farmers reported favorably on the amount and diversity of vegetable crops produced for local consumption and for income generation • Communities and NGOs reported on potential tourism benefits from enhanced management of KBAs and CCAs • MNRE reported on potential future benefits from agroforestry timber production	**3**
A: Monitoring programs will be instituted and results will demonstrate positive results	• The SMSMCL project did a very poor job of collecting meaningful data to establish baselines and to measure project results that would enable the demonstration of positive results	**1**
IS: Villages in Samoa validate a variety of successful and highly visible SLM activities with proven benefits to farmers and ecosystem services.	• There is a lack of good data to assess the level of success of the various SMSMCL SLM activities • Inferred data suggests benefits to farmers and ecosystem services may be very significant • There is no strategy in place to monitor medium and long term success of SLM activities initiated • There is no strategy in place to replicate and scale-up SLM activities	**1**
Outcome 2: *Strengthened national enabling environment to promote integrated landscape management through local households and communities.*	• Government staff involved in the SMSMCL project are aware of the need for and benefits from multi-sectoral integrated SLM and they are willing and able to work with staff from different sectors • NGOs and the private sector have also been introduced to the concepts of integrated SLM • There is no cross-sectoral coordinating body within government to ensure integrated SLM	**1**
ID: Develop and translate Farmer Field Manual on Soil Management and Soil Conservation	• An excellent field manual has been prepared and translated • The field manual will be used in NUS training programs contributing to future enhancement of SLM	**3**

Table 10: Impact Assessment of the SMSMCL Theory of Change

Theory of Change Component	Qualitative Analysis	Rating
ID: Develop national policies and plans that support SLM through a multi-sectoral approach	• The SMSMCL project reports the integration of a multi-sectoral approach to SLM into several national policies and plans. • There were no reports of initiation of cross-sectoral planning, work plans or budgets	**2**
ID: Create a multi-sectoral coordinating body within government for SLM	• Government staff support the concept of multi-sectoral approach to SLM • No cross-sectoral coordinating body was created by the SMSMCL project to enhance opportunities for multi-sectoral SLM planning and implementation	**0**
ID: Facilitation of increased involvement of NGOs and the private sector in SLM	• NGOs and the private sector were engaged and contributed to SMSMCL SLM project activities • Experience and capacity development should contribute to the ability of NGOs and the private sector to seek funding for and implement SLM	**3**
ID: Create a national SLM information management system to provided resource tools and a data record of SLM activities	• SMSMCL did not complete the creation of a national SLM information management system	**0**
ID: Create SLM training opportunities at a tertiary institution in Samoa	• NUS has successfully created a Diploma in SLM and a B.Sc. with a Major in Sustainable Agriculture • High demand for enrollment will sustain these NUS programs and have the potential to make a substantial contribution to future SLM planning and implementation	**3**
A: Farmers will read and implement SLM activities provided in Field Manuals	• Monitoring to assess the efficacy of field manual use by farmers has not been assessed • During evaluation interviews farmers referred to training received but did not specifically refer to field manuals • There are no plans to upscale the distribution and support training associated with field manuals	**1**
A: Government policies and plans and a multi-sectoral coordinating body will result in annual work plans and budgets that implement SLM	• There is no coordinating body to ensure implementation of multi-sectoral policies and plans result in appropriate SLM work plans and supporting budgets • Government staff within individual sectors suggested future work plans will include SLM	**1**

Table 10: Impact Assessment of the SMSMCL Theory of Change

Theory of Change Component	Qualitative Analysis	Rating
A: NGOs and the private sector have the capacity (staff, training, funding) to carry out SLM	• NGOs and the private sector demonstrated their capacity to implement SMSMCL SLM project activities • Economic benefits received by the private sector involved in farming should sustain future SLM initiatives • NGOs in Samoa are reported to be growing in number and capacity and this should lead to their gaining greater access to funding	**2**
A: Government will maintain and utilize a SLM information management system	• At the time of the TE a government led SLM information management system had not been created by the SMSMCL project. A consultant was procured late in the SMSMCL project to work with MNRE to host a Solutions for Open Land Administration (SOLA). & Open Tenure Community Server for collation and management of data on conservation and forestry areas.	**1**
A: SLM tertiary training will lead to a more effective SLM workforce in government, NGOs and the private sector	• NUS reported student enrollment in the diploma course rose from 4 to 12 and is now at 32 and the recently developed B.Sc. major has 3 students enrolled • It is anticipated graduates will make an important contribution to the workforce	**3**
IS: Government ministries, NGOs and the private sector become actively involved in multi-sectoral approaches to SLM	• Active engagement of several government ministries, multiple NGOs and some members of the private sector was facilitated by the SMSMCL project • Mechanisms to sustain active multi-sectoral SLM planning and implementation were limited to government policies and plans • Future multi-sectoral SLM will depend on new initiatives that build on the SMSMCL project	**1**

Table 10: Impact Assessment of the SMSMCL Theory of Change

Theory of Change Component	Qualitative Analysis	Rating
Overall project summary findings: • Farmers, communities, government ministries and staff, NGOs, and the private sector are receptive to a multi-sectoral approach to integrated SLM and they have demonstrated successful implementation of SLM activities with positive benefits to farmers, communities and the environment. • Detailed analysis of project outcomes identified critical targets that were not met (multi-sectoral coordinating body, SLM information management system) and targets which may not be sustained (maintenance of planted trees, utilization of field manual, implementation of SLM plans) important to attaining the TOC's long-term goal. • More significant concerns are raised when considering the weak "intermediate state" achieved in the TOC Outcomes 1 and 2, as this indicates the required foundation of elements necessary to sustainable achieve the TOC in the context of replication and scaling up of a multi-sectoral approach to SLM is not present • The SMSMCL project exit strategy provided an assessment of the TOC, including the identification of needs to achieve long-term goals, but the exit strategy did not effectively establish roles and responsibilities, future work plans, timelines, and budgets to confidently ensure scale up of multi-sectoral, integrated SLM in priority areas of Samoa.		**1**

The Theory of Change (TOC) developed by the PMU and STA is presented in the draft SMSMCL Project Terminal Report as shown below. Many of the elements in this TOC are reflected in the Impact Drivers (ID), Assumptions (A) and Intermediate States (IS) analyzed in the Tables 9 and 10 above.

The upper portion of the TOC diagram shown below, referred to as the "visible" portion of the TOC, is broken into three sections as follows:

- on the left side a text box reflects a portion of the project objective "*To strengthen local capacities, incentives and actions for integrated landscape management to reduce land degradation and greenhouse gas emissions and to promote conservation whilst enhancing sustainable local livelihoods*";
- in the middle are project outputs which may represent an "Intermediate State" (IS) these are highlighted in four green text boxes; and
- on the right are additional elements from the project objective (as shown above):
  - "*Reduce land degradation*";
  - "*Reduce greenhouse gas emissions*", and
  - "*Promote conservation whilst enhancing sustainable livelihood*".

In the lower, blue highlighted portion of the TOC diagram shown below, referred to as "mechanisms", there are a number of text boxes. While not labelled as such, these text boxes can be seen to include Impact Drivers (ID) and Assumptions (A) similar to those in TOC Tables 9 and 10 above. The TOC shown below does not specify a long-term global goal of achieving multi-sectoral integrated SLM throughout Samoa.

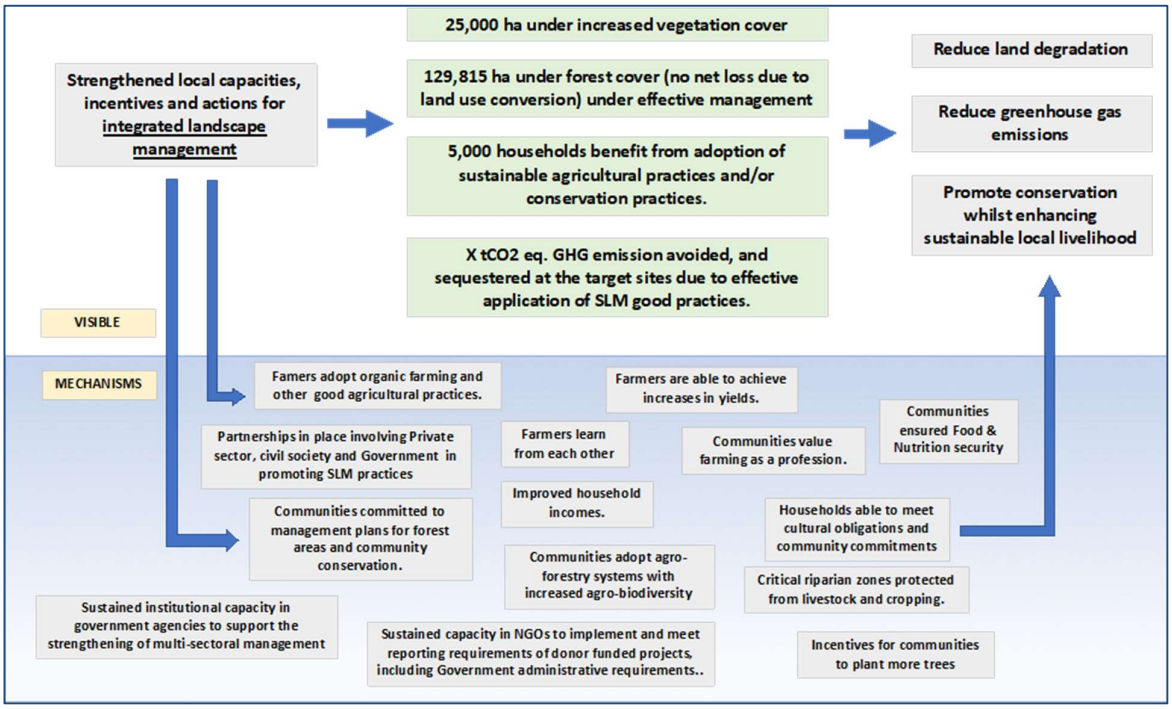


Figure 1: SMSMCL Theory of Change as presented in the draft SMSMCL Project Terminal Report

Considering the impact of the SMSMCL project in the context of Global Environmental Benefits, there were many benefits derived from the multi-sectoral, integrated approach to SLM. These include:

- tree planting and restoration of degraded land reduces soil erosion and the subsequent impacts on aquatic ecosystems
- tree planting contributes to increased carbon sequestration;
- protection of riparian areas improves watershed health, including reduced risk of flooding and improved water quality;
- promotion of organic agricultural methods enhances human health as well as healthy soil and water environments for native organisms; and
- management planning for KBAs and CCAs and the implementing of planning activities enhances the protection of habitat for native biodiversity and the associated provision of ecosystem services associated with these areas.

4 Conclusions, Recommendations and Lessons Learned

Key Conclusions of SMSMCL Project

1. The SMSMCL project has demonstrated communities in Samoa understand the negative environmental implications of land degradation and the need for a multi-sectoral, integrated approach to restoring degraded lands and preventing further land degradation.

2. Government staff appreciate the need to work collaboratively with different government sectors and they recognize the value and have the ability to engage NGOs and the private sector in the achievement of multi-sectoral, integrated SLM.

3. The unsatisfactory rating of effectiveness for the SMSMCL project has highlighted the importance of establishing a SRF with indicators, targets and baselines that are well understood, measurable and monitored at the outset of the project.

4. The poor rating of sustainability highlights the need for an exit strategy to clearly establish a path forward for government as the responsible party to effectively scale-up SMSMCL project activities in order to achieve the long-term project goal.

Key Recommendations for SMSMCL Project

1. Establish a formal SLM institutional coordination mechanism that includes relevant government ministries, NGOs and private sector working collaboratively to manage multiuse landscapes through combined efforts and shared technical resources.

2. MNRE Forestry Division provide support and monitor the SLM activities implemented by the project, particularly monitoring of project tree planting sights to ensure maintenance practices for tree establishment are followed and to ensure restoration areas are protected from other unsustainable land use practices.

3. Complete exit strategy activities including hand over of project activities to beneficiaries, NGOs and government stakeholders and work with government implementing agencies (MNRE, MAFF, MWCSD) to develop a multi-sectoral, multi-year plan to scaling up SMSMCL project activities in additional priority landscapes based on the government's available budgets and capacity.

4. In Samoa many NGOs lack the experience necessary to effectively and efficiently address administrative, financial management and reporting requirements associated with their contractual agreements (MOU). Given the global trend of NGOs becoming some of the most important facilitators (agents) of change at the community level, government should target capacity development to increase the ability of NGOs to participate in current and future project activities.

Key Lessons Learned and Recommendations for Future Programming

Project Design

1. There is a need to evaluate the efficiency and effectiveness of UNDP in bringing forward data and lessons learned from previous development projects to answer questions related to: 1. Do projects incorporate, utilize and benefit from the data generated in previous projects? 2. Do projects unnecessarily repeat work completed in previous projects? 3. Do projects apply the knowledge of "lessons learned" generated from previous projects?

2. UNDP should consider opportunities to develop hybrid finance mechanisms for GEF projects, whereby a portion of GEF funds (e.g. 60% to 80%) are used to finance activities that test and prove the Theory of Change over the five year "pilot phase" of the project and a second portion of GEF funds (e.g. 20% to 40%) are placed in a trust fund that is used to finance project activities proven to be successful during the pilot phase in the "post-project phase". This will necessitate a robust exit strategy that identifies roles, responsibilities, timelines, activities, stakeholders, etc. for post-project activities financed by the trust fund. The value of a hybrid project approach is the contribution to sustainability (scaling up).

3. The SMSMCL project followed a UNDP GEF project management model that included establishment of a PMU with dedicated staff and office infrastructure supported by UNDP funds with project oversight by government staff recruited for the PB and TSAT as well as UNDP Quality Assurance and oversight. At project closure the sustainability of project outcomes, including achieving the long-term goal, is challenged by the fact that the PMU is closed and no plan has been created for government to take on the responsibility to continue to implement project activities within the constraints of their existing staff capacity, infrastructure, and budgets. NIM projects should seek to fully integrate the PMU into existing government structures, whereby the PMU is made up of existing government staff, with infrastructure and budgets supplemented by UNDP during project implementation. In this way at project closure staff will remain in place to continue to implement project activities based on projected needs and available government support.

4. The SMSMCL gender analysis and action plan remain important documentation which should be referred to in the design of future SLM projects in Samoa.

Project Start-Up

5. Project start-up generally requires up to one year, for SMSMCL it took about two years. Project start-up should be recognized for its essential contribution to establishing a strong working foundation that supports the implementation of project activities over the life of the project including:
    a. refinement of the SRF and associated indicators, targets and baselines;
    b. preparation of an inception report;
    c. set up of the PMU, including hiring of staff, obtaining office and field infrastructure needs, training of staff in project reporting and financial management requirements;
    d. establishment of committees/teams/advisors that will oversee, support and manage the project, including PB, TSAT, and STA;
    e. establishment and initiation of a project monitoring framework, including the measurement of indicator baselines;
    f. development of strong, collaborative working relationships with project stakeholders; and
    g. a formal project launch.

6. Additional UNDP oversight during project start-up will help to ensure new projects complete tasks that contribute to successful implementation and monitoring of project activities and evaluation at project closure. UNDP may consider starting GEF projects by <u>immediately</u> hiring a STA on a short term (12-18 months) contract at project start-up. The "start-up" STA would be responsible for establishing a solid

foundation for the project in terms of: 1. PMU establishment; 2. Inception Report; 3. Monitoring and Evaluation, including establishing baseline and confirming indicators, targets and monitoring of project objectives/outputs. The initial STA may continue with the project, if approved, or a contract may be established to hire a second STA to provide technical assistance over the remainder of the project.

7. The indicators, baselines and targets established at the outset of a project are essential to assess the achievement of project results. The lack of verifiable indicators in SMSMCL SRF impaired the ability of the TE to provide evidence-based information that was credible, reliable and useful to a comprehensive assessment of the project. UNDP should take an active role to ensure the project SRF and/or TOC are addressed through effective monitoring and evaluation of project targets and steps taken early in the project cycle that aim to ensure the long-term sustainability of project outcomes and the achievement of the project goal.

8. At Project Inception "SMART" criteria (Specific, Measurable, Achievable, Relevant, and Time-bound) should be used to assess SRF indicators and targets. This is particularly important to identify and revise indicators and targets that are determined to be "questionable" or "non-compliant" in regard to the criteria for "Measurable" and/or "Achievable". In this way the refinement of indicators and targets can occur as early as possible in the project cycle.

Project Monitoring and Evaluation

9. It is recommended that the proposed project budgets for M&E are reviewed by UNDP at project design stage to ensure the budget for M&E is sufficient to cover all costs. Budgeting for M&E must consider more than the budget for a staff position. The budget must include all costs associated with M&E, which in some cases can be substantial, including the costs for external data acquisition (e.g. satellite or orthoimagery), sub-consultant costs (salary, transport, accommodation, etc.) to conduct measuring tasks such as baseline and endline surveys, measure tools costs (e.g. tablets, software, etc.) needed to complete monitoring and evaluation tasks.

10. To fully evaluate long term sustainability, it is recommended UNDP initiate programs that conduct post-project monitoring of results. In the case of the SMSMCL project sustainability is dependent on trees planted during the project being maintained post-project to ensure their growth and establishment and the environmental benefits envisioned.

Project Reporting

11. NIM projects are dependent upon effective and efficient government financial management support. In Samoa the MoF has robust procedures that ensure fair and secure financial management, supporting on average over 150 projects. The SMSMCL project worked with MoF to develop streamlined procedures to more efficiently engage NGOs through an MOU process. The time required for payment of a purchase order through the normal procurement process precluded timely quarterly reporting on the completion of project activities by the PMU that must be made on an "actual expenditures" basis according to UNDP reporting procedures.

12. UNDP "actual expenditures" reporting requirements should take into consideration the financial management procedures of NIM projects that may require extra time for

a project to report on the completion of activities in quarterly reports.

13. The information provided in PIRs assess the ability of a project to provide ongoing assessment and reporting of ProDoc indicators, baselines and targets. When data is not available to report on indicators, baselines and targets UNDP should investigate the root causes and assist the project in implementing changes required to address the issues identified.

Project Exit Strategy

14. To enhance project sustainability a robust exit strategy should be created that informs participating stakeholders and beneficiaries of project closure and develops a comprehensive strategy to achieve the long-term goal articulated in the TOC. An exit strategy should be developed and initiated at least two years prior to project closure and preferably earlier, such as during the inception phase, to ensure development of a TOC and an early recognition of an approach(es) that will contribute to sustainability (i.e. replication and scaling-up to achieve the TOC).

15. The development of an exist strategy should be a ProDoc requirement with the development of an exit strategy beginning early in the project cycle as part of the M&E strategy and implementation of the exit strategy beginning around two years prior to project closure. The purpose of the exit strategy is to ensure the orderly closure of a project and the sustainability of post-project activities directed at achieving the long-term goal as defined by the Theory of Change.

16. The "communication component" of projects makes an important contribution to advocacy and the behavioral change(s) that contribute to long term sustainability of a project's TOC. Project budgets supporting communication activities should be consistent with the important contribution this component makes to project sustainability.

COVID-19 Global Pandemic

17. Travel restrictions associated with the COVID-19 pandemic prevented the international TE consultant from travelling to Samoa precluding the normal field work that would be associated with a TE. The TE consultant role of primary investigator and report author was constrained to internet-based interviews using Zoom, Skype and FaceBook Messenger. Where possible and where the internet connection was sufficient, face-to-face meetings were conducted. It should be noted, however that interviews conducted remotely with or without face-to-face communication, lack non-verbal communication, which is documented to contribute 50% or more to human communication.

18. Using a remote-based interview approach to the evaluation of ***successful components of a project*** generally proceeded smoothly with a good level of confidence producing evidence-based evaluation results. The same cannot be said for the evaluation of ***less successful or challenging components*** of the project, as this evaluation component is dependent upon in-depth, interactive discussions that occur when the international evaluator is in the field interviewing project stakeholders individually and in focus group discussions.

Appendix 1: Terms of Reference for SMSMCL Terminal Evaluation

Empowered lives.
Resilient nations.

REQUEST FOR PROPOSAL FOR THE TERMINAL EVALUATION FOR STRENGTHENING THE MULTI-SECTORAL MANAGEMENT OF CRITICAL LANDSCAPES IN SAMOA (SMSMCL) PROJECT - International Consultant

A. PROJECT TITLE:

Strengthening the Multi-Sectoral Management of Critical Landscapes in Samoa

B. PROJECT DESCRIPTION OR CONTEXT AND BACKGROUND:

In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP support GEF financed projects are required to undergo a terminal evaluation upon completion of implementation. These terms of reference (TOR) sets out the expectations for the Terminal Evaluation (TE) of the medium size project **Strengthening the Multi-Sectoral Management of Critical Landscapes in Samoa** (PIMS No 4536). The GEF Implementing Agency (IA) for this project is the United Nations Development Programme. The Implementing Partner for this project is the Government of Samoa Ministry of Natural Resources and Environment.

The essentials of the project to be evaluated are as follows:

PROJECT SUMMARY TABLE

Project Title: Strengthening the Multi-Sectoral Management of Critical Landscapes in Samoa.

			At endorsement (Million US$)	At completion (Million US$)
GEF Project ID:	4536(GEF PIMS)			
UNDP Project ID:	00073781 (Atlas Award ID)	GEF financing:	USD 4,736,363	USD 4,736,363
Country:	Samoa	IA/EA own:	USD617,000	
Region:	Asia and the Pacific	Government:	USD 600,000 (in-kind)	
Focal Area:	EBD	Other (parallel grants):	USD23,000,000	
Focal Area Objectives, (OP/SP):		Total co-financing:	USD 24,217,000	

Executing Agency:	Ministry of Natural Resources and Environment	Total Project Cost:	USD 28,953,363	
Other Partners involved:		ProDoc Signature (date project began):		31 October 2019
		(Operational) Closing Proposed: Date: 30th April 2020		Actual:

C. SCOPE OF WORK:

The project was designed to strengthen local capacities, incentives and actions for integrated landscape management in order to reduce land degradation and greenhouse emissions and promote nature conservation whilst enhancing sustainable livelihood. This project is the first upscaling initiative by the Government of Samoa to ensure land degradation issues across all level of society are well addressed through the integration of sustainable landscape management into planning framework and actions across multi-sectoral arrangements in order to achieve the Government of Samoa's long-term goal:

"Samoa's productive landscapes are protected and sustainably managed to mitigate land degradation and to increase soil carbon sequestration so as to contribute to poverty alleviation and mitigation and adaptation to climate change impacts, as well as to contribute to global environmental benefits by overcoming barriers to integrated sustainable land management."

The primary objective of this project is to strengthen local capacities, incentives and actions for integrated landscape management in order to reduce land degradation and greenhouse gas emissions and promote nature conservation whilst enhancing sustainable local livelihoods.

In order to achieve this objective the project will support local household and wider community actions to reduce pressures on natural resources from competing land uses in the wider landscape. The project has two outcomes and four outputs:

Outcome 1: Communities and farmers are able to undertake and benefit from integrated land and water management on their traditionally owned land.

> Output 1.1: Landowners engaged in farming in the targeted communities increase village land area under Sustainable Land Management practices.
>
> Output 1.2: Community leaders in targeted villages endorse participatory action plans and engage in sustainable land management practices on village land.

Outcome 2: Strengthened national enabling environment to promote integrated landscape management though local households and communities.

> Output 2.1: National agencies involved in land use activities are able to effectively coordinate field interventions using a multi-sectoral approach.
>
> Output 2.2: Policy makers and key stakeholders have an increased knowledge of Sustainable Land Management through services and training.

The TE will cover the full project and will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects.

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.

Evaluation Approach and Method:

An overall approach and method for conducting project terminal evaluations of UNDP supported GEF financed projects has developed over time. 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, GEF-financed Projects[1]. A set of questions covering each of these criteria should be drafted using the Evaluation Question Matrix (see **Annex A).** The evaluator is expected to amend, complete and submit this matrix as part of an evaluation inception report, 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 government counterparts, in particular the GEF focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region and key stakeholders. The evaluator is expected to conduct a field mission to Samoa.

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

1) Samoa
   - Ministry of Natural Resources and Environment - Land Management Division, GEF/Climate Change Division, Division of Environment and Conservation
   - Ministry of Finance - Aid Coordination and Debt Management Division, Accounts Division, Procurement Division
   - Ministry of Agriculture and Fisheries - Crops Division, Animal Production and Health Division
   - National University of Samoa
   - University of the South Pacific
   - Samoa Farmers Association
   - Matuaileoo Environment Trust Incorporated.
   - 0 le Siosiomaga Society
   - Samoa Conservation Society
   - Samoa Women Association of Growers
   - Selected village community recipients to confirmed by SMSMCL PMU

2) UNDP Samoa
   - Resident Representative/ Deputy Resident Representative
   - Regional Technical Adviser
   - Programme Manager - Environment & Climate Change
   - Programme Officer - Environment and Climate Change
   - Programme Associate -Environment & Climate Change

3) Selected representatives from Samoa
   - Samoa - GEF Focal Point

The evaluator will review all relevant sources of information, such as the project document, project reports - including Annual PIRs, project budget revisions, midterm review, progress reports, project files, national strategic and legal documents, and any other materials that the evaluator considers useful for this evidence- based assessment. A list of documents that the project team will provide to the evaluator for review is included in **Annex B** of this Terms of Reference.

Evaluation Criteria's & Ratings

[1] See <http://web.undp.org/evaluation/documents/guidance/GEF/UNDP-GEF-TE-Guide.pdf>

An assessment of project performance will be carried out, based against expectations set out in the Project Logical Framework/Results Framework (see **Annex C),** which provides performance and impact indicators for project implementation along with their corresponding means of verification. The evaluation will at a minimum cover the criteria of: **relevance, effectiveness, efficiency, sustainability and impact.** Ratings must be provided on the following performance criteria. The completed table must be included in the evaluation executive summary. The obligatory rating scales are included in **Annex D.**

Evaluation Ratings:

1. Monitoring and Evaluation	**rating**	**2. IA& EA Execution**	**rating**
M&E design at entry		Quality of Implementation - Implementing Agency (IA, UNDP)	
M&E Plan Implementation		Quality of Execution - Executing Agency (EA) MNRE	
Overall quality of M&E		Overall quality of Implementation / Execution	
3. Assessment of Outcomes	**rating**	**4. Sustainability**	**rating**
Relevance		Financial resources	
Effectiveness		Socio-political	
Efficiency		Institutional framework and governance	
Overall Project Outcome Rating		Environmental	
		Overall likelihood of sustainability	

Project Finance/ Co Finance

The Evaluation will assess the key financial aspects of the project, including the extent of co-financing planned and realized. Project cost and funding data will be required, including annual expenditures. Variances between planned and actual expenditures will need to be assessed and explained. Results from recent financial audits, as available, should be taken into consideration. The evaluator will receive assistance from the Multi-Country Office (MCO) and Project Team to obtain financial data in order to complete the co-financing table below, which will be included in the terminal evaluation report.

Co-financing (type/source)	UNDP own financing (mill. US$)		Government (mill. US$)		Partner Agency (mill. US$)		Total (mill. US$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants								
Loans/Concessions								
• In-kind support								
• Other								
Totals								

Mainstreaming

UNDP supported GEF financed projects are key components in UNDP country programming, as well as regional and global programmes. The evaluation will 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.

Impact:

The evaluator will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the project has demonstrated: a) verifiable improvements in ecological status, b) verifiable reductions in stress on ecological systems, and/or c) demonstrated progress towards these impact achievements.[2]

Conclusions, Recommendations & Lessons:

The evaluation report must include a chapter providing a set of **conclusions, recommendations** and **lessons.**

D. EVALUATION DELIVERABLES

Deliverable	Content	Timing	Responsibilities
Inception Report	Evaluator provides clarifications on timing and method	No later than 2 weeks before the evaluation mission.	Evaluator submits to UNDP MCO & MNRE
Presentation	Initial Findings	End of evaluation mission	To project management, UNDP MCO & MNRE
Draft Final Report	Full report, (per annexed template) with annexes	Within 3 weeks of the evaluation mission	Sent to MCO, reviewed by RTA, PMU, GEF OFPs & MNRE
Final Report*	Revised report	Within 1 week of receiving UNDP comments on draft	Sent to MCO for uploading to UNDP ERC & final report to MNRE

*When submitting the final evaluation report, the evaluator is required also to provide an 'audit trail', detailing how all received comments have (and have not) been addressed in the final evaluation report. See **Annex E** for an audit trail template

E. IMPLEMENTATION ARRANGEMENTS:

The principal responsibility for managing this evaluation resides with the UNDP MCO in Samoa. The UNDP MCO will contract the evaluator and ensure the timely provision of per

[2] A useful tool for gauging progress to impact is the Review of Outcomes to Impacts (ROtI) method developed by the GEF Evaluation Office: ROTI Handbook 2009

diems and travel arrangements within the country for the evaluation team, where applicable only. The Project Team will be responsible for liaising with the Evaluator to set up stakeholder interviews, arrange field visits, coordinate with the Government etc.

F. EVALUATION TIMEFRAME:

The total duration of the evaluation will be 30 days over duration of max 3 months* according to the following plan:

Activity	Timing	Completion Date
Preparation	3 days	17 February 2020
Evaluation Mission	10 days	6 March 2020
Draft Evaluation Report	15 days	31 March 2020
Final Report	2 days	9 April 2020

The indicated max duration takes into account consultant's initial desk review and quality check of the final report from UNDP MCO, as well as potential delays due to unforeseen circumstances, not included as deliverables in the table above

G. DUTY STATION:

Home-based with travel to Samoa. It is expected that the consultant will spend 10 working days on mission in Samoa.

H. COMPETENCIES:

Corporate Competencies

- The independent consultant:
  - Demonstrates integrity by complying with the UN's values and ethical standards; Promotes the vision, mission, and strategic goals of UNDP;
  - Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability.

Functional

- The independent consultant should possess proven and strong analytical and communication skills, including the ability to produce high quality reports.

Project & Resource Management

- The independent consultant should have strong organizational skills;
- The independent consultant should be able to work independently and collectively to produce individual high quality inputs and collectively high quality and TOR-compliant outputs;
- The independent consultant should possess sound judgment, strategic thinking and the ability to manage competing priorities.

Team Work

- Demonstrated ability of the team to work in a multi-cultural environment.

I. TEAM COMPOSITION (EXPERIENCE & QUALIFICATIONS):

The evaluation team will be composed of 1 independent evaluator. The consultant shall have prior experience in evaluating GEF or GEF/LDCF projects. The evaluator selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities. The selected candidate must be equipped with his/her own computing equipment.

The consultant must present the following qualifications:

- Post-graduate degree in Environmental Management, Biodiversity and ecosystems management or other closely related field
- Minimum 5 years of relevant professional experience in providing management or consultancy services to the multi focal area projects; in developing national and regional capacities and enabling conditions for global environmental protection and sustainable development
- Demonstrated experience with results-based monitoring and evaluation methodologies
- Technical knowledge in the targeted GEF focal areas: Multi Focal Area - Capacity Development
- Experience working in the Pacific region
- Excellent written and oral communication in English language

EVALUATOR ETHICS

The evaluation consultant will be held to the highest ethical standards and is required to sign a Code of Conduct (UNEG Code of Conduct for Evaluation in the UN System) upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluations'[3].

J. EVALUATION CRITERIA AND PAYMENT SCHEDULE FOR CONSULTANCY:

Offers will be evaluated according to the Combined Scoring method - where the technical criteria will be weighted at 70% and the financial offer will be weighted at 30%.

The consultant must present the following qualifications and experience:

- Post-graduate degree in Environmental Management, Biodiversity and ecosystems management or other closely related field (10 points)
- Minimum 5 years of relevant professional experience in providing management or consultancy services to the multi focal area projects; in developing national and regional capacities and enabling conditions for global environmental protection and sustainable development (30 points)
- Demonstrated experience with results-based monitoring and evaluation methodologies (30 pointsTechnical knowledge in the targeted GEF focal areas: Multi Focal Area - Capacity Development (20 points)
- Experience working in the Pacific region (5 points)
- Excellent written and oral communication in English language (5 points)

%	Milestone
20%	Upon approval of TE Inception Report
40%	Upon submission of draft TE Report
40%	Upon finalization and approval (by the UNDP-MCO and UNDP RTA) of TE Report

K. RECOMMENDED PRESENTATION OF PROPOSAL:

Interested individual Consultants must submit ALL the following documents/information to

[3] Refer to <https://www.iom.int/sites/default/files/about-iom/evaluation/UNEG-Code-of-Conduct- 2008.pdf>

demonstrate their qualifications in PDF format:

1. Duly accomplished Letter of Confirmation of Interest and Availability using the template provided by UNDP (Annex 1);
2. Personal CV and P11 (Annex 2), indicating all experience from similar projects, as well as the contact details (email and telephone number) of 3 referees;
3. Financial proposal that indicates the all-inclusive price, supported by a breakdown of costs, as per template provided (Annex 3); and
4. A brief methodology on how you will approach and conduct the work.

Individuals applying for this consultancy will be reviewed based on their own individual capacity. The successful individual will sign an 1C with UNDP. Incomplete proposals submitted via medium other than the one indicated below will NOT be accepted.

Incomplete applications will not be considered, they will be disqualified automatically.

Queries about the position can be directed procurement.wst

Due Date for submission of proposals is Monday 3 February 2020, Samoa time.

ALL PROPOSALS should be submitted through the UNDP eTendering portal. Email

submission of proposals will not be accepted.

Go https://etenderina.partneraaencies.org (to register first if you have not done so) and search for this consultancy reference **WSM017SMSMCLTE**

L. ANNEXES TO THIS TOR

1. Annex 1 - Offeror's Letter to UNDP Confirming Interest and Availability for the Individual
2. IC
3. Annex 2 — P11 Form
4. Annex 3 - Financial Template
5. Annex 4 - UNDP General Terms and Conditions for Individual Contractors

Annex 5 - UNEG Code of Conduct for Evaluation in the UN System

M. APPROVAL BY:

This Terms of Reference is approved by:

Name/Title: Yvette Kerslake, ARR Environment and Climate Change Unit **Date:**
17 January 2020

Appendix 2: SMSMCL Terminal Evaluation Questions

SMSMCL Terminal Evaluation Questions			
Evaluation Questions	**Indicators**	**Data Sources**	**Methodology**
Relevance: How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the county, regional and national levels?			
1. Is the project relevant to Samoa's environmental policies?	Alignment with Samoa country strategies and policies Responses received from interviews.	Government staff NGO staff Government planning and policy documents	Key stakeholder interviews (KSI) Document review
2. Is the project relevant to UNDP's objectives for the country?	Alignment with UNDP country and regional policies and plans Responses received from interviews.	UNDP policy documents for Samoa and the Pacific region	KSI Document review
3. Is the project addressing the needs of the targeted beneficiaries?	Success and sustainability of project activities Responses received from interviews.	Project reports NGO staff Community members	KSI Group discussions Document review
4. How is the project complementary to the actions of other stakeholders active in the country/region?	Alignment with policies, strategies and activities of other stakeholders Responses received from interviews.	NGO policy documents, strategies and actions plans NGO staff	KSI Group discussions Document review
5. Is the project internally consistent in its design?	Alignment of ProDoc theory of change with project activities Responses received from interviews	Project documents PMU Government staff Community members	KSI Document review
Effectiveness: To what extent have/will the expected outcomes and objectives of the project been/be achieved?			
6. Are the activities and outputs of the project consistent with the project's goals and objectives?	Alignment of ProDoc with project activities Responses received from interviews	Project documents PMU Government staff Community members	KSI Document review

SMSMCL Terminal Evaluation Questions			
Evaluation Questions	**Indicators**	**Data Sources**	**Methodology**
7. To what extent has the delivered project outputs contributed to the achievement of its expected outcomes?	Success and sustainability of project activities Responses received from interviews.	Project documents PMU Government staff Community members	KSI Group discussions Document review
8. How was risk managed during the project?	Acknowledgement of risk in project work plans Responses received from interviews.	Project documents PMU Government staff Community members	KSI Group discussions Document review
9. What are the lessons learnt from the project in terms of effectiveness?	Responses received from interviews.	Project documents UNDP PMU Government staff NGO staff Community members	KSI Group discussions Document review
10. Which changes could have been made in project's design to improve its effectiveness?	Problems identified in project reports Responses received from interviews.	Project documents UNDP PMU Government staff NGO staff Community members	KSI Group discussions Document review
11. How could the project have been more effective in achieving results?	Responses received from interviews.	UNDP PMU Government staff NGO staff Community members	KSI Group discussions
Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?			
12. Was adaptive management needed and used to ensure efficient use of resources?	Realignment of project timing, budget, and activities to address concerns/issues Responses received from interviews	Project documents UNDP PMU Government staff NGO staff Community members	KSI Group discussions Document review

SMSMCL Terminal Evaluation Questions			
Evaluation Questions	**Indicators**	**Data Sources**	**Methodology**
13. Were the accounting and financial systems in place adequate?	Completeness of financial accounting systems/reports Responses received from interviews	Project documents UNDP PMU	KSI Document review
14. Were progress reports produced in a timely manner and in compliance to project reporting requirements?	Timing and completeness of project reports Responses received from interviews	Project documents UNDP PMU	KSI Document review
15. Was project implementation as cost-effective as originally envisaged?	Alignment of budget with completion of project activities Responses received from interviews	Project documents UNDP PMU	KSI Document review
16. Was the expected co-finance leveraged as initially expected?	Financial accounting systems/reports Responses received from interviews	Project documents UNDP PMU Government staff	KSI Document review
17. Were the reported lessons learnt shared among project stakeholders for subsequent improvement of project implementation?	Documentation of lessons learned Inclusion of lessons learned in presentation materials Responses received from interviews	Project documents UNDP PMU Government staff NGO staff Community members	KSI Group discussions Document review
18. Which partnerships and networking were facilitated among stakeholders?	Documentation of agreements, MoU, joint activities Responses received from interviews	Project documents UNDP PMU Government staff NGO staff Community members	KSI Group discussions Document review

SMSMCL Terminal Evaluation Questions			
Evaluation Questions	**Indicators**	**Data Sources**	**Methodology**
19. Was local capacity and know-how adequately mobilized?	Documentation, reporting on and utilization of local knowledge Responses received from interviews and focus group discussions	Project documents UNDP PMU Government staff NGO staff Community members	KSI Group discussions Document review
Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?			
20. Were sustainability issues adequately addressed at project design?	Inclusion of measures to ensure sustainability of project results Responses received from interviews.	Project documents UNDP PMU Government staff NGO staff Community members	KSI Document review
21. Is there evidence that some partners and stakeholders will continue their activities beyond project termination? And if such partners/stakeholders were identified, which ones were they?	Inclusion of project activities in future work plans and budgets Human and financial capacity to continue project activities Responses received from interviews.	Stakeholder documents UNDP PMU Government staff NGO staff	KSI Document review
22. Which are the main risks to the continuation of policies and actions initiated by the projects? (financial, institutional, socioeconomic, environmental)	Lack of inclusion of project activities in future work plans and budgets Lack of human and financial capacity to continue project activities Responses received from interviews.	Stakeholder documents UNDP PMU Government staff NGO staff	KSI Document review

SMSMCL Terminal Evaluation Questions			
Evaluation Questions	**Indicators**	**Data Sources**	**Methodology**
23. Are project actions and results being scaled up or replicated elsewhere in the region?	Evidence of project activities taking place beyond project sites Responses received from interviews.	Project documents UNDP PMU Government staff NGO staff Community members	KSI Group discussions Document review
24. Did the project adequately address institutional and financial sustainability issues?	Success of project capacity building Incorporation of project activities in government work plans and budgets Responses received from interviews.	Project documents UNDP PMU Government staff NGO staff	KSI Document review
25. How is the beneficiary planning to mainstream the lessons learnt to ensure quality reporting to the global platforms?	Alignment of sustainable project activities with UNDP and Samoa country and Pacific region goals Responses received from interviews.	Project documents UNDP PMU Government staff NGO staff	KSI Document review
Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?			
26. How likely is the project to achieve its long-term goal?	Sustainable project activities contribute to project theory of change Environmental benefits derived from project activities Responses received from interviews.	Project documents UNDP PMU Government staff NGO staff Community members	KSI Document review
27. Are stakeholders more aware about the project's contribution towards setting up an EMIS and ensuring that it is operational? Which ones?	Stakeholder knowledge of and participation in use of EMIS Responses received from interviews.	Government staff NGO staff Community members	KSI

SMSMCL Terminal Evaluation Questions			
Evaluation Questions	**Indicators**	**Data Sources**	**Methodology**
28. What is the impact of the project for the citizens in terms of awareness about the government's commitment to reporting its updated environmental data to the global platforms of the Rio conventions?	Government documents reporting on State of the Environment, etc. Responses received from interviews.	Government staff NGO staff Community members Government documents	KSI Group discussions Document review
Gender: Has gender been adequately considered throughout all aspects of the project?			
29. How has gender been incorporated into project design and implementation?	Gender inclusion in ProDoc design and workplans Responses received from interviews	Project documents UNDP PMU Government staff	KSI Document review
30. Has there been equal representation of women and men in project activities?	Project records of meetings, events and activities Responses received from interviews	Project documents PMU Government staff NGO staff Community members	KSI Document review
31. Has consideration of gender been included in project outputs, tools, policies, etc.?	Inclusion of gender in project outputs and tools. Inclusion of gender in government policies, strategies and work plans. Responses received from interviews	Project documents PMU Government staff NGO staff Community members	KSI Document review

Appendix 3: Summary Evaluation Questions Distributed to Stakeholders

SMSMCL Evaluation Questions for Communities and Farmer Groups

1. **Relevance**
   - What are the important issues within the community? Has the SMSMCL project provided assistance with community issues?
   - What are the important issues for farmers? Has the SMSMCL project provided assistance with farmer issues?

2. **Effectiveness**
   - What achievements has the SMSMCL project made for the community?
   - What achievements has the SMSMCL project made for farmers?

3. **Efficiency**
   - Did the SMSMCL project operate efficiently?
   - Would you make any recommendations to make the project more effective in other communities?

4. **Sustainability**
   - Will the community and farmers be able to continue the activities started by the SMSMCL project?
   - What support do you need to continue Sustainable Land Management (SLM) activities?
   - Has there been any expansion (scaling up or replication) of SLM activities? In the community? In surrounding communities?

5. **Impact**
   - Have there been positive benefits for the environment as a result of the SMSMCL project?
   - Have there been any negative impacts on the environment as a result of the SMSMCL project?

6. **Gender**
   - Are there gender issues which the SMSMCL project has addressed?
   - Has there been equal participation of women and men in project activities?

7. **Wrap-up Questions**
   - Have there been any unexpected positive results or negative results?
   - What would you say is the most important outcome of the SMSMCL project?
   - What recommendations would you make to improve the SMSMCL project?
   - Do you have any other comments that you would like to make?

SMSMCL Evaluation Questions for MNRE

1. **Relevance**
   - What important issues within the target communities have been addressed by the SMSMCL project?
   - Is the SMSMCL project relevant to Samoa's environmental policies and programs? Can you provide examples?
   - Is SMSMCL project complementary to the actions of other government and/or non-government initiatives? Examples?

2. **Effectiveness**
   - What achievements has the SMSMCL project made in terms of multi-sectoral Sustainable Land Management (SLM)?
   - What changes could have been made to the SMSMCL project to improve its effectiveness?

3. **Efficiency**
   - Do you think the SMSMCL project outputs were worth the staff time and financial resources invested by the project?
   - Would you make any recommendations to make the project more cost effective in other communities?

4. **Sustainability**
   - Will the communities and their farmers continue the activities started by the SMSMCL project?
   - Are there new MNRE policies and programs with budgets allocated to support the Sustainable Land Management (SLM) activities initiated by the SMSMCL project?
   - Has the MNRE expanded (scaled up or replicated) any of SLM activities initiated by the SMSMCL project?

5. **Impact**
   - Have there been positive benefits for the environment in Samoa as a result of the SMSMCL project?
   - Have there been any negative impacts on the environment in Samoa as a result of the SMSMCL project?
   - Has the SMSMCL project assisted Samoa in establishing an Environmental Management Information System (EMIS)?
   - Is the EMIS tool being used for reporting SLM benefits in Samoa?

6. **Gender**
   - Do you know of gender issues which the SMSMCL project addressed?
   - Do you know if the SMSMCL project ensured equal participation of women and men in project activities?

7. **Wrap-up Questions**
   - Have there been any unexpected positive results or negative results associated with the SMSMCL project?
   - What would you say is the most important outcome of the SMSMCL project?
   - What recommendations would you make to improve future SLM projects?
   - Do you have any other comments that you would like to make?
   -

SMSMCL Evaluation Questions for NGO Implementing Partners

1. **Relevance**
   - What important issues within the target communities have been addressed by the SMSMCL project?
   - Is the SMSMCL project considered important to participating communities and have the communities been fully engaged in project activities?
   - Is the SMSMCL project relevant to Samoa's environmental policies and programs? Can you provide examples?
   - Is SMSMCL project complementary to the actions of other government and/or non-government initiatives? Examples?

2. **Effectiveness**
   - What achievements has the SMSMCL project made in terms of multi-sectoral Sustainable Land Management (SLM)?
   - What changes could have been made to the SMSMCL project to improve its effectiveness?

3. **Efficiency**
   - Do you think the SMSMCL project outputs were worth the staff time and financial resources invested by the project?
   - Would you make any recommendations to make the project more cost effective in other communities?

4. **Sustainability**
   - Will the communities and their farmers continue the activities started by the SMSMCL project?
   - Are there examples of new MNRE policies and programs with budgets allocated to support the Sustainable Land Management (SLM) activities initiated by the SMSMCL project?
   - Have any SLM activities initiated by the SMSMCL project been expanded (scaled up or replicated)? Who is responsible for these efforts?
   - Will your organization continue to be involved with SLM activities after the SMSMCL project is finished?

5. **Impact**
   - Have there been any positive benefits or negative impacts for the environment in Samoa as a result of the SMSMCL project?
   - How effective was the SMSMCL project in establishing an Environmental Management Information System (EMIS)?

6. **Gender**
   - Did the SMMCL project address gender issues? Can you give examples?
   - Did the SMSMCL project ensure equal participation of women and men in project activities?

7. **Wrap-up Questions**
   - Have there been any unexpected positive results or negative results associated with the SMSMCL project?
   - What would you say is the most important outcome of the SMSMCL project?
   - What recommendations would you make to improve future SLM projects?
   - Do you have any other comments that you would like to make?

Appendix 4: Remote Stakeholder Interviews – Participant List

Interview Date	Interview Time (Samoan time)	Organization	Contact person	Interview Method	Contact Details
Senior Technical Advisor					
Saturday 28th March	11:00 am	○ Senior Technical Advisor	• Mr. Pouli Keneti Faulalo	Skype	Skype add: keneti01
UNDP					
Tuesday 6th April	11:00 am	○ Deputy Resident Representative	• Ms. Verena Linneweber	Skype	Skype add: verenalinneweber Mob.# +685 7531008 Sat ph:+881 621441814
	12:00 pm	○ Program Manager – Environment & Climate Change ○ Monitoring and Evaluation Analyst	• Ms. Yvette Kerslake • Mr. Taufao Taufao	Skype	Mob.# +685 7233103 Tel.: +685-23670 Ext: 59
UNDP					
Wednesday 8th April	11:00 am	○ Program Officer – Environment and Climate Change	• Ms. Anne Trevor	Skype	Mob.# +685 7774028 or 7667425
	2:00 pm	○ Regional Technical Adviser	• Mr. Gabriel Jaramillo	Skype	Skype add: gaboecse
Communities & Tertiary Institution					

Interview Date	Interview Time (Samoan time)	Organization	Contact person	Interview Method	Contact Details
Tuesday 14th April	10:00 am	○ Project Model School (Le Amosa)	• Fitimaula Donna Le Tagaloa (Principal)	Project assisted FB video call	Mob.# +685 7775725
	11:00 am	○ 0 le Siosiomaga Society	• Mr. Fiu Mataese Elisara (SMSMCL NGO Project Coordinator)	Project assisted Skype	
	12.30 pm	○ Project Model Farmers (Maagiagi)	• Faamanuia Uelese • Malaeafoa Sootaga Auelua	Project assisted FB video call	Faamanuia Mob.#7654846 Malaeafoa Mob.# 7779163
	1.30 pm	○ National University of Samoa	• Ms. Ateca Siliatolu (Dip of Sust Agri Course Coordinator/Senior Lecturer)	Project assisted Skype	a.silatolu@nus.edu.ws https://www.facebook.com/yaca.bale
Ministry of Natural Resources and Environment					
Wednesday 15th April	10.30 am	○ GEF Focal Point/Climate Change Division	• Ms. Anne Rasmussen (ACEO)	MNRE IT assisted set up of Zoom	Anne.rasmussen@mnre.gov.ws
	11:00 am	○ Division of Environment and Conservation	• Mr. Seumaloisalafai Afele Faiilagi (ACEO)		Afele.faiilagi@mnre.gov.ws
	11:30 am	○ Forestry Division	• Mr. Moafanua Tolusina Pouli (ACEO)		Tolusina.pouli@mnre.gov.ws
	12:00 pm	○ Land Management Division	• Ms. Manumaleuga Filisita Heather (ACEO)		Filisita.heather@mnre.gov.ws
	1:00 pm	○ Information Technology Division	• Mr. Charles Pritchard (ACEO)		Charles.pritchard@mnre.gov.ws

Interview Date	Interview Time (Samoan time)	Organization	Contact person	Interview Method	Contact Details
Communities & NGOs					
Thursday 16th April	9:00 am	○ Project Model Farmer group (Faleasiu)	• Fuatino Moli	Project assisted FB video call	7511022/ 7665221/ 7623085
	10.30 am	○ Project Model Farmer group (Fasitoo)	• Samalaeulu	Project assisted FB video call	7656106
	12:00 pm	○ Samoa Women Association of Growers	Ms. Shelley Burich (SWAG President) • And/or Ms.Taimalelagi Kaisarina Salesa (SMSMCL NGO Project Coordinator)	Zoom setup by UNWomen, Mele Mauala	mele.maualaivao@unwomen.org
	1.30 pm	○ Project Organic Farmers Group (Sataua Youth Group) – Savaii based	• Rev. Toese and Mrs. Pailalo	FB messenger	7775328 Fb address - https://www.facebook.com/ptuia70 toesetuia67@gmail.com
International Consultants, Ministry of Agriculture and Fisheries, NGOs					
Friday 17th April	1:00 am	○ Sustainable Land Management Policy/PES/REDD + Consultant	• Mr. Keyvan Azadi	Skype	keyvanizadi22@gmail.com Skype add: kizadi
	3:00 am	○ KBA Management Plan/Pre-KBA BIORAP Consultant	• Mr. Gianluca Serrao	Zoom	ibiseremita@gmail.com

Interview Date	Interview Time (Samoan time)	Organization	Contact person	Interview Method	Contact Details
	9.30 am	○ MAF Crops Division, Ministry of Agriculture and Fisheries	• Mr. Moafanua Tolo Iosefa (ACEO)	Project assisted Skype	tolo.iosefa@maf.gov.ws
	1 :00 pm	○ Samoa Conservation Society	• Ms. Jane Vaafusuaga (SMSMCL Save the Manumea Campaign Coordinator)	Zoom	janevaafusuaga50@gmail.com
	2:00 pm	○ Monitoring & Evaluation Consultant	• Mr. James Atherton	zoom	jatherton67@gmail.com
Project Management Unit					
Monday 20th April	9:00 am	○ PMU Project Manager	• Mr. Suemalo Talie Foliga	Skype	talie.foliga@mnre.gov.ws
	10:30 am	○ PMU Agriculture Advisor	• Mr. Levao Ricky Faatonu	Skype	ricky.faatonu@mnre.gov.ws
	11:30 am	○ PMU Forestry Advisor	• Mr. Maiava Veni Gaugatao	Skype	veni.gaugatao@mnre.gov.ws
	12;30 pm	○ PMU Administration/ Finance Officer	• Ms Felili Crawley-Moa	Skype	felili.crawley-moa@mnre.gov.ws
	1:30 pm	○ PMU Communications Coordinator	• Mrs. Gardenia Elisaia-Morrison	Skype	gardenia.morrison@mnre.gov.ws
Ministry of Finance and Ministry of Natural Resources and Environment					

Interview Date	Interview Time (Samoan time)	Organization	Contact person	Interview Method	Contact Details
Tuesday 21st April	10.30am	○ Aid Coordination and Debt Management Division, Ministry of Finance	• Ms Peresitene Kirifi (ACEO Economic Aid & Debt Management • Ms. Danielle Lio (Principal Ec. Aid Coordination Officer/Grants) • Ms. Rhonda Aumaga (Principal Ec. Aid Coord Officer)	Zoom	Peresitene.Kirifi@mof.gov.ws Danielle.Lio@mof.gov.ws Rhonda.Aumaga@mof.gov.ws
	11.30 am	○ Division of Environment and Conservation, MNRE	• Mr. Seumaloisalafai Afele Faiilagi (ACEO)	Zoom	Afele.faiilagi@mnre.gov.ws
	2:00 pm	○ CEO, MNRE	• Mr. Ulu Bismarck Crawley	Zoom	Bismarck.crawley@mnre.gov.ws
International Consultants					
Wednesday 22nd April	12:00 pm	○ Open Tenure Consultant	• Neil Pullar	Zoom	npullar@gmail.com
Ministry of Natural Resources and Environment					
Thursday 23rd April	6:00 pm	○ Legal Division, MNRE	• Ms. Tagaloa Shirley Malielegaoi-Tuagalu	Zoom	Shirley.malielegaoi@mnre.gov.ws
Savaii Communities					

Interview Date	Interview Time (Samoan time)	Organization	Contact person	Interview Method	Contact Details
Tuesday 28th April	9am	○ Satoalepai Communal Restoration Land	• Mr. Leumaunu Malologa Faatonu • Mr. Polutea	Project Assisted FB video call	
	10am	○ Forestry Division, Vaipouli	• Mr. Sooalo Tito Alatimu	Project Assisted FB video call	
	11.30am	○ Aopo Agro-forestry Nursery	• Mr. Mailata	Project Assisted FB video call	
	1pm	○ Project Model Farmer, Auala	• Mr. Alipia Alipia	Project Assisted FB video call	
	2pm	○ Samataitai SLM Community	• Mr. Soi Poese	Project Assisted FB video call	
UNDP – Senior Technical Advisor					
Wednesday 20th May	8am	• UNDP	• Francois Martel	Skype	Skype: francois_2781 francois@polynesianxplorer.com

Appendix 5: Post MTR Mission Revised Strategic Results Framework

Post MTR Mission Changes Proposed	Indicator	Baseline	Target	Source of verification	Post MTR Mission Report Notes on SRF
Long-Term Project Goal: Samoa's productive landscapes are protected and sustainably managed to mitigate land degradation, to promote biodiversity conservation and to increase soil carbon sequestration so as to contribute to poverty alleviation as well as mitigation and adaptation to climate change impacts.					
Project Objective: To strengthen local capacities, incentives and actions for integrated landscape management to reduce land degradation and greenhouse gas emissions and to promote conservation whilst enhancing sustainable local livelihoods					
Revised indicator tree density removed (111/hectares) because project planting exceeds this (as much as 2,500/hectares), revised target as per MTR recommendations	Obj-1: Area under increased vegetative cover in the project sites	135,000 hectares.	REVISED: An increase of XX hectares., Endorsed by the National Environmental Committee	GIS + reports	ACTUAL INDICATOR: Use zoning map to be validated 09/11/2017 to calculate areas suitable for agro-forestry, baselines is these areas currently covered by forestry. TARGET is expected increase from For Div planting e.g. 80 hectares per year. Target to be verified by change detection in GIS at end of project. FALLBACK INDICATOR: FOR DIV – 100 HECTARES/YR, DEC – 5 HECTARES/YR , WATER RESOURCES (MNRE) DIV – 30 HECTARES/YR, SAMOA CONS SOC (C OFFSETTING PROJ) – 1 HECTARES/YR, MAF CROP DIVISION – (REPORTED IN THE 2 MILL TREES), FD 2 MILLION TREES - For Div & Project planting is greater than 111 trees/hectares as much as 2,500 tree / hectares to address issues of invasive species etc.
Revised target as per MTR recommendations	Obj-2: Area under forest cover (no net loss due to land use conversion) under effective management[1 SEP]	Revised: (CONSISTENT WITH THE NATIONAL UPLAND MANAGEMENT POLICY), native forests among key biodiversity areas in the country 89,904 Hectares (2009)	Baseline measured from imagery (2014). MTR level (2016) and target (2018) to be measured at close of project.	GIS + reports	Check with Oliver GIS, Measure the KBAs (2014) set as our baseline (2018) Oliver said - we have the 2013 baseline and for 2018 or 2019 we can use sat imagery
Revised indicator, baseline & target as per MTR recommendations plus ecotourism development as requested by local communities	Obj-3: Number of households benefitting from adoption of sustainable agricultural practices and/or conservation practices	0 = No SLM activity taking place in project (2013) area SACEP had just started in 2012	500 Households benefitting men and women equally. 3 sites developed, guides trained, linkages with tour operators.	End of project survey	we have baseline (0) we need end of project survey

Post MTR Mission Changes Proposed	Indicator	Baseline	Target	Source of verification	Post MTR Mission Report Notes on SRF
Revised baseline & target as per MTR recommendations	Obj-4: Total amount of CO2 equivalent greenhouse gas emission avoided, and sequestered at the target sites due to effective application of SLM good practices	In hand baseline from GIS using Carbon biomass maps (note if holes in project area these will have to transposed)	Target remains the same: Avoided emission of 689,333 CO2-eq for 4 years and sequestration of store additionally 10,755 tCO2 eq.	GIS + reports	Afele and Oliver to ask For Div for biomss mapping 2013 . This will be calculated based on the Zoning Map for the project sites to provide a baseline. The target remains the same. The end calculation will be made through a "bolt-on" consultancy with Oliver during his last mission and used as a training task
OUTCOME 1. Communities and farmers are able to undertake and benefit from integrated land and water management on their traditionally owned lands.					
Revised baseline & target as per MTR recommendations	1. Number of certified organic farmers/farms	WIBDI SAID: 2013 - 589 certified farmers	Insert target? and baseline TARGET WILL BE SUM OF WIBDI + MAF + METI databases.	Organic certification records	Note to final target: DISAGREGATE figures so it is possible to see CERTIFIED farmers, WIBDI, MAF, METI databases original baseline based on solely WIBDI database (corrected for 2013)
Revised target	2. Increased density and diversity of native tree species in cyclone damaged landscapes around Apia covering 3,314 hectares	Baseline will be determined by Oliver from GIS	20 hectares (5 hectares/year planted by DEC in protected areas)	DEC planting records	There is real confusion over this indicator. The **Samoa Post-Disaster Needs Assessment, Cyclone Evan 2012 Report (Government of Samoa)** includes **Section 3.12 Environment** which states information on general environment and in **Sub-section Damage and Loss** on page 92 has a description of Forest in different category. **Table 35** indicates damage and loss to natural forest areas but not presented in areas as in hectares nor specific areas or sites around the Apia Urban Area (AUA). The values are in monetary terms. Thus, it is hard to make an estimate. Sub-section **Damage and Loss** on page 92, last 2 lines states that there was a forest damage rapid assessment done which gives an estimate on vegetation loss. **Section 7 Post-Disaster Recovery Needs** states environmental needs as; disposal of natural debris (trees etc.) but does not quantify or propose measures for recovery of damaged areas through planting. DEC planting in protected areas by the project essentially addresses this indicator, however, other project related activities in the cyclone damaged areas do not respond because they are using crops rather than native trees

Post MTR Mission Changes Proposed	Indicator	Baseline	Target	Source of verification	Post MTR Mission Report Notes on SRF
Revised target as per MTR recommendations to include KBAs	3. Area of natural forests, riverine areas and wetlands under protection and management in the production landscape under community land use plans (forest and tree cover maintenance; maintenance of wetlands; no net increase of agricultural land under mono cropping)	0 (zero)	By the end of the project at least 55,000 hectares under integrated landscape management plans approved through village ordinance - including the KBAs	Site assessment reports at mid-term and terminal	Total area of KBAs 2,316 hectares in 2 plans; 50 village plans CAN WE GET ESTIMATE OF AREA??? Now ngo contracts let (includes the 26 MWCD plans); Request from Water Resources to provide data / areas of river buffer zones; Find someone to replace Tepa to finish the job
Revised baseline (minus 27 households according to Inception Report), revised target from 5,000 to 500 as per recommendation	4. Number of farmer households adopting at least one or more soil / water management and conservation practices on agricultural lands	There are 10,633 (inception report) households in the target area of the project, but with limited soil and water conservation activities	At least 500 households will be adopting soil management and conservation practices in their land by the end of the project covering at least 1,800 hectares	Site assessment reports at mid-term and terminal	
Revised indicator & target as per MTR recommendation	5. Increased water quality monitoring	Water quality at sampled sites (3 major sites) shows confirmed incidences of E. coli presence exceeding national standards	Water quality monitoring guidelines for livestock management areas approved by Water Resources Division and demonstrated at 3 sites	Water quality monitoring reports	
Revised indicator & target as per MTR recommendation	6. Improved livestock management in critical riparian areas	Estimated 30,000 livestock in target areas, covering 5000 hectares	Improved livestock management plans designed and implemented in at least 5 villages in 5 different catchment areas	Project sites monitoring report	SO WE NEED 2 MORE? AND ALL NEED TO BE INCLUDED INTO VILLAGE PLANS?? Oliver to look at these areas, includes pigs so link to SACEP

Post MTR Mission Changes Proposed	Indicator	Baseline	Target	Source of verification	Post MTR Mission Report Notes on SRF
Revised target as per MTR recommendations	7. Number of integrated participatory village level SLM plans	No village plans incorporating SLM	In coordination with Community Integrated Management (CIM) programmes, one village in each of 16 administrative districts have development plans integrating SLM with priority actions focused on gender and social inclusion	Village meeting records	This is the same plans as indicator 3 but we will include gender and inclusions issues and combine in one indicator
Revised indicator & target	8. The number of community members who are aware of SLM and report on increased knowledge and capacity of SLM	No reports on knowledge on SLM	At least 40% of the communities/people surveyed are able to report on increased knowledge on SLM through access to national SLM system, audio-visual materials and trainings.	Surveys defined for the trainings, workshops and consultations that identify awareness level and actual implementation of SLM practices	NOTE TO EXIT STRATEGY: Engage NUS or USB 2 surveys now and end of project KAP and make recommendations on future training and awareness delivery
			Social media engagement is doubled by the end of the project (based on the FACEBOOK diagnostics)	FACEBOOK diagnostics	
OUTCOME 2. Strengthened national enabling environment to promote integrated landscape management through local households and communities.					
Revised target as per MTR recommendations	9. Soil management and conservation manual targeting local communities in local language	No soil management and conservation manual	Soil management and conservation manual developed including SLM practicies for agriculture, agro-forestry and water resources management	MNRE publications	Review manual to see how agro-forestry and water issues can be strengthened - just to show we care!!

Post MTR Mission Changes Proposed	Indicator	Baseline	Target	Source of verification	Post MTR Mission Report Notes on SRF
Revised target as per MTR recommendations	10. Number of national policies and plans that support for inter-sectoral and partnership approach to promote community based SLM	A number of policies and plans to support SLM (see section 1.5 of the project document) but inter-sectoral approach is weak	Land resources management legislation developed and national policy updated; Agriculture Sector Plan 2011 - 2016 strengthened to mainstream SLM approaches and management practices; policies on mining (including sand mining) strengthened or developed; formal guidelines for sustainable land management under village development plans under PUMA Act developed; Forestry sector plan mainstreams sustainable forestry management	Legislation and planning instruments	This has been done SLM Guidelines have been developed under the UNCCD (UN Convention on Combating Land Desertification) National Action Plan Review; Forest Management Plan (co-financed by Forestry Division); Forest Regulation both have given a conservation as opposed to production focus; Going to review the Logging Code of Practice (include in strategy/exit plan); Environment Management and Biodiversity Bill (will be NEW); Soil Conservation and Management Bill (NEW)
No change but likely MTR LD PMAT Tracking Tool was incorrect (score too low)	11. Increased capacities for INRM as measured by an increase in the score of the GEF LD Tracking Tool Enhanced cross-sector enabling environment for integrated landscape management	3	5	GEF LD PMAT Tracking Tool	Run GEF LD PMAT Tracking Tool and update scores to reflect - should reach 5 as INRM is in place Exit strategy

Post MTR Mission Changes Proposed	Indicator	Baseline	Target	Source of verification	Post MTR Mission Report Notes on SRF
Revised indicator, target and baseline to reflect adaptive changes brought about by the project	12. Coordination mechanism in place to ensure multi-sector approach to SLM in line with National Environment Management Strategy. Sector planning is coordinated, highly adaptive and allows for broad participation and issues of scale.	No coordination mechanisms for SLM. Planning is currently sector-driven, deterministic and exclusive	By the end of the project a formal institutional coordination mechanism has been established including all relevant ministries to ensure integration of SLM in all sectors to manage multiuse landscapes through combined efforts, shared technical resources. Scenario planning develops plausible future scenarios to inform conventional planning process	Government records/ reports/ coordination meeting minutes	Exit strategy Project to establish an SLM Working Group – technical committee for the National Environment Sector Committee
No change	13. Increased involvement of private sector, civil society and others in promoting SLM in partnership with the government.	SFA and WIBDI – NGOs assisting communities with projects that are SLM compatible	By Year 4, the number of assisting communities NGOs and private partners in with projects that are SLMSLM is increased by 200%.	Government records/ national NGOs surveys	METI will be establishing farmer to market links. Project will develop a plan/strategy to capitalize on this following their involvement, PHAMA, others
Revised target as per MTR recommendations	14. National SLM information system in line with information system for national Environment Management Strategy	No SLM information system	By year 4 an SLM information system linked with the data knowledge information facility (DKIF) established and managed by MNRE	Government records	Take up in Exit strategy

Post MTR Mission Changes Proposed	Indicator	Baseline	Target	Source of verification	Post MTR Mission Report Notes on SRF
Revised indicator & target as per MTR recommendation	15. Number of government staff who have completed new training of trainers short term courses on SLM, tailored for Samoa and including carbon accounting from LULUCF	No SLM training currently available at USP for government staff	By the end of the project at least 200 staff from MNRE, MAF and MWCSD have completed professional level training	Government reports/ training reports	
No change	16. Number of long term courses institutionalized in USP to degree students on SLM	No SLM courses available at University for undergraduate students	By the end of the project, at least 1 SLM long term course has been institutionalised at USP	University curriculum	Established a Diploma in Sustainable Agriculture at NUS. Take up in exit startegy

Appendix 6: Mid-Term Review of Strategic Results Framework

The tables below are from the Mid-Term Review (MTR) of the SMSMCL project which used "SMART" criteria – Specific, Measurable, Achievable, Relevant, and Time-bound – to assess the Strategic Results Framework (SRF) indicators and targets.

The criteria rating used in the tables is Green for "compliant", Yellow for "questionably compliant", and Red for "not compliant".

Table 1: MTR Review of SMSMCL Objective Indicators and Targets							
Indicator	**End-of-Project target**	**MTR_Review**				
		S	**M**	**A**	**R**	**T**
Objective: To strengthen local capacities, incentives and actions for integrated landscape management to reduce land degradation and greenhouse gas emissions and to promote conservation whilst enhancing sustainable local livelihoods.						
Obj-1: Area under increased vegetative cover (with average tree density of 111 trees/ hectares)	Increased by 24,430 hectares	N	Y	N	Y	Y
Obj-2: Area under forest cover (no net loss due to land use conversion) under effective management	Area 128,000 hectares	Y	N	?	Y	Y
Obj-3: Increase of agriculture income and consumption per household as a consequence of increased productivity of land	5000 households' incomes increase by 10% on average by project end through increased land productivity	Y	?	?	Y	Y
Obj-4: Total amount of CO2 equivalent greenhouse gas emission avoided, and sequestered at the target sites due to effective application of SLM good practices	Avoided emission of 689,333 tCO2eq for 4 years and sequestration of store additionally 10,755 tCO2eq.	?	Y	?	Y	Y

Table 2: MTR Review of SMSMCL Outcome 1 Indicators and Targets						
Indicator	**End-of-Project target**	**MTR Review**				
		S	**M**	**A**	**R**	**T**
Outcome 1: Communities and farmers are able to undertake and benefit from integrated land and water management on their traditionally owned lands**.**						
1. Number of certified organic farmers/farms	A 30% increase in number of households engaged in organic farming or more ecological farming	Y	Y	Y	?	Y
2. Increased density and diversity of native tree species in cyclone damaged landscapes around Apia covering 3314 hectares	At least 50% increase forest cover in a landscape	?	?	?	Y	Y
3. Area of natural forests, riverine areas and wetlands under protection and management in the production landscape under community land use plans (forest and tree cover maintenance; maintenance of wetlands; no net increase of agricultural land under mono cropping)	By the end of the project, at least 55000 hectares will be under integrated landscape management outside KBAs	Y	Y	Y	?	Y
4. Number of farmer households adopting at least one or more soil / water management and conservation practices on agricultural lands	At least 5000 households will be adopting soil management and conservation practices in their land by the end of the project covering at least 18000 hectares	Y	Y	N	Y	Y
5. Increased water quality as a consequence of enhanced watershed management and water source protection	At least 50% of the project sites report on increased water quality by the end of the project - including *E. coli* levels within national standards; and additional parameters of nutrient loads (such as nitrogen) are also within acceptable international standards	N	N	N	Y	Y
6. Per cent of Livestock relocated to optimal grazing areas away from critical riparian areas	At least 50% relocated, covering 2500 hectares	Y	Y	N	?	Y
7. Number of integrated participatory village level SLM plans	At least 50 villages have developed plans integrating SLM with the participation of 15000 community member including men, women and young	Y	Y	?	Y	Y
8. Number of community members that report on increased knowledge and capacity on SLM	At least 40% of the communities are able to report on increased knowledge on SLM through access to national SLM system, audio-video materials and trainings	N	Y	Y	Y	Y

Table 3: MTR Review of SMSMCL Outcome 2 Indicators and Targets						
Indicator	**End-of-Project target**	**MTR Review**				
		S	**M**	**A**	**R**	**T**
Outcome 2: Strengthened national enabling environment to promote integrated landscape management through local households and communities.						
9. Soil management and conservation manual targeting local communities in local language	By the end of year 1 a Soil Management and Conservation Manual developed including SLM practices for agriculture, forestry and water resources management	Y	Y	Y	Y	Y
10. Number of national policies and plans that support for inter-sectoral and partnership approach to promote community based SLM	• Land Resource management legislation developed and national land use policy updated • Agriculture Sector Plan 2011-2016 strengthened to mainstream SLM approaches and management practices • policies on mining (including sand mining) strengthened or developed • formal guidelines for sustainable land management under village development plans under PUMA Act developed	Y	Y	Y	Y	Y
11. increased capacities for INRM as measured by an increase in the score of the GEF LD Tracking Tool Enhanced cross-sector enabling environment for integrated landscape management	5	Y	Y	Y	Y	Y
12. Coordination mechanism in place to ensure multi-sector approach to SLM in line with National Environment management Strategy	By the end of the project a formal institutional coordination mechanism has been established including all relevant ministries to ensure integration of SLM in all sectors to manage multiuse landscapes through combined efforts, shared technical resources	Y	Y	Y	Y	Y
13. Increased involvement of private sector, civil society and others in promoting SLM in partnership with the government.	By Year 4, the number of NGOs and private partners in SLM is increased by 200%.	Y	Y	Y	Y	Y
14. National SLM information system in line with information system for national Environment Management Strategy	By Year 4 an SLM information System will be established and managed by MNRE	Y	Y	Y	Y	Y
15. Number of government staff who have completed new training of trainers short term courses provided by USP on SLM, tailored for Samoa and including carbon accounting from LULUCF	By the end of the project, at least 100 staff from MNRE, MAF, MWCSC have completed the SLM training at USP	Y	Y	Y	Y	Y
16. Number of long-term courses institutionalized in USP to degree students on SLM	By the end of the project, at least 1 SLM long term course has been institutionalized at USP	Y	Y	Y	Y	Y

Appendix 7: "Phased Over" Exit Strategy (Draft SMSMCL Project Terminal Report)

Results accordance to SRF / M&E Plan			Weak TOC Mechanism	Exit Strategy		
Indicator	**Target**	**Achievements at end of Project**		**"Phased Over" Assessment Criteria** H = fully met, M = partially met, L = not met		**"Phased Over" Exit Strategy Recommendations & Next Steps**
Obj-1: Area under increased vegetation cover in the project sites.	Increased vegetation cover in at least 10% of total area covered by the project = > 25,000 hectares.	**Total = 16,756.13 hectares**: *a) Changes in agricultural current land use practices =* ***7,927.55 hectares****.* - 5.65 hectares of SLM model farms and vegetable gardens at Papauta, Malololelei, Uafato, Sataua, Saina, Salua - 9.0 hectares from 10,000 cocoa seedlings distributed and planted by community farmers. - 50 hectares from 10,000 coconut seedlings distributed and planted by community farmers. - 5 hectares covered with 'ava cuttings - 0.5 hectares increase vegetation from application of liquid fertilizer by METI - 16.2 hectares increased vegetation from SFFI sandalwood and Tahitian lime project - 20 hectares increased cover in improving agro-forestry systems by increasing diversity of shade trees in koko farming - 1.2 hectares at Avele College and Itu-o-Tane High School demonstration of sustainable agriculture - 20 hectares - Agri-tourism park at Atele - 300 hectares from METI's support of Pacific Group Organic Certification for the village of Lealaali'i, Faleasi'u - > 7,500 hectares of increased cover in riparian areas as a result of removing livestock.	• Communities value farming as a profession. • Sustained capacity in NGOs to implement and meet reporting requirements of donor funded projects, including Government administrative requirements. • Households are able to meet cultural obligations and community commitments • Farmers are able to achieve increases in yields. • Incentives for communities to plant more trees	(i) the structures developed and organizations and individuals trained or empowered by the project will continue to function effectively. (ii) the relevant activities will be continued in the same or modified format. (iii) the project impact will be sustained, expanded or improved at the end of the intervention.	M H M M	The M ratings relate to the key question of institutional and human resource capacity. To sustain the results, **there is a need for more field research on the impacts of good agricultural practices in increasing yields and in better understanding of the value of ecosystem services to livelihoods.** The availability of field data and capacity to analyse data is crucial to promoting good agricultural practices based on evidence. In this regard, **the NGOs need tools for data collection and analysis in partnership with extension services at MAFF and the Scientific Research Organization of Samoa (SROS).** The availability of field data and capacity to analyse data is also crucial in improving understanding of the value of ecosystem services to promote and facilitate incentives for planting trees by communities. **There is a need to build more capacity in mapping tools to monitor land use changes, such as SOLA/OT.** Copies of the SMSMCL M&E Plan database should be made available to MAFF Crop Division and MNRE Divisions so they can

Results accordance to SRF / M&E Plan			Weak TOC Mechanism	Exit Strategy		
Indicator	**Target**	**Achievements at end of Project**		**"Phased Over" Assessment Criteria** H = fully met, M = partially met, L = not met		**"Phased Over" Exit Strategy Recommendations & Next Steps**
		b) *Restoration of degraded land, including tree planting to reduce land degradation in critical landscapes due to invasive species and in areas proned to soil erosion = **1,580.0**6ha* - 1,000 hectares in partnership with the Two Million Tree campaign, including at Vaipouli, Fagali'i, Vailele, Saleimoa, Lalomanu and Tapatapao - 500 hectares in partnership with MNRE/Forestry at Vailima and Maota - 7.38 hectares in partnership with MNRE/Forestry comprising of: 0.6 hectares at Asau,, 0.5 hectares at Lano, 2.3 hectares at Vaipouli, 0.4 hectares at Faleolo, 0.92 hectares at Aleipata, 0.4 hectares at Malua, 1.75 hectares at O Le Pupu Pu'e National Park and 0.51 hectares at Vailima. - 0.3 hectares in partnership with MNRE/DEC at Mt Vaea Reserve - 28.74 hectares Fagamalo burial ground and historical sites rehabilitation - 0.42 hectares Sato'alepai burial ground rehabilitation - 36.24 hectares Salea'aumua old piggery communal land rehabilitation. c) *Forests rehabilitation through promoting native tree planting = **7,260.43** hectares*: - 26.39ha forest replanting and ecosystem restoration for degraded watershed area at Malolelei BioPark and Vailima National Reserve - 2.3ha forest replanting and ecosystem restoration for degraded watershed area at Mt	• Incentives for communities to plant more trees	(i) the structures developed and organizations and individuals trained or empowered by the project will continue to function effectively. (ii) the relevant activities will be continued in the same or modified format. (iii) the project impact will be sustained, expanded or improved at the end of the intervention. (i) the structures developed and organizations and individuals trained or empowered by the project will continue to function effectively. (ii) the relevant activities will be continued in the same or modified format.	H H H H	either build on it, or extract data into their existing datasets. For riparian areas, **there is a need to follow up the fencing to stop livestock grazing with planting of native trees in those areas so communities do not replace livestock with cropping**.

Results accordance to SRF / M&E Plan			Weak TOC Mechanism	Exit Strategy		
Indicator	**Target**	**Achievements at end of Project**		**"Phased Over" Assessment Criteria** H = fully met, M = partially met, L = not met		**"Phased Over" Exit Strategy Recommendations & Next Steps**
		Vaea Scenic Reserves. - 1.34ha - Forest replanting and ecosystem restoration for degraded watershed area at Malololelei Bio-Park - 0.4 hectares native tree planting as restoration from invasive species and impact of land degradation at Safa'ato'á Village watershed area. - 4,600 hectares at Fulu'asou Watershed area. - 630 hectares at Loimata o Apaula water catchment area. - 2 hectares at Lanoto'o watershed area.		(iii) the project impact will be sustained, expanded or improved at the end of the intervention.	H	
Obj-2: Area under forest cover (**no net loss due to land use conversion**) under effective management	76,000 hectares forest under effective management Plans.	**Total = 132,075 hectares**: a) *4 new KBA Management Plans for Uafato & Ti'avea, Falealupo, A'opo = 109,428 hectares.*	• Incentives for communities to plant more trees • Partnerships in place involving	(i) the structures developed and organizations and individuals trained or empowered by the project will continue to function effectively. (ii) the relevant activities will be continued in the same or modified format. (iii) the project impact will be sustained, expanded or improved at the end of the intervention.	M M H	The M ratings relate to the key question of institutional and human resource capacity. The KBA Management Plans need implementation frameworks developed and supported. The capacity to collect and manage field data on land use changes within the KBA/CCA areas is crucial to the implementation frameworks. In this regard, t**here is a need to build more capacity in mapping tools to monitor land use, such as SOLA/OT.** **A SOLA/OT Community Server should be installed locally at MNRE for collation and management of data on conservation and forestry areas.** A copy of the SMSMCL Open Tenure database on the Community Server should be made available to MNRE to build

Results accordance to SRF / M&E Plan			Weak TOC Mechanism	Exit Strategy		
Indicator	**Target**	**Achievements at end of Project**		**"Phased Over" Assessment Criteria** H = fully met, M = partially met, L = not met		**"Phased Over" Exit Strategy Recommendations & Next Steps**
		b) Commitments made through village community consultations and/or Biodiversity Surveys completed towards the development of Management Plans = 15,132ha.	Private sector, civil society and Government in promoting SLM practices			upon.
		c) *Review to update and improve Management Plan for Ole Pupu'e = 3,490ha*.		(i) the structures developed and organizations and individuals trained or empowered by the project will continue to function effectively.	H	
				(ii) the relevant activities will be continued in the same or modified format.	H	
				(iii) the project impact will be sustained, expanded or improved at the end of the intervention.	H	
		d) Newly established Community Conservation Areas (CCAs) under village by-laws = 1,765ha.		(i) the structures developed and organizations and individuals trained or empowered by the project will continue to function effectively.	H	

Results accordance to SRF / M&E Plan			Weak TOC Mechanism	Exit Strategy		
Indicator	**Target**	**Achievements at end of Project**		**"Phased Over" Assessment Criteria** H = fully met, M = partially met, L = not met		**"Phased Over" Exit Strategy Recommendations & Next Steps**
		e) Forest areas rehabilitation through promoting native tree planting and protected under village by-laws = 7,260.43 hectares.		(ii) the relevant activities will be continued in the same or modified format. (iii) the project impact will be sustained, expanded or improved at the end of the intervention. (i) the structures developed and organizations and individuals trained or empowered by the project will continue to function effectively. (ii) the relevant activities will be continued in the same or modified format. (iii) the project impact will be sustained, expanded or improved at the end of the intervention.	H H	
Obj-3: Number of households benefitting	At least 5000 Households benefitting - men and women equally	Total = **5957** households: *a) Organic farms and farms adopting organic farming practices.*	• Farmers are able to achieve increases in yields.	(i) the structures developed and organizations and individuals trained or	M	Field research collecting field data and capacity to analyse data is crucial to promoting good agricultural practices based on evidence. As above, **the farmers**

Results accordance to SRF / M&E Plan			Weak TOC Mechanism	Exit Strategy		
Indicator	**Target**	**Achievements at end of Project**		**"Phased Over" Assessment Criteria** H = fully met, M = partially met, L = not met		**"Phased Over" Exit Strategy Recommendations & Next Steps**
from adoption of sustainable agricultural practices and/or conservation practices.	from adopting SAPs and/or conservation practices.	*b) Households adopting at least one soil/water management and conservation practices on agricultural lands.* c) *Benefitted from NGOs project activities.*	• Communities value farming as a profession.	empowered by the project will continue to function effectively. (ii) the relevant activities will be continued in the same or modified format. (iii) the project impact will be sustained, expanded or improved at the end of the intervention.	 H H	**and communities need tools for data collection and analysis in partnership with extension services at MAFF and the Scientific Research Organization of Samoa (SROS).**
Obj-4: Total amount of CO2 equivalent greenhouse gas emission avoided, and sequestered at the target sites due to effective application of SLM good practices.	Avoided emission of 689,333 CO_2-eq for 4 years and sequestration of store additionally 10,755 tCO_2 eq.	A very rough estimate = 49.4 tCO_2-eq potential contribution to CO_2 storage over the next 20 years, assuming an average of 20kg CO_2 average storage per tree per year. Modelling CO_2-eq avoided emissions and CO_2 sequestration require quality data sets as inputs into the chosen model. The project did not have the ability to collect the necessary input datasets. This however does not mean that the project activities did not contribute to CO_2-eq avoided emissions and CO_2 sequestration. It was simply not able to quantify.	• Sustained institutional capacity in government agencies to support the strengthening of multi-sectoral management	(i) the structures developed and organizations and individuals trained or empowered by the project will continue to function effectively. (ii) the relevant activities will be continued in the same or modified format. (iii) the project impact will be sustained, expanded or improved at the end of the intervention.	L L L	Capacity need to developed in modelling CO_2-eq avoided emissions and CO_2 sequestration, including capacity to collect and manage quality data sets as inputs into the models.

Appendix 8: SMSMCL Project Strategic Results Framework Comparison and Project Achievements

Green highlighted is from the Project Inception Report (May 2015). Orange highlight is the Revised SRF, approved by Project Board at 18th Meeting, October 2018, showing the text changes made to Indicators, Baseline, Targets and Sources of Verification, Purple highlight final project achievements.

	Indicator	Baseline	Target	Verification	Project Achievements
Long Term Goal: Samoa's productive landscapes are protected and sustainably managed to mitigate land degradation, to promote biodiversity conservation and to increase soil carbon sequestration so as to contribute to poverty alleviation as well as mitigation and adaptation to climate change impacts.					
Objective: To strengthen local capacities, incentives and actions for integrated landscape management to reduce land degradation and greenhouse gas emissions and to promote conservation whilst enhancing sustainable local livelihoods.	Obj-1: Area under increased vegetation cover in the project sites.	0 (zero) hectares with increased vegetation cover. Total area covered by the project = 250,000ha.	Increased vegetation cover in at least 10% of total area covered by the project = > 25,000 hectares.	GIS + reports NGO reports	**Total = 16,756.13 hectares** • Changes in agricultural current land use practices = 7,927.55 hectares. • Restoration of degraded land, including tree planting to reduce land degradation in critical landscapes due to invasive species and in areas prone to soil erosion = 1,580.06ha • Forests rehabilitation through promoting native tree planting = 7,260.43 hectares:
	1. Area under increased vegetative cover	0 hectares[4]	Increased by 24,430 hectares[5]	Aerial photography and satellite imagery with sampled ground truthing.	
	Obj-2: Area under forest cover (no net loss due to land use conversion) under effective management	76,000 hectares forest under effective management Plans.	76,000 + Y hectares of added forest area under KBA Management Plans to be developed under the project. Y to be determined at end of project	GIS + Management Plans documents	**Total = 132,075 hectares:** • 4 new KBA Management Plans for Uafato & Ti'avea, Falealupo, A'opo = 109,428 hectares. • Commitments made through village community consultations and/or Biodiversity Surveys completed towards the development of Management Plans = 15,132ha. • Review to update and improve Management Plan for Ole Pupu'e = 3,490ha. • Newly established Community Conservation Areas (CCAs) under village by-laws = 1,765ha • Forest areas rehabilitation through promoting native tree planting and protected under village by-laws = 7,260.43 hectares.
	2. Area under forest cover (no net loss due to land use conversion) under effective management	164,000 hectares	164,000 hectares	Aerial photography and satellite imagery	

[4] This will verify once the GIS Specialist is on board (Late-October 2015) and that will be changed in consultation with the Project Board and RTA.

[5] This figure is based on 18,930 ha of changes in current agricultural land-use practices (see Project Document, table 4) and at least 5,000 hectares of degraded lands restored through community activities and further 500 hectares will be forests (as referred to under Output 1.2 bullet point 1 in Project Document)

	Indicator	Baseline	Target	Verification	Project Achievements
	Obj-3: Number of households benefitting from adoption of sustainable agricultural practices and/or conservation practices.	0 = No SLM activity taking place in project (2013) areas	At least 500 Households benefitting - men and women equally from adopting SAPs and/or conservation practices.	Project Terminal report	**Total = 5,957 households:** • Organic farms and farms adopting organic farming practices. • Households adopting at least one soil/water management and conservation practices on agricultural lands. • Benefitted from NGOs project activities
	3. Increase of agriculture income and consumption per household as a consequence of increased productivity of land	US$2692 on average (national[6] [7])	5000 households' incomes increase by 10% on average by project end through increased land productivity	Project surveys at beginning and end of project	
	Obj-4: Total amount of CO2 equivalent greenhouse gas emission avoided, and sequestered at the target sites due to effective application of SLM good practices.	Total national emissions from AFOLU 135.37, Gg CO_2-e (2007)	Avoided emission of 689,333 CO2-eq for 4 years and sequestration of store additionally 10,755 tCO2 eq.	Project Terminal report	**A very rough estimate = 49.4 tCO2-eq** • This is potential contribution to CO2 storage over the next 20 years, assuming an average of 20kg CO2 average storage per tree per year.
	4. Total amount of CO2 ton-equivalent greenhouse emission avoided through no loss of protection forest area and through increase in vegetative cover	[2]Total national emissions from AFOLU 135.37, Gg CO2-e (2007).5	[2]Number of CO2 ton eq. avoided through no net loss of protected forests and number of CO2 ton-eq. sequestrated (using avg C- biomass per hectares)	Project report using REALU/ Carbon Benefits tool or relevant methodology	

[6] The average household income of target areas will be determined at project start
[7] GoS 2010, Samoa's 2nd National Communication to UNFCCC.

	Indicator	Baseline	Target	Verification	Project Achievements
OUTCOME 1. Communities and farmers are able to undertake and benefit from integrated land and water management on their traditionally owned lands.	No. 1 Number of certified organic farms and farms adopting organic farming practices.	Several farmers have committed to organic farming practices but are not certified.	A 30% increase in number of households engaged in organic farming or adopt ecosystems-based farming practices	Project Terminal Report	• At the end of the project, there were no farmers who achieved organic certification through project activities. • Note the project achieved certification of 30 farmers as certified organic farmers by the PGS through METI. These farmers received certificates in January 2020 in recognition of their efforts in a ceremony that was organized and MNRE was invited to deliver the keynote address. • There were 1,759 farmers who adopted organic farming practices across project villages as shown in map 4 above, including those involved in the local Pasifika Participatory Guaranteed Scheme (PGS) of organic certification with the NGO METI.
	1. Number of certified organic farmers/farms	606[8] certified currently exist; 345 in Savaii & 261 in Upolu	A 30% increase in number of households engaged in organic farming or more ecological farming	National Organic Farmers Database/ Project database	
	No 2. Increased density and diversity of tree species in cyclone damaged landscapes around Apia covering 3,314 hectares	Minimal ecological restoration work had commenced by start of the project.	At least 50% of landscape around Apia total area shows increase in forest cover, and 10% increase diversity.	Project Terminal Report	• The total area planted with a range of native trees within the Apia Catchment area is 20.4 hectares, including at Mt Vaea Reserve, Malololelei reserve and bio-park, Vailima Reserve, Forestry Station at Vailima, Avele College compound, and village tree plantings in partnership with Samoa's Two Million Tree campaign.
	2. Increased density and diversity of native tree species in cyclone damaged landscapes around Apia covering 3,314 hectares	With recent damage by TC Evans, baseline will be determined when project start.	At least 50% increase forest cover in a landscape	Site assessment reports at midterm and terminal	
	No.3. Area of natural forests, riverine areas, mangroves and wetlands under protection and management in the production landscape under community land use plans (forest and tree cover maintenance; maintenance of wetlands; no net increase of agricultural land under mono cropping)	By the end of the project at least 55,000 hectares of added areas covered under integrated landscape management plans, approved through village bylaws - including the KBAs.	SLM Plans		• At the end of the project, 109,428 hectares covered under Management Plans at the four KBAs of Uafato, Ti'avea, Falealupo and A'opo. • A total of 1,765ha covered under Community Conservation Area (CCA) village by-laws.

[8] Women in Business (WIB)

	Indicator	Baseline	Target	Verification	Project Achievements
	Conservation Management Plans exist for several terrestrial conservation areas in Samoa as National Parks and Reserves.				
	3. Area of natural forests, riverine areas and wetlands under protection and management in the production landscape under community landuse plans (forest and tree cover maintenance; maintenance of wetlands; no net increase of agricultural land under mono cropping)	0	By the end of the project, at least 55,000 hectares will be under integrated landscape management plans outside KBAs	Site assessment reports at midterm and terminal	
	No 4. Number of farmer households adopting at least one soil / water management and conservation practices on agricultural lands	There are 10,633 (inception report) households in the target area of the project, but with limited soil and water conservation activities	At least 500 households will be adopting soil management and conservation practices in their land by the end of the project covering at least 1,800 hectares	Project Terminal Report	• The total number of farmers/households adopting soil management and conservation practices is 5,540. • The soil management practices include the use of liquid fertiliser from piggery biodigesters and adoption of agro-forestry systems.
	4. Number of farmer households adopting at least one or more soil / water management and conservation practices on agricultural lands	There are 10,790 households in the target area of the project, but with limited soil and water conservation activities	At least 5,000 households will be adopting soil management and conservation practices in their land by the end of the project covering at least 18,000 hectares	Site assessment reports at midterm and terminal	
	No 5. Increased capacity for monitoring water quality, including Technical Guidance documents and Manuals to support Water quality surveillance.	Limited water quality testing programs exist. MNRE Water Resources Division	Water quality monitoring guidelines for livestock management areas approved by Water Resources Division and demonstrated at 3 sites	Water quality monitoring Technical Guidelines publication.	• The project carried out water samples and testing in key target sites, including where fencing was installed to stop livestock grazing in riparian areas. • Testing was carried out at Uafato, Tanaila River, Vaitele River, and Vaisigano River as well as four rivers in Savai'i. • The target of developing water quality guidelines for livestock management areas was not achieved.
	5. Increased water quality as a consequence of enhanced watershed management and water source protection	Water quality at sampled sites (3 major sites) shows confirmed incidences of *E.coli*	At least 50% of the project sites report on increased water quality by the end of the project - including *E. coli* levels	Water quality monitoring reports	

	Indicator	Baseline	Target	Verification	Project Achievements
		presence exceeding national standards	within national standards; and additional parameters of nutrient loads (such as nitrogen) are also within acceptable international standards		
	No.6. Percentage reduction in area of critical riparian zones under livestock grazing. 5000 hectares riparian areas under livestock.	50% (2500ha) riparian areas cleared of livestock.		GIS mapping	• Around 10,000 cattle (30%) of the baseline number of cattle have either been relocated or fenced off from riparian areas at the villages of Samamea, Magiagi, Uafato, Avao, Tafitoala, Manono, Salani and Apolima-tai. • As at the end of the project, these riparian areas were not mapped.
	6. Per cent of Livestock relocated to optimal grazing areas away from critical riparian areas	Estimated 30000 livestock in target areas, covering 5000 hectares	At least 50% relocated, covering 2500 hectares	Project sites monitoring report	
	No.7. Number of villages with Integrated Sustainable Land Management (SLM) Plans.	There are several village/community-level Plans, developed through previous programs, including Village Sustainable Development Plans and Costal Integrated Management Plans. No village with SLM Plans	At least ten (10) villages with Integrated SLM Plans, with at least one key priority implemented.	SLM documents published.	• A total of 38 villages participated in SLM planning, including 26 that had their Village Sustainable Development Plans reviewed in partnership with OLSSI to identify SLM priorities, and 12 villages have SLM Plans developed by PMU. • There were no data collected during the process that disaggregate participants by gender and age.
	7. Number of integrated participatory village level SLM plans	No village plans incorporating SLM	At least 50 villages have developed plans integrating SLM with the participation of 15,000 community member including men, women and young	Village meeting records	
	No 8. The number of community members who are aware, and have demonstrated increased knowledge, of SLM principles through agricultural practices on their farms and within their KBA boundaries.	Several SLM and SLM-related projects' reports exist, e.g., GEF-3 Community Based Adaptation (CBA) global Programme. Farmers who received training through these projects already apply SLM practices.	At least 750 community members have demonstrated SLM principles through agricultural practices on their farms and within their KBA boundaries.	Project Terminal Report	• There were 4,402 people who participated in SLM trainings and in project activities • There were no feedback loops during implementation to gauge their increased in SLM knowledge.

	Indicator	Baseline	Target	Verification	Project Achievements
	8. Number of community members that report on increased knowledge and capacity on SLM	No reports on knowledge on SLM	At least 40% of the communities are able to report on increased knowledge on SLM through access to national SLM system, audio-video materials and trainings	Surveys defined for the trainings, workshops and consultations that identify awareness level and actual implementation of SLM practices	• In practice, people who were trained under SMSMCL TOT training workshops put into actions the knowledge they gain to support other individuals and farm groups.
OUTCOME 2. Strengthened national enabling environment to promote integrated landscape management through local households and communities.	No. 9: Farmer Field Manuals on Soil management and soil conservation, translated to local language and applied in the field. No soil management and conservation manuals	Farmer Field Manuals on Soil management and soil conservation developed, with case studies on SLM practices for agriculture, such as agro-forestry, agro-ecosystems approach to agriculture, and water resources management.	Farmer Field Manuals publication.		• A Soil Conservation and Management Manual was launched during the Commemoration of our National Environment Week in November 2017 and has been translated into local Samoan language. • The content of the Manual was incorporated into the SLM Training of the Trainer and SLM Community Based Trainings.
	9. Soil management and conservation manual targeting local communities in local language	No soil management and conservation manual	By the end of year 1 a Soil management and conservation manual developed including SLM practices for agriculture, forestry and water resources management	MNRE publications	
	No. 10: Number of national policies and plans that promote cross-sectoral partnerships that support SLM practices at community level.	A number of policies and plans to support SLM (see section 1.5 of the project document) but cross-sectoral approaches is weak.	• Land resources management legislation developed and national policy updated; • Agriculture Sector Plan 2011 - 2016 strengthened to mainstream SLM approaches and management practices • Policies on mining (including sand	Documents: Policies, Legislations, Plans, Guidelines Project Terminal Report	• SLM issues have been integrated into and taken into consideration in the following national policies and plans: ○ National Environment Sector Plan 2017-2021; ○ National Biodiversity Strategy and Action Plan (NBSAP) 2016-2020 ○ Legal framework for Access and Benefit; ○ Sharing (ABS) national process under the Nagoya Protocol of the CBD; ○ Policy development process on banning single-used plastics;

	Indicator	Baseline	Target	Verification	Project Achievements
			mining) strengthened or developed • Formal Guidelines for SLM under village development plans under Planning and Urban Management (PUMA) Act developed		○ Community Integrated Management Plans (CIM Plans) for 3 Project Districts; ○ Agriculture Sector Plan (2016-2021); ○ Soil Resources Conservation and Management Bill; and ○ Samoa's National Invasive Species Strategy and Action Plan 2019 – 2024.
	10. Number of national policies and plans that support for inter-sectoral and partnership approach to promote community based SLM	A number of policies and plans to support SLM (see section 1.5 of the project document) but inter-sectoral approach is weak	• Land Resource management legislation developed and national land use policy updated • Agriculture Sector Plan 2011-2016 strengthened to mainstream SLM approaches and management practices • Policies on mining (including sand mining) strengthened or developed • Formal guidelines for sustainable land management under village development plans under PUMA Act developed	Legislation and planning instruments	
	No. 11: Increased capacities for Integrated Natural Resource Management (INRM) as measured by an increase in the score of the GEF LD Tracking Tool Enhanced cross-sector enabling environment for integrated landscape management	zero	Score 5	GEF LD Tracking tool	• Target achieved.

	Indicator	Baseline	Target	Verification	Project Achievements
	11. Increased capacities for INRM as measured by an increase in the score of the GEF LD Tracking Tool Enhanced cross-sector enabling environment for integrated landscape management	3	5	GEF LD PMAT Tracking Tool	
	No 12. Sector planning is coordinated, highly adaptive and allows for broad participation and issues of scale.	Sector-wide Coordination mechanism under the Samoa Development Strategy and NESP.	SLM mainstreamed in Sector-wide Coordination mechanism under the Samoa Development Strategy and NESP	SDS and NESP Meeting reports?	• No formal institutional coordination mechanism has been established. • Although there was no form institutional coordination mechanism established for monitoring and promoting SLM, the Environment Sector under MNRE is responsible for coordinating sector environmental issues including SLM and it has received quarterly progress reports from SMSMCL and has organised through the PMU the inclusion of SMSMCL sites in their monitoring visits • However, there clearly has been an increase in the number of NGOs involved in promoting SLM related issues. • There is also strong coordination and multi-sector participation in the policy planning processes mentioned in Indicator #10 above where SLM issues have been incorporated.
	12. Coordination mechanism in place to ensure multi-sector approach to SLM in line with National Environment management Strategy	No coordination mechanisms for SLM	By the end of the project a formal institutional coordination mechanism has been established including all relevant ministries to ensure integration of SLM in all sectors to manage multiuse landscapes through combined efforts, shared technical resources	Government records/ reports/ coordination meeting minutes	
	No. 13: Increased involvement of private sector, civil society and others in promoting SLM in partnership with the government	SFA and WIBDI - NGOs assisting communities with projects that are SLM compatible.	Number of NGOs and private partners in SLM is increased by 200%.	NGOs outputs	• Several agribusiness people are also active in NGOs such as SFA, SFFI and SWAG. • By the end of the project, NGOs implemented SLM activities under 12 contractual agreements with MNRE.
	13. Increased involvement of private sector, civil society and others in promoting SLM in partnership with the government.	SFA and WIBDI - NGOs assisting communities with projects that are SLM compatible.	By Year 4, the number of NGOs and private partners in SLM is increased by 200%.	Government records/ national NGOs surveys	

	Indicator	Baseline	Target	Verification	Project Achievements
	No. 14: National SLM information system in line with information system for national Environment Management Strategy	No SLM Information System	A SLM information system in place, linked with the data knowledge information facility (DKIF) and building on the national land administration system.	SLM Information System platform	• A SLM Information System as not been established and managed by MNRE • FAO Guide for SOLA/OT has been localised for Samoa, training of trainers has been completed and a SMSMCL Community Server has been installed in the cloud • The final deliverable of the Open Tenure Specialist would be the confirmation of hosting the Community Server within MNRE now delay due to COVID 19 pandemic
	14. National SLM information system in line with information system for national Environment Management Strategy	No SLM information system	By Year 4 an SLM information System will be established and managed by MNRE	Government records	
	No 15. Number of government staff who have completed new training of trainers and/or short term courses on SLM related fields	Some SLM related courses exist at tertiary level	At least 100 staff from MNRE, MAF, MWCSD have completed a professional level SLM training	Project Terminal Report	• The USP has not developed any SLM courses, including carbon accounting for land use, land-use change, and forestry (LULUCF). • No staff from MNRE, MAF or MWCSC completed SLM training at USP • Despite there was no SLM training course developed under USP, the project under its Sustainable Agriculture component carried out Train of Trainers for key personnel invited from the cross-sectoral partners who had the capacity to train and assist communities on SLM work. Additionally, staff from MAF, MNRE and MWCSD were involved as resources personnel with the capacity to deliver on the objectives of their respective organisation that link/support to the outcomes and outputs of SMSMCL • PMU has negotiated with USP on a number of occasions for the development of the SLM course however due to the lack of responding from USP the PMU then decided to explore opportunities at NUS whereby the SLM course be incorporated into the NUS Diploma of Sustainable Agriculture
	15. Number of government staff who have completed new training of trainers short term courses provided by USP on SLM, tailored for Samoa and including carbon accounting from LULUCF	No SLM training currently available at USP for government staff	By the end of the project, at least 100 staff from MNRE, MAF, MWCSC have completed the SLM training at USP	Government reports/ training reports	

	Indicator	Baseline	Target	Verification	Project Achievements
	No. 16: Number of short and long-term courses at tertiary institution level in SLM-related fields.	There are SLM-related but no SLM-specific qualifications at tertiary level	Revised Diploma in Sustainable Agriculture at NUS with specific emphasis on SLM.	Sustainable Agriculture Diploma Course materials	• The Project has not worked with USP • The Project worked with the National University of Samoa (NUS) to develop short term courses similar in design to the Training of the Trainers course used in the SMSMCL project for SLM farmer training • SLM has been successfully incorporated into the NUS Diploma of Sustainable Agriculture that commenced in 2018.
	16. Number of long term courses institutionalized in USP to degree students on SLM	No SLM courses available at University for undergraduate students	By the end of the project, at least 1 SLM long term course has been institutionalized at USP	University curriculum	

Appendix 9: Evaluation Consultant Code of Conduct and 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 imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form[9]

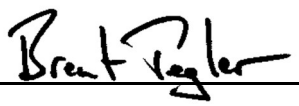
Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: Brent Tegler

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: Fergus, Ontario Canada on: 20th February, 2020

Signature: 

[9] www.unevaluation.org/unegcodeofconduct