

# **PARTICIPATORY LAND USE PLANNING PERFORMANCE EVALUATION DESIGN REPORT**

**MCA INDONESIA – GREEN PROSPERITY PROJECT**

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**Submitted to the  
Millennium Challenge Corporation  
By  
Social Impact, Inc.  
July 27, 2016  
(Revised Aug 23, Oct 07, and Nov 18, 2016)**

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## ACRONYMS

AMAN	Alliance of Indigenous Peoples of the Archipelago ( <i>Aliansi Masyarakat Adat Nusantara</i> )
APL	Other Land Uses ( <i>Areal Penggunaan Lain</i> )
BAL	Basic Agrarian Law
BAPPENAS	National Planning and Development Agency ( <i>Badan Perencanaan Pembangunan Nasional</i> )
BAPPEDA	Regional Planning and Development Agency ( <i>Badan Perencanaan Pembangunan Daerah</i> )
BIG	Geospatial Information Agency ( <i>Badan Informasi Geospasial</i> , formerly BAKOSURTANAL)
BKPM/A	Indonesian Investment and Coordinating Board ( <i>Badan Kordinasi Penanaman Modal Daerah/Asing</i> ) for domestic and foreign investment
BPN	National Land Agency ( <i>Badan Pertanahan Nasional</i> )
BPPT	“One-stop” Licensing Office ( <i>Badan Pelayanan Perijinan Terpadu</i> )
CBA	Cost Benefit Analysis
CBO	Community-based organizations
CLCS	Community Liaison and Coordination Specialist
CIFOR	Center for International Forestry Research
DRA	District Readiness Assessment
EDR	Evaluation Design Report
ERR	Economic Rate of Return
EQ	Evaluation Questions
ET	Evaluation Team
FGD	Focus Group Discussion
GHG	Greenhouse gas
GIS	Geographic Information System
GOI	Government of Indonesia
GP	Green Prosperity
IMS	Information Management System
IRB	Institutional Review Board
JKPP	The Participatory Mapping Network ( <i>Jaringan Kerja Pemetaan Partisipatif</i> )
KKI	Indonesia Conservation Community ( <i>Komunitas Konservasi Indonesia</i> )
KADIN	Chamber of Commerce and Industry
KII	Key Informant Interview
KUGI	Indonesian Catalogue of Geographical Elements ( <i>Katalog Unsur Geografis Indonesia</i> )
LUCF	Land Use Change and Forestry
MCC	Millennium Challenge Corporation
MCA-I	Millennium Challenge Account – Indonesia
MOU	Memorandum of Understanding
MOEF	Ministry of Environment and Forestry
MtCO <sub>2</sub> e	Million Metric Tons of Carbon Dioxide Equivalent
MW	Megawatts
NGO	Non-governmental Organization
OSS	One-stop Shop

PE	Performance Evaluation
PKK	Empowerment Family Welfare ( <i>Pemberdayaan Kesejahteraan Keluarga</i> )
PLUP	Participatory Land Use Planning
PMAP	Participatory Mapping and Planning
REDD	Reducing Emissions from Deforestation and Degradation
RM	Resource Management
SCF	Social and Communication Facilitators
SI	Social Impact
TPPBD	Village Boundary Delineation and Demarcation Committees ( <i>Tim Penetapan dan Penegasan Batas Desa</i> )
UN	United Nations
UNEP	United Nations Environment Programme
VBS	Village Boundary Setting
VPT	Village Participatory Team
WALHI	Friends of the Earth, Indonesia ( <i>Wahana Lingkungan Hidup Indonesia</i> )

## **EXECUTIVE SUMMARY**

The Millennium Challenge Corporation (MCC) has an ambitious program to overcome poverty and increase economic growth in Indonesia. Such efforts are indelibly linked to key land and development reforms taking place in Indonesia, which hold global importance in terms of environment and climate change. Much of Indonesia's economic development challenges stem from land issues, namely based on a natural resource economy and a large rural population dependent on the agricultural — particularly land use — sector.

The Indonesian government has prioritized key reforms in natural resource conservation and economic development. The MCC Green Prosperity (GP) Project is strategically placed to provide the foundational elements to support a reorientation of investments towards more sustainable land uses that also increase economic growth. The Participatory Land Use Planning (PLUP) activity, as the lead initiative of MCC GP, supports a process whereby communities, private sector, and government at multiple levels can engage on key accountability mechanisms setting the stage for wider GP implementation. These include issues that range from village boundary setting and resource management (VBS/RM), hardware and software interventions to support improved spatial planning with key institutions, engagement on licensing and permitting systems, and working with a broad set of stakeholders to engage in participatory development planning that supports economic growth and emissions reductions.

PLUP is a \$43 million activity which is divided by geography and implemented by multiple contractors. The first PLUP contract was awarded to Abt Associates in partnership with Trimble Navigation Systems to implement PLUP Tasks 1-4 in the four starter districts. This is referred to as PMAP 1, and it is also implemented by Yayasan Puter and Komunitas Konservasi Indonesia (KKI) WARSI (for Task 1). The PMAP 1 activity takes place in two provinces and two districts within each province. These four “starter” districts are Merangin, Muaro Jambi (both in Jambi), Mamasa, and Mamuju (both in West Sulawesi). There are four core tasks to achieve PLUP objectives, all of which are included in the PMAP 1 intervention. Task 1, the only task of the four that is implemented at the sub-district and village level, involves conducting participatory mapping and producing a VBS/RM operations manual. Task 2 seeks to develop a geospatial database in each district and coordinates such efforts with policy developments taking place nationally. Task 3 includes two steps, engaging on legal analysis of regulatory systems of land and natural resources and district level license/permit systems. Finally, Task 4 explores the opportunity to institute an Information Management Systems (IMS) in addition to utilizing and integrating the results of Tasks 1-3.

MCC and the Millennium Challenge Account – Indonesia (MCA-I) will conduct a pre-post qualitative performance evaluation (PE) of PLUP, by specifically studying PMAP 1, as led by Social Impact Inc. This evaluation design report (EDR) outlines the implementation of the PLUP evaluation in phase 1 (described below). The PE's primary purpose is to identify the project results (outputs and outcomes) and assess program implementation. This will enable MCC and MCA-I to capture lessons learned and inform future roll-out of PMAP activities in non-starter sites selected under the GP project.

The evaluation design includes two phases of data collection: Phase 1 will identify immediate realized PLUP outputs and outcomes, and identify lessons learned during PMAP 1 implementation

(2016); Phase 2 will capture changes in PLUP outcomes over an extended period of time, accounting for long-term effects not readily materialized by the time project activities have concluded (2018). Phase 1 of data collection will take place shortly after the scheduled completion of PMAP 1 implementation in the four starter districts, in August and September 2016. Phase 2 data collection will be informed by the results from phase 1 data collection, and is expected to take place approximately two years after completion of PMAP 1.

The evaluation will use a mixed-method approach of qualitative and quantitative data collection. Qualitative data collection will include a thorough review of project monitoring and government data (secondary data), as well as a series of key informant interviews and focus group discussions (primary qualitative data collection) with project stakeholders across multiple levels of PMAP 1. Primary data findings will be triangulated against secondary quantitative data and spatial data made available through the PMAP 1 implementing partners and government stakeholders or through readily accessible public data.

Five evaluation questions (EQs) were developed to guide this PE, the first of which seeks to identify progress (in phase 1) and achievement (in phase 2) of short-term and long-term outcomes of PLUP, focusing on PMAP 1. The outcomes and associated sub-questions were developed following a review of PMAP 1 activities completed through May 2016 (see Table 7), and scoping visit that took place in January 2015 (Section 3 of this report). The linking of the EQs with the short-term and long-term outcomes and the proposed indicators for tracking progress of these outcomes is outlined in this report and elaborated in Annex 1.

An evaluation sample total of 110 key informant interviews (KIIs) and six to ten Focus Groups Discussion (FDGs) are proposed. This will allow for discussions with 20 individuals and two groups in each district (and selected sub-districts and villages), interviews with ten individuals from the provincial level, and twenty interviews with national level stakeholders (including MCC leadership, MCA-I, implementing partner staff, CSOs, and relevant ministries). All KIIs will be conducted according to pre-developed and tested interview protocols. The SI team developed semi-structured interview guides to direct each qualitative data collection activity, and notes from qualitative interviews will be created during field work with daily review to ensure accuracy and clarity.

The evaluation is designed to be gender-responsive and will evaluate the potential differential impacts of PMAP 1 implementation on males and females (and other identified minority or vulnerable groups). The gender-responsive design includes the sampling and interviewing of both men and women (interviewed in separate groups, when possible). Evaluation team members, comprised of two local data collection specialists, and three international specialists with Indonesian expertise in program evaluation, capacity strengthening and land use planning, all of whom are culturally and linguistically fluent in Bahasa Indonesia to be able to capture nuances during interviews/discussions conducted in the national language.

# **1. INTRODUCTION AND BACKGROUND**

## **A. Country Context**

Indonesia has the third largest area of tropical rainforest in the world, and with 68% of its landmass covered by forests, is also the sixth largest greenhouse gas emitter.<sup>1</sup> Recent increased economic development has been linked to the accelerated use of fossil fuels; yet an estimated 85% of Indonesia's greenhouse gas (GHG) emissions stem from land use activities, with 37% due to deforestation and 27% due to peat fires.<sup>2</sup> Illegal logging continues to be a major cause of deforestation, with the United Nations Environment Programme (UNEP) estimating that it costs the country approximately USD \$3 million a year in lost revenues.<sup>3</sup>

The majority of Indonesia's poor live in rural areas that are rich in natural resources, but over-extraction and inadequate management of these resources threaten Indonesia's ability to sustain high rates of economic growth and reduce poverty. One in seven villages in Indonesia does not have access to reliable and affordable electricity, and many more rely on expensive and dirty diesel generation. Unsustainable land use practices, such as illegal logging, conversion of marginal land for agriculture, and water pollution, continue to adversely affect the Indonesian landscape and the resources on which individuals rely for economic activities<sup>4</sup>.

## **B. Objectives of this Report**

This report outlines the PLUP evaluation design and implementation to be undertaken in Indonesia. The following sections include an overview of the Compact and the interventions to be evaluated, the evaluation design, and the administrative management for the undertaking.

# **2. OVERVIEW OF THE COMPACT AND THE INTERVENTIONS EVALUATED**

## **A. Overview of Project and Implementation**

### **i. Project Description**

To combat environmental degradation and alleviate rural poverty, The Millennium Challenge Corporation (MCC) entered into a five-year, USD \$600 million Compact with the Government of Indonesia (GOI) in April 2013, establishing the Millennium Challenge Account – Indonesia (MCA-I), which aims to reduce poverty through economic growth. The Green Prosperity (GP) Project, the flagship project of the Indonesia MCC Compact with a budget of USD \$332 million, is designed to support the GOI's commitment to a more sustainable, less carbon-intensive future by promoting environmentally sustainable, low carbon economic growth. The main objective of the project is to work with local communities to create economic opportunities that alleviate poverty and improve management of Indonesia's natural capital. The project will provide a combination of technical assistance and grants to help communities improve land management practices and design and implement economic activities that enhance livelihoods and protect critical ecosystem services that people rely on for income and wellbeing. It is anticipated that

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<sup>1</sup> Ministry of Forestry. 2012. Statistik: Bidang Planologi Kehutanan Tahun 2011.

<sup>2</sup> National Council on Climate Change. 2010. Setting a course for Indonesia's green growth.

<sup>3</sup> UN-REDD. 2011c. UN-REDD Programme in Indonesia Semi-Annual Report.

<sup>4</sup> Kusters, K., Sirait, M., et al. 2013. Formalising participatory land-use planning – Experiences from Sanggau District, West Kalimantan, Indonesia. Both ENDS, Amsterdam. [online]

activities under the GP project will complement the GOI's efforts to reduce emissions from deforestation and environmental degradation. More broadly, the project is also expected to help foster greater, greener, and smarter outside investment in Indonesia by improving the basis by which land use decisions are made and by creating incentives for increased deployment of cleaner technologies.

The Green Prosperity project as a whole is comprised of four discrete activities, detailed below:

1. The **Participatory Land Use Planning (PLUP)** activity is meant 1) to ensure that projects funded by the GP Finance Facility are designed on the basis of accurate and appropriate spatial and land use data, and adhere to and reinforce existing national laws, regulations and plans; and 2) to strengthen the capacity of local communities and district-level institutions to manage their own land and resources. This is accomplished through participatory village boundary setting (VBS), updating and integrating land and other natural resource use plans, and enhancing district and provincial spatial plans. The first PLUP contract, called PMAP 1, was awarded to Abt Associates to implement PLUP Tasks 1 through 4 in the four starter districts. PMAP 2 through 8 are planned to be contracted to multiple implementers in 2016 and will differ in the PMAP 1 Tasks they include.<sup>5</sup> Overall, PMAP contracts will include implementation in a total of 45 districts throughout Indonesia.
2. The **GP Facility** provides grant financing to mobilize greater private sector investment and community participation in renewable energy and sustainable land use practices. The GP Facility investments are intended to enhance sustainable economic growth and social conditions while also reducing Indonesia's carbon footprint. The GP Facility targets investments in commercial and community-based renewable energy projects less than 10 megawatts (MW) in size, sustainable natural resource management, and community-based projects to promote improved forest and land use practices. These investments will support a number of objectives that promote productive use of energy and protect renewable resources from which energy can be derived. Grants will be funded through three schemes, or "windows": Partnership Grants, Community-based Natural Resource Management Grants, and Renewable Energy Grants.
3. The **Technical Assistance and Oversight** activity is designed to provide assistance and oversight for eligible districts, project sponsors and community groups to identify and develop potential investments in sustainable low-carbon economic growth. This activity will also institute a comprehensive set of procedures to track and evaluate the progress of the projects it funds and the effectiveness of the GP Project activities implemented to facilitate the success of those projects. Technical Assistance will include performing or reviewing detailed feasibility studies, engineering designs, as well as safeguard and requirements on environmental, social and economic benefit, monitoring and evaluation to meet GOI permitting and international performance standards.
4. The **Green Knowledge** activity supports and enhances the results of GP projects by facilitating the collection, application and dissemination of knowledge relevant to low carbon development within and beyond GP districts. The activity will provide capacity building for local and provincial stakeholders, develop and improve centers of excellence

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<sup>5</sup> PMAP 2 -4 will include Tasks 2 – 4 only, and PMAP 5 includes only Task 1. The other PMAP contracts are not yet procured (as of August 2013). Task 1 was not included in contracts for PMAP 2 – 4 due to budget and also due to the fact that PMAP 1 will result in the completion of a VBS/RM Operation Manual that is hoped to guide and influence future Task 1 implementation (in PMAP 5, for example).

in science and technology related to low carbon, and broad networks for information exchange, knowledge generation, and sharing.

The evaluation design presented here is specific to PLUP, a \$43 million activity which is divided by geography and implemented by multiple contractors. The first PLUP contract was awarded to Abt Associates to implement PLUP Tasks 1 - 4 in the four starter districts. This is referred to as ‘PMAP 1’, and it is also implemented by Trimble Navigation Systems<sup>6</sup>, Yayasan Puter, and Komunitas Konservasi Indonesia (KKI) WARSI<sup>7</sup>. The PMAP 1 activity takes place in two provinces and two districts within each province. There are four core tasks to achieve PMAP 1 outcomes, all of which are included in the PMAP 1 contract:

- Task 1: Participatory Determination, Geo-Location and Physical Demarcation of Village Boundaries, the Mapping of Natural and Cultural Resource Areas within the Villages, and the Creation of Geospatial Databases of the Information Collected (hereafter referred to as Village Boundary Setting/Resource Management, or VBS/RM)<sup>8</sup>;
- Task 2: Acquisition of Geospatial Data and Preparation of Geographic Information System (GIS) Databases of Land Use/Land Cover;
- Task 3: Compilation and Geo-Referencing of Existing and Pending Licenses and Permits for Land and Natural Resource Use; and,
- Task 4: Enhancement of District Spatial Plans Through Capacity Building in Spatial Planning, Enforcement and Management of Land Use Information in Spatially Enabled Databases.

This evaluation specifically covers the PMAP 1 portion of the entire PLUP project. PMAP 1 was selected for this evaluation because a) it is the only contract that includes Tasks 1 – 4; and b) it is the only contract that is implemented in locations selected independently of Green Prosperity grant selection. PMAP 1, therefore, offers a unique opportunity to evaluate PLUP as it was originally designed.<sup>9</sup> The evaluation design includes two phases of data collection, the first phase taking place in 2016 and the second phase taking place two years after PMAP 1 implementation (in 2018).<sup>10</sup>

PLUP presents a collaborative mechanism for communities to manage local land and resources. Particularly in the context of developing countries, the participatory nature of land-use planning aims to mitigate the potential for “top-down” imposition of special interests in ensuring sustainable land use, and, ultimately, poverty alleviation. Further, effective PLUP implementation is considered key to balancing development needs with environmental preservation, leading to sustainable management of landscapes. The PLUP approach to Participatory Mapping and Planning combines community engagement with technically advanced hardware and systems to

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<sup>6</sup> For Task 4’s Information Management System (IMS) only.

<sup>7</sup> These local organizations support Task 1 only.

<sup>8</sup> This is the only task implemented at the sub-district and village level. All other tasks are implemented at the district level.

<sup>9</sup> It should be noted, however, that the original GP design included PLUP preceding grant projects through the facility, which has not occurred. This will be discussed in the evaluation report.

<sup>10</sup> Evaluation activities for other the GP components will be treated in separate documents.

further develop and validate a methodology that is participatory, gender sensitive and dispute sensitive.

## ii. Project Stakeholders, Beneficiaries and Implementers

Given the nature of the project to provide strengthening in technical information and practices in spatial planning and governance capacity strengthening, the stakeholders and beneficiaries range across national, provincial, district, sub-district and village levels. The evaluation team (ET) understands the main stakeholders and beneficiaries to be at the national, provincial, district and village levels (see Table 1 below).

**Table 1: PMAP 1 Stakeholders and Beneficiaries<sup>11</sup>**

Level	Stakeholder/Beneficiary
National	National MCA-Indonesia, BAPPENAS, Ministry of Home Affairs, Ministry of Agrarian Affairs and Spatial Planning, Badan Informasi Geospasial, Aliansi Masyarakat Adat Nusantara (AMAN), Ministry of the Environment and Forestry, Ministry of Villages
Provincial	BAPPEDA, Governance Division of the Regional Secretariat, Forestry Office, Cash-Crops Office (Dinas Perkebunan), Friends of the Earth, Indonesia (Wahana Lingkungan Hidup Indonesia - WALHI), AMAN provincial chapters, Chamber of Commerce and Industry (KADIN), concerned companies, Regional Investment and Coordinating Board (BKMPD/A)
District	BAPPEDA, Sekretariat Daerah including Asisten Daerah, Forestry Office, Cash-Crops Office, One-Stop Permitting Office (Perijinan Terpadu Satu Pintu), Land Office (Kantor Pertanahan), Mines and Energy Office, AMAN district chapters, Poros Masyarakat Kehutanan Merangin, Yayasan Bakadisura (Mamasa), and concerned investors
Sub-District <sup>12</sup>	Kecamatan officials, officials of lembaga adat, officials in dispute forums, Village Heads
Village <sup>13</sup>	Village officials, local community/customary leaders, all affected citizens including marginalized and vulnerable groups, women's groups (such as Empowerment Family Welfare, or Pemberdayaan Kesejahteraan Keluarga – PKK) and village youth organizations (Karang Taruna) (with many being members of VPTs).

PMAP 1 has a Jakarta Technical and Administrative Team that is backstopped by Abt Associates, Inc., Home Office Team in Washington, DC. The Task 1, 2/3 and 4 Coordinators are based in Jakarta. Task 1 is the only task that has staff and implementing partners at the district, sub-district and village level. These teams are managed by Abt Associates, Yayasan Puter and KKI Warsi. Task 1 teams include one team leader in each district, one Community Liaison and Coordination Specialist (CLCS) in each sub-district and Social and Communication Facilitators (SCF) that support Village Participation Teams (VPT) in the targeted villages. Task 2/3 and 4 teams are managed by Abt Associates and are based in Jakarta, with the exception of Task 2/3 District Spatial Data Officers who are based in the districts.

## iii. Geographic Coverage

PMAP 1 is implemented in four “starter” districts, two of which are in the province of Jambi and two in West Sulawesi. The initial starter districts are: Merangin and Muaro Jambi in Jambi

<sup>11</sup> See the interview guidebook for a breakdown of stakeholders by PMAP 1 Task.

<sup>12</sup> For Task 1 only

<sup>13</sup> Ibid.

Province and Mamasa and Mamuju District in West Sulawesi Province. The eight sub-districts that are targeted by the intervention include those listed in Table 2 below. The total number of villages in each sub-district are noted in parenthesis after the sub-district in Table 2.

MCA-I, after the selection of these starter sites, secured Bupati decrees on the formation of Village Boundary Delineation and Demarcation Committees (Tim Penetapan dan Penegasan Batas Desa - TPPBD) and Memorandums of Understanding (MOUs). These documents were crucial for Task 1 to immediately commence activities, a process which began with the implementer's contract signing on Jun 30, 2015 (effective date of July 27, 2015). Opening workshops were conducted in each district to officially launch the activities.

#### **iv. Description of Implementation to Date**

The ET currently has information from preliminary document review and MCC/MCA-I meetings on project progress through May/June 2016. The ET will receive more current information on village, sub-district, district and provincial progress during initial fieldwork in Jakarta before visiting targeted project locations for data collection.

For the purposes of interpreting project implementation to date, the steps involved in the completion of each Task are described below. Tables 2 and 3, which describe PMAP 1 implementation as of May 2016 and expected progress as of August 2016, respectively, reference which of the steps in each task have been completed or are expected to be completed. Both tables are informed by program documents and PMAP presentations conducted at MCA-I in the last quarter. Neither of these tables are meant to be exhaustive, though these progress notes have provided the basis for the evaluation approach described below and have influenced the work plan timeline.

**Task 1** includes work at the sub-district and village level and was implemented in two phases. Phase 1 included the sub-districts of Jangka Timur and Bonehou. Phase 2 included all remaining sub-districts. Each phase was expected to take approximately six months to complete. Phase 1 VBS/RM included an 18 step process, while Phase 2 VBS/RM roll-out included nineteen discrete steps.<sup>14</sup> The project, as part of this task, also produced a VBS/RM Operations Manual (Operations Manual for the Implementation of VBS/RM). This manual is intended to inform future VBS/RM work in other PMAP 1 districts.

**Task 2 and 3** involves the development of a geospatial database in each district that is aligned with national standards. The task includes the following steps:

- Establishment of Interagency Working Group<sup>15</sup>
- Geo-spatial data collection and review
- Legal analysis of regulatory procedures of land administration and natural resource management
- District license/permit collection, compilation, geo-referencing, and map development
- Geo-Database establishment, according to the Indonesian Catalogue of Geographical Elements (Katalog Unsur Geografis Indonesia - KUGI) structure
- Informal capacity building (based on results of capacity assessment)

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<sup>14</sup> See the Project Inception Report and Operations Manual for a full explanation of each discrete step.

<sup>15</sup> The agencies involved in this informal group differs in each district.

Lastly, **Task 4** involves the development of an Information Management System (IMS) and includes a formal training component. There are three steps to complete this task:

- Design a spatially-enabled database (IMS) to integrate land use, land cover and land use licensing information (from Task 1, 2 and 3) to be managed and used at the district level
- Install the IMS in partner districts; and train government partners on how to use the system<sup>16</sup>
- Provision of technical assistance to relevant government entities, primarily at the district level, to improve the ability to conduct transparent and more efficient land use and natural resource licensing and permits
- Enhancement of existing district spatial plans

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<sup>16</sup> Both the IMS and the training on the IMS are unique to the context in each district.

**Table 2: PMAP 1 Implementation as of May 2016**

**A. Task 1**

<b>PMAP 1 Implementation</b>			
Province	District	Sub-District (# of villages)	Task 1 Progress
Jambi	Merangin	Jangkat Timur (14)*	Completed through Step 18
Jambi	Mauro Jambi	Kumpeh (17)	Completed through Step 14 Preliminary investigation of boundary disputes completed in April 2016 (9 disputes identified).
Jambi	Mauro Jambi	Kumpeh Ulu (18)	Completed through Step 14 Preliminary investigation of boundary disputes completed in April 2016 (4 disputes identified).
West Sulawesi	Mamuju	Bonehou (9)	Completed through Step 18
West Sulawesi	Mamuju	Kalumpang (13)	Completed through Step 14
West Sulawesi	Mamasa	Mambi (13)	Completed through Step 14
West Sulawesi	Mamasa	Sumarorong (10)	Completed through Step 14
West Sulawesi	Mamasa	Bambang (19)	Completed through Step 14
*Phase 1 sub-districts. During the first 6 months of project implementation, Task 1 was implemented in only two sub-districts. Phase 2 included the remaining six sub-districts. Number of villages is still being determined.			

In addition to the notes about Task 1 progress in Table 1, the Operations Manual was completed and made publicly available in both English as of June 2016. Additionally, pillars are being placed in all phase 2 sub-districts during the months of August and September, 2016.

**B. Task 2 and 3**

<b>PMAP I Implementation</b>		
Province	District	Task 2 and 3 Progress
Jambi	Merangin	Core dataset has been converted into KUGI format. A series of informal trainings were held as a follow up activity to the development of the geo-database.
	Mauro Jambi	Core dataset has been converted into KUGI format. A series of informal trainings were held as a follow up activity to the development of the geo-database.
West Sulawesi	Mamuju	Core dataset has been converted into KUGI format. A series of informal trainings were held as a follow up activity to the development of the geo-database (KUG).
	Mamasa	Core dataset has been converted into KUGI format. A series of informal trainings were held as a follow up activity to the development of the geo-database).

**C. Task 4**

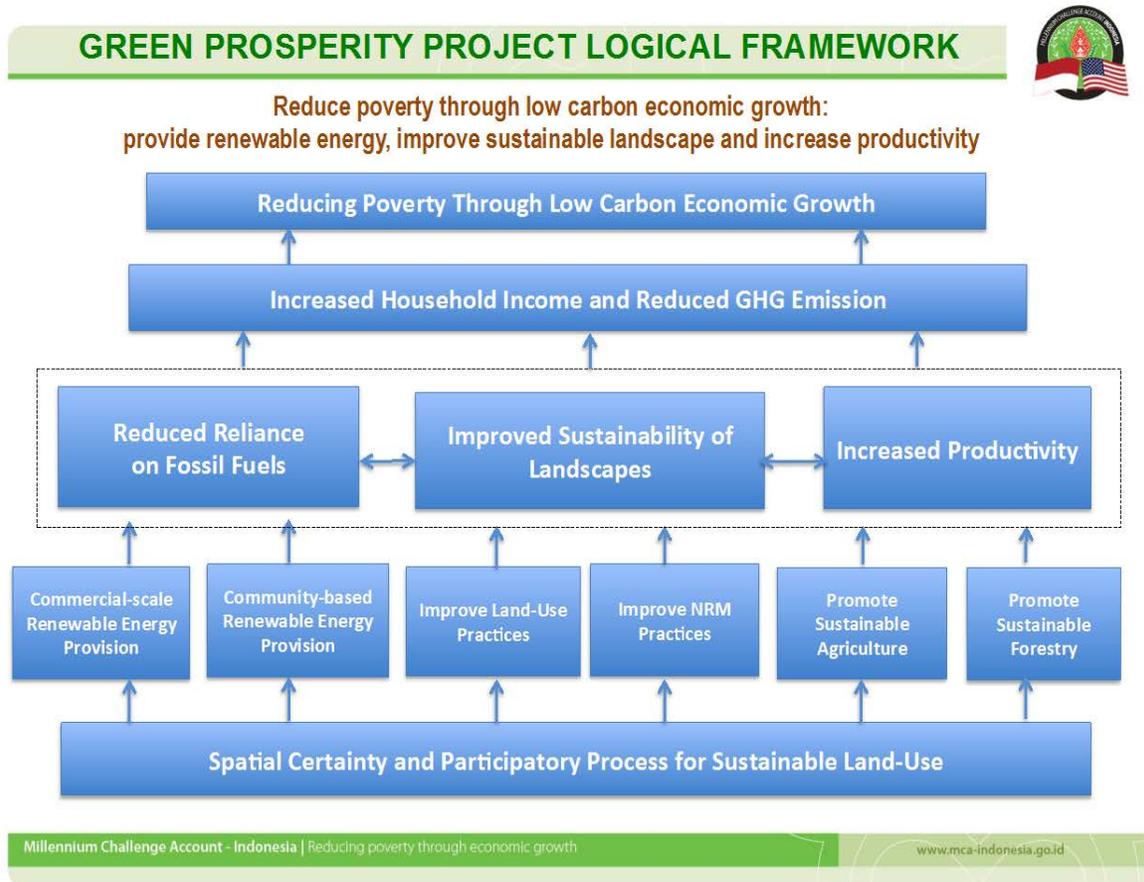
<b>PMAP I Implementation</b>		
Province	District	Task 4 Progress
Jambi	Merangin	OSS has fully delegated authority from the Bupati to issue both investment (so called Principal permit and location permit) and non-investment licenses/permits. IMS user needs assessment completed. GIS training completed. IMS training developed.
	Mauro Jambi	OSS has fully delegated authority from the Bupati to issue both investment (so called Principal permit and location permit) and non-investment licenses/permits. IMS user needs assessment completed. IMS training developed.
West Sulawesi	Mamuju	IMS user needs assessment completed. GIS and IMS training developed.
	Mamasa	IMS user need assessment completed. GIS and IMS training developed.

**Table 3: Expected Final Activities**

<b>PMAP I Implementation</b>		
Province	District	Expected progress by September/October 2016
Jambi	Merangin	Task 1: Remaining steps and installment of pillars in Jangkat Timur. Task 2/3: Analysis of incomplete data continues. Incorporation of Task 1 data, when available. Task 4: Training on IMS to be completed in September
	Mauro Jambi	Task 1: Remaining steps and installment of pillars in Kumpeh and Kumpeh Ilir Task 2/3: Analysis of incomplete data continues. Incorporation of Task 1 data, when available. Task 4: Training on GIS and IMS to be completed in August and September (respectively)
West Sulawesi	Mamuju	Task 1: Remaining steps and installment of pillars in sub-districts. Task 2/3: Analysis of incomplete data continues. Incorporation of Task 1 data, when available. Task 4: Training on GIS and IMS to be completed in August and September (respectively).
	Mamasa	Task 1: Remaining steps and installment of pillars in sub-districts. Task 2/3: Analysis of incomplete data continues. Incorporation of Task 1 data, when available. Task 4: Training on GIS and IMS to be completed August and September (respectively).

## B. Theory of Change

The GP Project aims to promote environmentally sustainable, low carbon economic growth as set forth in the Government of Indonesia’s medium- to long-term development plans. The logical framework presented below outlines the hypothesized linkages between GP inputs and high-order impacts, addressing some of the most critical Indonesian development priorities, including increasing access to clean and reliable energy and improving the stewardship of natural assets.<sup>17</sup>



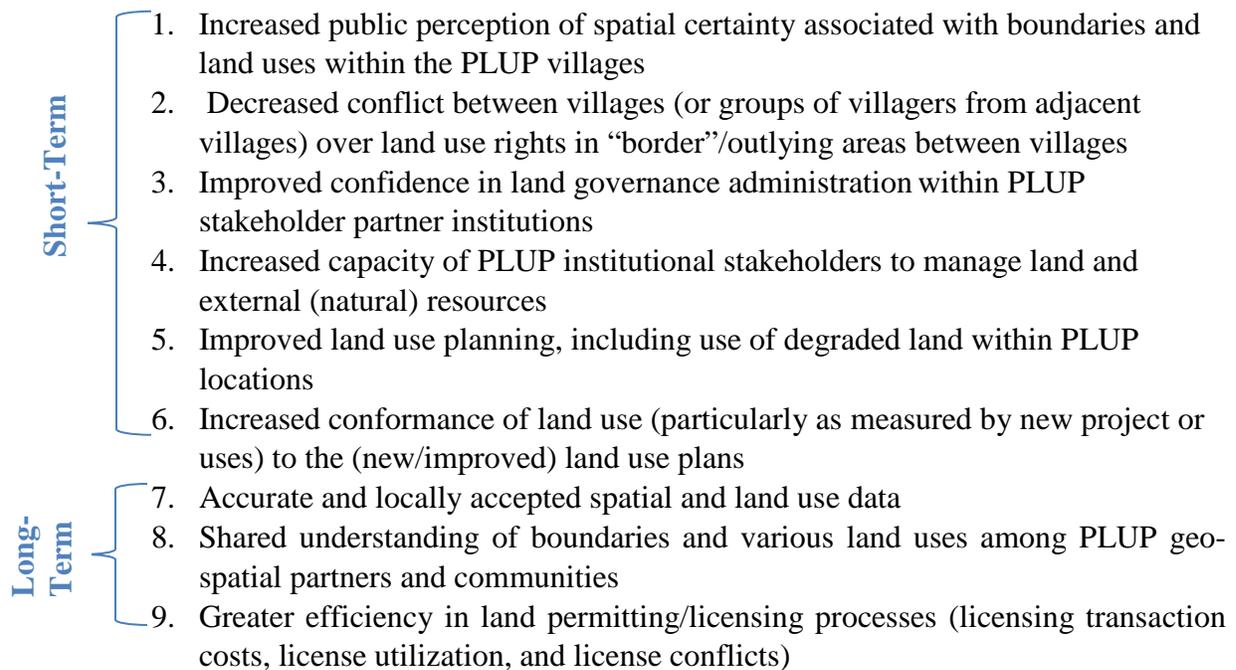
**Figure 1: Green Prosperity Project Logical Framework**

The logical framework (Figure 1) presents defined linkages between GP inputs and the ultimate goal of reducing poverty through low carbon economic growth. Specifically, reduced reliance on fossil fuels is the intended effect of GP financing of commercial-scale and community-based renewable energy projects. These projects, paired with participatory land use planning and improved natural resource management practices (represented in the bottom section of the framework, titled “Spatial Certainty and Participatory Process for Sustainable Land-Use”), contribute to more sustainable landscapes. The promotion of sustainable agricultural and forestry practices leads to increased productivity on existing, potentially degraded, land. The confluence

<sup>17</sup> Terms of Reference, Government of Indonesia Millennium Challenge Account – Indonesia (MCA-I), Participatory Mapping and Planning Sub-Activity, February 2015.

of GP activities is thereby expected to reduce greenhouse gas emission and increase household income of beneficiaries.

The PLUP program logic presented in Table 4 identifies two expected impacts that accrue to the local government, individual communities as a group and the individuals of the communities as shown in the PLUP Goal and GP Goal taken from the project Terms of Reference. The evaluation team completed document review, MCC and MCA-I consultations, and a scoping trip<sup>18</sup> to further elaborate and refine the project outcomes that would yield these impacts. This evaluation design report includes the team’s recommended outcomes (Figure 2) for tracking PLUP via the PMAP 1 activity, which is elaborated further in the section below. At the time of evaluation design, the ET understands PLUP to be operationalized through PMAP 1.



**Figure 2: Proposed Outcomes for PLUP Activity**

These outcomes are arranged according to short-term and long-term distinctions, based on the extent results are expected to be (or actually) achieved, with an understanding that many short term outcomes may more fully develop over time. Short-term outcomes, numbers one through six in the list above, refer to results that are achievable within the timeframe of the project and within one year after completion of implementation. Long-term outcomes, numbers seven through nine in the list above, refer to results that are achievable (or likely to be achieved) one year or more beyond completion of PMAP 1 implementation. The indicator(s) measuring the extent to which outcomes are considered “achieved” and the relative timeframe parameters that define “short-term” and “long-term” are described in the methodology section below. As noted, data collection will be done in two phases.

<sup>18</sup> An SI team visited Jakarta and Mamuju district, West Sulawesi in January 2015.

**Table 4: PLUP Program Logic**

Note: The numbers preceding short-term and long-term outcomes relate to the outcome number in Figure 2 above.

PMAP 1 Inputs/Activities	PMAP 1 Outputs <sup>19</sup>	PLUP Short-term Outcomes <sup>20</sup> (within the project timeframe and 1 year beyond)	PLUP Long-term Outcomes (> 1 yr. after project finishes)	PLUP Impact/Goal	GP Impact/Goal
<p><b>Task 1</b></p> <p>Participatory determination, geolocation and physical demarcation of village boundaries and mapping of natural resources.</p>	<ul style="list-style-type: none"> <li>• Implement the PLUP boundary process (participatory VBS/RM through 18/19 steps)</li> <li>• Create Operations Manual that includes details on:               <ol style="list-style-type: none"> <li>a) Technical Guidance for VBS/RM</li> <li>b) Technical Guidance for Stakeholder Engagement</li> <li>c) Technical Guidance for Village Boundary Dispute Resolution</li> <li>d) Technical Guidance for GNSS Survey</li> <li>e) Technical Guidance for UAV Survey</li> <li>f)</li> </ol> </li> </ul>	<ol style="list-style-type: none"> <li>1. Increased public perception of spatial certainty associated with boundaries and land uses within the PLUP villages</li> <li>2. Decreased conflict between villages (or groups of villagers from adjacent villages) over land use rights in "border"/outlying areas between villages)</li> </ol>	<ol style="list-style-type: none"> <li>7. Accurate and locally accepted spatial and land use data. (linked to Tasks 1 and 2)</li> <li>8. Shared understanding of boundaries and various land uses among PLUP geo-spatial partners and communities. (linked to Task 1 and 2)</li> </ol>	<p>Government and other investment projects (GP projects) designed and implemented based on accurate and locally accepted spatial and land use data (spatial certainty and participatory process for sustainable land-use in place)</p>	<p>Increased income of households and businesses</p>
<p><b>Task 2</b></p> <p>Acquisition of geospatial data and preparation of GIS databases of land use/land cover</p>	<ul style="list-style-type: none"> <li>• Collection of spatial data</li> <li>• Organization and merging of data into KUGI folder structure</li> <li>• Report of data gaps</li> <li>• Stakeholder Registry development, stakeholder engagement, actions and lessons learned</li> </ul>	<ol style="list-style-type: none"> <li>3. Improved confidence in land governance administration within PLUP stakeholder partner institutions.</li> </ol>			

<sup>19</sup> From the Project Contract, outputs are grouped and paraphrased into main categories for simplicity.

<sup>20</sup> The row correspondence of outcome-to-output is not exclusive, particularly with respect to the long-term outcomes. This matrix shows a connection of outcome(s) to an area of focus while recognizing that achieving these outcomes would be through the synergy and integration of the project outputs from Tasks 1-4.

PMAP 1 Inputs/Activities	PMAP 1 Outputs <sup>19</sup>	PLUP Short-term Outcomes <sup>20</sup> (within the project timeframe and 1 year beyond)	PLUP Long-term Outcomes (> 1 yr. after project finishes)	PLUP Impact/Goal	GP Impact/Goal
<p><b>Task 3</b></p> <p>Compile and geo-reference existing and pending licenses and permits of land and natural resources use</p>	<ul style="list-style-type: none"> <li>• Collection of license and permit data for use in the IMS (see Task 4, to be merged with Task 2 data)</li> <li>• Report on effectiveness of land administration and NRM</li> <li>• Report on analysis and recommendations to streamline the licensing process (to inform development of IMS)</li> </ul>	<p>4. Increased capacity of PLUP institutional stakeholders to manage land and external (natural) resources</p>	<p>9. Greater efficiency in land permitting/licensing processes (licensing transaction costs, license utilization, and license conflicts) (Linked to Tasks 3 and 4)</p>		
<p><b>Task 4</b></p> <p>Enhance district spatial plans through capacity building in spatial planning, enforcement and management of land use information in spatially enabled databases</p>	<ul style="list-style-type: none"> <li>• Institutional assessment of capacity; and IMS user needs assessment</li> <li>• User needs assessment of hardware and software (GIS and database)</li> <li>• IMS design and installation</li> <li>• Development of training module on IMS; completion of training with IMS users</li> <li>• Enhance district planning process by; assessing spatial plans; recommendations for further assistance (gap filling - equipment, skills, software, etc.);</li> </ul>	<p>5. Improved land use planning, including use of degraded land within PMAP 1 locations</p> <p>6. Increased conformance of land use (particularly as measured by new project or uses) to the (new/improved) land use plans</p>			



### **C. Cost Benefit Analysis and Beneficiary Analysis**

MCC's model of economic analysis for poverty reduction grants provided through U.S. Government assistance includes the results of Economic Rate of Return (ERR) analysis and Beneficiary Analysis that are made available to the general public through MCC's commitment to transparency and results-based aid. It should be noted that no standalone Cost Benefit Analysis (CBA) was done for the PLUP Activity, therefore there is no existing framework/model on which to base the evaluation work, i.e. no metrics/targets from a CBA to be validated by the evaluation.

The ERR Analysis is used to inform investment decisions based on estimates of the social benefits attributable to the proposed MCC-funded activity relative to the social costs; while the Beneficiary Analysis seeks to describe, to the extent possible, which segments of society will realize the benefits.

An ERR analysis of PLUP would require a monetization and quantitative analysis of project benefits and costs relative to the hypothetical state of affairs in which the project did not exist. It would also require comprehensive data regarding programmatic expenses. The data collection necessary for such an undertaking is outside of the scope of this PE. However, the findings of this PE could facilitate the execution of an end of Compact ERR analysis by clarifying and providing an initial characterization of project implementation and benefit streams. Furthermore, key informant interview (KII) protocols and focus group discussion (FGD) respondents will be designed/selected in such a way that analysis of benefits derived from project activities will be sensitive to how these benefits may be allocated differently across the various beneficiary groups.

### **D. Literature Review**

#### **i. Summary of land and land-use change challenges in Indonesia**

A half-century ago, three-quarters of Indonesia was covered by rainforest. Over the past 50 years, Indonesia has prioritized the utilization of natural resources to maximize exports of products such as pulp, paper, coal, nickel, tin, and most recently, palm oil in the pursuit of economic growth. Indonesia's top industries (agriculture, forestry, manufacturing, and construction) are heavily dependent on land and natural resources, which have resulted in widespread deforestation. Economic activities have resulted in a growing middle class and rapid urbanization, which also affects changing land relations. Furthermore, over decades, the nation's rural population in forested areas have become more dependent on agriculture and natural resources for subsistence and income.<sup>21</sup> As a result of these changes and global political-economic shifts, Indonesia replaced Brazil as the world's top deforester in 2012.<sup>22</sup>

Over the last 50 years, Indonesia has also become the sixth highest emitter of greenhouse gases (GHG) at 1,981 MtCO<sub>2</sub>e<sup>23</sup> (behind China, the US, the European Union, India, and Russia). However, in the Land Use Change and Forestry (LUCF) sector, Indonesia is accountable for

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<sup>21</sup> Much of Indonesia's mature/old growth forest has been logged and now is secondary or degraded forest, or has been converted to crop forest such as oil palm plantations. Twenty-five years ago, much of Jambi province was natural forest. Millions of hectares of this land is now covered with oil palm plantations, which may still be counted as "forest."

<sup>22</sup> Harball, E. 2014. Deforestation in Indonesia Is Double the Government's Official Rate. Scientific American.

<sup>23</sup> Million metric tons of carbon dioxide equivalent

1,220.2 MtCO<sub>2</sub>e, which is about 44% of all total global emissions in this sector.<sup>24,25</sup> Indonesia's emissions have increased exponentially and are projected to rise to almost 3.0 gigatons of carbon dioxide by 2020. Almost 80% of Indonesia's current GHG emissions stem from deforestation, forest degradation and land use changes, as well as the drying, decomposing and burning of peatland to clear areas for agricultural use. Intentional burning of forests as a cheap land-clearing method to establish oil palm and other plantations has released significant amounts of carbon into the environment. According to a World Bank report, "Daily emissions from Indonesia's fires in October 2015 exceeded the emissions from the entire US economy – that is more than 15.95 million tons of carbon dioxide emissions per day." On a more positive note however, the World Bank states that, "If Indonesia could stop the fires, it would meet its stated target to reduce GHG emissions by 29% by the year 2030."<sup>26</sup>

In 2009, as part of United Nations (UN)-backed efforts to mitigate climate change, Indonesia pledged to cut GHG emissions by 41% with outside assistance by 2020, making it the largest absolute reduction commitment made by any developing country.<sup>27</sup> In Indonesia, GHG reduction opportunities are found within the forestry and agricultural sectors, where emissions can be minimized by halting deforestation and increasing the rate of reforestation of degraded land. In addition to rising GHG emissions, the increase of concessions developing plantations on non-forest land has the potential to displace local systems of production in areas where property rights are not sufficiently secure, exacerbating local income and food insecurity, and disrupting traditional social relations.<sup>28</sup>

Over half of Indonesia's population live in rural areas and are dependent on agriculture and natural resources for subsistence. Land tenure has always played an important role in development and conservation in the country.

Historically, there has been ambiguity between customary and formal land laws in Indonesia. Under Dutch colonial rule, land was separated into Western freehold systems (private tenure) and state-controlled resources. A third category also emerged through the Dutch ethical policies in which customary (*adat*) land management regimes were recognized under the designation of *hak ulayat* (the rights of avail). Under the rights of avail, local institutional systems were recognized and are often associated with communal land arrangements. Since Indonesian independence, land rights have favored the Western freehold system through the Basic Agrarian Law of 1960 (BAL), which sets forth categories of land use. National land management administration is described in more detail below. However, in the current policy context, situating *adat* as a category within state administration systems continues to be a contested term. A category for *adat* designation was

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<sup>24</sup> Hasan, A. 2013. Indonesian province explores 'green growth' amidst economic expansion. CIFOR. <blog.cifor.org>

<sup>25</sup> Indonesia National Council on Climate Change. Fact Sheet Norway-Indonesia Partnership REDD+. <http://www.norway.or.id/PageFiles/404362/FactSheetIndonesiaGHGEmissionMay252010.pdf>

<sup>26</sup> "Indonesia's Fire and Haze Crisis." Published November 25, 2015 Accessible at: <http://www.worldbank.org/en/news/feature/2015/12/01/indonesias-fire-and-haze-crisis>.

<sup>27</sup> The Intergovernmental Panel on Climate Change (IPCC) has developed three sets of scenarios to predict changes in atmospheric CO<sub>2</sub> levels: the positive, the pessimistic, and the business as usual. The business as usual scenario is the middle ground between the positive and pessimistic extremes. It assumes that population and economic growth rates, as well as nuclear energy costs, will not change significantly in the future. (Climate Change Business Forum, 2014).

<sup>28</sup> Pacheco, P. 2013. Biofuels and forests: Revisiting the debate. CIFOR. <blog.cifor.org>

initially created and applied to the national context and derived from the example of the Minangkabau systems of West Sumatra<sup>29</sup>. This model has struggled to encompass the overall diversity of custom across Indonesia, and *adat* holds multiple meanings in different cultural contexts, and are based on history and local relationships. While customary land rights are still dominant and practiced in many rural areas, land is subject to the government categories, laws, and regulations that political actors choose to apply. Furthermore, the institution of a land registration process is complex and difficult to maneuver, partially due to the complex overlapping regulatory system, but also due to the local customary practices that they take place within.<sup>30</sup> Up to now, there have been competing claims to land and an overall lack of accountability for administering land use. More specifically, each of the PMAP locations will have to contend to the many different factors that shape land relations. These nuances correspond as much to ethnic and cultural heritage as to prevalence of different crops, topography, access to land, credit and other production factors, and the dynamic demand for territory from the state, local communities, migrants, and state-sanctioned concessions.

Broadly speaking, however, land administration at the national level is bifurcated into two different institutions. Indonesia's Ministry of Forestry (recently merged into the Ministry of Environment and Forestry, or MOEF) administers approximately two-thirds of Indonesia's territory, or about 133 million hectares. The MOEF expanded their territorial authority in the 1960s and 70s, appropriating ancestral lands that were previously controlled and used by customary communities. The remaining third of Indonesia's land falls under the administration of the National Land Agency, which is now merged into a Ministry of Spatial Planning and Agrarian Affairs. This Ministry is tasked with land registration databases accounting for APL lands (*Areal Penggunaan Lain*, literally "other land uses"), which encompasses all allowable functions, ownership, and claims for land.

There was a dramatic shift toward political decentralization in 1998, and the resultant devolution of authority led to sub-national actors also contesting their role in land management authority. More claimants on natural resources resulted in extreme pressures on the forest, and Indonesia experienced some of its most dramatic logging during the years 2000 – 2005.<sup>31</sup> Institutional changes toward decentralization created numerous land management challenges by adding complexity to the registration process, obscuring legal requirements, and exacerbating elite capture. Concern for natural resources at the national level continues to be a central area of governance reform, and in particular, recent regulations indicate a pendulum swing towards the "re-centralization" of natural resource management authority to the provincial level.<sup>32</sup>

The national government has taken some steps to address these complex overlapping and contested issues. The President's Office's in particular, under the "One Map" policy, aims to create an

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<sup>29</sup> Vel, JAC, and AW Bedner. "Decentralisation and Village Governance in Indonesia: The Return to the Nagari and the 2014 Village Law." *The Journal of Legal Pluralism and Unofficial Law* 47, no. 3 (2015): 493–507.

<sup>30</sup> USAID Country Profile: Property Rights and Resource Governance. Indonesia. 2010. [http://usaidlandtenure.net/sites/default/files/country-profiles/full-reports/USAID\\_Land\\_Tenure\\_Indonesia\\_Profile\\_0.pdf](http://usaidlandtenure.net/sites/default/files/country-profiles/full-reports/USAID_Land_Tenure_Indonesia_Profile_0.pdf)

<sup>31</sup> Resosudarmo, Ida Aju Pradnja. "Closer to People and Trees: Will Decentralisation Work for the People and the Forests of Indonesia?" *The European Journal of Development Research* 16, no. 1 (2004): 110–32.

<sup>32</sup> Law 23/2014

authoritative database to help negotiate complex land laws and practices.<sup>33</sup> A core reform of the One Map policy, occurred when Law 4/2011 was passed, which created the Geospatial Information Agency (*Badan Informasi Geospasial*, BIG) and provided the requisite authority to create and administer an authoritative source map to which all institutions across the country were beholden. Such an unprecedented move to consolidate mapping authority away from powerful claimants was seen as a major step by activists and administrators as a way to address land conflict and deforestation.

There is also a growing recognition and interest in addressing land conflicts. Official Ministry databases at the Ministry of Home Affairs and MOEF acknowledge conflict, and figures indicate that 16.8 million hectares of land in Indonesia are in conflict, and 1.2 million hectares are “active disputes.”<sup>34</sup> The MOEF for example, have created a director-level position to address conflict and customary rights. Furthermore, the *National Law 6/2014*, commonly known as the *Village Law*, also requires villages to play their part in the one map – to participate in clarifying boundaries, legitimizing processes to come to agreement on overlapping land claims, and providing development support through additional budgets that support village governance.

Indonesia’s tenure reforms are foundational to the ideology of the nation and to the realities of the approximately 140 million people dependent on agrarian practices. Activists lament that close to 70% of the country has already been parceled to private concessions, and official statistics also highlight the numerous (and overlapping) approved concessionaires.<sup>35</sup> Vast concession lands remain inchoate however, and the way that tenure security is decided will significantly influence development opportunity for rural communities and the way that natural resources are managed. National policy circles have also seen a growing recognition on tenurial claims based on *adat*, allowing for new pathways to contest historical enclosure on the basis of ancestral lands and customary practices. The Constitutional Court Decision 35/PUU-X/2012 acknowledging customary lands in the vast MOEF Forest Estate provides further signs of improvement that these claims, in a country as diverse as Indonesia, are receiving more legitimate attention.

## ii. Gaps in literature

Literature on land tenure interventions – specifically, the provision of land titles – suggests it is a significant channel to achieving positive observable trends in investments, agricultural productivity, and farmer incomes among smallholders. However, contextual realities shape the extent to which these positive outcomes can be observed. From their systematic review of issues surrounding land tenure and its connection to investment and agricultural productivity, Lawry and colleagues assert that “[m]uch of the literature underscores the complexity of attribution and the importance of context to understanding relationships between security, registration and productivity, and to understanding gender dimensions. They also suggest tenure security alone is not a ‘silver bullet’ leading directly to higher farmer incomes, or that it is solely attributed to tenure reforms– that is, context matters.” Contextual issues, including preexisting level of tenure security and baseline wealth/income levels, will influence the changes in investments and productivity once formal tenure systems are established. Therefore, interventions using land tenure as a driver of increasing income/reducing poverty may have to include other activities; land tenure formalization

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<sup>33</sup> Began with President Yudhoyono’s administration and continues as a central pillar of policy reform in President Widodo’s administration.

<sup>34</sup> Page 14 in McCarthy and Robinson, 2016.

<sup>35</sup> McCarthy, John F, and Kathryn May Robinson. *Land and Development in Indonesia: Searching for the People’s Sovereignty*. Singapore: ISEAS – Yusof Ishak Institute, 2016.

may need to be part of a larger arsenal of interventions in order to achieve the desired poverty reduction outcomes. This will continue to be an enduring challenge for Indonesia. In the meantime as regards investment, PLUP seeks to develop an approach whereby clarifying boundaries and addressing boundary disputes will increase trust, transparency, and accountability over land administration practices. Therefore, although land tenure security is not addressed by these boundary negotiations, a rigorous process that can be understood by multiple stakeholders allows for improvements in acknowledging land uses and ownership.

Most initiatives in Indonesia involved in the LUCF sector assume that clarifying land uses and developing the requisite spatial planning systems will help reduce high rates of emissions from this sector. Early efforts and nearly a decade of REDD+ implementation however, have fallen well short of expectations due to the context in which such initiatives take place within.<sup>36</sup> The PLUP activity at least administratively, through a theory of change steeped in participatory governance, seeks to reorient lessons learned from efforts at improved land management. Furthermore, PLUP presents the opportunity for connecting green investment as an additional incentive to these reforms. The PLUP starter sites seek to provide timely empirical examples that would showcase the extent to which regularizing processes of land administration, clarification of key boundaries and their processes, capacity building at different scales for improved spatial planning, and incentives to sustainable investments, to collectively provide the mechanisms to initiate a meaningful shift to more sustainable growth.

### **iii. Policy relevance of the evaluation**

The PLUP activity and the overall GP program essentially seeks to support a realignment of Indonesia's economic approach to a less extractive one. The PLUP activity does this at multiple levels, beginning at the local level. Progressive policies for developing accountable mapping and management systems have potentially important effects on local livelihoods, which are highly impacted by the security of, and access to land.

By investing in boundary setting and updating land use inventories and spatial plans, the GP PLUP activity can set a notable example and procedural precedence for pathways to shifting land use change to low-carbon development goals. The PLUP activity seeks to do this by improving perceived and actual land use security, identifying risks for potential investors, developing systems for improving the accountability and sophistication of spatial planning, and consequently increasing the possibility of financing renewable energy projects. "As with all other classes of projects and investment, renewable energy investment becomes more likely and frequent if the perceived levels of investment risk are reduced for a given level of return, or returns are increased for any given level of risk. The impressive growth in sustainable energy investment throughout the last decade in many parts of the world has been triggered by such favorable shifts in risk return".<sup>37</sup> Providing the pathways for connecting global priorities on green investments with the local terms of engagement that PLUP seeks to facilitate, GP has the opportunity to connect sustainable investments with local livelihoods in order to reduce the most intense LUCF GHG in the world.

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<sup>36</sup> Luttrell, Cecilia, Ida Aju Pradnja Resosudarmo, Efrin Muharrom, Maria Brockhaus, and Frances Seymour. "The Political Context of REDD+ in Indonesia: Constituencies for Change." *Environmental Science & Policy* 35 (2014): 67–75.

<sup>37</sup> UNEP. 2012. Financing renewable energy in developing countries: Drivers and barriers for private finance in sub-Saharan Africa.

### **3. EVALUATION DESIGN**

#### **A. Evaluation Purpose and Questions**

The evaluation, as noted above, includes two phases of data collection to evaluate PLUP by focusing on PMAP 1. The phasing of data collection activities is intended to both identify immediate lessons learned in PMAP 1 implementation as well as capture changes in PLUP outcomes over an extended period of time, accounting for long-term effects not readily materialized by the time project activities have concluded. Phase 1 of data collection will take place at the completion of implementation in the four starter districts. Phase 2 will take place approximately two years after Phase 1 data collection, in 2018. The primary purpose of this evaluation in phase 1 of data collection will be to i) evaluate PLUP outputs and outcomes, and ii) establish a baseline of the PLUP outcomes (through recall questions and secondary data). A secondary purpose is to assess the implementation performance of PMAP 1 specifically, in order to inform future PMAP roll-out in other districts. Phase 2 of data collection will identify realized PLUP short- and long-term outcomes (1 through 9) and assess contribution associated with the PLUP project.

The evaluation design presented here attempts to address short-term and long-term primary outcome areas of PLUP (see Figure 2 above). Short-term outcomes are defined as those outcomes/results that are achievable during the timeframe of the project<sup>38</sup> and within one year after project completion<sup>39</sup> (assessed at phase 1 of data collection); while long-term outcomes are those outcomes/results realized and achieved beyond one year after completion of the project<sup>40</sup> (initially assessed at phase 1 and again at phase 2). These longitudinal definitions are relative and will be refined further with MCC and MCA-I regarding their expectations for the realization of results. The evaluation questions and proposed sub-questions, closely linked to the proposed outcomes of PLUP, are detailed in Table 5 below.

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<sup>38</sup> Short-term outcomes 1-2

<sup>39</sup> Short-term outcomes 3 through 6.

<sup>40</sup> Long-term outcomes 7 through 9.

**Table 5: PLUP Evaluation Questions**

PLUP Evaluation Questions		
No.	Evaluation Question	Evaluation Sub-Questions
1	How has PLUP progressed in the achievement of short-term outcomes, and how is it likely to progress in the achievement of long-term outcomes?	To what extent has PLUP affected perceptions of spatial certainty associated with boundaries and land use, access and control within villages? (Outcome 1)
		To what extent has PLUP contributed to change in the number and/or nature of boundary disputes between villages and with license holders/applicants? (Outcome 2)
		To what extent has PLUP led to increased confidence in land governance within partner institutions (e.g. BAPPEDA and other agencies)? (Outcome 3)
		To what extent have PLUP activities increased the capacity of PLUP institutional stakeholders to manage land and natural resources? (Outcome 4)
		To what extent has PLUP improved practice of and adherence to procedures in land use planning, and the use of degraded lands? (Outcome 5)
		To what extent has PLUP affected the level of investment in land use activities consistent with the spatial plan? (Outcome 6)
		How has PLUP impacted settlement boundary dispute processes, and how, if at all, have these agreements changed access to land use? (Outcome 7)
		How has PLUP land use data (e.g. designation maps, databases) been shared, used and accepted as a credible baseline by the different levels of government (village, sub-district, district/provincial and national) and between these levels of government and the community thus far? (Outcome 8)
		How has PLUP changed the permitting/license process among government, private sector, and local communities thus far? (Outcome 9)
2	Were achievements toward identified PLUP outcomes varied by geography, community type, or gender and vulnerable/marginalized groups?	Describe project level implementation and engagement at each level (national, provincial/district, sub-district, and village) with women/men, community groups, and vulnerable/marginalized groups.
		Has the identified engagement of these groups (as noted above) influenced the identified results in the area? In what ways?
3	What were the main challenges in managing PLUP?	What were the key barriers to implementation of Tasks 1 through 4?
		To what extent did the implementer effectively resolve these issues, and what are means for mitigating implementation challenges in future roll-out areas?
		If the PLUP design changed during the last year, what were main reasons for the change? Did the change result in more or less progress toward targeted outputs and outcomes?
4	What were unintended results (positive or negative) achieved on PLUP?	NA
5	Through what pathways, if any, is increased spatial certainty likely to increase household incomes? What evidence does the evaluation find for this?	NA

## **B. Evaluation Design Overview**

In determining the most appropriate design for a rigorous evaluation of PLUP outcomes detailed above, the evaluation team considered a number of factors, including sample size and characteristics, implementation constraints, effect heterogeneity and effect sizes, and proposed implementation timeline. Due to concerns around internal validity and power, imposed principally by implementation approach, sample size, and unclear effect sizes, the evaluation team recommends a pre-post qualitative PE approach.

A performance evaluation allows for in-depth exploration of implementation efficacy through qualitative data collection and long-term outcome monitoring. The performance evaluation can be used to refine PLUP implementation and future PMAP contract roll-out while still tracking outcomes over an elongated length of time. A PE can also be used to explore the different types of outcomes that are likely to occur, which is the main objective of this approach.

Of particular note is that phase 1 of data collection will occur after the implementation of PMAP 1 has started, and in some districts, has neared completion. This timing for phase 1 of data collection was proposed because prior to the procurement of PMAP 1, there was not an agreed upon articulation of outputs or outcomes related to PLUP. If baseline data had been collected before implementation, there would have been a risk of having to collect additional data after implementation when the outputs and outcomes became clearer. For those outcomes that were clear before implementation, SI and MCC determined that change would not be detectable in the outcomes until after implementation (for the short- or long-term outcomes). As such, a decision was made to conduct phase 1 data collection after implementation in the four starter districts. Therefore, phase 1 is designed to reconstruct a baseline and assess change/progress for outcomes 1 and 2 from pre-implementation to post-implementation, and further serve as a ‘relative’ baseline for outcomes 3 through 9. Additionally, phase 1 will collect lessons from PMAP 1 implementation to provide input to future PMAPs. The ET will also utilize any available pre-intervention secondary data to strengthen pre-post analysis.

The field data collection for phase 1 will occur from August to October 2016, and for phase 2 from August to September 2018. The evaluation design for phase 2 will be the same as outlined in this Evaluation Design Report to verify long-term outcomes. The phase 2 evaluation design will also be refined as appropriate based on the results obtained through phase 1. The timeline periods for both phases are outlined in the work plan (Section 4E).

In the proposed evaluation, qualitative data collection in phase 1 will occur in the four “starter” districts and will comprise a thorough review of project monitoring and government data (secondary data and document review), as well as a series of key informant interviews and focus group discussions (primary qualitative data collection) with various project stakeholders across multiple levels of project implementation. Findings will be triangulated against data accessed through public record and in consultation with provincial and district government offices.

### **i. Methodology**

The proposed pre-post qualitative performance evaluation will rely on secondary quantitative and spatial data made available through the PLUP implementing partner(s) and government

stakeholders, as well as primary qualitative data from key informants and focus group participants at the national, provincial, district, sub-district and village levels.

The short- and long-term outcomes of the PLUP evaluation are linked to specific, proposed evaluation questions detailed above. PLUP outputs will be examined to assess the extent they have been produced (and validated) and to the extent they are used by the intended stakeholders/beneficiaries to achieve the desired outcomes. As such, the evaluation questions are structured around the outputs that lead to outcomes to better assess attribution for achieving the project results. A baseline will be established on the outcome indicators, captured at time intervals  $T_0$  (pre-PLUP through recall questions),  $T_1$  (phase 1 of the evaluation) and  $T_2$  (phase 2 of the evaluation), based on the time at which project outcomes are expected to be realized and observable. Thus, the baseline for outcomes 1 and 2 will be established using recall questions during phase 1 of the evaluation, while phase 1 will serve as the baseline measurement for outcomes 3 through 9. Baseline conditions will be supplemented by further analysis and triangulation with secondary data to attempt to mitigate recall bias. Annex 1 details proposed indicators for tracking progress through to the outcomes. The team has also constructed a general approach to each outcome as detailed in Table 6. Following this table, there is explanation of each data collection approach to be used for the evaluation.

**Table 6: Approach to Measuring PLUP Outcomes**

PLUP Proposed Outcome Approach		
Outcome Number <sup>41</sup>	Outcome	Approach to identifying indicators/assessing progress
1 (BL T <sub>0</sub> )	Increased public perception of spatial certainty associated with boundaries and land uses within the PLUP villages	To address the issue of perception at the village level, FGDs will be conducted with village stakeholders to understand how spatial certainty has changed over time. The FGD will be formulated with the field level PMAP I implementation staff. The design questions can draw out key questions concerning land use, the current land pressures, existing disputes and resolution mechanisms to land boundaries, and how villagers believe their access to land and its spatial certainty has changed over time.
2 (BL T <sub>0</sub> )	Decreased conflict between villages (or groups of villagers from adjacent villages) over land use rights in “border”/outlying areas between villages	Evaluating this outcome will require understanding a broad typology of existing village boundary/land conflicts. The project reporting documents already provide data on the number of disputes identified and those that were successfully settled. Interviews will be conducted with the field level PMAP I implementation staff to understand the nature of the disputes and the ways that these were successfully/unsuccessfully addressed. This evaluation will seek to understand the processes and types of alternative dispute resolutions in successful cases, the implications of resolution when processes are undertaken, and the causes behind those that are still in conflict. Furthermore, it seeks to provide an understanding about the broader causes of continued boundary disputes.
3 (BL T <sub>1</sub> )	Improved confidence in land governance administration within PLUP stakeholder partner institutions	Evaluating this outcome will require a multi-level (national, provincial, district, and community) approach. Interviews must be conducted with national and district level stakeholders to understand the challenges and governance impacts behind boundary-setting processes (e.g. BIG). This will provide insight into the level of effectiveness that regional spatial planning processes are situated within and any feedback mechanisms from the community/increased access to spatial information for community groups, including women and vulnerable groups that will enhance participatory land use and decrease conflict. Furthermore, a close examination of Provincial- and District-level spatial planning administration processes must also take place in parallel. The key area for examination here is whether spatial plans are incorporating boundary setting processes and how such acknowledgement inspires confidence in the planning process. For example, does village boundary acknowledgement result in changes in the overall spatial planning designations (e.g. overlapping permits, claims, etc.)? Also relevant is the agency level of confidence to deal with complex land use matters within departments and in coordination with other agencies.
4 (BL T <sub>1</sub> )	Increased capacity of PLUP institutional stakeholders to manage land and external (natural) resources	Assessing land management capacity must be assessed at multiple scales of governance. First, PLUP works closely with core reforms taking place at the village level and supports the capacity to gain agreement on boundaries, especially overlapping claims. Where conflict persists, the approach to resolution at project sites and project interventions to assist such negotiations provides notable indicators of the changing role of local actors involved in land and resource management. Furthermore, the ability of the District government to implement core spatial planning functions of transparency and accountability will be assessed to the extent to which database management systems are incorporated and applied, and their role in licensing/permitting processes. The evaluation will explore how spatial planning is coordinated vertically from the village to the District, and furthermore, how such efforts are being interpreted by core national level land management institutions.

<sup>41</sup> Includes time interval considered for baseline (BL) measurement

PLUP Proposed Outcome Approach		
Outcome Number <sup>41</sup>	Outcome	Approach to identifying indicators/assessing progress
5 (BL T <sub>1</sub> )	Improved land use planning and use of degraded land within PLUP locations	Improvement in planning should be evaluated in two ways. The first should look at the way that procedures for planning are followed. Much of this “improvement” will be uncovered from the evaluation of the preceding outcomes, such as the establishment of boundaries and experience of dispute resolution, consideration of degraded lands, and others. Furthermore, improvement can also be evaluated at a broader scale in terms of the adherence to the spatial plans and existing regulations. Improved land use can look at the broader landscape, its natural resource functions, and vulnerabilities for future planning. This will also require identifying lands that are designated as degraded. It is assumed that mapping efforts by the project implementation teams have already developed such maps. These maps should furthermore be able to provide an indication regarding the types of land use classification of these degraded lands. Thereafter, an indication can be made about how spatial planning processes take place for these identified degraded lands, and what types of uses are being planned for these sites.
6 (BL T <sub>1</sub> )	Increased conformance of land use (particularly as measured by new project or uses) to the (new/improved) land use plans	The evaluation for conformance begins by looking at a spatial representation of all project interventions and juxtaposing them with actual developed land use planning efforts.
7 (BL T <sub>1</sub> )	Accurate and locally accepted spatial and land use data	The evaluation will examine the accuracy of the geo-spatial data, through verifying a random sample of sites, and the extent this data is credible and accepted by the lead decision-making institutions that use geo-spatial data, and the relevant communities and civil society members involved in the participatory mapping process. Local acceptability of the village maps will begin during PLUP implementation and culminate with the legally-binding decrees. Widespread acceptability would be examined through use of the maps/spatial data at the village level, district level through stakeholder agencies over time. Accuracy can be tested at the village level, with reference to community member perceptions, to see how boundary setting has changed the administration of settled claims in village governments. At the district level, accuracy can be tested through any changes in process and administration that have taken place as part of the process. Data management changes in the administering line agencies also provide verification of the Outcome.
8 (BL T <sub>1</sub> )	Shared understanding of boundaries and various land uses among PLUP geo-spatial partners and communities	The evaluation will examine the extent to which a shared understanding of boundaries and various land uses is achieved amongst line agencies and organizations that utilize geo-spatial data. The evaluation will also seek to understand to what extent community members have improved opportunities at accessing spatial data. Although sharing of information will start with communities during PLUP, further sharing of information between line agency institutions is expected to take time as many of these institutions (including the private sector) may be entrenched and not used to a climate of shared information.
9 (BL T <sub>1</sub> )	Greater efficiency in land permitting/licensing processes (licensing transaction costs, license utilization, and license conflicts)	It is already a very encouraging sign that site selection was contingent upon Bupatis agreeing to transparency clauses on licenses and permits. <sup>[1]</sup> The evaluation will examine the types of permits and licenses, as well as any recent plans. Efficiency can be evaluated on a variety of issues. This evaluation proposes to examine permit and licensing beyond the time it takes to finalize a document, but rather the extent to which good governance principles are incorporated. This includes time, safeguards, transparency, dissemination, uses, and oversight. Such an approach provides for the necessary information to evaluate efficiency in a much more comprehensive manner.

Annex 1 includes an Evaluation Design Matrix that links Questions, Key Outcomes, Indicators, Data Sources, Timing, Sample Unit, Instrument, and Data Analysis Method. This matrix details two types of qualitative data collection that the team will employ: Key Informant Interviews (KIIs) and Focus Group Discussions (FGDs). See Table 7 for a list of questionnaires. The matrix also details secondary data collection and document review. See Table 8 for a list of documents and planned secondary data for collection and review. The details below explain how the evaluation team will collect specific quantitative and qualitative data, at both the district and village level, to address the outcomes and related questions.

### **Qualitative Data Collection**

The ET proposes conducting a total of 110 KIIs and six to ten FGDs across the four starter sites. This would allow for discussions with 20 individuals and two groups in each district (and selected sub-district and village), interviews with 10 individuals from the provincial level, and 20 interviews with individuals at the national level (including implementing and MCA-I staff). All KIIs will be conducted according to pre-developed and tested interview protocols (see Table 7). The SI team will develop semi-structured interview guides to direct each qualitative data collection activity, and notes from qualitative interviews will be created during field work with daily review to ensure clarity. The team will also record all interviews. Interview notes will be coded for analysis using electronic software (Dedoose) to construct response categories and identify patterns in data, as relevant. Coding qualitative data through use of electronic software, if deemed useful for certain questions or data, will allow the evaluation team to analyze interview notes with speed and efficiency, easily cataloging and documenting emergent themes from among respondents. Final analysis will occur at the conclusion of field work. Further details on proposed coding can be found in the Interview Guidebook.

While the ET expects that some interviews may take place in English, the use of local data collection specialists as well as ex-patriate team members that are culturally and linguistically fluent in Bahasa Indonesia, will allow interviews to be conducted in the national language when necessary.

- **KIIs** will be conducted with MCA-I staff (PMAP 1 and M&E teams); national ministries; provincial, district<sup>42</sup>, sub-district and village/community level officials/representatives<sup>43</sup> and implementation counterparts; representatives from community based organizations (CBOs) and research universities active in land use planning and renewable energy projects in the target areas; village level community members; concessionaires/land claimants/businesses; and PMAP 1 implementation staff. Table 7 details the proposed questionnaires to be developed to support qualitative data collection.

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<sup>42</sup> Informants will be targeted for interviews from the following district-level entities: Kabupaten BAPPEDA (District Planning Agency); National Land Office (BPN); “One Stop” Licensing Office (BPPT); and Ministry of Forestry.

<sup>43</sup>The following entities will be targeted for Key Informant Interviews regarding village-level data: Village Head (Kepala Desa); Sub-District Head (Camat); NGOs, businesses, and Universities conducting community mapping (JKPP).

Interviews with district-level key informants will provide qualitative data on documented land disputes, as well as the nature of dispute resolution and expectations of future trends. Additionally, the team will gather information on trends in investment in PLUP areas through the provincial Chamber of Commerce and Industry (KADIN), the Indonesian Investment and Coordinating Board for Domestic and Foreign Investment (BKPM/D/A) and interviews with businesses (select concessionaires and non-concessionaries), and will document ways in which the permitting process has evolved over time. With respect to the permitting process, the ET will specifically explore the number and nature of new permit applications and length of time for permit to be issued, as well as qualitative data on the efficacy of cross-office coordination. Interviews with representatives of BAPPEDA (District Planning Agency) will supplement the team's review of updated spatial plans by clarifying types of permit applications and their conformance to the approved spatial plan, as well as the likelihood of new permit applications for commercial activity and factors contributing to the risk of land-related disputes. Further, through in-depth interviews with the PMAP 1 implementation team and stakeholders across government offices, the evaluation team will assess perceptions of implementation efficacy, whether implementation was participatory in nature, how PMAP contracts might be improved or modified as they are further rolled out, and whether PMAP 1 has actually generated (or exacerbated) existing conflicts.

At the village level, interviews with representatives of local government and community leaders will provide qualitative data on the types of recent border disputes, dispute resolution methods, and perceptions of the effects of PLUP. Village level informants, particularly those involved in the VPT, are also well-placed to provide information on perceptions of permitting transparency and fairness, as well as the extent to which PLUP has been participatory in nature. Additional lines of inquiry include perceptions of land use security and land use change, as well as perceived opportunities for economic investment and the related risk of border disputes. With respect to implementation, interviews will explore whether PLUP engaged with women or other marginalized/vulnerable groups, how PLUP might be improved/modified as it is further rolled out.

In recognition of the parallel efforts of local non-governmental organizations to aggregate and report spatial data, the evaluation team will also conduct interviews with representatives of relevant organizations as an additional source of data on reported disputes, the permitting process, and land use and its conformance to approved spatial plan specifications. Local NGOs and universities provide the evaluation team an opportunity to corroborate records acquired directly from government offices, as well as to gain a third-party perspective on PLUP activities and their effects across communities and districts.

- **FGDs<sup>44</sup>**: In each starter district, the team will conduct focus groups with local community members to learn perspectives on the nature of village boundary-related disputes, how community members report disputes, how disputes are resolved, and risk factors for future boundary disputes. Through FGDs, the team will also examine perceptions of permitting fairness and ease of acquiring permit, length of time to acquire permit, and barriers to acquiring permits or expanding land for investment purposes. Smallholder farmers are particularly well-suited to speak to perceptions of spatial certainty, barriers to farmland expansion (such as the ability to obtain use of state forest land or to establish a new settlement or village), and perceptions of commercial potential of unused village land, which provides valuable insight into PLUP’s community-level effects. FGDs are also an effective way to learn the extent to which communities felt engaged in participatory planning, and whether PMAP 1 engaged with women or marginalized/vulnerable groups during the process of community mapping.

FGDs are expected to be conducted separately with men and women, where appropriate and will include a broad representation of community members rather than focusing exclusively on those relying on forest resources for income.

**Table 7 : PLUP Evaluation Qualitative Questionnaires<sup>45</sup>**

PMAP 1 Evaluation Qualitative Questionnaires		
No.	Type	Name
1	KII	Village level community members
2	KII	Village level officials (particularly those in the VPT or dispute resolution forum(s))
3	KII	District and sub-district level officials (line agencies, One-stop Shops-OSS)
4	KII	Provincial level officials
5	KII	National level officials (ministries)
6	KII	MCA-I staff (GP leadership, PMAP 1 management, and GP M&E team)
7	KII	PMAP 1 implementing partners (Abt Associates, Puter, Warsi, and Trimble)
8	KII	NGOs/CSOs/research institutions working in land-use planning and renewable energy projects
9	KII	Concessionaires/Land Claimants/Businesses
10	FGD	Village level VPT
11	FGD	Concessionaire/Land Claimants/Businesses
12	FGD	Training Beneficiaries

- **Observation** will also be completed in at least one village per sub-district visited by the evaluation team (as it may not be feasible in every village visited).

<sup>44</sup> The following stakeholders will be targeted for focus group discussions: Small-scale farmers (or additional community stakeholders and/or households reliant on forest resources for income; Businesses; and Concessionaires/land claimants.

<sup>45</sup> Questionnaires will be developed after approval of the Evaluation Design Report, and prior to the team’s arrival in Jakarta, Indonesia.

The team will walk along the agreed-upon boundary of the village with members of the community that are available to join. The team will observe if pillars/markers have been erected, and discuss the implications of the boundary markers with community members either own those plots or joined the observation activity.

- **Document review and collection of secondary data** will include the types of documents listed in Table 8 below. The team will first collect and review PMAP 1 monitoring data. Monitoring data on inputs and outputs, disaggregated by province and ideally district, will be used to review achievement to planned targets and timelines. This data is expected to be collected and managed by the PMAP 1 implementation team as well as the MCA-I M&E team. Indicators expected to be reviewed include: number of village boundaries established; number of district land use, land cover, and permits and licenses inventories publicly available; land area of villages delineated via village boundary setting (VBS); number of villages assisted in participatory boundary setting; and number of enhanced district-level spatial plans. This type of data provides the evaluation team with critical insight into relative successes or pitfalls of PMAP 1 implementation that may be investigated further through key informant interviews and focus group discussions with project stakeholders.

Following collection and review of M&E data, the ET will attempt to acquire from the relevant offices and ministries data on permit and license applications, changes in designation of agriculture versus forest land, forest concessions, conservation land, and documentation of land-related disputes (to the extent possible).<sup>46</sup> This type of data provides a more concrete view of the extent to which PLUP's intended outcomes, such as reduced land-related disputes and increased transparency and access to land permits, are being achieved. This also provides data to assess the extent of overlapping licenses, use of degraded lands, and conformance with spatial plans, as below. Verifiable records also allow the evaluation team to assess the degree to which PLUP processes and outcomes are publicly demonstrable.

The evaluation team will also analyze changes to updated spatial plans (if available) with regard to land use to understand if these changes reflect any investment associated with the results of PLUP. The results can then be compared to PLUP's intended objectives and triangulated with public record and qualitative data in order to elucidate factors contributing to changes in land use, investment, and disputes. By the end of PLUP implementation, this type of analysis will also provide indication to the extent provinces, districts, and local communities comply with updated spatial plans for land use.

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<sup>46</sup> This may include data from BPN, BAPPEDA (Provincial and District Planning Agencies), Dinas Tata Ruang (Provincial and District Spatial Planning Agencies), Ministry of Environment and Forestry, Ministry of Agriculture, and the "One Stop" Licensing Office (BPPT).

**Table 8: Document Review and Secondary Data**

<b>PLUP Evaluation Document Review and Secondary Data</b>		
<b>Document Type</b>	<b>Details</b>	<b>Status (as of EDR submission)</b>
MCA-I Documents	Terms of Reference/Contract	Received
PMAP I Implementation Documents	Abt Associates Inception Report; Progress Reports; Reports or Assessments/Studies (as outputs of the program)	Received
PMAP I Monitoring Data	Monitoring data on inputs and outputs, disaggregated by province and ideally district (and by sub-district and village for Task I). Indicators expected to be reviewed include: number of village boundaries established; number of district land use, land cover, and permits and licenses inventories publicly available; land area of villages delineated via village boundary setting (VBS); number of villages assisted in participatory boundary setting; and number of enhanced district-level spatial plans.	Partially received
Indonesian Government Data	Data from BAPPEDA (Provincial and District Planning Agencies), Dinas Tata Ruang (Provincial and District Spatial Planning Agencies) Ministry of Environment and Forestry, Ministry of Agriculture, “One Stop” Licensing Office (BPPT). To the extent possible, the SI team will acquire from the relevant offices and ministries data on permit and license applications, changes in designation of agriculture versus forest land, forest concessions, conservation land, and documentation of land-related disputes.	Not yet collected/received
Spatial Plans	The evaluation team will conduct a thorough, independent analysis of the degree of detail and specificity each updated spatial plan contains with regard to land use. The results can then be compared to PMAP I’s intended objectives and triangulated with public record data and qualitative data in order to elucidate factors contributing to changes in land use, investment, and disputes. By the end of PMAP I implementation, this type of analysis will also provide indication to the extent provinces, districts, and local communities comply with updated spatial plans for land use.	Not yet collected/received
Local news	Local news will be reviewed by the evaluation team (from start of PMAP I implementation until current day) to provide information about ongoing disputes or land conflicts.	Not yet collected

**ii. Sampling**

In order to inform analysis of potential geographic differences in implementation or perceived outcomes, the evaluation team will conduct qualitative data collection in each of the four PMAP 1 starter districts, six of the sub-districts, and eleven villages across all sampled areas. The proposed visits are as follows (in order of planned fieldwork):

- **Jambi Province**
  - Muaro Jambi District; Kumpeh Ulu sub-district; village of Kasang Puduk
  - Meraingin District; Jangkat Timur/Sungai Tenang sub-district; villages of Rantau Suli, Koto Baru and Simpang Talang Tembago)
- **West Sulawesi Province**
  - Mamuju District; Bonehou and Kalumpang sub-district; village of Mappu in Bonehou and villages of Kalumpang, Karataun, and Kondo Bulu in Kalumpang

- Mamasa District; Mambi and Bambang sub-districts; villages of Talippuki and Bujung Manurung in Mambi and the village of Bambang Timur in Bambang

We propose conducting qualitative data collection for roughly five days per district, though this depends on the location of sub-districts and villages (in areas where villages are difficult to access the team will spend more time). While a sampling frame has not been finalized at this stage for every stakeholder category and area (finalization is planned for the first three days in Jakarta), this section characterizes the resources the ET will use for the finalization of the sampling frame as well as the prioritization criteria for selecting and sequencing key informants and focus group participants (the sample) at the organizational and individual level. The final sampling frame and the results of the application of the prioritization criteria will be included with the final evaluation report as an annex.

### **Development of the Sampling Frame**

*KII Sampling Frame:* A list of stakeholder organizations and contacts will be acquired from MCA-I staff, project implementers, and ET research on target areas. For private sector concessionaires, contact information will be requested from the implementers. For businesses/non-concessionaires, contact information will be requested from the local Chambers of Commerce, investment boards, and NGOs, and may be pulled from these organizations' member lists. If this information is not available from these sources, the ET will use snowball sampling to identify businesses and concessionaires to speak with per district. Potential respondents in this category will most likely work for companies with activities that require a significant land footprint and are routinely engaged in the land permitting process (e.g. companies active in transportation development, renewable energy, manufacturing, and building construction, and others). The final version of this list may also include additional informants uncovered through snowball sampling during field work.

*FGD Sampling Frame:* FGDs will be held for three main groups; the village level VPT, concessionaires/businesses (non-concessionaires); and training beneficiaries. FGD participants will be selected from the stakeholder/contact lists provided by the implementers and from the lists of businesses acquired for the KII selection. Concessionaires and business participants will be selected based on a broad representation of their interests/activity, and their knowledge and engagement in the land permitting process.

### **Sampling of Areas, Key Informants and FGD Participants**

The selection of sub-districts and villages (listed above) was completed in consultation with PMAP 1 and MCA-I and was also based on the ET's document review and knowledge of each area. While each province and district that the project works in will be visited, the sub-districts and villages (regarding task 1) were selected based on a number of factors: a) to ensure phase 1 and phase 2 coverage for Task 1; b) to collect information on specific sub-district and village dynamics, for example reliance on 'adat' and completed vs. not completed boundary segments; and c) accessibility

The selection of key informants and FGD participants within each of the sampled districts, sub-districts, and villages; and also informants at the national and provincial levels will be primarily

purposive, with elements of random, snowball, and convenience sampling based on the established sampling frame. There are a number of officials and stakeholder categories that will consistently be selected for KIIs in each area (for example, the Kepala Desa, Camat and the VPT); and there are a number of individuals that will be selected purposively depending on the specific area. Using a stakeholder analysis matrix (see section below), stakeholders will be prioritized and sequenced for KIIs according to their support for and influence over the project. Meanwhile, convenience sampling will be used to identify community respondents, while concessionaire and business FGD participants will be prioritized according to their knowledge of and engagement in the land permitting process. The selection of FGD participants may be subject to convenience or snowball sampling in the event that some village-level participants are difficult to contact for participation in the evaluation. Lastly, initial KIIs may yield new informants of interest in each area that may be selected in a snowball sampling methodology.

For example, in Muaro Jambi, the team will interview staff from BAPPEDA (Head of Bidang Fispra) and the OSS (Secretary and Head of Monitoring Division); while in Merangin, the team will interview staff from Dinas Kehutanan dan Perkebunan (DISHUTBUN) in addition to BAPPEDA and OSS staff. This is because spatial data in the district of Merangin is dispersed across BAPPEDA, OSS and DISHUTBUN where in Muaro Jambi, PMAP 1 worked with BAPPEDA and OSS to aggregate necessary spatial data. Additionally, in Muaro Jambi, the team will conduct a focus group discussion with land claimants, as there are many in this district (as indicated by PMAP 1 staff). Two additional focus groups are planned in the district: one with the VPT in the village of Kasang Pudak and one with training participants from the recent IMS training (August 21 – 26, 2016). All members of the VPT will be invited to participate in the focus group, while the ET will randomly select five-six training participants to join a discussion group. Lastly, KIIs will also be conducted with implementing partner staff (CLCS, SCF, Team Leader), the Kepala Desa from Kasang Pudak, and with the Kumpeh Ulu Camat. While there are no specific stakeholders that the project engaged at the provincial level in Jambi<sup>[1]</sup>, the ET will interview the Green Prosperity Relationship Manager (Dasri Erwin) for the province to cross-check findings and identify any possible informants at the province level.

### *Initial Stakeholder Analysis*

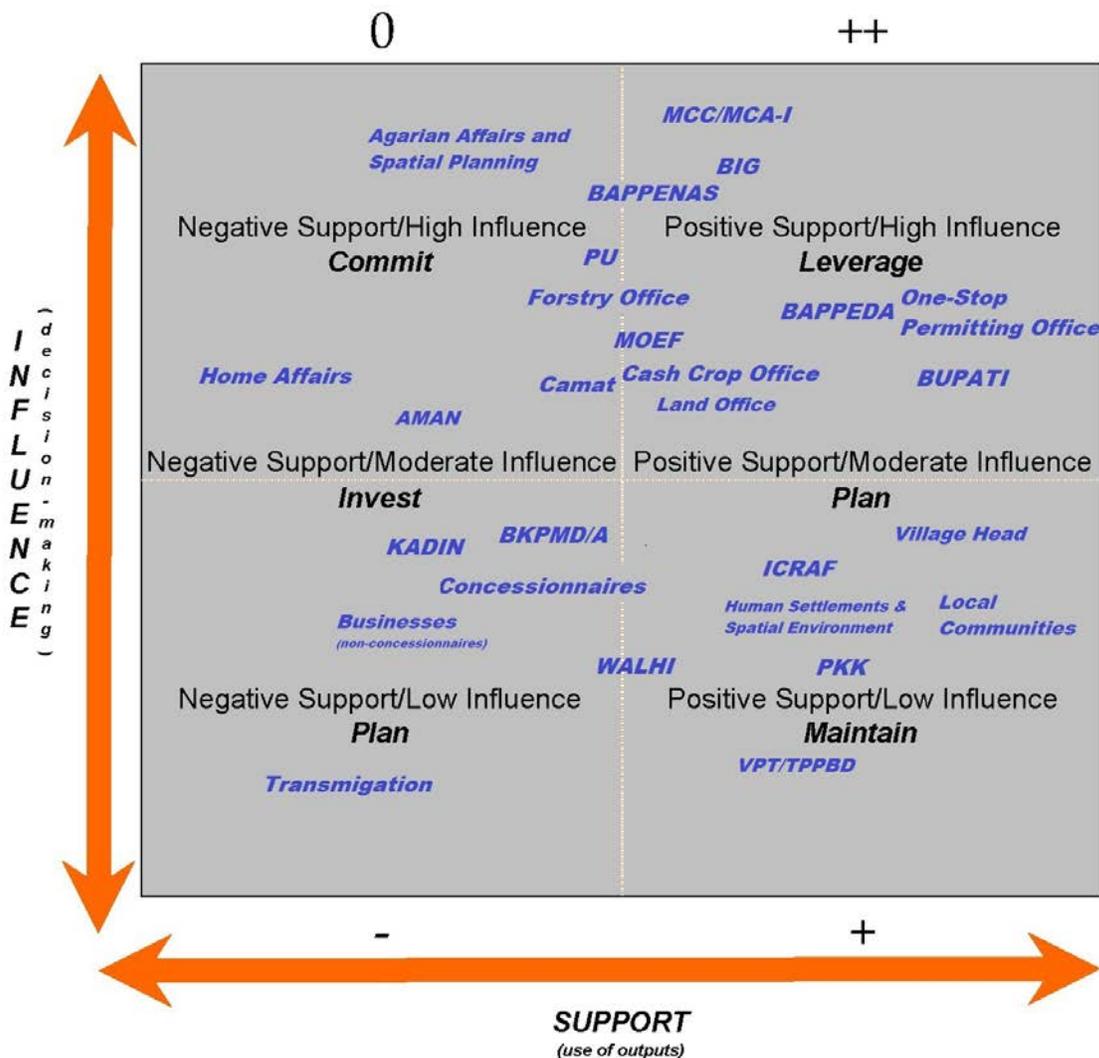
In order to move from the sampling frame to a sample for each area and stakeholder category (as exemplified above for Muaro Jambi), a stakeholder analysis was conducted to identify and manage stakeholder engagement (see Figure 3). The stakeholder analysis uses information gathered during the document review, and preparatory discussions and meetings with MCC and MCA-I. This analysis assists in prioritizing key stakeholders for the KIIs and FGDs in each area, and further informs the evaluation timeline for the ET's engagement with the stakeholders. Given the many stakeholder groups and levels, and the limited time and resources for the evaluation, it is not feasible to engage with all stakeholders at an equal level of inquiry across the four districts.

A stakeholder matrix in Figure 3 shows quadrants of stakeholder roles along an X- and Y-axis for denoting support (use of the outputs) and influence (decision-making) for PLUP, respectively. Figure 4 is illustrative of the relative placement of the stakeholders according to the

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<sup>[1]</sup> This differs from West Sulawesi where the team will speak with BAPPEDA at the provincial level, considering the province's engagement with Tasks 2 – 4.





**Figure 4: Illustrative placement of stakeholders implementing PLUP.**

**iii. Gender Strategy**

Consistent with MCC’s evaluation guidelines and recognizing that effects of integration and the success of the project might vary across gender (and other identified minority or vulnerable groups), the evaluation team will apply a gender responsive lens during all evaluation activities described in this Evaluation Design Report. This strategy includes explicit and implicit steps.

The gender-responsive design includes the sampling and interviewing of both men and women (interviewed in separate groups where needed). All data collection methodologies (both KIIs and FGDs) will consider the privacy and confidentiality of respondents as well as include gender responsive questions. The evaluation team will include these gender-specific questions in interview guides with all relevant stakeholder groups in order to evaluate the potential differential impacts of PLUP implementation on males and females (and other identified minority or vulnerable groups). Gender-sensitive data - such as knowledge, traditional practices and norms (e.g. for land dispute resolution mechanisms, if any) - will be presented where applicable, along with data disaggregated by sex. The team will also ensure that interviews and focus groups are

conducted at times and places accessible to both men and women equally. Lastly, evaluation team members, comprised of a local data collection specialist and three expatriate members, are culturally and linguistically fluent in Bahasa Indonesia and will be able to capture nuances during interviews/discussions conducted in the national language.

Steps considered implicit include the framework with which the team will approach the assignment, and each district in turn. During document and data review and primary data collection, the evaluation team will use the below questions as a way to ensure various aspects of gender analysis are considered. Though these questions are not included in the questionnaires, they will influence how the team approaches and seeks to learn about each area and, in turn, the PLUP project within it:

- Do policies (and institutional practices) contain explicit or implicit gender bias in this area?
- How have cultural norms and beliefs influenced the way PLUP has been implemented?
- Is there evidence of an impact of division of labor in each area on program participation (and ultimate outcomes)?
- Who has access to and control over assets and resources in each community (particularly land)?
- How have patterns of power and decision-making (ability to decide, influence, and exercise control over resources) in each area affected participation in and ultimate outcomes of PLUP?

### **C. Limitations and Threats to Validity**

The evaluation design focuses on ex post identification of areas of significant change and exploring attribution and mechanisms of changes through qualitative data. Accordingly, the absence of a valid counterfactual against which to compare intervention effects limits the team's ability to determine attribution of observed effects to project inputs alone. Additionally, the recent and planned imposition of national and provincial administrative reforms presents a confounding factor that further complicates the team's ability to disentangle the independent effects of PLUP. The evaluation will, however, provide an opportunity to identify important changes and identify and assess potential mechanisms of change, which could inform future evaluations of similar projects.

By completing phase 1 of data collection near the end of implementation of PMAP 1, the evaluation will be limited in its ability to fully describe and explain pre-PLUP contexts and baselines for each outcome. Though the evaluation team will mitigate this threat using recall questions and pre-PLUP secondary data (when available) in phase 1 (particularly for outcomes 1 and 2), this timing will limit how clearly the evaluation can identify 'changes occurred' and correlation with the intervention in phase 1. Phase 2 will further mitigate this threat by introducing a second round of data that can be analyzed against phase 1 data to determine changes in outcomes (both short and long term). As detailed above, however, this timing was preferred when compared to a pre-implementation data collection effort because outcomes were not articulated and finalized at that stage. For most of the outcomes identified in this report, phase 1 serves as a baseline, so full description of the 'baseline' contexts is possible.

The results of this evaluation will be generalizable to the starter districts in which PMAP 1 was implemented. The results will be generalizable to the other PMAP districts with caution; this is

due to the sampling of districts for this evaluation (selected for reasons noted above and not at random), and to the fact that most of the PMAP contracts do not implement Task 1 (as mentioned earlier in section 2a.i.).

The first phase of the proposed PE relies heavily on the availability of a variety of government data, including records of land permits, business licenses, and border disputes. The team understands this data may be housed in different levels of government (i.e. national offices, provincial offices, etc.) and is likely to exist in paper form. Uncertainty surrounding the team's ability to access key documents poses a challenge to the proposed data extraction phase. The team will work closely with MCA-I and the project implementers to coordinate requests for data and the limitation of data collection to partner areas increases the likelihood of cooperation from government officials in accessing data.

The team acknowledges two inherent biases associated with the proposed qualitative data collection. One limitation is the possibility of recall bias among key informants. The team will take steps to reduce recall bias in the protocol design phase, including framing questions to aid accurate recall. Where possible, the team will corroborate interview findings with additional data sources, such as government records. The team also acknowledges the potential for bias due to the subjectivity of respondents and the possibility of collecting only socially desirable responses from interviewees. In order to address this potential bias, the SI team will purposively recruit a diverse sample of informants and triangulate responses with other data sources in addition to developing data collection protocols based on best practices that minimize response bias. Since the team will not be able to avoid all bias in the data, persistent biases will be accounted for in the analysis phase and noted, where applicable, in the discussion of results of the final report.

## **4. ADMINISTRATIVE**

### **A. Summary of IRB requirements and clearances**

In conjunction with MCC's commitment to respect and follow the Common Federal Policy for the Protection of Human Subjects where feasible, SI will pass the approved evaluation design through IRB review prior to data collection. SI has a fully functional Institutional Review Board (IRB), with established protocols for gathering informed consent, protecting anonymity and identifying information, and ensuring ethical data collection—including from children and other vulnerable populations. As standard practice, SI will collect any identifying information together, and immediately separate from additional data collected such that only a small number of approved researchers can link responses to their source. SI's evaluation team has similar established protocols for anonymizing datasets for presentations. SI's internal IRB is registered with the U.S. Department of Health & Human Service's Office for Human Research Protections. In addition, SI closely monitors and adheres to human subject research regulations in its countries of operation to ensure all evaluations are registered and fully compliant with local law.

### **B. Data Protection and Preparation of Data Files for Access, Privacy and Documentation**

The privacy of all participants who take part in the data collection will be respected throughout the evaluation. To maintain confidentiality and to protect the rights and privacy of those who participate in the PMAP 1 evaluation, data files will be free of identifiers that would permit

linkages to individual research participants, and will exclude variables that could lead to deductive disclosure of the identity of individual subjects. Further, the qualitative research methods will be designed to protect subjects and guarantee confidentiality in order to maintain the integrity of the data collection among these groups while minimizing non-response. Transcripts and identifying information will be stored in password-protected folders and will not be made publicly available.

Once data collection is complete for a given stage of the evaluation, SI will generate a final report and datasets. These materials will be shared with MCC and key stakeholders for review and comment before drafts are finalized. SI will present and share documents with MCC, MCA-I, and other stakeholders as outlined in the Dissemination Plan included below. Raw datasets provided will follow the MCC Data Documentation and Anonymization Requirements. Complementary Stata do files will also be provided to permit replication of SI's data analysis. Data will conform to the documentation requirements outlined in the contract. In line with MCC's emphasis on transparency, the findings and data will be shared with the broader donor and development community, contributing to the global knowledge pool and amplifying the utility of the evaluation.

### **C. Dissemination Plan**

With every evaluation that SI conducts, we develop and implement a communication plan for enhancing the utilization and visibility of the results through our EQUI™ approach, especially to evaluation beneficiaries and stakeholders. SI's communications plan for the PLUP evaluation will articulate an understanding of the specific context and target audience and how to reach them, research into past communications efforts and public opinion about the issues, the messages to be delivered, the mediums and messengers through which it is communicated, materials to be produced, and financial resources from which staff and equipment will be drawn. It is not only important that the evaluation answers the evaluation questions, but also that those findings translate into policy actions by MCC, MCA-I, and other stakeholders. SI proposes to establish a robust utilization plan to maximize use of the evaluation findings. SI's approach to evaluation draws on utilization-focused methodologies to help build capacity and to ensure that the information generated by the evaluation is genuinely useful to MCC. Following the finalization of baseline, midline, and endline reports, SI's senior technical staff will facilitate results dissemination and utilization workshops with key stakeholders at MCC's headquarters in Washington, DC, and potentially at MCA-I in Indonesia. The team will also propose a debrief meeting before fieldwork closes for each phase of data collection to better capture input from key stakeholders (MCA-I, MCC and the implementer) and to more closely involve stakeholders in the evaluation process.

### **D. Evaluation Team Roles and Responsibilities**

SI proposed a staffing structure of three qualitative international evaluators, in addition to a local field researcher (Research Assistant) tasked with assisting data collection. The team leader will supervise the evaluation team's work, with overall guidance and technical input from SI's home office staff. He is assisted by a program evaluation specialist and a GIS/land use specialist. All international specialists have extensive experience working in Indonesia with government, private sector, NGOs and local communities. The team's local field researcher joined the team prior to the launch of the fieldwork, though the three qualitative evaluators had already been identified and have developed this work plan.

## **E. Evaluation Timeline and Reporting Schedule**

As mentioned earlier, the evaluation team proposes two phases of data collection for this performance evaluation. The phase 1 will be conducted immediately following PMAP 1 implementation in starter districts and will primarily focus on implementation successes and challenges and use respondent recall and project documents to record a baseline for key outcomes. For phase 2, data collection will commence two years following PMAP 1 completion, and will focus on identifying changes in key outcomes. The data collection activities will commence with a thorough document review and initial interviews with MCA-I and Implementers, which will inform the development of a detailed evaluation work plan. As part of the work plan, the evaluation team will develop data collection tools and a sampling plan. During field work, the team work together in each of the four districts over a timeframe of approximately 3.5 weeks. The team will end in Jakarta to aggregate and analyze data, and to prepare for the presentation of initial findings to MCC/MCA-I and the implementer (if possible). The team will then develop a draft report for review. Upon incorporating feedback, the evaluation team is expected to submit a final Phase 1 evaluation report and corresponding data in December 2016.

SI will submit the following evaluation deliverables for phase 1:

- **Evaluation Design Report**
- **Performance Evaluation Work plan** following review and discussion with MCC
- **Qualitative Data Collection Protocols and Tools** following review and finalization of the evaluation work plan
- **Debrief Presentation to MCA-I and MCC** conducted in Jakarta (and Washington by the SI Project Manager) (expected 1-1.5 hours) after conclusion of fieldwork and prior to departure of the evaluation team from Indonesia
- **Data** anonymized and in note form for the qualitative data collected.
- **Draft and Final Phase 1 Evaluation Report** within four weeks of conclusion of field data collection and within one week of MCC feedback, respectively (expected approximately 25 pages plus annexes)
- **Presentation to MCC on Findings, Conclusions, and Lessons Learned** conducted after the submission and approval of the final evaluation report

Phase 2 will use the same evaluation design with refinements based on the findings of the Phase 1 evaluation report. The deliverables for phase 2 include:

- **Revised Evaluation Design Report** based on findings from the phase 1 evaluation report
- **Revised Performance Evaluation Work plan** following review and discussion with MCC
- **Qualitative Data Collection Protocols and Tools** (tweaked as necessary based on the experience of phase 1 and new circumstances on the ground)
- **Debrief Presentation to MCA-I and MCC** conducted simultaneously in Jakarta (and Washington by the SI Project Manager) (expected 1-1.5 hours) after conclusion of fieldwork and prior to departure of the evaluation team from Indonesia
- **Data** anonymized and in note form for the qualitative data collected
- **Draft and Final Phase 1 Evaluation Report** within two weeks of conclusion of field data collection and within one week of MCC feedback, respectively (expected approximately 25 pages plus annexes)

- **Presentation to MCC on Findings, Conclusions, and Lessons Learned** conducted after the submission and approval of the final evaluation report

An outline of the evaluation timeline and reporting is presented in Table 9.

**Table 9: PMAP 1 Evaluation Timeline and Reporting for Phase 1 and Phase 2**

<b>PMAP 1 PERFORMANCE EVALUATION TIMELINE – Phase 1, 2016</b>			
<b>Start Date</b>	<b>End Date</b>	<b>Task</b>	<b>Location</b>
22-Jul	19-Aug	EDR Update- includes draft submission to MCC, MCC review and Team revisions, finalize as necessary instruments and guides	Home office
26-Jul	25-Aug	Field mission prep-logistics, national researcher recruiting, etc.	Home office
26-Aug	1-Oct	Evaluation field mission	Indonesia
26-Aug	28-Aug	Mobilization to Indonesia	Travel
29-Aug	30-Aug	Team planning meeting and MCA-I Phase 1 introduction	Indonesia
29-Aug	24-Sep	Site data collection - <i>Jakarta (Aug 29-Sep 2)</i> - <i>Jambi (Sep 3-Sep 13)</i> - <i>Midpoint check-in (Sep 13)</i> - <i>Sulawesi (Sep 14-24)</i>	Indonesia
25-Sep	29-Sep	Data cleaning and analysis, final meetings with relevant stakeholders in Jakarta	Indonesia
30-Sep	30-Sep	Debrief with MCA-I	Indonesia
01-Oct	01-Oct	Demobilization	Indonesia
3-Oct	21-Oct	Draft Phase 1 evaluation report	Home office
22-Oct	28-Oct	Submit draft Phase 1 evaluation report to MCC	Home office
29-Oct	11-Nov	MCC/MCA-I review process	Home office
12-Nov	30-Nov	SI complete revisions to evaluation report	Home office
1-Dec	9-Dec	MCC/MCA-I final review process	Home office
16-Dec	16-Dec	SI presents and submits final Phase 1 evaluation report	Home office/ Washington

<b>PMAP 1 PERFORMANCE EVALUATION TIMELINE – Phase 2, 2018<sup>48</sup></b>			
<b>Start Date</b>	<b>End Date</b>	<b>Task</b>	<b>Location</b>
22-Jul	19-Aug	EDR refinement based on phase 1 evaluation results and discussion with MCC	Home office
26-Jul	25-Aug	Field mission prep-logistics, national researcher recruiting, etc.	Home office
26-Aug	1-Oct	Evaluation field mission	Indonesia
26-Aug	28-Aug	Mobilization to Indonesia	Travel
29-Aug	30-Aug	Team planning meeting and MCA-I Phase 1 introduction	Indonesia
29-Aug	24-Sep	Site data collection - <i>Jakarta (Aug 29-Sep 1)</i> - <i>Jambi (Sep 2-Sep 12)</i> - <i>Midpoint check-in (Sep 13)</i> - <i>Sulawesi (Sep 14-24)</i>	Indonesia
25-Sep	29-Sep	Data cleaning and analysis, final meetings with relevant stakeholders in Jakarta	Indonesia
29-Sep	29-Sep	Debrief with MCA-I	Indonesia
01-Oct	01-Oct	Demobilization	Indonesia
3-Oct	13-Oct	Draft Phase 2 evaluation report	Home office
14-Oct	14-Oct	Submit draft Phase 2 evaluation report to MCC	Home office
15-Oct	30-Oct	MCC/MCA-I review process	Home office
31-Oct	15-Nov	SI complete revisions to evaluation report	Home office
16-Nov	1-Dec	MCC/MCA-I final review process	Home office
9-Dec	9-Dec	SI presents and submits final Phase 2 evaluation report	Home office/ Washington

<sup>48</sup> Indicative timeframe.

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## **ANNEXES**

1. Evaluation Matrix
2. Evaluation Budget
3. EDR Comments Matrix

PMAP 1 Evaluation Design Matrix									
No.	Evaluation Question	Evaluation Sub-Questions (if applicable)	Proposed Outcomes (short and long term, if applicable)	Proposed Indicators	Data Source(s)/Data Collection	Timing	Sample Unit/Respondent	Qualitative Instruments (see "Qualitative Instruments" tab)	Data Analysis Method
1	How has PLUP progressed in the achievement of short-term outcomes, and how is it likely to progress in the achievement of long-term outcomes?	To what extent has PLUP affected perceptions of spatial certainty associated with boundaries, land use, access and control within villages?	Outcome 1 (short term)	<ul style="list-style-type: none"> <li>- Provincial, District, Village stakeholders (public and private sector; civil society) express greater transparency, efficiency, and fairness concerning spatial certainty associated with land tenure/boundaries. Discussions at these levels also express identifiable institutional reforms that substantiate such claims.</li> <li>- Villagers (and other stakeholders) indicate a higher degree of confidence in land accounting systems and the rules that apply to such systems. They believe there are improved opportunities to negotiate/access to land.</li> <li>- Villagers can point to key incidences of change in land uses, access and decision-making (control).</li> </ul>	<ul style="list-style-type: none"> <li>- Qualitative (KIIs, FGDs)</li> <li>- Document review (Discursive change regarding land use maps and land accounting systems; local news; conflict resolution mechanisms and instruments)</li> </ul>	Phase 1 and 2	Village level community members; PMAP 1 implementing partners; MCA-I staff; Government stakeholders (village, district, provincial, national)	<ol style="list-style-type: none"> <li>1. Village level community members (use instrument 11 if enough village community members are available for FGD)</li> <li>2. Village level officials</li> <li>3. District level officials (line agencies, OSS)</li> <li>4. Provincial level officials</li> <li>5. National level officials (ministries)</li> <li>6. MCA-I staff (PMAP 1 and M&amp;E teams)</li> <li>7. PMAP 1 implementing partners</li> </ol>	<ul style="list-style-type: none"> <li>- Qualitative data analysis (using pre-identified codes in Dedoose, if necessary)</li> <li>- Document analysis</li> </ul>
		To what extent has PLUP contributed to change in the number and/or nature of boundary disputes between villages and with license holders/applicants?	Outcome 2 (short term)	<ul style="list-style-type: none"> <li>- Number and typology of disputes; temporal change in disputes</li> <li>- Use of PLUP tools in Conflict resolution processes</li> <li>- Local decisions and regulations formalizing dispute settlement and appeals processes</li> <li>- Types and actions undertaken to formalize tenure</li> <li>- Institutions created or re-instated for dispute resolution</li> <li>- Number and type of boundary disputes addressed/ remaining</li> </ul>	<ul style="list-style-type: none"> <li>- Qualitative (KIIs, FGDs)</li> <li>- Document review (local regulations; village and license/permit maps; local news; project documents)</li> </ul>	Phase 1 and 2	Village level community members; PMAP 1 implementing partners; MCA-I staff; Government stakeholders (village, district, provincial, national); concessionaires/land claimants	<ol style="list-style-type: none"> <li>1. Village level community members (use instrument 11 if enough village community members are available for FGD)</li> <li>2. Village level officials</li> <li>3. District level officials (line agencies, OSS)</li> <li>4. Provincial level officials</li> <li>5. National level officials (ministries)</li> <li>6. MCA-I staff (PMAP 1 and M&amp;E teams)</li> <li>7. PMAP 1 implementing partners</li> <li>9. Concessionaires/Land Claimants (use instrument 12 if enough claimants are available for FGD)</li> </ol>	<ul style="list-style-type: none"> <li>- Qualitative data analysis (using pre-identified codes in Dedoose, if necessary)</li> <li>- Document analysis ('Ideal types' of representative disputes of failure and success; ratios of disputes and settlement; mapping results from boundary dispute settlement)</li> </ul>
		To what extent has PLUP led to increased confidence in land governance within partner institutions (e.g. Bappeda, and other agencies)?	Outcome 3 (short term)	<ul style="list-style-type: none"> <li>- License types/content and procedural change over time</li> <li>- number of staff/departments of PMAP 1 partner agencies using PMAP 1 maps and databases to produce spatial plans and fulfil roles in licensing/permitting</li> </ul>	<ul style="list-style-type: none"> <li>- Qualitative (KIIs, FGDs)</li> <li>- Document review (Spatial distribution of licenses and cases; project documents; dispute claims)</li> </ul>	Phase 1 and 2	Government stakeholders (village, district, provincial, national)	<ol style="list-style-type: none"> <li>2. Village level officials</li> <li>3. District level officials (line agencies, OSS)</li> <li>4. Provincial level officials</li> <li>5. National level officials (ministries)</li> </ol>	<ul style="list-style-type: none"> <li>- Qualitative data analysis (using pre-identified codes in Dedoose, if necessary)</li> <li>- Document analysis (review of licenses; institutional review)</li> </ul>
		To what extent have PLUP activities increased the capacity of PLUP institutional stakeholders to manage land and natural resources?	Outcome 4 (short term)	<ul style="list-style-type: none"> <li>- Type and number of investment permits/licenses processed using PMAP 1 maps/data</li> <li>- Verifiable changes in the spatial plan and implementation of such changes using PMAP 1 maps/data</li> <li>- Change in procedural timelines for land permitting and licensing</li> <li>- Incorporation of information systems</li> <li>- Availability of information on public consultation processes and responses to consultation</li> </ul>	<ul style="list-style-type: none"> <li>- Qualitative (KIIs, FGDs)</li> <li>- Document review (maps; licenses; project documents; regulations and procedures; spatial information systems)</li> </ul>	Phase 1 and 2	Village level community members; PMAP 1 implementing partners; MCA-I staff; Government stakeholders (village, district, provincial, national - specifically OSS); businesses (provincial Chamber of Commerce and Industry (KADIN), Indonesian Investment and Coordinating Board for domestic and foreign investment (BKPM/D/A) and selected members, NGOs)	<ol style="list-style-type: none"> <li>1. Village level community members (use instrument 11 if enough village community members are available for FGD)</li> <li>2. Village level officials</li> <li>3. District level officials (line agencies, OSS)</li> <li>4. Provincial level officials</li> <li>5. National level officials (ministries)</li> <li>6. MCA-I staff (PMAP 1 and M&amp;E teams)</li> <li>7. PMAP 1 implementing partners</li> <li>10. Businesses (use instrument 13 if enough business are available for FGD)</li> </ol>	<ul style="list-style-type: none"> <li>- Qualitative data analysis (using pre-identified codes in Dedoose, if necessary)</li> <li>- Document analysis (spatial plans and produced maps by the project implementation reports)</li> </ul>

PMAP 1 Evaluation Design Matrix									
No.	Evaluation Question	Evaluation Sub-Questions (if applicable)	Proposed Outcomes (short and long term, if applicable)	Proposed Indicators	Data Source(s)/Data Collection	Timing	Sample Unit/Respondent	Qualitative Instruments (see "Qualitative Instruments" tab)	Data Analysis Method
		To what extent has PLUP improved practice of and adherence to procedures in land use planning?	Outcome 5 (short term)	<ul style="list-style-type: none"> <li>- Official uses (and analytical incorporation) and understanding of PMAP 1 maps in spatial planning processes</li> <li>- Spatial planning changes reflect local land uses and management</li> <li>- Village boundary setting procedures are acknowledged and used by the Districts</li> <li>- The existence of and clearly articulated purpose of new/amended spatial planning and environmental management regulations/ documents</li> <li>- Agreements at the village level</li> <li>- Acknowledgement and incorporation of PMAP 1 spatial planning efforts (e.g. data and procedures) in national level databases and policies</li> </ul>	<ul style="list-style-type: none"> <li>- Qualitative (KIIs, FGDs)</li> <li>- Document review (maps in spatial planning documents; project documents; spatial plans; regulations; local news)</li> </ul>	Phase 1 and 2	Village level community members; PMAP 1 implementing partners; MCA-I staff; Government stakeholders (village, district, provincial, national)	<ol style="list-style-type: none"> <li>1. Village level community members (use instrument 11 if enough village community members are available for FGD)</li> <li>2. Village level officials</li> <li>3. District level officials (line agencies, OSS)</li> <li>4. Provincial level officials</li> <li>5. National level officials (ministries)</li> <li>6. MCA-I staff (PMAP 1 and M&amp;E teams)</li> <li>7. PMAP 1 implementing partners</li> </ol>	<ul style="list-style-type: none"> <li>- Qualitative data analysis (using pre-identified codes in Dedoose, if necessary)</li> <li>- Document analysis (analysis of spatial plan and produced maps by the Project Implementation reports; consolidation of available degraded lands maps and consideration on the extent of spatial planning incorporation of these maps based on interviews)</li> <li>- use of satellite imagery to identify land use change over time in a region</li> </ul>
		To what extent has PLUP affected the level of investment in land use activities consistent with the spatial plan?	Outcome 6 (short term)	<ul style="list-style-type: none"> <li>- Incidence of investment and change over time</li> <li>-Discussions that indicate the "appropriate" way of doing business with the spatial plan at the District level</li> <li>- Availability of spatial plans and incidence of adherence to such plans</li> <li>- number of license applications in preparation/processed (using improved PMAP 1 practices and procedures) in PMAP 1 pilot site locations .</li> </ul>	<ul style="list-style-type: none"> <li>- Qualitative (KIIs, FGDs)</li> <li>- Document review (Project documents, spatial planning regulations, license/permit and investments, databases)</li> </ul>	Phase 1 and 2	Village level community members; PMAP 1 implementing partners; MCA-I staff; Government stakeholders (village, district, provincial, national - specifically OSS); businesses (via KADIN, BKPM/D/A)	<ol style="list-style-type: none"> <li>1. Village level community members (use instrument 11 if enough village community members are available for FGD)</li> <li>2. Village level officials</li> <li>3. District level officials (line agencies, OSS)</li> <li>4. Provincial level officials</li> <li>5. National level officials (ministries)</li> <li>6. MCA-I staff (PMAP 1 and M&amp;E teams)</li> <li>7. PMAP 1 implementing partners</li> <li>10. Businesses (use instrument 13 if enough business are available for FGD)</li> </ol>	<ul style="list-style-type: none"> <li>- Qualitative data analysis (using pre-identified codes in Dedoose, if necessary)</li> <li>- Document analysis (planning document analysis)</li> </ul>
		How has PLUP impacted settlement boundary disputes thus far, and how have these agreements changed access to land use?	Outcome 7 (long term)	<ul style="list-style-type: none"> <li>-Changes in village mapping/database systems</li> <li>-Change in availability of data</li> <li>-Change in boundary agreements across villages and other claimants</li> <li>-Acknowledgement, uses, and awareness of spatial information management systems among key stakeholders involved in land use planning, management and permitting</li> </ul>	<ul style="list-style-type: none"> <li>- Qualitative (KIIs, FGDs)</li> <li>- Document review (Data information systems; dispute data referenced above)</li> </ul>	Phase 1 and 2	Village level community members; PMAP 1 implementing partners; MCA-I staff; Government stakeholders (village, district, provincial, national); concessionaires/land claimants	<ol style="list-style-type: none"> <li>1. Village level community members (use instrument 11 if enough village community members are available for FGD)</li> <li>2. Village level officials</li> <li>3. District level officials (line agencies, OSS)</li> <li>4. Provincial level officials</li> <li>5. National level officials (ministries)</li> <li>6. MCA-I staff (PMAP 1 and M&amp;E teams)</li> <li>7. PMAP 1 implementing partners</li> <li>9. Concessionaires/Land Claimants (use instrument 12 if enough claimants are available for FGD)</li> </ol>	<ul style="list-style-type: none"> <li>- Qualitative data analysis (using pre-identified codes in Dedoose, if necessary)</li> <li>- Document analysis (analysis of spatial database)</li> </ul>
		How has PLUP land use data (e.g. designation maps, databases) been shared, used and accepted as a credible baseline by the different levels of government (village, sub-district, district/provincial and national) and between these levels of government and the community thus far?	Outcome 8 (long term)	<ul style="list-style-type: none"> <li>- The extent to which boundary settlements are being acknowledged and implemented</li> <li>- The extent to which commitments are realized and upheld at site locations</li> <li>- The number of PMAP 1 maps and databases used by partner agencies for land use planning and license and permitting due diligence</li> <li>- The extent of community access (including marginalized groups) to and use of PMAP 1 mapping data</li> </ul>	<ul style="list-style-type: none"> <li>- Qualitative (KIIs, FGDs)</li> <li>- Document review (boundary agreement documents; boundary settlement documents; maps of land use changes)</li> </ul>	Phase 1 and 2	Village level community members; PMAP 1 implementing partners; MCA-I staff; Government stakeholders (village, district, provincial, national including BIG)	<ol style="list-style-type: none"> <li>1. Village level community members (use instrument 11 if enough village community members are available for FGD)</li> <li>2. Village level officials</li> <li>3. District level officials (line agencies, OSS)</li> <li>4. Provincial level officials</li> <li>5. National level officials (ministries including BIG)</li> <li>6. MCA-I staff (PMAP 1 and M&amp;E teams)</li> <li>7. PMAP 1 implementing partners</li> </ol>	<ul style="list-style-type: none"> <li>- Qualitative data analysis (using pre-identified codes in Dedoose, if necessary)</li> <li>- Document analysis (juxtaposition of maps, land use designations, and field site realities - if observation is possible)</li> </ul>

PMAP 1 Evaluation Design Matrix									
No.	Evaluation Question	Evaluation Sub-Questions (if applicable)	Proposed Outcomes (short and long term, if applicable)	Proposed Indicators	Data Source(s)/Data Collection	Timing	Sample Unit/Respondent	Qualitative Instruments (see "Qualitative Instruments" tab)	Data Analysis Method
		How has PLUP changed the permitting/license process among government, private sector, and local communities thus far?	Outcome 9 (long term)	- Number of permits/licences and processing time through the PMAP 1 IMS - incidence(s) of private sector utilization of PMAP 1 maps/spatial data for project planning and license applications/permits - incidence(s) of usage of PMAP 1 maps/spatial data for village administration, community development funding, and community development proposals	- Qualitative (KIIs, FGDs) - Document review (Permits/ Licenses)	Phase 1 and 2	Village level community members; PMAP 1 implementing partners; MCA-I staff; Government stakeholders (village, district, provincial, national); businesses (via KADIN, BPKMD/A); NGOs/CSOs	1. Village level community members (use instrument 11 if enough village community members are available for FGD) 2. Village level officials 3. District level officials (line agencies, OSS) 4. Provincial level officials 5. National level officials (ministries) 6. MCA-I staff (PMAP 1 and M&E teams) 7. PMAP 1 implementing partners 8. NGOs/CSOs and research institutions working in land use planning and renewable energy projects 10. Businesses (use instrument 13 if enough business are available for FGD)	- Qualitative data analysis (using pre-identified codes in Dedoose, if necessary) - Document analysis (Change data and analysis of process-level changes)
2	Were achievements toward identified PLUP outcomes varied by geography, community type, or gender and vulnerable/marginalized groups?	Describe project level implementation and engagement at each level (national, provincial/district, sub-district, and village) with women/men, community groups, and vulnerable/marginalized groups.	Outcomes 1 - 9	NA	- Qualitative (KIIs) - Document review (Project M&E data)	Phase 1 and 2	PMAP 1 implementing partners; MCA-I staff	6. MCA-I staff (PMAP 1 and M&E teams) 7. PMAP 1 implementing partners	- Qualitative data analysis (using pre-identified codes in Dedoose, if necessary) - Document analysis (project M&E data analysis for disaggregation by type of stakeholder)
		Have the identified engagement of these groups (as noted above) influenced the identified results in the area? In what ways?	Outcomes 1 - 9	NA	- Qualitative (KIIs) - Document review (Project M&E data)	Phase 1 and 2	PMAP 1 implementing partners; MCA-I staff	6. MCA-I staff (PMAP 1 and M&E teams) 7. PMAP 1 implementing partners	- Qualitative data analysis (using pre-identified codes in Dedoose, if necessary) - Document analysis (project M&E data analysis for disaggregation by type of stakeholder)
3	What were the main challenges in managing PLUP?	What were the key barriers to implementation of Tasks 1 through 4?	NA	NA	- Qualitative (KIIs) - Document review (Project M&E data)	Phase 1	PMAP 1 implementing partners; MCA-I staff	6. MCA-I staff (PMAP 1 and M&E teams) 7. PMAP 1 implementing partners	- Qualitative data analysis (using pre-identified codes in Dedoose, if necessary) - Document analysis
		To what extent did the implementer effectively resolve these issues, how were barriers resolved, and what are means for mitigating implementation challenges in the future/future roll-out areas?	NA	NA	- Qualitative (KIIs) - Document review (Project M&E data)	Phase 1	PMAP 1 implementing partners; MCA-I staff	6. MCA-I staff (PMAP 1 and M&E teams) 7. PMAP 1 implementing partners	- Qualitative data analysis (using pre-identified codes in Dedoose, if necessary) - Document analysis
		If the PLUP design changed during the last year, what were main reasons for the change during implementation process? Did the change result in more or less progress toward targeted outputs and outcomes?	NA	NA	- Qualitative (KIIs) - Document review (Project M&E data)	Phase 1	PMAP 1 implementing partners; MCA-I staff	6. MCA-I staff (PMAP 1 and M&E teams) 7. PMAP 1 implementing partners	- Qualitative data analysis (using pre-identified codes in Dedoose, if necessary) - Document analysis

PMAP 1 Evaluation Design Matrix									
No.	Evaluation Question	Evaluation Sub-Questions (if applicable)	Proposed Outcomes (short and long term, if applicable)	Proposed Indicators	Data Source(s)/Data Collection	Timing	Sample Unit/Respondent	Qualitative Instruments (see "Qualitative Instruments" tab)	Data Analysis Method
4	What were unintended results (positive or negative) achieved on PLUP?	NA	NA	NA	- Qualitative (KIIs) - Document review (Project M&E data)	Phase 1 and 2	Village level community members; land claimants; businesses (via KADIN); CSOs/NGOs; PMAP 1 implementing partners; MCA-I staff	1. Village level community members 6. MCA-I staff (PMAP 1 and M&E teams) 7. PMAP 1 implementing partners 8. NGOs/CSOs and research institutions working in land use planning and renewable energy projects 9. Concessionaires/Land Claimants	- Qualitative data analysis (using pre-identified codes in Dedoose, if necessary) - Document analysis
5	Through what, if any, pathways is increased spatial certainty likely to increase household incomes? What evidence does the evaluation find for this?	NA	Increased income of households and businesses (though this PE will not measure this)	NA	- Qualitative (KIIs) - Document review (background documents)	Phase 1 and 2	Village level community members; PMAP 1 implementing partners; MCA-I staff; CSOs/NGOs	1. Village level community members (use instrument 11 if enough village community members are available for FGD) 6. MCA-I staff (PMAP 1 and M&E teams) 7. PMAP 1 implementing partners 8. NGOs/CSOs and research institutions working in land use planning and renewable energy projects	- Qualitative data analysis (using pre-identified codes in Dedoose, if necessary) - Document analysis

## Annex 3: Comments on PLUP Evaluation Design Report (EDR) from MCC/MCA-I Stakeholders

### Contents

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The first draft version of the EDR was submitted to MCC on July 26, 2016. Comments 1 – 6 in Table 1 were made on this version of the EDR. Comments in Table 2 and 3 were also made on this version of the EDR. Comment 7 in Table 1 was made on the second version of the EDR submitted on August 23 and October 7, 2016. This Annex was submitted with the final EDR on November 18, 2016 (as annex 3) and with the final Performance Evaluation Report.

**Table 1: Comments received via email (outside the EDR draft)**

No	Commenter	Comments	SI Responses	Changes made to the EDR
1.	MCA-I Social and Gender (see in text comments in Table 2)	Please find attached SGA inputs in comments box (mainly suggestions to sharpen the evaluation approach and questions from gender and social inclusion perspective). We also have a general comments regarding the interchangeable usage of the word: marginalized, disadvantage and vulnerable groups. With regards to this, any reference in PLUP key documents/guidelines that has been developed previously could be used to ensure consistency. In absence of definition to guide the evaluation, I am also sending the GP SGIP where definition of vulnerable groups can be used as reference.	1. Thank you for this clarification. We have reviewed the SGIP plan and appreciate the distinctions of this terminology made in the document. 2. Thank you for this recommendation, and we agree that using 'gender responsive' is inclusive of the	1. Changes have been made throughout the document replacing the reference of disadvantaged to marginalized/ vulnerable groups (see page v and the Gender Strategy

No	Commenter	Comments	SI Responses	Changes made to the EDR
		<ol style="list-style-type: none"> <li>1. General comments regarding the interchangeable usage of the word: marginalized, disadvantage and vulnerable groups. With regards to this, any reference in PLUP key documents/guidelines that has been developed previously could be used to ensure consistency e.g. GP SGIP Plan.</li> <li>2. Suggestion: using gender responsive as an inclusive term for data collection that covers both sex-disaggregated and gender sensitive data/indicators.</li> <li>3. Table 5: PLUP Evaluation Question (page 25) <ol style="list-style-type: none"> <li>a. Question 1 - One of the long-term achievements that can be explored with regards to transparency is the “governance” of the maps produces/maps of land utilization/spatial information. Hence the evaluation sub-questions could be expanded to: <ul style="list-style-type: none"> <li>• To what extent have PLUP activities improved feedback mechanism between community and government (perhaps this is also relevant for outcome 8) in land permitting and licensing?</li> <li>• To what extent has PLUP improved community (to include women and vulnerable groups such as indigenous population) access to land use and spatial information?</li> </ul> </li> <li>b. Question 2 - The sub question could be strengthened by adding: <ul style="list-style-type: none"> <li>• How have PLUP activities in this location informed by women and vulnerable/marginalized population, or</li> <li>• To what extent information gathered from women and vulnerable population is being used by PLUP to achieve its outcomes?</li> <li>• Have there been any discernable/observable results in terms of increased land use by women and vulnerable groups in PLUP location?</li> </ul> </li> </ol> </li> <li>4. Table 6: Approach to Measuring PLUP Outcomes</li> </ol>	<p>details we included in the draft report.</p> <p>3. This is an important point, and good recommendation. This comment, to a certain extent, has been addressed in the EDR (specifically in outcome questions 4 and 8). We will ensure that these distinctions are articulated in the questions that will be used in the instruments (as those questions will be more detailed than the overall outcome questions noted in the EDR). We invite the reviewers to be involved very closely to review the instruments to ensure that these aspects have been addressed.</p> <p>4. We fully agree about including adat and gender distinctions as suggested. We are in the process of incorporating the suggested sub-questions in our instruments. Please also note that for all outcomes, the ET will be looking to disaggregate information by gender and marginalized group, as deemed necessary, particularly if those</p>	<p>section, in particular).</p> <p>2. The changes noted in point 1 above also relate to point 2.</p> <p>3. Both 3a and b have been addressed in the EDR and the instruments being developed. See pages 26, 28 and 29 (and specifically outcome questions 4 and 8).</p> <p>4. We have made the necessary changes and updated the language to reflect these aspects on page 28 and 29.</p>

No	Commenter	Comments	SI Responses	Changes made to the EDR
		<ul style="list-style-type: none"> <li>a. Outcome Number 2 - It is also relevant to take into consideration an exploration of “alternative” dispute mechanism that has been conducted by masyarakat adat (native community) and women’s group on land use and boundary dispute, hence in strengthening this approach, FGD/qualitative methods should seek for this information also.</li> <li>b. Outcome Number 3 - To be added here: community groups (besides national, provincial, and district), to expand not only governance of land administration but any feedback mechanism from community/increased access to spatial information for community groups, including women and vulnerable groups that will enhance participatory land use and decrease conflict</li> <li>c. Outcome Number 8 - Including communities in the villages besides line agencies and organizations. The evaluation should also seek for opportunities to enhance better access for community to spatial data.</li> <li>d. Outcome Number 9 – the safeguard includes access of vulnerable groups to permit and license. A good approach if it can be done in parallel with transparency issues.</li> </ul>	<p>stakeholders hold different perspectives on the achievement of outcomes.</p>	
2.	MCA-I M&E (1)	<p>1. The performance evaluation design has not clearly mentioned about the evaluation of consultant performance in managing the linkage between task 1, 2, 3 and 4. In my opinion this part of evaluation needs to be conducted to support the explanation why the project can achieve or not achieve the outcomes both short-term and long-term outcome. This should also been reflected in the evaluation questions, timelines, and method/approach to obtain the data/information.</p>	<p>1. While the evaluation focus is not directly on evaluating contractor performance, a component of the evaluation is to assess implementation, including challenges, successes and lessons learned. We have made this more explicit in the EDR and</p>	<p>1. See changes made to Evaluation Question 3 sub-questions. 2. No revision made. 3. No revision made.</p>

No	Commenter	Comments	SI Responses	Changes made to the EDR
		<p>2. The evaluation question needs to be framed according to audience to be interviewed, so that it fits with the audience to be interview. Currently, the evaluation questions are still general. Or, perhaps, the evaluation questions will be developed further in more detail and will be tailored based on the targeted audience?</p> <p>3. As I mentioned to you, the involvement of Bappenas in EDR development is quite critical as they are our main counterpart. I did not see that Bappenas has been involved properly in this process and I am bit worried that if they are not properly included there will be “sensitivity” to the result of the evaluation and low ownership to the results.</p>	<p>instruments, particularly under Evaluation Question 3.</p> <p>2. The Evaluation Questions in the Design Report are the overall guiding questions of the evaluation. Specific interview questions are currently being developed into specific FGD and KII instruments.</p> <p>3. BAPPENAS has been included in the list of key terms at the beginning of the document. It is also prominently featured in Table 1 as the second stakeholder after MCA-I. We would like to plan meetings with BAPPENAS during our arrival in Jakarta (during the first week of data collection). We will describe in detail our intentions and the objectives of this evaluation, and kindly request MCA-I participation in this meeting.</p>	
3.	MCA-I M&E (2)	<p>1. It is critical for the evaluator to understand the regulatory framework of all PLUP components, and structure of the relevant institutions at the national and sub-national level, who has the mandate for particular issues. This should be included in the list of document review and secondary data. It is noted that some reports/assessment done by Abt will contain above information but the evaluator should make sure that it is well understood.</p>	<p>1. We appreciate the complexity of this project and the numerous stakeholders involved. As a team we feel we have a comprehensive understanding of the spatial planning process in Indonesia. That said, there are always</p>	<p>1. No revisions made (though please see instruments). We would be interested to hold further discussions about specificity of site,</p>

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		<p>2. Point no 1 will help a lot in determining the most appropriate respondent for each questions is. For example, to correctly gauge extent to which PLUP affect the level of external investment, it is not enough to only list KADIN as the respondent. There is Badan Penanaman Modal dan Perijinan Terpadu at the District level, APEKSI, etc – that can provide more insightful information in this regard.</p> <p>3. Point no 1 will also help a lot in understanding the different mandate of Bupati/Walikota/Gubernur as far as the licensing and permits in concern, to make sure that the questions posed during the KII is relevant to the context in the ground.</p> <p>4. For the evaluator to stock take local best practices that may be useful as reference, i.e. practice in several district to conduct audit of their spatial plan, one stop licensing office, thematic map issued by relevant institutions (i.e. peatland moratorium indicative map), index of forest governance, etc. Attribution by PLUP from one district to another will be highly influence by the existence of certain local practices.</p> <p>5. While it is note that the evaluation is on the outcome of PLUP, it is strongly suggested to also probe the quality of output delivered in each relevant outcome – as the learning process to improve the next PMaP contracts.</p> <p>a. For example, on the question to probe how PLUP changed the permitting/license process, rather than directly try to identify the temporal changes – it is also useful for the learning process to discuss about the process; i.e. what is the reference used by the team to propose such changes, is there any gap analysis? Who is consulted? Was the changes made is documented and formally approved with sufficient legal basis to make sure it is permanent changes?</p>	<p>place-specific and governance aspects that are always in flux and evolving, and accordingly, we plan to continue to review relevant documents and data as part of the evaluation.</p> <p>2. Further to point #1, we have listed KADIN in the EDR as you correctly identify. We have also included BPPT at four different locations in the report. We are aware of this institutional function, and we are looking forward to learning about how these work at each of the project locations.</p> <p>3. This is a great point, and please see our response #1 above. We are very interested to learn site-specific regulations and actors.</p> <p>4. We appreciate the comment about specificity. We will certainly be looking at the spatial planning process overall and we will look into the audit function as well, if this is appropriate to the project. We are eager to learn about the transparency of such a process. We will of</p>	<p>practice, political actors and regulations.</p> <p>2. No revisions made (though please see instruments).</p> <p>3. No revisions made (though please see instruments).</p> <p>4. No revisions made.</p> <p>5. No revisions made (though please see instruments).</p> <p>6. See revisions made to Sub-Question 4, 8 and Evaluation Question 2.</p> <p>7. No revisions made (though please see instruments).</p> <p>8. No revisions made (though please see instruments).</p> <p>9. No revisions made (though please see instruments).</p>

No	Commenter	Comments	SI Responses	Changes made to the EDR
		<ul style="list-style-type: none"> <li>b. On the question on how has PLUP land use data been shared and used: to discuss whether the data is completed and consistent with the need of the relevant stakeholders – before trying to probe the acceptance of users as credible baseline</li> <li>c. On the question on what extent has PLUP affected the external investment: to discuss whether the data and IMS system are designed and presented in a way that is useful and meaningful for the investor (not only meaningful for the data owner) and in compliance with the relevant regulations, among others PP 15/2010</li> </ul> <p>6. Geo-referencing and participatory processes are the added value introduced by PLUP, therefore it is worth doing to pay more effort in evaluating the quality of this participatory approach.</p> <ul style="list-style-type: none"> <li>a. Whether the stakeholder mapping done in the early stage has include all relevant stakeholders – in theory and practice. Result of evaluator’s assessment in point 1 above can be used to validate this mapping.</li> <li>b. How the implementer engage the stakeholders – whether it resulted in the sufficient level of buy in – which may translate later on in the declining number of conflict. Whether the stakeholder engaged can really voice their specific concern – for example the indigenous people about the recognition of customary land rights.</li> <li>c. VPT as the innovative vehicle introduce by the PLUP team, whether this forum represent all interest, what is the legal basis to establish the forum and can this forum sustained after project is closed.</li> </ul>	<p>course be looking to meet with BPPT and will ensure that we crosscheck with BIG on the moratorium map. If you think it is useful to meet with BRG for this assessment as it is related to peatlands, we would be eager to follow up on this. We also appreciate the fact that PLUP does not exist in a vacuum and the political economy conditions constitute much of the landscape.</p> <p>5. We are focused on outcomes, however we also provide details from respondents about the implementation aspects that may or may not have influenced the achievement of outcomes (in our outcome sub-questions and in Evaluation Question 3).</p> <p>5a. We believe that sub-evaluation question 9 does not merely explore temporal issues. The emphasis is on process and how PMAP 1 was able to influence such a process. We will include the suggested questions in our instruments.</p>	

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		<p>7. Several issues are identified as highlight of lessons learned that will be useful to strengthen the next PMAP contract:</p> <ul style="list-style-type: none"> <li>a. During the “Methodology Validation Phase” what is the most frequent issues raised and is there any suggested improvement in the process to avoid similar issues in the future</li> <li>b. Same question for “public exposition” phase</li> <li>c. The implementer is requested to collect critical natural resources data: how to make sure that the critical data covers interest of all stakeholders and aligned with the local priority?</li> <li>d. The RFP page 146 mentioned “safeguard mechanism of license and permits”; this issues may worth to be highlighted and discussed in the report, what mechanism used, how is the result and acceptance of users, etc.</li> </ul> <p>8. On the limitation and threat of validity: to take into account the possibility that PLUP support may not covers all villages in one district.</p> <p>9. On the purpose of this evaluation to take immediate lessons learned: whether it is possible to probe sustainability issues, whether changes made has been formally adopted with sufficient legal documents, whether the enhanced district spatial plan can still functioning after the project is closed.</p>	<p>5b. This is a great point. We will look at consistency and availability of data before trying to assess whether users accept the data as a credible baseline.</p> <p>5c. Thank you for alerting us about PP15/2010. We have now read this law and appreciate the clarifications being made in terms of spatial planning. We would be interested how this regulation in particular is being applied at each location. We will certainly be looking into how decisions are being made at each location.</p> <p>6. These participatory aspects all fit into the existing EQ sub questions. The participatory aspects are important to achieving the listed outcomes and we feel these aspects of participatory mapping and geo-referencing will be accounted for in the existing questions and design. We will ensure that the operational questions in our instruments looks at these areas of “added value.” Points 6a, 6b, and 6c provide us with excellent additional suggestions about</p>	

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			<p>stakeholders, inclusivity, and buy-in.</p> <p>7. We hope that conducting this evaluation will help strengthen subsequent efforts. For 7a, 7b we are interested to know more about the methodology validation phase and the public exposition phase, and these questions will be included in the instruments as relates to Evaluation Question 3. For 7c, this is an excellent question and we will keep this in mind. This is a dilemma indeed about the involvement of all relevant stakeholders. We do not believe however, that this question is easily answered. 7d. We will keep this in mind as we develop the instruments.</p> <p>8. We don't assume that PLUP has affected all villages. This would only be a threat to validity if we were seeking to draw conclusions about all villages in a sub-district or district (which we are not). At the district level, we will look at systems-level changes and the extent to</p>	

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			<p>which PMAP 1 has influenced these.</p> <p>9. Long term sustainability is a major objective and we will be looking out for aspects of exit strategy and continued practices by local stakeholders as we ask questions about the outcomes. Accordingly, we will integrate questions about sustainability in our interviews, yet unless MCC disagrees, this will not be elevated to a standalone evaluation question.</p>	
4.	MCC Land	<p>Here are my brief comments to the Performance Evaluation design doc for PLUP. Hopefully they are still useful as I am slightly past your deadline.</p> <p>As a result of the recent IMC/CEO decision, the PLUP is now a US\$43 million activity. The report should be modified to show the new figure so as to be correct and consistent with other PLUP-based documents.</p> <p>This version of the design document is much more thorough and largely captures the multiple discussions we have had with M&amp;E and Social Impact over the past years.</p> <p>In regard to the Outcome 'subquestions', a few points to make to Social Impact:</p> <ol style="list-style-type: none"> <li>1. the focus on individual land tenure security as mentioned in 'Outcome 1' should be minimized as</li> </ol>	<p>We have changed 25 million in the document to read \$43 million. Thank you for the update.</p> <ol style="list-style-type: none"> <li>1. We feel the modified language captures this comment. The language now reads that the outcome looks at <i>perceptions of spatial certainty</i> (through the concerted efforts that PLUP has conducted on boundary negotiations), and land uses.</li> <li>2. Outcome 1 now uses a slightly different terminology, namely that there is greater certainty of land uses.</li> </ol>	See page iv, 17, 18, 26, and 29 for revisions related to these comments.

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		<p>neither direct increases in individual tenure security (e.g., land titles) nor perceived increases in security of tenure are objectives of the PLUP activity;</p> <ol style="list-style-type: none"> <li>2. Although it is mentioned in the text of the document, I do not see any reference in the questions to the concept of 'land use security' which we all felt was a better indicator of an outcome of PLUP;</li> <li>3. under the subquestion for Outcome 3 regarding land governance institutions, there should not be a heavy focus on BPN as they are not a main party to the PLUP activity;</li> <li>4. in the subquestion for Outcome 8, the focus on sharing and using geospatial data at the village and subdistricts is very important and should receive significant attention from the evaluators.</li> </ol> <p>Three general points about PLUP implementation in the four starter districts, especially in terms of Village Boundary Setting/Resource Mapping (VBS/RM).</p> <ol style="list-style-type: none"> <li>1. The evaluators should be aware that the initial roll-out of VBS/RM by the PMAPI contractor did not strictly adhere to the intended MCA-I VBS/RM methodology. This issue was identified and rectified in the early part of 2016, however, this reality had some significant affects on the process in the first two districts and will most likely have some impact on the expected results/outcomes. The evaluators should not only take this into consideration, but it would be</li> </ol>	<ol style="list-style-type: none"> <li>3. The reference to BPN has been removed.</li> <li>4. We are aware of the importance of the subquestions in Outcome 8. We invite the reviewers to comment on our instruments (operational questions) which will inform these matters further. In this phase, we do not expect to be able to document change in this outcome, though phase 2 will investigate change in this area.</li> </ol> <p><i>Restart question numbering on VBS/RM (Task 1) comments.</i></p> <ol style="list-style-type: none"> <li>1. Thank you for this contextual information on the deviation of the TOR. We will certainly document and follow the recommendation to these deviations from the TOR and assess it within the context in which it occurred. We have included space to explore this in Evaluation Question #3 (and its associated sub-questions).</li> <li>2. We will make sure to take into account aspects of the</li> </ol>	

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		<p>extremely useful if they could incorporate the lessons learned from this unexpected deviation from the TOR, into their evaluation.</p> <p>2. The PMapI also gave very little importance to the Resource Mapping (RM) aspect of the VBS/RM. This portion of the methodology was seen as a unique innovation to address the significant issue of villagers and village leaders not having reliable information on critical cultural and natural resources areas within their territory and therefore having minimum ability to protect and/or use these resources in a sustainable manner. Given the contractors lack of focus on RM, there may not be much for the evaluators to glean from the application of RM in the four starter districts, but we feel this is an important part of the work and the evaluators should look to incorporate the opinions of villagers and village leaders as to the ability to now know what they have and where it is located. It would will be useful for the evaluators to help identify what did not take place and therefore went missing from the expected results/outcome as that it can be point of re-focus in subsequent PMaps.</p> <p>3. The establishment and use of the Village Participation Teams (VPT) is another innovation of the MCA-I VBS/RM methodology and is intended to provide the local knowledge/involvement that has been sorely missing in the largely centralized efforts of the past. Again, the initial implementation of the methodology did not 'follow the script' on establishing, engaging and using the VPTs. But, the evaluators should do their best to identify the benefits of having the VPTs established and directly engaged. In general, It will be important that the</p>	<p>RM in the VBS/RM process. We have included space to explore this in Evaluation Question #3 (and its associated sub-questions).</p> <p>3. Noted, and similar to #1 and #2 above, we will make sure to take these changes into account, in context. We will also see this with an eye to suggesting improvements to future PMap/PLUP implementation.</p>	

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		<p>evaluators understand that intent and reality in the case of the first two districts was different, and take this into consideration in the performance evaluation.</p>		
5.	MCC Environmental and Social Performance (ESP)	<p>Thank you for the opportunity to review and comment on the evaluation design. The paper is a much improved version from what Social Impact has prepared in the past and reflects the incorporation of more knowledgeable Indonesia-based members to the SI team. The focus on the PMAP 1 districts, as SI recognizes, offers a unique opportunity to evaluate PLUP as it was originally designed. With that in mind, I have the following inputs:</p> <p>SI in its literature review attempts to capture the tenurial complexities in Indonesia by highlighting the historic ambiguity between customary (adat) and formal land laws. It fails to directly touch on the local nuances that the evaluators are likely to find across the two provinces and each of the four districts that PMAP1 covers. These nuances correspond as much to ethnic and cultural heritage as to prevalence of different crops, topography, access to land, credit and other production factors, and the dynamic demand for territory from the state, local communities, migrants, and state-sanctioned concessions.</p> <p>When SI applies its questionnaire and evaluates results, responses about tenure and local stakeholder perceptions about tenure, land rights and spatial certainty will be colored by the context in each landscape. Adequate analysis will require attention to very localized conditions and also calls for a deeper dive into the literature. For example, traditional land tenure institutions in Jangkat in Merangin District in Jambi, Sumatra, have evolved to achieve farm management efficiency comparable to private ownership in both lowland</p>	<p>Paragraph 1: Thank you for acknowledging the improved draft and the Indonesia-specific contextualization of the presented information</p> <p>Paragraph 2: This is an excellent point. We have inserted this language directly into the draft on page 22.</p> <p>Paragraph 3: Thank you for your comments on the differentiation of land relations across project sites. The project team appreciates the complexity of the historical political economy of a region as complex as those that take place within the Indonesia-specific</p>	

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		<p>paddy and upland cinnamon production. See <a href="#">IFPRI Policy Brief</a>. In Muaro Jambi, a lowland landscape dominated by peat and plantations, <a href="#">Galudra et al 2014</a> describe how relational concepts of land rights between migrants and local community leaders are informed by social identity, expectations of investment opportunities, insecure customary forest tenure and competing land use policies.</p> <p>SI researchers should make full use of World Agroforestry Centre (ICRAF) studies on land issues across Indonesia while Hassanudin University in Makassar may prove a good source of studies on Sulawesi. In addition to ICRAF, the Society for Community-based Legal Reform and Ecology (Perkumpulan untuk Pembaharuan Hukum Berbasis Masyarakat dan Ekologis/HuMa), Samdhana Institute and SAINS (Sayogyo Institute) should be consulted for guidance and identification of relevant local stakeholders.</p> <p>In West Sulawesi (SulBar) the struggle between stakeholders over land use and land rights is complicated by a greater social heterogeneity in terms of ethnic and religious affiliation, frontier conditions in some areas, and the confusion between multiple sectors (agriculture, forestry, mining) and its different sets of regulations. The situation in South Sulawesi is further aggravated by the fact that it is a relatively new province with a still incipient administrative capacity, having officially split from South Sulawesi in October 2004 following enactment of Law No 32 of 2004 on regional “expansion” (Pemekaran) which led to the establishment of new administrative regions at provincial, district and village levels. (as an aside, the evaluation consultants will find a marked difference in capacity between Jambi and SulBar which will no doubt be reflected in some of the findings. On the other hand, the roll out of PMaP 1 started in Jambi first and many of the mistakes</p>	<p>regulatory framework. That said, we hope to make the best use of local key informants, and have already begun collecting as much data as we can about these sites. These two sources are much appreciated.</p> <p>Paragraph 4: Evaluation team members have worked with ICRAF since 2007 and have contacts at HUMA and Samdhana. We will consult with these organizations prior to traveling to the field sites.</p> <p>Paragraph 5: This is very important context on the history of project involvement in SulBar and Jambi. We appreciate the differences between culture, population density, type of investments, and political context between the different sites. These will most certainly be reflected in our reporting, as noted.</p> <p>Paragraph 6: Pemekaran is a complex and ongoing process. These aspects at the village</p>	

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		<p>and kinks observed there were resolved by the contractor in its SulBar implementation.)</p> <p>Village leaders have much power to determine land allocation, and their role is crucial to the dynamic process of tenure arrangements. What you had in the frenzy of Indonesia decentralization was an all-competition for securing local power by a proliferation of administrative jurisdictions. Much of what PLUP originally set out to address are the bad effects of Pemekaran, namely, villages that have split into new villages without bothering to properly delineate and demarcate their boundaries. The increase in the number of villages by itself created conflicts.</p> <p>As the Pemekaran process was to a large extent mediated by political interests, rather than by a strict demographic logic, the number of splits varies from province to province and this might be an artifice that the evaluators should take into account. For example, In West Kalimantan province the number of villages jumped from 1,500 in the year 2000 to 1,992 by 2013, notwithstanding a considerable drop in the population growth rate between those years. The promise to local voters of riches and revenues by local chieftains has definitely been a factor. (Note: When evaluating “conflict,” it would be good for SI to have a clear working definition of what they mean as it is a catch all word for disagreement over village borders, disputes about legal authority over productive resources, and grievances of the dispossessed.)</p> <p>The most basic opportunity to secure “spatial certainty” in the PLUP/PMaP design rests in a bottom-up engagement from the village to the district through the formation of Village Participation Teams (VPT). SI mentions the VPTs in passing, but does not seem to have grasped their importance and</p>	<p>level are not well understood, particularly in the context of the most recent legal iterations and its guidelines (UU6/2014, and subsequent panduan regulations / ministerial instructions). A lot has been written on pemekaran at the district and even some at the province levels. How villages get consolidated and managed is an important phenomenon to better understand. Evaluation team members have direct experience conducting research at the village level in South Sulawesi in the past year and have observed the growing role and budgets of village heads.</p> <p>Paragraph 7: West Kalimantan is a special case, especially when we look at all the palm oil work that has taken place there. Some assessments of West Kalimantan show that there are more concessions handed out in that province than there is land available in total. We presume that this probably shows greater similarity to</p>	

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		<p>responsibilities. SI should work with MCA to track and interview some of the VPTs. In total, across all PMAp contracts there will be a total of some 2,500 villagers, about 500 of them women, that will be trained in GIS, mapping and resource negotiation and dispute resolution. While the SI paper has a somewhat formulaic section on gender in its methodology. It should acknowledge and act on the fact that at least 2 of the members in each VPT are women, usually representing women or other social interest group, that will have rich information to provide.</p> <p>While the work of VPTs on boundary setting is unquestionably important, the resource mapping aspect of the process has been identified by the various communities visited during field trips to PMAp 1 sites by MCC and MCA teams as their most tangible benefit. Village resource mapping enables them to better understand the extent of their territory and actually quantify their resources which allows make informed choices rather than depend on “guesstimates.” A number of village heads who have chosen to maintain the 5-person VPT as a group beyond the VBS/RM exercise. It is these now these better informed, motivated and trained local cadres that can correct the current low levels of public participation in decision-making processes and a lack of spatial planning capacity. The evaluation could focus more on what are the communities’ own practical and immediate outcomes.</p> <p>A final observation on “spatial certainty:” the SI paper repeatedly mentions the problem of overlapping licenses. This is indeed an issue of concern across the PMAp area and all of Indonesia. However, it fails to mention a more insidious problem that good mapping and transparency of spatial data can help solve. There is currently no enforcement mechanism for license holders to respect the perimeter assigned to them in a</p>	<p>Jambi as SulBar follows the cocoa-ization of the entire island. One aspect of GP overall that should be better understood is the rate at which people in Sulawesi have gone away from Cocoa due to the pests that have destroyed groves there. The point about conflict is an important one that has been raised on numerous occasions among the team members. We agree that conflict has become a catch all phrase, and are conflicted by the thinking about conflict in Indonesia’s policymaking efforts at this time. There is a sense that conflict is a problem that should be mediated head-on and solved, whereas in terms of violent conflict, perhaps prevention would be a more apt strategy. Furthermore, in terms of tenure security conflict (according Yasmi et al 2009) can have beneficial impacts for contesting resources and demanding fairness and accountability.</p> <p>Paragraph 8: We appreciate the emphasis on the VPT. We</p>	

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		<p>permit. Many concessions tend to morph, amoeba-like, beyond their allocated land and without recourse to properly geo-referenced sketches of their village territories, communities cannot defend their own claims. Further, without the sunlight of publicly available spatial information, local authorities can extract bribes from concession holders to “regularize permits” rather than “expose infractions.” This element of PLUP will serve the long term outcome of enhancing the credibility of land use allocation.</p> <p>I hope this somewhat long-winded message is helpful to you and the SI colleagues. I could go on and on but for the fact that I am already past your deadline. I’ll be happy to meet the SI crew when I am in Jakarta later this month to clarify and or expand on this feedback.</p>	<p>will ensure that we conduct specific interviews and/or focus groups with the VPT. Thank you for the additional comments about the composition and gender aspects of the VPTs. As for gender considerations overall throughout the document, we have provided more specific details. Please also see the questionnaires for inclusion of questions for the VPT.</p> <p>Paragraph 9: We have a specific interest in better understanding community aspects, especially as they relate to these RM mapping, monitoring, and cadres. We are getting some conflicting messages with respect to Kevin Barthel’s message above that these were evolving aspects that have not fully been implemented. We will be eager to learn more, from a community aspect, regarding these issues.</p> <p>Paragraph 10: We have mentioned overlapping licenses and claimants. We believe that this is addressing</p>	

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			<p>precisely the issue that is being raised by the comments in this paragraph. For example, you mention that mapping can help overcome these issues. While this is true in a perfect world, as correctly mentioned, it really depends on the extent to which enforcement takes place. We have witnessed several geo-referenced maps in the past that have shape shifted in amoeba-like ways. Mapping is a great tool, and in a perfect world there would be transparency on these issues. But even with transparency and access there is no guarantee that the rules will not change. It's also worth asking to what extent villagers can take part in these processes, and which parts of the community has access. These are especially difficult assurances to make with vulnerable groups and the growing difficulty to access land.</p> <p>Paragraph 11: We are very much looking forward to meeting you in Jakarta as</p>	

No	Commenter	Comments	SI Responses	Changes made to the EDR
			well! We look forward to discussing these comments, especially the site specific ones when we have the opportunity to meet.	
6.	MCA-I Econ	<p>As requested, in reviewing <b>DRAFT - PARTICIPATORY LAND USE PLANNING PERFORMANCE EVALUATION DESIGN REPORT</b>, it is recognized that we have not conducted an economic analysis of the PLUP activities independently. However, kindly informed you that, there was an important IMC meeting on May 18, 2016 in DC regarding the request to a budget reallocation from the GP facility to PLUP, PM and the Nutrition projects. There was questions regarding economic return for PLUP activities, Jim McNicholas (DCO/EAPLA-P) from MCC requested to the Econ Team MCA-Indonesia for is: 1) identify all districts where PLUP activities are underway or planned; 2) for each of those districts identify short listed GP facility projects located in that district for which ERRs were calculated--this could be under windows 1, 1A, 2, 3A or 3B; 3) aggregate the economic costs and benefits for all projects in a given district (this will give a 20 year stream of aggregate benefits and a 20 stream of aggregate costs; 4) then add the stream of annual costs for the PLUP activity in that district to the aggregate stream of costs described in #3 above; 5) finally determine the ERR for this overall stream of aggregate benefits and costs from #4 above. This will basically be an overall ERR for all GP activities in a given district.</p> <p>Then, the PLUP Team of MCA-I sent annual PLUP costs in specific districts (please find file attached), we analyzed them to make the aggregation of project Cs and Bs in a given district.</p>	SI thanks the Econ team for this additional background information which will inform our work moving forward.	No revisions made.

No	Commenter	Comments	SI Responses	Changes made to the EDR
		<p>Let us inform you the summary of our analysis and results regarding ERR per district with adding PLUP cost (W2 was excluded since in Due dilligent process). Attached file is table of summary of ERR per district, include comparison between ERR including and excluding PLUP cost:</p> <ol style="list-style-type: none"> <li>a. It seems there are 30 districts with GP projects and for which PLUP activities have been carried out. Out of those 30 districts, 23 have ERRs above 10% once PLUP costs for the district are added to any project costs in the district. But for 7 districts, the resulting ERRs are less than 10%.</li> <li>b. The ERRs for each district are higher if in absence of PLUP cost. But, we recognize that the benefit of PLUP might be obtained from social benefits in term of absence of a land tenure conflict, lead to sustainability of production.</li> <li>c. One thing that might be pointed is for some of districts that have a single relatively small activity, such as HIVOS (see the table), and when we add the additional PLUP costs to the cost of the sub-activity itself then one ends up with an ERR below 10%. In other words, if a small single activity located in a given district with adding PLUP activity, it would drag ERR decrease significantly. Hence, PLUP sould be to be implemented in the district that have more than one single activity/project.</li> <li>d. We estimated also ERR for overall districts (aggregate ERR). And as you could see in the summary, the aggregate ERR is 23.93% (with PLUP cost).</li> </ol> <p>Therefore, In reviewing <b>DRAFT - PARTICIPATORY LAND USE PLANNING</b></p>		

No	Commenter	Comments	SI Responses	Changes made to the EDR
		<p><b>PERFORMANCE EVALUATION DESIGN REPORT</b>, we would suggest to anticipate there may be a question regarding economic return for PLUP activities. Should you have any questions do not hesitate to reply this email.</p>		
7.	MCC M&E	<ul style="list-style-type: none"> <li>• I see that references to degraded land have been removed. Amanda mentioned that the team had trouble getting any information about degraded land from the PLUP team or through the evaluation work. Is that the reason why you removed it from the EDR? Unless I'm misunderstanding, I think the references should remain in the EDR and there should be discussion in the evaluation report about the fact that you were not able to get any information about this. To me, it's an evaluative finding, unless the reason you took it out is that there is no documentation of degraded land in the project design.</li> <li>• Related to the evaluation methodology comment below, I'm curious if there is a strong reason/preference behind not calling out a standard methodology in the report. We often have to compile statistics on our evaluation portfolio and one of them requires categorizing by methodology. This would get lumped under performance evaluation, which is a catch-all and is therefore not very informative. Based on the description of the methodology, I would call it a pre-post qualitative analysis. If you agree with that, or have a better way of putting it, I think it would be helpful down the line for this to be stated in the methodology section.</li> <li>• I forgot to add a comment about the reference to PLUP vs. PMAP1 in the document, which came up in a discussion with Amanda in Jakarta. I'm going to edit the document to indicate where I think which</li> </ul>	<p>- Yes, you are correct that references to degraded lands were removed from the EDR and the draft evaluation report. As you will see in the draft report, the team explained the following (see page 35, footnote 70): <i>No respondents noted specific PMAP 1 strategies or approaches concerning degraded land in starter districts. Only three respondents mentioned degraded lands, and they mentioned it only as a question regarding PMAP 1's activities on this topic. The ET requested clarity from the MCA-I PLUP team multiple times, including a specific request for the definition of degraded land that the Compact uses. No information or clarity was provided. For this reason, 'degraded land use' has been removed from the outcome. Considering this, the team</i></p>	<p>Revisions made in the previous EDR to degraded lands were reversed, considering the team did not know about the status of degraded lands during evaluation design.</p> <p>The methodology has been clarified, as requested.</p> <p>PLUP and PMAP 1 references have been checked and largely revised.</p> <p>The ET made revisions to the limitations section.</p>

No	Commenter	Comments	SI Responses	Changes made to the EDR
		<p>term is appropriate and will hopefully send that tomorrow. I had commented on an earlier draft to suggest that PMAP1 should be referenced in the document going forward, rather than PLUP, but I should have been clearer that I meant that in terms of implementation detail (e.g. PLUP is being implanted in 4 districts vs. PMAP1 is being...). I'd like to stick to the idea that this is an evaluation of PLUP but the approach focuses on one part of implementation, PMAP1. It's true that each PMAP is different, but that's precisely why we focused on PMAP1 in order to evaluate PLUP as it was designed. Let me know if you have concerns about this (it will come up in the evaluation report too). Particularly if we want to consider adding other PMAPs to Phase 2, I'd rather it be clear that this is considered the PLUP evaluation and so things like the evaluation questions should reference PLUP rather than PMAP1. I've proposed edits for references to PLUP vs. PMAP 1 in the attached. The line I tried to draw was that when referencing the evaluation approach and outcomes, PLUP is appropriate. When referencing specifics about implementation timelines or who you plan to interview, it's ok to specify PMAP 1. The point is that PMAP 1 is one of the only PMAPs that approximated what PLUP was intended to be (Tasks 1-4 prior to investment decisions), so we're focusing on that first phase of implementation to evaluate the PLUP Activity.</p> <ul style="list-style-type: none"> <li data-bbox="520 1239 1220 1401">• I know the threats to validity section notes that the results will not be generalizable, but I'm starting to think the village-level and district-level effects aren't very connected so maybe the results will be applicable to the other parsed out PMAPs.</li> </ul>	<p>determined that rather than a finding, this was actually a design issue. As you stated, there is no documentation of degraded land in the project design. We have re-inserted references to degraded lands in the EDR, as at the time of drafting the design we did not know about the status of degraded lands. In the final report, however, we will explain the finding fully.</p> <ul style="list-style-type: none"> <li data-bbox="1234 703 1608 1092">- The team felt that this was clear in the EDR and in the draft report, but more clarity can be provided based on MCC categories and requirements. This is a pre-post qualitative performance evaluation, with a note that "pre" does not reflect "pre intervention", as described in the methodology sections of both deliverables.</li> <li data-bbox="1234 1092 1608 1401">- The team agrees with the proposed revision of various references to PLUP and PMAP 1 throughout the EDR. The ET went through each reference and has accepted the changes that are appropriate. The team also had a call with MCC to</li> </ul>	

No	Commenter	Comments	SI Responses	Changes made to the EDR
			<p>discuss this further. At the time of the EDR drafting, it was assumed that PLUP and PMAP 1 were synonymous. As a result of fieldwork (and as documented in the final report), this is not actually the case from various respondent perspectives. This will be documented in the final report, though the EDR will remain reflecting the understanding of the two concepts at the time of evaluation design and planning.</p> <p>- The ET has maintained initial generalizability statements in the limitations section, but added a comment about possible reconsiderations if more is learned about the content of other PMAP contracts.</p>	

**Table 2: Comments received in the EDR draft**

No	Commenter	Comments	SI Responses	Changes made to the EDR
1	MCC M&E	There are going to be multiple PMAP contracts implementing PLUP. PMAP-1 is Abt's contract and will be the subject of this evaluation. I'm not sure if the other contractors listed are	Noted and revised.	Revisions made in the Executive Summary.

No	Commenter	Comments	SI Responses	Changes made to the EDR
		<p>Abt's sub-contractors or the other PMAP contractors. Please clarify. It should say something like:</p> <p>PLUP is a \$25M activity, which is divided by geography and implemented by multiple contractors. The first PLUP contract was awarded to Abt Associates to implement PLUP Tasks 1-4 in the four starter districts.</p>		
2	MCC M&E	I suggest leaving this out of the exec summary. This becomes a public document and it's not necessary to have this detail up front.	This comment was about phase 1 implementation details, in the Executive Summary. The ET has revised this (removed it).	This paragraph has been removed.
3	MCC M&E	This design report covers the entire life of the PLUP evaluation. It should not single out one round of data collection, or should reference both.	Noted and revised.	Revisions made in the Introduction.
4	MCC M&E	<p>I think it's less about phases and more about breaking out geographic areas. PMAP 1 is different from the others because it includes all 4 tasks. I would use language like I suggested in my first comment.</p> <p>Please note that PLUP work will take place in up to 45 districts under various PMAP contracts.</p>	Noted and revised.	Revisions made in the Introduction.
5	MCC M&E	<p>Please describe how PMAP 1 differs from the others. It's important to make clear that this evaluation is only covering a piece of the PLUP project. This piece was selected because it's the only portion of PLUP where locations were selected independently of GP grant selection. In addition, it's the only contract where all four tasks are being implemented. Therefore it offers the only opportunity to evaluate PLUP as it was originally designed. The village-level results will not be generalizable to the areas where other PMAPs were conducted, because those are prioritizing tasks 2-4 first. Hopefully the team is clear on this, but if not, please schedule some time with MCA-I.</p>	Noted and revised.	Revisions made in the Introduction.

No	Commenter	Comments	SI Responses	Changes made to the EDR
6	MCC M&E	This should be able to be confirmed now. Please discuss with MCA-I.	Project beneficiaries were confirmed, and this has been revised.	Revisions made in the Overview Section.
7	MCC M&E	<p>This section should state the sub-district/village coverage of Task 1. This should be in the documents you have, but if not, please ask MCA-I. If the specific sub-dist/village names are not listed, this should at least state the numbers.</p> <p>It's probably safest to refer to this as PMAPI after introducing the concept. PLUP is being implemented in up to 45 districts.</p> <p>I'm not sure this is the most important rationale. The idea was that GP would focus on these four starter districts first. They were the core locations for the GP interventions and PLUP was intended to precede the selection of GP grants.</p>	Noted and revised as requested.	Revisions made in the Geographic Scope section.
8	MCC M&E	Perhaps this report should be finalized with the information gathered in this first phase. It will be odd to publish a design report that states that critical information is forthcoming (though I understand why that is the case right now)	The ET agrees with this.	This sentence was removed from the final EDR (description of implementation to date section).
9	MCC M&E	Just a note FYI that this task was specific to PMAp 1 and is intended to inform future VBS/RM work.	Agreed and noted.	No revision made.
10	MCC M&E	Isn't there also a small training component in Task 2 or 3. I remember the PMAp team discussing this when they presented to us in April.	Yes, this information was added to the final EDR.	Revised.
11	MCC M&E	Unless these are provided as annexes, what's the value to referencing these in the EDR?	This reference has been removed.	Revised.
12	MCC M&E	We didn't discuss land tenure security resulting from PLUP. We had talked about spatial certainty, which some hypothesized could have similar impacts to land tenure security. How is PLUP expected to affect land tenure security?	The ET revised this outcome to read 'Increased public perception of spatial certainty associated with boundaries and land uses within the PLUP village' after extensive	Revised.

No	Commenter	Comments	SI Responses	Changes made to the EDR
		Again, this doesn't seem right to me. Did this come from a PLUP document?	consultations with MCC via email and phone.	
13	MCC M&E	Shared among?	The outcome was revised from 'Shared understanding of boundaries and various land uses' to 'Shared understanding of boundaries and various land uses among PLUP geo-spatial partners and communities.'	Revised.
14	MCC M&E	Confidence among which groups?	The outcome was revised from 'Improved confidence in land governance administration' to 'Improved confidence in land governance administration within PLUP stakeholder partner institutions.'	Revised.
15	MCC M&E	Among which groups/levels?	The outcome was revised from 'Increased capacity to manage land and external (natural) resources' to 'Increased capacity of PLUP institutional stakeholders to manage land and external (natural) resources.'	Revised.
16	MCC M&E	in treated sub-districts only or across the entire district?  Same question applies to #6 below.	This is across the entire district, as Task 2 – 4 are implemented at a district level. When considering this outcome at a village level, it would only apply to project villages (within treatment sub-districts).	No revision made.
17	MCC M&E	This section should note that no standalone CBA was done for PLUP, therefore there is no existing framework/model on	This has been revised as requested.	Revised.

No	Commenter	Comments	SI Responses	Changes made to the EDR
		which to base the evaluation work. i.e. no metrics/targets from a CBA to be validated by the evaluation.		
18	MCC M&E	I think this is relevant literature to cite, but please specify how land tenure is different from PLUP's approach of spatial certainty.	Text has been added to explain this.	Revised.
19	MCC M&E	Same as before, is this the right term?	The term 'tenure security' has been revised.	Revised.
20	MCC M&E	As suggested above, the fact that this eval focuses on PMAP 1 should be introduced at the start.	This has been revised, as suggested, though some references were changed back to reference PLUP after MCC comments submitted to the ET in November 2016.	Revised.
21	MCC M&E	I think this question would be better framed as something like "Through what, if any, pathways is increased spatial certainty likely to increase household incomes? What evidence does the evaluation find for this?" Note that there are two pathways for economic development hypothesized by the team: 1. Having a boundary allows you to apply for government services, 2. Having a clearly demarcated forest area allows a village to apply for management of that forest area (which could then be used for agroforestry...)	The ET re-phrased the question as follows: "Through what pathways, if any, is increased spatial certainty likely to increase household incomes? What evidence does the evaluation find for this?"	Revised.
22	MCC M&E	Please discuss in some detail the fact that Phase 1 is going to occur after PMAP implementation has already started and in some cases, been nearly completed. How is the evaluation going to assess changes over time, when some of those changes will have already occurred? I know you have plans for this with recall questions, but this issue needs to be addressed directly in the methodology.	The ET has added a detailed paragraph about this context in the EDR.	Revised.
23	MCC M&E	Please specify that this is a version of before-and-after analysis and explain why you do not expect it to be an issue that we are collecting data after implementation. How will we ensure that perceptions questions are accurately capturing the	The ET added this explanation to the EDR.	Revised.

No	Commenter	Comments	SI Responses	Changes made to the EDR
		pre-PLUP state? Will your investigation into disputes look at data preceding PLUP? Etc.		
24	MCC M&E	Tenure or spatial certainty?	References to tenure security have been revised in this table.	Revised.
25	MCC M&E	Just checking – are sub-district level officials an important group to talk to?	The ET has added sub-district level officials to this questionnaire.	Revised.
26	MCC M&E	PMAP1	Revised as requested.	Revised.
27	MCC M&E	Is this reference correct?	Table numbers and references have been updated.	Revised.
28	MCC M&E	No voice recording? Will there be a dedicated note taker separate from the facilitator?	The ET added more details to this section in the EDR. There are voice recorders and note takers used.	Revised.
29	MCC M&E	I suggest discussion external validity here, even in terms of the rest of the PLUP districts.	This has been added to the EDR.	Revised.
30	MCC M&E	It would be better not to include these kinds of statements in the EDR. We can discuss the plan to finalize this document.	This paragraph has been removed from the EDR.	Revised.
31	MCC M&E	Is this realistic?	The ET believes that a December 2016 deadline is realistic for the final report if MCC and MCA-I review is completed by the end of November 2016.	No revision made.
32	MCC M&E	We will also want an MCC presentation	Noted and revised.	Revised.
33	MCC M&E	? Am I reading this wrong?	Transcription will not be completed for all interviews, however the ET will select key interviews for full transcription by a professional. All transcripts and notes will be coded and submitted to the DRB.	Revised.
34	MCC M&E	And MCC	Revised.	Revised.

No	Commenter	Comments	SI Responses	Changes made to the EDR
1	MCA-I Social and Gender	Suggestion: using gender responsive as an inclusive term for data collection that covers both sex-disaggregated and gender sensitive data/indicators.	Revised. Thank you for the note.	Revised.
2	MCA-I Social and Gender	One of the long-term achievements that can be explored with regards to transparency is the “governance” of the maps produces/maps of land utilization/spatial information. Hence the evaluation sub-questions could be expanded to: <ul style="list-style-type: none"> <li>To what extent have PLUP activities improved feedback mechanism between community and government (perhaps this is also relevant for outcome 8) in land permitting and licensing?</li> <li>To what extent has PLUP improved community (to include women and vulnerable groups such as indigenous population) access to land use and spatial information?</li> </ul>	This is a very important point and will certainly be expanded in the instruments. We believe that the factors of transparency, efficiency and fairness will be expanded to address these suggested formulation of questions. Please see instruments document. Additionally, we have provided edits to this outcome question that now ensure “participation” is addressed (as a short-term outcome).	Revised.
3	MCA-I Social and Gender	Please see above comments on “governance”, perhaps expanding PLUP achievements to governance and feedback loop between government and community could be considered. This is to highlight the “participatory” approach in PLUP as a longer term outcomes that also covers credibility of spatial information that used and accepted by both government and community.	We have made edits to this question and now feel this question includes the governance questions suggested. Please ensure that concerns are also fully covered in our instruments.	Revised.
4	MCA-I Social and Gender	The sub question could be strengthened by adding: <ul style="list-style-type: none"> <li>How have PLUP activities in this location informed by women and vulnerable/marginalized population, or</li> <li>To what extent information gathered from women and vulnerable population is being used by PLUP to achieve its outcomes?</li> <li>Have there been any discernable/observable results in terms of increased land use by women and vulnerable groups in PLUP location?</li> </ul>	Thank you for these suggestions. We will include these questions in our instruments as you suggest, as operational questions. Note the changes we have also made in both sub-questions for evaluation question 2.	Revised in instruments.
5	MCA-I Social and Gender	I think it is also relevant to take into consideration an exploration of “alternative” dispute mechanism that has been conducted by <i>masyarakat adat</i> and women’s group on land use and boundary dispute, hence in strengthening this approach, FGD/qualitative methods should seek for this information also.	This is a very important point. We will ensure that our instruments explicitly seek to clarify Alternative Dispute Resolution mechanisms in the FGDs.	Revised in instruments.

No	Commenter	Comments	SI Responses	Changes made to the EDR
6	MCA-I Social and Gender	To be added here: community groups, to expand not only governance of land administration but any feedback mechanism from community/increased access to spatial information for community groups, including women and vulnerable groups that will enhance participatory land use and decrease conflict.	Thank you for this point. We had assumed that community was a part of this reflexive point. For clarity purposes, we have updated it accordingly.	Revised.
7	MCA-I Social and Gender	This is an example of the “governance” issues mentioned above. A good approach.	Thanks, noted. And furthermore, we will expect to flesh these aspects out in further detail in the instruments that will guide the FGDs and KIIs.	Revised in instruments.
8	MCA-I Social and Gender	Including communities in the villages. The evaluation should also seek for opportunities to enhance better access for community to spatial data.	Noted, and updated.	Revised.
9	MCA-I Social and Gender	This will include access of vulnerable groups to permit and license. A good approach if it can be done in parallel with transparency issues.	Our definition of safeguards here is directly citing the SGIP expanded in MCAI Annex 10 (SGIP Document). We will look into these aspects as we explore aspects of transparency as well. Please see instruments to ensure that our exploration of these issues are adequate.	Revised in instruments.
10	MCA-I Social and Gender	Since perceptions of the effects of PLUP, as well as dispute and/or dispute resolution may not be shared equally between community leaders and members, especially women and vulnerable groups, the evaluation should also consider having a “control” group to assess these issues among community members, men, women and vulnerable groups. Especially where dispute and its resolution is location-specific where indigenous population reside and/or where communities relying on access to natural resources for livelihoods exist.	In our evaluation approach, we will certainly be mindful of these location specific approaches. We will be seeking to understand how alternative dispute resolution mechanisms take place at site locations of the project. Any additional background on these factors that we can receive from MCAI and other partners would be valuable in our preparations to visit the field sites.	No revision made.
11	MCA-I Social and Gender	Responsive	Revised	Revised

No	Commenter	Comments	SI Responses	Changes made to the EDR
12	MCA-I Social and Gender	Including practices for land dispute mechanism, if any.	That is correct.	No revision made.
13	MCA-I Social and Gender	Must have clarity on “appropriate and necessary”, we can adopt a common criteria where separate women and men’s groups FGDs/interviews is needed. For example: from PLUP Locations/documents showing that women and vulnerable groups is severely underrepresented, in remote locations and in locations where dependence upon forest/natural resources are predominant, this is to avoid elite capture and biased.	This point is noted and we would be eager to get MCAI perspective on this matter. After further review of our data collection plans, all women and men will be interviewed separately, if at all possible.	Revised.

**Table 3: Comments received in the EDR Annex 1**

\*Comment 6 was submitted to SI in November 2016

No	Commenter	Comments	SI Responses	Changes made to the EDR
1	MCC M&E	Is there any scope for including previous or potential license/permit applicants in the study? (Outcome 3, 4, and 6)	The ET will consider this when in the field. If it is possible, the ET will include these stakeholders in interviews.	No revisions made to the Annex.
2	MCC M&E	Consider incorporating satellite imagery. At a minimum, would hotspots/fires be something to look at over time? (Outcome 5)	The ET will consider this when in the field and after reviewing PMAP 1 data.	Revised.
3	MCC M&E	I think it would make sense to talk to BIG and understand how they're planning to incorporate PLUP's work/systems. MCA-I is entering into a partnership with them, so I'd try to talk to Sigit about that. (Outcome 8)	The ET agrees, and plans to speak with BIG with MCA-I assistance.	BIG added to this outcome as a stakeholder.
4	MCC M&E	How are you going to sample businesses? (Outcome 9)	The ET added clarification on how businesses will be sampled in the EDR (KII section after Table 6).	Revised in the EDR (not the annex).

No	Commenter	Comments	SI Responses	Changes made to the EDR
5	MCC M&E	I wonder if the village FGDs should touch on this to get at potential pathways for income improvement. I think MCC will be interested in understanding how villagers plan to make use of the VBS, etc. We can ask about that now and see if they did it at follow-up. Or maybe it should be an interview with the village head.	The ET agrees and has made revisions in the annex to reflect this.	Revised.
6	MCC M&E	Revisions requested for references to PMAP 1 and PLUP.	Revisions accepted.	Revised.

## Additional Revisions made to the EDR before final submission

\*these revisions were made based on emails or other input received during the EDR finalization phase

- Reference to ‘recommendations’ changed to ‘lessons learned’
- Clarification of the selection of phase 1 evaluation timing (why phase 1 was not designed as a baseline *before* PMAP 1 implementation)
- Clarification on sampling strategy (also reflected in the Interview Guidebook)
- Clarification on the analytical process used to measure change in outcomes over time