

# Terminal Evaluation of Developing Climate Resilient Livelihoods in the Vulnerable Watershed in Nepal (DCRL)

GEF ID: 6989 UNDP PIMS # 5434



## October 2024

<b>TE timeframe</b>	7 <sup>th</sup> July 2024 to 31 <sup>st</sup> October, 2024
<b>Region and country</b>	South Asia - Nepal - Lower Dudhkoshi Watershed
<b>GEF Focal Area</b>	CCA1 and CCA3
<b>Executing Agency</b>	Ministry of Forests and Environment – Dept. of Forests & Soil Conservation
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The TE team also acknowledges all stakeholders and beneficiaries that readily shared their knowledge of the project, the local environment and issues around Integrated Watershed Management (IWM). This sharing of knowledge has enriched the finding of TE.

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## Acronyms

AFS	Agriculture and Food Security
APR	Annual Progress Report
AWP	Annual Work Plan
BMC	Basin Management Center
BPPS	Bureau for Policy and Programme Support (UNDP)
CAPA	Community Adaptation Plan of Action
CBO	Community Based Organization
CCA	Climate Change Adaptation
CSO	Civil Society Organization
CFUG	Community Forest User Groups
DCRL	Developing Climate Resilient Livelihoods in the Vulnerable Watershed in Nepal (Project)
DFO	District Forest Office
DoA	Department of Agriculture
DoHM	Department of Hydrology and Meteorology
DRR	Disaster Risk Reduction
DSCO	District Soil Conservation Office
DoFSC	Department of Forests and Soil Conservation
DoHM	Department of Hydrology and Meteorology
EbA	Ecosystem-based Adaptation
EOP	End of Project
FECOFUN	Federation of Community Forestry Users Nepal
FBWS	Forests, Biodiversity and Watershed Conservation
GAP	Gender Action Plan
GEF	Global Environmental Facility
GESI	Gender Equality and Social Inclusion
GRB	Gender Responsive Budgeting
GRES	Gender Results Effectiveness Scale
GRM	Grievance Redress Mechanism
HH	Households
LG	Livelihoods and Governance
GoN	Government of Nepal
HIMALI	High Mountain Agribusiness and Livelihood Improvement
INGO	International Non-Government Organization
IoF	Institute of Forestry
IWM	Integrated Watershed Management
KI	Key Informant
KII	Key Informant Interview
LoA	Letter of Agreement
LAPA	Local Level Adaptation Plan of Action
LDCF	Least Developed Countries Fund
LDW	Lower Dudhkoshi Watershed
MOITFE	Ministry of Industry Tourism Forests and Environment
MoFE	Ministry of Forests and Environment
MSC	Most Significant Change
MTR	Mid Term Review
NGO	Non-government Organization
NAP	National Adaptation Plan
NCE	No Cost Extension
NDC	Nationally Determined Contribution
NGO	Non-Government Organization
NIM	National Implementation Modality

NPD	National Project Director
NRM	Natural Resource Management
NTFP	Non-Timber Forest Product
O&M	Operation and Maintenance
PAC	Project Advisory Committee
PEB	Project Executive Board
PES	Payment for Ecosystem Services
PIR	Project Implementation Report
PIU	Project Implementation Unit
PMU	Project Management Unit
PRF	Project Results Framework
PWD	Persons with Disability
SDG	Sustainable Development Goal
SES	Social and Environmental Standards
SFDRR	Sendai Framework for Disaster Risk Reduction
SOP	Standard Operating Procedures
SWMO	Soil and Watershed Management Office (Provincial)
ToC	Theory of Change
ToR	Terms of Reference
TPM	Third-Party Monitoring
TWG	Technical Working Group
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNDP CO	United Nations Development Programme Country Office
UNDP CP	United Nations Development Programme Country Programme
UNEG	United Nations Evaluation Group
UNFCCC	United Nations Framework Convention on Climate Change
WRE	Water Resources and Energy

# 1 Executive Summary

## 1.1 Project Information Table

<b>Project Title:</b>	Developing Climate Resilient Livelihoods in the Vulnerable Watershed in Nepal (DCRL)		
<b>UNDP PIMS#:</b>	5434	<b>GEF project ID#:</b>	6989
<b>PIF Approval Date:</b>	10 <sup>th</sup> April, 2017	<b>CEO Endorsement:</b>	17 <sup>th</sup> April, 2020
<b>ATLAS Award #: ATLAS Project ID:</b>	00121535	<b>Project Document Signature Date (date project officially began):</b>	29 <sup>th</sup> November, 2020
<b>Country:</b>	Nepal	<b>Date NPM hired:</b>	21 <sup>st</sup> April 2021
<b>Region:</b>	Lower Dudhkoshi Watershed	<b>Inception Workshop:</b>	30 <sup>th</sup> September, 2021
<b>Focal Area:</b>	Climate Change	<b>Midterm Review completion date:</b>	December 2022
<b>GEF Focal Area Strategic Objectives:</b>	CCA1 and CCA3	<b>Planned Project Closing:</b>	29 <sup>th</sup> November, 2024
<b>Trust Fund (Indicate GEF TF, LDCF, SCCF, NPIF)</b>	GEF LDCF	<b>Revised Project Closing:</b>	30 <sup>th</sup> September, 2025
<b>Executing Agency/ Implementing Partner:</b>	Ministry of Forests and Environment, Department of Forest and Soil Conservation		
<b>Other execution partners:</b>	UNDP		
<b>Project Financing (USD)</b>	<b>at CEO endorsement (US\$)</b>	<b>at Terminal Evaluation (US\$)*</b>	
<b>1. GEF financing:</b>	\$7,000,000	\$5,732,588	
<b>2. UNDP contribution:</b>	\$900,000	\$689,371	
<b>3. Government:</b>	\$34,893,000	\$24,944,137	
<b>4. Other partners:</b>	0	0	
<b>Total co-financing (2+3):</b>	\$35,793,000	\$25,633,508	
<b>Total</b>	<b>\$42,793,000</b>	<b>\$31,366,096</b>	

## 1.2 Evaluation Purpose and Objective

The Terminal Evaluation (TE) purpose was to assess the achievement of the Developing Climate Resilient Livelihoods (DCRL) project results against what was expected to be achieved, and document lessons learned to improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming.

The TE also promotes accountability and transparency through an independent assessment of the DCRL project's accomplishments. The primary audiences for the TE are GEF and UNDP to meet Monitoring and Evaluation (M&E) policies and procedures for all full- and medium-sized UNDP supported GEF-financed projects and the Ministry of Forests and Environment (MoFE), Department of Forest and Soil Conservation (DoFSC) (the implementing partner) to enhance the sustainability and upscaling of results. Specific objectives for the TE are provided in report **Section 2.1**.

## 1.3 Evaluation Scope and Main Areas of Inquiry

The TE covers the entire duration of the DCRL project, from the start date on November 29<sup>th</sup>, 2020, to the newly approved project closure on September 30<sup>th</sup>, 2025. The TE reviewed the available project documents (**Annex 4**) which provided information on all project activities, in all localities where the project was implemented.

A two-week field mission was conducted by a TE team which included an international consultant and two national consultants, one of whom was a gender specialist. The TE focused on DCRL project achievements and challenges implementing activities to establish an Integrated Watershed Management (IWM) framework (Outcome 1), and the implementation of IWM practices within the Lower Dudhkoshi Watershed (LDW).

The TE utilized Organization of the Economic Cooperation Development/Development Assistance Committee (OECD/DAC) Evaluation Criteria of Relevance, Coherence, Effectiveness, Efficiency, Impact, and Sustainability, as well as the cross-cutting issues of human rights, gender equality, social inclusion and Leave No One Behind (LNOB).

## 1.4 Project Description

The DCRL project focused on safeguarding vulnerable communities and their assets from climate change-induced disasters by developing government led IWM based on Multi-Hazard Vulnerability Assessment (MHVA) approach to building community stewardship of the watershed, including roles for women and marginalized communities.

The DCRL project **Objective** is:

*To safeguard vulnerable communities and their physical and economic assets from climate change induced disasters.*

The DCRL project **Outcomes** are:

**Outcome 1.** Integrated watershed management framework has been established to address climate change induced floods and droughts; and

**Outcome 2.** Integrated watershed management practices introduced and scaled-up in one watershed covering 782.68km<sup>2</sup> of watershed areas and benefiting 121,606 vulnerable people.

## 1.5 Evaluation Ratings Table

<b>Monitoring and Evaluation</b>	<b>Rating<sup>1</sup></b>
M&E design at entry	S
M&E Plan Implementation	S
Overall quality of M&E	S
<b>Implementing Agency (IA) &amp; Executing Agency (EA) Execution</b>	<b>Rating</b>
Quality of UNDP Implementation – Implementing Agency	S
Quality of Execution - Executing Agency	S
Overall quality of Implementation / Execution	S
<b>Assessment of Outcomes</b>	<b>Rating</b>
Relevance	R
Effectiveness	S
Efficiency	S
Overall Project Outcome Rating	S
<b>Sustainability</b>	<b>Rating</b>
Financial resources	L
Socio-political	ML
Institutional framework and governance	ML
Environmental	L
Overall likelihood of sustainability	ML

<sup>1</sup> For explanation of all ratings used please refer to **Annex 13**

Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU), Unable to Assess (U/A)

Likely (L), Moderately Likely (ML), Moderately Unlikely (MU), Unlikely (U)



## 1.6 Summary of Key Evaluation Findings

The TE has determined the DCRL project design, including the ToC which identified the barriers to IWM, and the project interventions intended to overcome barriers, and the risks and mitigation measures proposed, have effectively and efficiently developed a multi-tiered government framework for IWM (Outcome 1). Institutional sustainability of the IWM framework is achieved by gender responsive and inclusive policies, strategies and directives to be implemented by federal, provincial and local governments. The substantial commitment by all levels of government to the DCRL project is evidence of the financial sustainability of future IWM.

The implementing partner, PMU and PIU have effectively worked with stakeholders to restore and protect landscapes in the pilot communities of the LDW that were identified as vulnerable to climate change impact. Water resource availability (quantity and quality) has improved, and this has resulted in improved socio-economic conditions and resilience of the participating communities (Outcome 2).

The DCRL project has achieved sustainable results of *Climate Resilient Livelihoods* through land management practices that enhance water availability and reduce flood and landslide risks. The DCRL IWM has provided the foundation of enabling conditions leading to transformational change for pilot communities that are now participating in economic development opportunities which previously were not available and were instead characterized by economic out-migration. The benefits received by all community members is evidence of the likely socio-economic sustainability of results and the improved management of land and water support environmental sustainability.

The DCRL project's National (Watershed Management Implementation Guideline), Provincial (Integrated Watershed Management Strategy) and local government (Climate Friendly IWM) guidelines, strategies, directives, and Standard Operating Procedures (SOP) developed were GRES scale *gender integrated* based on the targeting and mobilization of local people including women, socially excluded groups and vulnerable people.

The DCRL project's on the ground IWM activities (training, construction and agricultural) in communities of the project palika adopted an affirmative approach to women's participation, with targeted programmes for women and an inclusive approach for the Majhi community which was evaluated as GRES scale *gender targeted*. Project activities should have also taken an affirmative approach to the inclusion of PWD in IWM activities.

The DCRL project has effectively incorporated research and Innovation through engagement of engineering research organizations that have made important contributions to the success of key implementation activities, including:

- Providing baseline MHVA data that informed the selection of targeted sites to implement IWM;
- Initiation of the use of contour trenches for water recharge systems on steep hillsides for the first time in Nepalese mountain landscapes; and
- Local development and testing of drone based aerial seeding technology to restore steep, degraded, and inaccessible hillside environments. Government is now upscaling the use of this technology outside the project area to restore areas in the Phewa watershed. The drone based aerial seeding technology was presented by Nepal at the COP 28 international event.

## 1.7 Summary of Concluding Statements

- i. The DCRL project has demonstrated an effective model for IWM that is based on collaboration between Nepal's three levels of government. The model includes a solid scientific approach through a multi-hazard vulnerability assessment to identify the most vulnerable landscapes and a combination of engineered and nature-based solutions to restore and protect degraded watersheds, making them more resilient to the impacts of climate change. The successful IWM model demonstrated by the DCRL project in the pilot communities of the LDW can be used to inform the scaling up required for the remainder of the LDW.
- ii. An important factor contributing to the success of DCRL IWM is the comprehensive and concentrated implementation approach that utilizes a suite of activities (engineered and nature-based) that are tailored to working in upslope, mid-slope and down-slope areas. IWM that does not take a multi-faceted and concentrated approach, is unlikely to achieve the same success demonstrated by DCRL.
- iii. Improved watershed management brings with it additional water resources and innovative farming practices that increase food security and introduce new economic opportunities that increase social well-being and resilience of communities. DCRL project IWM resulted in direct benefits for women through reduced time required for water fetching. DCRL also contributed to women's empowerment through their participation in training, their appointment to user group committees and their participation in agricultural activities that provide economic benefits to women.
- iv. While the DCRL project has put in place the policies, directives and guidelines for IWM, it has not yet demonstrated a government led IWM planning and implementation framework that is scaling up the DCRL IWM model. There remains time in the project for the PMU to work with government to initiate IWM planning among national, provincial and local stakeholders that can lead to annual work plans and budgets for IWM implementation, potentially prior to project closure (see recommendations 1 and 2 below).
- v. The TE noted there were some areas of improvement identified in the DCRL project's implementation approach, as discussed more fully in **Section 5.4 Lessons Learned**, they include:
  - Support to produce local nursery stock required for conservation agriculture should be included as activity contributing to the sustainability of results.
  - Comprehensive market chain analysis is essential to providing the information needed to support sustainable expansion of new agricultural income generating initiatives.
  - The introduction of new agricultural practices should be accompanied by multiple rounds of capacity development, with initial training introducing the basics and a second advanced training course addressing concerns and needs raised by the farmers engaged.
  - Adopting a social inclusive approach requires careful consideration to ensure disadvantaged groups can meaningfully participate in project activities that rely on access to land; and
  - Social inclusion should include efforts to meaningfully engage PWD in project activities.

## 1.8 Recommendations Summary Table

Recommendation	Responsible Party	Time Frame
<p><b>Recommendation 1.</b> Continue to support the approval of the national guideline and provincial strategy and then link these with the local directives to develop an IWM framework that clearly outlines roles and responsibilities at national, provincial and local levels, based on DCRL outputs of:</p> <ul style="list-style-type: none"> <li>• National <i>Watershed Management Implementation Guideline</i></li> <li>• Provincial <i>Integrated Watershed Management Strategy</i></li> <li>• Local <i>Climate Friendly Integrated Watershed Management</i></li> </ul> <p>The framework should identify the tasks and responsible parties required to:</p> <ul style="list-style-type: none"> <li>• <i>initiate</i> IWM, such as, MHVA, baselines, capacity assessment, etc.;</li> <li>• <i>capacity</i> development of stakeholders and beneficiaries.</li> <li>• <i>implement</i> the IWM restoration activities required and socio-economic development (e.g. conservation farming) activities.</li> </ul>	<p>PMU with DoFSC, BMC, SWMO, and BMO</p>	<p>June 2025</p>
<p><b>Recommendation 2.</b> Work with each of the eight project palika to:</p> <ul style="list-style-type: none"> <li>• review the success of integration of IWM approach by the palikas, supported by DCRL;</li> <li>• identify the remaining IWM required to address all IWM needs with the palika and associated economic opportunities; and</li> <li>• develop a long-term plan to complete IWM required within all Wards, including methods to engage IWM partners DFO, BMC, SWMO and others as required;</li> <li>• Formulate and inter-palika mechanism or forum to address IWM issues falling between neighboring palika, leading to the engagement of new palika in IWM.</li> </ul>	<p>PMU with BMC, SWMO, DFO, and project palika</p>	<p>June 2025</p>
<p><b>Recommendation 3.</b> Within project palika, work with local government and user groups to support for marketing of agricultural produces such the creation of “collection centres” and/or organizing farmer groups into marketing cooperatives</p>	<p>PMU with project palika and user groups</p>	<p>June 2025</p>
<p><b>Recommendation 4.</b> UNDP and the PMU collaborate to produce a story for “UNDP Nature” on the link between comprehensive, targeted IWM and climate resilient livelihoods</p>	<p>UNDP working with PMU/PIU</p>	<p>September 2025</p>

Recommendation	Responsible Party	Time Frame
<p><b>Recommendation 5.</b> The DCRL project should conduct additional skills development training related to project activities such as innovative use of irrigation in tunnel gardens growing vegetables for marketing and management and maintenance of rainwater storage and water lifting systems.</p>	PMU working with implementing partners	September 2025
<p><b>Recommendation 6.</b> To support gender equality and women’s empowerment encourage User Committees to establish gender balanced executive committees and to rotate chair and vice-chair positions on a regular basis (e.g., 2 years) between women and men.</p>	PIU working with User Committees	September 2025
<p><b>Recommendation 7.</b> Future IWM work should take an affirmative approach to the inclusion of PWD in IWM activities</p>	DoFSC, BMC, SWMO, DFO and palika	Post Project
<p><b>Recommendation 8.</b> Support <i>inclusion</i> articulated in UNDP’s Country Programme Document for Nepal (2023-2027) and the United Nations Sustainable Development Cooperation Framework (UNSDCF) for Nepal 2023-2027 by ensuring future projects make an explicit reference to the engagement, inclusion and monitoring of PWD.</p>	UNDP CO	Post Project

## 1.9 Lessons Learned

- i. The DCRL project could have benefited from having locally available nursery stock produced commercially and/or by farmer’s cooperatives. Projects such as DCRL which support the planting of trees for forestry or fruit trees for agriculture could be enhanced by providing capacity development, financial, infrastructure, exchange learning, etc. to local farmer’s groups and/or the private sector for the establishment of local nurseries producing local species suited to local conditions. This approach would help to create a sustainable supply of seeds, seedlings and saplings produced by and for local farmers involved in planting during project implementation and a sustainable source of nursery stock following project implementation. Establishing nurseries also provides an additional income generating activity for local farmers.
- ii. The DCRL project supported farmers growing crops for marketing to both improve food security and climate resilience and to provide a source of income. The TE team heard from farmers who encountered challenges in terms of marketing the agricultural products they are now producing, including challenges to reach markets and in some cases overproduction of agricultural products. The DCRL project has successfully supported farmers growing, raising or collecting agricultural products for income. This success could have been enhanced by the DCRL project undertaking a comprehensive market chain analysis to consider the potential future harvest amounts, storage requirements, transportation needs of marketing agricultural products to develop strategies to obtain the best possible price for farmers. The DCRL project could also have considered an analysis of the opportunities for post-harvest value-added processing to address expanding production and agricultural surpluses successfully created by the project, which present an opportunity to further increase farmer income.

- iii. Feedback received from farmers by the TE team included repeated requests for support to address issues of crop damage caused by agricultural pests and disease. Projects, such as DCRL, that include agricultural development components, and which are working directly with farmers, should consider the need to consult with farmers on known agricultural pests and disease. This may lead to the inclusion of technical advice and capacity development support to farmers with concerns regarding the impact of agricultural pests. Known agricultural pests may include larger mammals, such as porcupine, monkey, deer and elephant.
- iv. UNDP projects are intended to address human rights issues, particularly issues of Leave No One Behind (LNOB) and social inclusion of disadvantaged groups. In this regard the DCRL project should have more carefully considered the impact of engagement strategies that disadvantage the “poorest of the poor”. Two examples that emerged from the DCRL project are as follows:
  - The DCRL rainwater roof collection systems only worked with farmers who had dwellings with an existing corrugated tin roof. Farmers living in a dwelling with a thatch roof were unable to participate and benefit from rainwater roof collection systems to the same degree. Some compensation was provided by the DCRL project through the provision of a small, corrugated tin roof, combined with a water storage tank.
  - The DCRL agricultural interventions constructing water storage ponds and tunnel gardens, and the conservation agriculture planting programs required farmers to have access to land to implement these activities. Some farmers in the DCRL project communities do not have access to land and were therefore excluded from these activities. Through agricultural farmers groups or cooperatives opportunities to access communal land may have allowed farmers without access to land to more fully participate in project activities.
- v. The DCRL project demonstrated gender equality and women’s empowerment are measurable outcomes of IWM. Women participate in and benefit from the wide range of activities associated with IWM, including participation in landscape construction activities such as contour trenches, check dams, stabilization plantings, etc.; agricultural activities such as tunnel market gardening and conservation agriculture; and ongoing planning and management through participation in User Groups, including representation on committees.
- vi. The DCRL project demonstrated targeted efforts to achieve social inclusion can be successful through project activities that were specific to Majhi communities, a distinct, disadvantaged ethnic group in Nepal. Similar targeted efforts should be made for PWD to ensure their inclusion in project activities. Inclusion in project design and implementation ensures their unique needs and abilities regarding IWM are recognized and addressed. Targeted inclusion of PWD in project activities also contributes to overcoming social barriers PWDs often encounter in society.

## 2 Introduction

### 2.1 Purpose and objective of the Terminal Evaluation

The Terminal Evaluation (TE) purpose was to assess the achievement of the Developing Climate Resilient Livelihoods (DCRL) project results against what was expected to be achieved, and document lessons learned to improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming.

TE also promotes accountability and transparency and assesses the extent of the DCRL project's accomplishments. The primary audiences for the TE are GEF and UNDP to meet Monitoring and Evaluation (M&E) policies and procedures for all full- and medium-sized UNDP supported GEF-financed projects and the Ministry of Forests and Environment (MoFE), Department of Forest and Soil Conservation (DoFSC) (the executing agency) to enhance the sustainability and upscaling of results.

As outlined in the TE Terms of Reference (ToR) (**Annex 1**) the specific objectives of the DCRL TE were to:

- assess the achievement of project results supported by evidence (i.e., achievement of DCRL Project Results Framework (PRF) Objective and Outcome end of project targets);
- assess the contribution and alignment of the DCRL project to relevant national development plans and policies, including – National Climate Change Policy (2019), Soil and Watershed Management Act (1982), Water Resources Strategy (2002), Forest Policy (2018), Forest Strategy (2016-2025), Disaster Risk Reduction (DRR) and Management Act (2017), National Biodiversity Strategy and Action Plan (2014-2020), Local Government Operation Act 2074 (2017), Local Level Disaster Risk Management Planning Guideline 2068, National Disaster Risk Reduction Policy 2075 (2018), National Disaster Risk Reduction Strategic Action Plan 2018-2030 (2018), Nepal Government's Fifteenth Plan (Fiscal Year 2019/20 – 2023/24) and Sixteen plan (fiscal year 2024/25 to 2029/30);
- assess the contribution of the project results towards the relevant outcome and output of UNDP's Country Programme Document (CPD) (2023-2027), United Nations Development Assistance Framework (UNDAF) (2018-2022), and UNDP Strategic Plans (2018-2021) and (2022-2025);
- assess cross cutting issues of gender, social inclusion, human rights and climate change;
- assess the use of project funds (including efficiency, value for money and leverage of co-financing) and the effectiveness of project management and implementation;
- assess the impact of COVID-19 and the adaptive project management strategies implemented for COVID19; and
- draw lessons to improve the sustainability of benefits from this project (including the potential scaling up of this pilot initiative conducted in the Lower Dudhkoshi Watershed) and to aid in the overall enhancement of UNDP programming.

The TE was conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the [UNDP Evaluation Guidance for GEF Financed Projects](#).

### 2.2 Scope

TE covers the entire duration of the DCRL project, from the start date on November 29<sup>th</sup>, 2020,

to the newly approved project closure on September 30<sup>th</sup>, 2025. The TE reviewed the available project documents (**Annex 4**) which provided information on all project activities, in all localities where the project was implemented.

In Kathmandu the TE Team met with government stakeholders, UNDP, members of the Project Management Unit (PMU) and some project implementing partners to discuss DCRL's achievements and challenges establishing an Integrated Watershed Management (IWM) framework (Outcome 1) to address climate change induced floods and droughts, and the on the ground implementation of IWM practices in Okhaldhunga and Khotang Districts (Outcome 2) within the Lower Dudhkoshi Watershed (LDW). A field mission was also conducted, with a primary focus to visit government stakeholders and beneficiaries participating in the on the ground implementation of IWM practices (Outcome 2) and to verify a credible, functioning IWM framework was in place (Component 1). Additional information on the sites selected and stakeholders and beneficiaries targeted is provided in **Section 2.3**.

## 2.3 Methodology

The TE was conducted independently following [Guidance for Conducting Terminal Evaluations of UNDP-Supported GEF-Financed Projects \(2020\)](#). The following team of individual contractors was engaged by UNDP for the TE Team:

- Brent Tegler- International Evaluation Consultant and Evaluation Team Leader
- Nigma Tamrakar- Gender Equality and Social Inclusion (GESI) Specialist
- Govinda Basnet- Resilience Specialist

The methodological approach for the TE is described in detail in report **Section 2.4**. Briefly, the approach has included the following steps leading to preparation of the TE report:

1. **TE start-up** – working with UNDP the TE team was formulated and initial discussions of TE ToR were held through virtual meetings. Project materials, including relevant documents, were provided by UNDP and requests for additional documents were made by the TE team. Names and contact information for stakeholders was also requested to begin formulating a field mission program. TE also requested a start-up meeting with members of Project Management Unit (PMU) for formal introductions, a general discussion of the TE purpose and approach, and to discuss logistic issues the TE team should consider in developing a field mission plan. An understanding of UNDP and PMU logistic support to set up stakeholder meetings and for travel to the visit project field sites was also discussed.
2. **Document Review** – document review took place through all phases of the TE, with ongoing requests for additional documented information discovered as TE team reviewed the original documents provided. Documents were repeatedly reviewed by the TE team to validate and cross-check information obtained from stakeholders, beneficiaries and other documents.
3. **Field Mission** – working with information provided by UNDP and the PMU the TE team strived to obtain the largest possible sample of data from stakeholder interviews and beneficiaries using Key Informant Interviews (KII) and Focus Group Discussions (FGD) and visits to see project interventions in the pilot watershed. The approach to sampling was inclusive (considering gender and social inclusion) and as broad as possible in scope. The field mission approach was also flexible and nimble, adapting to changes as required to remain as effective and efficient to achieve maximum coverage. While still in the country a presentation of preliminary results was made to UNDP and the PMU to validate initial findings and direction the TE team were taking in the evaluation.



4. **Data Analysis and Draft Report Preparation** – following UNDP guidance for undertaking TE of UNDP GEF funded projects the data available from documents, KII, FGD and site visits were assembled to complete the analyses required and to write each of the TE report sections. Following the UNDP table of contents for TE reports, a draft TE report was prepared using evidence collated by the TE which was then submitted to UNDP for review.
5. **Draft TE report review and Final TE Report Preparation** – the draft TE report underwent a thorough review by UNDP and the PMU to ensure completeness, accuracy and adequate inclusion of evidence by the TE team. The TE addressed all comments, providing replies that were tracked in an audit trail provided separately.

TE has utilized qualitative data collection methods while also reviewing the quantitative information available. Qualitative studies included initial briefings and discussions with UNDP, the PMU and the PIU to finalize the TE methodology and field mission and follow up in depth Key Informant Interviews (KII) with key project staff. A Focus Group Discussion (FGD) was held with the PMU to review and validate achievement of the Project Results Framework (PRF), implementation of the Mid Term Review recommendations, how project risks were addressed, and adaptive management in response to challenges faced, such as COVID 19.

KII and FGD with stakeholders and beneficiaries have also been completed to provide qualitative data on the local context, and information supporting assessment of questions in the evaluation criteria matrix (**Annex 2**). In some cases, relevant quantitative information related to the DCRL project has been collected, such as cost-benefit data, economic benefits, and community participation numbers.

Desk review and validation of qualitative and quantitative data also constituted a key part of the TE. The quality, timeliness and completeness of project M&E materials, such as Annual Progress Reports, was assessed and provided essential data used in the TE.

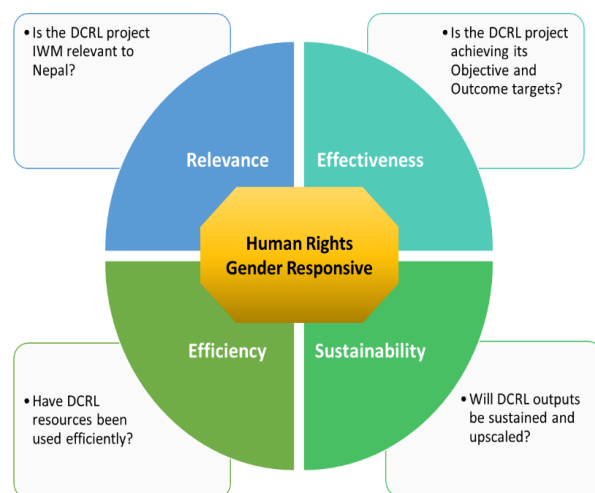
Quantitative data assessment has been made of PRF indicators with quantitative end of project targets and of financial data provided by the PMU and UNDP.

**Evaluation Criteria and Questions**

The TE utilized Organization of the Economic Cooperation Development/Development Assistance Committee (OECD/DAC) Evaluation Criteria of Relevance/ Coherence, Effectiveness, Efficiency, Impact, and Sustainability, as well as cross-cutting issues of human rights, gender equality, social inclusion and Leave No One Behind (LNOB) (**Figure 1**).

The key questions associated with each of the OECD DAC criteria are outlined below, with a complete set of questions provided in the TE Evaluation Matrix provided in report **Annex 2**.

**Relevance/Coherence:** Was the project relevant to Nepal’s national and sub-national priorities for a climate change response to resilient watershed management? Was the DCRL project relevant to the needs of beneficiaries participating in project activities.



**Figure 1.** OECD/DAC evaluation criteria used in DCRL Terminal Evaluation



**Effectiveness:** How effective was the DCRL project in achieving the project's Objective and Outcomes? Did the DCRL project achieve end of project targets defined in the Project Results Framework? How effective was the DCRL project implementation strategy?

**Efficiency:** Were project resources used efficiently to generate results? How well did the DCRL project leverage co-financing? Will project outputs have long term cost benefits?

**Impact:** What difference have DCRL project interventions made in Nepal in terms of creating, implementing and achieving IWM? Has the DCRL project improved the protection and resilience of communities and infrastructure from the increasing impacts of climate change related flooding, landslides and drought?

**Sustainability:** Will national and sub-national Nepal government partners have the capacity to implement and sustain the DCRL project results? Do stakeholders and beneficiaries demonstrate long term support to the goal of the DCRL project? Are DCRL project activities environmentally sustainable? Is there evidence of scaling up the DCRL project?

**Human Rights, Gender Equality, Social Inclusion and Leaving No One Behind:** Has the DCRL project demonstrated the inclusion of disadvantaged and marginalized groups in project activities such as distinct ethnic groups, disadvantaged groups, youth, elders and Persons with Disability (PWD), respecting their right and giving priorities of their interest and need keep in mind that all the target groups are respected and included? Has the DCRL project been gender responsive in project design, implementation, M&E and communication? Has the DCRL project contributed to women's empowerment and promoting human rights?

#### **Site Selection and Field Mission Schedule**

The DCRL project included a range of mid-hill communities in the Okhaldhunga and Khotang Districts of the LDW. The TE field mission visited a selection of project communities that included representation of different geographic locations (lower slope, mid-slope, upper slope), ethnic groups (e.g., Majhi, Janjait, BCT), disadvantaged groups (e.g., Dalit), gender and administrative boundaries (e.g., Districts, palika and Wards). The TE field mission included site visits to project communities as follows:

- Palikas from Okhaldhunga and Khotang districts were covered in the field study;
- Both rural municipality and urban municipality palikas were included;
- The remote palikas, of Chisankhugadhi and Rawabensi;
- Observation of a diverse range of project activities that included representation of all DCRL field activities was completed (e.g., water lifting, water source protection, rainwater harvesting systems, irrigation ponds, check dams, conservation agriculture practices, tunnel gardens, irrigated agriculture, contour trenches, slope stabilization, livestock paddock improvement, market gardening, fruit tree planting, and fodder grass planting);
- Inclusion of all ethnic and disadvantaged groups; and
- Women only focus group discussions in project communities visited.

Based on the review of project progress reports and initial consultation with UNDP, the Project Management Unit (PMU) and Project Implementation Unit (PIU), the following sites were identified for field study:

- In Okhaldhunga District, observation of activities and consultation with the stakeholders were done in Moli (Manebhanjyang -1), Taluwa (Siddhicharan -1) and Bhadaure (Chisankhugadhi 6); and
- In Khotang District observation of activities and consultation with the stakeholders was to be done in Halesi Tuwachung ward number 4 and 6 and Rawabesi 2.

- The field study sites were further refined in consultation with the project team based on consideration of a changing field situation. A focus group discussion with a Majhi Community was organized in Rawabesi Rural Municipality Ward no 3 of Khotang district. Similarly, a key informant interview was conducted with the Chairperson of Kepilasgadhi Rural Municipality of Khotang district.
- An outline of the field mission conducted is provided in **Annex 3**.

### **Stakeholder Interviews**

Stakeholder meetings provided an extensive source of data directly related to the DCRL project (see **Annex 6** for list of stakeholders consulted), such as:

- The level of participation of stakeholders in the design phase of the project, which translates into the relevance of both the implementation approach, relevance of project activities and the validity of the Theory of Change (ToC).
- The effectiveness and efficiency of project implementation, including the support provided by UNDP, the effectiveness and efficiency of the PMU and the PIU, the development of adaptive management strategies and any adjustments that were implemented and the documentation and application of lessons learned, and the level of accomplishment of project outputs.
- The level of stakeholder knowledge of the DCRL project and their degree of commitment and engagement. These are factors which, through probing questions, assess the effectiveness of project implementation, the relevance of DCRL project activities to stakeholders and the likelihood of stakeholders sustaining project outputs.
- The level of stakeholder's understanding of gender-responsive, human rights-based and leaves no one behind approach. Why these concepts are important and the level of knowledge and the demonstrated experience of implementing these approaches during the DCRL project; and
- Issues of sustainability, such as the capacity (staff, resources, finances) to sustain project output. The magnitude of scaling up which is needed and what strategies (if any) have been developed for scaling up when the DCRL project ends and there is no longer UNDP / GEF technical and financial support available to provide assistance.

### **Cross-cutting Issues**

The TE team adopted a rights-based, inclusive and gender-responsive approach and the concept of leaving no one behind (LNOB) as cross-cutting themes. LNOB included an assessment of the inclusion of ethnic groups, disadvantaged groups, youth and Persons with Disability (PWD). The TE team scrutinized how these themes were woven into the project's design, engagement strategies with stakeholders and participants, mechanisms for sharing benefits, and the structure and procedures of Monitoring and Evaluation (M&E).

The TE team was committed to ensuring that the evaluation did not reinforce discrimination (particularly against women and marginalized communities) and did not "mask inherent biases and values" as it conducted the evaluation, considering cultural dimensions<sup>2</sup>. The use of sex disaggregated data was crucial, as well as other axes of disaggregation, such as age, ethnicity, caste, class/income, PWD, etc., as available in the monitoring results.

Recognizing that the project has had differential impacts on women and its intersectionality, individuals or groups that are marginalized or discriminated against, the TE team has taken additional measures, particularly women only FGD in communities, to identify and reach these

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<sup>2</sup> Integrating Human Rights and Gender Equality in Evaluations (August 2014): <http://unevaluation.org/document/detail/1616>

groups to collect their views as part of the evaluation process. The TE team gender specialist conducted FGD and in-depth interviews specifically with women in the project communities visited to provide spaces for these stakeholders to have a dialogue and for the TE team to gain a better understanding of the different perspectives and ways in which the project has had diverse (positive or negative) effects on the stakeholders involved. In order to create safe spaces for women to share.

The TE utilized the Gender Results Effectiveness Scale (GRES) to capture variation in the type of gender results for various aspects of the DCRL project activities/outputs.

## **2.4 Data Collection & Analysis**

### **Terminal Evaluation Desk Review**

The TE reviewed and analyzed a wide range of relevant documentation provided via a shared drive folder with information uploaded by UNDP, the PMU and the PIU. A list of all documents reviewed is provided in **Annex 4**.

At the outset of the evaluation, a rapid review of documents was completed to develop an understanding of project activities, project stakeholders and beneficiaries, implementing partners, and project sectors and sites. This information was reviewed with UNDP, the PMU and the PIU to develop the methodology detailed in the Inception Report.

Documents such as Project Executive Board Meeting Minutes and Project Implementation Reports (PIR) were reviewed to assess the quality of project implementation and the extent of adaptive management undertaken in response to the project's Monitoring and Evaluation (M&E) Framework. Reports such as Annual Work Plans (AWP), PIR and the Gender Action Plan provided key data that has been triangulated with data collected during the field mission to support the TE report findings.

The Mid-Term Review (MTR) and the DCRL management response to recommendations have been reviewed to ensure the project adequately addressed all recommendations.

The TE also requested and reviewed financial data, to assess proposed expenditures against actual expenditures, project management costs, and budget revisions. Financial audit reports were reviewed to assess the quality of financial management.

### **Terminal Evaluation Stakeholder Interviews**

Stakeholder consultations and site visits were a core activity during the field mission by the TE Team. The evaluation adhered to United Nations Evaluation Group Norms and Standards for Evaluation (2017) and guidance provided by the OECD Development Assistance Committee (DAC) (OECD 2021 Applying Evaluation Criteria Thoughtfully). The TE Team members have signed a pledge to follow ethical guidelines to ensure safe, non-discriminatory, respectful engagement of stakeholders following UNEG Ethical Guidelines for Evaluations (**Annex 5**).

Those participating in KII and/or FGD were informed that their participation was voluntary, that all information provided is treated confidentially and that their name will not be associated with the information provided in the evaluation report. The stakeholder engagement approach went beyond simple questioning and included investigative questioning that promoted self-reflection and action-oriented learning of stakeholders to enhance stakeholder commitment to ongoing engagement to sustain project outcomes.

Stakeholder and beneficiary interviews were conducted independently by the TE team. UNDP, PMU or PIU staff were not present during interviews. Interviewees were facilitated and encouraged to speak freely about their involvement in the project, including any criticism, however this was done in the spirit of identifying challenges encountered and finding recommended approaches to overcoming challenges that may inform future programming. Interviews generally followed a line of questioning as outlined in **Annex 6**.

When conducting FGD the TE team investigated the representation and inclusion of women, ethnic groups, disadvantaged groups, youth, and PWD in DCRL project activities. Where present in FGD the TE team noted the inclusion of these groups. The TE team also encouraged the participation of these groups through direct questioning to ensure their views were recorded by the TE team.

In total 168 persons (stakeholders and beneficiaries) were interviewed, which included 62 women (37%) and 106 men (63%) (**Table 1**). There were no PWD interviews during the TE. There was gender balance among UNDP staff and NGOs. Among community beneficiaries interviewed the gender balance was 56 women (43%) and 75 men (57%). Among other stakeholders the majority interviewed were men, reflecting lack of gender balance in these institutions. A summary of the stakeholders is as follows (for more details refer to **Annex 6**):

- UNDP staff from the Nepal country offices as well as the UNDP Regional Technical Advisor based in Bangkok.
- All staff working in the Project Management Unit in Kathmandu and in the Project Implementation Unit working in Okhaldhunga.
- Consultants based in Kathmandu who were engaged to undertake DCRL project activities.
- People from NGO's working with community members to implement DCRL project activities.
- Representatives from Local Governments engaged in the DCRL project; and
- Community members (beneficiaries) participate in DCRL project activities.

**Table 1.** Summary of Stakeholders and Beneficiaries involved in TE team KII and FGD

Sn	Institution	Total	Female	Male
1	UNDP	6	3	3
2	PMU and PIU	20	2	18
3	Consultant and sub-contractors	5	0	5
4	NGO/Pvt	2	1	1
5	LGs	4	0	4
6	Community	131	56	75
	<b>Total</b>	<b>168</b>	<b>62 (37%)</b>	<b>106 (63%)</b>

For those stakeholders who could not be met physically, the TE Team conducted virtual interviews using available and appropriate technologies such as Zoom and WhatsApp. The

list of stakeholders engaged is shown in **Annex 6**.

### **Analysis of the Project Results Framework**

The TE assessed the extent to which the project can be evaluated in a reliable and credible fashion based on the DCRL Project Results Framework (PRF). The PRF indicators and targets as presented in the ProDoc were assessed using “SMART” criteria (Specific, Measurable, Achievable, Relevant, and Time-bound) as shown in **Annex 7 Table 7.1**.

The TE assessed the effectiveness of progress towards end of project targets established for the PRF indicators and the likelihood of achieving final targets (**Annex 8 Table 8.1**). The TE utilized information available in the most recent project annual reports, monitoring reports, publications produced by the project, and information gathered from stakeholder interviews and field mission site visits.

Progress towards results of indicators and their respective targets have been assigned an achievement rating for each indicator using a four-point rating system. Indicator achievement ratings to be used include:

- target achieved;
- target likely to be fully achieved by end of project (September 30<sup>th</sup>, 2025);
- target likely to be partially (>50%) achieved by end of project;
- target not likely to be achieved (<50%) by end of project.

The TE included recommendations that are firmly based on evidence and analysis, clear, results oriented and realistic in terms of implementation to achieve final targets.

### **Evaluation of project management and implementation**

The evaluation has assessed the project management structure and implementation methodology, including:

- the effectiveness and capacity (sufficient number of staff with required qualifications to address project needs) of the PMU and PIU;
- the leadership provided by the Project Executive Board (PEB);
- the adaptive/agile management strategy employed by the project and the implications for project implementation;
- how the project adapted to restrictions imposed by COVID-19 and how the project implementation emerged from COVID-19 pandemic restrictions;
- the engagement, project support, roles, responsibilities, and capacity of national and local government stakeholders and implementing partners; and
- the role of peer-to-peer learning among project partners.

### **Analysis of Project Finance**

With assistance obtaining data from UNDP and the PMU key financial aspects of the project were evaluated. In particular, the TE assessed variances between planned and actual expenditures and the reasons for those variances. The TE also reviewed changes made to budget allocations to assess the appropriateness and relevance of such revisions. The TE assessed whether strong financial controls were established to allow the project management to make informed decisions regarding the budget, and to allow for the timely flow of funds and for the payment of satisfactory project deliverables.

Co-financing has been assessed in terms of the clarity of reporting on in-kind and cash co-financing from all sources. Differences between planned and actual co-financing received have been investigated and the reasons for differences explained. Co-financing has also been

assessed in terms of how well it was integrated and contributed to project outcomes and the sustainability of project results. Evidence of “leveraged” resources has also be explored and reported.

The TE reviewed financial audit reports completed for the DCRL project and determined the degree to which the proposed financial risk management recommendations were implemented and effective.

### **Evaluation of ProDoc Risk Ratings**

The TE evaluated the risk log as originally presented in the ProDoc and as updated by the project. The TE has followed UNDP Enterprise Risk Management (ERM) 2019 guidelines to provide a combined assessment of “likelihood” and “impact” to determine a risk rating of High, Substantial, Moderate or Low using the ERM Risk Evaluation Matrix (see **Annex 9**).

The risk analysis assessed proposed risk treatment and management measures proposed and implemented and provided additional risk mitigation measures where warranted. See **Annex 10 Table 10-1**. The TE also considered new and emerging risks, to include new risks with risk mitigation measures where warranted.

TE also reviewed risks outlined in the Social and Environmental Screening Procedure (SESP) report. See **Annex 10 Table 10-2**. The review assessed the validity of SESP risks and the degree to which the proposed project mitigation measures have been implemented and effective.

### **Terminal Evaluation Data Analysis**

Data analysis utilized objectively verifiable indicators as outlined in the DCRL PRF to assess the project objective and outcomes based on the baseline and targets established. The MTR proposed revisions to nine outcome targets. The revised targets were reviewed and approved by UNDP CO, the UNDP Regional Technical Advisor and PEB.

Achieving the assessment of PRF targets included a review of efficacy of PRF indicators using SMART criteria as discussed above, (see **Annex 7**). This was followed by an iterative investigation and analysis of all available information, collating and triangulating documented evidence, KII and FGD notes and site visit observations to report on the achievement of PRF end of project targets. In addition, a half-day working session was held with the PMU to review all available information for a final validation of the TE PRF analysis completed by the TE team (see **Annex 8, Table 8.1**).

Data analysis and PRF target achievement validation varied based on the type of end of project target. For example, targets involving the preparation of written materials, such as policies, directives, guidelines, standard operating procedures, etc. were validated by obtaining and reviewing digital copies. The TE team reviewed the quality of written materials and more importantly the TE questioned stakeholders to document, who participated in their development, the nature of gender and social inclusion issues and responses in written materials, the relevance and effectiveness of DCRL outputs, ensuring the written materials would be utilized and provide continuous, long-term benefits supporting IWM.

The TE team was able to visit a sample of all end of project targets that involved physical works such as ponds, water source protection, contour trenches, etc. On the ground visits allowed the TE team to evaluate the quality of workmanship and to discuss with the implementation team and beneficiaries any challenges encountered during construction, adaptive management actions implemented, participation of women and socially disadvantaged in construction, the effectiveness of works, the environmental and socio-economic benefits (or impacts) derived from the intervention, including benefits and impacts to women and socially disadvantaged groups and the likely sustainability of the results.

Analysis of DCRL activities working with farmers considered their relevance to beneficiaries, whether sufficient capacity development accompanied innovative farming activities introduced, the socio-economic benefits derived (including improved nutrition and food security), the associated environmental benefits or impacts, linkage of farming activities to IWM, and the likely sustainability of results.

### ***Data Triangulation and Analysis***

The TE team has verified results presented in the TE report by triangulating data from the wide variety of documents reviewed (**Annex 4**) with information gathered through an in-country field mission that met with a broad range of stakeholders and beneficiaries and visited sites where project activities were undertaken (**Annex 3**). During the field mission extensive notes were taken during KII and FGD held with project stakeholders and beneficiaries that were referred to when conducting data triangulation and analysis.

Data triangulation and analysis involved an iterative approach, whereby, the TE team started by reviewing documents to gain understanding of the planned project approach and ToC, including outputs and benefits (social, economic, institutional, environmental), gender responsiveness, social inclusion and approach to sustainability. The TE team then conducted a field mission involving KII and FGD with stakeholders and beneficiaries to validate what was learned through the document review and to triangulate data. Data derived from the field mission was also cross-checked among various stakeholders and beneficiaries and backchecked through further review of existing documents and, in some cases, the review of new documents requested. Final steps in data triangulation involved follow-up requests made to the PMU and UNDP to clarify data anomalies that were encountered.

Data triangulation also involved discussion among the three TE team members who may have encountered unique discussions with stakeholders and beneficiaries and to bring their own experience and knowledge to the analysis of data. In this regard, the international team members brought perspectives from other country's evaluations and the two national consultants provided local context. In addition, one national team member provided special knowledge and experience regarding analyzing issues and data on GESI.

The results of data triangulation have been used to complete a narrative evaluation report as outlined in **Section 4 Findings** below. The draft evaluation report has been shared with UNDP and key stakeholders to validate the data presented.

### ***Gender Responsive Approach of TE Evaluation***

The TE team included a gender specialist who was able to assist all TE team members through discussions on GESI issues associated with document review, KII and FGD, in data triangulation and analysis and in preparing the TE report. The gender specialist ensured the TE methodology included a gender responsive approach considering gender equality and women's empowerment in all TE steps as outlined **Table 2**.

### ***Analysis of Overall Project Performance***

Using the data gathered from the desk review and data collected from the field program (including remote electronic interviews and verification from the field mission when completed) a rating system was used (see **Annex 12**) to provide an overall assessment of project monitoring and evaluation, project implementation, project outcomes against the criteria of relevance, effectiveness, efficiency, and project sustainability.

**Table 2.** Gender responsive approaches utilized in terminal evaluation

TE Steps	Gender Responsive Approaches
<b>Document Review</b>	<ul style="list-style-type: none"> <li>• Gender equality was assessed, determining if women were consulted and participated in project formulation and project design</li> <li>• The ProDoc was assessed to determine if project activities and implementation approaches were gender responsive in the context of a GEN2 project.</li> <li>• The Gender Action Plan prepared for the DCRL project was reviewed.</li> <li>• The development of DCRL baselines and the MHVA were assessed to determine if they were designed to adequately capture gender issues.</li> <li>• Project outputs such as policies, directives, guidelines, and SOPs, etc. were reviewed to assess the inclusion of gender responsive approaches.</li> <li>• Project M&amp;E was assessed to determine if gender disaggregated data was collected, analyzed and gender equality reported on.</li> </ul>
<b>Field Mission</b>	<ul style="list-style-type: none"> <li>• During the field mission the TE gender specialist conducted FGD with women.</li> <li>• Gender equality requirements and achievements in project staffing of the PMU, PIU and implementing partners was assessed.</li> <li>• The knowledge and ability of implementing partners to implement gender responsive development was assessed.</li> <li>• The project implementation process was assessed to determine if a gender responsive approach was used, including activities exclusively targeting women.</li> <li>• The actual participation of women in project activities was reviewed to assess gender equality and benefits and impacts specific to women were documented with a consideration of how the project contributed to women’s empowerment.</li> </ul>
<b>Data Analysis and TE report preparation</b>	<ul style="list-style-type: none"> <li>• The TE utilized gender disaggregated data in its analysis where available to assess gender equality.</li> <li>• The TE utilized the Gender Result Effectiveness Scale Assessment (GRES) to review DCRL project Outcomes and to assess DCRL project’s empowerment of women.</li> <li>• The GESI Indicator Matrix used by the DCRL project to track progress towards end of project GESI targets was evaluated by the gender specialist (<b>Annex 12</b>).</li> <li>• Issues of gender are included through the TE report and report <b>Section 4.3.8</b> provides an in-depth analysis of how the DCRL addressed gender.</li> </ul>

## 2.5 Ethics

The evaluation adhered to United Nations Evaluation Group Norms and Standards for Evaluation (2017) and guidance provided by the OECD Development Assistance Committee (DAC) (OECD 2021 Applying Evaluation Criteria Thoughtfully). The TE team members have signed a pledge to follow ethical guidelines to ensure safe, non-discriminatory, respectful engagement of stakeholders following UNEG Ethical Guidelines for Evaluations (**Annex 5**). Those participating in KII and/or FGD were informed that their participation was voluntary, that all information provided would be treated confidentially and that their name would not be associated with the information provided in the TE report.



## 2.6 Limitations to the evaluation

The TE team did not have the opportunity to meet with all stakeholders and visit all project sites due to time limitations and the difficulty in accessing remote project sites. These limitations were addressed by visiting a wide range of key stakeholders engaged in project implementation covering all implementation activities and visits to examples of each of the project interventions implemented, such as water source protection, water lifting, contour trenching, slope stabilization, watershed check dams, rainwater harvesting, conservation ponds, irrigation ponds, conservation agriculture, and tunnel houses. As such, the TE team was able to meet with representatives of the key stakeholders and sites where major IWM activities were implemented.

With over 100,000 beneficiaries engaged in the project, a selection of beneficiaries was included in KII and FGD, including women only FGD, to obtain a sample of participants engaged in each of the project interventions.

Some stakeholders could not be reached during the field mission due to extenuating circumstances. To address this limitation the two national evaluation consultants conducted follow-up phone interviews with key project stakeholders based in the district that was not visited as planned.

The DCRL project included many physical works (e.g., 110 catchment ponds dug, 35 km contour trench built, 25 water holes constructed, 551 water sources protected, etc.), far too many for the TE to visit within the limited time frame of a two-week field mission. As such, the TE relies on independent audits conducted by UNDP and auditors contracted during project implementation to validate the results of physical works constructed and reported on by the DCRL PMU.

## 2.7 Structure of the TE report

The TE report has assembled all information gathered in a concise and readable format utilizing the format provided in the ToR (**Annex 1**). The TE report structure is as follows:

1. Executive Summary
2. Introduction
3. Project Description
4. Findings (in addition to a descriptive assessment, all criteria marked with (\*) must be given a rating following rating scale shown in **Annex 7**)
5. Main Findings, Conclusions, Recommendations & Lessons
6. Annexes

### **3 Project Description**

#### **3.1 Development context: environmental, socio-economic, institutional, and policy factors relevant to the project objective and scope**

The DCRL project focused on safeguarding vulnerable communities and their assets from climate change-induced disasters by applying a long-term, multi-hazard approach – with a particular stewardship role for women and marginalized communities. The project aimed to address the functional integrity of a pilot watershed by capturing the policy, institutional, and knowledge gaps needs to implement innovative interventions of multiple activities at a pilot scale.

The DCRL project area was located at the confluence of Dudhkoshi and Sunkoshi at the boundary between Khotang and Okhaldhunga districts in the eastern part of the country in Province 1. The project focused on activities in the Lower Dudhkoshi watershed that comprises 844 km<sup>2</sup>, 8 local government units “palikas”, five in Khotang District and three in Okhaldhunga District, including 51 wards.

The DCRL project was implemented by the Department of Forests and Soil Conservation (DFSC) under the Ministry of Forests and Environment (MoFE) with technical support from UNDP through its National Implementation Modality (NIM).

The project received CEO Endorsement on April 17<sup>th</sup>, 2020, and the Project Document (ProDoc) was signed on November 29<sup>th</sup>, 2020. A project Inception Workshop was held on September 30<sup>th</sup>, 2021. The planned project closing was November 29<sup>th</sup>, 2024, the DCRL project requested and has now received approval for a ten-month extension with a revised project closing date of September 30<sup>th</sup>, 2025.

The DCRL project was initiated at a time when the governance structure of Nepal was transitioning to a federal system with three tiers of government; national (central), provincial and local (urban and rural municipal governments also referred to as palika). An important part of the project implementation was supporting the three-tier government to redefine their roles and responsibilities as policy, legal and institutional frameworks under federal system of government evolved.

While the changing context presented challenges, the project was able to work with national, provincial and local governments, assisting in defining institutional frameworks, building capacity and creating inter-agency coordination mechanisms for Integrated Watershed Management (IWM). DCRL analysis of capacity building needs was particularly important in the context of new legislative powers (i.e. roles and responsibilities) devolved to local governments.

The DCRL project's, Project Director (PD) and PMU, continued to sit at the national level in the Ministry of Forests and Environment (MoFE) Department of Forests and Soil Conservation (DoFSC) and worked with the federal agency the Basin Management Centre (BMC) located in the project watershed. At the provincial level, the project worked with the Division Forest Office (DFO) and the Soil and Watershed Management Office (SWMO). And at the local level the project worked with eight palikas.

#### **3.2 Problems that the project sought to address, threats and barriers targeted**

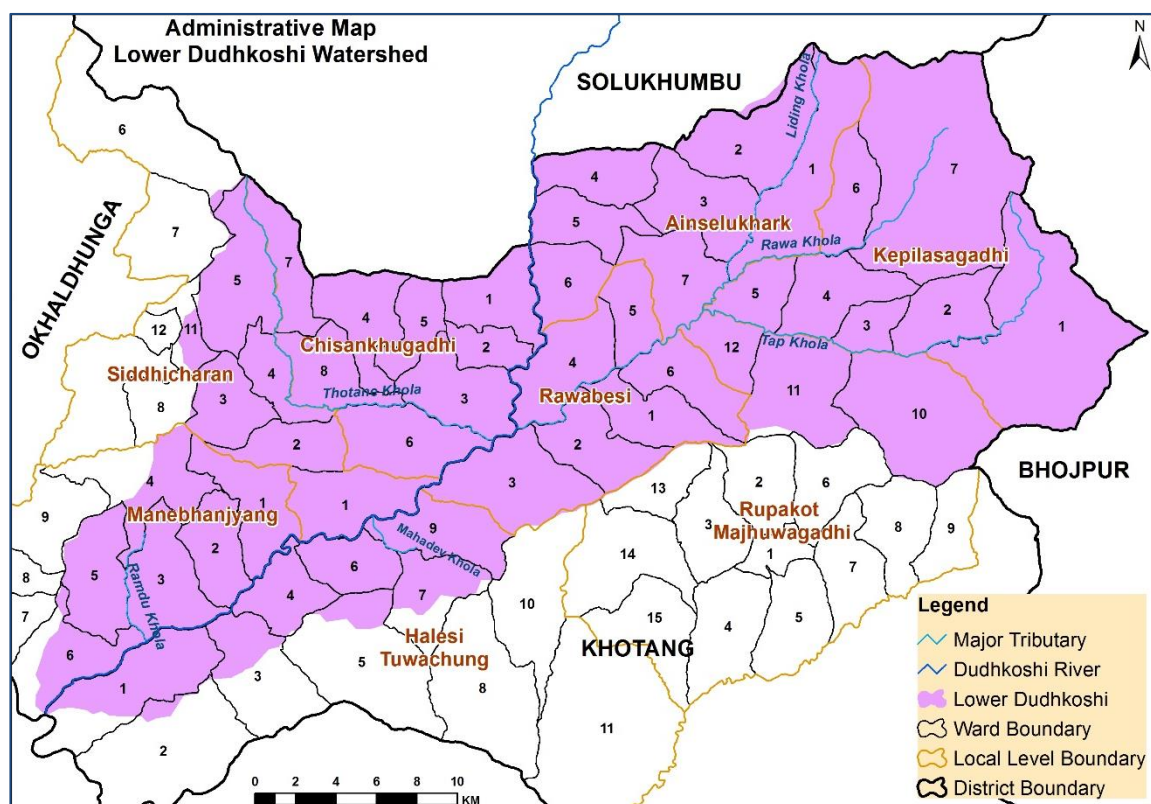
The mid-mountain watersheds of Nepal are prone to multi-hazards (drought, landslides, and floods) and the impacts are magnifying due to sensitivity of these topographic settings, unsustainable land use practices, and the increasing adverse impacts of climate change. Climate change is intensifying individual monsoon rainfall events and causing periodic interruption of monsoon rains. The monsoon hazards impact agricultural land and physical

infrastructure, resulting in high rainfall runoff, agriculture and infrastructure economic losses and costs and reduced ecosystem services of a clean, reliable water supply.

There are also emerging climate change impacts during the dry season in the mid-hill watersheds of Nepal characterized by water scarcity and climate-induced drought hazards. The drought stresses are exacerbating the existing poor socio-economic conditions of local communities, threatening dry season farming systems, reducing food security and leading to increased migration from rural areas.

A long-term solution to this climate change problem is to rehabilitate and maintain the functional integrity of watersheds that have critical functions of water storage and release, infiltration, drainage control with due emphasis on resilient livelihood development. Nepal has adopted the federal system, with its constitution assigning the roles and responsibilities among three levels of government for managing the natural resources, disaster risk, and climate change issues. The coordination and harmonization of policy and institutional frameworks for IWM are critical, as is the adoption of adaptive, innovative technologies and building community stewardship to sustainably address the multifaceted needs of watershed management and socio-economic development.

To address the issues outlined above, the DCRL project represents a pioneering initiative supported by the Global Environment Facility (GEF)-Least Developed Country Fund (LDCF) in Nepal. The DCRL project is considered a pilot scale initiative in the Lower Dudhkoshi watershed, a major tributary of the Sunkoshi sub-basin, located in the eastern part of Nepal (see **Figure 2**). The intention of the pilot-scale initiative is to demonstrate a successful model of IWM that may be replicated within other watersheds facing similar challenges in Nepal.



**Figure 2.** Lower Dudhkoshi Watershed illustrating two project districts (Okhaldhunga and Khotang) and the eight project palika (red text) and their associated wards (numbered in black) located in the Lower Dudhkoshi Watershed

### 3.3 Immediate and development objectives of the project

The DCRL project focused on safeguarding vulnerable communities and their assets from climate change-induced disasters by applying a long-term, multi-hazard approach - with a focus on building a stewardship role for women and working with marginalized communities. The DCRL project aimed to enhance the functional integrity of the pilot Lower Dudhkoshi watershed by addressing policy, institutional and knowledge gaps, the adoption of new tools and techniques for IWM and piloting a variety of project activities to enhance the resilience of livelihoods for those living in the Lower Dudhkoshi watershed.

The DCRL project **Objective** to be evaluated is:

*To safeguard vulnerable communities and their physical and economic assets from climate change induced disasters.*

The DCRL project has two **Outcomes** as follows that will be evaluated:

- Outcome 1.** Integrated watershed management framework has been established to address climate change induced floods and droughts; and
- Outcome 2.** Integrated watershed management practices introduced and scaled-up in one watershed covering 782.68km<sup>2</sup> of watershed areas and benefiting 121,606 vulnerable people.

### 3.4 Expected results

At the objective level the key expected results are:

- Eight project palika will have data-informed, climate responsive, IWM plans; and
- The project will have 121,606 direct beneficiaries (54% women, 46% men) living within the project landscape

At the outcome level the key expected results are:

- New climate responsive IWM policies, guidelines and plans developed;
- New multi-institutional IWM coordination platforms are established at central, provincial and local levels;
- Innovative IWM technologies and practices introduced and scaled-up to restore degraded landscapes and improve water management in the pilot watershed; and
- Introduce new technologies and practices such as rainwater capture/storage, drip irrigation, conservation agriculture, and water lifting for improved, climate-resilient livelihoods of beneficiaries.

### 3.5 Main stakeholder's summary list

The main stakeholders participating in the DCRL project are listed below. A discussion of planned stakeholder participation is provided in report **Section 4.1.4** and a discussion of actual stakeholder participation is provided in report **Section 4.2.2**.

At the national level the key stakeholders include:

- UNDP Country Office – executing agency;
- National Ministry of Forest and Environment, Department of Forest and Soil Conservation – implementing partner;
- Project Executive Board (PEB) members; and
- Project Management Unit (PMU) located in Kathmandu.

At the project level in the field the key stakeholders include:

- Mayors and other officials of the eight project palika;
- Ward Chairpersons within Wards where project activities implemented;

- Provincial Soil and Watershed Management Office (SWMO - Okhaldhunga) engaged to implement project activities through a Letter of Agreement (LoA);
- Provincial Division Forest Office (DFO - Okhaldhunga and Khotang Districts) engaged to implement project activities through a Letter of Agreement (LoA);
- Federal Basin Management Center (BMC - Koshi, Diktel); and
- Community groups and individuals who are the direct beneficiaries participating in project activities.

### 3.6 Theory of Change

The DCRL Theory of Change (ToC) intervention logic identified the existing barriers to IWM, and the project interventions intended to overcome these barriers in order to achieve the solutions identified for IWM (**Figure 3**)

The identification of barriers has a focus on climate change impacts and the lack of policy and technical capacity to address these impacts. While climate change is relevant as it is known to be having an impact within the LDW, (e.g., increased variability of monsoon rains with heavier rainfall events and periods without rain and more intense drought during the dry season), there are also significant and relevant barriers to watershed management that are associated with unsustainable human land use practices. The removal of native woody vegetation exposes soils to surface water erosion, reduces water infiltration for groundwater recharge, increases soil dryness and surface water runoff, resulting in increased flooding and landslides and a lack of water availability from springs. Road construction on steep slopes often results in increased water runoff, unstable slopes and frequent landslides. Human land use practices should have been included as a significant barrier to sustainable watershed management in the ToC.

The ToC has identified other relevant barriers including the lack of institutional capacity (staff, technical knowledge, financial resources) targeting IWM, a lack of coordination and collaboration among government agencies on IWM and the lack of awareness of IWM within the local population.

The ToC pathway to address the barriers identified includes impact drivers that are based on assumptions that government stakeholders and local communities consider the project activities relevant and with support from the DCRL project the capacity exists to successfully implement the proposed project activities. There are two components to be implemented by the DCRL project, one focused on developing an IWM framework addressing the barriers through building knowledge, capacity and guidelines for government to undertake IWM and the second focused on a practical testing of IWM framework within the LDW pilot watershed.

If the DCRL project impact drivers and assumptions are correct the ToC should demonstrate a model of IWM that can make an important contribution to improved watershed conditions supporting enhanced, climate-resilient livelihoods.

The DCRL project ToC has the capacity to create transformational change through a framework that coordinates national, provincial and local government working on integrated and innovative approaches to watershed management. When completed IWM provides long-term environmental benefits that include improved water quantity and quality year-round, improved soil conditions, less frequent landslides, and increased biodiversity associated with increased vegetation cover and water availability.

The challenge arising from success of the ToC will be the ability of the DCRL project to work with government to develop a plan for the scaling-up IWM from the Lower Dudhkoshi pilot watershed and achieve the same benefits across the many hillside environments and communities in Nepal.

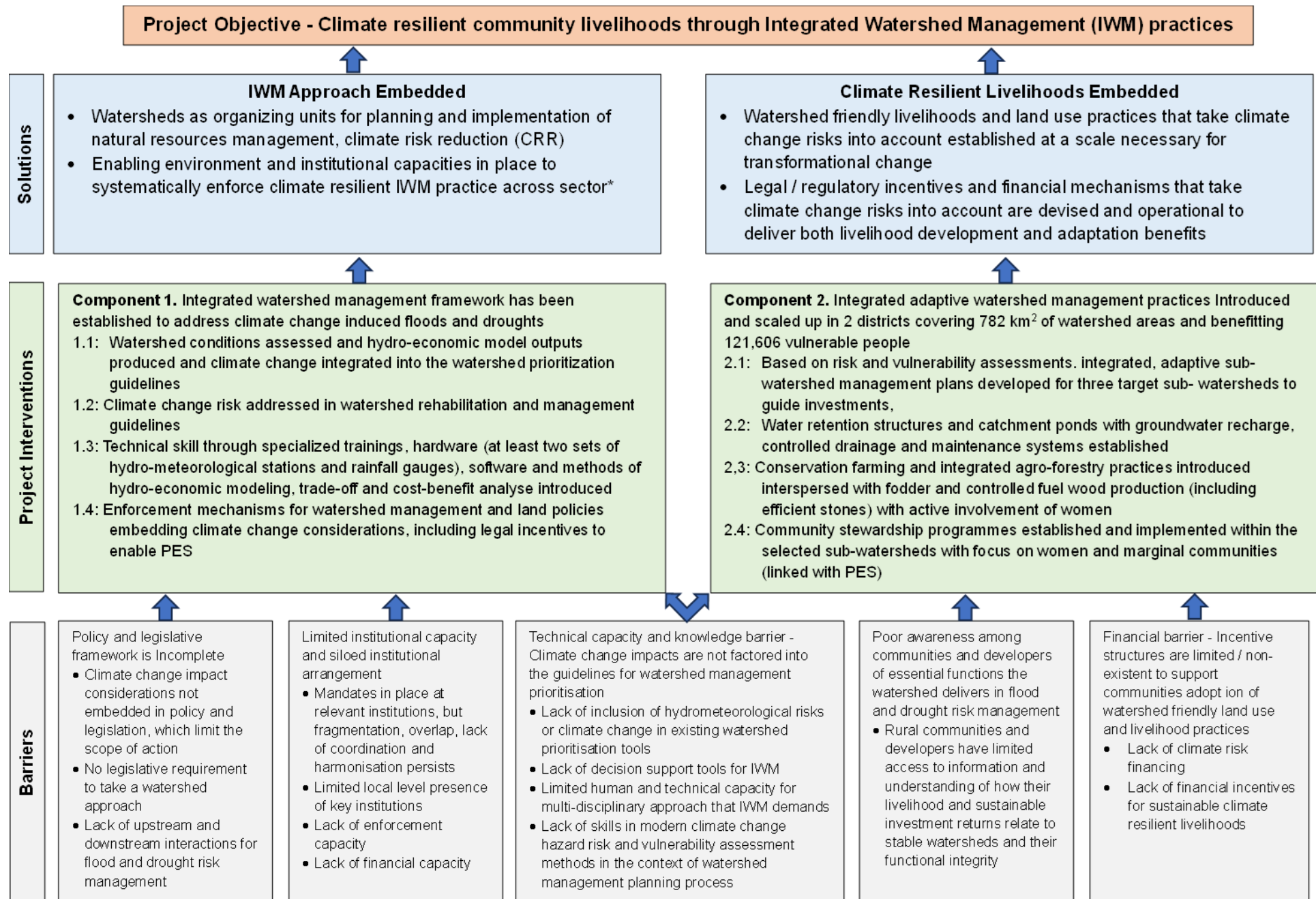


Figure 3. DCRL Theory of Change (source Project Document)

## 4 Findings

Using the data gathered from the desk review and data collected from the field program (including remote electronic interviews and verification from the field mission when completed) a rating system was used (see **Annex 7**) to assess project monitoring and evaluation, project implementation, project outcomes against the criteria of relevance, effectiveness, efficiency, and project sustainability. The evaluation ratings are presented in a table format as shown below.

<b>Monitoring and Evaluation</b>	<b>Rating*</b>
M&E design at entry	S
M&E Plan Implementation	S
Overall quality of M&E	S
<b>Implementing Agency (IA) &amp; Executing Agency (EA) Execution</b>	<b>Rating</b>
Quality of UNDP Implementation – Implementing Agency	S
Quality of Execution - Executing Agency	S
Overall quality of Implementation / Execution	S
<b>Assessment of Outcomes</b>	<b>Rating</b>
Relevance	R
Effectiveness	S
Efficiency	S
Overall Project Outcome Rating	S
<b>Sustainability</b>	<b>Rating</b>
Financial resources	L
Socio-political	ML
Institutional framework and governance	ML
Environmental	L
Overall likelihood of sustainability	ML

\* See **Annex 13** for a description of TE rating scales.

### 4.1 Project Design/Formulation

#### 4.1.1 Analysis of Results Framework: project logic and strategy, indicators

##### ***Project logic and strategy***

The ToC (**Figure 3**) has clearly identified the key institutional, technical and social-environmental barriers that preclude and, in many cases, exacerbate the problems that result from a lack of IWM. The ToC has not clearly identified the many serious social and environmental consequences that are an outcome of poor watershed management, such as:

- An increasing lack of water available for drinking, household use and agriculture, particularly during the dry season
- Land degradation leading to slope destabilization which can further degrade water supply, degrade agricultural lands, and threaten community and regional infrastructure, potentially causing death or at a minimum economic losses as a result of land landslides; and
- An ongoing decline in socio-economic development opportunities and increased vulnerability to climate change impacts causing food insecurity, poor health, and population outmigration.

The ToC identifies a clear and concise objective with two project components intended to overcome the barriers identified. The two project components are complementary, with one component addressing policy and institutional needs and a second component testing the implementation of innovative IWM activities supported by government policies and institutions



in a pilot watershed. DCRL project component one includes impact drivers that focus on improving institutional mechanisms for IWM and generating the knowledge required for effective IWM. DCRL project component two focuses on impact drivers working with communities to implement innovative IWM interventions and support of improved socio-economic livelihoods.

The progress towards achieved of the two DCRL project components validates the approach and the assumptions of government willingness to participate in the development and implementation of IWM policies, knowledge generation and innovative IWM approaches in the field and the interest of communities to actively participate in IWM, providing their land and labour in support of DCRL project IWM field activities.

### **Project Results Framework Indicators**

The Project Results Framework includes six indicators, two for the Objective, and two for each of the two Outcomes. A SMART (specific, measurable, achievable, relevant, timely) analysis of the indicators was completed, and the results are shown in **Annex 7**. The first indicator has two targets – *eight data-informed climate responsive local level plans* and *eight interdisciplinary coordination mechanisms at the local level*. These targets could have been enhanced by requiring demonstrated implementation of local level plans and the initiation of regular meetings of an interdisciplinary coordination mechanism, to validate effective achievement of the project objective.

The second indicator target is *121,606 direct project beneficiaries*. The target number is based on the total population of the eight project palika. Achieving *direct benefits* for the entire population cannot be achieved within the timeframe of the project and will be dependent on the ability of palika to coordinate and implement IWM local plans directed by an interdisciplinary coordination mechanism following project closure. It will be important for the DCRL project to demonstrate the sustainability of IWM by working with palika to develop plans for upscaling IWM to reach areas not covered by the DCRL project

**Recommendation.** Prior to project closure work with palika to develop long term plans for ongoing interdisciplinary coordination and implementation of local level IWM plans to eventually address issues and reach community members within all areas of the palika

### **4.1.2 Assumptions and Risks**

The ProDoc identified 20 risks (**Annex 10, Table 10.1**) based on their potential impact and probability of occurrence. For each risk, risk treatment and management measures were identified. The risks identified in the ProDoc were relevant and valid risk treatment and management measures were identified. The 20 risks were categorized as follows:

- **Political** – seven risks ranging from low to substantial risk with a focus on adequate engagement to ensure political buy-in and to ensure the DCRL project adapted to the new federal systems of governance.
- **Financial** – three risks ranging from low to moderate risk with a focus on a changing fiscal environment that could reduce the reduce the actual budget available to complete project activities and on a lack of economic incentive for communities to participate in project activities.
- **Operational** – seven risks ranging from low to substantial risk with a focus on staffing shortages, essential baseline data collection delays and scoping of capacity development needs, factors that may impede project progress; and
- **Environmental** – three risks ranging from low to moderate risk with a focus on climate-related impacts with health safety concerns for those participating in project activities and which could delay implementation of project activities.



During project design a Social and Environmental Screening Procedure (SESP) was completed which identified 10 risks (**Annex 10, Table 10.2**) ranging from low to moderate risk. The ProDoc identified relevant risks related to the protection of human rights and recommended actions the DCRL could take to ensure appropriate engagement of communities to ensure beneficiaries were fully informed and aware of their participation in project activities. Given the DCRL project was to include environmental works associated with IWM, an appropriate risk was identified for the need for ongoing maintenance of IWM interventions to be mitigated by training of beneficiaries. As above, risk treatment and management measures were proposed.

Risks identified in the SESP were reflected in project design, through the integrated and participatory approach of activities under Outcome 2 with focus on women and marginal communities. One indicator in the PRF included an end of project target with gender disaggregated data (Indicator 1 # of direct beneficiaries), there were no other indicators or end of project targets related to project outputs that targeted women. There was one PRF indicator and end of project target measuring social inclusion (Indicator 6 Extent of adoption of climate-resilient technologies/practices) which specified "Majhi community multi-purpose water ponds including fish farms. There were no other PRF indicators which targeted cross-cutting LNOB and human rights issues such as the inclusion of PWD or disadvantaged groups.

#### **4.1.3 Lessons from other relevant projects incorporated into project design**

In the DCRL project design the ProDoc has reviewed and reported on a number of government projects and programmes relevant to IWM (see ProDoc Annex O). The ProDoc has not included a discussion of lessons from these projects and programmes and how they may have been incorporated into DCRL project design. Government officials involved in DCRL project design familiar with the many projects and programmes listed in the ProDoc will presumably have used their experience to incorporate lessons into DCRL.

#### **4.1.4 Planned stakeholder participation**

The ProDoc Annex F provided a comprehensive long list of potential stakeholder information for National, Provincial and Local Government stakeholders, development partners, local and international NGOs, and Civil Society Organizations (CSO). For each stakeholder the ProDoc noted their potential involvement in the DCRL project. The ProDoc also documented the roles, strengths and opportunities of local CSOs, of which many participated in the DCRL project.

The information in the ProDoc provided the necessary information for the DCRL project to be able to identify and engage with relevant stakeholders able to participate in and benefit from project activities.

The DCRL project recognized the need for the inclusion and participation of women, ethnic groups and disadvantaged groups including PWD (see ProDoc Annex G).

A summary of the information on national, provincial and local stakeholders as provided in the ProDoc is provided in **Table 3**. A summary of information on CSO as provided in the ProDoc is provided in **Table 4**.

**Table 3.** Summary of stakeholder information provided the DCRL ProDoc

Stakeholder Name	Potential Involvement in DCRL Project
<b>National Level Stakeholders</b>	
Ministry of Forests and Environment (previously Ministry of Forests and Soil Conservation)	<ul style="list-style-type: none"> <li>• During the project preparation phase, the then Ministry of Forests and Soil Conservation (now MoFE) was the focal Ministry to in project design including the initial concept in the Project Identification Form (PIF).</li> <li>• The Ministry brought partners and stakeholders together and helped shape the project outcomes and outputs.</li> <li>• The intended role of the Ministry in the DCRL project was to be Executing Agency / Implementing Partner.</li> </ul>
Department of Forests and Soil Conservation (DoFSC) (previously Department of Soil Conservation and Watershed Management)	<ul style="list-style-type: none"> <li>• During the Project Preparation Grant (PPG) phase, the Department of Soil Conservation and Watershed Management's (DSCWM) experience and expertise provided important inputs to project design, and they conducted baseline surveys and community consultations.</li> <li>• The Department of Forests and DSCWM merged to become DoFSC which became the led implementing agency for the DCRL project as planned in the PPG.</li> </ul>
Department of Agriculture (DOA) under Ministry of Agriculture and Livestock Development (DALD)	<ul style="list-style-type: none"> <li>• During the PPG phase the DOA was involved in stakeholder consultations supported conducting baseline surveys.</li> <li>• During project implementation DOA was to be provide technical inputs, monitoring of the project activities, and participate as a member of the Project Executive Board (PEB)</li> </ul>
Prime Minister Agricultural Modernization Project (PM-AMP)	<ul style="list-style-type: none"> <li>• PM-AMP's mandate to increase agricultural production was earmarked to support the DCRL project by working together and providing co-financing.</li> </ul>
Department of Livestock Service (DLS) under Ministry of Agriculture and Livestock (MOALD)	<ul style="list-style-type: none"> <li>• During the PPG phase the DLS was involved in stakeholder consultations</li> <li>• During project implementation DLS was to be provide technical inputs, monitoring of the project activities, and participate as a member of the Project Executive Board (PEB)</li> </ul>
Ministry of Home Affairs (MoHA) and National Disaster Risk Reduction and Management Authority (NDRRMA)	<ul style="list-style-type: none"> <li>• During the PPG phase the MoHA participated stakeholder meetings</li> <li>• MoHA also contributed to the establishment of linkages with District level disaster relief</li> <li>• During project implementation NDRRMA was to be a member of the Project Steering Committee (PSC).</li> </ul>

Stakeholder Name	Potential Involvement in DCRL Project
Ministry of Finance (MoF)	<ul style="list-style-type: none"> <li>MoF is the Operational Focal Point for GEF in Nepal.</li> <li>During the PPG phase the MoF participated stakeholder meetings and providing feedback to ensure GEF resources would be allocated appropriately.</li> <li>During the DCRL project implementation MoF would be responsible for the transfer of the GEF LDCF grant resources to the Implementing Partner</li> <li>During project implementation MoF was to be a member of the PEB and PSC.</li> </ul>
Watershed Management Offices (WMO) under DFSC Okhaldhunga	<ul style="list-style-type: none"> <li>Located in the Lower Sunkoshi River Watershed (Okhaldhunga), WMO was to be the overall responsible agency for project coordination and progress review at the local level.</li> </ul>
Water Resources Research Centre (WRRC)	<ul style="list-style-type: none"> <li>The WRRC was identified as an agency to provide soil conservation and watershed management research services to the DCRL project.</li> </ul>
Department of Hydrology and Meteorology (DHM)	<ul style="list-style-type: none"> <li>DHM would be the agency to provide hydro-met data required by the DCRL project and technical advice on upgrading existing hydro-met stations.</li> </ul>
River Basin Office (RBO) for Koshi River Basin	<ul style="list-style-type: none"> <li>The DCRL project was to coordinate with the RBO during project implementation</li> </ul>
UNDP	<ul style="list-style-type: none"> <li>UNDP would the Government of Nepal in formulation of the project concept and ProDoc for CEO approval</li> <li>As a NIM project the UNDP CO would provide oversight to the DCRL project during implementation</li> </ul>
International Centre for Integrated Mountain Development (ICMOD)	<ul style="list-style-type: none"> <li>During the PPG phase the ICIMOD participated stakeholder meetings</li> </ul>
Federation of Community Forest Users Nepal (FECOFUN)	<ul style="list-style-type: none"> <li>As an umbrella organization of Community Forest User Groups (CFUG), FECOFUN was to participate in policy formulation and establishment of Payment for Ecosystem Services (PES) for sustainable financing.</li> </ul>
<b>Provincial and Local Level Stakeholders</b>	
Watershed Management Offices (WMO) under DFSC Okhaldhunga	<ul style="list-style-type: none"> <li>Located in the Lower Sunkoshi River Watershed (Okhaldhunga), WMO was to be the overall responsible agency for project coordination and progress review at the local level.</li> </ul>
Palika included three Municipalities and five Rural Municipalities	<ul style="list-style-type: none"> <li>The proposed DCRL project palika were consulted at all stages of DCRL project development including the rapid field survey, baseline study, discussions regarding co-financing and participation in the validation workshop</li> <li>The project palika would be engaged in the preparation and implementation of local Adaptation Plan of Actions (LAPA)</li> </ul>

**Table 4.** Summary of local CSO roles, strengths and opportunities Prodod information

<b>Civil Society</b>	<b>Role of.stakeholders</b>	<b>Strengths</b>	<b>Opportunities</b>
Community Forest User Groups (CFUGs)	<ul style="list-style-type: none"> <li>Established for development, conservation and utilization for the collective interests of community managed government forests</li> </ul>	<ul style="list-style-type: none"> <li>Considered strong and legally organized to protect and manage forests</li> <li>Interested to participate in the management of local forests to for local needs</li> </ul>	<ul style="list-style-type: none"> <li>Soil conservation on farmland, landslides treatment, water source protection, river training and working in watershed</li> <li>Participate in capacity development to act as local resource persons</li> </ul>
Community Development Groups (CDGs)	<ul style="list-style-type: none"> <li>Established formally or informally to address community development through soil and water conservation and management actions.</li> </ul>	<ul style="list-style-type: none"> <li>Committed to work towards specific targets.</li> </ul>	<ul style="list-style-type: none"> <li>Overall watershed planning and management</li> <li>Linkage with local governments</li> </ul>
Federation of Community Forest Users Nepal (FECOFUN)	<ul style="list-style-type: none"> <li>A network of registered CFUGs that aims to campaign and advocate for and empower CFUGs</li> </ul>	<ul style="list-style-type: none"> <li>Appropriate platform to discuss policy formulation and evaluation</li> <li>Experience in addressing climate change issues</li> </ul>	<ul style="list-style-type: none"> <li>Support a basin-wide approach</li> <li>Assisting in the establishment of PES financing</li> </ul>
Association of Collaborative Forest Users Nepal (ACOFUN)	<ul style="list-style-type: none"> <li>Network of registered collaborative CFUGs that advocates for entire productive and biodiversity-rich forests in Nepal</li> </ul>	<ul style="list-style-type: none"> <li>Lead organization to advocate collaborative approach</li> </ul>	<ul style="list-style-type: none"> <li>Link protection, management and marketing of high value forest products</li> <li>Fund mobilization</li> </ul>
Nepal Federation of Indigenous Nationalities (NEFEN)	<ul style="list-style-type: none"> <li>An umbrella organization of registered indigenous peoples organizations</li> <li>Active member of the United Nation's working Group on Indigenous populations.</li> </ul>	<ul style="list-style-type: none"> <li>Advocated for forest conservation and measures to address climate change</li> </ul>	<ul style="list-style-type: none"> <li>Watershed management planning and monitoring</li> <li>PES establishment</li> </ul>
Nepal National Forest User Group (NEFUG)	<ul style="list-style-type: none"> <li>Established to conduct advocacy on behalf of forest users of all types of community-based forestry.</li> </ul>	<ul style="list-style-type: none"> <li>Awareness raising on the importance of forests</li> </ul>	<ul style="list-style-type: none"> <li>Advocacy for watershed management</li> </ul>

Civil Society	Role of stakeholders	Strengths	Opportunities
Himalayan Grassroots Women's Natural Resources Management Association (HIMAWANTI)	<ul style="list-style-type: none"> <li>• NGO dedicated to strengthening women in sustainable natural resources management, focusing gender equality, sustainable livelihoods, social inclusion and justice.</li> </ul>	<ul style="list-style-type: none"> <li>• Empowering women in natural resource conservation</li> <li>• Leadership development for women</li> </ul>	<ul style="list-style-type: none"> <li>• Basin and watershed level organization of women</li> <li>• Working with women on farmland improvement and water conservation</li> </ul>
Dalit NGO Federation (DNF), Nepal	<ul style="list-style-type: none"> <li>• A network Dalit NGOs aiming to fight together against caste-based discrimination</li> </ul>	<ul style="list-style-type: none"> <li>• Raising Dalit voices against discrimination</li> </ul>	<ul style="list-style-type: none"> <li>• Advocacy work with Dalit community on watershed management</li> </ul>
Animal Husbandry Groups	<ul style="list-style-type: none"> <li>• To increase livestock production and improve livelihoods of poor, socially disadvantaged people and women through improved livestock farming.</li> </ul>	<ul style="list-style-type: none"> <li>• Knowledge sharing of self-sustaining livestock production and improvement for farmers</li> </ul>	<ul style="list-style-type: none"> <li>• Integrating livestock development plans into IWM plans</li> </ul>
Water User Associations	<ul style="list-style-type: none"> <li>• Collaboration of water users in irrigation projects to increase the rate of irrigation development</li> </ul>	<ul style="list-style-type: none"> <li>• Working with farmers to sustainable manage water irrigation systems</li> </ul>	<ul style="list-style-type: none"> <li>• Water source and watershed protection and management</li> <li>• PES development</li> </ul>

### ***Inclusion of women and disadvantaged groups***

The project design has carefully targeted local vulnerable households within the LDW project areas. The project took a people first approach to IWM through enhancement of climate resilient livelihoods of vulnerable watershed catchment areas. The project design respects the human rights of the local residents, and their issues have been given high priority in developing the project. The needs, demands, voice and choice, traditional knowledge and respecting their dignified lives are considered and integrated in the development and planning of the project activities.

The project has mobilized local people with the ownership of local government and technical support from the DWMO and the PMU/PIU teams. The project design has focused on the inclusion of the local people in planning, management, operation and maintenance of the watershed, so that they can improve their livelihoods through a secure and sufficient water supply. Within the watershed the project has identified vulnerable households as Dalits (11%), Janjatis (65%) and others (24%) who are mostly majhi and Tamang under Janjati residing in these areas.

The ProDoc targeted population was 121,606 of which 53.8% are female (i.e., the total population of eight project palika). The ProDoc noted women are vulnerable, based the current situation where there is young, particularly male outmigration looking for paid employment. Women must therefore take on a larger role and have more responsibilities, including of household work, family care, agriculture and livestock management and other social responsibilities in the community. Nonetheless, society remains characterized by a patriarchal mindset, with male members dominating decision making. Ensuring an inclusive approach for women and supporting women in leadership and decision-making roles was, therefore, an important intended outcome of the DCRL project.

The project design includes careful planning, implementation and monitoring based on rights-based approach, respecting human rights and following the concept of Leave No One Behind (LNOB). The project monitoring is designed to include sex and caste disaggregated data base on the user's committee's composition, participation of works and trainings including beneficiaries. The project also includes a focus of activities for Majhi community as these Households (HH) are poor and deprived.

#### **4.1.5 Linkages between project and other interventions within the sector**

The DCRL project provided an opportunity for national, provincial and local government agencies working within the area of IWM, to work collaboratively to integrate their efforts supporting a common objective of climate resilient watershed management for secure socio-economic livelihoods and sustainable environments.

Through the DCRL project linkages were created among LoA partners of BMC, DFO and SWMO implementing IWM activities within the project areas of the LDW.

During project implementation the DCRL project did not have any linkages with other GEF financed project in Nepal.

## **4.2 Project Implementation**

### **4.2.1 Adaptive management**

The DCRL project management team adopted measures to respond to policy level issues and the on-the-ground reality over the course of project implementation. These are briefly discussed here.

#### **Policy challenges and adjustment to federalization:**

The project implementation contributed towards formulation of strategies, policies, guidelines and directives for all three tiers of government (Federal, Provincial, Local) in the field of IWM and GESI. These include National Watershed Management Implementation Guideline, Provincial Integrated Watershed Management Policy, Guideline for Gender Mainstreaming in IWM, SOPs for Maintenance of Watershed Management System, Revised Soil Conservation and Watershed Management program, Climate Risk-based Sub-watershed Vulnerability Assessment and Prioritization guideline. At the palika level it contributed to the formulation of palika level Local Climate Responsive Integrated Watershed Management Policy Directives and palika level Integrated Watershed Management Plans. These initiatives carry special significance against the backdrop of federalism being at a nascent stage. In the implementation front as well, LoA was signed with both the federal government units (Basin Management Center in Khotang district) and provincial government units (Soil Conservation and Watershed Management Office in Okhaldhunga and Division Forest Offices in both the districts).

#### **Adjustment in targets**

The project revised the targets following the MTR conducted in 2022 so as to enhance the effectiveness of the project. The revision of the targets reflected the project's continual assessment of the implementation context and responding accordingly. The revision of the targets is shown in the following table.

#### **Revision of targets following MTR**

Following the MTR recommendations of Operationalization of Provincial multi-institutional coordination mechanism, annual review of DCRL was organized at the Provincial level. The MTR also suggested the operationalization of local level multi-institutional coordination mechanism. The local governments endorsed the directives, and the coordination mechanism is operationalized. One of the recommendations of the MTR was to incorporate the support livestock-based income generating activities. The Project supported activities like shed

improvement and fodder tree plantation, albeit at a limited level. Upon recommendation of the MTR, a consultancy firm has been recruited to undertake third party monitoring of project activities.

### **Implementation arrangement**

The project's initial start-up phase coincided with the COVID-19 pandemic and its response period. During this time the project focused on preparatory work, administrative set up, drafting of policies, and implementation at low scale as field movement was restricted.

The selection of specific implementation sites was also responsive to the local context. As there were many incidents of forest fire occurring in the project area in 2023, the project supported construction of over 10 conservation ponds in the forests through the DFO. These ponds help in minimizing the fire risks, responding to forest fires, promoting groundwater infiltration and they can provide a source of water during the dry season for native wildlife supporting biodiversity protection. Similarly, the selection of livelihood promoting activities was responsive to field conditions. Fruit trees and tea plantation were done based on the feasibility of those species in those particular areas.

To offset the time lapsed in preparatory phase and accelerate the delivery of the project, the management secured the services of private sector/NGOs in addition to LoA partners. This included the recruitment of service providers for undertaking activities like solar lifting irrigation systems and conservation farming. The latter measure helped in speeding up the implementation of project activities and the associated financial delivery.

The DCRL project also promoted expanding the roles of its staff members. For example, the Coordinator in the PIU also took over the role of project engineer as well and the social mobilizers also worked as data enumerators.

### **4.2.2 Actual stakeholder participation and partnership arrangements**

While the ProDoc provided a very long list of potential stakeholder participation (see ProDoc Annex F), the actual participation of key stakeholders was limited to the following:

- Nationally the MoFE – DoFSC and the local BMC in the project LDW and the Department of Hydrology and Meteorology (DoHM).
  - The DoFSC provided leadership for the project through the participation of the Director General MoFE and the Joint Secretary MoFE as the National Project Director and PEB member. The Joint Secretary MoFE, Planning, Monitoring and Coordination division played an active role in DCRL project development and continued as a PEB member. Within DoFSC a Soil Conservation Officer provided support as the Gender Equality and Social Inclusion (GESI) focal person.
  - The BMC based in Kotang District was actively engaged and played a substantial role in project implementation activities working with the local governments and communities through a LoA. The value of LoA reported in 2024 was USD \$3,271,221, which is almost half of the GEF grant of \$7M.
  - The DoHM played an important advisory role in ensuring compatibility with the hydro-meteorology stations installed by DCRL allowing the data generated to be integrated into national hydro-meteorology reporting systems.
- Provincially the SWMO and local DFO in the project LDW.
  - The province has participated in the development of a Provincial IWM Policy.
  - The provincial SWMO and DFO have played important roles implementing project activities by working with the participating local governments and communities through LoA. The value of LoAs reported for SWMO was USD \$1,526,503 and for DFO it was USD \$534,709.

- Locally in Okhaldhunga and Khotang Districts the eight palika governments and the wards are associated with DCRL project activities.
  - The palika governments and participating Wards were the principal DCRL project stakeholders through their active participation in piloting the development of local government IWM policy and management plans and the implementation of community-based IWM activities.
- Research organization conducting the Multi-Hazard Vulnerability Assessment (MHVA) was Department of Civil Engineering at Tribhuvan University.
  - The MHVA formed a critical foundation for the palika level IWM plans, identifying sites in the pilot LDW where DCRL project activities were implemented.
- NGO implementing partners ECARD and Sahas Nepal.
  - Utilizing their knowledge and experience of community engagement and conservation agriculture, NGO's were engaged to provide important to engage and train community members in IWM activities such as conservation agriculture.
- Local CSOs such as Community Forest User Groups, Water User Groups and Community Development Groups
  - On-the-ground IWM activities were undertaken by existing and where required, new community groups. Their active participation was essential to DCRL success and sustainability.

The DCRL project achieved effective inclusion of community members as beneficiaries in participating in the project villages. This included the participation of women, distinct ethnic groups, and disadvantaged groups. The TE team investigated the inclusion of PWD and did not find evidence of efforts to include PWD or any actual participation of PWD.

The TE team noted the engagement strategy for activities related to household rainwater harvesting systems disadvantaged community members who do not live in a house with an iron roof and agricultural interventions that require access to land for ponds, tunnel gardens and/or conservation agriculture planting. The DCRL project compensated, in part, for these situations by providing smaller rainwater capture systems supported by a small, corrugated tin roof, and 1000 litre collection tank and by working with farmer groups with access to community land.

#### 4.2.3 Project Finance and Co-finance

Allocation of the GEF grant of \$7M is shown in **Table 5**. The ProDoc budget was revised based on recommendations of the MTR and is within the 10% re-allocation limit between project components permitted by GEF. **Table 5** illustrates the majority of the proposed spending (84%) is allocated to Outcome 2 to implement IWM activities in the field, including water source protection measures, contour trenching, check dams, conservation agriculture, conservation ponds, rainwater capture with plastic lined ponds, irrigated market gardening, water lifting, etc. Outcome 2 activities have demonstrated a model of effective IWM based on implementing a suite of comprehensive and concentrated measures within the LDW that control erosion, improves groundwater infiltration, protect water sources, and provide social and economic benefits.

Overall, 82% of the revised budget has been utilized as of August 31<sup>st</sup>, 2024. The PMU has indicated all of the remaining GEF grant is projected to be utilized prior to the revised project closure in September 2025.



**Table 5.** GEF LDCF grant budget and spending on DCRL project at time of TE (data provided by PMU, project spending is as of August 31<sup>st</sup>, 2024, including commitments)

Activity	ProDoc Budget (USD)	Revised Budget (USD)	Project Spending (USD)	Project Spending (%)
Outcome 1	\$987,537.00	\$835,198.05	\$576,251.18	69%
Outcome 2	\$5,681,746.00	\$5,841,937.33	\$4,949,620.56	85%
Project Management	\$330,717.00	\$322,864.62	\$206,715.97	64%
<b>Totals</b>	<b>\$7,000,000.00</b>	<b>\$7,000,000.00</b>	<b>\$5,732,587.71</b>	<b>82%</b>

Per the ProDoc UNDP co-financing of \$900,000 is a cash grant to support activities under Outcome 1 (\$255,000) and Project Management (\$645,000). To date 77% of UNDP co-financing has been mobilized with the remaining 23% expected to be mobilized before project closure (**Table 6**). In 2024, total UNDP co-financing increased to \$1,09,611. UNDP support makes an important contribution to the DCRL project, representing over 11 % of the combined GEF and UNDP grant.

Planned government co-financing of the DCRL project is substantial, \$34,893,000 with 72% of this amount mobilized as of June 30<sup>th</sup>, 2024. The total government co-financing indicates the GEF grant has leveraged a financial commitment from government which is five times larger, making an important contribution to undertaking IWM in Nepal.

**Table 6.** DCRL Co-financing Table (data provided by PMU, actual amounts are as of June 30<sup>th</sup>, 2024; note government co-financing has not been broken down into “grant” and “in-kind”)

Co-financing Type / Source	UNDP (US\$)		Government (US\$)		Total (US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual
Grants	\$900,000	\$689,371	\$34,893,000	\$24,944,137	\$35,793,000	\$25,633,508
Loans/ Concessions						
In-kind support						
Other						
<b>Totals</b>	<b>\$900,000</b>	<b>\$689,371</b>	<b>\$34,893,000</b>	<b>\$24,944,137</b>	<b>\$35,793,000</b>	<b>\$25,633,508</b>

There is a large commitment of government co-financing (\$34,893,000) from national, provincial and local government stakeholders (**Table 7**). Government co-financing data are not broken down into “cash grants” and “in-kind support”. Government co-financing support to DCRL includes government salaries, office space and equipment, transportation support as well as some cash grants purchasing materials in support of DCRL project-related activities. The term parallel co-financing referred to in **Table 7**, this type of government co-finance refers to government support of initiatives replicating project activities within the LDW.

The PMU has reported that government co-financing is currently at 70% of commitments, and that 100% will be met prior to project closure. One exception is the Prime Minister Agriculture

Modernization Project co-financing of \$460,000 for Khotang and Okhaldhunga, which has been reduced in the project area, and now stands at 17% of its commitment. The co-financing received from local governments have all exceeded their original commitments, some by almost 400%, indicating a strong commitment to the recently acquired mandate of watershed management. It is anticipated that the total local government co-financing will continue to increase over the remaining project period.

**Table 7.** Co-financing commitments and investment mobilized (data provided by PMU as of June 30<sup>th</sup>, 2024)

Name of Co-financer	Type of Co-Finance (cash/in-kind)	Att CEO Endorsement (US\$)	Investment Mobilized (US\$)	Percent Mobilized
UNDP	Cash	\$900,000	\$689,371	77%
Ministry of Forests and Environment (MoFE)	Cash /in Kind and parallel co-financing	\$7,923,000	\$6,393,487	81%
Department of Soil Conservation and Watershed Management (DSCWM)	Cash /in Kind and parallel co-financing	\$7,700,000	\$3,431,098	45%
Department of Hydrology & Meteorology (DHM)	Cash /in Kind and parallel co-financing	\$13,560,000	\$3,000,000	22%
Department of Agriculture (for Khotang and Okhaldhunga)	Cash /in Kind and parallel co-financing	\$590,000	\$437,362	74%
Prime Minister Agriculture Modernization Project (for Khotang and Okhaldhunga)	Cash /in Kind and parallel co-financing	\$460,000	\$77,120	17%
Ainselukharka Rural Municipality (Khotang)	Cash /in Kind and parallel co-financing	\$550,000	\$573,503	104%
Halesi Tuwachung Municipality (Khotang)	Cash /in Kind and parallel co-financing	\$590,000	\$2,298,991	390%
Kepilasgadhi Rural Municipality (Khotang)	Cash /in Kind and parallel co-financing	\$520,000	\$1,014,853	195%
Rawa Besi Rural Municipality (Khotang)	Cash /in Kind and parallel co-financing	\$550,000	\$741,404	135%
Diktel Rupakot Majhuwadhi Municipality (Khotang)	Cash /in Kind and parallel co-financing	\$920,000	\$3,081,155	335%
Manebhanjhang Rural Municipality (Okhaldhunga)	Cash /in Kind and parallel co-financing	\$390,000	\$896,748	230%
Siddihicharan Municipality (Okhaldhunga)	Cash /in Kind and parallel co-financing	\$570,000	\$1,939,862	340%
Chisankhugadhi Rural Municipality (Okhaldhunga)	Cash /in Kind and parallel co-financing	\$570,000	\$1,058,554	186%
<b>Totals</b>		<b>\$35,793,000</b>	<b>\$25,633,508</b>	<b>72%</b>

#### **4.2.4 Monitoring & Evaluation**

##### ***Monitoring & Evaluation Design at Entry***

The ProDoc included a comprehensive M&E framework that set out all monitoring requirements and identified primary responsibilities, budgets and a time frame for monitoring. The total budget for M&E was \$299,696 (4.28%) of the GEF LDCF grant.

In addition, Annex U of the ProDoc provided a project results framework with a monitoring plan for the project objective and outcome indicators. The monitoring plan included targets, target description, data sources and collection methods, monitoring frequency, responsible for data collection, means of verification and risks and assumptions. The PMU created a spreadsheet to permit collation of M&E data collected for reporting on PRF indicators.

The M&E framework indicators were assessed based on SMART (Specific, Measurable, Achievable, Relevant, Timely) criteria (see **Annex 7**). There were several shortcomings noted in the indicators, particularly regarding their achievability, something that was also noted in the MTR which revised many indicator targets downwards. Many indicators were not specific as they included multiple targets, when one or more targets are not fully achieved the indicator will not be achieved. In the case of the indicator for Payment for Ecosystem Services (PES), the relevance of this indicator was questioned given the mechanisms to introduce PES in the LDW are not currently in place.

The M&E framework did not include baselines for indicators; baselines would have provided a measure of success of DCRL project interventions, particularly where baselines were zero, indicating the unique and innovative implementation activities undertaken by the DCRL project. The M&E framework provided useful information regarding data collection methods and sources and means of verification with the responsible person(s) identified.

An evaluation matrix was developed to measure the achievement of end of project targets developed for the Gender Action Plan (GAP) indicators (**Annex 12**). The GAP indicators included targets for women, ethnic groups and for Dalit (disadvantaged group). There were no targets for youth or PWD.

#### ***Rating: Satisfactory (S)***

##### ***Monitoring & Evaluation Implementation***

The PMU team included a full-time M&E staff member responsible for M&E implementation. The M&E staff provided the TE team with comprehensive and well-organized documentation of DCRL project M&E, making it evident that considerable time was invested in project M&E. The M&E staff conducted field monitoring trips and prepared field monitoring reports following a consistent framework that included the headings: 1. Key Information on the Visit; 2. Reflective Summary of the Key Findings; 3. Learning and Follow up Actions of the Field Visit; 4. Photos from the Field with Captions; and 5. Sites Visited. The Field Mission reports provided clear, concise data that was easy to understand and compare, allowing data to be cross-referenced with other M&E data.

Independent Third-Party Monitoring (TPM) of DCRL project field activities was conducted by a Nepal consulting company experienced in integrated rural development. TPM provided unbiased verification of the completion of project activities, and it reported on issues to inform the PMU and PIU teams of the need for corrective management actions. The TE team was provided with four TPM reports from 2023, including a 2023 summary report, and three TPM reports for 2024. The TPM reports provided valuable feedback organized by project activity, with data on field observations, issues, recommended actions and responsible party for follow-up. TPM reports also provided similar data on gender equality and social inclusion. The TPM were well written and organized, providing an excellent M&E resource with an executive summary to permit a quick review of issues and a comprehensive narrative and photographic

documentation of each site visited.

The DCRL PEB was very active, with 12 meetings held from December 2020 to April 2024. The meetings minutes prepared were comprehensive, noting attendance which demonstrated regular participation and commitment from PEB members. PEB minutes were organized in a tabular format providing documentation of the discussion points from members on each agenda item, the actions required where applicable and the responsible people to complete the actions. The expertise of various government ministry members and UNDP staff provided valuable analysis of issues associated with the implementation of project activities contributing to the effectiveness, efficiency and sustainability of DCRL project outputs and outcomes.

The M&E data provided by the PMU validated implementation of the ProDoc M&E framework as designed. This included the completion of an Inception Workshop, annual work plans, baseline assessment reports, annual progress reports, project implementation reports, project executive board meeting minutes, a MTR and management response, and progress towards achievement of the project results framework indicator targets.

The timeliness and quality of M&E reporting was good, providing feedback that allowed the PMU to track progress on project activities and take corrective actions for activities that were not on target. The MTR provided an important review of M&E particularly in the context of indicators targets that were not likely to be achieved with the available DCRL budget and within the original project timeline.

There were missed opportunities to engage community members in participatory monitoring of project results. For example, farmers growing and selling vegetables from tunnel gardens could have measured the cost benefit of the income generated, reinforcing the economic benefits, which would contribute to replication and scaling of these activities introduced by the DCRL project. Participatory monitoring of improvements to the quantity of water available could contribute to the sustainability of project outcomes, reinforcing the benefits of IWM.

As discussed in **Section 4.3.1**, two of the four GEF core indicators (1. Total # of direct beneficiaries and 2. The area of land managed for climate resilience) do not provide an accurate measure for these parameters. The other two GEF core indicators (3. Total # of policies/plans that will mainstream climate resilience and 4. Total # people trained) have been successfully monitored and reported on.

Project progress reported in PIRs suggest UNDP's Bureau for Policy and Programme Support (BPPS) provided realistic DCRL project Objective and implementation progress ratings, whereas the PMU provided overly optimistic ratings of progress.

As noted in **Section 4.3.4** the DCRL project financial reporting, including the financial statements prepared by the project, met annual audit requirements.

The DCRL project has a GESI M&E framework which has been updated and is reported further in TE report section **4.3.8 Gender Equality**.

***Rating: Satisfactory (S)***

#### ***Overall assessment of M&E***

The design and implementation of M&E for the DCRL project meets expectations and has no major shortcomings.

***Rating: Satisfactory (S)***

#### **4.2.5 UNDP Implementation/oversight and Implementing Partner execution**

### ***UNDP implementation/oversight***

The UNDP Country Office and UNDP Regional Technical Advisor have provided support throughout the design and implementation phases of the DCRL project. PMU staff noted a strong, positive working relationship with UNDP that has enabled the PMU implementation of project activities. UNDP demonstrated an excellent knowledge of the challenges and adaptive management of the DCRL with evidence of attendance of all PEB meetings.

***Rating: Satisfactory (S)***

### ***Implementing Partner execution***

The PMU was embedded within the federal DoFSC with a compliment of staff that have remained with the project providing continuity during implementation. The PMU worked effectively with government partners establishing LoA and other contractors to successfully implement project activities that have developed baseline studies, multi-hazard assessments, new government policies, directives and guidelines and implemented IWM activities in the LDW mid-hill communities.

***Rating: Satisfactory (S)***

### ***Overall quality of Implementation / Execution***

The overall quality of project implementation has been high, with DCRL project oversight and execution showing a consistent high level of commitment and ownership by all project stakeholders. The support provided by UNDP as well as the commitment and ownership demonstrated by government implementing partners has resulted in effective and efficient project achievements.

***Rating: Satisfactory (S)***

## **4.2.6 Risk Management**

PMU project reporting in APR included a review of risks to log issues and provide a status update. UNDP PIR also reviewed the risk register and provided an assessment of ongoing risk management.

The TE re-evaluated the 20 risks identified during project design, providing an assessment of their potential likelihood of occurrence and impact to determine a risk rating (**Annex 10**). Of the 20 risks, the risk rating remains unchanged for 15 risks, four risks have decreased, and one risk has increased.

Analysis of project risks provides insights into how some of the risks identified have impacted the DCRL project in a variety of ways and provides lessons learned for future projects facing similar risks. For example:

- Risk 8 identified the potential impact of inadequate scoping of the requirements for implementation of project. The MTR determined several targets were not achievable due to increased costs, or a lack of available land or because the target could not be achieved in the project timeframe. Revised end of project targets included (see **Annex 7** for more information):
  - 50 km of contour trench changed to 40 km;
  - 700 water sources protection was changed to 600;
  - 3,763 ha of conservation farming changed to 2,500 ha;
  - 1,000 ha of water use for agriculture changed to 600 ha;
  - 375 ha of drought tolerant NTFP cultivation changed to 200 ha;
  - 2,500 HH receiving fuel efficient stoves changed to 1,250 HH;
  - 20,000 ha drought resistant crop variety promoted dropped; and
  - support to 30 cooperatives for PES target dropped.
- Risk 10 identified the potential inability to launch a PES within the project timeframe

and this indicator was dropped from the PRF as noted above;

- Risks 11 and 17 identified the potential inability to recruit qualified staff and delays in recruiting staff, which has impacted the DCRL's ability to move forward at a faster pace;
- Risk 14 recognized the impact of not accurately identifying training needs, something the TE evaluation has noted and provided a recommendation for follow up training prior to project closure; and
- Risks 18 and 20 identified environmental risks related to climate risks and flooding, which the PMU reported as a constraint, such that working with project communities in the LDW is largely restricted to periods when the monsoon is not active.

#### **4.2.7 Social and Environmental Standards**

The project's safeguards issues were closely monitored with Social and Environmental Standards (SES) screening carried out throughout DCRL project implementation involving project construction works, agriculture and water related activities. SES screening was conducted for catchment ponds, contour trenches, source water protection, water holes, plantations and conservation farming

A SES focal point was established within the PMU who worked closely with UNDP's safeguards oversight advisors. The DCRL project also has a Grievance Redress Mechanism (GRM) in effect and training was provided to PMU members on safeguards.

Environmental and Social Management Plans were prepared for major DCRL project activities such as the solar water lifting schemes and hydrometeorology stations.

### **4.3 Project Results and Impacts**

#### **4.3.1 Progress towards objective and expected outcomes**

##### ***GEF Core Indicators***

The GEF Core Indicator monitoring system for the DCRL project covers agriculture (40 %), natural resource management (50%) and climate information services (10%). The Core Indicators and respective targets at CEO endorsement are shown along with the indicator scores at the MTR and TE (**Table 8**).

The target for GEF Core Indicator 1 is based on the total population of the eight project palika reported in the ProDoc. The work conducted by DCRL has focused on the Lower Dudhkoshi Watershed (LDW), including the *Multi Hazard Vulnerability and Risk Assessment* (MHVR) prepared for the LDW and the *Climate Responsive Integrated Watershed Management Plans* prepared for each of the eight project palika.

Many of the project palika include areas (and populations) located outside the LDW. Nonetheless, DCRL supported the development of new palika directives to implement IWM throughout the palika based, in part, on the IWM plans. With ongoing support from other levels of government (BMC, DFO, SWMO), the new directives have the potential to implement IWM activities, similar to those demonstrated by DCRL, within all areas of the palika, thereby providing direct benefits to the entire population of each of the eight project palika. The status of GEF Core Indicator 1 at the time of the TE is based on the current population of the eight project palika (**Table 8**) and potential benefits that may be derived from future IWM activities.



**Table 8.** Assessment of GEF Core Indicators for DCRL project

Core Indicator #	Description	Target at CEO Endorsement	Status at MTR (Dec. 27, 2022)	Status at TE (Aug. 31, 2024)
1	Total # of direct beneficiaries	121,606	29,790	125,132
	Men	56,182	14,565	62,104
	Women	65,424	15,225	63,028
2	Area of land managed for climate resilience (ha)	78,268	235	84,309
	Agricultural land (ha)	3,763	235	1,473
	Urban land (ha)	74,505	0	55,638
3	Total # of policies/plans that will mainstream climate resilience	14	5	22
4	Total # people trained	665	1,507	13,880
	Men	300	872	8,269
	Women	365	635	5611

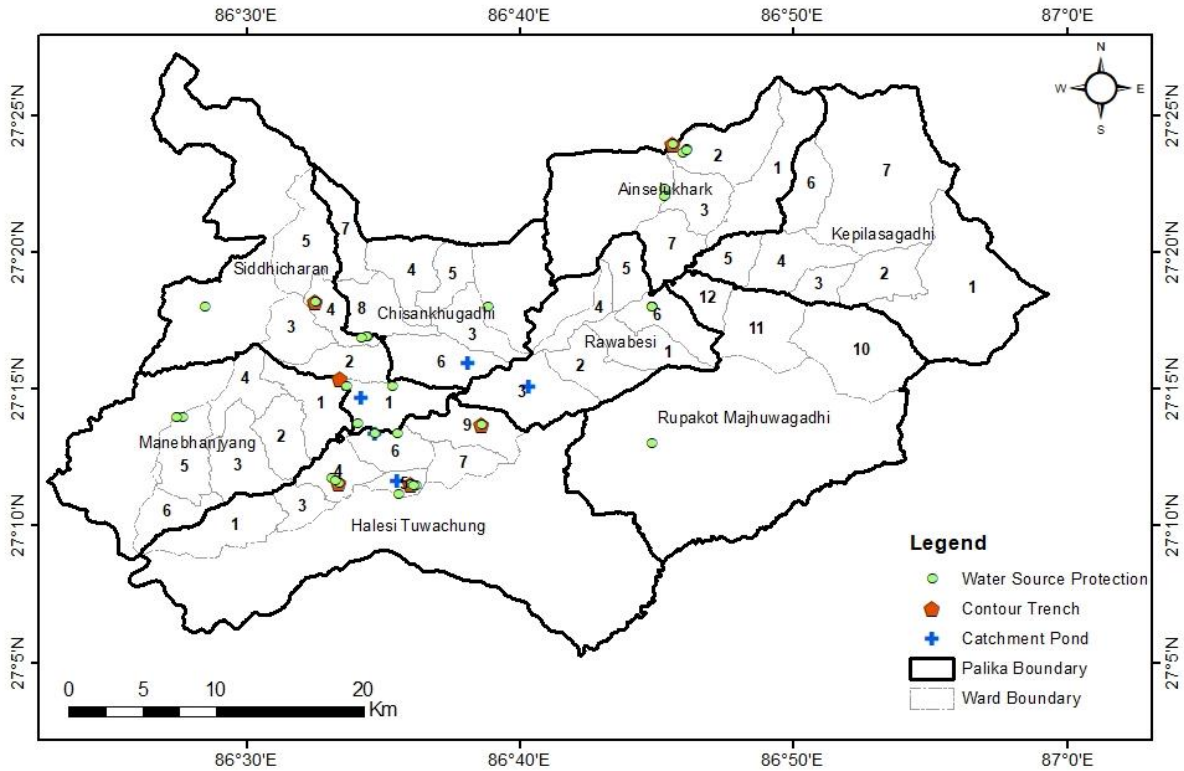
The ProDoc reported the LDW was 782.68 km<sup>2</sup> (78,268 ha) and this was set as the target for GEF Core Indicator 2. The palika IWM Plans prepared by the DCRL project report the LDW is 843 km<sup>2</sup> (84,300 ha) and the MHVR reported the LDW is 844 km<sup>2</sup> (84,000 ha). The area of land managed for climate resilience is addressed by palika IWM plans and the associated palika directives to implement IWM, which are intended to cover the entire LDW. DCRL has achieved IWM for climate resilience through a variety of activities as shown in **Figure 4**. There remain large areas of the LDW that require interventions similar to what was demonstrated by DCRL; see report **Section 4.3.6 Sustainability** for a discussion of the likelihood of scaling-up IWM across the entire LDW.

There is also a breakdown of agricultural land and urban land under GEF Core Indicator 2. To assess the agricultural land target, the TE considered the area of land brought under conservation agriculture by the DCRL project (1,473 ha, with an additional 1,673 ha planned before project completion, for a total of 3,146 ha) and the area of agricultural land brought under water irrigation (569 ha, with an additional 118 ha planned before project completion, for a total of 687 ha). The combined land managed for climate resilience is 3,833 ha (3,146 ha + 687 ha) which exceeds the agricultural land target.

The urban land target of 74,505 ha is based on all areas within the LDW minus agricultural lands (78,268 ha - 3,763 ha). The “urban lands” includes community villages and cities and all non-agricultural land, such as shrub and forested land.

The target for GEF Core Indicator 3 has been exceeded with DCRL producing IWM plans and IWM directives for each of the eight project palika, and will likely be further exceeded by DCRL work on the following:

- Provincial IWM Policy under review and awaiting Ministry level approval;
- Guideline for Gender Mainstreaming in IWM complete awaiting final endorsement and Ministry level approval;
- SOPs for Maintenance of Watershed Management System complete and approved;
- Revised sub watershed vulnerability assessment and prioritization guideline complete awaiting Ministry level approval;
- National Watershed Management Implementation Guideline completed to operationalize existing River Basin Strategy; and



**Figure 4.** Location of DCRL project activities within Lower Dudhkoshi Watershed

- Revised Soil Conservation and Watershed Management under review to be endorsed by DoFSC and may require Ministry level approval"

The GEF Core Indicator 4 target has been exceeded by a factor of 20x as result of training programs on conservation farming, work with Natural Resource Management (NRM) groups and training related to Improved Cook Stoves (ICS).

#### 4.3.2 Relevance

The DCRL project is aligned with UNDP's Country Programme Document for Nepal (2023-2027) with activities directly supporting each of the three Outcomes:

**Outcome 1. Sustainable and inclusive economic transformation** – DCRL supported sustainable tunnel market gardening and conservation agricultural practices for participated communities

**Outcome 2. Governance, federalism, participation and inclusion** – DCRL worked to develop a model of IWM involving all three levels of government.

**Outcome 3. Environmental sustainability, climate and disaster resilience** – DCRL has enhanced the sustainability of agriculture and land management and community resilience to climate change within the watershed areas where project activities were implemented.

As a GEF 6 project, DCRL has supported the focal area *Climate Change Adaptation*, including the strategic objectives CCA-1 *Reduce the vulnerability of people, livelihoods, physical assets and natural systems to the adverse effects of climate change* and CCA-3 *Integrate climate change adaptation into relevant policies, plans and associated processes*. Within the LDW the DCRL project activities have improved the resilience of the participating communities to climate change impacts of increased drought and water scarcity during the dry season and greater variability of the monsoon rains.



The DCRL project IWM activities have contributed to the achievement of each of the four priority areas of cooperation areas identified in the United Nations Development Assistance Framework (UNDAF) 2018-2022 for Nepal. The priority areas are:

- **Sustainable and Inclusive Economic Growth** – through IWM that promotes sustainable land management, water conservation and agricultural economic development
- **Social Development** – through a gender responsive and human rights approach to IWM
- **Resilience, Disaster Risk Reduction (DRR) and Climate Change Adaptation** – through IWM practices that reduce the risk of flooding and landslides, improve water management and resilience impacted by a changing climate.
- **Governance, Rule of Law, and Human Rights** – through new strategies, policies and directives that are inclusive, and project activities directed at disadvantaged groups.

The DCRL project has contributed to the strategic priorities of the United Nations Sustainable Development Cooperation Framework (UNSDCF) for Nepal 2023-2027. The strategic priorities and DCRL project contributions are as follows:

**Strategic Priority 1: Sustainable, Resilient, and Inclusive Economic Transformation** – The economic development (tunnel gardens and conservation agriculture) outputs of the DCRL project were inclusive (e.g., targeting women and Majhi communities), and they are founded on sustainable and resilient IWM practices.

**Strategic Priority 2: Inclusive and Transformative Human Development** – The DCRL project adopted an inclusive approach which was embedded in new strategies, policies, and directives created for IWM and in project communities where disadvantaged groups were included. Sustainable IWM was transformative through the provision of sustainable water management supporting human development in the form of tunnel gardens and conservation agriculture.

**Strategic Priority 3: Environment Sustainability, Climate and Disaster Resilience** – The DCRL IWM project outputs have enhanced environmental sustainability, resilience to a changing climate and reduced disaster risks in the project landscape of the LDW. Upscaling of IWM through implementation of the National Watershed Management Implementation Guideline following the DCRL model has the potential to enhance environmental sustainability and climate resilience and reduce climate induced risks across Nepal.

**Strategic Priority 4: Governance, Federalism, Participation, and Inclusion** - The DCRL project supported the new federal system of three tier governments, by helping to define IWM roles and responsibilities of National, Provincial and Local government agencies.

The DCRL project has made contributions to many of Nepal's Sustainable Development Goals (SDG). DCRL contributions to SDGs include the following:

- Increased food security and economic benefits were derived from DCRL IWM improvements to access to water, tunnel gardens and conservation agriculture contribution to SDG 1. No Poverty; SDG 2. Zero Hunger; SDG 3. Good Health and Well-being; SDG 6. Clean Water and Sanitation; and SDG 8. Decent Jobs and Economic Growth.
- The DCRL project's gender responsive approaches in project design and implementation contributed to SDG 5. Gender Equality.

- The DCRL project introduced innovative approaches to IWM, including the construction of contour trenches and conservation ponds and the development of drone technology for ecosystem restoration contributing to SDG 9. Industry, Innovation and Infrastructure.
- The DCRL project included targeted approaches to include disadvantaged groups contributing to SDG 10. Reduced Inequalities.
- The DCRL project's training and implementation of conservation agricultural practices contributes to SDG 12. Responsible Consumption and Production and SDG 13. Climate Action.
- The DCRL project included the construction of ponds to capture and hold water in natural areas supporting native wildlife populations which contribute to SDG 15. Life on Land.

The DCRL project is relevant at the national level through its contribution to sustainable land management, thereby contributing to Nepal's Second Nationally Determined Contribution (2020) and through enhanced resilience of local populations DCRL support the National Adaptation Plan (2020) and National Climate Change Policy (2019) which includes priority programs on: forests, biodiversity and watershed conservation; agriculture and food security; water resources and energy; and gender equality and social inclusion, livelihoods and governance.

The DCRL project was initiated at a time of governance changes in Nepal and through DCRL IWM activities it has supported the Federal, Province and Local Level (Coordination and Interrelation) Act (2020) which addresses coordination, cooperation and collaboration among the three tiers of government regarding Natural Resources, Sustainable Management of Natural Resource and Equitable Sharing of the Benefits. Working at the local government level the DCRL project has also supported the Local Government Operationalization Act (2017) which delegates land use planning authority to the local governments. The Act includes relevant to IWM, such as the need for watershed conservation and the development of an environment protection plan for the municipality.

The DCRL project beneficiaries identified access to water as their primary need and at the time of project initiation there was limited watershed management and no IWM to address this need. In addition, climate change is exacerbating due to increased drought in the dry season, unreliable monsoons and periods of intense rainfall. Also relevant is the lack of economic opportunities leading to out-migration of the available labour force, limited economic development in the region, and restricted access to markets due to poor roads and the travel distances required. While the DCRL project has not addressed all of these issues, it has introduced IWM and some agricultural related economic opportunities.

#### ***Relevance of DCRL gender strategy***

In Nepal, women continue to be disadvantaged in decision making and they are in the minority in government roles and responsibilities and participation in economic development opportunities. The DCRL project is relevant therefore in the context that it has worked with the government to prepare a *GESI Mainstreaming Guideline* for the MoFE DoFSC. The DoFSC as the lead executing agencies has adopted and is implementing the guidelines through the participation in the DCRL project.

#### ***Coherence of DCRL project***

The DCRL project had a high level of internal coherence with the two project components complementing one another to create a synergetic effect. Under Outcome 1 the DCRL project prepared IWM guidelines, directives, and policies for government that were then implemented by coordinating the three levels government in the activities of Outcome 2. This developed the capacity government partners and local community groups to plan and pilot the

implementation of innovative, local level IWM practices.

The DCRL project's risk reduction of climate-related drought, flooding and landslides has internal coherence with UNDP's Comprehensive Disaster Risk Management Programme which aims to strengthen the institutional and legislative aspects of disaster risk management. The DCRL project is also coherent the resilience-focused UNDP projects that have been recently completed, including the Nepal Climate Change Support Programme and the Green Climate Fund Readiness Programme.

The project is externally coherent with federal and provincial government watershed management initiatives in the project area and across Nepal. For example, the provincial SWMO and DFO which participated in the DCRL project, contributed to the adoption of watershed management activities consistent with the DCRL project's IWM. The DCRL project has contributed to a consistent approach to the federal government's watershed management programme establishing BMCs for the major river systems in Nepal under the DoFSC. The BMC in Khotang District participated in the DCRL project. The DCRL project is also coherent with the federal government's President Chure Tarai Madhesh Conservation programme, which is focusing on IWM, a project of national pride. Discussion with the officials of SWMO, DFO, and BMC reported that as a result of their participation in innovative DCRL IWM activities (e.g., contour trenches, check dams, ecosystem based slope stabilization) they are now replicating these IWM techniques in other watersheds. The DCRL project's development of innovative drone technology for aerial seeding used in steep slope restoration has been adopted by the government for restoration of the Phewa lake basin in Gandaki Province .

The DCRL project is coherent with several internationally funded projects currently being implemented in Nepal to enhance resilience to climate change. This includes: (i) Catalyzing Ecosystem Restoration for Climate Resilient Natural Capital and Rural Livelihoods in Degraded Forests and Rangelands of Nepal (Ecosystem-based Adaptation II project) funded by GEF under the MoFE; (ii) Improving Climate Resilience of Vulnerable Communities and Ecosystems in the Gandaki River Basin, a Green Climate Fund (GCF) funded project implemented by IUCN and National Trust for Nature Conservation; (iii) Building a Resilient Churia Region in Nepal funded by GCF with a joint agreement between the Government of Nepal and FAO Nepal.

**Rating: Relevant (R)**

### 4.3.3 Effectiveness

The achievement of end of project targets as discussed below demonstrates effective implementation of project activities and successful progress to achievement of the project objective and outcomes. There were delays encountered at start-up and as a result of COVID-19 restrictions, however, with an approved project extension to September 2025 the DCRL will likely complete all project activities and implement a successful exit strategy currently under development.

The six project Outcome indicators and their associated end of project targets were assessed based on a review of information provided by the PMU, field observations and stakeholder interviews and a working meeting held with the PMU to discuss the completion of all project activities prior to project closure. Based on the available data the TE team has determined three of the six indicators are currently complete and three indicators will be completed prior to the revised project closure in September 2025 (**Annex 8**). The achievement of DCRL Outcome indicator targets is summarized in **Table 9**.

**Table 9.** Summary of Outcome Indicator Target Achievement

Outcome Indicator Target	Change Impact and Transformation
<p><b>Outcome 1 – Indicator 3</b></p> <ul style="list-style-type: none"> <li>• National policy on watershed management</li> <li>• Revised harmonized climate-risk based sub-watershed vulnerability assessment, prioritization guidelines</li> <li>• Guidelines for gender mainstreaming in IWM</li> <li>• SoP’s for maintenance of watershed management systems established</li> <li>• Revised guidelines for infrastructure</li> <li>• Revised SCWM program</li> </ul> <p><b>Outcome 1 Indicator 4</b></p> <ul style="list-style-type: none"> <li>• 10 multi-institutional IWM coordination platforms established, 1 central, 1 provincial, 8 local level</li> <li>• 2 hydrological stations completed</li> <li>• 5 meteorological stations completed</li> <li>• 2 drone purchased</li> </ul>	<ul style="list-style-type: none"> <li>• New policies and guidelines approved by respective government agencies will transform how IWM is conducted in Nepal.</li> <li>• Approval by government ensures the integrated and inclusive approaches developed by DCRL will be used in future watershed management planning and budgeting.</li> <li>• Implementation of the gender mainstreaming guideline will contribute to the achievement of gender equality and women’s empowerment.</li> <li>• IWM is dependent upon communication among participating government agencies at all levels, the platforms established by DCRL provide a model for scaling up IWM.</li> <li>• Hydro-meteorological data informs MHVA which a foundation for IWM and hydro-meteorology stations validate successful IWM</li> <li>• The development of innovative drone seeding technology has the capacity restore degraded hillside environments across Nepal.</li> </ul>
<p><b>Outcome 2 Indicator 5</b></p> <ul style="list-style-type: none"> <li>• 100 catchment ponds</li> <li>• 40 km contour trench</li> <li>• 25 water holes</li> <li>• 600 water sources</li> </ul> <p><b>Outcome 2 Indicator 6</b></p> <ul style="list-style-type: none"> <li>• 2,500 ha conservation farming</li> <li>• 600 ha water use and reuse systems established for crop irrigation</li> <li>• 1250 farmers trained</li> <li>• 125 farmers’ groups supported with agri tools</li> <li>• 20 multipurpose ponds constructed</li> <li>• 200 ha NTFPs planted</li> <li>• 10 persons trained to construct fuel efficient stoves</li> <li>• 1,250 HHs supported with fuel efficient stoves</li> <li>• 800NRM groups strengthened</li> <li>• 150 NRM groups operational plans revised</li> <li>• 8 networks of NRM in 8 project palika</li> </ul>	<ul style="list-style-type: none"> <li>• IWM activities completed in pilot LDW landscape has transformed the lives of beneficiaries in the participating project communities by increasing quantity and quality of water available and though new agricultural activities that enhance food security and provide economic benefits.</li> <li>• The success of IWM activities implemented in the pilot LDW landscape provides a model of how national, provincial and local can adopt an integrated approach to water shed management which based on supported policies developed by the DCRL project can be scaled-up across Nepal.</li> </ul>

The participating local community beneficiaries expressed appreciation for improved water availability and are actively engaged in tunnel market gardening and other agricultural activities supported by improved access to water.

The effectiveness of the DCRL project is the result of the engagement and support from national (BMC), provincial (DFO, SWMO) and local government stakeholders and the targeted (most vulnerable areas selected through a MHVA) and comprehensive (contour trenches, check dams, ponds, conservation agriculture, irrigated agriculture, etc.) IWM implemented within select areas of the LDW.

While policies, guidelines and directives have been developed by the DCRL project at the national, provincial and local level the full implementation of these has not yet been realized. It would have been beneficial to have more time to work with government stakeholders to scale up the IWM planning and implementation model that has been successfully demonstrated by the DCRL project.

### **Rating: Satisfactory (S)**

#### **4.3.4 Efficiency**

The project management structure has proved efficient to complete project activities implemented at the national and local level, with the PMU based in Kathmandu working with high level government stakeholders, UNDP and the procurement of technical experts and a PIU based in Okhaldhunga to work with local stakeholders including government partners of the BMC, DFO, SWMO and palika and Ward officials, other non-government implementing partners and community beneficiaries.

The DCRL project's use on an annual LoA engagement approach with government partners (BMC, DFOs, SWMO) is an efficient use of project funds following a results-based management approach with regular monitoring and feedback of spending and activities that promote completion of project activities. In addition, government partners contributed substantial co-financing in LoAs, adding to the efficient use of the GEF grant (see report section **4.2.3 Project Finance and Co-Finance**).

Annual financial audits conducted of DoFSC for the DCRL project concluded the financial statements provided were true and fair in accordance with the applicable financial reporting framework.

The TE team considered efficiency in the context of the cost benefits of market vegetable gardening introduced to local community beneficiaries. Discussion with PIU staff determined the cost of the roof rainwater collection systems (piping and plastic pond liner) and tunnel gardens (plastic cover, irrigation systems) installed was estimated at 70,000 to 75,000 Nepal Rupees. Using the tunnel gardens to grow market vegetables, farmers reported annual incomes from local marketing, ranging from 40,000 to 250,000 Nepal Rupees. As such, the DCRL project investment has very efficient, with an immediate and substantial cost-benefit.

The PMU and PIU teams reported the DCRL project financial management processes were effective and there were no financial issues that impeded project progress. The PMU and PIU completed financial management reporting processes as required, and no irregularities were reported by UNDP.

The efficient use of DCRL project financial resources was achieved in part through MTR recommended changes to several of the PRF end of project targets which, for some project activities, resulted in cost savings. These cost savings were associated with reduced targets for drought resistant NTFFP cultivation (\$175,000), conservation farming (\$3,876), PES related activities (\$52,700) and contour trenches (\$30,000).

Based on the cost savings identified, the MTR recommended reallocating funds to project activities that were encountering budget challenges largely due to the increased cost of materials. A total of \$261,576 was reallocated to rainwater harvesting and solar water lifting (\$140,000), support to community maintenance groups (\$40,000), support to multi-purpose ponds (fish farms) and livestock raising support for Majhi communities (41,576), and the construction of catchment ponds (\$60,000).

The formation of DCRL project team which included a PMU, and a PIU created an effective and efficient framework for project implementation. The PMU located in Kathmandu ensured the project maintained good communication with national level stakeholders, including UNDP, relevant government ministries and with consultants, NGOs and research institutes contributing to project activities. The PIU with a main office in Okhaldhunga and sub-office in Khotang facilitated communication with local government stakeholders, local offices of implementing partners BMO, SWMO and DFO and beneficiaries. Located in the field close to project communities and sites, the PIU was also able to efficiently provide monitoring and oversight of project activities.

The efficiency of the DCRL project was challenged by COVID-19 restrictions and staff sickness during the early phases of the project when activities engaging stakeholders and project communities, and developing baselines were planned. The delay of in completing these foundational elements of the project was one of the main reasons for the need to request a project extension. An efficient strategy adopted to mitigate the impact of COVID-19 restriction was the direct engagement of local government offices (SWMO, DFO, BMO) through LoA. The LoA provided to be an efficient approach to implementing project activities as discussed above.

**Rating: Satisfactory (S)**

#### **4.3.5 Overall Outcome**

The PMU, PIU and government LoA (BMC, DFOs, SWMO) project management approach combined with the implementation of a comprehensive, concentrated set of IWM activities targeting vulnerable areas in the LDW was very successful in achieving the project objective to safeguard vulnerable communities and their physical and economic assets from climate change induced disasters. In addition, socio-economic capacity development of participating communities has strengthened local community groups and introduced new economic development opportunities.

There remains a need to demonstrate sustainable IWM with the participation and collaboration of national, provincial and local government partners engaged in the planning and implementation of the D4.2.3 CRL IWM model scaling-up to other targeted, vulnerable areas within the LDW or other vulnerable watersheds in Nepal.

**Rating: Satisfactory (S)**

#### **4.3.6 Sustainability**

##### ***Financial Sustainability***

The project palika and participating Provincial (DFOs and SWMO) and National (BMC) partners implementing IWM activities on the ground have provided substantial co-financing support, both cash and in-kind, to the DCRL project (see report **Sections 4.2.2** and **4.2.3**). Government support to IWM was approximately \$35M, an amount seven times greater than the \$7M GEF grant. This level of government support indicates government financial resources are available to continue implementing the IWM activities demonstrated by the DCRL project.



Continued financial support to IWM is, however, not assured. The TE has recommended the DCRL project work with government partners to develop a multi-year IWM implementation strategy and that the strategy be reflected in upcoming annual work plans of participating government partners responsible for on the ground implementation of IWM (i.e., BMO, DFO, SWMO) and that IWM activities are approved in government budgets.

There is some evidence of replication of the construction of contour trenches by government and community replication of tunnel house gardening without financial support from DCRL.

### **Rating: Likely (L)**

#### **Socio-economic Sustainability**

The project intervention contributed towards improving the socioeconomic condition of the local communities. The benefit stream from increased availability of water for multiple purposes, raised household income through access to irrigation and new farming technologies will keep accruing in future as well. This will provide a strong incentive mechanism for local communities to sustain the project interventions at the community level. As the production of fruits and vegetables will increase in future, this will also encourage them to seek new avenues for promotion of marketing.

Generally, DCRL community interventions were technically simple, and communities have the skills needed for ongoing maintenance and management to ensure sustainability. For example, participating communities can manage irrigation and conservation ponds, water source protection and tunnel gardens. Community members did, however, request further capacity development to further improve their skills in conservation agriculture and tunnel market gardening. In the case of solar water lifting mechanisms, there it is questionable as to whether communities can effectively maintain these more complex water supply systems in the future.

Sustainability is largely shaped by the incentive mechanisms and since the benefit derived will have wider socio-economic benefits (i.e., improved water supply, income generation, reduced landslides) both at individual household level and community level there is a strong likelihood of sustainability.

**Recommendation.** The DCRL project should conduct additional skills development training related to project activities such as irrigated market gardening and management and maintenance of rainwater storage and water lifting systems.

Regarding the sustainability of gender and social inclusion results, the TE team determined there are no specific programs or budgets to address gender and social inclusion. Issues of gender are considered largely in the context of increased participation of women and social inclusion, such as Majhi community targeted programs. While there are activities of more affirmative action, there are no specific budgets and programs on gender and social inclusion that might be more effective at supporting transformation changes.

The socio-economic sustainability demonstrated in the DCRL project communities provides a working model that should be shared with new communities as IWM is scaled up in the LDW and in other watersheds that would benefit from similar IWM activities. Community knowledge sharing would provide a powerful incentive for communities unfamiliar with the DCRL IWM approach to adopt similar practices.

### **Rating: Moderately Likely (ML)**

#### **Institutional Framework and Governance Sustainability**

The DCRL project has created institutional tools (e.g., National Watershed Management

Implementation Guideline, Provincial Integrated Watershed Management Strategy, Local Climate Friendly Integrated Watershed Management) for IWM. As of yet there is no multi-year plan to upscale IWM using these institutional tools.

Different sets of institutional frameworks developed/strengthened during the project intervention will provide institutional base for sustaining the project intervention. At the community level, farmers' groups, community forest user groups, and water user groups were supported. Most of these groups were already functioning and they were revitalized and further strengthened. The community benefit derived from the project interventions will encourage these groups to sustain the interventions and sustain the group themselves. The registration of these community organizations at the local governments will strengthen their institutional base. However, if the groups do not perceive enough incentives in annual renewal and accompanying auditing of the groups, they may cease to function as a 'formal' group but will remain functional as informal group.

However, except for the Forestry groups, there is no formal or informal inter-group networking mechanism. A networking forum, either loose or formal, would provide a forum for sharing knowledge and experience thereby further strengthening the institutional base. Transparency and accountability measures adopted during the implementation phase also contribute good governance and ultimately to the sustainability of the project interventions.

**Recommendation.** The DCRL project should establish a networking mechanism for information sharing and support among community user groups.

The eight local governments' gazetted directives on IWM and their associated IWM Plans provide a strong policy and legal base for continued implementation of IWM. However, the local government IWM Plans are written in English language and are very technical in nature, thus limiting its readability and useability at the local government level.

**Recommendation.** The DCRL project should create a Nepali translation of the IWM Plans that provides key baseline information and direction for implementing IWM activities.

At the provincial and federal levels DCRL has assisted in the development of guidelines and directives for IWM. As these have yet to be approved and implemented their effectiveness has not yet been tested. The intent is for national and provincial agencies to direct IWM planning and support IWM implementation at the local government level.

Planning and implementation of watershed management activities extend beyond the political administrative boundaries requiring coordination among neighboring local governments. However, there is no forum for addressing inter-palika issues.

**Recommendation.** The DCRL project should support national and provincial government IWM planning initiatives that work with the eight project palika in networking among other local governments and the establishment of a longer term (5 year) plan that identifies key watershed areas and IWM activities to be implemented with support from local, provincial and national partners.

**Rating: Moderately Likely (ML)**

### **Environmental Sustainability**

Generally, the project interventions helped to improve ecosystem conditions by increasing vegetation coverage generally, safeguarding procedures that ensured soils disturbed by



project activities such as contour trenches and water source protection construction sites stabilized with grass, shrub and tree plantings, and water and soil conserving activities that have enhanced water availability. The participating communities reported that water discharge has improved, and increased water availability also helped reduce wildlife conflicts and improved community ability to respond to forest fire incidents as well. The ripple effects of the project will contribute to environmental sustainability. When the fruit and tree saplings mature the environmental benefits will be further enhanced.

### ***Rating: Likely (L)***

#### ***Overall Likelihood of Sustainability***

The DCRL project has made good progress demonstrating sustainable IWM practices and it has established political institutional mechanisms for continued IWM planning and implementation. Additional capacity development of beneficiaries has been requested and is recognized as a need the DCRL project plans to address prior to project closure.

While the legal framework, policies and directives have been developed for IWM (though some are awaiting final approval at the time of the TE), the capacity of national, provincial and local government counterparts to work collaboratively in planning and implementing IWM activities through local governments, following the DCRL model has yet to be proven.

### ***Rating: Moderately Likely (ML)***

#### **4.3.7 Country ownership**

At the national level the MoFE-DoFSC is the DCRL Executing agency located in Kathmandu, it is directly linked to the field through the BMC. The PMU office located in MoFE and the active engagement and co-financing provided by BMC have demonstrated strong commitment by these national government stakeholders.

At the provincial level the DFO and SWMO engaged through LoA showed strong interest in understanding and implementing IWM and like the BMC demonstrated ownership through the provision of substantial co-financing.

At the local level the eight project palika have shown a strong commitment through development of a comprehensive IWM Directive and the greater than 100% co-financing commitments which have been made in support of DCRL IWM field activities. In addition, Ward Chairs of the wards participating in DCRL project activities have demonstrated the strongest commitment through their on-the-ground participation, working closely with beneficiaries on IWM activities.

#### **4.3.8 Gender equality, social inclusion and women's empowerment**

Women are key actors in natural resource management, including conservation, protection and harvesting of natural resources. Women engage in biodiversity conservation utilizing their traditional knowledge for sustainable outcomes. By ensuring the engagement of women in project activities the DCRL project has advanced women's contribution to IWM and biodiversity outcomes.

The UNDP gender marker rating GEN 2 to the DCRL project is realistic as it was effective in adopting gender considerations in the project design, implementation and monitoring of results with a significant gender objective. While gender equality is not the main objective of the DCRL project, it has promoted gender equality in a significant and consistent way.

The DCRL ProDoc includes a high-level gender analysis that was used to develop a gender action plan and GESI Indicator Matrix (see summary analysis below and full analysis in **Annex**

12). No specific gender assessment study was conducted for the DCRL project. During the initial social mobilization processes and meetings of the DCRL project collected data on the common issues expressed by women among the various ethnic communities and the Dalits to inform project implementation.

Overall, the DCRL project emphasized the participation of women, and many women did actively participate in project implementation activities and events. Local governments, a key stakeholder in the project communities, supported the inclusion of gender issues in project planning and implementation. Unfortunately, when local governments conducted public hearings to share DCRL project progress, they did not highlight the role of women or provide feedback on the level of women’s participation or social inclusion of disadvantaged groups in the DCRL project.

Evaluating DCRL project Outcome 1 (*Integrated watershed management framework has been established to address climate change induced floods and droughts*), the TE team found the work on the MVHA to be very technical in nature and following the GRES scale, it was considered *gender blind to gender neutral*. Other work completed under Outcome 1, such as the palika “Climate Responsive IWM Plans” and “Climate Friendly IWM Operational Directives”, and the National “Integrated Watershed Management Strategy” were GRES scale *gender integrated* based on the targeting and mobilization of local people including women, socially excluded and vulnerable people (Table 10).

Evaluating DCRL project Outcome 2, (*Integrated watershed management practices introduced and scaled-up*), the TE team determined the project adopted an affirmative, approach to women’s participation, with targeted programmes for women and an inclusive approach for the Majhi community. The GRES scale rating is *gender targeted* (Table 6).

**Table 10.** Gender Result Effectiveness Scale Assessment

Outcome / Activities	GRES Categories				
	Gender negative	Gender blind	Gender targeted	Gender responsive	Gender transformative
<b>Outcome 1</b>					
<ul style="list-style-type: none"> <li>• Watershed condition updated</li> <li>• Hydro-meteorological, HVR and socio-economic model delivered</li> <li>• CC risks addressed in watershed rehabilitation and management framework</li> <li>• Specialized technical training and technology delivered, enable PES</li> </ul>		X			
<ul style="list-style-type: none"> <li>• Enforcement mechanism for WM embedded</li> </ul>			X		
<b>Outcome 2</b>					
<ul style="list-style-type: none"> <li>• Water Stress Management Activities</li> <li>• Conservation Farming Activities</li> <li>• NRM Group Strengthening and Plantation</li> <li>• Capacity Building</li> </ul>			X		

The DCRL project has encouraged equal participation of women in all project activities and programmes. The project had women-focused consultations and women-specific trainings, meetings, and workshops (**Table 11**). With these positive and affirmative actions, the participation of women was increased and the level of women beneficiaries enhanced. Overall participation of women was 40% in DCRL project consultations and trainings.

To empower women, the DCRL project conducted GESI training for women User Committees and User Groups to enhance leadership skills thereby improving their participation in income generating activities and ability to adopt livelihood strategies supporting the betterment of women's status (**Table 11**). The DCRL project is planning to implement additional GESI training on women's empowerment and leadership specifically for women who are currently or in the future may be elected representatives of local governments (e.g. palika or Ward).

**Table 11.** Gender disaggregated data of community involvement in DCRL project consultations and trainings

Event	Female	Male	Total
Capacity Building - Trainings/ Orientations/ Workshops/ Meetings	179 (34%)	348 (66%)	527
Training on NRM	4,959 (40%)	7381 (60%)	12,340
Training on conservation farming	473 (47%)	540 (53%)	1,013
<b>Totals</b>	<b>5,612 (40%)</b>	<b>8,268 (60%)</b>	<b>13,880</b>

The DCRL project has worked to improve agriculture and livestock-based income generation activities for HH participation within the project watershed catchment areas with a focus on disadvantaged groups such as Majhi communities, Dalit and Tamang (**Table 7**). DCRL project support is directed to HH through the User Committees or Groups. Due to social stigma and culture barriers, most of the time males take a lead role in the income generating activities and females take on the role of supporters. To overcome this barrier, the DCRL project included activities that explicitly focused on women and vulnerable households and this has resulted in women starting new income generating activities such as vegetable farming, livestock farming and fish farming. Evidence of social inclusion is demonstrated in water lifting systems and the 10 ponds constructed for fish farming activities in Majhi communities and the participation of 4,632 Dalit HH (**Table 12**). There was no evidence of social inclusion of PWD in project activities.

**Table 12.** DCRL project engagement of ethnic and disadvantaged groups

Ethnic / Disadvantaged Group	# of HH groups
Majhi	777
Dalit	4,632
Janjati	26,308
BCT	7,453
Other	862
<b>Totals</b>	<b>40,032</b>

The TE team reviewed women's participation in User Committees (UC) that are registered in the local governments as local Community Based Organizations (CBO). It was found there are 218 UCs working in the DCRL project watershed catchment areas with a total of 2,023 members, composed of 832 (41%) women and 1,191 (59%) men. Of the 218 UCs, 12% are chaired by women (**Table 13**) with 40% of all executive roles held by women. As seen in **Table 13** the traditional role of women managing financial matters is valued with 76% of the treasurers being women, it would however be preferable to see more women given the role of Chairperson and Vice Chairperson.

**Table 13.** DCRL project gender disaggregated data for 218 User Committees

User Committees	Total	Female	Male
All Members	2,023	832 (41%)	1,191 (59%)
Executive members	737	295 (40%)	442 (60%)
Chairpersons	218	27 (12%)	191 (88%)
Vice Chairperson	218	60 (28%)	158 (72%)
Secretary	218	68 (31%)	150 (69%)
Treasurer	218	169 (76%)	49 (14%)

**Recommendation.** To support gender equality and women's empowerment encourage User Committees to establish gender balanced executive committees and encourage rotation of the chair and vice-chair positions on a regular basis (e.g., 2 years) between women and men.

In regard to M&E and reporting the DCRL project collected and maintained disaggregated databases that included information on sex, caste and marginalization such as disability and poverty. While the DCRL project has recorded the latter information, for reporting purposes, the TE team could not find evidence of the data being used for analysis and feedback of sex, caste and marginalization results (see **Annex 11**).

One of the DCRL project's strengths in gender equality has been its social mobilization process, which introduces the project and IWM information and knowledge to the community, including women. This has contributed to an increase in access to information and allowed for knowledgeable participation in decision making processes. The DCRL project has ensured representation of women in project activity planning, implementation and monitoring which has led to increased participation of women in leadership roles and decision-making processes. This is validated in 50% membership of women in UCs and 33% of UC leadership positions held by women. Participation of women in UCs has built women's confidence and participation in leadership roles thereby contributing to women's empowerment as evidenced by:

- Women have played a role in influencing new policies (e.g., palika Directives);
- Acknowledgement of division of labor and inclusion of women (e.g., participation of women in all DCRL IWM activities.
- Reduced women's workload as a result of water source protection, which has provided additional time for women to participate in other activities such as income generating activities.
- Women's engagement in income generating activities such as tunnel gardening and marketing vegetables.
- Improved women's social status through their visible participation in DCRL project activities and their leadership roles in UCs; and
- Women's membership and leadership in local organizations.

As a result of the DCRL project's focus on the participation of women and the enabling working environment for women's participation, the capacity and confidence of women to participate in decision making has increased. This indicated the DCRL project has contributed to women's empowerment enhancing their decision making at the household, community and project level (**Table 14**).

**Table 14.** Qualitative assessment of women's engagement at the household, community and project level

Level of Engagement	Household	Community	Project
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Involved in decision making	X	X	X
Equitable benefit sharing		X	X
Meaningful participation			X
Conscience of roles			X
Access to information			X

Important achievements of the DCRL project in terms of women's equality and social inclusion include:

- The development and adoption of a GESI Mainstreaming Guideline for DoFSC, which explicitly includes the need for critical analysis of the gender issues and the consideration of gender issues in IWM planning, implementation and monitoring.
- Promotion of gender in institutional strengthening e.g., development of the GESI Mainstreaming Guideline for DoFSC;
- Creating a gender-friendly working environment by promoting gender equality in staff hiring practices.
- Capacity development for livelihood enhancement that targeted women's groups targeted in income generating activities, gender friendly technology adoption, and equitable benefit sharing by ensuring the inclusion of women in groups managing and benefiting from participation in IWM activities such as environmental restoration, irrigated tunnel gardens and conservation agriculture.
- Capacity development programmes for women leaders as elected representatives and other community leaders; and
- The project has targeted programs, such as water lifting and conservation farming, with Majhi communities.

### **GESI Indicator Matrix**

The GESI Indicator Matrix developed by the DCRL project was evaluated to assess progress towards the end of project targets established (**Annex 12**). The TE determined the following:

- 7 indicators have met their end of project target;
- 7 indicators have partially met their end of project target; and
- 1 indicator has not the end of project target.

Indicators which have met targets are related to gender and social inclusion, such as the mainstreaming of GESI in project policies and documents developed (e.g., Guideline for Mainstreaming Gender in IWM, and Climate Responsive IWM plan and IWM Operational Directives for eight palika and active participation of women and disadvantaged groups in project activities. There are also successful targets related improved water infrastructure and the engagement of women and disadvantaged groups in new irrigated agriculture production.

Indicators that have partially met their targets are related to a need for further skills development training and the empowerment that will result from this through greater self-reliance skills related to market gardening and micro-enterprise development.

The indicator which has not met its target is related to the fact that there was no Gender Responsive Budgeting (GRB) to fully integrate GESI into the project cycle.

### **4.3.9 Cross-cutting Issues**

The DCRL project adopted inclusive governance and social diversity issues in the designing

of the project programme and in the hiring of staff. The DCRL project has explicitly engaged vulnerable people within the LDW, people who are residing in the mid-hill regions which have limited opportunities for development. Indigenous people in the mid-hill areas are the target of the DCRL project and the project has mobilized them throughout the project implementation process to adopt climate resilient livelihoods based on their traditional knowledge, blended with appropriate innovative technological interventions.

The DCRL project provided direct benefits to Majhi communities through targeted water lifting, fishpond and agricultural development activities undertaken. The TE noted there was inclusion of members of the disadvantage Dalit community, with benefits that included improved access to water, participation in agricultural activities and their representation in User Group executive committees. In the context of LNOB there were no benefits reported for PWD.

The DCRL project adopted an inclusive and affirmative human resource hiring process however due to remote technical work, there was limited female staff at the time of the TE. At the time of the TE, there were 14 staff, composed of 1 Brahman, 1 Chhetri, 1 Thakuri, 2 Madheshi, and 8 Janjati. There were 2 female staff in the PMU and 1 female staff in the PIU, previously there were 3 female staff in the PIU. The DCRL PMU/PIU upper-level staff were half Brahman, Chhetri and Thakuri and half Madheshi. There were 4 Janjati and 1 BCY officer level staff members

DCRL subcontracting proposal calls for partner organisations, required at least one female member in the teams, to ensure gender issues were addressed. The TE team determined there was one female contracted as a socio-economist. Previously the PIU had two female engineering staff who recently left their posts. The DCRL project has mobilized local people under categories of disadvantaged and marginalized social groups. The DCRL project ensured these groups were involved in the project planning and implementation activities. The DCRL project incentivized these groups to initiate climate resilient agriculture practices, adopting a concept of backward and forward linkages of the value chain. These initiatives motivate disadvantaged group participants to work towards and receive equitable benefits. Feedback requested feedback, people felt the DCRL project changed their mindset as they now recognize there are a lot of opportunities and resources in the mid-hill areas and this has discouraged out-migration because of improved local livelihood opportunities.

DCRL social inclusion did not target PWD, and there was no M&E or reporting on the inclusion of PWD in project activities.

The DCRL project was designed for inclusive governance through engagement and involvement of local government, local people, local social agencies, cooperatives and other institutions. The LGs have mobilized local people and social institutions to engage in project planning, implementation and monitoring. The DCRL project has established a disaggregated database on participation, leadership and beneficiaries.

### ***Cross-Cutting Issues – Climate Change***

The DCRL project is directed at addressing the cross-cutting issue of climate change through IWM. Adopting a comprehensive approach implementing activities that improve vulnerable and hazardous areas within a watershed will create more sustainable landscapes resilient to the impact of climate change. DCRL activities to improve ground water infiltration, stabilize and restore degraded slopes, protect water sources and introduce water saving, and conservation agricultural practices are sustainable project outputs that reduce climate change related impacts.

More resilient watersheds also contribute to the cross-cutting issue of disaster risk reduction of floods and landslides that are exacerbated by climate change impacts in degraded watersheds. The stabilization of slopes and the management of water through efforts to

capture surface water runoff in ponds, contour trenches and check dams will enhance ground water infiltration and reduce landslide and flood disasters.

#### **4.3.10 GEF Additionality**

With support from GEF, UNDP provided management and technical advice to the project's design, implementation, monitoring and evaluation, leveraging its local knowledge, international experiences and global networks. As UNDP manages and supports a portfolio of projects in Nepal it provided cross-sectoral and cross-program sharing of knowledge and best practices and optimized the synergies between the programs and projects.

Financial resources from GEF were utilized to achieve the project results. The GEF funds enabled the hiring of the project team members, funding of research, convening of meetings and workshops, the funding of LoA that engaged government stakeholders to implement project activities. The GEF grant of \$7M leveraged almost five times this amount in government co-financing of \$34M to support IWM in Nepal.

#### **4.3.11 Catalytic/Replication Effect**

The success of DCRL project activities has seen the replication of some activities. This includes the BMC and SWMO adopting the practice of building contour trenches to enhance water capture and infiltration in mid-slope areas. The TE team interviews with farmers noted the replication of tunnel market gardens to expand this economic activity in the project communities.

There was a catalytic effect working project implementing partners (BMC, DFO and SWMO) and the project palika, all of which provided additional in-kind and cash support to expand the activities being undertaken by the DCRL project.

The DCRL project has demonstrated a successful model of IWM which implements a comprehensive suite of concentrated activities directed at vulnerable mid-hill watershed landscapes is an IWM model that can be replicated in other vulnerable watersheds.

#### **4.3.12 Progress to Impact**

A major impact of the DCRL project is the demonstration of a model of IWM that improves mid-hill watershed landscapes providing greater livelihood and infrastructure security for communities vulnerable to the impacts of climate change.

The DCRL project has worked with government partners to develop a collaborative and integrated, planning and implementation framework for IWM that engages national, provincial and local level government stakeholders.

The DCRL impact of an IWM planning and implementation framework and a demonstrated model of IWM has the potential if sustained to introduce and scale-up IWM reaching the entire LDW area (783km<sup>2</sup>) and benefiting the entire vulnerable population.

Arising from DCRL project activities are the following knowledge products that can be used to inform ongoing IWM in Nepal:

- Multi-Hazard, Vulnerability, and Risk Assessment of The Project Area
- Majhi Community Assessment and Livelihood Options
- Feasibility Study of Water Use/Reuse Systems
- Assessment on Conservation Farming and Practices
- Harmonization and Upgrading of Watershed Classification and Prioritization Tools



- Integrated Watershed Management Plans for eight palika in LDW
- Assessment of Watershed Condition Methodologies and Guidelines
- Detailed Assessment and Design for Multi-Purpose Water Retention and Conservation Structures
- Degraded Land Restoration Strategy for the Dudhkoshi Watershed
- Standard Operating Procedure and Establishment of Community Maintenance Groups for Watershed Management Structures
- Integrated Watershed Management Program Implementation Guidelines
- A Review, Analysis and Development of a Revised Policy and Institutional Framework for Payment for Ecosystem Services (PES) in Nepal; and
- Feasibility Study on PES and Potential Financing Mechanism for Lower Dudhkoshi Watershed



## 5 Main Findings, Conclusions, Recommendations & Lessons Learned

### 5.1 Main Findings

The TE has determined the DCRL project design, including the ToC which identified the barriers to IWM, and the project interventions intended to overcome barriers, and the risks and mitigation measures proposed, have effectively and efficiently developed a multi-tiered government framework for IWM (Outcome 1). Institutional sustainability of the IWM framework is achieved by gender responsive and inclusive policies, strategies and directives to be implemented by federal, provincial and local governments. The substantial commitment by all levels of government to the DCRL project is evidence of the financial sustainability of future IWM.

The implementing partner, PMU and PIU have effectively worked with stakeholders to restore and protect landscapes in the pilot communities of the LDW that were identified as vulnerable to climate change impact. Water resource availability (quantity and quality) has improved, and this has resulted in improved socio-economic conditions and resilience of the participating communities (Outcome 2).

The DCRL project has achieved sustainable results of Climate Resilient Livelihoods through land management practices that enhance water availability and reduce flood and landslide risks. The DCRL IWM has provided the foundation of enabling conditions leading to transformational change for pilot communities that are now participating in economic development opportunities which previously were not available and were instead characterized by economic out-migration. The benefits received by all community members is evidence of the likely socio-economic sustainability of results and the improved management of land and water support environmental sustainability.

The DCRL project's National (Watershed Management Implementation Guideline), Provincial (Integrated Watershed Management Strategy) and local government (Climate Friendly IWM) guidelines, strategies, directives, and SoPs developed were GRES scale *gender integrated* based on the targeting and mobilization of local people including women, socially excluded groups and vulnerable people.

The DCRL project's on the ground IWM activities (training, construction and agricultural) in communities of the project palika adopted an affirmative approach to women's participation, with targeted programmes for women and an inclusive approach for the Majhi community which was evaluated as GRES scale *gender targeted*. Project activities should have also taken an affirmative approach to the inclusion of PWD in IWM activities.

The DCRL project has effectively incorporated research and Innovation through the engagement of engineering research organizations that have made important contributions to the success of key implementation activities, including:

- Providing baseline MHVA data that informed the selection of targeted sites to implement IWM;
- Initiation of the use of contour trenches for water recharge systems on steep hillsides for the first time in Nepalese mountain landscapes; and
- Local development and testing of drone based aerial seeding technology to restore steep, degraded, and inaccessible hillside environments. Government is now upscaling the use of this technology outside the project area to restore areas in the Phewa watershed. The drone based aerial seeding technology was presented by Nepal at the COP 28 international event.

## 5.2 Conclusions

- i. The DCRL project has demonstrated an effective model for IWM that is based on collaboration between Nepal's three levels of government. The model includes a solid scientific approach through a multi-hazard vulnerability assessment to identify the most vulnerable landscapes and a combination of engineered and nature-based solutions to restore and protect degraded watersheds, making them more resilient to the impacts of climate change. The successful IWM model demonstrated by the DCRL project the pilot communities of the LDW can be used to inform the scaling up required for the remainder of the LDW.
- ii. An important factor contributing to the success of DCRL IWM is the comprehensive and concentrated implementation approach that utilizes a suite of activities (engineered and nature-based) that are tailored to working in upslope, mid-slope and down-slope areas. IWM that does not take a multi-faceted and concentrated approach, is unlikely to achieve the same success demonstrated by DCRL.
- iii. Improved watershed management brings with it additional water resources and innovative farming practices that increase food security and introduce new economic opportunities that increase social well-being and resilience of communities. DCRL project IWM resulted in direct benefits for women through reduced time required for water fetching. DCRL also contributed to women's empowerment through their participation in training, their appointment to user group committees and their participation in agricultural activities that provide economic benefits to women.
- iv. While the DCRL project has put in place the policies, directives and guidelines for IWM, it has not yet demonstrated a government led IWM planning and implementation framework that is scaling up the DCRL IWM model. There remains time in the project for the PMU to work with government to initiate IWM planning among national, provincial and local stakeholders that can lead to annual work plans and budgets for IWM implementation, potentially prior to project closure (see recommendations 1 and 2 below).
- v. The TE noted there were some areas of improvement identified in the DCRL project's implementation approach, as discussed more fully in **Section 5.4 Lessons Learned**, they include:
  - Support to produce local nursery stock required for conservation agriculture should be included as activity contributing to the sustainability of results.
  - Comprehensive market chain analysis is essential to providing the information needed to support sustainable expansion of new agricultural income generating initiatives.
  - The introduction of new agricultural practices should be accompanied by multiple rounds of capacity development, with initial training introducing the basics, and a second advanced training addressing concerns and needs raised by the farmers engaged.
  - Adopting a socially inclusive approach requires careful consideration to ensure disadvantaged groups are able to meaningfully participate in project activities that rely on access to land; and
  - Social inclusion should include efforts to meaningfully engage PWD in project activities.

### 5.3 Recommendations

Recommendation	Responsible Party	Time Frame
<p><b>Recommendation 1.</b> Continue to support the approval of the national guideline and provincial strategy and then link these with the local directives to develop an IWM framework that clearly outlines roles and responsibilities at national, provincial and local levels, based on DCRL outputs of:</p> <ul style="list-style-type: none"> <li>• National <i>Watershed Management Implementation Guideline</i></li> <li>• Provincial <i>Integrated Watershed Management Strategy</i></li> <li>• Local <i>Climate Friendly Integrated Watershed Management</i></li> </ul> <p>The framework should identify the tasks and responsible parties required to:</p> <ul style="list-style-type: none"> <li>• <i>initiate</i> IWM, such as, MHVA, baselines, capacity assessment, etc.;</li> <li>• <i>capacity</i> development of stakeholders and beneficiaries.</li> <li>• <i>implement</i> the IWM restoration activities required and socio-economic development (e.g. conservation farming) activities.</li> </ul>	<p>PMU with DoFSC, BMC, SWMO, DFO</p>	<p>June 2025</p>
<p><b>Recommendation 2.</b> Work with each of the eight project palika to:</p> <ul style="list-style-type: none"> <li>• review the success of integration of IWM approach by the palikas, supported by DCRL;</li> <li>• identify the remaining IWM required to address all IWM needs with the palika and associated economic opportunities; and</li> <li>• develop a long-term plan to complete IWM required with all Wards, including methods to engage IWM partners DFO, BMC, SWMO and others as required;</li> <li>• Formulate and inter-palika mechanism or forum to address IWM issues falling between neighboring palika, leading to the engagement of new palika in IWM.</li> </ul>	<p>PMU with BMC, SWMO, DFO, and project palika</p>	<p>June 2025</p>
<p><b>Recommendation 3.</b> Within project palika, work with local government and user groups to support for marketing of agricultural produces such the creation of “collection centres” and/or organizing farmer groups into marketing cooperatives</p>	<p>PMU with project palika and user groups</p>	<p>June 2025</p>
<p><b>Recommendation 4.</b> UNDP and the PMU collaborate to produce a story for “UNDP Nature” on the link between comprehensive, targeted IWM and climate resilient livelihoods</p>	<p>UNDP working with PMU/PIU</p>	<p>September 2025</p>

Recommendation	Responsible Party	Time Frame
<p><b>Recommendation 5.</b> The DCRL project should conduct additional skills development training related to project activities such as innovative use of irrigation in tunnel gardens growing vegetables for marketing and management and maintenance of rainwater storage and water lifting systems.</p>	PMU working with implementing partners	September 2025
<p><b>Recommendation 6.</b> To support gender equality and women’s empowerment encourage User Committees to establish gender balanced executive committees and to rotate chair and vice-chair positions on a regular basis (e.g., 2 years) between women and men.</p>	PIU working with User Committees	September 2025
<p><b>Recommendation 7.</b> Future IWM work should take an affirmative approach to the inclusion of PWD in IWM activities</p>	DoFSC, BMC, SWMO, DFO and palika	Post Project
<p><b>Recommendation 8.</b> Support <i>inclusion</i> articulated in UNDP’s Country Programme Document for Nepal (2023-2027) and the United Nations Sustainable Development Cooperation Framework (UNSDCF) for Nepal 2023-2027 by ensuring future projects make an explicit reference to the engagement, inclusion and monitoring of PWD.</p>	UNDP CO	Post Project

#### 5.4 Lessons Learned

- i. The DCRL project could have benefited from having locally available nursery stock produced commercially and/or by farmer’s cooperatives. Projects such as DCRL which support the planting of trees for forestry or fruit trees for agriculture could be enhanced by providing capacity development, financial, infrastructure, exchange learning, etc. to local farmer’s groups and/or the private sector for the establishment of local nurseries producing local species suited to local conditions. This approach would help to create a sustainable supply of seeds, seedlings and saplings produced by and for local farmers involved in planting during project implementation and a sustainable source of nursery stock following project implementation. Establishing nurseries also provides an additional income generating activity for local farmers.
- ii. The DCRL project supported farmers growing crops for marketing to both improve food security and climate resilience and to provide a source of income. The TE team heard from farmers who encountered challenges in terms of marketing the agricultural products they are now producing, including challenges to reach markets and in some cases overproduction of agricultural products. The DCRL project has successfully supported farmers growing, raising or collecting agricultural products for income. This success could have been enhanced by the DCRL project undertaking a comprehensive market chain analysis to consider the potential future harvest amounts, storage requirements, transportation needs of marketing agricultural products to develop strategies to obtain the best possible price for farmers. The DCRL project could also have considered an analysis of the opportunities for post-harvest value-added processing to address expanding production and agricultural surpluses successfully created by the project, which present an opportunity to further increase farmer income.

- iii. Feedback received from farmers by the TE team included repeated requests for support to address issues of crop damage caused by agricultural pests and disease. Projects, such as DCRL, that include agricultural development components, and which are working directly with farmers, should consider the need to consult with farmers on known agricultural pests and disease. This may lead to the inclusion of technical advice and capacity development support to farmers with concerns regarding the impact of agricultural pests. Known agricultural pests may include larger mammals, such as, porcupine, monkey, deer and elephant.
- iv. UNDP projects are intended to address human rights issues, particularly issues of Leave No One Behind (LNOB) and social inclusion of disadvantaged groups. In this regard the DCRL project should have more carefully considered the impact of engagement strategies that disadvantage the “poorest of the poor”. Two examples that emerged from the DCRL project are as follows:
  - The DCRL rainwater roof collection systems only worked with farmers who had dwellings with an existing corrugated tin roof. Farmers living in a dwelling with a thatch roof were unable to participate and benefit from rainwater roof collection systems to the same degree. Some compensation was provided by the DCRL project through the provision of a small, corrugated tin roof, combined with a water storage tank.
  - The DCRL agricultural interventions constructing water storage ponds and tunnel gardens, and the conservation agriculture planting programs required farmers to have access to land to implement these activities. Some farmers in the DCRL project communities do not have access to land and were therefore excluded from these activities. Through agricultural farmers groups or cooperatives opportunities to access communal land may have allowed farmers without access to land to more fully participate in project activities.
- v. The DCRL project demonstrated gender equality and women’s empowerment are measurable outcomes of IWM. Women participate in and benefit from the wide range of activities associated with IWM, including participation in landscape construction activities such as contour trenches, check dams, stabilization plantings, etc.; agricultural activities such as tunnel market gardening and conservation agriculture; and ongoing planning and management through participation in User Groups, including representation on committees.
- vi. The DCRL project demonstrated targeted efforts to achieve social inclusion can be successful through project activities that were specific to Majhi communities, a distinct, disadvantaged ethnic group in Nepal. Similar targeted efforts should be made for PWD to ensure their inclusion in project activities. Inclusion in project design and implementation ensures their unique needs and abilities regarding IWM are recognized and addressed. Targeted inclusion of PWD in project activities also contributes to overcoming social barriers PWDs often encounter in society.

## Annex 1. Terms of Reference for Terminal Evaluation

<b>Title of the project</b>	Developing Climate Resilient livelihoods in the Vulnerable Watershed in Nepal (DCRL)
<b>Type of Contract</b>	Individual Contract (IC)
<b>Number of consultants</b>	International Consultant-1, National Consultant (Resilience)-1, and National Consultant (GESI Expert)-1
<b>Duty station/location</b>	Kathmandu, Nepal- travel to selected local governments of Khotang and Okhaldhunga districts (up to 50% could be home based)
<b>Duration of the Terminal Evaluation</b>	90 person days (30 person days for 1 International Consultant as Team Leader and 30 person days each for two national consultants as Team members) spread over July-August 2024
<b>Language required</b>	Fluent in English for international consultant, and English and Nepali for national consultants

### 1. INTRODUCTION

In accordance with UNDP and GEF M&E policies and procedures, all full- and medium-sized UNDP supported GEF-financed projects are required to undergo a Terminal Evaluation (TE) at the end of the project. This Terms of Reference (ToR) sets out the expectations for the TE of the full-sized project titled **Developing Climate Resilient Livelihoods in the Vulnerable Watershed in Nepal (DCRL) project (PIMS 5434)** implemented through the Department of Forests and Soil Conservation (DFSC), Ministry of Forests and Environment. The project started on 29 November 2020 and is in its 4<sup>th</sup> year of implementation. The TE process must follow the guidance outlined in the document ‘Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects’ ([https://erc.undp.org/pdf/TE\\_GuidanceforUNDP-supportedGEF-financedProjects.pdf](https://erc.undp.org/pdf/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf)).

### 2. PROJECT BACKGROUND AND CONTEXT

The DCRL project was designed to safeguard vulnerable communities and their assets from climate change-induced disasters by applying a long-term, multi-hazard approach – with a particular stewardship role for women and marginalized communities. While working with farmers on specific practices, the project is designed as a landscape approach, seeking to revitalize the ecosystem services of the landscape. Its aim is to address the functional integrity of the pilot watershed through capturing the policy, institutional knowledge gaps, adoption of new tools and techniques, and interventions of multiple activities.

The project area is the confluence of Dudhkoshi and Sunkoshi at the boundary between Khotang and Okhaldhunga districts in the eastern part of the country in Koshi province. Project activities are focused on the Lower Dudhkoshi watershed over an area of 844 square kilometers, spanning the districts of Khotang and Okhaldhunga and 8 of their municipalities (51 wards). The project also aims to address the functional integrity of the pilot watershed through capturing the policy, institutional knowledge gaps, adoption of new tools and

techniques, and interventions of multiple activities at the pilot scale. The project has developed the Climate Responsive Integrated Watershed Management Plans of adjoining watersheds, viz. Sunkoshi Sub-basin viz. Molung, Likhu, Sunkoshi canyon along with Lower Dudhkoshi Watershed.

The project strategy is built upon a ‘Theory of Change’ that comprehensively captured barriers, solutions, interventions and objectives and logically addressed both policies and institutional development and implementation of IWM practices in its two outcomes (Annex J). Outcome 1 - Integrated watershed management framework has been established to address climate change-induced floods and droughts. Outcome 2 - Integrated watershed management (IWM) practices are introduced and scaled up in 1 watershed covering 844 km<sup>2</sup> of watershed areas and benefiting 121,606 vulnerable people.

**Timeframe:** The project start day was 1 December 2020 and the end date is 28 November 2024.

**Budget and Co-financing:** The total budget of the project is 42,793,000 USD including parallel co-financing. The details of the project are tabulated as follows;

<b>Project start date</b>	1 December 2020
Project End Date	28 November 2024
<b>Total resources</b>	<b>42,793,000</b>
GEF	7,000,000
UNDP TRAC Resources	900,000
Government Co-financing	34,893,000
<b>Project location</b>	Khotang and Okhaldhunga districts

**National policies:** The project strategy is aligned with the objectives of key government programs and policies. It contributes to implementing i) the National Forest Policy through activities in land and water conservation and land productivity improvement through Integrated Watershed Management (IWM); ii) the Forest Sector Strategy, namely its policies on increasing forest production and productivity, integrated conservation and management of water and land to increase the land productivity, and adopting climate change adaptation (CCA); iii) the National Climate Change Policy and Nepal’s NDC targets under the UNFCCC; iv) National Environment Policy, namely land productivity management through IWM; v) the Local Government Operation Act through devolving implementation responsibilities and strengthen capacities at local government level for practices in IWM and CCA.

**Sustainable Development Goals:** The project is designed to contribute towards SDGs, and the PRF defines targets relevant to SDG 5 (Gender Equality), SDG 6 (Clean Water and Sanitation), SDG 10 (Reduced Inequalities), SDG 11 (Sustainable Cities and Communities), SDG 13 (Climate Action) and SDG 15 (Life on Land).

**UNSDCF and UNDP CPD.** The project is aligned with the UNSDCF (2023-2027) Outcome 3 and CPD (2023-2027) outputs 3.1 and 3.2. The project also contributes to the UNDP Strategic Plan (2022-2025) outcome and signature solutions 3 ‘Resilience’.

**Institutional Arrangement:** The implementing partner for this project is the Department of Forests and Soil Conservation (DoFSC) under the Ministry of Forests and Environment



(MoFE) of the Government of Nepal. The project has devised a multi-layered engagement mechanism for ensuring quality implementation, monitoring, and reporting of the results in close collaboration with government agencies and other stakeholders at all levels.

At the federal level, an inter-ministerial Project Advisory Committee (PAC) has been established under the leadership of the Secretary of MoFE. The Project Executive Board (PEB) is formed under the leadership of the Joint Secretary of DFSC/ MoFE with other members from relevant government agencies and other institutions.

At the Provincial level, the inter-ministerial Project Coordination Committee (PCC) is formed under the leadership of the Province Secretary of the Ministry of Forests, Environment and Soil Conservation of Province-1. At the local level, eight Local Level Implementation Committees (LLIC) are formed under the leadership of Mayors or Chairpersons of concerned Urban or Rural municipalities respectively.

To ensure effective coordination among the stakeholders, the project organizes regular meetings of PAC, PEB, PCC, and LLIC in line with the stakeholder's engagement plan.

### **3. TE PURPOSE**

The Terminal Evaluation (TE) report will assess the achievement of project results against what was expected to be achieved and draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming. The TE report promotes accountability and transparency and assesses the extent of project accomplishments.

The DCRL project is ending on 28 November 2024 and the TE will have to be completed three months before the project end date. The TE will be commissioned in accordance with UNDP and GEF guidelines (<https://erc.undp.org/methods-center/guidelines/gef-project-evaluation-guidelines>). The terminal evaluation will look at impact and sustainability of results, including the contribution to the GESI responsive results. The evaluation findings and recommendations will be used by all main parties (UNDP, GEF, and partner government agencies and stakeholders) to assess their approaches and to inform the design of future interventions.

Further to this, the specific objectives of the evaluation will be to:

- assess the achievement of project results supported by evidence (i.e., progress of project's outcome targets)
- assess the contribution and alignment of the project to relevant national development plans or environmental policies
- assess the contribution of the project results towards the relevant outcome and output of the Country Programme Document (CPD) and the United Nations Sustainable Development Cooperation Framework (UNSDCF)
- assess any cross cutting (livelihood support, , improved governance, climate change adaptation, disaster prevention and recovery, human rights, capacity development, , knowledge management, , etc., as relevant) and gender results based on project Gender Action Plan (GAP).
- assess the use of funds and value for money
- assess the impact of COVID19 on project's implementation
- and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming

The TE will be conducted according to the guidance, rules and procedures established by



UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects<sup>3</sup>.

#### **4. TE APPROACH & METHODOLOGY**

The TE report must provide evidence-based information that is credible, reliable, and useful. The evaluation approach and methodologies provided in this ToR are indicative only. The TE team should review the methodology and propose the final methods and data collection tools in the inception report, following review of the project related documents and reports. The method and tools should be context-sensitive and adequately address the issues of human rights, LNOB, gender equality and social inclusion.

All relevant evidentiary documents must be presented/provided to the TE evaluators to confirm the reported results of the project's baseline/co-financed and incremental activities, delivery of agreed component outputs and levels of achievement of the end-of-project targets of the objectively verifiable indicators that are set out in the project results framework (log frame). It is important to also provide explanations/justifications of the attribution of any indirect results (e.g., energy savings, GHG emission reductions, etc.) of parallel/associated activities of the project. In this regard, the TE Team must state in the TE report if the team has checked, evaluated, verified, and confirmed all the evidentiary documents during the terminal evaluation and provide comments regarding, and where necessary, pertinent recommendations to improve, the credibility, reliability, and usefulness of such documents.

The TE team will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Social and Environmental Screening Procedure/SESP), the Project Document, project reports including annual PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based evaluation. The TE team will review the baseline and midterm GEF focal area Core Indicators/Tracking Tools submitted to the GEF at the CEO endorsement and midterm stages and the terminal Core Indicators.

The TE team is expected to follow a participatory and consultative approach ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), Implementing Partners, the UNDP Country Office(s), the Regional Technical Advisor, direct beneficiaries and other stakeholders.

The engagement of stakeholders is vital to a successful TE. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to the Ministry of Forests and Environment, Department of Forests and Soil Conservation, watershed and landslide management division, Basin Management Centre-Koshi, Ministry of Forests, Environment and Soil Conservation, Koshi Province, Soil Conservation and Watershed Management Office Okhaldhunga, Division Forest Offices (Khotang and Okhaldhunga), Municipalities and Rural Municipalities, ward offices, user committees, CSOs and Project beneficiaries, United Nations Development Programme (UNDP);, senior officials and task team/component leaders, key experts and consultants in the subject area, Project Executive Board, project beneficiaries, academia, and CSOs, etc. Additionally, the TE team is expected to conduct field missions in project area representing selected municipalities and officials of Khotang and Okhaldhunga districts.

The specific design and methodology for the TE should emerge from consultations between the TE team and the above-mentioned parties regarding what is appropriate and feasible for meeting the TE purpose and objectives and answering the evaluation questions, given

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<sup>3</sup> [https://erc.undp.org/pdf/TE\\_GuidanceforUNDP-supportedGEF-financedProjects.pdf](https://erc.undp.org/pdf/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf)

limitations of budget, time and data. The TE team must use gender equality and social inclusion-responsive methodologies and tools and ensure that gender equality, women's empowerment and social inclusion, as well as other cross-cutting issues and SDGs are incorporated into the TE report.

The final methodological approach including interview schedule, field visits and data to be used in the evaluation must be clearly outlined in the TE Inception Report and be fully discussed and agreed between UNDP, stakeholders and the TE team.

The final report must describe the full TE approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the evaluation.

Ensure that the recommendations are aligned with the key findings. Recommendations also need to be strategic, realistic and within the context of the project.

An Evaluation Reference Group (ERG) will be established to ensure that the Terminal Evaluation will undergo a peer review process that will assure the quality of the report before it is finalized. The ERG is composed of select representatives from UNDP CO and GEF Regional Technical Advisor, key project stakeholders, including Department of Forest and Soil Conservation.

The evaluation should build upon the available project documents, field visits, interviews, and discussions, which would provide an opportunity for more in-depth analysis and understanding of the DCRL project. The TE is expected to frame the evaluation in line with the UNDP Evaluation Guidelines (<https://erc.undp.org/methods-center/guidelines/gef-project-evaluation-guidelines>). The methods and tools should adequately address the issues of gender equality and social inclusion.

The evaluators will follow mixed methods of data collection, utilizing both qualitative and quantitative methods. The evaluation should build upon the data and information collected from both primary and secondary sources. Primary data may be collected through key informant interview (KII), focus group discussion, field observations, and consultation and interaction with stakeholders and beneficiaries. Secondary data will be collected through review of literature related to the project, including project document, results and resources framework, communication materials including case stories and media reports. visits, consultations with stakeholders and beneficiaries.

The data and information thus collected should be analysed and ensure that gender equality and social inclusion and other cross-cutting issues will be captured adequately in all aspects of the evaluation. The data and information thus generated should be evidence-based, reliable, credible, and useful. The evaluation team should also ensure triangulation of the various data sources to maximize the validity and reliability of data.

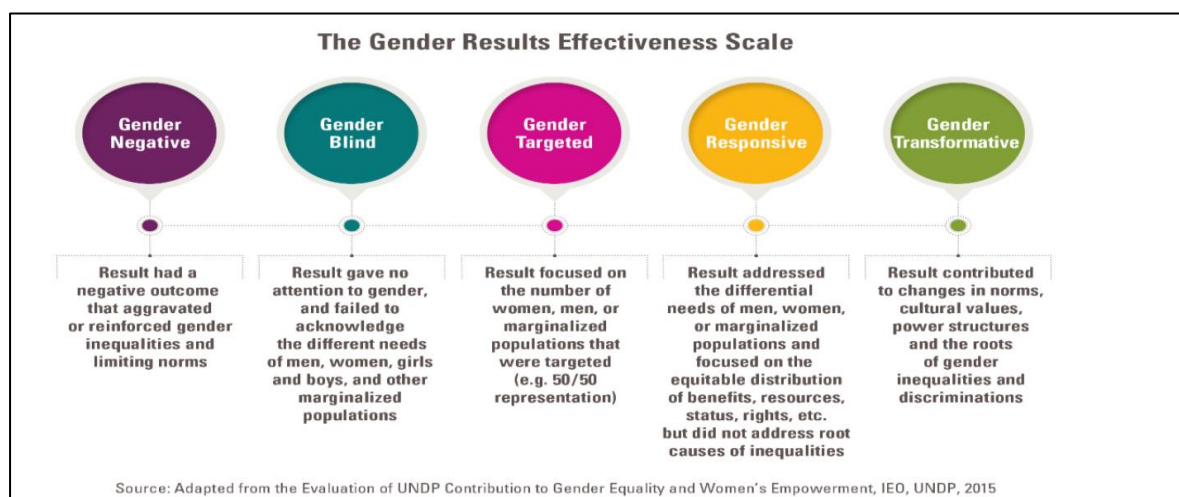
#### **Gender Responsive Evaluation Scale (GRES) method<sup>4</sup>:**

The evaluation team should evaluate the project's contribution towards GESI responsive results using the Gender Result Effectiveness Scale (GRES). Evaluate each output of the project and assess whether they are gender negative, gender neutral, gender-targeted, gender-responsive, or gender transformative. It is important to consider the use of this scale as an assessment tool, but more so to inform potential opportunities that can inform a new

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<sup>4</sup> <https://erc.undp.org/methods-center/methods/assessing-crossing-cutting-themes/accessing-gender-equality>

project with key gender gaps strengthened.



The process/steps mentioned above should ensure that the most appropriate and relevant data are gathered for the above-mentioned objectives. Based on the analysis and findings, recommendations should be provided for the future direction of the project. The consultant will have to submit the final full report in English.

The structure and content of the report should meet the requirements of the UNDP Evaluation Guideline as well as GEF Guidelines on conducting Terminal Evaluation (Annex C). The final methodological approach including interview schedule, field visits, evaluation matrix, and data to be used in the review should be clearly outlined in the inception report and fully discussed and agreed with UNDP. The evaluator should select the respondents using an appropriate sampling technique. While selecting the respondents, the evaluator should ensure gender balance.

## 5. DETAILED SCOPE OF THE TE

The TE will assess project performance against expectations set out in the project's Logical Framework/Results Framework (Annex A). The TE will assess results according to the criteria outlined in the Guidance for TEs of UNDP-supported GEF-financed Projects ([http://web.undp.org/evaluation/guideline/documents/GEF/TE\\_GuidanceforUNDP-supportedGEF-financedProjects.pdf](http://web.undp.org/evaluation/guideline/documents/GEF/TE_GuidanceforUNDP-supportedGEF-financedProjects.pdf)).

The Findings section of the TE report will cover the topics listed below. A full outline of the TE report's content is provided in Annex C.

The asterisk “(\*)” indicates criteria for which a rating is required.

### Findings

#### i. **Project Design/Formulation**

- National priorities and country driven ness
- Theory of Change
- Gender equality, inclusivity and women's empowerment
- Social and Environmental Standards (Safeguards)
- Analysis of Results Framework: project logic and strategy, indicators
- Assumptions and Risks

- Lessons from other relevant projects (e.g., same focal area) incorporated into project design
- Planned stakeholder participation
- Linkages between project and other interventions within the sector
- Management arrangements

Evaluate whether the project design (e.g., approach, activities, and outputs) was adequate/sufficient and appropriate to achieve the project objective and outcomes that were set out in the project results framework.

## ii. **Project Implementation**

- Adaptive management (approved changes to the project design and project outputs during implementation, whether such changes were adequately and properly implemented, and impacts/results of the implemented changes)
- Actual stakeholder participation and partnership arrangements (in addition, also cite issues/challenges encountered, impacts of such issues/challenges on project implementation and results; and the resolution of these)
- Project Finance and Co-finance (evaluate actual project financing, actual realization of committed co-financing, and any leveraged financing – provide evidentiary documents to support the evaluation)
- Monitoring & Evaluation: design at entry (\*), implementation (\*), and overall assessment of M&E (\*)
- Implementing Agency (UNDP) (\*) and Executing Agency (\*), overall project oversight/implementation and execution (\*)
- Risk Management, including Social and Environmental Standards (Safeguards)

Evaluate whether the actual project implementation did or did not facilitate the provision of the necessary resource inputs for the implementation of project activities and the delivery of all the required project outputs.

## iii. **Project Results**

- Assess the achievement of outcomes against indicators by reporting on the level of progress for each objective and outcome indicator at the time of the TE and noting final achievements. Evaluate the following: (a) whether all the approved project outputs were delivered. These include outputs in the original project design and other approved outputs that were included based on adaptive management; (b) how these outputs contributed to the achievement of the end-of-project targets of the project; and (c) actual resource inputs that were utilized to deliver each output.
- Evaluate the results of the project activities (i.e., GEF-funded and baseline/co-financed activities that were carried out by project partners) that are contributing towards the end-of-project target of the objective indicator and each outcome indicator. This may also include monitored results from indirect activities that were facilitated, enabled, or influenced by the DCRL Project's activities. The relevant evidentiary documents on these activities must be evaluated to verify and confirm potential attribution of the results to the DCRL Project.
- Relevance (\*), Effectiveness (\*), Efficiency (\*) and overall project outcome (\*) - For "effectiveness," evaluate to what extent the barriers that the project is designed to remove were actually removed.
- Sustainability: financial (\*), socio-political (\*), institutional framework and governance (\*), environmental (\*), overall likelihood of sustainability (\*) (\*) – For overall likelihood of

sustainability, evaluate whether the removed barriers will recur or not, and suggest ways of ensuring that the removed barriers will not recur.

- Country ownership
- Gender equality, social inclusion and women's empowerment
- Cross-cutting issues (governance, climate change adaptation, disaster prevention and recovery, human rights, capacity development, knowledge management, etc., as relevant)
- GEF Additionality
- Catalytic Role / Replication Effect
- Progress to impact

One important issue that must be considered in the reported results that are contributing to the achievement of the project targets is their attribution to the DCRL Project. Make sure that all declared results are attributable to the Project. Where necessary, explain the attribution or non-attribution.

### **Main Findings, Conclusions, Recommendations and Lessons Learned**

- The TE team will include a summary of the main findings of the TE report. Findings should be presented as statements of fact that are based on analysis of the data, and evidentiary documents. Make sure that all declared results are attributable to the Project. Where necessary, explain the attribution or non-attribution.
- The section on conclusions will be written in light of the findings. Conclusions should be comprehensive and balanced statements that are well substantiated by evidence and logically connected to the TE findings. They should highlight the strengths, weaknesses, and results of the project, respond to key evaluation questions, and provide insights into the identification of and/or solutions to important problems or issues pertinent to project beneficiaries, UNDP and the GEF, including issues in relation to gender equality and women's empowerment.
- Recommendations should provide concrete, practical, feasible and targeted recommendations directed to the intended users of the evaluation about what actions to take and decisions to make. The recommendations should be specifically supported by the evidence and linked to the findings and conclusions around key questions addressed by the evaluation.
- The TE report should also include lessons that can be taken from the evaluation, including best practices in addressing issues relating to relevance, performance and success that can provide knowledge gained from the particular circumstance (programmatic and evaluation methods used, partnerships, financial leveraging, etc.) that are applicable to other GEF and UNDP interventions. When possible, the TE team should include examples of good practices in project design and implementation.
- It is important for the conclusions, recommendations and lessons learned of the TE report to incorporate gender equality, social inclusion and empowerment of women.

The TE report will include an Evaluation Ratings Table, as shown below:

**ToR Table 2: Evaluation Ratings Table for Developing Climate Resilient Livelihoods (DCRL)**

Monitoring & Evaluation (M&E)	Rating <sup>5</sup>
M&E design at entry	
M&E Plan Implementation	
Overall Quality of M&E	
Implementation & Execution	Rating
Quality of UNDP Implementation/Oversight	
Quality of Implementing Partner Execution	
Overall quality of Implementation/Execution	
Assessment of Outcomes	Rating
Relevance	
Effectiveness	
Efficiency	
Overall Project Outcome Rating	
Sustainability	Rating
Financial resources	
Socio-political/economic	
Institutional framework and governance	
Environmental	
Overall Likelihood of Sustainability	

## 6. TIMEFRAME

The total duration of the TE will be *90 persons days (30 working days each for three consultants)* over a time period of 12 weeks starting on 8 July 2024. The tentative TE timeframe is as follows:

<sup>5</sup> Outcomes, Effectiveness, Efficiency, M&E, Implementation/Oversight & Execution, Relevance are rated on a 6-point scale: 6=Highly Satisfactory (HS), 5=Satisfactory (S), 4=Moderately Satisfactory (MS), 3=Moderately Unsatisfactory (MU), 2=Unsatisfactory (U), 1=Highly Unsatisfactory (HU). Sustainability is rated on a 4-point scale: 4=Likely (L), 3=Moderately Likely (ML), 2=Moderately Unlikely (MU), 1=Unlikely (U)

Timeframe	Activity
8 Jul'24	Consultants on board – GPN Roster for International Consultant, Country Office LTA roster for national consultants
10 Jul'24	Preparation period for TE team (handover of documentation)
12-25 Jul'24	Document review and preparation of TE Inception Report (3 days)
1-10 Aug'24	Finalization and Validation of TE Inception Report (5 days)
24 Aug-6 Sept'24	TE mission: in person and virtual stakeholder meetings, interviews (12 days)
6 Sept'24	Mission wrap-up meeting & presentation of initial findings; earliest end of TE mission (1 day)
15 Sept'24	Preparation of draft TE report (6 days)
17 Sept'24	Circulation of draft TE report for comments
30 Sept'24	Incorporation of comments on draft TE report into Audit Trail & finalization of TE report (3 days)
5 Oct'24	Preparation and Issuance of Management Response
10 Oct'24	Expected date of full TE completion

Options for site visits should be provided in the TE Inception Report.

## 7. TE DELIVERABLES

S.N	Deliverables	Estimated number of days	Timeframe	Payment
1.	Document review and submission of an <b>Inception Report</b> with a detailed methodology and a time bound work plan with key deliverables in consultation with UNDP	12 persons days (4 days each for three persons)	Within 15 days of signing the contract (Tentatively by 25 July 2024).	<b>20 percent</b> of the contract amount upon approval of inception report
2.	<b>Interviews, meetings, discussions, field visits for data collection</b>	36 persons days (12 days each for three persons)	After approval of the inception report (Tentatively by 24 August 2024)	<b>None</b>
3.	<b>De-briefing meeting to UNDP after completion of the field mission</b>	3 persons days (1 day each for three persons)	Right after the field missions (Tentatively by 6 September 2024)	<b>None</b>
4.	Submission of <b>Draft Evaluation Report to UNDP</b> for its review	18 persons days (6 days each for three persons)	Within 60 days of signing the contract (Tentatively by 15 September 2024)	<b>40 percent</b> of the contract amount upon approval of the draft report
5.	Review the draft report and	NA	Within 75 days of	



	provide comments and feedback by UNDP, stakeholders including reference groups, project and program team		signing the contract (Tentatively by 25 September 2024)	
6.	Submission of <b>Final Evaluation Report</b> incorporating comments/feedback from the presentation and approval of the report by UNDP	18 persons days (6 days each for three persons)	Within 90 days of signing the contract (Tentatively by 30 September 2024)	<b>40 percent</b> of the contract amount upon approval of the final report
7.	Presentation slides on key findings and recommendation for the evaluation	3 persons days (1 day each for two persons)	Within 90 days of signing the contract (Tentatively by 10 October 2024)	<b>None</b>

\*All final TE reports will be quality assessed by the UNDP Independent Evaluation Office (IEO). Details of the IEO's quality assessment of decentralized evaluations can be found in Section 6 of the UNDP Evaluation Guidelines.<sup>6</sup>

## 8. TE ARRANGEMENTS

The principal responsibility for managing the TE resides with the Commissioning Unit. The Commissioning Unit for this project's TE is UNDP Country Office in Nepal.

The Commissioning Unit will contract the evaluators and ensure the timely provision of per diems and travel arrangements within the country for the TE team. The Project Team will be responsible for liaising with the TE team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

Representatives from the UNDP Nepal Country Office, the DCRL project, Department of Forest and Soil Conservation will serve as the evaluation reference groups. Stakeholders and the evaluation reference group will provide their feedback to the draft evaluation report. The evaluators should address the comments received in the draft report. All comments and feedback should be documented through an Evaluation Audit Trail which needs to be submitted by the evaluators at the time of final submission of the evaluation report.

The Evaluation Manager (Programming Quality and RBM Analyst) will ensure overall management, quality, and independent implementation of the terminal evaluation with needful guidance from UNDP Nepal's Senior Management. The team leader will maintain all communication through the Evaluation Manager. The Evaluation Manager should clear each step of the evaluation. Evaluation team members should directly report to and maintain all the communication through the team leader.

The project team will be responsible for providing the required information, furnishing documents for review to the evaluation team under the leadership of the Portfolio Manager. The CO, jointly with the project team will be responsible for the TE team's logistic arrangements, setting up stakeholder interviews, arranging consultations, arranging field mission to implementing provinces and local governments, coordinating with the stakeholders, among others.

After signing the contract, UNDP will brief the TE team upon commencing the assignment on the TE's objectives, purpose, and expected outputs. Key project documents will be shared with the evaluation team. The team should review the relevant documents and share the draft

<sup>6</sup> Access at: <http://web.undp.org/evaluation/guideline/section-6.shtml>

inception report before the commencement of the TE mission for data collection. The team should submit the inception report that includes methodological approach, data collection instruments, the evaluation schedule and evaluation matrix that guides the TE's overall implementation. The final methods and tools should be GESI responsive. The inception report submitted by the evaluation team should be approved by the Evaluation Manager prior to the commencement of the evaluation process.

The evaluation will remain fully independent. Individual consultants involved in designing, executing, or advising any aspect of the intervention that is the subject of the evaluation will not be qualified. The consultant will maintain all the communication through the Evaluation Manager. The Evaluation Manager should clear each step of the evaluation. The final evaluation report will be signed off by the UNDP Deputy Resident Representative and cleared up by Regional Technical Advisor (RTA). A mission wrap-up meeting should be conducted, during which comments from participants/stakeholders will be noted for incorporation in the final report. The draft report will be reviewed by the stakeholders concerned, including the evaluation reference group (ERG), who will provide their comments.

The overall roles and responsibilities of the evaluation manager, project/program team, evaluation team, reference groups including stakeholders and beneficiaries are summarized in the table below.

## 9. TE TEAM COMPOSITION

A team of three independent consultants, i.e one international consultant as team leader, and two national consultants with resilience and GESI expert respectively as team members will conduct the TE.

The team composition will be gender responsive to the extent possible (with at least one female). Team members involved in the design, management or implementation or advising any aspect of the intervention that is the subject of the TE will not be qualified. UNDP Nepal will select the consultants. The three consultants are expected to work as a team under the leadership of the international consultant. In case of a difference of opinion, the international consultant will make the final decision.

The team leader will be responsible for the overall assessment of the project results and improve the sustainability of project gains including design and writing of the TE Inception Report, conduct the TE mission, and write the final TE report. The TE team, including the international consultant (Team Leader) must include a field mission to the selected districts and local governments. At least two selected local governments from each working district should be visited by the TE team to collect the primary data and information.

### 9.1 Team Leader, International Consultant (30 working days)

**Roles and responsibilities:** Responsible for overall lead and conduction of TE. S/he should be responsible for the overall quality and timely submission of the TE report and briefing to the UNDP, and for ensuring a gender equality and social inclusion perspective is incorporated throughout the evaluation work and report. Key responsibilities include:

- Takes overall leadership on execution of the evaluation adhering to the UNDP Evaluation Guidelines as well as GEF's Terminal Evaluation Guidelines ensuring its independence.
- Review relevant documents and finalize the inception report including evaluation matrix, evaluation questions, study methods, data collection tools and analysis instruments.

- Coordinates field missions and key consultation meetings for in-depth interviews and discussions with all relevant stakeholders.
- Supervises the work of other team members and assures high quality of work.
- Leads the sharing and de-briefing meetings with UNDP and other stakeholders as appropriate.
- Takes overall responsibility of producing the report and its quality assurance process including contribution to the major sections of the report as agreed among the team members.
- Acts as the main point of contact for UNDP (and stakeholders as appropriate).
- Prepares the report and submits it to UNDP on behalf of team.

The evaluator cannot have participated in the project preparation, formulation and/or implementation (including the writing of the project document), must not have conducted this project's Mid-Term Review and should not have a conflict of interest with the project's related activities.

The selection of evaluators will be aimed at maximizing the overall "team" qualities in the following areas:

#### Education

- At least master's degree in forestry, Environmental Science, Natural Resource Management, Climate Change, Watershed Management, Disaster and Climate Governance or other closely related field (15%).

#### Experience

- Relevant experience with GEF and/or UNDP evaluations (30%)
- Relevant experience in result-based management evaluation methodologies including gender sensitive evaluations and analysis (15%);
- Experience applying SMART indicators and reconstructing or validating baseline scenarios (10%);;
- Experience working in Asia region preferably in Nepal (10%);
- Experience in relevant technical areas like GEF MTR and TE, UNDP evaluation guidelines, disaster preparedness, climate change and resilience etc. (10%)
- Demonstrated understanding of issues related to gender and Climate Change Adaptation.
- Excellent communication and analytical skills (10%);

#### Language

- Fluency in written and spoken English.

### **9.2 Team Member (Resilience) (30 working days)**

**Roles and responsibilities:** The national consultant (resilience) will be responsible for reviewing documents, collecting data and information from different sources, analyzing the progress, issues, and challenges, providing inputs to the team leader in drafting the report with the guidance of the Team Leader. Specifically, the national consultant (Access to Justice Expert) will have the following roles and responsibilities:

- Briefs the team lead on the Nepalese contexts, disaster management, resilience and climate change impacts etc
- Contributes to analyse the information related to resilience, climate change.

- Support in organizing the evaluation mission as agreed among team members. This includes organizing the consultation meetings and field missions as appropriate.
- Conduct interviews with the selected target groups, partners, and stakeholders.
- Contributes to writing the relevant sections of the report for team leader to compile in the report.
- Contributes to any other tasks as advised by the team leader.

**Qualifications and competencies:**

- At least master's degree in forestry, Environmental Science, Natural Resource Management, Climate Change, Watershed Management, Disaster and Climate Governance or other closely related fields.
- More than 5 years of experience of evaluating programmes/projects in the resilience and climate change impact.
- Excellent analytical and report writing skills, thorough knowledge of different evaluation methodologies/instruments, both qualitative and quantitative.
- Excellent command of different data collection methods, including FGDs, KII and literature reviews.
- Adequate knowledge of gender responsive evaluations.
- Adequate knowledge and/or experience of disability inclusion in development projects/evaluations.

**9.3 Team Member (GESI expert) (30 working days)**

**Roles and responsibilities:** The GESI Expert will be responsible for reviewing documents, collecting data and information from different sources, analyzing them from a GESI perspective. The consultant will be responsible for analyzing the degree to which program design and interventions have addressed the needs of women and excluded groups; ensure that gender equality and social inclusion dimensions are incorporated into all steps of the inquiry, analysis and evaluation reporting.

Specifically, the national consultant (GESI Expert) will have the following roles and responsibilities:

- Briefs the team lead on Gender Equality and Social Inclusion status of the country.
- Contributes to devising the questionnaires and checklist to gather GESI-related information for evaluation mission and gathers information accordingly.
- Support in organizing the evaluation mission as agreed among team members. This includes organizing the consultation meetings and field missions as appropriate.
- Facilitates GESI discussions during the consultations process.
- This contributes to writing the relevant sections of the report for team leader and provides GESI perspectives in the draft/final report.
- Ensure assessing the GESI results by using GRES tool.
- Contributes to any other area of work as advised by the team leader.

**Qualifications and competencies:**

- Master's Degree in Gender studies, Social Inclusion, Human rights and Rule of Law, Governance, Management, Public Administration, Social Studies, or other relevant areas
- At least 5 years of experience of evaluating programmes/project in justice or GESI sector, or for technical assistance programmes/projects.
- Excellent analytical and report writing skills, thorough knowledge of different evaluation methodologies/instruments, both qualitative and quantitative.
- Excellent command in different data collection methods including FGDs, KII and literature reviews.

- Strong knowledge of GESI-responsive evaluations and/or use of intersectionality approach in evaluation.
- Adequate knowledge and/or experience of disability inclusion in development projects/evaluations.

## 10. EVALUATOR ETHICS

The TE team will be held to the highest ethical standards and is required to sign a code of conduct upon acceptance of the assignment. This evaluation will be conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation.' The evaluator must safeguard the rights and confidentiality of information providers, interviewees, and stakeholders through measures to ensure compliance with legal and other relevant codes governing collection of data and reporting on data. The evaluator must also ensure security of collected information before and after the evaluation and protocols to ensure anonymity and confidentiality of sources of information where that is expected. The information knowledge and data gathered in the evaluation process must also be solely used for the evaluation and not for other uses without the express authorization of UNDP and partners.

## 11. PAYMENT SCHEDULE

- 20% payment upon satisfactory delivery of the final TE Inception Report and approval by the Commissioning Unit
- 40% payment upon satisfactory delivery of the draft TE report to the Commissioning Unit
- 40% payment upon satisfactory delivery of the final TE report and approval by the Commissioning Unit and RTA (via signatures on the TE Report Clearance Form) and delivery of completed TE Audit Trail

Criteria for issuing the final payment of 40%<sup>7</sup>:

- The final TE report includes all requirements outlined in the TE TOR and is in accordance with the TE guidance.
- The final TE report is clearly written, logically organized, and is specific for this project (i.e., text has not been cut & passed by other TE reports).
- The Audit Trail includes responses to and justification for each comment listed.

## 12. APPLICATION PROCESS<sup>8</sup>

The Country Office will approach GPN roster to hire international consultant. For the national consultants, CO has established Long Term Agreement (LTA) with individual contracts for

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<sup>7</sup> The Commissioning Unit is obligated to issue payments to the TE team as soon as the terms under the ToR are fulfilled. If there is an ongoing discussion regarding the quality and completeness of the final deliverables that cannot be resolved between the Commissioning Unit and the TE team, the Regional M&E Advisor and Vertical Fund Directorate will be consulted. If needed, the Commissioning Unit's senior management, Procurement Services Unit and Legal Support Office will be notified as well so that a decision can be made about whether or not to withhold payment of any amounts that may be due to the evaluator(s), suspend or terminate the contract and/or remove the individual contractor from any applicable rosters. See the UNDP Individual Contract Policy for further details:

[https://popp.undp.org/\\_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP\\_POPP\\_DOCUMENT\\_LIBRARY/Public/PSU\\_Individual%20Contract\\_Individual%20Contract%20Policy.docx&action=default](https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PSU_Individual%20Contract_Individual%20Contract%20Policy.docx&action=default)

<sup>8</sup> Engagement of evaluators should be done in line with guidelines for hiring consultants in the POPP <https://popp.undp.org/SitePages/POPPRoot.aspx>

project and progme evaluation. Thus, national consultants will be recruited from the established LTA mechanism.

### **13. TOR ANNEXES**

- Annex A: Project Logical/Results Framework
- Annex B: Project Information Package to be reviewed by TE team
- Annex C: Content of the TE report
- Annex D: Evaluation Criteria Matrix template
- Annex E: UNEG Code of Conduct for Evaluators
- Annex F: TE Rating Scales
- Annex G: TE Report Clearance Form
- Annex H: TE Audit Trail
- Annex I: GEF Core Indicator (converted from CCM Tracking Tool)
- Annex J: Theory of Change
- Annex K: Evaluation criteria and guiding questions

## Annex 2. Evaluation Criteria Matrix

The table below provides questions that provided direction when hosting stakeholder Key Informant Interviews (KII) and Focus Group Discussions (FGD). Stakeholder consultations followed ethical guidelines to ensure safe, non-discriminatory, respectful engagement of stakeholders following UNEG 'Ethical Guidelines for Evaluations.

Evaluation Category and Questions	Indicators	Data Sources	Methodology
<b>RELEVANCE:</b>			
1. To what extent was the project in line with national development priorities?	<ul style="list-style-type: none"> <li>alignment of project activities with national government needs and priorities</li> </ul>	<ul style="list-style-type: none"> <li>DCRL ProDoc</li> <li>National government development plans, strategies and policies</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> </ul>
2. Does the project's objective align with the priorities of the sub-national governments?	<ul style="list-style-type: none"> <li>alignment of project activities with sub-national government needs and priorities</li> </ul>	<ul style="list-style-type: none"> <li>Sub-national development plans, strategies and policies</li> <li>Sub-national government staff</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>KII</li> </ul>
3. Did the project concept originate from local or national stakeholders, and/or were relevant stakeholders sufficiently involved in project development?	<ul style="list-style-type: none"> <li>Level of involvement of local and national stakeholders in project origination and development (number of meetings held, project development processes incorporating stakeholder input, etc.)</li> </ul>	<ul style="list-style-type: none"> <li>DCRL ProDoc</li> <li>project stakeholders</li> <li>project beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>KII and FGD</li> </ul>
4. Was the project in line with the Sustainable Development Goals (SDG)	<ul style="list-style-type: none"> <li>alignment of project design and activities with Nepal's SDGs</li> </ul>	<ul style="list-style-type: none"> <li>DCRL ProDoc</li> <li>Nepal SDGs</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> </ul>
5. To what extent does the project contribute to Outcomes of the UNDP Country Programme Document (CPD)?	<ul style="list-style-type: none"> <li>effectiveness of project output achievement</li> </ul>	<ul style="list-style-type: none"> <li>DCRL project M&amp;E</li> <li>project stakeholders</li> <li>project beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>KII</li> <li>FGD</li> </ul>



Evaluation Category and Questions	Indicators	Data Sources	Methodology
6. To what extent has the project been appropriately responsive to political, legal, economic, institutional, etc., changes in the country?	<ul style="list-style-type: none"> <li>adaptation of project management and activities during implementation</li> </ul>	<ul style="list-style-type: none"> <li>DCRL project reports including annual PIRs, Independent Rapid Review Report, Midterm Evaluation Report, Independent Assessment Report</li> <li>Project Board Minutes</li> <li>UNDP staff</li> <li>Project stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>KII</li> <li>FGD</li> </ul>
7. Does the project objective fit GEF strategic priorities?	<ul style="list-style-type: none"> <li>Level of coherence between project objective and GEF strategic priorities (including alignment of relevant focal area indicators)</li> </ul>	<ul style="list-style-type: none"> <li>GEF strategic priority documents for period when project was approved</li> <li>Current GEF strategic priority documents</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>KII</li> </ul>
<b>COHERENCE</b>			
8. To what extent does the design of this project enable optimal use of resources and cooperation with other development initiatives? How well aligned are activities, outputs, and outcomes in the logical framework?	<ul style="list-style-type: none"> <li>occurrence of cooperation and coordination of DCRL project activities with other development initiatives during project implementation</li> </ul>	<ul style="list-style-type: none"> <li>ProDoc</li> <li>Annual Progress Reports</li> <li>Project stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>KII</li> </ul>
9. To what extent were lessons learned from other relevant projects considered in the design?	<ul style="list-style-type: none"> <li>inclusion of lessons learned in ProDoc</li> </ul>	<ul style="list-style-type: none"> <li>ProDoc</li> <li>UNDP staff</li> <li>Project stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>KII</li> </ul>

Evaluation Category and Questions	Indicators	Data Sources	Methodology
10. To what extent did the project work have synergy with other related projects and/or agencies and how did the collaboration influence the efficiency, value for money, or scale-up/expansion of the project?	<ul style="list-style-type: none"> <li>• occurrence of cooperation and coordination of DCRL project activities with other development initiatives during project implementation</li> <li>• value-added outputs occurring as a result of collaboration</li> </ul>	<ul style="list-style-type: none"> <li>• Annual Progress Reports</li> <li>• UNDP staff</li> <li>• Project stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• KII</li> </ul>
<b>EFFECTIVENESS</b>			
11. To what extent has progress been made toward outcome achievement? Are the expected outcomes likely to be met?	<ul style="list-style-type: none"> <li>• achievement of outcome indicators</li> </ul>	<ul style="list-style-type: none"> <li>• DCRL project M&amp;E</li> <li>• Project stakeholders</li> <li>• Project beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• KII</li> <li>• FGD</li> </ul>
12. To what extent have the MTR recommendations been implemented	<ul style="list-style-type: none"> <li>• achievement of recommendations as stated in the MTR and in the Management Response</li> </ul>	<ul style="list-style-type: none"> <li>• MTR Report and Management Response</li> <li>• Annual Progress Reports</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• KII</li> </ul>
13. Considering that the project was implemented during COVID-19 restrictions, to what extent was it able to adapt to the changing priorities? Were the decisions taken appropriately for the situation?	<ul style="list-style-type: none"> <li>• adaptive management strategies</li> </ul>	<ul style="list-style-type: none"> <li>• ProDoc</li> <li>• Annual Progress Reports</li> <li>• Project Board Minutes</li> <li>• UNDP staff</li> <li>• Project stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• KII</li> </ul>
14. To what extent has the project been able to establish close cooperation and partnership with different stakeholders and target groups at the national and sub-national levels?	<ul style="list-style-type: none"> <li>• evidence of strong support to the DCRL project by stakeholders</li> <li>• effective achievement of output indicators by national and sub-national partners</li> </ul>	<ul style="list-style-type: none"> <li>• Annual Progress Reports</li> <li>• Project government stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• KII</li> </ul>

Evaluation Category and Questions	Indicators	Data Sources	Methodology
15. How do the beneficiaries and stakeholders value the results/outputs of the project and how have they used them?	qualitative assessment	<ul style="list-style-type: none"> <li>• Project stakeholders</li> <li>• Project beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>• KII</li> <li>• FGD</li> </ul>
16. What are the key factors contributing to project success or underachievement? What are the key risks and barriers that remain to achieve the project objective?	project management arrangements project implementation strategy	ProDoc MTR Report and Management Response Annual Progress Reports Project Board Minutes UNDP staff Project stakeholders	<ul style="list-style-type: none"> <li>• Document review</li> <li>• KII</li> </ul>
17. In which areas does the project have the greatest achievements? Why and what have been the supporting factors? How can the project build on or expand these achievements?	<ul style="list-style-type: none"> <li>• strategic results framework Indicators</li> <li>• project management arrangements</li> <li>• project implementation strategy</li> </ul>	<ul style="list-style-type: none"> <li>• M&amp;E reports</li> <li>• Annual Progress Reports</li> <li>• Project Board Minutes</li> <li>• UNDP staff</li> <li>• Project stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• KII</li> </ul>
18. In which areas does the project have the fewest achievements? What have been the constraining factors and why? How can or could they be overcome?	<ul style="list-style-type: none"> <li>• strategic results framework Indicators</li> <li>• project management arrangements</li> <li>• project implementation strategy</li> </ul>	<ul style="list-style-type: none"> <li>• M&amp;E reports</li> <li>• Annual Progress Reports</li> <li>• Project Board Minutes</li> <li>• UNDP staff</li> <li>• Project stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• KII</li> </ul>
19. Which project outputs/activities are the most relevant and strategic to scale-up or consider going forward?	<ul style="list-style-type: none"> <li>• needs identified by government and non-government stakeholders and beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>• Project stakeholders</li> <li>• Project beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• KII &amp; FGD</li> </ul>
20. Will Theory of Change assumptions and impact drivers achieve the expected global environmental benefits?	<ul style="list-style-type: none"> <li>• implementation strategies achieving end of project targets</li> <li>• outputs achieved contribute to global environmental benefits</li> </ul>	<ul style="list-style-type: none"> <li>• M&amp;E reports</li> <li>• Annual Progress Reports</li> <li>• UNDP staff</li> <li>• Project stakeholders</li> <li>• Project beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• KII &amp; FGD</li> </ul>

Evaluation Category and Questions	Indicators	Data Sources	Methodology
<b>EFFICIENCY</b>			
21. To what extent did the DCRL Project engage or coordinate with beneficiaries, implementing partners, other United Nations agencies, and national counterparts to achieve project outcome-level results?	<ul style="list-style-type: none"> <li>evidence of stakeholder engagement</li> </ul>	<ul style="list-style-type: none"> <li>Annual Progress Reports</li> <li>Project stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>KII</li> </ul>
22. To what extent was the project management structure as outlined in the project document efficient in generating the expected results?	<ul style="list-style-type: none"> <li>strategic results framework Indicators</li> <li>project management arrangements</li> <li>project implementation strategy</li> </ul>	<ul style="list-style-type: none"> <li>ProDoc</li> <li>M&amp;E reports</li> <li>Annual Progress Reports</li> <li>Project Board Minutes</li> <li>UNDP staff</li> <li>Project stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>KII</li> </ul>
23. Is the project cost-effective?	<ul style="list-style-type: none"> <li>Quality and adequacy of financial management procedures</li> <li>Financial delivery rate vs. expected rate</li> <li>Management costs as a percentage of total costs</li> </ul>	<ul style="list-style-type: none"> <li>M&amp;E reports</li> <li>Annual Progress Reports</li> <li>Annual Work Plans</li> <li>UNDP staff</li> <li>Project staff</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>KII</li> </ul>
24. How have the delays in project implementation affected cost-effectiveness?	<ul style="list-style-type: none"> <li>Project milestones completed on time</li> <li>Planned results affected by delays</li> <li>Required project adaptive management measures related to delays</li> </ul>	<ul style="list-style-type: none"> <li>Project documents</li> <li>Project staff</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>KII</li> </ul>
25. To what extent do the Monitoring and Evaluation (M&E) systems utilized by UNDP ensure effective and efficient project management?	<ul style="list-style-type: none"> <li>adaptive management strategies based on M&amp;E</li> </ul>	<ul style="list-style-type: none"> <li>M&amp;E plan and reporting</li> <li>UNDP staff</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>KII</li> </ul>

Evaluation Category and Questions	Indicators	Data Sources	Methodology
26. Are expenditures in line with international standards and norms?	<ul style="list-style-type: none"> <li>• Cost of project inputs and outputs relative to norms and standards for donor projects in the country or region</li> </ul>	<ul style="list-style-type: none"> <li>• M&amp;E reports</li> <li>• Annual Progress Reports</li> <li>• Annual Work Plans</li> <li>• UNDP staff</li> <li>• Project staff</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• KII</li> </ul>
27. What is the contribution of cash and in-kind co-financing to project implementation?	<ul style="list-style-type: none"> <li>• Level of cash and in-kind co-financing relative to expected level</li> </ul>	<ul style="list-style-type: none"> <li>• Annual Progress Reports</li> <li>• UNDP staff</li> <li>• Project staff</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• KII</li> </ul>
28. To what extent is the project leveraging additional resources?	<ul style="list-style-type: none"> <li>• Value of resources leveraged relative to project budget</li> </ul>	<ul style="list-style-type: none"> <li>• Annual Progress Reports</li> <li>• UNDP staff</li> <li>• Project staff</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• KII</li> </ul>
<b>SUSTAINABILITY</b>			
29. To what extent has the DCRL project contributed to achieving government ownership and leadership of integrated watershed management?	<ul style="list-style-type: none"> <li>• Demonstrated IWM by government stakeholders and local stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• Annual Progress Reports</li> <li>• UNDP staff</li> <li>• Project staff</li> <li>• Government stakeholders</li> <li>• LGs</li> <li>• User Committees</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• KII</li> </ul>
30. To what extent does the government have the capacity (staff, technical knowledge, financial resources) to sustain the benefits of the DCRL project?	<ul style="list-style-type: none"> <li>• Evidence of technically qualified staff available for IWM</li> <li>• Government work plans and budgeting includes IWM</li> </ul>	<ul style="list-style-type: none"> <li>• UNDP staff</li> <li>• Project staff</li> <li>• Government stakeholders</li> <li>• LGs</li> <li>• Local stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>• KII</li> </ul>

Evaluation Category and Questions	Indicators	Data Sources	Methodology
31. To what extent does the government have the capacity (staff, technical knowledge, financial resources) to scale-up the DCRL project to other watersheds?	<ul style="list-style-type: none"> <li>Evidence of government plans to replicate IWM in other watersheds</li> </ul>	<ul style="list-style-type: none"> <li>UNDP staff</li> <li>Project staff</li> <li>Government stakeholders</li> <li>Local stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>KII</li> </ul>
32. What are the major factors which contribute to or hamper the sustainability of DCRL project results?	<ul style="list-style-type: none"> <li>Factors that contribute such as capacity, training, policies, plans, AWP, budgets, etc.</li> <li>Factors that hamper lack of contributing factors and/or other government priorities</li> </ul>	<ul style="list-style-type: none"> <li>Annual Progress Reports</li> <li>UNDP staff</li> <li>Project staff</li> <li>Government stakeholders</li> <li>Local stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>KII</li> <li>Transit walk</li> </ul>
33. To what extent do the project communities (beneficiaries) support the objective and outcomes of the DCRL project?	<ul style="list-style-type: none"> <li>Active participation of communities in project activities</li> <li>Replication of project activities</li> </ul>	<ul style="list-style-type: none"> <li>UNDP staff</li> <li>Project staff</li> <li>Government stakeholders</li> <li>Beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>KII &amp; FGD</li> <li>Transit walk</li> </ul>
34. To what extent did the DCRL project establish mechanisms prior to project closure to enhance the sustainability of the results achieved?	<ul style="list-style-type: none"> <li>DCRL capacity development</li> <li>Development of IWM policies and plans</li> <li>Establishment of linkage to ongoing financial and/or technical support</li> </ul>	<ul style="list-style-type: none"> <li>ProDoc</li> <li>Annual Progress Reports</li> <li>Exit Strategy</li> <li>UNDP staff</li> <li>Project staff</li> <li>Government stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>KII</li> </ul>
35. Are DCRL project results environmentally sustainable?	<ul style="list-style-type: none"> <li>Environmental benefits of DCRL project activities</li> </ul>	<ul style="list-style-type: none"> <li>Annual Progress Reports</li> <li>UNDP staff</li> <li>Project staff</li> <li>Government stakeholders</li> <li>Local stakeholders</li> <li>Beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>KII &amp; FGD</li> <li>Transit walk</li> </ul>

Evaluation Category and Questions	Indicators	Data Sources	Methodology
<b>CROSS-CUTTING ISSUES – HUMAN RIGHTS</b>			
36. How well are human rights issues reflected in developing climate resilient livelihoods in vulnerable watershed management, especially in consideration of the vulnerable groups targeted by the project?	<ul style="list-style-type: none"> <li>Integration of human rights issues in project designing, planning, implementation and monitoring</li> </ul>	<ul style="list-style-type: none"> <li>Relevant project document</li> <li>Annual progress and monitoring reports</li> <li>Training reports and others</li> <li>Beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>KII &amp; FGD</li> </ul>
37. To what extent have women, Dalits, Janajati, persons with disabilities (Women, Men, others), and other disadvantaged and vulnerable groups benefited from the project's work, and with what impact?	<ul style="list-style-type: none"> <li>Extent of benefits and impact for women, Dalits, Janjatis, persons with disabilities, and other vulnerable groups from the project's work.</li> </ul>	<ul style="list-style-type: none"> <li>Relevant documents</li> <li>Annual progress reports</li> <li>Training report and others</li> <li>Beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>KII</li> <li>FGD</li> </ul>
38. To what extent have projects integrated the Human Rights based approach in the (i) design, (ii) implementation, and (iii) monitoring of the project? Have the resources been used in an efficient way to address Human Rights in the implementation (e.g. participation of targeted communities, collection of disaggregated data, etc.)?	<ul style="list-style-type: none"> <li>Integration of Human Rights-based approach in project design, implementation, and monitoring, including efficient resource utilization</li> </ul>	<ul style="list-style-type: none"> <li>Relevant policies and project document</li> <li>Annual progress reports</li> <li>Training report and others</li> <li>Beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>KII</li> <li>FGD</li> </ul>
<b>CROSS-CUTTING ISSUES – GENDER EQUALITY</b>			
39. Was the project aligned with national policies and strategies on gender equality?	<ul style="list-style-type: none"> <li>Project gender policy or strategy and documents</li> </ul>	<ul style="list-style-type: none"> <li>Project documents</li> <li>UNDP</li> <li>Project staff/ Stakeholder</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>KII</li> </ul>
40. Was the UNDP Gender Marker rating assigned to the project document realistic and backed by the findings of the gender analysis?	<ul style="list-style-type: none"> <li>Project gender docs</li> </ul>	<ul style="list-style-type: none"> <li>Gender analysis report</li> <li>Gender action plan</li> <li>UNDP/Project staff</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>KII</li> </ul>



Evaluation Category and Questions	Indicators	Data Sources	Methodology
41. To what extent did the project encourage/facilitate or develop/adopt mechanisms to increase participation of women (consultation/participation, planning, capacity building, income generation, access to resources)?	<ul style="list-style-type: none"> <li># of consultation, # of participation, # of training events and others</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and reports</li> <li>Project staff/ Stakeholder</li> </ul>	<ul style="list-style-type: none"> <li>Review documents</li> <li>KII</li> </ul>
42. To what extent did activities to promote income generation and livelihood strategies target women?	<ul style="list-style-type: none"> <li># of women involved in IGA</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and reports</li> <li>Project staff/ Stakeholder</li> <li>Beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Review documents</li> <li>KII and FGD</li> </ul>
43. To what extent were women's organizations involved and supported in project activities?	<ul style="list-style-type: none"> <li># of women organizations involved</li> </ul>	<ul style="list-style-type: none"> <li>Project and Monitoring reports</li> <li>Project staff/ Stakeholder</li> <li>Local stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Review documents</li> <li>KII and FGD</li> </ul>
44. Was project M&E gender disaggregating?	<ul style="list-style-type: none"> <li>Disaggregated database on gender (men, women and others)</li> </ul>	<ul style="list-style-type: none"> <li>Project and Monitoring reports</li> <li>Project staff/ Stakeholder</li> </ul>	<ul style="list-style-type: none"> <li>Review documents,</li> <li>KII</li> </ul>
45. How do project monitored and assessed women's perspectives in their participation, engagement, affect and benefit sharing mechanism? (assessment study, consultation workshop, GESI audit, review meeting, etc.)	<ul style="list-style-type: none"> <li>Gender issues identified and informed in project planning and implementation (men, women and others)</li> </ul>	<ul style="list-style-type: none"> <li>Project and Monitoring reports</li> <li>Project staff</li> <li>Local stakeholder</li> </ul>	<ul style="list-style-type: none"> <li>Review documents,</li> <li>KII, FGD</li> </ul>
46. What real changes in gender equality did the project contributed to? (Access to Changes in access to/control of resources, access to information, decision making power, influence, division of labor, workload, income generation, social status, membership in organizations)	<ul style="list-style-type: none"> <li>Changes in the lives of women- participation, leadership and decision making</li> </ul>	<ul style="list-style-type: none"> <li>Project progress reports</li> <li>Project staff/ community/ targeted vulnerable women</li> </ul>	<ul style="list-style-type: none"> <li>Review documents</li> <li>KII, FDG</li> </ul>

Evaluation Category and Questions	Indicators	Data Sources	Methodology
47. To what extent did the project contribute to gender equality and women's empowerment?	Enabling environment for women in participation and decision making	<ul style="list-style-type: none"> <li>• Project progress reports</li> <li>• Project staff/ community/ targeted vulnerable women</li> </ul>	<ul style="list-style-type: none"> <li>• Review documents</li> <li>• KII, FDG</li> </ul>
48. To what extent and in what ways did the project's gender results advance or contribute to the project's biodiversity outcomes?	# of women engaged/participated in the project	<ul style="list-style-type: none"> <li>• Project progress reports</li> <li>• Project staff/ Stakeholder</li> </ul>	<ul style="list-style-type: none"> <li>• Review documents</li> <li>• KII, FDG</li> </ul>
<b>CROSS-CUTTING ISSUES – SOCIAL INCLUSION</b>			
49. How well inclusion aspects and social diversity issues are reflected in developing climate resilient livelihoods in vulnerable watershed management?	<ul style="list-style-type: none"> <li>• Integration of social inclusion in project designing, planning, implementation and monitoring</li> </ul>	<ul style="list-style-type: none"> <li>• Relevant document</li> <li>• Annual progress and monitoring reports</li> <li>• Training report and others</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• KII</li> <li>• FGD</li> </ul>
50. To what extent have disadvantage and marginal social groups such as Dalits, Janajati, persons with disabilities (Women, Men, others), and other vulnerable groups benefited from the project's work, and with what impact?	<ul style="list-style-type: none"> <li>• Disaggregated database on benefits and impact for Dalits, Janjatis, persons with disabilities, and other vulnerable groups</li> </ul>	<ul style="list-style-type: none"> <li>• Relevant policies</li> <li>• Annual progress reports</li> <li>• Training report and others</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• KII</li> <li>• FGD</li> </ul>
51. To what extent have projects integrated the inclusion aspects in the (i) design, (ii) implementation, and (iii) monitoring of the project? (e.g. participation and collection of disaggregated data, etc.)?	<ul style="list-style-type: none"> <li>• Disaggregated database in project design, implementation, and monitoring, including efficient resource utilization.</li> </ul>	<ul style="list-style-type: none"> <li>• Relevant policies and project document</li> <li>• Annual progress reports</li> <li>• Training report and others</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• KII</li> <li>• FGD</li> </ul>
<b>CROSS-CUTTING ISSUES – CLIMATE CHANGE</b>			

Evaluation Category and Questions	Indicators	Data Sources	Methodology
52. Has the DCRL project adequately addressed the issues of a changing climate in design, implementation, and outputs of the project activities?	<ul style="list-style-type: none"> <li>• implementation/outputs informed by climate change scenarios</li> </ul>	<ul style="list-style-type: none"> <li>• ProDoc</li> <li>• Annual Progress Reports</li> <li>• UNDP &amp; Project staff</li> <li>• Government stakeholders</li> <li>• Local stakeholders (LGs)</li> <li>• Beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• KII &amp; FGD</li> </ul>
53. Has the DCRL project resulted in environmental impacts that may jeopardize the sustainability of project outputs, and possibly led to a negative impact on project beneficiaries?	<ul style="list-style-type: none"> <li>• environmental risk analysis</li> <li>• documentation of environmental impacts</li> </ul>	<ul style="list-style-type: none"> <li>• ProDoc</li> <li>• Annual Progress Reports</li> <li>• UNDP staff</li> <li>• Project staff</li> <li>• Government stakeholders</li> <li>• Beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• KII &amp; FGD</li> </ul>

### Annex 3. Outline of Field Mission Completed

Date	Time	Location	Activity
August 26, 2024	11:00	Kathmandu	Meeting with PMU officials
	15:30	Kathmandu	Meeting with UNDP officials
August 27, 2024	10:00	Kathmandu	Meeting with NPD and DG of Department of Forests and Soil Conservation
	12:00	Kathmandu	Meeting with the Joint Secretary, Planning Monitoring and Coordination Division, MoFE
	13:00	Kathmandu	Meeting with Chief Climate Change Division, MoFE
	14:00	Kathmandu	Meeting with Soil Conservation Officer, GESI Focal Point
	15:00	Kathmandu	Meeting with SWMO, Okhaldhunga in Kathmandu
	17:00	Kathmandu	Meeting with Center for Water Resources Studies, Institute of Engineering
August 28, 2024	9:00	Kathmandu-Okhaldhunga	Enroute to Okhaldhunga
	16:30	Okhaldhunga	Meeting with PIU officials
August 29, 2024	9:00	Siddhicharan 2; Okhaldhunga	Group meeting and observation of activities in Baniyachhap, Siddhicharan 2
	10:30	Siddhicharan 1; Okhaldhunga	Group meeting and observation of activities in Tin Piple, Taluwa, Siddhicharan 1; and meeting with Ward Chairperson
	11:30	Siddhicharan 1; Okhaldhunga	Group meeting with farmers and observation of activities at Ahalae, Taluwa, Siddhicharan 1
	15:00	Siddhicharan 1; Okhaldhunga	Group meeting with farmers and observation of activities in Nalsu, Siddhicharan 1
	17:00	Siddhicharan 1; Okhaldhunga	Group meeting with farmers at Mulghat, Siddhicharan 1
	17:00	Manebhanjyang	Group meeting with farmers and observation of activities in Moli, Manebhanjyang, meeting with Ward Chairperson
August 30, 2024	8:30	Okhadhugna Siddhicharan	Group meeting with DFO officials
	10:00	Chisankhugadhi 6, Okhaldhunga	Group meeting and observation of activities at Bhadaure, Hulak danda, Chisankhugadhi 6, meeting with Ward Chairperson
	12:00	Chisankhugadhi 6, Okhaldhunga	Observation of conservation farming in Mugachhap
	13:30	Chisankhugadhi, Okhaldhunga	Group meeting with farmers at Musni Tol, Bhadaure, Chisankhugadhi 6
	16:00	Rawabesi, Khotang	Group meeting with farmers of Majhigaun Rawabesi 3

Date	Time	Location	Activity
August 31, 2024	8:30	Siddhicharan, Okhaldhunga	Observation of vegetable trading in local weekly market
	11:00	Siddhicharan, Okhaldhunga	Meeting with Deputy Mayor of Siddhicharan Municipality
	13:15	Manebhanjyang	Group meeting with farmers and observation of activities at Dhimile, Manbhanjyang 5
	16:30	Siddhicharan	Meeting with PIU officials
Sept 1, 2024	7:30	Okhaldhunga-Kathmandu	Travel back to Kathmandu
Sept 2, 2024	11:00	Kathmandu	Meeting with Consultant for preparation of exit strategy
	12:00	Kathmandu	Meeting with ECARDS Nepal
	16:00	Kathmandu	Meeting with ARR UNDP
Sept 3, 2024	9:00	Kathmandu	Meeting with the Chairperson of Kepilashgadhi Rural Municipality, Khotang
	15:00	Kathmandu	Meeting with Portfolio Manager, UNDP
Sept 4, 2024	15:30	Kathmandu	Meeting with GESI Analyst, UNDP
Sept 5, 2024	10:00	Kathmandu	Meeting with PMU
Sept 6, 2024	14:30	Kathmandu	Debriefing meeting, UNDP

## Annex 4. List of Documents Reviewed

- Final signed UNDP-GEF Project Document with all annexes
- Local Project Appraisal Committee (LPAC) Meeting minutes
- UNDP Social and Environmental Screening Procedure (SESP) (ProDoc Annex E)
- Inception Workshop Reports (October 2021)
- Annual Work Plans (2021, 2022, 2023, 2024)
- Annual Progress Reports (2021, 2022, 2023)
- Project Implementation Reports (2022, 2023, 2024 draft)
- Mid-Term Review report and Management Response to MTR recommendations
- Field Visit Monitoring reports
- Third Party Monitoring reports
- Review of Project Preparation Grant (PPG) Stage Baseline and Establish a Baseline for Project Area to Guide the Project Planning and Implementation (2022)
- Mapping of NRM Institutions in Lower Dudhkoshi Watershed (no date)
- Social and Environmental Screening Process (SESP) reports completed for project activities, including catchment ponds, conservation farming, contour trenches, hydro-met station, met station, plantations, solar water lifting, source protection and water holes.
- Environmental and Social Management Plans (ESMP) completed for project activities, including solar water lifting schemes and hydro-met stations.
- Integrated Watershed Management Program Gender Equality and Social Inclusion Mainstreaming Guidance (2022)
- Progress Against Gender Action Plan (June 2024)
- Minutes of Project Executive Board (PEB) meetings minutes (1<sup>st</sup> meeting 23<sup>rd</sup> December 2020 to 12<sup>th</sup> meeting 2<sup>nd</sup> April, 2024)
- Technical Working Group meeting minutes (1<sup>st</sup> meeting 23<sup>rd</sup> March 2022 to 3<sup>rd</sup> meeting 28<sup>th</sup> April, 2023)
- Audit reports 2021, 2022, 2023
- GEF Tracking Tools - GEF/LDCF/SCCF Core Indicators
- Documentation of co-financing
- Letters of Agreement (LoA) with implementing partners; Division Forest Office (DFO), Soil and Watershed Management Office (SWMO), Basin Management Centre (BMC)
- PMU contract tracker of organizations, contract amount, and start/end dates
- Audit reports
- Institutional Capacity Assessment and Capacity Development Plan for IWM (December 2022)
- Multi Hazard Vulnerability and Risk Assessment (MHVR) in Lower Dudhkoshi Watershed Training Manual (2022)
- Multi Hazard Vulnerability and Risk Assessment (MHVR) in Lower Dudhkoshi Watershed (2023)
- Preparation of Potential Intervention Plan of Conservation Farming and Livelihood Options for the Project Area in Lower Dudh Koshi Watershed (December 2023)
- A Report on Intervention Plan of Conservation Farming and Livelihood Options for the Project Area in Lower Dudh Koshi Watershed (January 2023)
- Climate Responsive Integrated Watershed Management Plans for Lower Dudhkoshi and Molung Watersheds Final Draft: Chisankhugadhi Rural Municipality (September 2023) (eight IWM Plans in total, one for each project palika)
- palika IWM Directives for eight palikas
- Provincial IWM Policy (directive)
- Project communications materials – brochure, highlights reports, hoarding boards, gender action plan factsheet, and infographics sheet.
- Project website <https://dcrl.dofsc.gov.np/>
- UNDP Country Programme Document (CPD)

- DCRL Project Extension request
- National Climate Change Policy (2019)
- Soil and Watershed Management Act (1982)
- Water Resources Strategy (2002)
- Forest Policy (2018), Forest Strategy (2016-2025)
- Disaster Risk Reduction (DRR) and Management Act (2017)
- National Biodiversity Strategy and Action Plan (2014-2020)
- Local Government Operation Act 2074 (2017)
- Local Level Disaster Risk Management Planning Guideline 2068
- National Disaster Risk Reduction Policy 2075 (2018)
- National Disaster Risk Reduction Strategic Action Plan 2018-2030 (2018)
- Nepal Government's Fifteenth Plan (Fiscal Year 2019/20 – 2023/24) and Sixteen plan (fiscal year 2024/25 to 2029/30)



## Annex 5. Pledge of Ethical Conduct in Evaluation

### Pledge of Ethical Conduct in Evaluation

#### Evaluators/Consultants:

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

### Evaluation Consultant Agreement Form

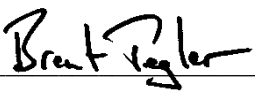
Agreement to abide by the Code of Conduct for Evaluation in the UN System:

Name of Consultant: **Brent Tegler**

Name of Consultancy Organization (where relevant): ***Terminal Evaluation of Developing Climate Resilient livelihoods in the Vulnerable Watershed in Nepal (DCRL)***

**I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.**

Signed at **Fergus, Canada** (Place) on **12<sup>th</sup> July, 2024** (Date)

Signature: 

**Evaluators/Consultants:**

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
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9. Must confirm that they have not been involved in designing, executing or advising on the project being evaluated.

**Evaluation Consultant Agreement Form**

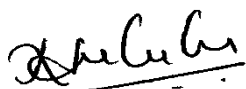
Agreement to abide by the Code of Conduct for Evaluation in the UN System:

Name of Consultant: Nigma Tamrakar

Name of Consultancy Organization (where relevant): *Terminal Evaluation of Developing Climate Resilient livelihoods in the Vulnerable Watershed in Nepal (DCRL)*

**I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.**

Signed at Kathmandu, Nepal (Place) on 12<sup>th</sup> July, 2024 (Date)



Signature: \_\_\_\_\_

**Evaluators/Consultants:**

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

**Evaluation Consultant Agreement Form**

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

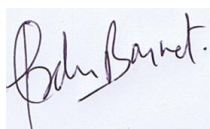
Name of Consultant: **Gobinda Bahadur Basnet**

Name of Consultancy Organization (where relevant): ***Terminal Evaluation of Developing Climate Resilient livelihoods in the Vulnerable Watershed in Nepal (DCRL)***

**I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.**

Signed at **Kathmandu, Nepal** (Place) on **12<sup>th</sup> July, 2024** (Date)

Signature: \_\_\_\_\_



## Annex 6. List of Stakeholders Consulted

For stakeholder Interviews the general line of questioning was as follows:

- How long have you been involved with DCRL project? (an important question to begin the interview this provides knowledge of the depth of understanding that might be expected and for UDNP, the PMU and the PIU it provides an understanding of staff turnover)
- What was your role in the DCRL project? (to understand how they may have interacted with other project stakeholders and their level of influence on project implementation and sustainability of project results)
- What DCRL project activities did you participate in, when did they take place, and were they implemented and completed as planned? (to determine effectiveness and efficiency of project activities)
- How were DCRL project activities relevant to you? (leading to a discussion of CC, its impact and needs and methods to mitigate/adapt to CC)
- How were issues of gender equality, Persons with Disability (PWD), and marginalized and/or distinct cultural groups incorporated in the design, implementation and monitoring of project activities? (to assess both the level of their knowledge of gender and human rights issues and importantly how well these issues were incorporated into the DCRL project)

Is the required capacity (staff, financial resources, tools) available to sustain project activities when the DCRL project ends? Have any DCRL project activities been replicated and scaled-up? (this is to assess financial, social, institutional and environmental sustainability of DCRL outputs).

### Government Stakeholders

Sn	Name of the people	Position	Sex
<b>National Government</b>			
1	Shiv Kumar Wagle	Director General DoFSC	M
2	Ganesh Paudel	NPD Joint Secretary MoFE / PEB member	M
2	Raju Sapkota	Under Secretary MoFE / PEB member	M
3	Badri Raj Dhungana	JS MoFE, Planning, Monitoring and coordination division	M
4	Indira Mulepati	Soil conservation officer (GESI focal person)	F
<b>Provincial Government</b>			
1	Top Bahadur Shrestha	SWMO	M
2	Ritesh Bhushan Banet	Act. DFO	M
3	Ram Hajur Thapa	Forest Officer	M
4	Satya Narayan Manda	Forest Officer	M
5	Pramesh Adhikari	Forest Officer	M
6	Krishna Dev yada	Forest officer, Planning division	M
7	Santosh Lamsal	Forest officer	M
<b>Local Government</b>			
1	Kedar Babu Basnet	Deputy Mayor, Siddhicharan M	M
2	Bal Ram Katuwal	Ward Chairperson, Chisankhugadhi 6	M
3	Raj Kumar Rumdali	Ward Chairperson, Manbhanjyang 1	M
4	Tirtha Ghimire	Ward Chairperson, Siddhicharan 1	M

## UNDP

Sn	Name of the people	Position	Sex
1	Pragyajan Yalamber Rai	Portfolio Manager, Resilience and env portfolio	M
2	Vijaya Singh	Assistant Resident Representative	M
3	Bipana Dhimal	Policy Analyst (GESI)	F
4	Vijayata Shrestha	Portfolio Associate, Resilience and environment portfolio	F
5	Dinesh Bista	PQ and RBM Analyst	M
6	Asmita Tiwari	Intern	F

## PMU/PIU

Sn	Name of the people	Position	Sex
PMU			
1	Prem Paudel	NPM/DCRL	M
2	Binay Kumar Jha	Senior Technical Advisor	M
3	Rabina Rai	Monitoring, Evaluation, Reporting, and Communication Officer	F
4	Diwash Neupane	Adm/Fin	M
PIU			
5	Dinesh Kumar Shah	Field Coordinator	M
6	Shekhar Babu Thokar	PO-SCWM	M
7	Surya Prakash Poudel	PO-Livelihood	M
8	Manish Kumar Jarga Magar	GESI and Monitoring officer	M

## Private Consultants, Research Institutes and NGOs

Sn	Name of the people	Position	Sex
Private Consultants			
1	Dr. Dhruva Gautam	Consultant, DCRL	M
2	Shekhar Devkota	Consultant, DCRL	M
University Research Institutes			
3	Vishnu Prasad Pandey	Research lead/ contractor, IOE	M
NGOs			
4	Arjun Chapagain	PO, ECARDS-Nepal	M
5	Bhola Siwakoti	BM, ECARDS-Nepal	M
6	Sushma Basnet	Field officer ECARDS-Nepal - Agri, Okhaldunga District	F
7	Devendra Lama	Coordinator, Sahas Nepal	M

## Community Beneficiaries

Sn	Name of the people	Position	Sex
August 29, 2024; Siddhicharan 1; FGD with Tiniple Krishak Group (women only)			
1	Tulasha Pariyar	Member	F
2	Kumari Pariyar	Member	F
3	Sabita Pariyar	Member	F
4	Sarmila Pariyar	Member	F
5	Tara Pariyar	Treasurer	F
6	Asmita pariyyar	Member	F
7	Phul kumara Pariyar	Member	F
8	Rajani Pariyar	Member	F

Sn	Name of the people	Position	Sex
August 29; Siddhicharan 1; FGD with Udhemsil bahu udheshya Krishak Group, Ganesh sthan (women only)			
9	Bimal Shrestha	Member	F
10	Sita Pokhrel	Member	F
11	Tara Thapa Magar	Member	F
12	Man Kumari Shresha	Member	F
13	Elina Shrestha	Member	F
14	Man Kumari BK	Member	F
15	Mahina BK	Member	F
16	Ganga Kumari Niraula	Member	F
17	Uma Niraula	Member	F
18	Roma Niraula	Member	F
19	Padma Kumari Ghimire	Member	F
August 29, 2024; Siddhicharan 1; FGD with Mulghat Krishak Group			
20	Shankar Bhujel	Member	M
21	Gyan Kumar Shrestha	Member	M
22	Netra Bahadur Ghimire	Member	M
23	Uttar Kumar ghimire	Member	M
24	Chanchali Maya Majhi	Member	F
25	Ranjana Shrestha	Member	F
26	Sabina Shrestha	Member	F
27	Sarmila Majhi	Member	F
28	Durga Bahadur Majhi	Member	M
29	Diple majhi	Member	M
30	Kumari Majhi	Member	F
31	Uma Majhi	Member	F
32	Uma Majhi	Member	F
33	Min Bahadur Shrestha	Member	M
34	Khadga Bahadur Shrestha	Chairperson	M
35	Apsara Majhi	Treasurer	F
August 29; Baniyachhap, Siddhicharan 2; FGD with Baniyachhap Krishi तथा Pashupanchhi Farmers Group			
36	Kumar Bahadur Basnet	Chairperson	M
37	Mahesh Kumar Katuwal	Secretary	M
38	Chamba Bahadur Basnet	Member	M
39	Sumitra Karki	Treasurer	F
40	Hom Bahadur Basnet	Member	M
41	Chitra Bahadur Karki	Member	M
42	Ek Bahadur Basnet	Member	M
43	Prem Bahadur Basnet	Member	M
August 29, 2024; Tin Piple, Siddhicharan 1, Taluwa; FGD with Tin Piple Krishak samuha			
44	Kumar Pariyar	Chairperson	M
45	Marich Pariyar	Member	M
46	Khadka Bahadur Katuwal	Member	M
August 29, 2024; Ahale, Siddhicharan 1, Taluwa; FGD with Uddhyamshil Bahuuddeshya Krishak samuha			
47	Narayan Shrestha	Secretary	M
48	Manoj Kumar Shrestha	Chairperson	M
49	Min Kumar Shrestha	Member	M
50	Shyam Kumar Shrestha	Member	M
51	Dev Raj Thapa	Member	M
52	Min Kaji Ale Magar	Member	M
53	Shyam Magar	Member	M
54	Narayan Shrestha	Member	M
55	Bal Bahadur Shrestha	Member	M
56	Ramji Ale	Member	M
August 29, 2024; Nalsu, Siddhicharan 1; FGD with Namuna Mahila Krishak Samuha			
57	Uma BK	Chairperson	F
58	Sita Kumari Thapa		F
59	Til Maya Thapa		F

Sn	Name of the people	Position	Sex
60	Dhan Maya Thapa		F
61	Mangal Kumar Thapa		M
62	Sun Maya Magar		F
63	Prakriti Thapa Magar	ECARDS, Nepal	F
64	Bishnu Bahadur Thapa		M
August 29, 2024; Moli, Manebhnjyang ; FGD with Moli Pashupankshi Krishak Samuha			
65	Ranjita Rai	Treasurer	F
66	Deep Raj Rai	Member	M
67	Raj Kumar Rumdali	Ward	M
August 30, Chisankhugadhi 6 Bhadaure Indra Siddha Group			
68	Subhash Kumar Khatiwada	Chairperson	M
69	Lal Kumar Ale	Mason/Member	M
70	Sobhit Man Thapa Magar	Member	M
71	Ratna Bahadur Rana Magar	Member	M
72	Man Bahadur Thapa	Vice Chairperson	M
73	Bel Bahadur Thapa	Member	M
74	Tirtha Bahadur Thapa	Member	M
75	Binod Kumar Ale	Member	M
76	Rajan Karki	Member	M
77	Indra Kumar karki	Member	M
78	Tilak BK	Member	M
79	Durga Bahadur Thapa	Member	M
80	Pushpa Raj Karki	Mason	M
81	Purna Bahadur Thapa	Member	M
82	Guna Bahadur Thapa	Member	M
83	Tek Kumari Thapa	Member	F
84	Dinu Kumari Thapa	Member	F
85	Bimala Ale Magar	Member	F
86	Dilli Maya Ale Magar	Member	F
87	Beli Kumari Thapa	Member	F
August 30, Chisankhugadhi 6 Bhadaure, Musni Tol , Hariyali Krishak Samuha			
88	Raman Ale Magar		M
89	Ek Bahadur Ale Magar		M
90	Top Bahadur Ale Magar		M
91	Purna Bahadur Ale Magar		M
92	Man Bahadur Ale Magar		M
93	Dil Kumar Ale Magar		M
94	Bir Ram Ale Magar		M
95	Kanak Bahadur Rana Magar		M
96	Jit Bahadur Ale Magar		M
97	Dev Bahadur Ale Magar		M
98	Bhim Bahadur Ale Magar		M
99	Harka Bahadur Ale Magar		M
100	Ram Bahadur Ale Magar		M
101	Dil Bahadur Ale Magar		M
102	Juddha Bahadur Ale Magar		M
103	Thanna Bahadur Ale Magar		M
104	Gol Bahadur Ale Magar		M
August 30, Chisankhugadhi 6 Bhadaure, Pokhari Tole , Krishak Samuha (Female only)			
105	Jamuna Ale Magar	Member	F
106	Keshari Maya Thapa	Member	F
107	Nirmaya Ale Magar	Member	F
108	Sumitra Ale Magar	Member	F
109	Bimala Ale Magar	Member	F
110	Asmita Ale Magar	Member	F
111	Tika Kumari Ale Magar	Member	F
112	Maya Thapa Magar	Member	F



Sn	Name of the people	Position	Sex
113	Indra Maya Ale Magar	Member	F
114	Bhumika Rana Magar	Member	F
115	Nirmala Rana Magar	Member	F
116	Sita Ale Magar	Member	F
117	Nir Maya Ale Magar	Member	F
August 30, Rawabesi 3, Majhi gaun			
118	Rohit Kuma Majhi	Member	M
119	Shyam Majhi	Chairperson	M
120	Sunita Majhi	Member	F
121	Dipa Kumari Majhi	Member	F
122	Mishra Majhi	Treasurer	F
123	Nabin Shrestha	Member	M
124	Shyam Bahadur Shrestha	Member	M
125	Bikram Majhi	member	M
August 31, Manbhanjyang-5, Dhimile, Sunwala Kishi tatha pasu panchhi Samuha			
126	Som Bahadur Shrestha	Chairperson	M
127	Milan Ale Magar	Supervisor	M
128	Tika Bahadur Shrestha	Member	M
129	Lok Bahadur Shrestha	Member	M
130	Ram Bahadur Thapa Magar	Member	M
131	Ran Bahadur Thapa Magar	Member	M

## Annex 7. SMART Review of Project Results Framework Indicators

**Table 7.1** SMART (Specific, Measurable, Achievable, Relevant, and Time-bound) Review of Project Results Framework Indicators

Project Objective / Outcome Indicators	End of Project target	TE Review					TE Review Comments
		S	M	A	R	T	
<b>Project Objective:</b> To safeguard vulnerable communities and their physical and economic assets from climate change induced disasters							
1. Number of municipalities with data-informed climate responsive policies, plans and institutions in place to reduce the physical and economic losses from climate induced disasters and strengthen social cohesion (Strategic Plan Output Indicator 2.3.1.2).	<ul style="list-style-type: none"> <li>8 data-informed climate responsive local level plans</li> <li>8 inter-disciplinary coordination mechanisms at the local level</li> </ul>						<ul style="list-style-type: none"> <li>The indicator targets could have been enhanced by requiring demonstrated implementation of local level plans and the initiation of regular meetings of an interdisciplinary coordination mechanism to validate effective achievement of the project objective.</li> </ul>
2. # direct project beneficiaries	<ul style="list-style-type: none"> <li>121,606 (56, 182 men, 65, 424 women)</li> </ul>						<ul style="list-style-type: none"> <li>The end of project target represents to total population of the eight project palika.</li> <li>Achieving direct benefits for the entire population cannot be achieved within the timeframe of the project and will be dependent on the ability of palika to coordinate and implement interdisciplinary IWM following project closure.</li> </ul>

Project Objective / Outcome Indicators	End of Project target	TE Review					TE Review Comments
		S	M	A	R	T	
<b>Outcome 1.</b> Integrated watershed management framework has been established to address climate change induced floods and droughts.							
3. Number of policies, guidelines and plans developed and strengthened to identify and integrate climate change adaptation strategies and measures.	<ul style="list-style-type: none"> <li>6 policies, guidelines and tools developed               <ol style="list-style-type: none"> <li>National policy on watershed management.</li> <li>Revised harmonized climate-risk based sub-watershed vulnerability assessment, prioritization guidelines;</li> <li>Guidelines for gender mainstreaming in IWM,</li> <li>SoP's for maintenance of watershed management systems established;</li> <li>Revised guidelines for infrastructure</li> <li>Revised SCWM program</li> </ol> </li> </ul>						<ul style="list-style-type: none"> <li>The creation of policies, guidelines and tools will only be effective in achieving Outcome 1 if relevant government partners have the capacity (staff with technical qualifications and sufficient budgets) to lead and implement IWM actions.</li> </ul>
4. Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes. (Multi-institutional IWM coordination platforms established at central, provincial and local levels)	<ul style="list-style-type: none"> <li>At least 6 Multi-institutional IWM coordination platforms established at central, provincial and local levels</li> <li>2 hydrological stations, 5 meteorological stations and 2 drones purchased and installed</li> </ul>						<ul style="list-style-type: none"> <li>This indicator could have been enhanced by requiring demonstrated actions, such as, meeting minutes from at least three meetings.</li> <li>The demonstrated use and dissemination of hydrological and meteorological data would could have enhanced this indicator.</li> </ul>
<b>Outcome 2.</b> Integrated watershed management practices introduced and scaled up in 1 watershed covering 844 km <sup>2</sup> of watershed areas and benefiting 121,606 vulnerable people.							

Project Objective / Outcome Indicators	End of Project target	TE Review					TE Review Comments
		S	M	A	R	T	
5. Types and extent of assets strengthened and/or better managed to withstand the effects of climate change	<ul style="list-style-type: none"> <li>• Construction of 80 catchment ponds</li> <li>• Design and Construction of 50 km of contour trench</li> <li>• Construction of 25 Water holes</li> <li>• Protection of 700 water sources</li> </ul>						<ul style="list-style-type: none"> <li>• The indicator includes four targets, while each is specific, failure to achieve any one target will mean partial failure of indicator target</li> <li>• The MTR determined two of the four targets were not achievable and revised these as follows: <ul style="list-style-type: none"> <li>○ 50 km of contour trench changed to 40 km due to insufficient land available in project area</li> <li>○ 700 water holes changes to 600 due to increase cost of materials and labour</li> </ul> </li> </ul>

Project Objective / Outcome Indicators	End of Project target	TE Review					TE Review Comments
		S	M	A	R	T	
6. Extent of adoption of climate-resilient technologies/practices	<ul style="list-style-type: none"> <li>• Conservation farming adopted on 37.63% of all agricultural land) 3,763 ha</li> <li>• Establishment of water use/reuse system (Rainwater harvesting, household roof to root water harvesting) on 1,000 ha</li> <li>• Drought resistant crop variety promoted on 10% of drought affected land (20,000 ha).</li> <li>• At least 1250 farmers trained on conservation farming and agroforestry</li> <li>• Support farmers with gender friendly, labor efficient agriculture tools, provided to 125 groups (1 group=10 HH)</li> <li>• Promote traditional watershed friendly practices (Specifically for Majhi community multi-purpose water ponds including fish farms), in 10 communities</li> <li>• Cultivation of drought tolerant NTFP species (zanthoxylum, cinnamon, Daphne). Shrubland will be provided to the poor on long term lease to practice agro-silvipastoral system, on 375ha</li> <li>• 10 persons trained in construct fuel efficient stoves</li> <li>• Fuel efficient stoves provided to 2500 households</li> <li>• 800 NRM groups strengthened</li> <li>• 8 Networks of NRM groups established</li> <li>• 150 NRM groups operational plans revised</li> <li>• Support to 30 cooperatives for implementation of PES</li> </ul>						<ul style="list-style-type: none"> <li>• The indicator includes 13 targets, while each is specific, failure to achieve any one target will mean partial failure of indicator target</li> <li>• The MTR determined four of the 13 targets were not achievable largely due to increased costs. Targets revised as follows: <ul style="list-style-type: none"> <li>○ 3,763 ha of conservation farming changed to 2,500 ha</li> <li>○ 1,000 ha of water use for agriculture changed to 600 ha</li> <li>○ 375 ha of drought tolerant NTFP cultivation changed to 200 ha</li> <li>○ 2,500 HH receiving fuel efficient stoves changed to 1,250 HH</li> </ul> </li> <li>• The MTR removed the following two indicators: <ul style="list-style-type: none"> <li>○ Drought resistant crop variety promoted on drought affected land – 20,000 ha. No budget allocated for this activity. This target overlaps with other targets, including conservation farming, water use/reuse, and drought tolerant NTFPs</li> <li>○ Support to 30 cooperatives for PES removed as it was determined this could not be achieved in the time frame of the project</li> </ul> </li> </ul>

## Annex 8. Terminal Evaluation of Project Results Framework Indicator Target Achievement

**Table 8.1.** Terminal evaluation of Project Results Framework Indicator Target Achievement (TE assessment rating reflects data available at the time of TE with projections for completion based on discussion with PMU and PIU) [target achieved; target likely to be fully achieved by end of project; target likely to be partially (>50%) achieved by end of project, target not likely to be achieved (<50%) by end of project]

Project Objective/ Outcome Indicators	Baseline	End of Project Target	TE Assessment	Rating	Justification for Rating
<b>Project Objective:</b> To safeguard vulnerable communities and their physical and economic assets from climate change induced disasters					
1. Number of municipalities with data- informed climate responsive policies, plans and institutions in place to reduce the physical and economic losses from climate induced disasters and strengthen social cohesion (Strategic Plan Output Indicator 2.3.1.2).	<ul style="list-style-type: none"> <li>0</li> </ul>	<ul style="list-style-type: none"> <li>8 data-informed climate responsive local level plans</li> <li>8 inter-disciplinary coordination mechanisms at the local level</li> </ul>	<ul style="list-style-type: none"> <li>IWM plans prepared for each of 8 project palika</li> <li>Inter-disciplinary coordination mechanisms at the local level created through committee defined in palika Directive</li> </ul>		<ul style="list-style-type: none"> <li>comprehensive IWM plans written in English contain critically important information to inform IWM</li> <li>unfortunately, palika staff and ward chairs will find it difficult to utilize information in IWM</li> <li>PMU has confirmed palika inter-disciplinary coordination committee (Mayor, Deputy Mayor, Financial Officer, DCC, BMC, DFO, SWMO, Agriculture Research Centre, DRR representative and one additional expert) has been created with meetings at least three times per year and will include discussion of annual budget planning</li> </ul>

Project Objective/ Outcome Indicators	Baseline	End of Project Target	TE Assessment	Rating	Justification for Rating
2. # direct project beneficiaries	<ul style="list-style-type: none"> <li>• 0</li> </ul>	<ul style="list-style-type: none"> <li>• 121,606 (56, 182 men, 65, 424 women)</li> </ul>	<ul style="list-style-type: none"> <li>• 125,132               <ul style="list-style-type: none"> <li>○ F=63,028</li> <li>○ M=62,104</li> </ul> </li> </ul>		<ul style="list-style-type: none"> <li>•</li> </ul>
<b>Outcome 1.</b> Integrated watershed management framework has been established to address climate change induced floods and droughts.					



Project Objective/ Outcome Indicators	Baseline	End of Project Target	TE Assessment	Rating	Justification for Rating
<p>3. Number of policies, guidelines and plans developed and strengthened to identify and integrate climate change adaptation strategies and measures.</p>	<ul style="list-style-type: none"> <li>• 0</li> </ul>	<ul style="list-style-type: none"> <li>• 6 policies, guidelines and tools developed               <ol style="list-style-type: none"> <li>1. National policy on watershed management;</li> <li>2. Revised harmonized climate-risk based sub-watershed vulnerability assessment, prioritization guidelines;</li> <li>3. Guidelines for gender mainstreaming in IWM</li> <li>4. SoP's for maintenance of watershed management systems established;</li> <li>5. Revised guidelines for infrastructure</li> <li>6. Revised SCWM program</li> </ol> </li> </ul>	<ul style="list-style-type: none"> <li>• 4 policies, guidelines and tools completed, 2 under development, Ministry level approval is likely required for 5               <ol style="list-style-type: none"> <li>1. Completed Watershed Management Implementation Guideline to operationalize existing River Basin Strategy</li> <li>2. Complete – awaiting Ministry level approval</li> <li>3. Complete – awaiting final endorsement and Ministry level approval</li> <li>4. Complete - approved</li> <li>5. TOR developed to hire consultant for revision/update of guidelines for infrastructure</li> <li>6. Draft completed under review, DoFSC will endorse, may require Ministry level approval</li> </ol> </li> </ul>		<ul style="list-style-type: none"> <li>• Project extension will ensure completion of remaining 2 guidelines</li> <li>• While Ministry approval may not be complete, the government has shown a strong commitment to IWM</li> </ul>

Project Objective/ Outcome Indicators	Baseline	End of Project Target	TE Assessment	Rating	Justification for Rating
4. Institutional arrangements to lead, coordinate and support the integration of climate change adaptation into relevant policies, plans and associated processes. (Multi-institutional IWM coordination platforms established at central, provincial and local levels)	<ul style="list-style-type: none"> <li>No cross-institutional platforms for IWM</li> <li>Missing or incomplete policies, guidelines on IWM</li> <li>Insufficient hydrometric equipment to monitor climate variables in the target watersheds</li> </ul>	<ul style="list-style-type: none"> <li>At least 6 Multi-institutional IWM coordination platforms established at central, provincial and local levels</li> <li>2 hydrological stations</li> <li>5 meteorological stations</li> <li>2 drones purchased and installed</li> </ul>	<ul style="list-style-type: none"> <li>10 multi-institutional IWM coordination platforms established, 1 central, 1 provincial, 8 local level</li> <li>2 hydrological stations completed</li> <li>5 meteorological stations completed</li> <li>1 drone purchased</li> </ul>		<ul style="list-style-type: none"> <li>At central level committee defined by River Basin Strategy, at provincial level committee defined a draft directive awaiting endorsement, at local level committee defined by approved palika directives</li> <li>Drone technology developed &amp; demonstrated. Due to legal and operational challenges a second drone not purchased</li> </ul>
<b>Outcome 2.</b> Integrated watershed management practices introduced and scaled up in 1 watershed covering 844 km <sup>2</sup> of watershed areas and benefiting 121,606 vulnerable people.					
5. Types and extent of assets strengthened and/or better managed to withstand the effects of climate change	<ul style="list-style-type: none"> <li>30% of waters sources dried up</li> </ul>	<ul style="list-style-type: none"> <li>Construction of 80 catchment ponds</li> <li>Design and Construction of 50km of contour trench (MTR 40km)</li> <li>Construction of 25 Water holes</li> <li>Protection of 700 water sources (MTR 600)</li> </ul>	<ul style="list-style-type: none"> <li>110 catchment ponds</li> <li>35 km contour trench</li> <li>25 water holes</li> <li>551 water sources</li> </ul>		<ul style="list-style-type: none"> <li>An additional 32 catchment ponds will be constructed in 2024</li> <li>An additional 5 km contour trenches are under construction in 2024</li> <li>An additional 90 sources will be protected in 2024</li> </ul>

Project Objective/ Outcome Indicators	Baseline	End of Project Target	TE Assessment	Rating	Justification for Rating
6. Extent of adoption of climate-resilient technologies/practices	<ul style="list-style-type: none"> <li>• Non-climate resilient land use practices leading to land degradation</li> </ul>	<ul style="list-style-type: none"> <li>• Conservation farming adopted on 37.63% of all agricultural land) 3,763 ha (MTR 2,500 ha)</li> <li>• Establishment of water use/reuse system (Rainwater harvesting, household roof to root water harvesting) on 1,000 ha (MTR 600 ha)</li> <li>• Drought resistant crop variety promoted on 10% of drought affected land (20,000 ha) (MTR removed this target).</li> <li>• At least 1,250 farmers trained on conservation farming and agroforestry</li> <li>• Support farmers with gender friendly, labor efficient agriculture tools, provided to 125 groups (1 group=10 HH)</li> <li>• Promote traditional watershed friendly practices (Specifically for Majhi community multi-purpose water ponds including fish farms), in 10 communities (MTR 20 ponds)</li> </ul>	<ul style="list-style-type: none"> <li>• 1473 ha conservation farming</li> <li>• 569.26 ha land connected with water use and reuse system for irrigation</li> <li>• 0 ha drought resistant crop varieties promoted</li> <li>• 1,013 farmers trained</li> <li>• 99 groups supported with tools</li> <li>• 16 multipurpose ponds constructed</li> <li>• 201 ha NTFP</li> </ul>		<ul style="list-style-type: none"> <li>• An additional 1027 ha of conservation farming planned for 2024</li> <li>• An addition 117.99 ha of irrigation will be supported by rainwater harvesting and water lifting in 2024</li> <li>• Drought resistant crop variety promotion target was dropped following MTR recommendation</li> <li>• An additional 400 farmers to be trained in 2024</li> <li>• An additional 26 groups will be identified in 2024 for supporting with tools</li> <li>• An additional 5 multi-purpose ponds to be constructed in 2024</li> </ul>

Project Objective/ Outcome Indicators	Baseline	End of Project Target	TE Assessment	Rating	Justification for Rating
6. Extent of adoption of climate-resilient technologies/practices	<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• Cultivation of drought tolerant NTFP species (zanthoxylum, cinnamon, Daphne). Shrubland will be provided to the poor on long term lease to practice agro-silvipastoral system, on 375 ha (MTR 200 ha)</li> <li>• 10 persons trained in construct fuel efficient stoves</li> <li>• fuel efficient stoves provided to 2,500 households (MTR 1,250 HH)</li> <li>• 800 NRM groups strengthened</li> <li>• 8 Networks of NRM groups established</li> <li>• 150 NRM groups operational plans revised</li> <li>• Support to 30 cooperatives for implementation of PES (MTR 0 cooperatives)</li> </ul>	<ul style="list-style-type: none"> <li>• 11 persons trained to construct fuel efficient stoves</li> <li>• 225 fuel efficient stoves provided to HH</li> <li>• 681 NRM groups strengthened</li> <li>• 3 networks of NRM groups established</li> <li>• 106 NRM groups operational plans revised</li> <li>• 0 PES coops</li> </ul>		<ul style="list-style-type: none"> <li>• An additional 1,025 fuel efficient stoves are planned to be provided to HH in 2024</li> <li>• An additional 120 NRM groups will be strengthened in 2024</li> <li>• Planned establishment of 5 networks of NRM in 5 project palika planned for 2024</li> <li>• An additional 24 operational plans for NRM groups to be revised in 2024</li> <li>• In lieu of supporting PES coops DCRL has completed: <ul style="list-style-type: none"> <li>○ Review, Analysis and Development of Revised Policy and Institutional Framework for Payment for Ecosystem Services (PES) in Nepal</li> <li>○ A Feasibility Study on PES and Potential Financing Mechanisms for Lower Dudhkoshi Watershed has been finalized.</li> </ul> </li> </ul>

## Annex 9. UNDP Enterprise Risk Management Matrix

Risk Significance low to high based on assessment of impact and likelihood following the UNDP ERM Risk Matrix (source UNDP Enterprise Risk Management (ERM) Guidelines 2019)

UNDP ERM – Risk Matrix						
Impact	5					
	5					
	3					
	2					
	1					
		1	2	3	4	5
	Likelihood					

	High
	Substantial
	Moderate
	Low

## Annex 10. Terminal Evaluation of ProDoc Risk Ratings and SESP Risk Ratings

**Table 10-1 TE Analysis of Risk Ratings and Risk Treatment and Management Measures** (ProDoc and TE colour-coded ratings based on ERM Risk Evaluation Matrix)

Risks Identified in ProDoc	Pro-Doc	TE	ProDoc Risk Treatment and Management Measures	Terminal Evaluation Comments
<b>Risk Category: Political</b>				
<p><b>Risk 1:</b> Failure to consult all relevant stakeholders</p> <p>I: 3 P: 1 Leading to lack of buy-in and failure to agree policy and legislative changes</p>	<b>Low</b>	<b>Low</b>	<ul style="list-style-type: none"> <li>Undertake institutional mapping to identify all relevant stakeholders in government, non-government, community donor and other user groups. Early establishment of inter-institutional coordination platforms and Technical Working Groups and engagement with key stakeholders.</li> <li>Ensure continued engagement through multi layered dialogue of stakeholders throughout the project and embed for future co-working.</li> </ul>	<p><b>Likelihood:</b> <i>Low 2:</i> The project design constituted measures to consult all the relevant stakeholders.</p> <p><b>Impact:</b> <i>Moderate 3:</i> if the relevant stakeholders were not consulted enough, it would have impacted the project adversely.</p> <p><b>Mitigation Measures:</b> Various levels of engagement were carried out with three spheres of governments, community level organizations, and other stakeholders mitigating the risks.</p>
<p><b>Risk 2:</b> Failure to reach agreement on new policy frameworks</p> <p>I: 5 P: 2 Limited (or no) changes to legislation to address current issues will lead to continued lack of standardization and consolidation of IWM efforts</p>	<b>Substantial</b>	<b>Moderate</b>	<ul style="list-style-type: none"> <li>Ensure that the coordination platform and Technical Working Groups include the right composition of stakeholders and is all inclusive to maximise the chance of reaching agreement on new policy framework, Ensure that the</li> <li>Project Board is also inclusive of all key stakeholders.</li> </ul>	<p><b>Likelihood:</b> <i>Moderate 3:</i> The likelihood failure to agree/pass the new policy framework is moderate as the process is rather lengthy.</p> <p><b>Impact:</b> <i>Intermediate 3:</i> if the agreement is not reached or is delayed on passing the IWM policies the impact level will be intermediate as it delays the implementation.</p> <p><b>Mitigation Measures:</b> Representation of diverse group of stakeholders in working groups, decision making/ advisory bodies mitigates the risk.</p>

Risks Identified in ProDoc	Pro-Doc	TE	ProDoc Risk Treatment and Management Measures	Terminal Evaluation Comments
<p><b>Risk 3:</b> Resistance of certain government institutions to introduce IWM policy that may set a number of land use limiting regulations.</p> <p>I: 3 P: 2 Continued inappropriate land use practices leading to degradation of watersheds</p>	<b>Moderate</b>	<b>Moderate</b>	<ul style="list-style-type: none"> <li>• Bottom-up approach to the policy development with active engagement of local population and authorities will enable the project to follow the principles of subsidiarity and participation and help local authorities make decentralised climate compatible development decisions.</li> <li>• Engagement of the municipalities to help develop the IWM policy compatible with their development priorities and vice versa.</li> </ul>	<p><b>Likelihood:</b> <i>Low 2:</i> The likelihood of resistance from government institutions in implementation is low as the they have long promoted watershed management approach though some activities might be new.</p> <p><b>Impact:</b> <i>Intermediate 3:</i> if such resistance were to occur the impact would be of intermediate level</p> <p><b>Mitigation Measures:</b> Promoting ownership and strengthening the capacity of local governments on implementation of IWP policy mitigates the risk</p>
<p><b>Risk 4:</b> Changes in the government structures and functions</p> <p>I:4 P:3 Failure to embed watershed management practices in the right institutions</p>	<b>Substantial</b>	<b>Substantial</b>	<ul style="list-style-type: none"> <li>• Closely monitor emerging federalization situation and keep regularly updated on any developments in this regard; immediately call PEB meeting if necessary</li> </ul>	<p><b>Likelihood:</b> <i>Highly likely 4:</i> with the frequent changes of political alliances in the government formation at the federal and provincial levels, the government official's representation also changed.</p> <p><b>Impact:</b> <i>intermediate 3:</i> the impact of the frequent change of the government on the project implementation is of intermediate level</p> <p><b>Mitigation Measures:</b> Regular update to the officials in the different committees/boards</p>

Risks Identified in ProDoc	Pro-Doc	TE	ProDoc Risk Treatment and Management Measures	Terminal Evaluation Comments
<p><b>Risk 5:</b> inability to engage and coordinate sufficiently divergent groups of stakeholders (as required for effective Watershed management) with different interests and mandates which may preclude consensual decision-making.</p> <p>I:4 P:1 Failure to embed watershed management practices in the right institutions</p>	Low	Low	<ul style="list-style-type: none"> <li>• Identification of appropriate government agencies, implementing partners, project implementation arrangements and utilization of existing coordination mechanisms will be conducive to stakeholder engagement and coordination.</li> </ul>	<p><b>Likelihood:</b> low 2: the likelihood of not coordinating with divergent group of stakeholders was low as the preparatory phase clearly identified stakeholders and developed stakeholder engagement plan.</p> <p><b>Impact:</b> Intermediate 3: if all the diverging stakeholders are not engaged in the watershed management, then the impact will be of intermediate level.</p> <p><b>Mitigation Measures:</b> Developing appropriate implementation arrangements and clear roles mitigates the risk.</p>
<p><b>Risk 6:</b> Typical of all fragile states, risks of political instability and security situation may emerge</p> <p>I: 2 P: 1 Halting of the project implementation progress</p>	Low	Low	<ul style="list-style-type: none"> <li>• Defining project implementation arrangements which enable efficient project implementation in unstable political conditions.</li> <li>• Ensure appropriate budgeting and safety/contingency plans for staff and community workforce security</li> </ul>	<p><b>Likelihood:</b> not likely 1: The likelihood of risk of political instability and security situation is not likely given the post -peace agreement context of the country</p> <p><b>Impact:</b> intermediate 3: if the risks of political instability and security situation were to arise it would have intermediate impact</p> <p><b>Mitigation Measures:</b> National, provincial, and local level elections had some effects in the implementation timing, but the conscious effort for political neutrality mitigates the risks.</p>



Risks Identified in ProDoc	Pro-Doc	TE	ProDoc Risk Treatment and Management Measures	Terminal Evaluation Comments
<p><b>Risk 7:</b> The current local government structures might need to be adjusted as the new local governance set up emerges</p> <p>I:3 P:2 Delay to project implementation. Failure to establish correct coordination mechanisms with the right structures, failure to reach essential decision on WM policy, practice etc.</p>	<b>Moderate</b>	<b>Moderate</b>	<ul style="list-style-type: none"> <li>Seek early confirmation of new local government arrangements.</li> </ul>	<p><b>Likelihood:</b> <i>Moderate 3:</i> The changing of elected officials in the local government increases the likelihood of risk's occurrence.</p> <p><b>Impact:</b> <i>Intermediate 3:</i> the impact of change in local government structure has intermediate level of impact as their comprehensive understanding of the issues and ownership is essential for the success.</p> <p><b>Mitigation Measures:</b> Involvement/ownership of the local governments in developing IWM policies, plans and coordination in implementation mitigates the risk.</p>
<b>Risk Category: Financial</b>				
<p><b>Risk 8:</b> Underestimation of project scope and requirements</p> <p>I: 3 P:1 Additional time and cost to undertake the project</p>	<b>Low</b>	<b>Low</b>	<ul style="list-style-type: none"> <li>Allow sufficient time for good project planning and risk management</li> </ul>	<p><b>Likelihood:</b> <i>not likely 1:</i> The likelihood of underestimation of project scope and requirement was low as a thorough exercise was done during the design phase</p> <p><b>Impact:</b> <i>intermediate 3:</i> if the project scopes were not properly estimated it would have an intermediate level of impact.</p> <p><b>Mitigation Measures:</b> A thorough exercise during the designing and planning mitigates such a risk.</p>

Risks Identified in ProDoc	Pro-Doc	TE	ProDoc Risk Treatment and Management Measures	Terminal Evaluation Comments
<p><b>Risk 9:</b> Lack of incentives for particular local communities to cooperate in activities that do not yield immediate financial benefits, but aim at longer- term resilience, may reduce stakeholder engagement and comprehensive participation.</p> <p>I: 3 P:2 Failure to embed watershed management practices into community level. Continued unsustainable practices and exacerbation of the watershed degradation</p>	<b>Moderate</b>	<b>Low</b>	<ul style="list-style-type: none"> <li>The project incorporates activities that yield immediate benefits for communities in terms of awareness, preparedness, skill development and income generation (agro-forestry schemes). This will be emphasized during all meetings and consultations with community representatives during the inception phase</li> </ul>	<p><b>Likelihood:</b> <i>Low 2:</i> likelihood of some local communities not getting enough incentives to participate in the project activities was low as the participating communities had incentives in participating the project activities. However, there was a variation in incentives in intra-community (e.g. houses with thatched roofs and corrugated sheet roof in participating plastic ponds)</p> <p><b>Impact:</b> <i>Minor 2:</i> There were incentives for all the participating groups to participate in the project activities in direct household income or increased availability of water and general improvement of the ecosystem services, so the impact was minor</p> <p><b>Mitigation Measures:</b> Orienting farmers on potential benefits and costs of individual intervention activities</p>

Risks Identified in ProDoc	Pro-Doc	TE	ProDoc Risk Treatment and Management Measures	Terminal Evaluation Comments
<p><b>Risk 10:</b> Inability to identify financial resources and incentives to employ PES mechanism for watershed protection.</p> <p>I:3 P:3 Failure to embed PES in watershed management</p>	<b>Moderate</b>	<b>Low</b>	<ul style="list-style-type: none"> <li>Review the country experience and successful PES practices, especially In the sector of hydropower to closely consider for the PES that targets the main water users [hydropower, irrigation, tourism etc.).</li> </ul>	<p><b>Likelihood:</b> <i>Moderate 3:</i> The likelihood of not identifying the financial resources for PES was moderate.</p> <p><b>Impact:</b> <i>Minor 2:</i> The project did not focus on generating payment for ecosystem services hence the impact would be minor.</p> <p><b>Mitigation Measures:</b> The project's focus was not developing payment for ecosystem services and as such did not specify mitigation measures.</p>
<b>Risk Category: Operational</b>				
<p><b>Risk 11:</b> Key roles within the project not filled. Lack of expertise for key role.</p> <p>I:3 P:1 Impact on project quality and possible programme/cost impacts</p>	<b>Low</b>	<b>Moderate</b>	<ul style="list-style-type: none"> <li>Ensure a good fit between the objectives of a role and the experience of the person allocated to that role.</li> </ul>	<p><b>Likelihood:</b> <i>Low 2:</i> As the filling in the key role with the appropriate expertise is essential for the success of the project and is of high priority the likelihood is low.</p> <p><b>Impact:</b> <i>Intermediate 3:</i> The Impact would be intermediate with not filling of the key roles</p> <p><b>Mitigation Measures:</b> The key positions were filled in with some delay.</p>

Risks Identified in ProDoc	Pro-Doc	TE	ProDoc Risk Treatment and Management Measures	Terminal Evaluation Comments
<p><b>Risk 12:</b> Poor user requirements specified, poorly defined data standards leading to poor design and implementation of data management system</p> <p>I:3 P:2 Poor data management leading to errors in technical assessment and errors in design</p>	<b>Moderate</b>	<b>Moderate</b>	<ul style="list-style-type: none"> <li>• Scope project data management requirements early on.</li> <li>• Establish facilities (i.e. technologies) that enable effective data sharing between organisation/individual's holder and/or accessing data.</li> <li>• Identify "data champions" within organisations involved in project implementation of supply of data</li> </ul>	<p><b>Likelihood:</b> <i>Low 2:</i> the Likelihood of identifying the data requirements was low as this would form the basis of the design.</p> <p><b>Impact:</b> <i>Intermediate 3:</i> The poorly defined data would affect the design and implementation at the intermediate level</p> <p><b>Mitigation Measures:</b> Clear identification of the data type, quality, and standards minimize the risks. The vulnerability assessment focused more on physical data and less on socio-economic information.</p>
<p><b>Risk 13:</b> Delays in collecting essential data for the project. Risk of essential data not being available or to the quality or accuracy needed</p> <p>I:3 P:2 Lack of data leading to poor technical assessment and design. If essential data sets not available (or of poor quality) may need to undertake data modelling (e.g. data infilling), or collect data as part of the project</p>	<b>Moderate</b>	<b>Moderate</b>	<ul style="list-style-type: none"> <li>• Undertake detailed data requirements and data identification (identifying all sources) as the first priority on the project.</li> <li>• Link to data management definition task to ensure early centralised access of all relevant data.</li> <li>• Undertake data analysis to identify quality, gaps, requirement for data modelling and additional data collection early on.</li> </ul>	<p><b>Likelihood:</b> <i>Low 2:</i> As collection of relevant information forms the basis of intervention, the institution would place high priority in collecting the essential data.</p> <p><b>Impact:</b> <i>Intermediate 3:</i> The inadequacy or delay in availability of such information would affect the implementation and result.</p> <p><b>Mitigation Measures:</b> The studies/ and surveys such as vulnerability assessment, water sources mapping, information for IWM plan were conducted in time.</p>

Risks Identified in ProDoc	Pro-Doc	TE	ProDoc Risk Treatment and Management Measures	Terminal Evaluation Comments
<p><b>Risk 14:</b> Failure to fully identify training needs</p> <p>I:2 P:1 Continued lack of capacity within Nepal for climate-responsive risk assessment and IWM management. Leading to continued vulnerability</p>	Low	Low	<ul style="list-style-type: none"> <li>Initial and continued assessment of capacity and establishment of training programme that will ensure continued development of capability and adequate succession planning</li> </ul>	<p><b>Likelihood:</b> <i>Low 2:</i> The likelihood of identifying training needs was low</p> <p><b>Impact:</b> <i>Intermediate 3:</i> If the training needs were not appropriately identified, it would affect the capacitating of the communities and partnering institutions</p> <p><b>Mitigation Measures:</b> Continued assessment of capacity, and training need of the target groups. An organization ECARDS was recruited to provide training to farmers on conservation farming</p>
<p><b>Risk 15:</b> Unforeseen delays in undertaking essential surveys due to weather/access issues etc.</p> <p>I:5 P:2 Delay to overall programme</p>	Substantial	Moderate	<ul style="list-style-type: none"> <li>Surveys to be scheduled to maximise favourable weather conditions.</li> <li>Early reconnaissance visits to remote areas will determine potential access difficulties.</li> <li>Issues/Risks will be raised to the PEB and adequate mitigation measures will be discussed/approved by PEB and implemented.</li> </ul>	<p><b>Likelihood:</b> <i>Moderate 3:</i> The weather/access issues might delay the in-undertaking surveys and studies but could be planned in taking into local context in account</p> <p><b>Impact:</b> <i>Intermediate 3:</i> if the required studies are not undertaken in the planned time would have an effect in implementation</p> <p><b>Mitigation Measures:</b> The project conducted surveys such as water sources, study for multi-hazard vulnerability and risk assessment, integrated watershed management plan in time</p>

Risks Identified in ProDoc	Pro-Doc	TE	ProDoc Risk Treatment and Management Measures	Terminal Evaluation Comments
<p><b>Risk 16:</b> Due to staff turnover at the target Ministries the trained staff may leave for the other job opportunities undermining installed technical capacity</p> <p>I:2 P: 2 Loss of capacity built</p>	Low	Low	<ul style="list-style-type: none"> <li>• Special training conditions and / or training for trainers will be arranged to keep the trained staff at the target Ministries.</li> <li>• Staff retention and succession plans will be developed.</li> <li>• A diversified group of stakeholders engaged in the project at central and sub-national levels will minimize the negative impacts of staff turnover.</li> </ul>	<p><b>Likelihood:</b> <i>Low 2:</i> The staff might get transferred, but the target institutions had a pool of staff with similar capacity.</p> <p><b>Impact:</b> <i>Minor 2:</i> The availability of trained staff in the pool will have a minor impact with the turnover.</p> <p><b>Mitigation Measures:</b> The SWMO recruited dedicated staff for this project. However, the human resources of the local governments were not capacitated enough. Similarly, staff retention plans were not in place</p>
<p><b>Risk 17:</b> Delays In recruitment of qualified project staff may affect the timeframe of different project activities.</p> <p>I:3 P:2 Delay to project implementation</p>	Moderate	Moderate	<ul style="list-style-type: none"> <li>• A pro-active coordination mechanism will be established by UNDP during the project inception phase.</li> <li>• TORs for key project staff have already been prepared</li> </ul>	<p><b>Likelihood:</b> <i>Moderate 3:</i> The qualified staff could not be recruited in time. The filling in also took time after the turnover of the staff members.</p> <p><b>Impact:</b> <i>Intermediate 3:</i> The timely unavailability of qualified staff affected the initial phase of the project.</p> <p><b>Mitigation Measures:</b> Though efforts were made for timely recruitment there was a delay affecting the implementation.</p>

Risks Identified in ProDoc	Pro-Doc	TE	ProDoc Risk Treatment and Management Measures	Terminal Evaluation Comments
<b>Risk Category: Environmental</b>				
<p><b>Risk 18:</b> Adverse climatic conditions may also pose risks to workforce health and safety, or damage adaptation measures being implemented</p> <p>I:3 P:1 Vulnerability of project staff to adverse climate conditions</p>	<b>Low</b>	<b>Low</b>	<ul style="list-style-type: none"> <li>• The project will draw up an engineering and safety plan to reduce immediate risks of hazard occurrence during works.</li> <li>• Health and safety precautions for the workforce will be established in the inception phase, drawing on lessons from similar projects in challenging terrain.</li> <li>• Contingency and evacuation plans will be prepared.</li> <li>• All sub-contracted firms will need to have H&amp;S insurance for its employees.</li> </ul>	<p><b>Likelihood: Low 2:</b> The likelihood of workforces' health and safety condition affected by climatic condition is low however, the effect on adaptation measures is moderate.</p> <p><b>Impact: Minor 2:</b> The impact of climate induced health problems will be of minor level considering the project duration.</p> <p><b>Mitigation Measures:</b> Safety measures were in construction work were put in place</p>
<p><b>Risk 19:</b> Communities unwilling to adopt new land use practices.</p> <p>I:3 P:2 Failure to embed watershed management practices at community level and continued unsustainable watershed management and use, exacerbating degradation.</p>	<b>Moderate</b>	<b>Moderate</b>	<ul style="list-style-type: none"> <li>• Mapping/assessment of community workforce and initiate community-based work modalities in target sites prior to the inception</li> </ul>	<p><b>Likelihood: Low 2:</b> The likelihood of the farmers expressing unwillingness to adopt new conservation oriented land use practices was low as the result of suggested practices would not contradict the communities' felt needs.</p> <p><b>Impact: Intermediate 3:</b> If the community had expressed unwillingness to adopt new practices, the project effects will be impacted especially the farm oriented soil conservation practices.</p> <p><b>Mitigation Measures:</b> Community members on potential benefits of adoption of suggested practices, enhanced interest of the communities in the project activities mitigated the risks.</p>

Risks Identified in ProDoc	Pro-Doc	TE	ProDoc Risk Treatment and Management Measures	Terminal Evaluation Comments
<p><b>Risk 20:</b> Unexpected flood during the project implementation stage.</p> <p>I:3 P:2 May cause serious damage of the watershed and challenge the activities of the project towards relief and restoration</p>	<b>Moderate</b>	<b>Moderate</b>	<ul style="list-style-type: none"> <li>Geographic spread of the project should allow a range of alternative coverage to deliver on the project results.</li> </ul>	<p><b>Likelihood:</b> <i>Low 2:</i> In hindsight, during the implementation stage there was not any major floods.</p> <p><b>Impact:</b> <i>Intermediate 3:</i> Had there been a flood the impact would be of moderate level affecting activities like water lifting system, irrigation ponds.</p> <p><b>Mitigation Measures:</b> The soil and water management intervention measures of the project minimize both the likelihood and impact of flooding.</p>



**Table 10-2.** TE Analysis of Risk Ratings and Risk Treatment and Management Measures (SESP colour-coded ratings based on risk assessment in ProDoc SESP and TE risk ratings based on ERM Risk Evaluation Matrix)

Risks Identified in SESP	SESP	TE	SESP Risk Treatment and Management Measures	Terminal Evaluation Comments
<p><b>Risk 1:</b> Rights-holders do not have the capacity to claim their rights</p> <p>I = 2 P = 2</p> <p>There is high level of awareness about the rights, particularly after the federalization process and decentralization. However, the local community members might not be aware of the mechanisms and approach to claim their rights in the situations their rights are violated.</p>	Low	Low	<p>The project has integrated elements such as emphasis on legal and socio-economic assessments of the watershed prior to selection of appropriate intervention in consultation with the beneficiaries at the community and local government level. This approach will ensure that the rights of the right holders, particularly the beneficiaries at the community level are educated of their rights in the context of the project interventions thereby making them aware of the mechanisms to claim their rights.</p>	<p><b>Likelihood:</b> <i>Low-2:</i> Community people have general knowledge on their right and claiming process in the ward level. However, they do not know the exact process and available resources. In addition, women do not know their rights</p> <p><b>Impact:</b> <i>Intermediate 3</i> – People's awareness on their right are important to their meaningful participation in project activities.</p> <p><b>Mitigation Measures:</b> Right holders need constant technical support and capacity development to increase their access to resources and exercise their rights.</p>

Risks Identified in SESP	SESP	TE	SESP Risk Treatment and Management Measures	Terminal Evaluation Comments
<p><b>Risk 2:</b> Human rights concerns regarding the Project during the stakeholder engagement process</p> <p>I = 2 P = 2            During the stakeholder engagement process, it is likely that the beneficiaries might raise the concerns related to access to resources and benefits of the project.</p>	Low	Low	<p>The project aims to address the human rights concerns through the integrated and participatory approach as outlined by one of its activities under Outcome 2 - "Community stewardship programmes established and implemented within the selected sub-watersheds with focus on women and marginal communities".</p>	<p><b>Likelihood:</b> <i>Low 2:</i> Many people do not know their human rights, especially women are not aware on their right. They rely on and accept their rights associated with participation in community stewardship is addressed by the group chair and Ward chair.</p> <p><b>Impact:</b> <i>Minor 2:</i> The stakeholders rights are not impacted given the benefits received from project activities.</p> <p><b>Mitigation Measures:</b> During stakeholder engagement the DCRL project should provide awareness raising of human rights related to project activities.</p>

Risks Identified in SESP	SESP	TE	SESP Risk Treatment and Management Measures	Terminal Evaluation Comments
<p><b>Risk 3:</b> Project involve harvesting of natural forests, plantation development, or reforestation</p> <p>I = 3 P = 3 The project includes agroforestry and non-timber forest product based sustainable harvesting interventions contributing to livelihood options as one of the measures of integrated watershed management measures.</p>	<b>Moderate</b>	<b>Low</b>	<p>Specific activities for integrated watershed management will be guided by the thorough assessment of the sub-watersheds which identifies the current status, underlying causes of hazards and risks, socio-economic conditions of the communities living and dependent on the watershed and its resources. Moreover, the project interventions are designed to contribute to the overall wellbeing of the vulnerable watersheds and making them more resilient to the multiple climate induced hazards. The non-timber forest product based and agroforestry based interventions will be strictly monitored by the operating procedures requiring sustainable harvest of the products.</p>	<p><b>Likelihood: Low 1</b> The project has engaged professional support (DFO and ECARDS) to ensure the interventions supported, such as agro-forestry and conservation farming sustainably contribute to climate-resilient livelihoods.</p> <p><b>Impact: Extensive 4</b> Natural forests and plantations are important to the protection of watersheds. Unsustainable harvesting and/or the introduction of unsuitable species could negatively impact large areas of the project watersheds:</p> <p><b>Mitigation Measures:</b> Ensure knowledgeable staff are engaged to provide technical support on agro-forestry and conservation farming to enhance livelihoods</p>

Risks Identified in SESP	SESP	TE	SESP Risk Treatment and Management Measures	Terminal Evaluation Comments
<p><b>Risk 4:</b> Possible economic displacement of the local communities due to the project interventions</p> <p>I = 2 P = 2 The project interventions might include construction of conservation ponds or bioengineering structures, which might be placed at the private land and property of the local communities.</p>	<b>Low</b>	<b>Low</b>	<p>The project design was based on active participation of local government and the communities in the proposed area. The proposed watershed management and soil conservation measures were endorsed through these consultations. The selection of sites for the conservation ponds, agroforestry practices and bioengineering structures will be a joint decision and based on the integrated watershed management plans. On-the-ground interventions will be guided by "Community stewardship programmes established and implemented within the selected sub-watersheds", will be risk informed (by the integrated watershed vulnerability assessment) and guided by the existing legal and socio-economic conditions of the potential beneficiaries. Hence, there will be very low chances of imparting economic displacement of the local communities as a result of project interventions. Moreover, strong emphasis is given for downstream and upstream linkages so that the interventions upstream do not affect the lives and livelihood and the</p>	<p><b>Likelihood:</b> 1 Low Project interventions have been implemented based on mutual agreement and ownership of community groups. Hence there is low chances of economic displacement.</p> <p><b>Impact:</b> 1 Negligible The project interventions that may result in economic displacement are largely restricted to barren lands. The impact of interventions largely has a positive economic impact, with some barren lands returned to agriculture.</p> <p><b>Mitigation Measures:</b> A proper stakeholder consultation process and sound operational guidelines should be used when planning project interventions such as conservation ponds, bioengineering structures or other infrastructure.</p>

Risks Identified in SESP	SESP	TE	SESP Risk Treatment and Management Measures	Terminal Evaluation Comments
<p><b>Risk 5:</b> Project or portions of the Project will be located on lands and territories claimed by indigenous peoples.</p> <p>I = 1 P = 3            Most part of the proposed areas are the place of dwelling of the indigenous people - who are original indigenous people inhabiting mid-hills of Nepal. Hence, there is probability that some of the interventions will involve utilization of lands and / or territories claimed/owned by indigenous people.</p>	Low	Low	<p>Considering that the project emphasizes on protection of indigenous people's rights and respects the spirit of Sustainable Development Goals - Leaving no one behind, through its carefully crafted design, the selection of the intervention sites and the nature of intervention is expected to impart no or low negative impact on the lives and livelihood of the indigenous people.</p>	<p><b>Likelihood:</b> 1 Low The project intervention areas are located on community land and forest areas belonging to the inhabitants of the mid hill people.</p> <p><b>Impact:</b> 1 Minor Project is located on lands of the indigenous people</p> <p><b>Mitigation Measures:</b> There always a need for proper engagement and agreement for the use of land by the groups for project interventions.</p>

Risks Identified in SESP	SESP	TE	SESP Risk Treatment and Management Measures	Terminal Evaluation Comments
<p><b>Risk 6:</b> Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples</p> <p>I = 1 P = 3 As stated in the statement above related to Risk 5, there is high probability that the project interventions will involve utilization of the natural resources such as land claimed by indigenous people because the project area is predominantly Rai - one of the indigenous peoples of Nepal - habitat</p>	Low	Low	<p>The project interventions on the ground will be based on the findings and the recommendations of a thorough vulnerability and status assessment of the sub-watersheds prone to multiple hazards. This gives an opportunity to integrate socioeconomic elements into the assessment and the consequent interventions. Hence, during the assessment phase, adequate attention will be given to ensure that the climate risk mitigation interventions in the sub-watersheds don't impart adverse impact to the indigenous people and their assets.</p> <p>Care will be taken to identify alternative land or sites for the interventions such as the public land to the extent possible for the interventions which will not be area specific.</p>	<p><b>Likelihood: 2 Low</b> There is low likelihood of using land for commercial development of natural resources due to engagement of communities in the design of project activities.</p> <p><b>Impact: 1 Minor</b> There is negligible impact given commercial development will engage and benefit local indigenous owners.</p> <p><b>Mitigation Measures:</b> There is need of compensation to the owner indigenous people for using land.</p>
<p><b>Risk 7:</b> Unexpected extreme flood during the project implementation stage may cause serious damage of the watershed and challenge the activities of the project towards relief and restoration</p> <p>I = 3 P = 2 Geographic spread of the project should allow a range of alternative coverage to deliver on the project results.</p>	Moderate	Low	<p>The project team will use the existing projections and rely on the observation and monitoring systems to ensure adequate flood risk preparedness in the target areas. At the same time, diversity of the project sites (at least three across the ranges of various altitude) will ensure continuity of project implementation.</p>	<p><b>Likelihood: 3 Moderate</b> There is moderate possibility for flood during the project intervention in reference to previous years.</p> <p><b>Impact: 2 Minor</b> The impact of flooding will be localized.</p> <p><b>Mitigation Measures:</b> There is need of detail vulnerability and risk assessment before plan and need of plan A and B even C.</p>

Risks Identified in SESP	SESP	TE	SESP Risk Treatment and Management Measures	Terminal Evaluation Comments
<p><b>Risk 8:</b> Construction of water retention ponds, drainage control trenches, and flood defense gabions may destabilize the land and aggravate erosion processes worsening watershed conditions.</p> <p>I = 3 P = 2 The project will implement land treatment/ preparation measures and carefully site these physical structures to minimize any destabilization processes.</p>	<b>Moderate</b>	<b>Moderate</b>	<p>The project team will employ a team of hydrologists and engineers to carefully site the locations of all structures. Land stabilization measures will be implemented prior to all construction activities. A careful control and monitoring mechanisms will be put in place locally.</p>	<p><b>Likelihood:</b> 2 Low Project infrastructure has been designed by qualified engineers</p> <p><b>Impact:</b> 4 Extensive Erosion processes worsening watershed conditions could have extensive impact on the life of people.</p> <p><b>Mitigation Measures:</b> There is need of close monitoring on the intervention to check the erosion processes and plan accordingly.</p>
<p><b>Risk 9:</b> Operation of adaptation technologies introduced by the project might fail due to inadequate maintenance arrangements during the project and post project phases.</p> <p>I = 3 P = 2 Project will work with local municipalities and community mobilizers to set up construction control and maintenance arrangements from the outset.</p>	<b>Moderate</b>	<b>Moderate</b>	<p>The project team in close partnership with the target municipalities will make all prior arrangements for covering the maintenance costs of all infrastructure installations.</p>	<p><b>Likelihood:</b> 2 Low There is low probability of failure due to inadequate maintenance arrangements during the project and post project phases.</p> <p><b>Impact:</b> 3 Intermediate Failure has the potential to have an intermediate impact as community groups rely on project infrastructure</p> <p><b>Mitigation Measures:</b> There is need of constant technical support to transfer of skills in operation of adaptation technologies introduced</p>

Risks Identified in SESP	SESP	TE	SESP Risk Treatment and Management Measures	Terminal Evaluation Comments
<p><b>Risk 10:</b> Watershed rehabilitation measures such as reforestation and setting boundary controls to pasture lands might cause discontent among local communities and even trigger a land use related conflicts between farmers, pastoralists and community forestry groups.</p> <p>I = 2 P = 2 The project will have stakeholder engagement strategy and plan to avert and minimize any potential land use related conflicts.</p>	Low	Moderate	<p>The project team will closely engage with local communities and all land users during the watershed assessment and management planning exercise to ensure a broad-based consensus over the land use decisions in the target sub-watershed, community commitment and ownership, prior to any actual implementation of land restoration or management measures.</p>	<p><b>Likelihood:</b> 2 Low Watershed rehabilitation activities are jointly planned and implemented with the LG and community groups.</p> <p><b>Impact:</b> 3 Intermediate In the project area all community members have been engaged. The impact could, therefore be large should poor stakeholder consultation cause discontent within the project communities.</p> <p><b>Mitigation Measures:</b> The project should ensure there is a discussion platform for project intervention issues to settle any potential problems through negotiation and agreement.</p>



## Annex 11. DCRL project monitoring and evaluation disaggregated database

S.N	Activities	Unit	Quantity	2021-2024 -Grand Total								
				Population			Households					
				Men	Women	Total	Dalit	Janajati	Majhi	BCT	Others	Total
1	Water Stress Management Activities											
	Water Source Protection	No.	551	24183	26382	50565	1683	6605	169	1727	167	10351
	Catchment Pond	No.	110	7312	8105	15417	318	1992	0	568	84	2962
	Contour Trench	Km	35	4962	5455	10417	395	1557	4	467	232	2655
	Water Holes	No.	25	2641	2975	5616	147	1043	0	111	52	1353
2	Conservation Farming/Livelihood Promotion Activities											
	Multi Purpose Pond for Majhi Community	No.	16	579	579	1158	7	34	132	11	7	191
	Micro Irrigation	No.	27	1439	1325	2764	20	282	122	61	21	506
	Conservation Farming Practices	ha	1473	5717	5908	11625	275	1523	65	483	33	2379
	Training on Conservation Farming	Event	33	540	473	1013	69	647	54	241	2	1013
	Rainwater Harvesting	No.	410	1158	1127	2285	57	254	1	123	0	435
	Gender Friendly tools distribution	Farmers' Group	99	5209	4943	10152	102	1228	74	470	3	1877
	Solar Water Lifting Scheme	No.	1	50	44	94	0	0	21	0	0	21
3	NRM Group Strengthening and Plantation											
	Training to NRM Groups	Groups	681	7381	4959	12340	1040	8256	84	2773	187	12340
	OP Revision	Groups	106									
	Drought Tolerant NTFP Plantation	ha	201	0	0	0	410	2516	43	190	49	3208
	ICS Installation	HHs	225	591	579	1170	33	117	5	70	0	225
4	Capacity Building Trainings/Orientations/Workshops/Meetings											
	Training/Orientation on different themes	Events	19	342	174	516	76	254	3	158	25	516
	<b>Total Beneficiaries of Project</b>			<b>62104</b>	<b>63028</b>	<b>125132</b>	<b>4632</b>	<b>26308</b>	<b>777</b>	<b>7453</b>	<b>862</b>	<b>40032</b>

## Annex 12. GESI Indicator Assessment

Project Outcome Indicators	Baseline	End of Project Target	TE Assessment	Rating	Justification for Rating
<b>Outcome 1.</b> Integrated watershed management framework has been established to address climate change induced floods and droughts.					
1. GESI is fully mainstreamed in government policies and plans related to watershed management.	<ul style="list-style-type: none"> <li>New baseline</li> </ul>	<ul style="list-style-type: none"> <li>Watershed Management Policy and Guidelines formed with GESI mainstreamed in the document.</li> </ul>	<ul style="list-style-type: none"> <li>Prepare guideline for mainstreaming in IWM</li> <li>Climate responsive IWM plan. (LG/Watershed levels)</li> <li>Local IWM Operational directives have provisions for GESI mainstreaming</li> </ul>		<ul style="list-style-type: none"> <li>8 LG's Climate responsive IWM directives have GESI integrated.</li> <li>IWM directive 2080 has GESI included.</li> <li>GESI has been included in IWM guideline</li> </ul>
2. GESI mainstreamed in project policies, guidelines, and documents	<ul style="list-style-type: none"> <li>GESI is crosscutting in all policies, and plans along with national and international conventions, and ratifications.</li> </ul>	<ul style="list-style-type: none"> <li>The project is fully GESI mainstreamed, as per the plans of policies of the Government of Nepal, with 50% of project staff at decision-making levels</li> </ul>	<ul style="list-style-type: none"> <li>50% of project staff at the Decision making levels; are from marginalized groups and 7% are female.</li> </ul>		<ul style="list-style-type: none"> <li>Total of 14 staff: BCT-4, madheshi-2 and Janjati-8; one female.</li> <li>Decision making level- BCT -2, Madheshi- 2;</li> <li>Officer level – 4 Janjati and 1 BCT</li> </ul>
3. GESI is integrated in project cycle	<ul style="list-style-type: none"> <li>New baseline</li> </ul>	<ul style="list-style-type: none"> <li>Activity-based budgeting where gender activities, e.g. analysis, are budgeted for - disaggregating all indicators and data collection by gender</li> </ul>	<ul style="list-style-type: none"> <li>There is no gender based activities budget and no budget analysis with gender segregation</li> <li>Beneficiaries sex and caste disaggregated data are collected.</li> <li>Special programme for Majhi (DAG) groups in pond, solar lifting).</li> <li>Regular women's capacity development programme</li> <li>Inclusive hiring process are in place.</li> </ul>		<ul style="list-style-type: none"> <li>Gender Responsive Budgeting (GRB) application not implemented</li> </ul>

Project Outcome Indicators	Baseline	End of Project Target	TE Assessment	Rating	Justification for Rating
4. PMU and Project office is inclusive with women in decision-making positions	<ul style="list-style-type: none"> <li>User committees have women and the socially excluded as members in name only (silent members) just to fill the 33% quota. (not consistent)</li> </ul>	<ul style="list-style-type: none"> <li>Almost 80% of field staff are from socially excluded communities, and 70% are women</li> </ul>	<ul style="list-style-type: none"> <li>75% of field staff are from marginalized community and no female staff.</li> </ul>		<ul style="list-style-type: none"> <li>PMU and PIU have 14 staff. BCT-4, madheshi-2 and Janjati- 8; one female.</li> <li>PIU officers: 1 BCT, 1 Madheshi and 3 Janjati ; no female staff.</li> </ul>
5. IWM committees are formed under the leadership of ward vice chairpersons/ palika vice chairpersons who belong to disadvantaged communities and are women in most cases.	<ul style="list-style-type: none"> <li>New baseline</li> </ul>	<ul style="list-style-type: none"> <li>IWM user committees have elected women Dalit representatives leading them.</li> <li>70% of other members are also from the Dalit and marginalized communities and women.</li> </ul>	<ul style="list-style-type: none"> <li>IWM –UC have 41% women and 80% from Dalit, Janjati and marginalized community.</li> </ul>		<ul style="list-style-type: none"> <li>Need IWM UC data to check women Dalit ER in leading position</li> </ul>
6. IWM user committees are inclusive and have members whose opinions and decisions are taken to account	<ul style="list-style-type: none"> <li></li> </ul>	<ul style="list-style-type: none"> <li>Women and socially excluded are well informed and able to identify and prioritize their interests and needs</li> </ul>	<ul style="list-style-type: none"> <li>IWM related activities are implemented through local farmer's groups, NR user's groups and local cooperatives; those are primarily work for marginalized groups.</li> </ul>		<ul style="list-style-type: none"> <li>The marginalize groups articulate their interest and needs through the implementing agencies such as Groups and Coop. However, they are not empowered yet to identify their priorities, interests and needs</li> </ul>
7. Liaisons developed with similar organizations for a streamlined and holistic approach	<ul style="list-style-type: none"> <li></li> </ul>	<ul style="list-style-type: none"> <li>Duplication and overlap of programs avoided – combined resources and technical skills make programs more effective and impactful.</li> </ul>	<ul style="list-style-type: none"> <li>Informed local stakeholders and communities about the project interventions.</li> <li>Conducted social audit and used information hoarding board.</li> </ul>		<ul style="list-style-type: none"> <li>This is about liaison and coordination for synergy, whereas this is for transparency and accountability.</li> <li>However there are no such organizations working in this area.</li> </ul>

Project Outcome Indicators	Baseline	End of Project Target	TE Assessment	Rating	Justification for Rating
8. Close cooperation with local civil society for the sustainability of the project after phase out.	<ul style="list-style-type: none"> <li></li> </ul>	<ul style="list-style-type: none"> <li>Sustainability of activities is ensured through empowered and aware communities and leadership</li> </ul>	<ul style="list-style-type: none"> <li>Working through local government entity, local stakeholders and simultaneously enhancing their capacity to ensure the continuation of its interventions.</li> </ul>		<ul style="list-style-type: none"> <li>Local stakeholders considered but link of local communities are missing. Technical skills need to transfer.</li> </ul>
<b>Outcome 2.</b> Integrated watershed management practices introduced and scaled up in 1 watershed covering 844 km <sup>2</sup> of watershed areas and benefiting 121,606 vulnerable people.					
9. Generation of disaggregated data for IWM	<ul style="list-style-type: none"> <li>This will be a new baseline</li> </ul>	<ul style="list-style-type: none"> <li>Reliable baseline, midline and end line disaggregated data base available</li> </ul>	<ul style="list-style-type: none"> <li>Database of the beneficiaries on baseline, midline and end line with disaggregated are available.</li> </ul>		<ul style="list-style-type: none"> <li>Final endline beneficiaries data are in the preparation</li> </ul>
10. Women and socially excluded groups provided with technical trainings to enhance their skills for both hardware and software needs.	<ul style="list-style-type: none"> <li>Technical jobs considered to be a "man's job"</li> </ul>	<ul style="list-style-type: none"> <li>70% of women and marginalized are trained in technical skills (repair and maintenance of water pipes, peltric sets).</li> </ul>	<ul style="list-style-type: none"> <li>40.68% of women and 76.01% of people from marginalized are trained in technical skills (conservation framing, NRM training and ICS installation training, and other trainings)</li> </ul>		<ul style="list-style-type: none"> <li>The is about the technical skill training in repair and maintenance of water pipes and peltric sets, not general skill training.</li> </ul>

Project Outcome Indicators	Baseline	End of Project Target	TE Assessment	Rating	Justification for Rating
11. Restoration and rehabilitation of water damaged water sources to decrease women's drudgery.	<ul style="list-style-type: none"> <li>Almost all water sources have either disappeared, damaged, dried up or in the process of drying up (numbers) Women travel up to 2.5 hours one way to fetch water Woman's workload 70% more than men (2 am - 10 pm) Conflicts arise due to water issues on a daily basis Women face health issues</li> </ul>	<ul style="list-style-type: none"> <li>At least 70% of water sources are restored, or alternative methods are applied.</li> <li>Cases of uterine prolapse, backache and headache are in a decreasing trend.</li> <li>Women's workload decreases by 40% for 50% of women (due to reduced distance to collect water).</li> <li>The average distance traveled to fetch water decreases from 2.5 to 1 hours for 70% of women.</li> </ul>	<ul style="list-style-type: none"> <li>551 water sources are protected and benefited to 50,565 people of whom 52.17 % are female.</li> <li>It has decreased water fetching time to less than 30 min from 2.5 hours one way.</li> <li>Saved time has been used by women for productive livelihood activities.</li> <li>It is reported that women have less backache and headache as work drudgery is reduced.</li> </ul>		<ul style="list-style-type: none"> <li>Need to verify the report with community in reducing uterine prolapse, backache and headache.</li> </ul>
12. Women friendly agriculture technologies introduced (suitable for smallholder farmers who are usually women).	<ul style="list-style-type: none"> <li>Feminization of agriculture. Agriculture land left fallow due to migration/less human resource/traditional methods of farming</li> </ul>	<ul style="list-style-type: none"> <li>Women friendly agricultural technology introduced <ul style="list-style-type: none"> <li>food security increases</li> <li>irrigation improves</li> <li>50% of land that was left fallow is used again</li> <li>women empowered in agriculture</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Women engaged in agriculture by forming 99 UGs.</li> <li>Food security and income increased</li> <li>Women are more empowered through engagement in agricultural activities.</li> <li>Fallow lands are used for agriculture with irrigation facilities (no data on percentage).</li> </ul>		<ul style="list-style-type: none"> <li>Database of UGs</li> </ul>


Project Outcome Indicators	Baseline	End of Project Target	TE Assessment	Rating	Justification for Rating
13. Agroforestry practices introduced interspersed with water and controlled fuelwood production (introduction of smokeless stoves) with active involvement of women	<ul style="list-style-type: none"> <li>Negligible agro forestry due to drought.</li> </ul>	<ul style="list-style-type: none"> <li>Water-related conflicts are negligible</li> </ul>	<ul style="list-style-type: none"> <li>Water is sufficiently available and adopted different varieties of crops: vegetables, fruits, and cash crops have been planted.</li> <li>Water conflicts are reduced</li> </ul>		<ul style="list-style-type: none"> <li>Verification is needed</li> </ul>
14. Income generating skills development trainings given to women and the poorest of the poor (livestock, kitchen garden, agro products).	<ul style="list-style-type: none"> <li>No enterprises exist Decreasing number of livestock.</li> <li>No enterprises in the villages except for a small-scale dairy, personal pig farm and poultry farm</li> <li>Small scale savings and lending cooperatives with loans up to 2,500,000.</li> </ul>	<ul style="list-style-type: none"> <li>Skills developed <ul style="list-style-type: none"> <li>50% women, socially disadvantaged, and men involved in micro enterprise</li> <li>women and disadvantaged are economically empowered.</li> </ul> </li> <li>Livestock numbers increase by 50%</li> <li>Micro and small enterprises established.</li> <li>Integration with other NGOs working in the areas.</li> <li>Savings and Lending groups merge to create cooperatives with larger amount of loans.</li> </ul>	<ul style="list-style-type: none"> <li>The project is planning to promote micro and small agro-based enterprises</li> </ul>		<ul style="list-style-type: none"> <li>Waiting crops to scale up and establish enterprises.</li> </ul>
15. Basic incentives provided to the poorest of the poor for their active participation in IWM committee meetings to address their specific needs	<ul style="list-style-type: none"> <li>No baseline established</li> </ul>	<ul style="list-style-type: none"> <li>Poorest of the poor start taking part in meetings - their needs are addressed</li> </ul>	<ul style="list-style-type: none"> <li>The project ensures the physical participation of women, marginalized and poor in all the meetings</li> </ul>		<ul style="list-style-type: none"> <li>wealth ranking,</li> <li>Identified poorest of poor and empower them to raise their voice and choice.</li> <li>Need verification: whether their needs are addressed in what ways?</li> </ul>

### Annex 13. Terminal Evaluation Rating Scales

<b><i>Ratings for Outcomes, Effectiveness, Efficiency, M&amp;E, Implementation/Oversight, Execution, Relevance</i></b>	<b><i>Sustainability ratings:</i></b>
<p>6 = Highly Satisfactory (HS): exceeds expectations and/or no shortcomings</p> <p>5 = Satisfactory (S): meets expectations and/or no minor shortcomings</p> <p>4 = Moderately Satisfactory (MS): more or less meets expectations and/or some shortcomings</p> <p>3 = Moderately Unsatisfactory (MU): somewhat below expectations and/or significant shortcomings</p> <p>2 = Unsatisfactory (U): substantially below expectations and/or major shortcomings</p> <p>1 = Highly Unsatisfactory (HU): severe shortcomings</p> <p>Unable to Assess (U/A): available information does not allow an assessment</p>	<p>4 = Likely (L): negligible risks to sustainability</p> <p>3 = Moderately Likely (ML): moderate risks to sustainability</p> <p>2 = Moderately Unlikely (MU): significant risks to sustainability</p> <p>1 = Unlikely (U): severe risks to sustainability</p> <p>Unable to Assess (U/A): Unable to assess the expected incidence and magnitude of risks to sustainability</p>

## Annex 14. Terminal Evaluation Clearance Form

### Terminal Evaluation Report for Developing Climate Resilient livelihoods in the Vulnerable Watershed in Nepal (DCRL), UNDP PIMS # 5434

<b>Review Report Reviewed and Cleared By:</b>	
<b>Commissioning Unit (M&amp;E Focal Point)</b>	
Name: Dinesh Bista; Programming Quality and RBM Analyst; UNDP Nepal	
Signature: _____	Date: 28/10/2024
	
<b>Regional Technical Advisor (Nature, Climate and Energy)</b>	
Name: Samar Taha; Regional Technical Advisor	
Signature: _____	Date: 28/10/2024
