Final Evaluation and Learning Exercise of the SUTRI NAMA Project

Project Evaluation and Learning Exercises for the NAMA Facility

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Final Report

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AMBERO Consulting Gesellschaft mbH

Oxford Policy Management

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The content in this document was authored under the NAMA Facility but is published by the Mitigation Action Facility. The Mitigation Action Facility is a continuation of the NAMA Facility and builds on its legacy. The NAMA Facility was active from 2012 to early 2023.

The results and analysis included in the report are based on an external and independent evaluation conducted by the consortium AMBERO-OPM. The conclusions drawn in the report do not necessarily reflect the official views of the Mitigation Action Facility/NAMA Facility and/or of the Project under evaluation.

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Preface

The NAMA Facility was a joint initiative of the German Federal Ministry for Economic Affairs and Climate Action (BMWK), UK's Department for Energy Security and Net Zero, the Danish Ministry of Climate, Energy and Utilities (KEFM), the Danish Ministry of Foreign Affairs (MFA), the European Union and the Children's Investment Fund Foundation (CIFF). The NAMA Facility was active from 2012 to early 2023. The NAMA Facility's vision was to 'accelerate carbon-neutral development to keep temperature increases to well below two degrees Celsius by supporting NAMA Support Projects (NSPs) that effect sector-wide shifts toward sustainable, irreversible, carbon-neutral pathways in developing countries and emerging economies.

All projects with an overall duration of more than three years are subject to a mid-term and to a final evaluation and learning exercise.

The NAMA Facility's Technical Support Unit (TSU) functions as the secretariat of the NAMA Facility. The TSU commissioned AMBERO and Oxford Policy Management to conduct mid-term and final Evaluation and Learning Exercises (ELEs).

Each ELE is conducted using the same Theoretical Framework (FW), which involves the application of a document review, participatory workshops, and stakeholder interviews to collect evidence about NSPs' results and lessons analysed using a Theory-based approach centred on the use of contribution analysis reinforced by elements of process tracing.

This document presents the findings of the **Final ELE of the SUTRI NAMA Support Project** The report has been reviewed by Luca Petrarulo (Technical Lead, NSP ELE Team) and Elizabeth Gogoi (International Expert A, NSP ELE Team). For further information, please contact daponte@ambero.de.

Executive Summary

This document presents the findings of the final Evaluation and Learning Exercise (ELE) of the SUTRI NAMA Support Project (NSP). The ELE was undertaken during the period September-October 2022. In accordance with the Terms of Reference[1], this ELE sought to address the following questions:

- Has the NSP achieved its planned results?
- Has the NSP started to trigger transformational change?
- What can be learnt from the NSP?

More information about the focus of this ELE and the methodology followed can be found in Section 1.2 and Section 2, respectively.

The expected impact of the project was to support further budget allocations by the central government for public transport services, infrastructure and non-motorised transport and lead to a more effective way of spending those public funds at the local level. This was to be achieved through: (i) developing a more efficient mechanism of co-funding from the Ministry of Transport (MoT) to local governments, and (ii) providing technical and policy guidance and good practice examples of public transport projects.

Through the work of the NSP towards a nationally-funded financial mechanism for local governments for effective public transport services and policies, the project would contribute to the efficient use of these public funds and to the establishment of favourable framework conditions for private sector investments by public transport providers and other operators of urban transport facilities and services.

The NSP's Theory of Change (ToC) foresaw three main causal pathways to addressing the problem and barriers identified and achieving its planned outcomes. The NSP initially aimed to support the Government of Indonesia (GoI) to **strengthen its policy and regulatory framework** to support emissions and improve public transport options. The use of the NSP's Financial Cooperation (FC) Component was meant to **support and leverage financing opportunities**. However, in 2021, the NAMA Facility decided to terminate the FC Component due to delays and lack of readiness to progress with financing arrangements. This change shifted the NSP's focus on strengthening Bus Rapid Transit (BRT) options, including leveraging financing support, and supporting the development of a nationally-funded financial mechanism, which would then be underpinned by a **capacity development and training** package aimed at strengthening existing systems and introducing new concepts, such as Monitoring, Reporting and Verification (MRV).

Expected outcomes were that with improved policy frameworks, supported by enhanced capacity and financing opportunities, the GoI would advance its public transport agenda (specifically for BRT investments), which would then lead to low-carbon options that would, in turn, influence future strategies' directions.

Below are some of the key findings of the ELE. Please see the report's sections for the full findings.

- **SUTRI NAMA's goals are aligned with the GoI's long-term climate and sustainable development goals and policies and meet a persistent need of the transport sector.** At the sub-national level, the local governments where SUTRI NAMA operates have been aligned to the urban transport agenda to varying extents.
- **Three main external factors impacted SUTRI NAMA's effectiveness.** Firstly, there have been **implementation delays** which have reduced likelihood of outcome achievements, particularly

[1] The ELE Terms of Reference is provided in Annex H.

given the time required to implement and assess (capacity development, MRV, and additional financing mechanisms put in place such as the 'market sounding' activity). Secondly, the **termination of the FC Component** had a significant effect – on the relevance and effectiveness of the programme. Originally, it would have been a gap funding mechanism to ensure cities could at least procure the buses for the NSP-backed interventions. However this didn't happen, as the NSP could not provide any viable ideas. With the termination of the FC Component the NSP were tasked to revise the approach and the focus of the programme had to shift towards supporting the GoI's 'Buy the Service' (BTS)[2] scheme rather than putting in place the building blocks for a BRT system. Finally, **COVID-19** impeded capacity building trainings and other allied activities, which, in turn, delayed the overall capacity development component and the programme uptake across cities.

- **The programme has struggled to deliver the full suite of outputs and outcomes as specified in the ToC and in project's logframe.** Delays at the commencement of implementation and on-going delays due to COVID-19 have limited the ability of the NSP to achieve its results and delivery inputs and technical assistance in a timely manner.
- **Based on the evidence viewed and considered to date as part of the evaluation, there has been limited impact.** For the reasons outlined above and further explained within the report, the NSP has failed to deliver transformational change and has not actively captured changes at outcome or intermediate outcome levels. There is also limited evidence to suggest the project triggered "transformational change". However, the project has supported some key outputs that are foundational and do establish a basis that other programmes and interventions can leverage off (e.g., INDOBUS[3]).
- **The NSP's implementation challenges, and the limited scale of its impact to date, means it is difficult to predict the likelihood of whether the outcomes of the project are sustainable in the long term.** For instance, it is difficult to ascertain if the capacities built through the training programmes will be sustained over time as the capacity building efforts were still underway during the time of the ELE exercise[4], however these could potentially be picked up as part of the on-going INDOBUS programme.

Key learnings from this ELE include:

- The key factor that delayed the implementation of the project was the lengthy and difficult process of obtaining the Government-to-Government agreements and the implementation agreement between GIZ and the MoT.
- Projects and initiatives should be designed for the longer term and have dedicated structures around technical and financial components.
- It is important to define what transformational change means for each context. This should be discussed and agreed between the NAMA Facility and the NSP as it relates to a particular activity and/or context. The term tends to focus on significant and immediate change, which does not consider long-time frames required to build trust, understanding and support institutional change.

[2] The BTS programme is implemented by 'purchasing services' (for now with a 100% subsidy) from operators with an agreed service level/minimum service standard. Due to the urgency of improving public transport in Indonesia, the BTS Programme prioritises regular bus services with high service standards. In collaboration with the Regional Government, the supporting infrastructure is provided including bus stops, bus stations, etc.

[3] A complementary initiative funded by the State Secretariat of Economic Affairs of Switzerland (SECO).

[4] The evaluation acknowledges that Training of Trainers modules have been uploaded to MoT's online training platform: https://elearning-ppsdma.bpsdm.dephub.go.id/course/tot-penguatan-kompetensi-widyaiswara-kementerian-perhubungan-bekerja-sama-dengan-giz-sutri-nama. However it is difficult to justify that these have been fully institutionalised. It is important to note that this ELE did not evaluate the effectiveness or outputs of INDOBUS.

- The NAMA Facility should continue to carry out detailed reviews and engagement with respective NSP teams to ensure they remain relevant and on track in terms of implementation and management.
- To support transformational change and sustainability, both TC and FC components' elements need to be designed and agreed upon in parallel so that work can progress in a complementary manner.

Key recommendations have also been provided in Section 5.2 of the report.

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List of abbreviations

Bappenas	Indonesian Ministry of National Development Planning
BEIS	UK's Department for Business, Energy, and Industrial Strategy
BMWK	German Federal Ministry for Economic Affairs and Climate Action
BRT	Bus Rapid Transit
BTS	Buy the Service
CIFF	Children's Investment Fund Foundation
DGLT	Directorate General of Land Transportation
ELE	Evaluation and Learning Exercise
ELEQ	Evaluation and Learning Exercise Question
EQ	Evaluation Question
EU	European Union
EUR	Euro
FC Component	Financial Cooperation Component
FOLU	Forestry and other Land Use
GHG	Greenhouse Gases
GIZ	Gesellschaft für Internationale Zusammenarbeit
GoI	Government of Indonesia
IFEU	Institute for Energy and Environment Research
INDOBUS	Indonesian Bus Rapid Transit Corridor Development Project
IO	Intermediate Outcomes
IPPU	Industrial Processes and Product Use
KEFM	Danish Ministry of Climate, Energy and Utilities
KfW	KfW Development Bank (KfW – Kreditanstalt für Wiederaufbau)
KII	Key Informant Interview
LGs	Local Governments

M&E	Monitoring and Evaluation
MFA	Danish Ministry of Foreign Affairs
MoT	Ministry of Transportation
MRV	Measuring, Reporting, and Verification
NAMA	Nationally Appropriate Mitigation Action
NDC	Nationally Determined Contributions
NMT	Non-motorized transport
NSP	NAMA Support Project
NS	NSP Stakeholder
NT	NSP Team
NUTP	National Urban Transport Programme
OECD DAC	Organisation for Economic Co-operation and Development's Development Assistance Committee
OPM	Oxford Policy Management
PIU	Project Implementation Unit
QA	Quality Assurance
QC	Quality Control
RAG	Red Amber Green
RAN GRK	National Action Plan on Reductions in Greenhouse Gas Emissions
Renstra	Strategic Plan (*Rencana Strategis)*
RPJMN	National Medium-Term Development Plan (*Rencana Pembangunan Jangka Menengah Nasional)*
RPJMD	Local Medium-Term Development Plan *(Rencana Pembangunan Jangka Menengah Daerah)*
SUTRI	Sustainable Urban Transport Programme Indonesia
TC Component	Technical Cooperation Component
ToC	Theory of Change
ToT	Training of Trainer
TSU	Technical Support Unit

1 Introduction

This document presents the findings of the final Evaluation and Learning Exercise (ELE) of the SUTRI NAMA Support Project. The ELE was undertaken during the period September-October 2022.

1.1 Overview of the NSP

Transport is the third largest source of energy-related CO2 emissions in Indonesia. Due to strong urbanisation and motorisation trends, transport has become a significant challenge for cities in Indonesia. Its car-oriented development is exacerbating air pollution, creating massive congestion, and decreasing the quality of life. However, most cities lack capacity, policy guidance and access to sufficient financial resources to develop sustainable urban transport systems.

In 2009, the Government of Indonesia (GoI) committed to a 26% greenhouse gas (GHG) reduction by 2020 from 'business as usual' baseline levels, and to 41% with international support. As part of the efforts to contribute to achieving the national goal of emissions reduction, the Sustainable Urban Transport Indonesia (SUTRI) Nationally Appropriate Mitigation Action (NAMA) Support Project (NSP), which is funded by the NAMA Facility, was initiated in Indonesia.

This project, which is often referred to as SUTRI NAMA by all stakeholders[5], was approved by the NAMA Facility Donors in April 2015 but implementation only commenced in early 2018. It is important to note that the project concept was first developed in 2011. The main national implementing partner is the Indonesian Minister of Transportation (MoT), which has been supported by the Gesellschaft für Internationale Zusammenarbeit (GIZ) as the NAMA Support Organisation. The NSP aimed to provide technical assistance, capacity development, and policy guidance underpinned by a financial component to local governments for the development and implementation of sustainable urban transport policies and projects. The NSP was designed to include activities under a Technical Cooperation (TC) Component and a Financial Cooperation (FC) Component that would work together to transform urban transport in Indonesia with a mix of capacity-building and investment measures provided through a national urban transport programme. In 2020 the proposal was amended with the removal of the FC Component and included amendments to respective outputs. Table 1 summarises the key changes to the NSP's outputs For this ELE, we refer to the amended outputs.

Table 1 SUTRI NAMA Outputs

Proposal, signed April 2019 (with FFC Component)	Proposal amendment (without FC Component), signed in October 2021
1) **Establishment of a Technical Support Unit (TSU) to provide technical guidance and capacity development for Local Governments.**	1) No change.
2) **Development of an effective funding mechanism to co-finance the implementation of public transport and transport demand management projects.**	2) Supporting the development of a nationally funded financial mechanism for local governments to support effective public transport services and policies[6].
3) **Development of a project pipeline of eligible demonstration projects and co-finance.**	3) Developing a pipeline of urban transport projects through support to local governments and consultants.

[5] The terms SUTRI NAMA and NSP are used interchangeably throughout the report.

[6] The ELE refers to the Annex 2 of the proposal amendment (October 2021). In the SUTRI NAMA Report 2022, the Output 2 was amended into *'a nationally funded financial mechanism to for local governments to support effective public transport projects is in place'.*

Proposal, signed April 2019 (with FFC Component)	Proposal amendment (without FC Component), signed in October 2021
4) **Implementation of demonstration projects in up to five cities (e.g., bus fleet investment, improvement of public transport corridors, parking management and pedestrian programmes).**	4) Attracting and facilitating third party projects and funding for sustainable urban transport.
5) **Establishment of a Monitoring, Reporting, and Verification (MRV) system to initiate systematic monitoring of urban transport development, which was urgently needed for effective decision-making and to monitor and increase transparency of the achieved impacts.**	5) Developing and implementing a bottom-up urban transport MRV system that initiates systematic monitoring for effective decision-making.

Through these deliverables, the NSP sought to contribute towards broader transformational change in urban transport policy in Indonesia by creating effective ways for public and private investment in urban transport infrastructure and rolling stock, and by demonstrating good practice that can be upscaled to further cities in Indonesia.

The NSP intended to create various co-benefits, including equitable access, reducing air pollution, and improving the quality of life. Mitigation impacts were to be achieved through demonstration projects that encouraged passengers to shift from private cars and motorcycles to buses and non-motorised transport and improve the energy efficiency of public transport systems.

In November 2016, the SUTRI NAMA TC Component proposed an additional component with the addition of a separate initiative called INDOBUS (Indonesian Bus Rapid Transit Corridor Development Project)[7]. INDOBUS is financed by the State Secretariat of Economic Affairs of Switzerland (SECO) but concurs to supporting the goals of SUTRI NAMA through a Memorandum of Understanding (MoU) with the NAMA Facility and the NSP team. INDOBUS works in the same pilot cities as SUTRI NAMA and is also implemented by GIZ (i.e. the same team implementing SUTRI NAMA). However, INDOBUS is not the subject of this ELE as it goes through its own separate monitoring and evaluation process under the rules of SECO. However the ELE team did consider any possible synergies which have been documented in later sections of the report.

The NSP's FC Component was meant to commence in August 2020 following preparatory work[8]. However, the NAMA Facility decided to terminate it in the October of the same year due to substantial concerns about the implementation readiness of the Component and its actual level of ambition compared to the NSP proposal.

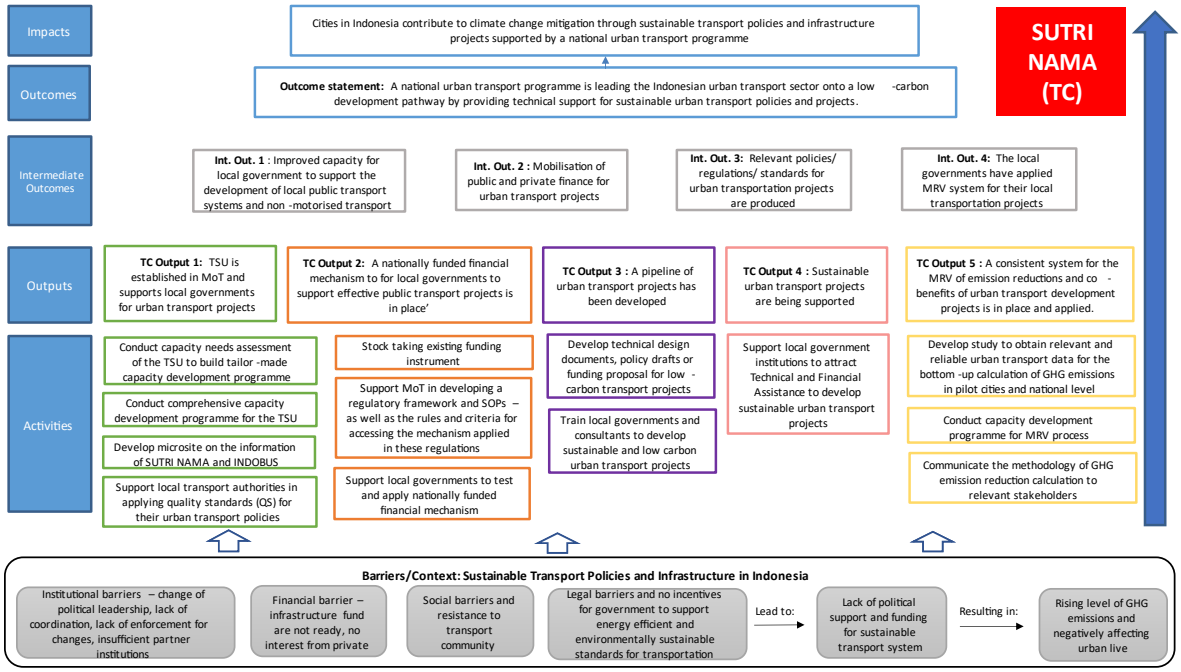
Despite the termination of the FC Component, the GoI continued to be committed to cooperating with the NSP for improving sustainable urban transport as evidenced by state budget allocations. Indeed, the development of urban mass transport systems remain a priority in the current National Medium-Term Development Plan (*Rencana Pembangunan Jangka Menengah* (RPJMN)) 2020-2024. SUTRI NAMA was involved in the formulation of this development plan, following a review of the earlier development plan (RPJMN 2015-2019 and the Ministry of MoT's Strategic Plan (*Rencana Strategis* (RENSTRA) 2015-2019)). In addition to GoI's support, the NSP continued to implement the TC Component and provide technical advice and guidance despite the removal of the FC Component to finance on-going activities with the MoT.

[7] INDOBUS represents only part of SUTRI NAMA's TC Component, which has other technical activities funded under the NAMA Facility.

[8] The NSP had worked on the following documents as part of preparations: 1) Workplan of Funding Mechanism Implementation (https://dms.giz.de/dms/llisapi.dll/app/nodes/310925930); 2) Concept of SUTRI NAMA Financing Component (https://dms.giz.de/dms/llisapi.dll/app/nodes/310925930); 3) Due Diligence of selection of partner for SUTRI NAMA project (https://dms.giz.de/dms/llisapi.dll/app/nodes/310926759); 4) SUTRI NAMA financial component gap analysis (https://dms.giz.de/dms/llisapi.dll/app/nodes/310925927).

The overall intended results of the SUTRI NAMA activity are summarised in the Theory of Change outlined in Figure 1.

Figure 1. Theory of Change of the SUTRI NAMA Support Project



Source: ELE team's interpretation of the NSP proposal (Nov 2021 version), validated in the ELE Kick-off Workshop
Note: See larger figure in ***Error! Reference source not found.****.*

The problem: Transport causes about 23% of total energy-related CO_2 emissions in Indonesia. With emissions of 67.68 million tons of CO_2 equivalent in 2005 (Bappenas/GIZ, 2011: Indonesian NAMA Framework), transport was the third largest source of energy-related emissions, and road transport was by far the largest component of transport emissions, representing around 89% of CO_2 emissions and 91% of energy consumption in the sector.

With Indonesia's rapidly growing population (from 237.63 million in 2010 to 270.20 million in 2020)[9] and strong urbanisation trends (from 50% in 2010 to an expected urban population share of 66.6% in 2035)[10], cities are under pressure from massively increasing public demand for transport capacity.

Although mobility is essential for economic and social well-being, these trends also lead to several negative impacts. They degrade local air quality to the extent that 60% to 80% of air pollutants in metropolitan cities are thought to be caused by transport. Furthermore, they generate high levels of noise and vibration. The dominance of private vehicles also puts vulnerable road users at greater risk, especially pedestrians and cyclists. The heavy reliance on fossil fuels in the sector (which continue to be subsidised) puts pressure on the country's finances. Indonesia has started to limit and gradually reduce fuel subsidies. A reform of the transport sector will therefore become more and more important.

In addition, the GoI has not invested enough funds to improve public transport corridors or invest in public transport service delivery. This has seen a gradual decline in investment in these sectors and a

[9] Statistic Office of Indonesia (BPS), 2021. *The Indonesian Population Census 2020 Highlights.* Presented in the United Nations Expert Group Meeting, 9-12 February 2021.
[10] Statistic Office of Indonesia (BPS), 2014: Percentage of Urban Population by Province, 2010 - 2035

corresponding increase in private motor vehicle use which exacerbates the situation and contributes even further to congestion.

The impact and outcomes of the NSP: The expected impact of the project was to support further budget allocations by the central government for public transport services, infrastructure and non-motorised transport and lead to a more effective way of spending those public funds at local level. This was to be achieved through: (i) developing a more efficient mechanism of co-funding from the Ministry of Transport to local governments, and (ii) providing technical and policy guidance and good practice examples of public transport projects.

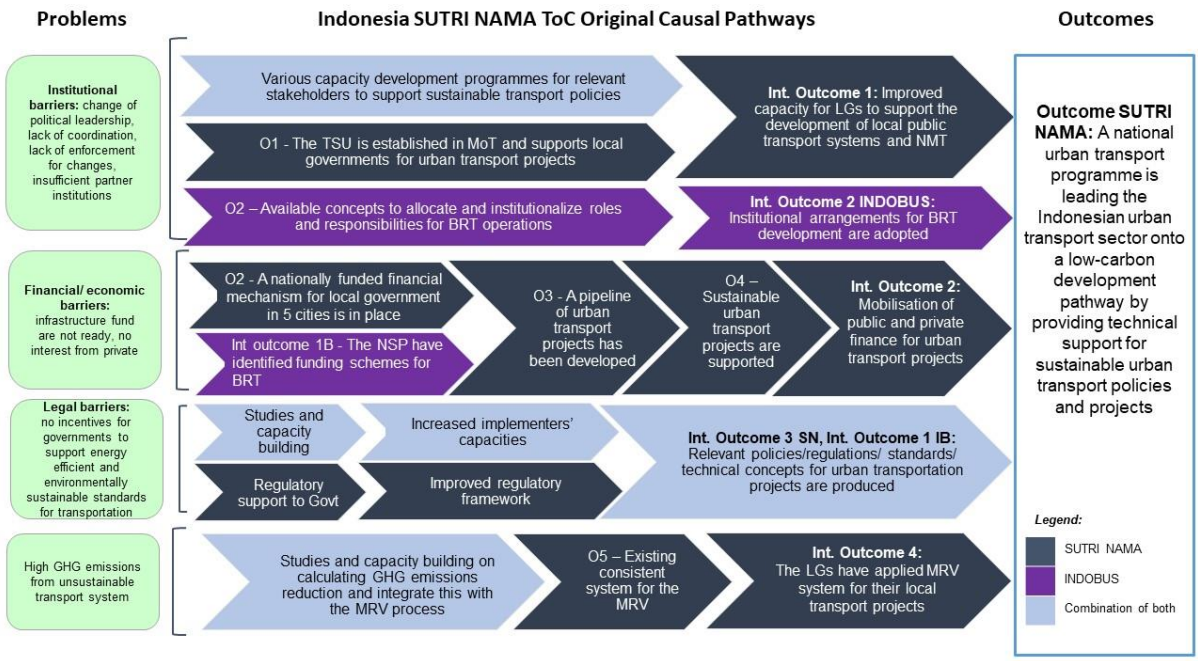
Through the work of the NSP towards a nationally funded financial mechanism for local governments for effective public transport services and policies, the project contributes to the efficient use of these public funds and to the establishment of favourable framework conditions for private sector investments by public transport providers and other operators of urban transport facilities and services.

The stand-alone component INDOBUS facilitated by the NSP contributes to Feasibility Studies, while SUTRI NAMA supports improving conditions for private investments such as parking management facilities, ticketing systems, non-motorised transport (NMT) facilities and advertising companies will be improved. This will be achieved through: (i) improved conditions for public transport and parking strategy (by introducing minibus regulations, enforcing parking regulations, and optimising project management by the local government, which provides the necessary planning security); (ii) a project pipeline of high-quality projects with a limited financial risk; and (iii) improved stakeholder coordination and dialogue with the private sector.

The NSP causal pathways at end-term: To address the problem and barriers identified by delivering the outcomes presented, the NSP's ToC foresees four main causal pathways (Figure 2). The Figure shows that the NSP initially aimed to support the GoI through the TC Component to strengthen their policy and regulatory framework to support energy efficiency and achieving the sustainable standards of transportation. These were to be complemented with the nationally-funded mechanism and support from third party technical assistance and/or financial assistance leveraged by the NSP, however this did not occur. The use of the FC Component meant to support and leverage these financing opportunities. However, with the termination of the FC Component, the NSP focused its efforts on strengthening Bus Rapid Transit (BRT) options, including possible financing mechanisms and sources from other donor, which would then be underpinned by a capacity development and training package aimed at strengthening existing systems and introducing new concepts such as MRV.

Expected results were that with improved policy frameworks, supported by enhanced capacity and financing opportunities, the GoI would advance its public transport agenda (specifically for BRT investments) which would then lead to low carbon options that would in turn influence future strategies directions.

Figure 2. Overview of NSP Causal Pathways Assessment at End-Term



1.2 Focus of the Evaluation and Learning Exercise

In accordance with its Terms of Reference[11], this ELE seeks to address the following General ELE Questions (ELEQs):

- Has the NSP achieved its planned results?
- Has the NSP started to trigger transformational change?
- What can be learnt from the NSP?

The General ELEQs presented above were broken down and operationalised in Specific ELEQs that are answered in this report. In Table 2, the General and Specific ELEQs are mapped against the Organisation for Economic Co-operation and Development's Development Assistance Committee's (OECD DAC) evaluation criteria[12], which are widely used as international standards for evaluations of development interventions. Reference to the relevant report section where each ELEQ/evaluation criterion is treated is also given. Finally, the specific ELEQs were broken down further into sub-questions, which are included in the official ELE Matrix, approved by the NAMA Facility Technical Support Unit (TSU), and reported in Annex C.

Table 2. General and specific ELE questions and their link to the ELE Report sections

General ELE Question	Specific ELE Question	Evaluation criteria (relevant ELE Report section)
Has the NSP achieved its planned results?	To what extent does the NSP address an identified need of the Go) transport authorities - central ministry and Provinces (including cities)?	Relevance (Section 3.1)
	To what extent is the implementation of the NSP achieving intended outcomes (incl. intermediate outcomes)?	Effectiveness (Section 3.2)

[11] The ELE Terms of Reference is provided in Annex H.

[12] Relevance, Effectiveness, Efficiency, Impact, Sustainability. The ELE Team added a 6th criteria, namely Learning.

General ELE Question	Specific ELE Question	Evaluation criteria (relevant ELE Report section)
	To what extent is the relationship between inputs and outputs timely and to expected quality standards?	Efficiency (Section 3.3)
Has the NSP started to trigger transformational change?	What evidence is there that the NSP has been contributing to the intended impact in the ToC (incl. transformational change)?	Impact (Section 3.4)
	What is the likelihood that the outcomes will be sustained after the end of the NSP funding period?	Sustainability (Section 3.5)
What can be learnt from the NSP?	What key lessons can be learnt to the benefit of the legacy of this NSP, other NSPs and the NAMA Facility as a whole?	Learning (Section 5.1)

1.2.1 The NAMA Facility Transformational Change Framework

Some words need to be spent about the concept of Transformational Change, which is included in the General and Specific ELEQs. The enabling of Transformational Change is one of the key aims of the NAMA Facility, and therefore of NSPs. The NAMA Facility defines Transformational Change as "*Catalytic change in systems and behaviours resulting from disruptive climate actions that enable actors to shift to carbon-neutral pathways"*[13]. The NAMA Facility ToC explains how Transformational Change is expected to be achieved through its outputs and outcome. The ToC is broad, and there are different ways in which Transformational Change can be achieved through the NSPs. Figure 3 illustrates three dimensions that interact and reinforce each other to produce NSP-induced Transformational Change. Each NSP will work on different elements of the three dimensions to define its own pathway to or "recipe" for Transformational Change. A more detailed explanation of the Transformational Change framework summarised in Figure 3 is presented in Annex A.

The ELE used the Transformational Change Measurement Framework to assess the NSP's progress towards its impact in Section 3.4. In the evidence gathered through the ELE, the evaluators have looked for "signals" of the materialisation of the three dimensions, and classified them as early, interim, and advanced signals according to the definitions in Table 3. The right end of Figure 3 shows the minimum level of signals of each of the three transformational change dimensions that NSPs are expected to have achieved by respectively their mid-line and end-line.

[13] https://www.nama-facility.org/concept-and-approach/transformational-change

Figure 3. NAMA Facility Transformational Change Measurement Framework for NSPs

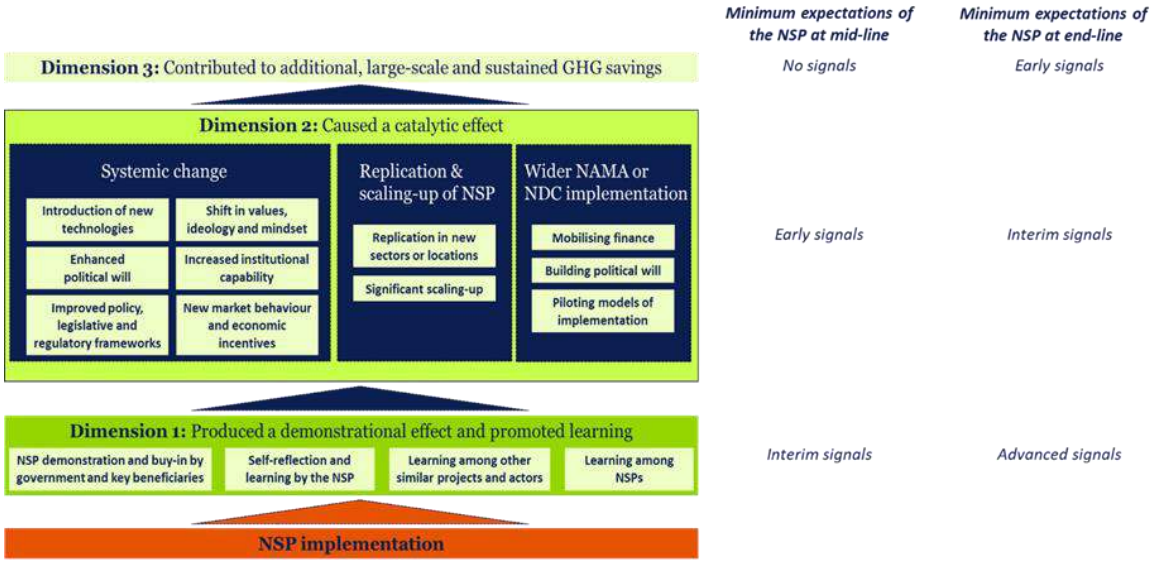


Table 3. Transformational Change "Signals" assessment by ELEs

Signal level	Definitions
No evidence	Evidence suggests little to no progress is being made in line with the ToC causal pathways to Transformational Change.
Early signals	There is emerging evidence of the transformation related to the dimension, or the foundations for the transformation have been laid by the NSP but no signals of the change are present.
Interim signals	Evidence shows some signals that the transformation related to the dimension is underway and it is likely to continue.
Advanced signals	Evidence shows strong signals that the transformation related to the dimension is underway and there is little doubt that it will continue.

2 Methodological approach

The ELE entailed activities under four main phases: Inception, fieldwork, analysis, and reporting.

During the Inception Phase, the ELE Team conducted a review of key NSP documentation, including the NSP Proposal, Annual and Semi-Annual Reports, the NSP Monitoring and Evaluation (M&E) Framework, and public documents covering GoI planning frameworks, policies and regulations and strategies (see the full list of documents reviewed in Annex G). Following that, the team used the information from the document review to **develop a retrospective ToC diagram** (see **Error! Reference source not found.** and **Error! Reference source not found.** for the validated version).

The data from the document review and the ToC served as a reference point to **develop a context matrix including the ELEQs** (ELE Matrix – see Annex C), which the ELE Team **integrated with the initial hypotheses** to be tested by the fieldwork. Additional questions were added to the ELE matrix to provide a more in-depth analysis and cover important elements specific to the NSP.

At the same time, the ELE Team worked on the organisation of the fieldwork interviews. For that, **they applied a *purposive sampling* approach of the key informants according to their level of involvement with the NSP**. In this way, the ELE Team grouped them into three general categories: (i) NSP Team, i.e. members of the NSP Delivery Partners and Implementing Partners, the performance of whom is directly assessed by the ELE; (ii) NSP Stakeholders, i.e. individuals who have actively supported one or more NSP activities; and (iii) Third Parties, i.e. individuals who received one or more NSP activities (e.g. were part of the audience of an event or training), or who were not involved with the NSP, but are working on similar or relevant issues. This helped the ELE Team to test and triangulate the evidence and to assess its strength.

Table 4 summarises the number of interviews and people interviewed (some calls had multiple interviewees) by each sampling category. For a detailed list of the institutions and organisations interviewed, refer to Annex G.

Table 4. Overview of number of interviews and interviewees by sampling category

	NSP Team	NSP Stakeholders	Third Parties	TOTAL
No. interviews	5	9	3	**17**
No. interviewees	7	18	5	**30**

The Fieldwork Phase began with an ELE Kick-Off Workshop on 19 September 2022. An earlier meeting had been held in July 2022 to discuss scope and help inform fieldwork and documentation requirements.

The general ELE Interview Guides prepared during the inception phase **were reviewed and tailored to the specific interviews daily.** This was done following discussion and feedback between team members on key findings and other issues. Content and wording of the questions were tailored to capture key knowledge from specific informants, cover knowledge gaps, or simply test hypotheses or triangulate specific information. Where necessary, an interpreter was involved.

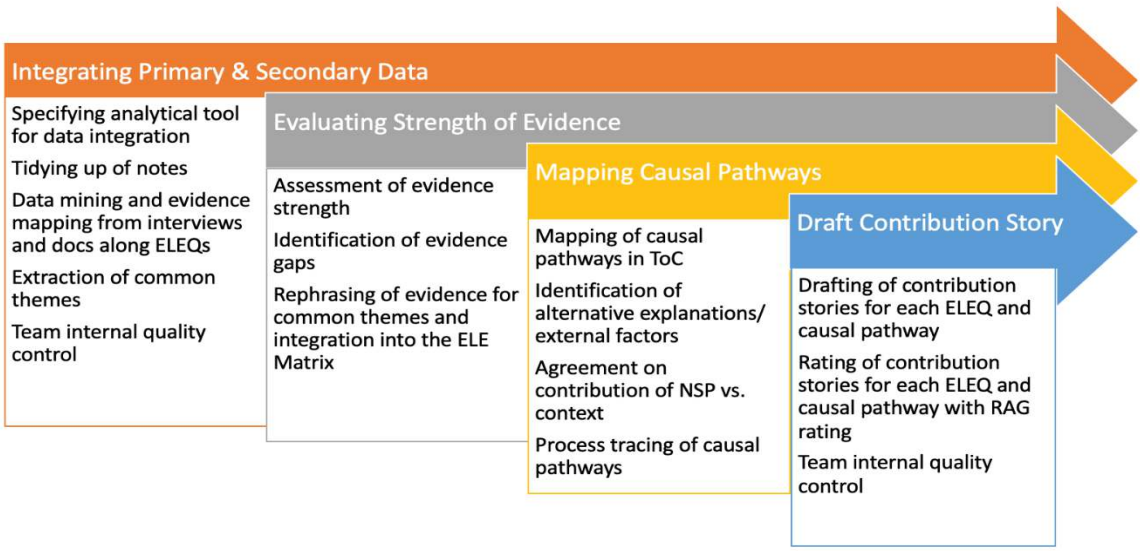
The evaluation team met on a regular basis to exchange information on a real-time basis, as it was not possible for all three evaluators to participate in each interview. **Following the intense period of interviews, the ELE Team was able to brainstorm and update the ELE Matrix with more complete and updated versions of preliminary answers[14].** The updated ELE Matrix was used to develop the

[14] A summary of the final evidence to answer the ELEQs is included in Annex D.

slides for the **ELE Validation Workshop on 9 October 2022**, also held in a virtual setting with the NSP Team. The main objectives of the Validation Workshop were to **review, discuss and validate the preliminary ELE findings, and identify ways to adapt the NSP based on the lessons identified**. The fruitful discussion on preliminary ELE findings allowed the ELE Team to validate them in collaboration with the NSP Team and identify and discuss recommendations as laid out in section **Error! Reference s ource not found.**.

The final part of the fieldwork moved the ELE Team into the **Analysis Phase**. Figure 4 illustrates the different steps taken to analyse the data.

Figure 4. Summary of the ELE Analysis Methodology



The main limitations of the ELE included:

- **Lack of availability of key personnel to interview.** This was a key challenge and demonstrated to a degree the limited involvement of some key stakeholders and the general lack of awareness of what the NSP was trying to achieve. This was primarily due to regular staff rotations within the MoT.
- **Lack of clarity of SUTRI NAMA's interventions.** Many LGs and stakeholders cannot attribute the outputs of the project only to SUTRI NAMA. They cannot exactly distinguish which interventions were provided by SUTRI NAMA and which were not.
- **Data availability and reliability**. Data was not routinely collected or shared, particularly at the intermediate outcome and end outcome levels. This made the initial desk review analysis quite challenging. Data were eventually provided towards the end of the evaluation process.
- **Time and resources:** ELEs follow a stricter implementation regime, and designed timeframes are scheduled for fieldwork. This limited the number of possible stakeholders to visit and engage with in the nominated timeframe.

3 Key Findings

In this section, the ELE Team presents the main findings of the ELE. These are structured according to the ELE Questions in Table 2. At the beginning of each section, a RAG rating of the strength of the NSP's contribution story to the ToC and the OECD DAC criteria is included, following the scale: Good / Very good = Green; Problems = Amber; Serious deficiencies = Red; Not enough info to rate = Grey.

3.1 Relevance of the NSP

Relevance	To what extent does the NSP address an identified need of the Government of Indonesia (GoI) transport authorities -central ministry and provinces?

To evaluate the NSP's relevance, the ELE Team assessed how far the project addresses an identified need of the Indonesian transport authorities and the relevant stakeholders at both the national and sub-national level (ELEQ 1), the alignment of the NSP with the Government of Indonesia's priorities regarding transport policy and infrastructure (ELEQ 1.1) and with those of other donors and financial institutions on infrastructure investments (ELEQ 1.2), as well as the influence (positive and/or negative) of external factors on the NSP's relevance (ELEQ 1.3).

The GoI signed the Paris Agreement in 2016 and committed to reducing emissions by 29% below business as usual in 2030, to go up to 41% conditional on international cooperation. This plan is reflected in Indonesia's Nationally Determined Contributions (NDC), and it relies on the National Action Plan on Reductions in Greenhouse Gas Emissions (RAN GRK) to be achieved under five sectors: forestry and other land use (FOLU), energy and transport, industrial processes, and product use (IPPU), waste, and agriculture. While the main GHG emissions contributors are within the FOLU sector, the energy and transport is the dominant sector in terms of mitigation activities, with approximately 77% of the mitigation budget in 2018[15]. The Indonesian mid-term development planning (RPJMN) has also included transport connectivity as a priority for transforming the Indonesian economy[16].

The MoT became one of the key actors mandated to promote GHG reductions, and it put forward its commitment to improving urban transport in Indonesia through its Strategic Plans 2015-2019 and 2020-2024 and the National Urban Transport Programme (NUTP). The NUTP involves the preparation of urban mobility plans, the development of urban mass transit systems, the provision of national government support for the development of integrated intermodal facilities, and the implementation of urban transport services through a "Buy the Service (BTS)" scheme.

At the sub-national level, the LGs where SUTRI NAMA operates[17] have been aligning to this urban transport agenda to various extents. For example, the West Java province has included the plan for improving transport for its three metropolitan areas in their Local Medium-Term Development Plan (*Rencana Pembangunan Jangka Menengah Daerah*/RPJMD) 2018-2023, including Greater Bandung, and developed the Urban Mobility Planning of the province. In addition, the Green Book, or the List of Planned Priority External Loans as issued by the Ministry of National Development Planning (Bappenas), has included the implementation project of public transport system for West Java, while Makassar and Semarang are included in the Blue Book or the List of Medium-Term Planned External Loans 2020-2024.

[15] Ministry of Finance Indonesia, 2019. Public Finance for Climate Change in Indonesia 2016-2018.
[16] Bappenas, 2020. The National Medium-Term Development Plan for 2020-2024.
[17] In 2018, SUTRI NAMA changed the number of pilot cities to 5 (five) from the original plan of 7 (seven) to align with the INDOBUS component and also due to the contract amendments with the NSP (i.e. FC Component). Those cities are Pekanbaru (Riau Province), Batam (Riau Islands Province), Semarang (Central Java), Makassar (South Sulawesi), and Bandung (West Java).

Throughout the data collection process, respondents from **both national and sub-national governments saw the NSP as contributing to this strategic plan and have addressed the needs of the government** (ELEQ 1 + ELEQ 1.1). In particular: (i) the **NSP, through INDOBUS supported the preparation of Feasibility Studies** and some follow-up meetings and facilitation processes became the basis for sub-national governments' urban mass transport preparations, mainly to understand the key processes and business schemes involved and different environmentally friendly transport options; (ii) all respondents confirmed that the **capacity building provided** by the NSP's TSU matched their needs in improving the urban transport system in their area, considering that the development of the training modules entailed a capacity needs assessment process of the government. These two activities were often complemented with various facilitation and assessment activities to ensure the readiness of the transport authorities in preparing transport financing and implementing the urban transport system.

Understanding that transport is a cross-cutting sector and thus requires strong coordination and commitment from various institutions, all the government respondents agreed that the NSP's support to improve the interconnectedness between relevant authorities has been particularly relevant to their needs. All respondents acknowledged that the coordination and connection across the different sectors and government levels have always been challenging. The NSP has been supporting the government with training and facilitating meetings to connect with relevant stakeholders, including market sounding with financing institutions. The NSP has also continued to provide support for the relevant authorities regarding their preparedness to implement the transport projects, both for the infrastructure implementation and its financing. **The support by the NSP has been considered a useful avenue to coordinate across various sectors and government level, including with donors and financial institutions' priorities regarding infrastructure investments** (ELEQ 1.2).

Unfortunately, considering the delay in implementing the NSP, none of the interviewees could confirm how effective the coordination facilitation has been and to what extent this can be institutionalised. Local governments have expressed the need for further support in the coordination process, especially to ensure the alignment of the sustainable urban transport vision across the relevant stakeholders. Furthermore, local stakeholder mapping and the stakeholder engagement strategy at the local level should be considered a priority in ensuring the effective implementation of any transport projects.

As per the original project approach, the NSP planned to work via a FC Component, targeting the financing and implementation of demonstration projects of improved public transport and transport demand management in the pilot cities. These pilot projects were expected to serve as good practice for further replication and dissemination. The promotion of these pilot projects, the continuous capacity building support, and the feasibility studies were assumed to enable the leverage of financing needed to invest further in the overall urban mass transport system in the pilot cities. However, according to the reports and interviews, the FC Component was terminated by the NAMA Facility in October 2020 due to substantial concerns about its implementation readiness and current level of ambition compared to the NSP proposal. With the elimination of the FC Component, the NSP could no longer co-finance sustainable transport pilot projects with the Ministry of Finance (MoF) and other financial institutions as originally planned. **Therefore, the FC Component lack of a pipeline of bankable projects to finance, disabled the NSP team from providing opportunities for the GoI to develop pilot projects and showcase them to leverage further investments** (ELEQ 1.3).This was further exacerbated with the removal of the FC Component.

Based on the evidence presented above, the ELE Team considers the NSP highly relevant to the needs of the transport authorities in the GoI. Therefore, this evaluation criterion is marked as "green".

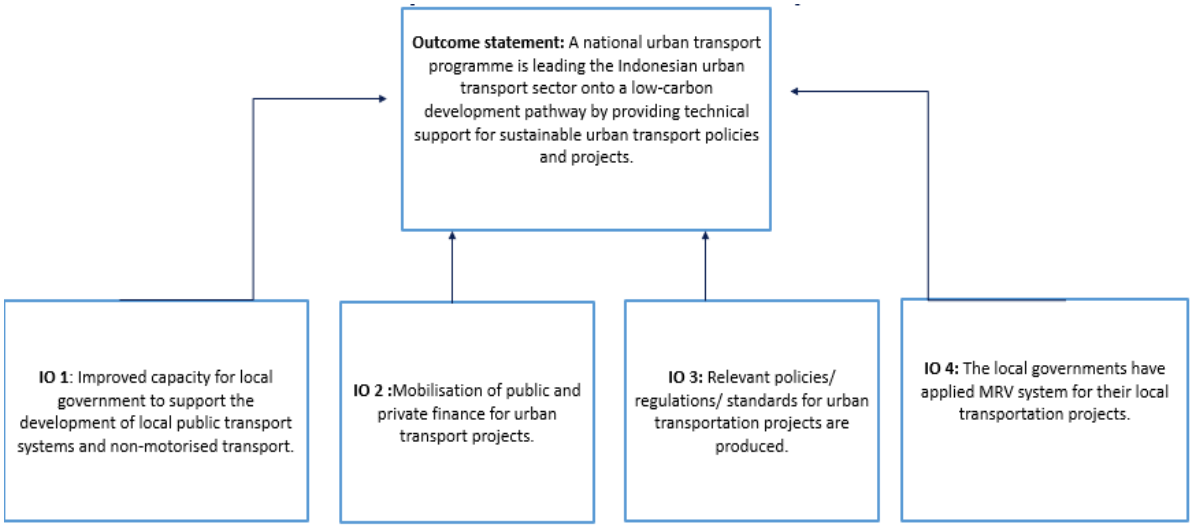
3.2 Effectiveness of the NSP

Effectiveness	**2. To what extent has the NSP been achieving intended intermediate outcomes (and unintended ones)?**
	IO 1: Improved capacity for local government to support the development of local public transport systems and non-motorized transport
	IO 2: Mobilization of public and private finance for urban transport projects
	IO 3: Relevant policies/ regulations/ standards for urban transport projects are produced
	IO 4: The local governments have applied the MRV system for their local transport projects

There are three main external factors impacting SUTRI NAMA's effectiveness. Firstly, there have been **implementation delays** which have reduced likelihood of outcome achievements, particularly given the time required to implement and assess (capacity development, MRV, and additional financing mechanisms put in place such as the 'market sounding' activity). Secondly, the **termination of the FC Component** had a significant effect – on the relevance and effectiveness of the programme. Originally, it would have been a gap funding mechanism to ensure cities could at least procure the buses for the NSP-backed interventions. However this didn't happen, as the NSP could not provide any viable ideas. With the termination of the FC Component the NSP were tasked to revise the approach and the focus of the programme had to shift towards supporting the GoI's 'Buy the Service' (BTS) scheme rather than putting in place the building blocks for a BRT system. Finally, **COVID-19** impeded capacity building trainings and other allied activities, which, in turn, delayed the overall capacity development component and the programme uptake across cities.

To answer the EQ2 on effectiveness, this section will analyse the NSP's contribution, through the TC Component, towards its expected intermediary outcomes (IOs), which hinge around 4 key components: (1) Building capacity for local governments to support the development of local public transport; (2) Mobilisation of public and private finance for urban transport projects; (3) Putting in place policies/standards/regulations for urban transport projects; and (4) Application of MRV systems by local governments for their urban transport projects. The outcome statement and IOs are summarised in Figure 5.

Figure 5. Expected outcome and intermediate outcomes of the SUTRI NAMA



Intermediate Outcome 1: Improved capacity for local government to support the development of local public transport systems and non-motorised transport

At the local level, the ELE found that the project team have been quite effective in putting in place system-level thinking on public transport and demonstrated to the provincial and city-level implementing teams the 'need' for a well-functioning public transport system. Before the project, this seems not to have been the case with most cities advocating either for a metro system or a Light Rail Transport System and more capital-intensive options, while ignoring the more cost-effective bus and BRT systems. It is important to note the contribution of this project in bringing about a shift in attitudes across city officials through the capacity building programme and exposing high-ranking officials to the benefits of public transport.

A push for sustainable and high-quality public transport, especially around BRT, was not seen as 'aspirational', according to some Key Informant Interview (KII) respondents. Some mentioned that citizens perceived private vehicles (car and motorcycle) as a higher-quality mode of transport, which had led to a jump in motorbike sales and the reliance on ride-hailing apps such as 'Grab' and 'Gojek' in the sample cities of Indonesia.[18] Mirroring the sudden and dramatic jump in vehicle ownership and a shift to using app-based bike booking systems, public transport systems have lost many of their users. The demand for public transport was said to be low in the Indonesian cities, where the modal distribution of urban passenger travel shifted toward private vehicles and away from public transport. Citizens were seen to be relying on the 'Angkot' system or privatised bus operators, who seemed to struggle with old vehicles and unreliable routes and networks, pushing people further away from public transport.

As a respondent in the MoT mentioned, there was a need to provide with the BTS scheme the necessary service and showcase that public transport can be reliable, efficient, affordable and operate on routes in a timely manner, especially for sections of the population for whom affordability was crucial. Through its capacity building initiatives and outreach along with supporting the implementation of BTS, SUTRI NAMA has to a great deal been able to shift these mindsets and demonstrated how 'pull' (affordable pricing, clean, efficient, upgraded infrastructure) and 'push' strategies (hike on parking tariff, congestion fee etc.) should look like for any successful public transport project implementation.

Through the capacity needs assessment completed in 2021, the NSP team was able to identify the training needs in each city. Modules and curricula development started in conjunction with the preparation of the Training of the Trainer (ToT) model in January 2022 and the modules and curricula development were completed in February 2022 (see Table 5). Training commenced in July-August 2022. At the time of the evaluation, training for city-level stakeholders was ongoing therefore the full spectrum of capacities developed cannot be analysed. The training activities are likely to impart information and skills on local public transport, but unlikely to bring about significant change given that the programme is ending in 2022 and the trainees may not have the opportunity to implement projects on which they have received training. The reasons for the delays were said to be changes in the project structure, changes in local government, delays in securing buy-in from the local government and COVID-19, which ensured in-person trainings were impossible for a large duration of 2020-2021.

SUTRI NAMA, in addition to setting up the TSU at the national level and providing training, also supported cities to apply and implement the BTS programme. Two out of five cities are now operating services under this scheme. Through its TC Component, SUTRI NAMA is working on five feasibility studies and technical designs. INDOBUS will continue with implementation support beyond the timeframe of the parent project SUTRI NAMA, especially in (1) developing BRT corridors in Bandung,

[18] https://changing-transport.org/wp-content/uploads/210825-MoT-Buy-the-Service-Program_-Indonesia.pdf

Pekanbaru, and Semarang; (2) improving the public transport management in Indonesia through strengthening the institutional capacity of relevant stakeholders; and (3) mainstreaming the development of BRT in the ministerial and city level policies. It is scheduled for completion at the end of 2024.

The status of implementation and level of success of INDOBUS would help understand if the skills imparted through SUTRI NAMA's capacity building programme will be useful or not in the future. In fact, the officials did not get an opportunity to test out the skills developed through the training modules delivered by SUTRI NAMA and INDOBUS. As per the Table 5 below, the modules were delivered in batches and each module was at least delivered to 60-70 participants. The trainees have received well-rounded and holistic information on integrated urban transport, including elements of finance, parking, MRV, planning, and procurement, to name a few modules. SUTRI NAMA focuses its efforts and support on modules 1, 2, 4 and 7.

Table 5. Training of Trainer modules

Modules	Content	Translated
Module #1	*Perencanaan Transportasi Perkotaan dengan Penekanan pada BRT Terintegrasi*	Urban Transport Planning with Emphasis on Integrated BRT
Module #2	*Pengembangan dan Implementasi Proyek Parkir dan Kendaraan Tidak Bermotor*	Development and Implementation of Parking and Non-Motorized Vehicle Projects
Module #3	*Pemodelan dan Simulasi Dampak Infrastruktur Transportasi*	Transport Infrastructure Impact Modeling and Simulation
Module #4	*Studi Kelayakan dan Alternatif Pembiayaan Infrastruktur Transportasi*	Feasibility Study and Alternative Financing for Transport Infrastructure
Module #5	*Proses Pengadaan dan Tender Proyek Transportasi Berkelanjutan*	Sustainable Transport Project Procurement and Tender Process
Module #6	*Manajemen dan Operasi BRT*	BRT Management and Operations
Module #7	*Pengukuran, Pelaporan dan Verifikasi (MRV) Gas Rumah Kaca* *(GRK) Emisi*	Measurement, Reporting and Verification (MRV) of Greenhouse Gas (GHG) Emissions (Currently being rolled out)

Based on the evidence collected during the ELE, this outcome is rated "amber". This is primarily because of the delays in implementing the capacity building programme and the fact that the training is happening when the project is about to end. It is therefore difficult to assess and attribute any changes in knowledge, attitude, or practice to these trainings.

Intermediate Outcome 2: Mobilisation of public and private finance for urban transport projects

The ELE team acknowledges that the FCC was removed from the project, due to delays in implementation, a lack of concrete options in the pipeline, and the limited likelihood that the proposed work would occur in the planned timeframes. This implied a change at the output and indicator levels.

Upon reviewing the supporting reports and interviews, the team uncovered mixed findings about the NSP's effectiveness towards this intermediate outcome. **On the one hand, the level of financial mobilisation for transport projects in the pilot cities remains low.** Firstly, because the definition of a financing mechanism had changed mid-course, instead of being able to offer financial support to implement sustainable public transport projects, the NSP team had to 'mobilise' funds for their 5

partner cities and go to market with this. This has proven to be challenging. Based on the ELE interviews, there is evidence to assume that had the FC Component been part of the project design, SUTRI NAMA may have experienced a higher or perhaps faster uptake with city governments. In fact, the business/financial plan seemed to be the key bottleneck in numerous cities, e.g., Makassar, Semarang, and Bandung. Therefore, the lack of a FC Component appears to have greatly reduced the project's effectiveness, which is proven by the low level of financial commitments by the public and private sectors at the time of the ELE. The main exception was Bandung, where the World Bank was coming in as a financier.

Secondly, because key national documents (i.e., RPJMN, Blue Book, Green Book) did not have Pekanbaru and Batam as their focus cities, comparatively, less uptake was seen both strategically and financially in these two cities than in the three other pilot cities.

At the same time, the ELE team recognises that the NSP has made some significant contributions to coordination. For example, conducting a market sounding exercise and connecting financiers such as the World Bank to relevant officials in Bandung or trying to secure funding for the development of the business plan in Semarang. The main issue appears to be that coordination and market-linking activities were done quite late in the implementation period and did not leave sufficient time for adequate follow-up with the project ending in 2022. The delays were attributed to a slow-down in governments priorities towards public transport during COVID-19 and changes at the local government level.

Based on the evidence collected during the ELE, the NSP's effectiveness towards this IO is rated "amber". While the NSP was able to support 4 LGs[19] to attract further technical assistance and, to a limited degree, financial support, there is an overarching concern about who will finance the projects to ensure BRTs are implemented when SUTRI NAMA comes to an end in 2022.

Intermediate Outcome 3: Relevant policies/regulations/standards for urban transport projects are produced

At the national level, the ELE team found a great deal to show SUTRI NAMA's influence over the Ministry of Transportation (through the Directorate General of Land Transportation (DGLT)) in introducing concepts on sustainable urban transport. With the establishment of the TSU[20], SUTRI NAMA was seen to be supporting the implementation and capacity development of numerous public transport programmes, including the BTS scheme. Three out of 5 pilot cities were seen to be applying quality standards for the BTS, which relates to emission standards, bus design, station design and route design (Ministerial Regulation PM 9/2020 as the basis for the BTS programme). However, since there is no operational BRT system, it is difficult to ascertain if these regulations will be followed at the time of implementation.

SUTRI NAMA also supported the BTS programme by providing technical and regulatory studies. Three studies were completed to support the BTS programme: Technical Guidance on the Owner Estimate, Technical Guidance for Performance Standards, and Technical Guidance for Operational Plan Monitoring, and Evaluation. These studies further translated into four policy regulations supporting the BTS programme implementation: Director General Regulation on Operator Management, Director General Regulation on Penalty in Operation, Director General Regulation on Vehicle Operating Cost and Director General Regulation on Monitoring and Evaluation.

[19] The World Bank and AFD for Bandung Metropolitan Area, the European Investment Bank (EIB) for Batam and Makassar, and KfW for Semarang - all to different levels of commitments.

[20] The TSU was established as a support function within the DGLT to provide a range of services including advice, technical assistance, and quality assurance. The TSU also supported the review and assessment of policies, guidelines, and frameworks.

The NSP's pilot cities have established a Project Implementation Unit (PIU) or a task force at the city level. The cities that have already established the PIU are Bandung, Makassar, and Batam. Batam has established the PIU through a Mayor Decree, which shows a high level of governmental uptake. **Interviewees confirm that the NSP has offered valuable support in coordinating between different departments** required for implementing public transport programmes. While the ELE team feels a coordinating body (*Kelompok Kerja*/Pokja) needs to be set up at the city level, the evidence showcases that such a High-Level Committee only exists at the national level. To see greater impact and sustainability, the NSP team, through the INDOBUS component, should look at institutionalising working groups at the local level so that relevant policies and standards are cascaded at the local level**.** This coordinating body could sit across metropolitan area/several cities/districts, and the BP Cekban in Bandung is a good example.

Based on the above, the ELE team rated the progress towards this intermediate outcome as "amber", as currently, the application of these policies/regulations is more at the national level and theoretical and, at the pilot city level, the NSP played the role of inter-agency coordination at most and not necessarily been able to set policies/regulations on urban transport projects.

Intermediate Outcome 4: The local governments have applied MRV systems for their local transport projects

The NSP is conducting a capacity development programme for the MRV process (Module 7), and participants from the 5 cities are part of this training. The capacity needs assessment conducted by the NSP team revealed that MRV involves multi-level governance. Each level of government has different responsibilities or tasks in preparing GHG emission reports. Putting together the reports is the responsibility of the national-level government, while the data should be fed by local governments. Lack of required data (including data quality) and lack of knowledge of the MRV process were the focus of the training programme's design. There was also no baseline or existing GHG models for rolling out an MRV system.

In addition to the capacity building programme, the NSP team is also preparing a common methodology for calculating potential GHG emission reductions with the support of project consultants, namely GOPA Consultants and the Institute for Energy and Environmental Research (IFEU). The standard methodology will be derived from the results of five studies from each NSP pilot city.

Both MRV-related activities were underway at the time of the evaluation, and their effectiveness is unknown. **Based on the above, the ELE team rated the progress towards this intermediate outcome as "grey" owing to insufficient evidence to support that local governments have 'applied' the learnings. In fact, the attendance of the capacity building workshop for Module 7 may not guarantee the applicability and broader understanding of the subject of MRV.**

Final Outcome: SUTRI NAMA is leading the Indonesian urban transport sector onto a low-carbon development pathway

Overall, the ELE team assigns a RAG rating of "amber" to the NSP's effectiveness in contributing to its final outcome. This assessment appears to be fair, considering the amber rating in contributing to three out of four intermediate outcomes. **Indeed, SUTRI NAMA achieved mixed results, with the NSP team designing the programme in an effective way, but not being able to implement and execute it as per the cities' needs or on time, or in certain cases both. As outlined earlier there were three main external factors impacting SUTRI NAMA's effectiveness.** Firstly, **COVID-19** impeded capacity building training and other allied activities, which led to considerable delays, affecting the overall effectiveness of the programme. Secondly, **the removal of the FC Component** had significantly affected the NSP: with no option for gap-funding or viability funding the original project design was not implemented and the project had to course correct and align itself with the GoI's 'Buy the Service'

Programme. Thirdly, **implementation delays**, including seeking political buy-in at the city level and carrying out mobilisation activities, were detrimental to the programme's ability to achieve its goals.

3.3 Efficiency of the NSP

Efficiency	To what extent is the relationship between inputs and outputs timely and to expected quality standards?

The programme has struggled to deliver the full suite of outputs and outcomes as specified in the project's ToC and logframe. Delays at the commencement of implementation and ongoing delays due to COVID-19 have limited the ability of the NSP to achieve its results and deliver inputs and technical assistance on time. Staffing resources have also been quite limited to cover the entire scope of work. External consultants have been brought in to help with feasibility studies and to support and undertake capacity development and training activities.

The dropping of the FC component had a significant impact on the NSP as it changed the entire structure and overall strategic intent of the programme. Essentially, the NSP initiated a redesign of expected results based on the dropping of the FC Component. Although project documentation indicated (e.g. progress reports) it was simply a change in "indicator terms and definitions", the restructuring of the project was significant and should not be underestimated in terms of its effect not only on the impact of intended results but in terms of efficiency in the delivery. Since losing initial time, the project was never able to catch up in a manner that allowed for an overall evaluation and assessment to be completed. Even at the time of the drafting of the final evaluation report, training and capacity events are continuing and are being rushed through to avoid being cut off at the project completion date. While it is expected that these will be delivered in time, there is no opportunity to assess these events, including the quality of training, how it was received and how it will be applied.

However, it is important to note that the DGLT within the MoT is pleased with the support received to establish the NSP's TSU and provide technical input and support to review and develop guidelines that strengthen policy and regulatory frameworks. These outputs have been achieved, and they were delivered despite challenges. Nevertheless, the expected outcome of a pipeline of activities has not been achieved despite some claims from the NSP Team that a pipeline is evident. The evaluation team believes that this is simply a definitional issue, but an infrastructure pipeline of projects for financing requires more in-depth consultation and preparation. Inputs have been received into existing work to support LGs, but in reviewing these details, it appears that activities would have occurred without the input of NSP.

The NSP has also provided useful and timely support to LGs to help coordinate work, understand gaps in policy and regulatory frameworks, and offer advice and guidance to ensure alignment. The Capacity Needs Assessment was a useful product that helped shape engagement and training support and was an efficient means to provide targeted training and support. Using primarily national consultants was another efficient element in delivering capacity development activities. These consultants tended to have a more robust understanding of the context, and training could be delivered in Bahasa Indonesia and tailored to meet specific LG needs and questions. It also represented a less expensive investment in time and travel and minimised the fees often associated with international training providers.

The use of a predominantly national NSP team also maintained efficiency in terms of the type of support, guidance and advice provided. The NSP was able to advise LGs on possible strategies based on previous experiences and lessons to help avoid problematic or incorrect approaches.

The governance approach for the project was efficient overall but could have benefitted from more regular engagement. A Steering Committee is in place but only meets once a year to approve actions

and activities. The NSP would have benefitted more from a more regular and technical working group type of structure to support implementation and management arrangements.

The RAG amber colour is provided since the NSP, while able to deliver on some key outputs and products, was unable to deliver all products and deliverables in a timely manner, and higher-level outcomes were not achieved.

3.4 Impact of the NSP

Impact	What evidence is there that the NSP has been contributing to the intended impact in the ToC (incl. transformational change)?

Based on the evidence viewed and considered to date as part of the evaluation, there has been limited impact. Of the work that has been completed, it is hard to verify or attribute some of the claims made in the reporting with regards to "developing project pipelines and leveraging opportunities". Much of the pipeline work referenced in progress reports would have occurred regardless of engagement and support to LGs. That said, there have been some defined and targeted approaches whereby the NSP has played a role. For example, in assisting the Bandung LG with negotiations with the World Bank to support bus transit development. There has also been some proactive work with the LG in Semarang to strengthen approaches to bus operations. While a considerable amount of additional work is required, these foundational efforts are important.

In assessing the impact of SUTRI NAMA against the transformational change measurement framework (Annex B), Table 6 offers commentary and feedback against the dimensions of NSP-induced transformational change.

Table 6. Assessment of the dimensions of NSP-induced transformational change

Dimension	Commentary and feedback
Dimension 1: Produced a demonstrational effect and promoted learning	SUTRI NAMA has provided awareness training and capacity development to participating pilot cities. The capacity development is useful in presenting concepts and approaches. SUTRI NAMA has not been able to review and reflect on its progress. As indicated in earlier sections, much of the work to date was delayed and is only really occurring at a late stage.
Dimension 2: Caused a catalytic effect	SUTRI NAMA did generate interest from LGs and DGLT. It supported them with practical guidance and advice, including updating DGLT guidelines. However, it is difficult to find clear evidence of broader change being initiated and implemented because of the project's interventions.
Dimension 3: Contributed to additional, large-scale, and sustained GHG savings	SUTRI NAMA did not make any significant contributions to this dimension.

The lack of a FC component fundamentally changed the programme, and in hindsight, when considered from an impact perspective, the project should have been dropped at that stage. Without the ability to demonstrate or invest in the piloting of concepts and interventions or to leverage off other development partners and agencies, SUTRI NAMA was limited to small, targeted interventions. These interventions do not attract LGs' interest and time for several reasons, including: (i) there is no incentive, financial or otherwise, to participate; (ii) technical assistance operates in a

crowded market and does not bring visibility to LG operations; (iii) there is no opportunity for further downstream work to build off pilot initiatives and demonstration projects and initiatives.

The project has received strong acknowledgement and appreciation from the Ministry of Transportation, Bappenas, and sub-national governments for its support in providing technical assistance for these institutions. It has also contributed to sustainable transport development in general. However, challenges remain for the project to achieve the intended outcomes. With the time limitation, the project has successfully achieved most of its intended outputs but not intended outcomes.

For reasons outlined in this and earlier sections, the NSP has failed to deliver or trigger transformational change and has not actively captured changes at the outcome or IO levels. Therefore, the evaluation team has ranked impact as red. **However, the project has supported some key outputs that are foundational and do establish a basis that other programmes and interventions can leverage off (e.g., INDOBUS).** There has been some late progress with key outputs and there is some emerging evidence of the capacity development and training work being utilised by MoT in other areas of work. The advice and guidance provided within the remit of the project has also been well received and is appreciated by LGs.

3.5 Sustainability of the NSP

Sustainability	What is the likelihood that the outcomes will be sustained after the end of the NSP funding period?

The NSP's implementation challenges, and the limited scale of the impact to date, means it is difficult to predict the likelihood of whether the outcomes of the project are sustainable in the long term. It is difficult to ascertain if built capacities through the training programmes will be sustained over time as the capacity building efforts were still underway during the ELE exercise. However, from a design perspective, institutionalising knowledge and training modules through the MoT and its official training institute with the approach of 'Training of the Trainer' (ToT) will see sustainable results in the future. This is primarily because these modules will be used by a broad spectrum of participants who may or may not have been part of the SUTRI NAMA training events. In addition, given that the modules are highly relevant to the urban sustainable transport sector, they will be a useful knowledge tool for the future. The ToT model adopted and ensuring a thorough capacity needs assessment prior to any capacity building activity has ensured the quality and relevance of the content.

SUTRI NAMA's goals align with the Indonesian government's long-term climate and sustainable development goals and policies and meet a persistent need of the transport sector (see section 3.1 on relevance). At the sub-national level, the LGs where the SUTRI NAMA project operates have been aligned to the urban transport agenda to varying extents. Initiatives on sustainable urban transport have been included in the List of Planned Priority External Loans as issued by Bappenas for West Java, while Makassar and Semarang are included in the List of Medium-Term Planned External Loans 2020-2024. The heightened relevance of the project and its alignment to GoI policies and strategies increases the likelihood of the government sustaining the objectives and impact of the NSP.

Interviewees reported interest in the BRT technologies and the capacity building programmes which is a good sign for the project. However, whether the MRV methodology and associated capacities developed with the help of the NSP will ultimately help monitor GHG reductions is yet to be seen. There is insufficient evidence on this aspect at the time of the evaluation.

In conclusion, considering the available evidence, the ELE Team has rated the sustainability of the NSP's outcomes as "amber". Successful implementation through INDOBUS will show how sustainable built capacities will be in the future, and the evidence on this at endline remains unconfirmed.

However, there are early signs of mainstreaming of the NSP's approach into the MoT and there is a great degree of alignment between the project scope and the GoI's strategy on urban transport.

4 Conclusions

Now that the evidence collected and analysed by the ELE has been explored, this section goes back to the NSP Theory of Change to test to what extent the causal pathways and assumptions behind them (see Section 1.1) have held.

Figure 6. Overview of NSP Causal Pathways Assessment at End-line

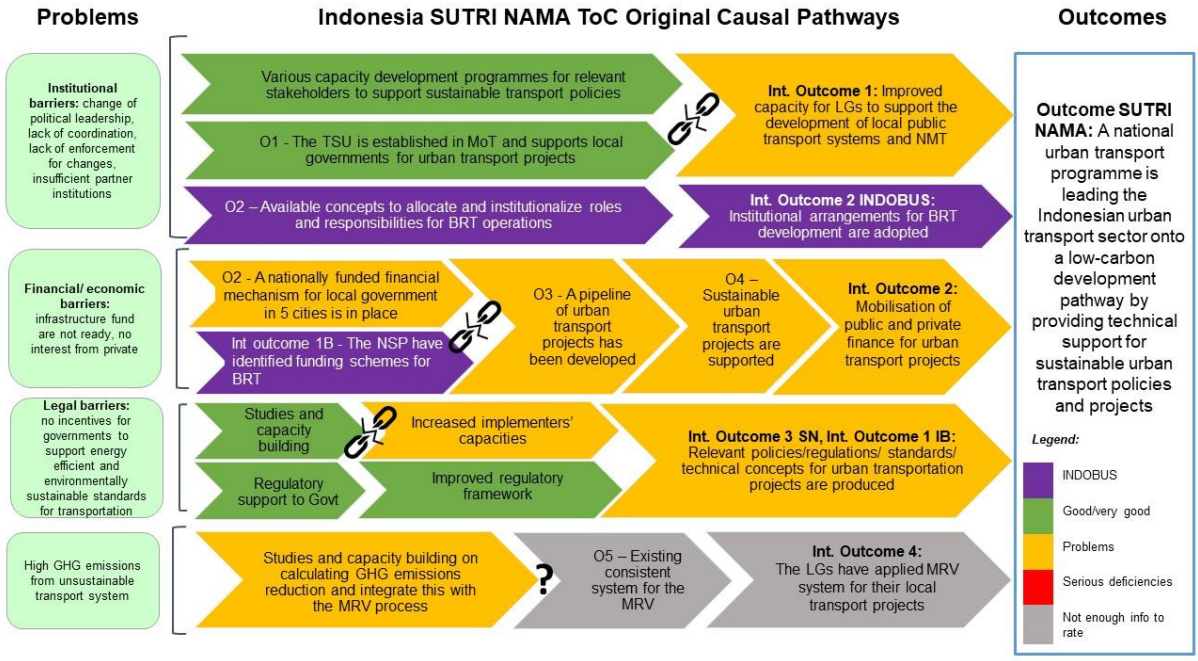


Figure 6 presents an overview of the progress of the NSP along its ToC causal pathways towards its intended outcomes. The RAG rating uses the same scale as the previous section (i.e. Good / Very Good = Green; Problems = Amber; Serious deficiencies = Red; Not enough info to rate = Grey) and the colours of the Intermediate Outcomes' shapes are the same colours used in Section 3.13.2 to rate the NSP's achievements for each Intermediate Outcome. As we are not evaluating the INDOBUS component, the colours for this component remain the same as the one in the Figure 2.

The ELE has identified the following potential causal pathways sustaining the three Intermediate Outcomes and final Outcomes of the NSP (see also Figure 2):

- **Causal pathway supporting Intermediate Outcome 1:** The implementation of various capacity development programme for relevant stakeholders to support sustainable policies and the establishment of TSU in MoT to supports local governments for urban transport projects (Output 1) have contributed to the improvement of the capacity for local government to support the development of local public transport systems and NMT (Intermediate Outcome 1). This intermediate outcome is in alignment with INDOBUS's intermediate outcome for the local government to adopt BRT arrangements. However, due to the delays in these activities where the trainings were only done close to the end of the project, it is difficult to assess the attribution and effectiveness of these activities to the programme. These activities can have strong potential to contribute to the main outcome of SUTRI NAMA considering the key role of the local government in leading the improvement of urban transport sector.

- **Causal pathway supporting Intermediate Outcome 2:** The Output 2 to set up and test a nationally-funded financial mechanism was redefined as strengthening *'a nationally-funded financial mechanism for local governments to support effective public transport projects'* and this was identified as providing technical and regulatory studies for the Buy-The-Service (BTS) programme. With support from the NSP, contributions were made to the BTS in Bandung and Makassar, i.e. 2 cities out of 5. However, due to the Output 2's redefinition, the TC Component identification of pipeline of urban transport projects (Output 3) and the development of sustainable urban transport projects (Output 4) are now only directly linked to INDOBUS' Intermediate Outcome 1B, hence the broken link with SUTRI NAMA's Output 2. Some key deliverables have been identified for the Output 3, such as the technical design on non-motorised transportation (NMT) and Parking in Batam and Makassar, and study of BRT readiness in Makassar and Semarang which then also picked up by the INDOBUS project. Unfortunately, as the project experienced delays, the mobilisation of these urban transport projects are not yet materialized (Intermediate Outcome 2) despite already providing a good start for the mobilisation of public and private finance for urban transport projects.
- **Causal pathway supporting Intermediate Outcome 3:** Various studies, capacity building, and regulatory framework have made its way to producing the relevant policies/regulations/ standards technical concepts for urban transportation projects (Intermediate Outcome 3). However, there is not enough evidence to see the extent to which these products are institutionalised.
- **Causal pathway supporting Intermediate Outcome 4:** Several studies and capacity building have been conducted to provide basic information on the calculations for assessing GHG emissions reductions, such as the potential GHG emission reductions in Batam and Makassar and the specific capacity development module on MRV. However, there is not enough data to understand the extent to which the results of the studies and capacity building have been mainstreamed and applied to the local transport projects, where, therefore, we consider to be the missing link.

What transpires from Figure 6 is that the programme has not progressed work to a stage where there is evidence of change that can be attributed to the work of the NSP. To date, a series of outputs have been produced and implemented as observed in the green results. While these are welcomed and have been applied, there is not enough evidence to measure the extent this will achieve the intended outcome. The current evaluation does not have enough information to see whether the work of SUTRI NAMA can provide fundamental change on how transport infrastructure projects are to be identified, designed, financed, and implemented. The transport infrastructure space within Indonesia is crowded with many donors and, therefore, attributing certain achievements to the NSP over other interventions is a challenge. Without adequate financing or linkage to financing, it is unlikely that the outcome sought by the NSP will be achieved and measurable, let alone be sustained.

The establishment of the NSP's TSU helped raise visibility initially, but it ultimately became an embedded structure within DGLT, which provided limited visibility and branding to the NSP or the NAMA Facility. Essentially it became an extension of the GoI, which is important at one level but detrimental to projects and initiatives seeking to leverage support and build a profile.

Capacity development had potential, but with delays and changes to project structure, capacity development was very late. Structuring capacity development around key modules was sound and appropriate and, ultimately, was the right approach. However, it is unclear how effective the training will be as time does not allow for adequate assessment or measurement. The capacity building was also important in promoting new concepts such as MRV, which is an applaudable achievement as it has the potential for future engagement and leverage into the future.

Finally, process tracing was applied as an additional test to check the validity of the NSP ToC and assess the strength of the evidence collected by the ELE. The results of the process tracing test did

not contradict the findings presented in the body of the report (see Annex E). In summary, process tracing confirmed that, while outputs and initial result can be attributed to the NSP, longer-term change and impact are not evident.

5 Lessons and recommendations

5.1 Key lessons

The evidence gathered during the ELE, along with the key findings presented in Section 3 and the conclusions in Section 0, have been used by the ELE Team to draw the lessons below:

5.1.1 Lessons for the NSP team for the continuation of INDOBUS

The following lesson is provided as SUTRI NAMA transitions into INDOBUS. The key lesson is:

Lesson 1: Establishing internal reflection processes is fundamental. It is important to identify the strategies that work effectively and refer to key lessons learned to prepare improved strategies to build upon progress to date, replicate good practices, and mitigate problematic issues. Suggested practices include the need for regular reviews of progress to assess claims made about progress and achievement.

5.1.2 Lessons for the political implementing partners and other key NSP stakeholders for sustaining SUTRI NAMA's legacy

Lesson 1: The key factor that delayed the implementation of the project was caused by the lengthy and difficult process of obtaining the Government-to-Government agreement. This was triggered by a few contributing factors, including: (1) the weak coordination between key relevant national Indonesian ministries (in this case, Ministry of Transport, Bappenas, and Ministry of Finance); and (2) the changes in the organisational restructuring of the Ministry of Transport, which affected the nomination of counterpart departments for SUTRI NAMA. The NSP team have compensated for the delay by intensifying the continuous lobbying, consultation, meetings, and discussion with the relevant government.

Lesson 2: Acknowledging that transport is a cross-cutting sector and thus requires strong coordination and commitment from various institutions, **BP Cekban (Greater Bandung Management Authority) can be the example of institution that helps accelerate the coordination process of development activities across different cities/districts and across sectors**. It is also essential to recognise the importance of non-government entities that can provide technical support and advice as well as coordination mechanisms to help facilitate implementation and management.

Lesson 3: Strengthening institutions and coordination are required "post-financing" to ensure the successful implementation and maintenance of BRT systems. Capacity and advisory support is required to maintain momentum to support LGs. Direct and tangible support is preferred, with consultants available and present in Indonesia, rather than relying on internationals who may not fully understand the context. Remote working requiring translation is less effective and does not generate the desired buy-in and results.

Lesson 4: At the sub-national level, further coordination, and alignment are needed to ensure the shared vision in building mass transport for the respective areas. Challenges remain in the sub-national governments to align their visions, develop transport planning with the relevant local government, and allocate and coordinate the budget. Despite having the same goal of building a transport system, some leaders might have different perceptions of the methods to pursue, affecting their commitment to building sustainable transport in Indonesia. For example, all the sub-national government leaders agree to establish a mass transport system in their area, but some still consider

online-riding apps as public transport, while others prefer to have different methods of transport, such as train-based, that will require more funding.

Lesson 5: Financing remains the key challenge in developing urban transport systems. Despite West Java being considered to have a large fiscal capacity compared to other provinces in Indonesia, challenges remain in accommodating the need of transport for all three-metropolitan areas in that province. The interviews suggested that the relevant sub-national institutions agree and are willing to share their budget to ensure the operationalisation of the urban transport system. However, there is not enough information and established governance structures in place that can be used to understand and discuss the level of commitments and efforts required by each institution to allocate their portion of the transport budget, let alone agree on these. The key lesson is that it is hard to generate integration as each city is independent and diverse and focused on its own transport planning agenda. LGs are also very powerful in setting the agenda, and national financing bodies and donors do not have a high degree of influence.

5.1.3 Lessons for the NAMA Facility for the review, approval, and management of future interventions

Lesson 1: Projects and initiatives should be designed for the longer-term and have dedicated structures around the Technical and Financial Cooperation components. Timeframes for infrastructure planning and support can vary from 10 to 15 years. Direct and tangible support is preferred, with consultants available and present in the target country. In addition, partner LGs, government institutions and partner cities should be identified during the design phase so there is clarity on roles, expectations, and participation requirements.

Lesson 2: The NAMA Facility should continue to carry out detailed reviews and engagement with respective NSP teams to ensure that the projects remain relevant and on track in terms of implementation and management . From the experience of SUTRI NAMA, there is opportunity to review processes of engagement to ensure intended targets and expectations are met and issues and problems are quickly identified and resolved to avoid complex and costly delays and changes.

5.1.4 Lessons for improving other or future NSPs' design and implementation

Lesson 1: It is important to define what transformational change means for each context. The term tends to often lead to focus on significant and immediate change, which does not consider long-time frames required to build trust, understanding and support institutional change. Transformational change should be considered as a means to an end and not entirely an end, particularly in contexts where institutional change requires significant investment and time.

Lesson 2: To support transformational change and sustainability, both TC and FC components' elements need to be designed and agreed upon in parallel so that work can progress in a complementary manner. Adding an FC component in the hope of identifying opportunities at a later stage opens a risk that insufficient activities will be identified, and funding may be used for inefficient or ineffective activities.

5.2 Recommendations

5.2.1 Recommendations to the political implementing partners and other key NSP stakeholders for sustaining SUTRI NAMA's legacy

We provide these recommendations to the national implementing partners because their contribution is critical in sustaining the NSP's outcomes in the long term and fostering the envisaged transformational change. However, we do not expect them to provide a written response to these recommendations in the management response to the ELE.

Recommendation 1: Further analysis can be done on the enabling factors on how BP Cekban can help to coordinate the process, and how this can be replicated or adopted in the other metropolitan areas. In addition, one of the outputs from the project is the establishment of a Project Implementation Unit (PIU). Although this is regulated by the Governor Decree of West Java in December 2020, it is not yet functioning. Further steps need to be taken to ensure the alignment and coordination between BP Cekban and the PIU.

Recommendation 2: To sustain the legacy of SUTRI NAMA, several improvements in the national urban transport implementation strategy are needed. In particular, strengthening is needed in: (1) the coordination and alignment of the vision to build transport systems between key sub-national government leaders; (2) the institutional arrangements for the implementation of urban transport systems, including the clear division of authority, tasks, and responsibilities between all parties involved. This can be envisioned as local-level working groups to ensure that the relevant policies and standards are cascaded at the local level; (3) financial management, for example, the development of the transport system business planning and improved capacity of the BUMD (local government enterprises) staffs, especially considering they do not have prior experience in managing transport project. Since transport development is a long-term commitment and has a dynamic nature of progress, support to improve the capacity of sub-national governments will also require a long-term commitment. For instance, this can be done through mentorship arrangements in addition to capacity building.

Recommendation 3: The project team, through INDOBUS, should continue to conduct market sounding with financing institutions to help bridge financing to continue investments in critical bus infrastructure. Clear measurements and associated targets can be applied in this approach as to ensure the effectiveness of the methods applied. In addition, the project should include mandate for PIUs to facilitate and coordinate the sub-national governments in determining roles and responsibilities, as well as the level of commitment, for sub-national governments to allocate their budget.

5.2.2 Recommendations to the NAMA Facility for the review, approval, and management of future interventions

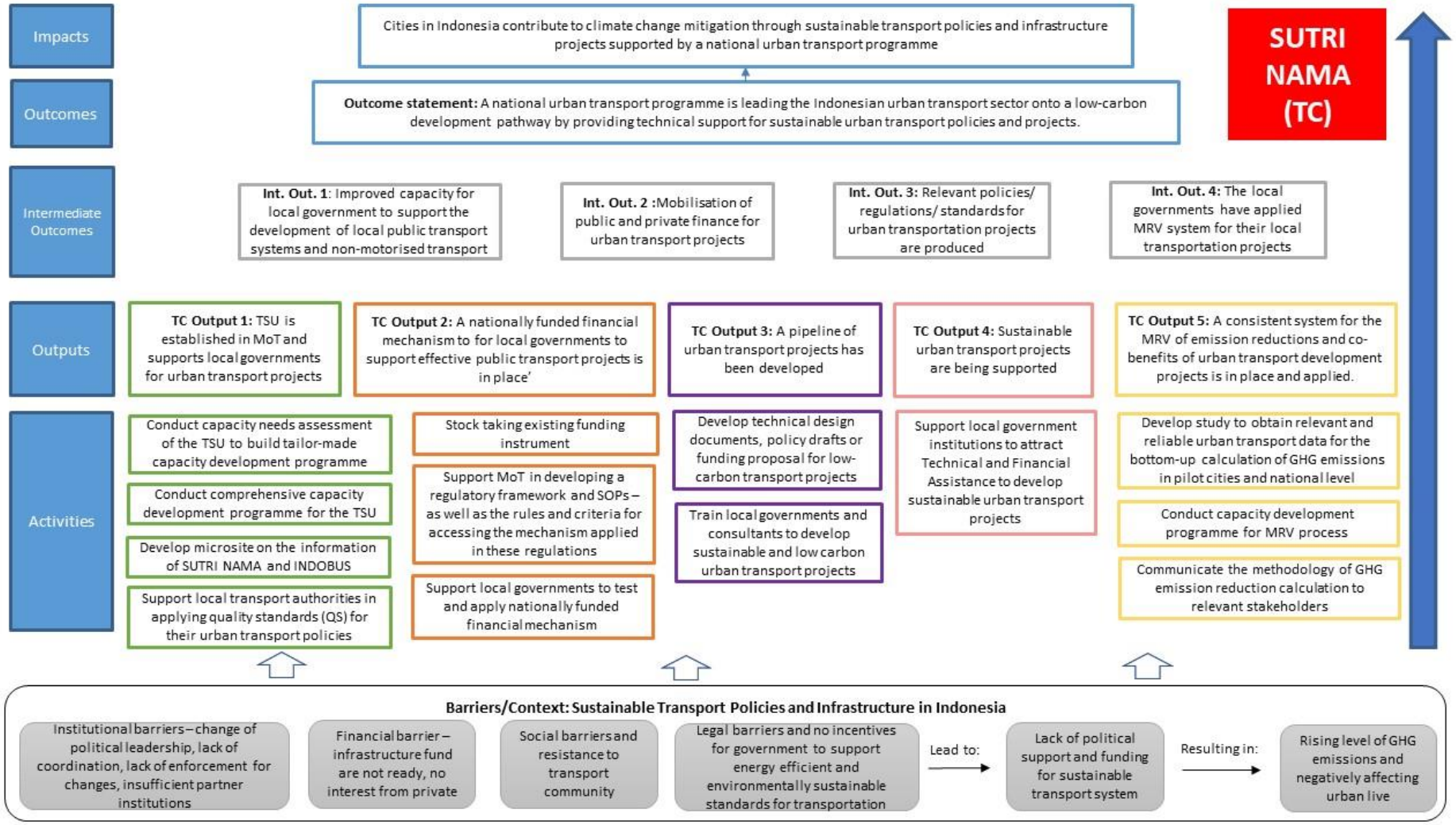
Recommendation 1: Strengthen Political Economy Analysis (PEA) in NSP appraisal. Additional PEA during the project design stage can help have comprehensive understanding on which national government institutions are the most influential and have the strongest power to influence the result of the intended impact of this project and have clearer engagement strategy towards these relevant institutions.

Recommendation 2: The NAMA Facility should reflect on the intent and nature of the NSPs. Development outcomes and transformational change take a considerable time and require significant investment of human, financial and technical capital. Therefore, long-term implementation periods are required, and results should be viewed in a long-term basis rather than over 3-5 years.

Recommendation 3: Strengthen the assessment of NSPs' stakeholder engagement plans during NSP appraisal. There is a need to improve local stakeholders' engagement in the projects' working areas. For instance, while stakeholder mapping in SUTRI NAMA was clear at the national level, this appeared not to be adequate at the local level. PEA and stakeholder engagement planning should also be extended to the sub-national level (if relevant).

Recommendation 4: Partial NSP terminations are not recommendable. NSPs should consider at the commencement of interventions what is required from a TC and FC components' perspective. If opportunities to utilise an FC component are not apparent, then the focus should be on TC component. If FC component elements are included but are not working or being implemented, then the project should cease, as partial implementation reduces overall effectiveness and leads to limited transformational change.

Annex A Theory of Change of the SUTRI NAMA NSP



Key assumptions underpinning the NSP Theory of Change

ToC element	Underpinning assumptions
Impact	• That climate change can be effectively attributed and measured • Policy and regulatory framework are robust enough to handle climate change action and provides a sound foundation upon which to build strategy.
Outcome	• There is demand for low-carbon options from with GoI (central, LGs) and a corresponding interest from consumers and passengers/ • Technical support and advice are appropriate for the needs of GoI. • GoI is committed to undertake relevant reforms and to invest in infrastructure improvements as well as climate change options.
Intermediate outcomes	• LGs are willing to participate in capacity development activities and see strategic benefits from participation • There is adequate and suitable finance available to support urban infrastructure investments and enhancements. • Demand for further improvements in policy and regulatory frameworks. • Willingness to apply MPV methodology to future infrastructure investments.
Outputs	• TSU is relevant, appropriate and provides targeted support and guidance to DGLT. • Financing mechanism are suitable and appropriate in a crowded financing space to support infrastructure investment and enhancement. • Pipeline is relevant, appropriate and in line with LG priorities and current strategic approaches. • Urban development projects that require financing are available (and most importantly are suitable for financing.)

Annex B Capturing NSP-induced Transformational Change

Introduction

This is a brief guidance developed by AMBERO/OPM outlining a framework to consistently evaluate the NAMA Support Projects' (NSPs) progress towards bringing about Transformational Change.

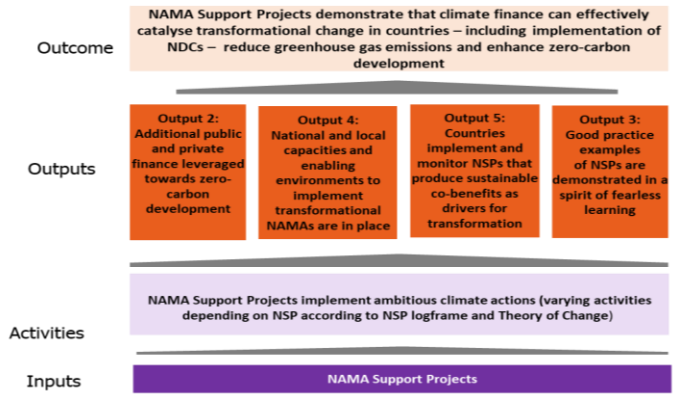
Transformational change is embedded in the NAMA Facility's goals and Theory of Change (ToC) and NSPs are the main way through which the NAMA Facility will achieve this transformational change. Therefore, NSPs need to be aiming to achieve this level of change, and the Evaluation and Learning Exercises (ELEs) of NSPs should evaluate their progress. In a way, the key elements of transformational change are already monitored through the NSP Mandatory Core Indicators M1-M5, part of the NAMA Facility M&E Framework[21]. At the same time, ELEs already assess transformational change by NSPs through ELE Questions. However, currently, clearer guidance to identifying the signals or evidence of NSP-induced transformational change is needed.

The purpose of this brief document is to clarify whether and how transformational change is expected in NSPs and provide guidance to both NSP and ELE teams on how to characterise the elements and evidence of NSP-induced transformational change.

Breaking down NSP-induced transformational change

The NAMA Facility defines transformational change as "*Catalytic change in systems and behaviours resulting from disruptive climate actions that enable actors to shift to carbon-neutral pathways*"[22]. Transformational change lays at the centre of the NAMA Facility's ToC as shown in the extract in Figure 1.

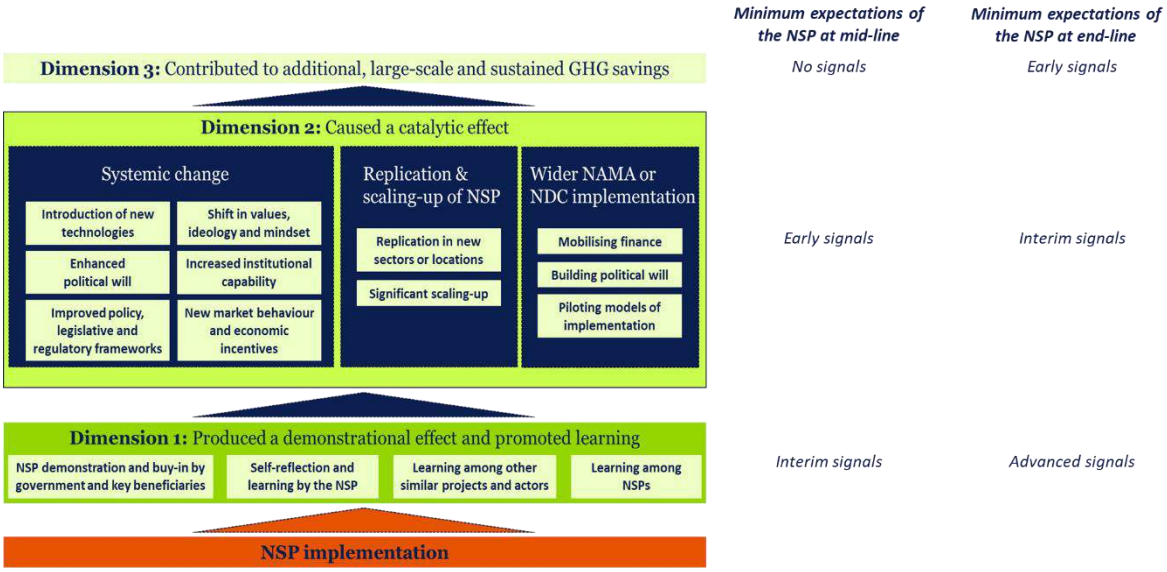
Figure 1. Relevant elements of the original TOC for the ELEs



[21] https://www.nama-facility.org/publications/monitoring-and-evaluation-framework/
[22] https://www.nama-facility.org/concept-and-approach/transformational-change

The NAMA Facility ToC explains how transformational change is expected to be achieved through its outputs and outcome. The ToC is broad, and there are different ways in which transformational change can be achieved through the NSPs. These dimensions simplify the different possible pathways for transformational change outlined in the ToC.

Figure 2. Dimensions of NSP-induced transformational change



There are three dimensions that interact and reinforce each other to produce NSP-induced transformational change (Figure 2):

Dimension 1: Produced a demonstrational effect and promoted learning. The most direct way in which an NSP can contribute to transformational change is to produce a demonstrational effect and learning process which could imply that: a) the NSP's innovative approach has been proven valid and bought into by government and other key beneficiaries; b) self-reflection and learning by the NSP in a spirit of 'fearless learning' have been observed; c) effective sharing of lessons and experience with and by other similar projects and actors (including other NSPs) has occurred. By mid-line, NSPs are expected to show interim signals[23] of achieving this demonstrational effect and learning process, which should have become clear evidence (advanced signals) by the end-line. This dimension relates to output 3 in the NAMA Facility ToC and the NAMA Facility Knowledge Creation Strategy. The demonstrational effect and learning generated by the NSP are enablers of achieving a catalytic effect (Dimension 2).

Dimension 2: Causing catalytic effect. To achieve the additional, large-scale, and sustained GHG emission reductions (Dimension 3), the NSP needs to cause a virtuous catalytic effect in the operating country or region. This can take the form of one or more of the following catalytic changes:

- **Kick-starting wider NAMA or NDC implementation**, by mobilising finance, building political will, and/or piloting models of implementation.

[23] See Table 3 below for the definition of the levels of signals or evidence.

- **Replication of the NSP's demonstrated approach** in other sectors or locations, and/or significant scaling-up of the NSP; and/or
- **'Systemic' change enabled by the NSP**, which could be supported by the one or more of the following: a) introduction of new technologies; b) increased institutional capability; c) improved policy, legislative and regulatory frameworks; d) enhanced political will; e) shift in values, ideology, and mindset; f) new market behaviour and economic incentives.

By mid-line, NSPs are expected to have produced some early signals of one or more of these changes, which by the end of the project should have been strengthened into interim signals or evidence that the catalytic effects are likely to be completed soon. The catalytic effect relates to outputs 2, 4 and 5 in the NAMA Facility ToC, and Mandatory Core Indicator M3 (catalytic impact self-assessment) and M4-M5 (public/private finance mobilised).

Dimension 3: Contribution to additional greenhouse gas (GHG) savings. This is linked to the outcome in the NAMA Facility ToC and Mandatory Core Indicator M1 – Reduced GHG emissions. It implies that the NSP has resulted in *additional, large-scale, and sustained* GHG savings[24]. Within the lifetime of the project, NSPs are not expected to have achieved this. Yet, by the end of the project, there should be signs that this is likely in the future (*early signals*).

Measuring NSP-induced transformational change

The NAMA Facility has a specific M&E framework that allows to track the progress of the NSPs towards the achievement of the NAMA Facility's goals, including transformational change. The NAMA Facility Mandatory Core Indicators and the ELEs are both central parts of this M&E framework and they can be used to assess the NSPs' advancement towards transformational change.

As shown, the transformational change dimensions come directly from the NAMA Facility ToC Since the NSPs are expected to be aligned to the overall NAMA Facility ToC, then it should be possible to map the dimensions of transformational change in the NSP ToCs. All NSPs are required to monitor their progress using a series of Mandatory Core Indicators and NSP-specific indicators. The NAMA Facility Mandatory Core Indicators partially capture the elements of the transformational change framework in Figure 2 (see Table 1).

Table 1. How the NAMA Facility Mandatory Core Indicators capture transformational change

Transformational change dimension	Core Indicators
1. Produced a demonstrational effect and promoted learning	Not captured but left to the NSP-specific indicators.

[24] Additional = the GHG savings achieved are in addition to those achieved by the direct implementation of the NSP. Large-scale = the additional GHG savings will have a significant impact on overall GHG savings in the geography/sector. Sustained = there is no chance of the GHG savings being reversed.

Transformational change dimension	Core Indicators
2. Caused a catalytic effect	**M2: Number of people directly benefiting from NSP** – To a certain extent captures NSP scaling up **M3: Degree to which the supported activities are likely to catalyse impacts beyond the NAMA Support Projects (potential for scaling-up, replication and transformation)** – The transformational change measurement framework presented can be used to break down / clarify the transformational change elements and guide the self-assessment. **M4-M5: [additional] public/private finance mobilised** – These indicators capture the NSP's scale-up potential and the catalysation of wider NAMA and NDC implementation.
3. Contributed to additional, large-scale, and sustained GHG savings	**M1: Reduced GHG emissions** - NSP M&E Plan distinguish between direct and indirect GHG savings and has long temporal scale

Concerning the ELEs, Table 2 provides some suggestions of potential questions that could be integrated into ELE methodologies to capture the specific elements of the Transformational change framework in Figure 2.

Table 2. How the ELEQs can capture transformational change

Transformational change dimension	Examples of relevant ELE sub-questions
1. Produced a demonstrational effect and promoted learning	• How successfully did the NSP produce a demonstrational effect of best practices for systemic low-carbon transformation? To what extent have the government and other key NSP beneficiaries bought into these practices? • What is the evidence that the NSP has learnt from its successes and failures throughout its implementation? • How was learning from this NSP shared with other NSPs, and did they make any changes to their approach as a result?
2. Caused a catalytic effect	• **Systemic change**: How did the NSP result in systemic change [i.e., were national and local capacities and enabling environments (e.g., new technologies, policies, regulations, incentives, behaviours) to implement transformational NAMAs strengthened]? • **Replication/Scaling-up**: a) How much additional public and/or private finance has been leveraged by the NSP towards zero-carbon development? b) What is the evidence that the NSP approach will be replicated in new sectors and/or locations? • **Wider NAMA or NDC contribution**: How has the NSP contributed to the implementation of the NDC or wider mitigation actions in the same sector?

Transformational change dimension	Examples of relevant ELE sub-questions
3. Contributed to additional GHG savings	• Are there signals that the NSP will contribute to additional, large-scale, sustained GHG savings (beyond direct savings of the NSP)? What were the distinct roles of the financial and technical components in contributing to these savings? • What is the likelihood that the additional GHG savings will be sustained in the medium to long term (i.e., 10–15 years and beyond), meaning there is no risk of backsliding or reversing?

In the section dedicated to the OECD DAC criterion "*Impact*" of ELE Reports, sub-headings referring to the three transformational change dimensions are used to present the evidence observed to that point in time. These sub-sections present the findings related to the relevant questions in Table 2 and describe the NSP's progress along the transformational change dimension according to the signal levels defined in Table 3.

Table 3. Transformational Change "Signals" assessment by ELEs

Signal level	Definitions
No evidence	Evidence suggests little to no progress is being made in line with the ToC causal pathways to Transformational Change.
Early signals	There is emerging evidence of the transformation related to the dimension, or the foundations for the transformation have been laid by the NSP but no signals of the change are present.
Interim signals	Evidence shows some signals that the transformation related to the dimension is underway and it is likely to continue.
Advanced signals	Evidence shows strong signals that the transformation related to the dimension is underway and there is little doubt that it will continue.

Annex C Evaluation and Learning Exercise Matrix

This evaluation and learning exercise matrix are based on the Theoretical Framework provided (version April 2022). It is a working tool that allows the evaluators to focus on a feasible target and assemble information for each question that can be synthesised in the final report, hence creating an integrative overview of the NAMA Support Project at large.

ELEQ No.	Evaluation Question	Evaluation criteria	Original hypotheses	Who can answer this question	Source of information Data gaps
1 RELEVANCE					
1	To what extent does the NSP address an identified need of the Government of Indonesia (GoI) transport authorities -central ministry and Provinces?	▪ The NSP design responds to the needs and strategic priorities of the GoI at the time of adoption. ▪ The NSP is aligned with the needs of transport authorities, as evidenced by mainstreaming NSP's element in the GoI's transport plan/policies. ▪ How has the relevance of the NSP been influenced (positively and/or negatively) by external changes during its implementation?	▪ GoI has not adequately funded or committed budget to infrastructure provision ▪ The NSP is appropriately designed ▪ The TC Component and initial FC Component were sufficient to address needs and priorities.	▪ Direct beneficiaries (government, service providers) ▪ NSP Team	▪ Semi-structured key informant interviews (KIIs) ▪ Context analysis ▪ Document review (Project concepts (logical framework matrix) and progress reports) ▪ National plans, strategies, and other policy instruments.
1.1	How well does the NSP align with GoI agency priorities regarding transport policy and infrastructure?	▪ The project is in line with GoI policies and regulations for the transport sector.	▪ The NSP supports infrastructure provision and has contributed in a positive and meaningful manner to help prepare plans and priorities for funding.	▪ Direct beneficiaries (government, service providers) ▪ NSP Team	▪ Semi-structured key informant interviews (KIIs) ▪ National plans, strategies, and other policy instruments. ▪ Data from NSP monitoring reports

ELEQ No.	Evaluation Question	Evaluation criteria	Original hypotheses	Who can answer this question	Source of information Data gaps
1.2	How well does the NSP align with other donors and financial institutional priorities about infrastructure investments?	▪ The project is in line with the funding priorities of GoI and financial institutions	▪ Potential partners are willing and interested in supporting the infrastructure priorities supported by the NSP	▪ Direct beneficiaries (government, service providers) ▪ NSP Team	▪ Semi-structured key informant interviews (KIIs) ▪ Reports/publications from other donors (e.g., World Bank – West Java project)
1.3	How has the relevance of the NSP been influenced (positively and/or negatively) by external changes during its implementation?	▪ The project's goals and specific objectives and needs are still valid. ▪ Several assumptions and causal pathways outlined in the TOC remain valid, after adaptations and refinements	▪ Overall relevance of projects is often impacted by external decisions. It is important to consider external influences and how they have impacted the programme.	▪ Direct beneficiaries ▪ NSP Team ▪ TSU ▪ Independent verifiers	▪ Progress reports ▪ Semi-structured KIIs ▪ Document reviews
2 EFFECTIVENESS					
2	To what extent is the implementation of the NSP achieving intended outcomes (incl. intermediate ones)?	▪ Available evidence to prove reaching expected results/ interim outcomes (differentiating between the TC Component and FC Component) ▪ The strength of the NSP contribution to the realisation of those outcomes (see link between outputs and outcomes) ▪ Identify the synergies between the NSP and INDOBUS.	▪ The design of the project focused initially on a TC Component and FC Component that provided a mix of approaches to raise awareness and capacity and to fund projects	▪ Direct beneficiaries ▪ NSP Team	▪ Semi-structured key informant interviews (KIIs) ▪ NSP proposal ▪ Progress reports ▪ Data from NSP monitoring system / logframe
2.1	What has been the implication of project amendments in terms of results and progress	▪ Implication of dropping the FC Component ▪ Analysis of the extent the amendment in the TC Component has been sufficient in supporting the achievement of outcomes	▪ Removal of the FC Component has had implications for effectiveness but also raised more opportunities	▪ Direct beneficiaries ▪ NSP Team	▪ Semi-structured key informant interviews (KIIs) ▪ NSP proposal ▪ Progress reports ▪ Data from NSP monitoring system / logframe

ELEQ No.	Evaluation Question	Evaluation criteria	Original hypotheses	Who can answer this question	Source of information Data gaps
	towards outcomes?		through the TC Component		
2.2	Which factors external to the execution of the programme had an impact (positive and/or negative) on the achievement of the expected results? If so, to what extent (greatly, partially, negligibly)?	▪ The level of NSP contribution to the achievement of the results compared to exogenous factors. ▪ Several assumptions and causal pathways outlined in the TOC remain valid, after adaptations and refinements	▪ The NSP is the main cause of the achievement of the intended and unintended outcomes	▪ Direct beneficiaries ▪ NSP Team ▪ TSU ▪ NAMA Facility Donors ▪ Independent verifiers	▪ Document reviews (incl. NSP products) and progress reports ▪ In-depth interviews ▪ Semi-structured KIIs ▪ Literature review
3 EFFICIENCIES					
3	To what extent is the relationship between inputs and outputs timely and to expected quality standards?	▪ Timeliness of the delivery of outputs and outcomes ▪ If there are delays in the implementation, what has caused them (endogenous or exogenous factors) and how have they impacted the NSP implementation? ▪ The effectiveness of the measures adopted to reduce delays. ▪ The level of satisfaction of the NSP's direct beneficiaries	▪ TC Components are being delivered on time ▪ All products are of a high standard and quality. ▪ Coordination and engagement with partners have facilitated progress and contributed to results.	▪ Direct beneficiaries ▪ NSP Team	▪ NSP proposal ▪ Progress reports ▪ Data from NSP monitoring system ▪ Semi-structured KIIs
3.1	Governance and implementation arrangements: Is the NSP being managed, coordinated, and	▪ The chosen implementation mechanism is conducive to achieving the expected outcomes. ▪ The TC Component is tailor-made for achieving the planned outputs. How well did the TC Component and FC	▪ The NSP Team has an enabling governance structure. ▪ Key stakeholders fully own and	▪ Direct beneficiaries ▪ NSP Team	▪ NSP proposal ▪ Progress reports ▪ Data from NSP monitoring system ▪ Semi-structured KIIs

ELEQ No.	Evaluation Question	Evaluation criteria	Original hypotheses	Who can answer this question	Source of information Data gaps
	implemented effectively?	Component interact and support each other? ▪ Cooperation with relevant stakeholders (e.g., Ministry of Transport, Bappeda, Transport Agency, Environment Agency, Public Work Agency) is geared toward achieving expected outcomes. Was there good communication? ▪ FC Component and TC Component are synchronised and build on each other. ▪ Level of participation and collaboration from NSP stakeholders – including from the national and local governments. How satisfied are these partners?	commit to their roles in the NSP. ▪ Coordination and alignment can be a challenge for the stakeholders ▪ TC Component and FC Component are implemented in parallel and add value to each other (also to consider implications of the dropping of the FC Component)		
4 IMPACTS					
4	What evidence is there that the NSP is likely to contribute to the intended impact (incl. transformational change)?	▪ The strength of the evidence that key outcomes are going to be achieved and the robustness of the causal links/ pathways to the intended impact (namely, proving that planning and support lead to anticipated change). ▪ Replication/Scaling-up: a) How much additional public and/or private finance has been leveraged by the NSP towards zero-carbon development? ▪ Are there signals that the NSP will contribute to additional, large-scale, sustained GHG savings (beyond the direct savings of the NSP)? And to what extent can this be sustained?	▪ The NSP is showing advance signals of producing a demonstrational effect (Dimension 1). ▪ The NSP is showing interim signals of causing a catalytic effect, in terms of systemic change, replication or scale-up and wider NAMA or NDC implementation, (Dimension2) ▪ The NSP is showing early signals or at least has a	▪ Direct beneficiaries ▪ NSP Team	▪ NSP proposal ▪ Progress reports ▪ Data from NSP monitoring system ▪ Semi-structured KIIs

ELEQ No.	Evaluation Question	Evaluation criteria	Original hypotheses	Who can answer this question	Source of information Data gaps
			reasonable plan to contribute to additional (i.e., indirect), large-scale, and sustained GHG emission savings (Dimension 3)		
5 SUSTAINABILITY					
5	What is the likelihood that the outcomes will be sustained after the end of the NSP funding period?	▪ The extent of the evidence supporting the NSP's sustainability (e.g., evidence of self-sustaining institutional structures, and political and financial commitment of key stakeholders). ▪ Levers endangering the sustainability of project results beyond its duration are addressed.	▪ TC Component has been utilised to develop effective packages ▪ Capacity development is being utilised and applied.	▪ Direct beneficiaries ▪ NSP Team	▪ NSP proposal ▪ Progress reports ▪ Data from NSP monitoring system ▪ Semi-structured KIIs
6 LEARNING					
6	What key lessons can be learnt to the benefit of this NSP or other projects or NSPs in achieving their results?	▪ The NSP's generation of important lessons for: 1) itself/national stakeholders; 2) future NSP applicants; 3) the NAMA Facility. ▪ The effectiveness of the sharing of learning from this NSP with other initiatives or NSPs	▪ The NSP generated and captured important lessons to improve its own implementation strategy ▪ The NSP generated and captured important lessons for other projects and/or NSPs	▪ Direct beneficiaries ▪ NSP Team ▪ Independent verifiers	▪ Progress reports ▪ In-depth interviews ▪ Semi-structured KIIs ▪ Literature review

Annex D Evidence and answers to the ELE matrix

The following table has been part of the ELE analysis effort to link the answers to the ELEQs with the evidence from the ELE sources that underpins them.

ELEQ No.	Evaluation Question	Evaluation criteria	Original hypotheses	ELE Evidence
1 RELEVANCE				
1	To what extent does the NSP address an identified need of the Government of Indonesia (GoI) transport authorities - central ministry and Provinces?	▪ The NSP design responds to the needs and strategic priorities of the GoI at the time of adoption. ▪ The NSP is aligned with the needs of transport authorities, as evidenced by mainstreaming NSP's element in the GoI's transportation plan/policies. ▪ How has the relevance of the NSP been influenced (positively and/or negatively) by external changes during its implementation?	▪ GoI has not adequately funded or committed budget to infrastructure provision ▪ The NSP is appropriately designed ▪ The TC Component and initial FC Component were sufficient to address needs and priorities.	• Solid evidence that the project aligns with the needs and priorities of the GoI (government regulations detailed in main body of report). • Evidence that support provided is well received by LGs and transport authorities, particularly guidance on policies and plans and the capacity development approach (i.e., training needs assessment) • NSP influenced by external factors such as delays to commencement, COVID-19, and the dropping of the FC Component.
1.1	How well does the NSP align with GoI agency priorities regarding transport policy and infrastructure?	▪ The project is in line with GoI policies and regulations for the transport sector.	▪ The NSP supports infrastructure provision and has contributed in a positive and meaningful manner to help prepare plans and priorities for funding.	▪ Strong evidence that the NSP aligns with priorities of MoT. Tangible work to establish the TSU as well as supporting the TSU/DGLT with policy guidance and socialisation of guidelines to LGs and transport authorities. ▪ Capacity development programme well received and based on defined needs.
1.2	How well does the NSP align with other donors and financial institutional priorities about	▪ The project is in line with the funding priorities of GoI and financial institutions	▪ Potential partners are willing and interested in supporting the infrastructure priorities supported by the NSP	• Less evidence of alignment since the FC Component was dropped. • Still engaged with the work of other donors, but the support provided by other donors and actors is not directly attributable to the work of the NSP.

ELEQ No.	Evaluation Question	Evaluation criteria	Original hypotheses	ELE Evidence
	infrastructure investments?			• Has provided support to LGs to advise on priority infrastructure needs and has aided in some coordination efforts.
1.3	How has the relevance of the NSP been influenced (positively and/or negatively) by external changes during its implementation?	▪ The project's goals and specific objectives and needs are still valid. ▪ Several assumptions and causal pathways outlined in the TOC remain valid, after adaptations and refinements	▪ Overall relevance of projects is often impacted by external decisions. It is important to consider external influences and how they have impacted the programme.	▪ NSP influenced by external factors such as delays to commencement, COVID-19, and the dropping of the FC Component.
2 EFFECTIVENESS				
2	To what extent is the implementation of the NSP achieving intended outcomes (incl. intermediate ones)?	▪ Available evidence to prove reaching expected results/ interim outcomes (differentiating between the TC Component and FC Component) ▪ The strength of the NSP contribution to the realisation of those outcomes (see link between outputs and outcomes) ▪ Identify the synergies between the NSP and INDOBUS.	▪ The design of the project focused initially on a TC Component and FC Component that provided a mix of approaches to raise awareness and capacity and to fund projects	▪ Project has made good progress against most outputs, but less evidence is available against intermediate outcomes and the overall outcome. ▪ While the focus of NSP has centred on the dropping of the FC Component, it cannot be argued that this is the sole reason for the non-achievement of outcomes. Changes have been made to indicators to suit the work that the NSP is doing rather than setting aspirational and transformation targets that the NSP can work towards. ▪ Monitoring only occurs at the output level. Delays in implementation have also meant that evidence is weak for outcomes (i.e., training results) because these activities are still ongoing. ▪ Some good progress on the MRV (Output 5) and this is likely to continue.

ELEQ No.	Evaluation Question	Evaluation criteria	Original hypotheses	ELE Evidence
				▪ Possible linkages with the work of INDOBUS, but the NSP should be assessed independently rather than relying on the work and success to date of the INDOBUS project.
2.1	What has been the implication of project amendments in terms of results and progress towards outcomes?	▪ Implication of dropping the FC Component ▪ Analysis of the extent the amendment in the TC Component has been sufficient in supporting the achievement of outcomes	▪ Removal of the FC Component has had implications for effectiveness but also raised more opportunities through the TC Component	▪ Removal of the FC Component did have an impact but as stated above, this cannot be attributable entirely to overall under-performance. ▪ TC Component support remains relevant and is progressing well at the output level but is not being realised in evidence of transformational change.
2.2	Which factors external to the execution of the programme had an impact (positive and/or negative) on the achievement of the expected results? If so, to what extent (greatly, partially, negligibly)?	▪ The level of NSP contribution to the achievement of the results compared to exogenous factors. ▪ Several assumptions and causal pathways outlined in the TOC remain valid, after adaptations and refinements	▪ The NSP is the main cause of the achievement of the intended and unintended outcomes	▪ Delays at commencement placed stress on the NSP. Changes in leadership also did not help facilitate engagement or build trust with GoI counterparts. The use of a national team leader has helped the process and enabled better facilitation. ▪ COVID-19 also had an impact, but this should have been relatively minimal given most of the NSP are national staff and were not subject to lockdowns and inability to travel. ▪ Supervision and management of the NSP externally have also been generally weak, which allowed work to progress and for changes to be made with limited input or supervision. A key lesson for future interventions.
3 EFFICIENCY				
3	To what extent is the relationship between inputs and outputs timely and to	▪ Timeliness of the delivery of outputs and outcomes ▪ If there are delays in the implementation, what has caused them (endogenous or exogenous factors) and how have they impacted the NSP implementation?	▪ TC Components are being delivered on time ▪ All products are of a high standard and quality. ▪ Coordination and engagement with partners	▪ Commencement delays and other external changes (mentioned above) have delayed work and input. While progress has accelerated in 2021/2022, it is difficult to state that the project has been efficient in terms of delivery.

ELEQ No.	Evaluation Question	Evaluation criteria	Original hypotheses	ELE Evidence
	expected quality standards?	▪ The effectiveness of the measures adopted to reduce delays. ▪ The level of satisfaction of the NSP's direct beneficiaries	have facilitated progress and contributed to results.	▪ The use of national consultants and representatives is cost-efficient and promotes more effective working relationships. ▪ The NSP has good working relationships with the DGLT/TSU, and the support provided to date is viewed as helpful. The NSP responds to requests and supports in an efficient manner.
3.1	Governance and implementation arrangements: Is the NSP being managed, coordinated, and implemented effectively?	▪ The chosen implementation mechanism is conducive to achieving the expected outcomes. ▪ The TC Component is tailor-made for achieving the planned outputs. How well did the TC Component and FC Component interact and support each other? ▪ Cooperation with relevant stakeholders (e.g., Ministry of Transportation, Bappeda, Transportation Agency, Environment Agency, Public Work Agency) is geared toward achieving expected outcomes. Was there good communication? ▪ FC Component and TC Component are synchronised and build on each other. ▪ Level of participation and collaboration from NSP stakeholders – including from the national and local governments. How satisfied are these partners?	▪ The NSP Team has an enabling governance structure. ▪ Key stakeholders fully own and commit to their roles in the NSP. ▪ Coordination and alignment can be a challenge for the stakeholders ▪ TC Component and FC Component are implemented in parallel and add value to each other (also to consider implications of the dropping of the FC Component)	▪ The implementation mechanism is not entirely efficient. The ruse of a framework approach whereby consultants are drawn upon as required may be efficient from an administrative point of view but does not support productive working arrangements. ▪ DGLT would prefer more long-term advisers to work alongside counterparts to build relationships and support work. ▪ Governance arrangements are generally weak, with a Steering Committee only meeting once a year. Limited external supervision and support also hampers implementation and does not provide overall support to promote accountability and transparency. ▪ The TC Component has progressed to achieve most outputs, but as indicated earlier, the dropping of the FC Component did reduce the visibility of the NSP and the ability to influence broader transformational change.
4 IMPACT				
4	What evidence is there that the NSP is likely to contribute to the intended impact (incl.	▪ The strength of the evidence that key outcomes are going to be achieved and the robustness of the causal links/ pathways to the intended impact (namely, proving that planning and support lead to anticipated change).	▪ The NSP is showing advance signals of producing a demonstrational effect (Dimension 1). ▪ The NSP is showing interim signals of causing a catalytic	▪ Limited evidence of impact at this stage. Some progress towards intermediate outcomes but not adequately reported upon, and data are not available to make assessments. ▪ Some contributions to supporting LGs on BRT but not generating new finance. Some

ELEQ No.	Evaluation Question	Evaluation criteria	Original hypotheses	ELE Evidence
	transformational change)?	▪ Replication/Scaling-up: a) How much additional public and/or private finance has been leveraged by the NSP towards zero-carbon development? ▪ Are there signals that the NSP will contribute to additional, large-scale, sustained GHG savings (beyond the direct savings of the NSP)? And to what extent can this be sustained?	effect, in terms of systemic change, replication or scale-up and wider NAMA or NDC implementation, (Dimension2) ▪ The NSP is showing early signals or at least has a reasonable plan to contribute to additional (i.e., indirect), large-scale, and sustained GHG emission savings (Dimension 3)	engagement and consultation with other partners but not driven by NSP and working by convenience. ▪ Limited evidence of work towards GHG emissions reductions (direct and indirect).
5 SUSTAINABILITY				
5	What is the likelihood that the outcomes will be sustained after the end of the NSP funding period?	▪ The extent of the evidence supporting the NSP's sustainability (e.g., evidence of self-sustaining institutional structures, and political and financial commitment of key stakeholders). ▪ Levers endangering the sustainability of project results beyond its duration are addressed.	▪ TC Component has been utilised to develop effective packages ▪ Capacity development is being utilised and applied.	▪ Limited evidence of long-term sustainability., ▪ Some good work in capacity development with the targeting of support on key modules, but delays in implementation mean that this training cannot be fully assessed. ▪ Work in MRV has also been sound and is likely that work in the area will continue but this is dependent upon adequate resources and overall commitment.
6 LEARNING				
6	What key lessons can be learnt to the benefit of this NSP or other projects or NSPs in achieving their results?	▪ The NSP's generation of important lessons for: 1) itself/national stakeholders; 2) future NSP applicants; 3) the NAMA Facility. ▪ The effectiveness of the sharing of learning from this NSP with other initiatives or NSPs	▪ The NSP generated and captured important lessons to improve its own implementation strategy ▪ The NSP generated and captured important lessons for other projects and/or NSPs	▪ Key learnings include: - Need for projects to be designed with realistic timeframes and resourcing from the start. - Regular reviews of progress and achievement and flexibility to make changes as work progresses. - Stronger supervision from NAMA facility to test and question claims being made about progress and achievement.

ELEQ No.	Evaluation Question	Evaluation criteria	Original hypotheses	ELE Evidence
				- Updating of ToC and results frameworks as required to reflect the reality of work and the evolving context.

Annex E Validity of the causal pathways using process tracing tests

The table below shows the result of the application of formal process tracing tests on the causal pathways of the NSP ToC to assess the strength of the evidence collected by the ELE to either confirm or reject the hypotheses behind each causal chain.

Overview on the validity of the causal pathways using process tracing tests

Formal test	Test description	Causal pathways of the NSP	Process tracing test
Smoking gun (confirmatory)	If evidence is observed, the hypothesis is confirmed. If evidence is not observed, the hypothesis is not confirmed, but this is not enough to reject the hypothesis.	Can describe the causal pathway for IO1-4.	**Causal pathway supporting Intermediate Outcome 1 & 3:** Initial evidence of the outputs and the intermediate outcome and outcome 1 is observed, and it is likely the hypothesis is correct although incomplete (Capacity Development and standards have been put in place, we don't know to what extent it will be implemented). So far and due to the delays (COVID-19 and changes in project design), capacity building activities are still underway, there is not enough evidence to confirm the hypothesis yet. Causal pathway supporting Intermediate Outcome 3: Initial evidence of the outputs and the intermediate outcome and outcome 3 (mobilising of private/ public investments) is not clearly observed, and it is likely the hypothesis is correct that without fund mobilisation, effectiveness will be limited. Limitations exist regarding the motivation of further private investments) due to the delays and removal of the FC Component altogether.

Formal test	Test description	Causal pathways of the NSP	Process tracing test
Hoop test (disconformity)	If the evidence is not observed, the hypothesis is rejected. If the evidence is observed, the hypothesis is not rejected, but this is not sufficient to confirm the hypothesis.	No causal pathway falls into this category.	
Double decisive	If evidence is observed, the hypothesis is confirmed. If the evidence is not observed, the hypothesis is rejected.	No causal pathway falls into this category.	
Straw in the wind	If the evidence is observed, this is not sufficient to confirm the hypothesis. If the evidence is not observed, this is not sufficient to reject the hypothesis.	Intermediary outcome 5 - MRV	Not enough data to confirm/ reject underway MRV training in September 2022

Annex F NSP achievements against logframe indicators

Below are reported the SUTRI NAMA NSP logframe indicators grouped under the relevant elements of the ToC. Target and achieved figures are reported with a Red Green (i.e., target not met-met) assessment. Only indicators relevant to the TC Component are reported.

F.1 Outcome indicators

Outcome: The programme provides technical support to local governments and financial incentives for investments in sustainable public transport and non-motorized transport [0-100%: ranking system]

#	Indicator	Baseline	Target 2021	Achieved*
M1 Direct	Reduced direct GHG emission in (t Co2)	N/A	N/A[25]	0
M1 Indirect	Reduced indirect GHG emission in (t Co2)	N/A	N/A	0
M2	Number of people benefitting directly from NSP (men and women)	N/A	388	401 (378 M and 23 F)[26]
M3	Percentage of milestones converted to ranking as per Annex 4 of the NF M&E Framework of November 2018; own data.	N/A	0	4
M4	Public finance mobilised (in EUR)	N/A	EUR 46,888,000	EUR 22,207,173[27]
M5	Private finance mobilised (in EUR)	N/A	0	0

*Note: Figure from M&E plan [2021]

F.2 Output indicators

Output 1: The Technical Support Unit (TSU) is established in MoT and is providing local governments with technical guidance and capacity development for the preparation and implementation of public transport projects.

[25] The target was removed due to the dropping of the Financial Component in 2020.
[26] Number provided from logframe but cannot be verified.
[27] Number based on MoT investment. Not clear if financing is directly attributable to NSP.

#	Indicator	Baseline	Target 2021	Achieved*
1	TSU in MoT is created, trained, and operational	0	1	1
2	Local transport authorities apply quality standards (QS) for effective project development and implementation as set by the TSU in the execution of their urban transport policies	0	5	3

*Note: Figure from M&E plan [2021]

Output 2: A nationally funded financial mechanism for local governments to support effective public transport projects is in place

#	Indicator	Baseline	Target 2021	Achieved*
1	A nationally funded financial mechanism has been established and is operational	0	4	0
2	Five local governments apply a nationally funded financial mechanism	0	5	2

*Note: Figure from M&E plan [2021]

Output 3: A pipeline of urban transport projects has been developed through support to local governments and consultants

#	Indicator	Baseline	Target 2022	Achieved*
1	Technical design documents or policy drafts of sustainable and low-carbon transport projects have been elaborated by local governments, transport consultancies, and transport planners	0	20	5
2	Five local governments and consultants have been trained to develop sustainable and low-carbon urban transport projects	0	5	5

*Note: Figure from M&E plan [2021]

Output 4: A Sustainable urban transport projects are being supported through third-party technical assistance (TA) and/or financial assistance (FA) leveraged by NSP

#	Indicator	Baseline	Target 2022	Achieved*
1	Five local/national government institutions were supported in attracting TA and/or FA from third parties to develop and implement sustainable urban transport projects	0	5	3

Output 5: A consistent system for measuring, reporting, and verifying (MRV) emission reductions and co-benefits of urban transport development projects is in place and has been applied by national and local implementation partners.

#	Indicator	Baseline	Target 2022	Achieved*
1	Relevant and reliable urban transport data for the bottom-up calculation of GHG emissions is available in pilot cities and at the national level	0	1	4
2	The MRV concept has been applied and institutionalised according to the monitoring and evaluation plan	0	1	14

*Note: Figure from M&E plan [2021]

Annex G List of ELE sources

G.1 Internal documents

1. 2015_NSP Indonesia_SUTRI NAMA_semi-annual report
2. 2016_NSP Indonesia_Technical Component_semi-annual report
3. NSP annual report 2020 Indonesia Transport Technical Component+Financial Component
4. NSP annual report 2020 Indonesia Transport - Annex 1a - M_E plan
5. NSP annual report 2020 Indonesia Transport - Annex 1b - Risk Monitoring
6. NSP annual report 2020 Indonesia Transport - Annex 1c - Covid-19 Monitoring
7. NSP annual report 2020 Indonesia Transport - Annex 1d - Gantt chart
8. NSP annual report 2021 Indonesia Transport Technical Component
9. NSP annual report 2021 Indonesia Transport - Annex 1 - M_E plan
10. NSP annual report 2021 Indonesia Transport - Annex 1a - Covid-19 Monitoring
11. NSP annual report 2021 Indonesia Transport - Annex 1b - Risk Monitoring
12. NSP annual report 2021 Indonesia Transport - Annex 1d - Gantt Chart
13. Indonesia Transport - overview amendments and reports
14. NSP annual report 2015 Indonesia SUTRI NAMA
15. NSP annual report 2016 Indonesia SUTRI NAMA
16. NSP annual report 2017 SUTRINAMA
17. NSP semi-annual report 2017 SUTRI-NAMA Indonesia
18. NSP semi-annual report 2018 Indonesia transport Technical Component & Financial Component
19. NSP semi-annual report 2019 - Indonesia Transport - Financial Component+Technical Component
20. NSP Semi-Annual Report 2020 - Indonesia Transport - Financial Component + Technical Component
21. 3. 220722 NSP Semi-Annual Report Jan 2022 to Jun 2022 - SUTRI NAMA
22. Rekap Nilai Pre-test dan Post-test

23. List of Participants Capacity Development Batch 1
24. Kepgub Tim Pengembangan Sistem Transportasi Massal BRT di Kawasa Perkotaan Cekban
25. CapDev List of Participant_ok

G.2 Public documents

1. Final ER 110822
2. 190828 SK TIM PELAKSANA SUTRINAMA DAN INDOBUS

G.3 List of organisations interviewed

Last Name	First Name	Position
NSP Team		
Ambadar	Achmad Zacky	Principal Advisor
Firnanda	Ari Nova	Former Advisor
Vassileva	Radina	TSU
Zbinden	Andrea	Deputy Head of the Swiss Economic Cooperation Office (SECO) in Jakarta
Sjadzali	Banu	National Programme Officer at the Swiss Economic Cooperation Office (SECO) in Jakarta
NSP Stakeholder		
	Suharto	Director of Road Transport, DG Land of Transport
Setiono	Tonny Agus	Head of Urban Transport Sub-directorate, Directorate of Road Transport, DG Land of Transport
Arliando	Cristian	Staff of Directorate of Road Transport, DG Land of Transport, PIC of foreign loans and grants
Asri	Dail Umamil	Kepala Sub Direktorat Transportasi Darat, Direktorat Transportasi
Sucipto	Bambang	Kepala Kepala BLUD UPT Pelayanan Jasa Transportasi
Wijaya	Ferry	Bagian Perencanaan Infrastruktur
	Sunarko	Sekretaris Dinas Perhubungan Kota Pekanbaru
Ghanim	Sarwono	Kepala UPT Trans Metro Pekanbaru
	Agustina	Staff UPT Trans Mamminasata
Launtu	Jasman	Kepala Bidang Moda Transportasi
	Tahir	Kasubag Programme Dishub Provinsi Sulsel
	Sismadani	Kepala Sub-Bidang Infraswil III
Winarti	Wiwin	Staff Subbid Infraswil III
Didik	Agus	Kepala Bidang Angkutan Jalan
	Zuchrufijati (Fiyat)	Staff of BP Cekban

Santoso	Mohammad Taufiq Budi	Asisten Perekonomian dan Pembangunan, Sekretariat Daerah Provinsi Jawa Barat / Plt Kepala BP Cekungan Bandung
	Mulyadi	Kepala Seksi Angkutan Dishub Semarang
McClenahan	Rod	Consultant
Kasang	Nicholas	Project backstopper
Joseph	Daud	Consultant
Faraniza	Puti	
Dalo	Delano	Kepala Divisi Pengembangan Proyek
Sufa	Faela	ITDP SEA Director
Hidayat	Antun	Sector Coordinator for Urban Infrastructure and Transport.

Annex H ELE Terms of Reference

Background

This document describes the final Evaluation and Learning Exercise (ELE) of the SUTRI NAMA Support Project (NSP) ('Indonesia Transport'). This is a work package commissioned under the Project title and contract number below.

Project title:	Project evaluation and learning exercises for the NAMA Facility
Project and reference number:	12.9097.2-108.00 / 81238912
ELE scope (mid-term/final):	Final
ELE focus (Technical Component/Financial Component/both):	Technical Component (but incorporating Financial Component up until amendment)

SUTRI NAMA (Sustainable Urban Transport Programme Indonesia - Nationally Appropriate Mitigation Action) was established and formalized in August 2019 by the Indonesian Minister of Transport to provide technical assistance, capacity development, and policy guidance to local governments for the development and implementation of sustainable urban transport policies and projects. Meanwhile, INDOBUS (Indonesian Bus Rapid Transit Corridor Development Project) is an additional Technical Component of SUTRI NAMA, financed by the State Secretariat of Economic Affairs of Switzerland (SECO).

This ELE is a final ELE of SUTRI NAMA, with INDOBUS is included as a "component of work" that complements the work of SUTRI NAMA. The ELE team acknowledge the linkages between SUTRI NAMA and INDOBUS as presented in the causal pathways and will consider these linkages in approaching the evaluations and analyse progression of work.

Terms of reference

1.1 General TORs as defined in TORs for all ELEs and theoretical framework

This ELE is implemented within the general Terms of References (TORs) and following the theoretical framework, and these two documents are binding.

However, as a short reminder, the focus is on the following three questions:

- Has the NSP achieved its planned results?
- Has the NSP started to trigger transformational change?
- What can be learnt from the NSP?

1.2 Specific additional elements to be considered in this ELE

Please note below the additional elements/questions to be considered in this ELE:

- What were the added value and challenges of having INDOBUS working on the side of the SUTRI NAMA Support Project? (ELE Question 2)
- Positive/negative consequences for the Technical Component of the termination of the Financial Component. (ELE Question 2.1)

These additional questions link to the key questions above and focus on elements of relevance, effectiveness, efficiency, impact, sustainability, and learning.

1.3 Specific elements/questions that will not be considered in this ELE

The general TORs and the theoretical framework allow for a prioritisation of some evaluation questions at the expense of other evaluation questions. Please note below those elements/questions which will not be considered in this ELE:

- The ELE will not undertake a thorough verification of the delivery of the NSP's outputs, e.g., reviewing minutes of meetings, counting male and female participants to events etc. However, as per ELE Theoretical Framework, "a rapid review of the quality of the data produced by the NSP M&E system will be carried out, including how regular and comprehensive it is, and how reliable the data sources are".

The contractor suggests the following staff (see CVs attached):

- Senior International Expert A (ELE Team Leader): Ty Morrissey
- Senior International Expert B: Rishika Das Roy
- Senior National Expert: Dwi Rahardiani

Timing

The contractor suggests the following timing:

Item	Date / period	Comment
Kick-off call TSU / ELE team / NSP	18/07/2022	
Exchange of preliminary information	22/08/2022	
Availability of detailed agenda	16/09/2022	
Field phase	19-30/09/2022	
Draft report delivery	31/10/2022	
Final report delivery	30/11/2022	Assuming one feedback cycle. (Note that the TORs allow for more feedback cycles if necessary)

TSU agreement

The TSU agrees to the TORs, team and timing described above.

First Name Last Name (electronic signature)

Berlin, DD MM YYYY