Outcome Evaluation
Energy and Environment
and
Poverty Reduction
UNDP India

Vishaish Uppal
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Outcome Evaluation of Energy and Environment and Poverty Reduction

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This report is the responsibility of the evaluator and is based upon information gathered through interviews, field visits and desk reviews. She is responsible for the contents of the report.

Evaluator

Vishaish Uppal
D 4 Gulmohar Park
New Delhi 110049
+91 11 26568224

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Abbreviations

ADR:	Assessment of Development Results
APCCF:	Additional Principal Chief Conservator of Forests
AWP:	Annual Work Plan
BERI:	Biomass Energy Rural Institute
BPL:	Below Poverty Line
CBD:	Convention on Biological Diversity
CBNRM:	Community Based Natural Resource Management
CCA:	Community Conserved Areas
CCT:	Conditional Cash Transfers
CFC:	Chloro Flouro Carbon
CPD:	Country Program Document
CPAP:	Country Programme and Action Plan
CSO:	Civil Society Organization
CWLW:	Chief Wildlife Warden
DDG:	Decentralised Distribution and Generation
DEA:	Department of Economic Affairs
DFID:	Department for International Development
DFO:	Divisional Forest Officer
DRISTI:	Decentralized Rural Information System & Technology Initiatives
DWCD:	Department of Women and Child Development
EDI:	Economic Development Institute
FD:	Forest Department
GEF:	Global Environment Facility
GoK:	Government of Karnataka
GoMP:	Government of Madhya Pradesh
ICEF:	Indo Canadian Environment Facility
ICTD:	Information and Communication Technology for Development
JNNURM:	Jawahar Lal Nehru National Urban Renewable Mission
KVK:	Krishi Vigyan Kendra
HCFC:	Hydro Chloro Flouro Carbons
HDR:	Human Development Report
MDG:	Millenium Development Goals
MNRE:	Ministry of New and Renewable Energy
MoEF:	Ministry of Environment and Forests
MoHUPA:	Ministry of Housing and Urban Poverty Alleviation
MoP:	Ministry of Power
MoRD:	Ministry of Rural Development
MLF:	Multilateral Fund

MP:	Montreal Protocol
NBA:	National Biodiversity Authority
NCR:	National Capital Region
NPD:	National Project Director
NRLM:	National Rural Livelihoods Mission
NSUP:	National strategy for Urban Poor
PCCF:	Principal Chief Conservator of Forests
PEN:	Poverty Environment Nexus
PEC:	Project Executive Committee
PIC:	Project Implementation Committee
PMB:	Project Management Board
PMU:	Project Management Unit
PRI:	Panchayati Raj Institution
PSC:	Project Steering Committee
RCVET:	Rajasthan Council for Vocational Education and Training
REX:	Rajasthan Employment Exchange
RISE:	Rajasthan Institute of Security Education
RMoL:	Rajasthan Mission of Livelihoods
SBB:	State Biodiversity Board
SC:	Scheduled Castes
ST:	Scheduled Tribes
UNDAF:	United Nations Development Assistance Framework
UNDP:	United Nations Development Fund
UNFCC:	United Nations Framework Convention on Climate Change
UP:	Uttar Pradesh
UPASI:	United Planters Association of Southern India

1. Executive Summary

The United Nations Development Programme (UNDP) conducts outcome evaluations to capture and demonstrate evaluative evidence of UNDP's contributions to development results at the country level as articulated in the country programme document. The purpose of the outcome evaluation is to:

- Provide substantive direction to the formulation of programme and project strategies
- Support greater UNDP accountability to national stakeholders and partners in India
- Serve as a means of quality assurance for UNDP interventions at the country level; and,
- Contribute to learning at corporate, regional and country levels.

The outcome evaluation has:

- Reviewed the programmes and projects with a view to understand their relevance and contribution for lesson learning, and recommending corrections that may be required for enhancing effectiveness of UNDP's development assistance;
- Reviewed the status of the outcome and the key factors that have affected (both positively and negatively, contributing and constraining) the outcome;
- Assessed the extent to which UNDP outputs and implementation arrangements have been effective for strengthened linkages between the two outcomes (the nature and extent of the contribution of key partners and the role and effectiveness of partnership strategies in the outcome);
- Provided recommendations for future country programme in the two outcomes of the Poverty Reduction and Environment Portfolio and particularly for better linkages between them.

The outcome evaluation exercise has been a rich learning experience and it has brought to the forefront the immense diversity of the activities undertaken by both the programme areas – poverty reduction and energy and environment.

The energy and environment unit is seen as a good and a reliable partner from the Ministry of Environment and Forest's point of view. Their support in providing capacity to deal with climate change, energy efficiency, and multilateral agreements has been termed as useful.

Focus on Conservation of Biodiversity outside Protected Areas, Medicinal Plants and Community based Natural Resource Management have enabled the Ministry to look at issues related to biodiversity of resources even outside the forest areas. Overall the awareness generation about conservation and environment protection has been termed as one of the most useful outputs at all levels - the community, district, state or national level. However, since the Government of India itself pays little attention to domesticated biodiversity, especially agro biodiversity, UNDP could also focus on this aspect and collaborate with FAO which works in this area. Since the UNDP has a wide field presence and is working with vulnerable communities in agrodiverse areas, it seems obvious that UNDP is in a good position to address these issues as well.

On aspects relating to energy and climate change, it appears that the UNDP needs to identify a niche area and bring about greater focus in its efforts. Therefore, if UNDP feels that it is more productive and effective to concentrate on the SME sector and pursue and promote energy efficiency solutions, then most or all of its energies should be directed towards that. On the other hand, if the focus is on making off-grid renewable energy options available and viable in energy deficient rural areas is the desired outcome, then energies and investments should be directed there. At present, UNDP is doing a little bit of everything, thereby spreading itself thin and not being able to achieve the outcomes that it seeks.

The Poverty reduction programme has focussed mainly on livelihood augmentation by setting up state level missions which have helped in convergence of state schemes and improved their outreach. The focus has been also on women's empowerment and providing information and communication technology services in rural areas. The strategy to set up livelihood missions in states has improved the convergence of state schemes. Pilots have also been able to demonstrate successful augmentation of traditional livelihoods as well as additional options. It is suggested that these pilots must be integrated into the state level policy framework for sustainability and large scale replication. UNDP 's contribution to socio-economic dimensions of sustainable livelihood promotion needs to be further strengthened with more collaboration with the Energy and Environment Unit to bring in the environmental dimension.

2. Introduction

2.I Overview

India, the world's largest democracy, is the 7th largest country in the world and the 5th largest economy in terms of purchasing power parity. India's richness and diversity of culture, geographic and climatic conditions, natural and mineral resources are matched only by few other countries in the world. Despite global economic turbulence that has negatively affected economic activity in various parts of the world, the Indian economy has experienced growth rates averaging 8.2 per cent a year in the first four years of the 11th Five Year Plan and building upon the 7.8 per cent growth that was achieved during the 10th Five Year Plan. However, this growth continues to be uneven between regions as well as among different socio-economic sections of society. Thus, even during the 11th plan period, while the poorer states have been able to grow faster overall, several districts that are located in poorer states have continued to remain backward and have lagged behind. While the numbers of people living below poverty line have decreased, there is no evidence to suggest that the disproportionately higher representation of women, scheduled castes and scheduled tribes in the population living below poverty line has been reduced. More than 60 per cent of women are

chronically poor. More than 296 million people are illiterate and 233 million undernourished. Workforce participation for women is half that for men, and almost 96 per cent of women work in the informal sector. Two-thirds of the population continues to depend on rural employment, while more than 90 per cent of the labour force is in low-productivity and low paying informal sector employment. Unlike economic deprivation and social marginalisation of many of its people, India harbours tremendous biological and cultural diversity. It has 10 bio geographic zones representing different ecosystems as well as 91 eco-cultural zones, which are inhabited by more than 4500 community groups. Around 4.8% of the country's total geographical area has been categorized as Protected Areas (PAs). Protected Areas in India have been declared with the primary objective of biodiversity conservation and exclude most activities related to resource extraction and use by local communities. Around 20 % of the geographical area of the country is also covered with forests and many of these forest areas have tribal or traditional communities

dependent on forest resources for their subsistence and livelihoods. For such communities the forests are an integral part of their life with important and irreplaceable social and cultural values. However, communities, especially rural communities since ages have played a critical role in conservation of a variety of natural environments and species in India and elsewhere. Their understanding of the conservation values emanate from various sources be it economic, cultural, spiritual or aesthetic. Even today there are a large number of areas across India in the form of sacred groves. Forests outside PAs also have high biodiversity values, form critical wildlife corridors and are used by rural communities for their sustenance. Thus it is critically important to focus on conservation of resources outside PAs also. It is estimated that around 275 million people depend on forests for their sustenance. It has also been seen that the districts which have the highest forest cover are also the poorest. In addition to income and assets poverty, Indian people also face energy poverty. Reportedly, 450 million Indians do not have any access to electricity. Households in rural areas are particularly electricity deficient, and one of the big challenges that India faces is making available electricity to all.

Burgeoning population and economic growth in the context of weak regulatory mechanisms has resulted in overexploitation of environmental resources and an increasing gap between energy demand and supply. The approach paper to the twelfth five-year plan stresses the need to ensure that growth becomes resource efficient and environmentally safe. The 2006 National Environment Policy intends to mainstream environment in all developmental activities as previous natural disasters have been shown to erode gross domestic product. Considering these development challenges, the approach paper to the twelfth five-year plan stresses inclusive growth to reduce poverty and disparities with gender as a cross-cutting issue along with sustainability. Poverty reduction is directly linked to improvements in governance including devolution of funds, functions and functionaries to local levels and making governance more participatory, gender-balanced, transparent and accountable.

2.2 Background

UNDP in India links, coordinates and works in partnership with the national government to achieve the global Millennium Development Goals (MDGs) as well as assist the Government of

India to meet the national objectives articulated in India's Five-Year Plans. The goal of the organization is to help improve the lives of the poorest women and men, who are the most marginalized and disadvantaged in India. In addition, the UNDP also assists the Government of India to achieve sustainable development objectives as well as to meet its international commitments under various multilateral environmental conventions, protocols and agreements. The poverty reduction and energy and environment portfolios help and facilitate the Government of India to achieve its poverty reduction and sustainable development objectives. The overarching strategy followed by UNDP under these portfolios have been to primarily support the Government of India's initiative and to help the country to meet its international obligations as well as try and fill gaps in the state and central governmental action plans and priorities. Apart from specific focus areas and priorities in different UNDP Country Programme Action Plans, UNDP has also focused its efforts across both country plans on two major thematic programmes. A brief description of the two portfolios is given below:

Poverty Reduction: The Poverty Reduction Programme's main objective is to improve the effectiveness of national poverty reduction and livelihood promotion programmes in partnership with Central and State governments in disadvantaged areas. It aims to promote the design and use of strategies that involve the poor, especially people belonging to Scheduled Castes and Scheduled Tribes, migrants, minorities and displaced. UNDP also fosters partnerships to enable disadvantaged households to improve their skills, diversify to non-farm activities and increase access to credit and markets. Additionally, UNDP assists organisations of the poor to develop livelihood plans in sectors such as agriculture, forestry, fisheries, land resource development, rural tourism and handicrafts. UNDP also works on the ground to empower disadvantaged communities. UNDP seeks to expand financial inclusion beyond access to financial products and services to providing new opportunities to diversify livelihoods of the poor and marginalised.

Energy and Environment: The Energy and Environment Programme supports the 11th Five-Year Plan in its endeavour to build the capacities of the most vulnerable people, including women and girls, and government at all levels, to prepare, respond and adapt to sudden and slow-onset disasters and environmental changes. UNDP seeks to forge partnerships to protect the

environment and meet the challenges posed by climate change. UNDP is addressing global warming and the ozone depletion by supporting the reduction of GHG emissions in energy-intensive industries, promoting the use of renewable energy sources and helping the government to phase out ozone depleting substances. It works with the government to strengthen policy, legislative and regulatory mechanisms for carbon reduction, developing standards and codes for energy conservation and encouraging more efficient use of natural resources. UNDP helps implement various national policy initiatives to increase forest cover and arrest land degradation. Biodiversity conservation efforts are being strengthened by involving communities in sharing traditional knowledge on natural resources, and improving market access for their products.

In order to align itself with the Governments priorities, the UNDP formulates Country Programme Action Plans which are aligned to India's five year plans. The previous country programme (2003-2007) was focused on four themes: promoting human development and gender equality; capacity development for decentralization; poverty eradication and sustainable livelihoods; and vulnerability reduction and environmental sustainability. Under this country programme, the UNDP supported the design of urban poverty reduction strategies, effective implementation of the National Rural Employment Guarantee Scheme and design of the National Rural Tourism Scheme. A state level livelihood mission was piloted in Rajasthan. UNDP also took the lead in piloting public-private-community partnerships in several districts. Work in energy and the environment was designed to support commitments under international agreements and conventions.

The current (2008-2012) country programme action plan contributes to the UNDAF outcomes in areas of capacity development for effective, accountable and participatory decentralization through a rights- based approach to achieving the MDGs, with a focus on disadvantaged groups (especially women and girls). The programme is limited to about 10 focus areas, with outcomes consistent with UNDP service lines and the proposed UNDP strategic plan for the years 2008-2011. The Programme initiatives are to be concentrated in the seven focus states – Bihar, Chhattisgarh, Jharkhand, Madhya Pradesh, Orissa, Rajasthan and Uttar Pradesh – with low rates of human development, gender disparity indices and high proportions of scheduled castes and tribes

The 2008- 2012 poverty portfolio supported state-level missions for inclusive livelihood promotion for disadvantaged rural and urban groups and regions. The focus has been on livelihood models and related service delivery using public-private community partnerships. Emphasis has been placed on financial inclusion through the development of pro-poor products and services, including remittance transfers, collateral-free housing credit and market-based social security instruments, such as micro- pension and micro-insurance. The programme also aims to improve national poverty reduction initiatives such as the National Rural Employment Guarantee Scheme and the Jawaharlal Nehru National Urban Renewal Mission. Capacities at all levels for social inclusion, monitoring and evaluation are being strengthened through participatory and gender-sensitive tools and processes in order to identify and target previously excluded groups.

Under the Energy and Environment portfolio, UNDP is supporting all levels of government to implement environment and energy policies and programmes by strengthening policy, legislative and regulatory mechanisms promoting low carbon development, standards and codes, and more efficient use of natural resources. They are also helping to build capacities to integrate environmental management practices in planning processes at state and district levels. UNDP is additionally supporting national capacity development for the implementation of multilateral environmental agreements.

Moreover, UNDP is also supporting pilots for implementation of national policy initiatives to increase forest cover, arrest land degradation and increase access to renewable energy and will collaborate with other United Nations organizations to promote sustainable water resources management.

The UNDAF priorities and the CPAP outcomes have been listed below along with the major projects which have been studied in detail for this evaluation.

ENERGY AND ENVIRONMENT

UNDAF OUTCOMES	CPAP OUTCOMES	CPAP OUTPUTS
UNDAF Outcome 4 By 2012, the most vulnerable people, including women and girls, and government at all levels have enhanced abilities to prepare, respond, and adapt/recover from sudden and slow onset of disasters and environmental changes *(monitored through UNDAF)*	**Outcome 4.2. Communities are aware of their vulnerabilities, and adequately prepared to manage (and reduce) disaster and environmental related risks** *(monitored through UNDAF)*	**CPAP Output 4.2.1.** Communities are supported by State and district institutions to reduce their risks to natural disasters
		CPAP Output 4.2.3. Communities are supported to prepare and adapt to climate change impacts
	Outcome 4.3 Progress towards meeting national commitment under multilateral environmental agreements	**CPAP Output 4.3.1.** National efforts supported to address chemical management issues
		CPAP Output 4.3.2. National efforts supported towards conservation and management of natural resources
		CPAP Output 4.3.3. National development efforts with co-benefits of mitigating climate change supported

POVERTY REDUCTION

UNDAF OUTCOMES	CPAP OUTCOMES	CPAP OUTPUTS
UNDAF Outcome 1: By 2012, disparities reduced and opportunities enhanced for disadvantaged groups, especially women and girls, for the achievement of MDG related 11th Plan Goals,	**Outcome 1.1. Improved effectiveness of poverty reduction and livelihood promotion programmes in disadvantaged regions and for the inclusion of poor**	**CPAP Output 1.1.1.** Disadvantaged people (poor women and men from SC and ST groups, minorities and the displaced) in at least four UNDAF states benefit from national and state poverty policies, programmes and livelihood strategies through enhanced public expenditure, private sector engagement and better delivery mechanisms

UNDAF OUTCOMES	CPAP OUTCOMES	CPAP OUTPUTS
through strengthened policy framework and implementation capacity of large scale state and national programmes *(monitored through UNDAF)*	**women and men from SC and ST groups, minorities and the displaced**	**CPAP Output 1.1.2.** Better access to financial products and services to reduce their risks and enhance livelihoods in at least two states for the poor, especially women and men from SC and ST groups, minorities and the displaced.

The overall budgetary allocation and expenditure (2008-2010) in these two programmes is given in the table below:

Heads	**2008-2010 Budgetary Allocation**			**2008-2010 Expenditure**		
	Core	Non Core	TOTAL	Core	Non Core	TOTAL
Poverty Reduction	12.60	18.00	30.60	08.22	04.52	12.74
Energy and Environment	06.00	60.00	66.00	04.29	17.42	21.71
TOTAL	18.60	78.00	96.60	12.51	21.94	34.45

Figures are in Million USD {Source MTR}

2.3 Rationale of the Evaluation

The United Nations Development Programme (UNDP) conducts outcome evaluations to capture and demonstrate evaluative evidence of UNDP's contributions to development results at the country level as articulated in the country programme document. These are independent evaluations carried out within the overall provisions contained in the UNDP Evaluation Policy. In line with the Evaluation Plan of UNDP India, an outcome evaluation is being conducted to assess the impact of UNDP's development assistance in the Practice Areas of Energy and Environment and Poverty Reduction. This exercise will help in evaluating the relevant country programme outcomes and outputs as stated in the Country Programme Action Plan (CPAP) and the Country Programme Document (CPD) for India both covering the period 2008-2012.

As already mentioned, the UNDP Country Office has been working to support the country to achieve MDGs and reduce human poverty. UNDP's on-going Country Programme Action Plan 2008-2012 (CPAP) is positioned within the overarching objective of the India-United Nations Development Assistance Framework (UNDAF) 2008-2012, which is focused on "promoting social, economic and political inclusion for the most disadvantaged, especially women and girls." The formulation of the UNDAF in turn has been guided by the Millennium Development Goals (MDGs) and the vision of the Eleventh Five Year Plan that places a high priority on inclusive growth.

The purpose of this outcome evaluation is to:

- Provide substantive direction to the formulation of programme and project strategies
- Support greater UNDP accountability to national stakeholders and partners in India
- Serve as a means of quality assurance for UNDP interventions at the country level; and,
- Contribute to learning at corporate, regional and country levels.

The outcome evaluations help to assess UNDP contributions towards the progress made on outcome achievements. These outcomes are generally identified in the programme or project results frameworks and aid to provide evidence if possible to support accountability of programmes.

The outcome evaluation is being conducted in mid 2011 towards the end of the current programme cycle of 2008-2012 with a view to contributing to the preparation of the new UNDP country programme starting from 2013 as well as the forthcoming United National Development Assistance Framework scheduled to start in the same year.

3. Scope and Methodology

3.1 Scope

The evaluation exercise has looked at the projects implemented within the framework of Poverty Reduction and Energy/Environment portfolios as summarized below. In addition to assessing the overall result and development impact of the programmes in these two portfolios, this evaluation has also taken into consideration the impact of these programmes on **cross-cutting issues** identified in the CPAP such as **gender equality and inclusion.**

The outcome evaluation has:

- Reviewed the programmes and projects of UNDP with a view to understand their relevance and contribution to national priorities for stock taking and lesson learning, and recommending corrections that may be required for enhancing effectiveness of UNDP's development assistance;
- Reviewed the status of the outcome and the key factors that have affected (both positively and negatively, contributing and constraining) the outcome;

- Assessed the extent to which UNDP outputs and implementation arrangements have been effective for strengthened linkages between the two outcomes (the nature and extent of the contribution of key partners and the role and effectiveness of partnership strategies in the outcome);

- Provided recommendations for future country programme in the two outcomes of the Poverty Reduction and Environment Portfolio and particularly for better linkages between them.

The results of this evaluation exercise will be used by UNDP India and the Government of India in preparing the United Nations Development Assistance Framework (UNDAF) and UNDP Country Programme for the years 2013-2018. UNDP will incorporate the findings of the evaluation, experiences and lessons learned while preparing the new Country Programme Document. This evaluation is also expected to bring recommendations regarding partnership and implementation strategies.

3.2 Data Collection and Sampling

The project selection for the evaluation was done in consultation with the ADR team and the UNDP staff. No sampling tool was used to randomly select the projects. It was decided that a mixture of projects should be looked at comprising of

1. Projects which have been completed
2. Projects straddling both the CPAP time scales
3. Projects which have been initiated under the current CPAP
4. Projects implemented by UNDP itself
5. Projects which contributed to multiple outputs

The list of projects selected for the evaluation is given below along with information on field visits and interviews that were done as a part of the evaluation. In addition to the project wise list of interviews, the UNDP team was interviewed.

PROJECTS	Projects which have been field visited	Interviews with Partners/ External Agencies
ENERGY AND ENVIRONMENT		
Community Based Biodiversity Conservation through Natural Resource management		Mr Hem Pande Joint Secretary MOEF and Mr Farooqui Addl Secretary MOEF
Institutional Strengthening /Project for the phase out of ozone depleting Substance under the Montreal Protocol Phase VI (DEX)		Mr R. S. Aggarwal, Advisor Oxone Cell(No one from MOEF)
Conservation and Sustainable Use of the Gulf of Mannar Biosphere Reserve	FV	Dr Deepak Samuel and UNDP Team/Dhan Foundation /CCD/Community members
Second National Communication		Mr Subodh Sharma, Advisor MOEF
Biomass Energy for Rural India (BERI)	FV	Mr G. S. Prabhu CCF, Karnataka and Field team, Community members
Removal of Barriers to Energy Efficiency Improvement in the Steel rerolling Mill sector	Was asked by UNDP not too FV	Mr N. R. Dash Director and NPC
Energy Conservation in small sector tea processing units in South India	FV	Tea Board/ Tea factories/TIDE/KVK
Strengthening Institutional Structures to Implement the Biological Diversity Act	FV only Bhopal	Mr Farooqui Addl Secretary MOEF/State Biodiversity Board and MP team
Natural Resource Conservation outside Protected Areas	FV	Prakriti Srivastava DIG WL, MOEF and A.K. Srivastava IG WL, MOEF. CWLW, MP. Forest officers MP, Field team MP
Integrated Land and Eco-System Management to Combat Land Degradation and Deforestation in MP	FV only Bhopal	Dr. M S Rana, APCCF MP, Bamboo Mission Bhopal
Capacity Building for Addressing Climate Change		Mr S. Satpathy, Director MOEF
Access to Energy – Enhancing Effectiveness in Electricity Distribution and End-uses.		
National Programme on Promotion of Conservation of Medicinal Plants and Traditional Knowledge for Enhancing Health and Livelihood Security	FV Bangalore	Dr Sanchita Jindal Director MOEF, Dr Haridasan FRLHT
Coal Bed Methane Recovery and Utilization		
Hospital Waste Management		Dr Subba Rao, Director MOEF
Energy Efficient Electric Motors		Mr Ajay Mathur, Bureau of Energy Efficiency plus team
Renewable Energy for Rural India		Mr Gupta Secretary MNRE plus team
POVERTY REDUCTION		
ICT for Development		Mr Chandrashekhar, Secretary ICT
National Strategy for Urban Poor		
Social Mobilisation around Natural Resources Management for Poverty Alleviation		
Endogenous Tourism		Amitabh Kant
Women's Empowerment funded by IKEA Foundation	FV	Vandana IKEA Foundation, NGOs in Field, NABARD, UNDP team in Banaras, Community members

PROJECTS	Projects which have been field visited	Interviews with Partners/ External Agencies
Innovation Support for Social Protection: Conditional Cash Transfers		
State level Support to Livelihood Promotion Strategies – Rajasthan	FV	Vijay Mahajan, CEECODECON, URMUL, RMOL team, ITIs, RISE, AH dept Bikaner
Financial Inclusion NABARD		

Evaluation was based, among other things on documents such as project documents, project briefs, annual workplans, progress reports, reviews, minutes of meetings, evaluation reports where applicable, outcome evaluation report of the 2003-2007 CPAP etc that were made available by the UNDP office on each project. Field visits, interviews with key functionaries and stakeholders were carried out to assess the project and answer the key evaluation questions. Select project sites in Rajasthan, Uttar Pradesh, Madhya Pradesh, Karnataka and Tamil Nadu have been visited to meet the local stakeholders and beneficiaries including Central and state government officials, civil society organizations, local authorities, academics and subject experts, individual entrepreneurs, etc.

The evaluation process was as follows

- Desk review of existing documents
- Interviews with UNDP staff
- Interviews with Project Directors, Project Coordinators, Project officers where available
- Interviews with implementing NGOs, state agencies, technical partners
- Field visits and Interactions with local community
- Debriefing with UNDP staff

3.3 Key Questions

The evaluation assessed the following for each outcome in the 2008-2012 programming cycle for the Energy and Environment and Poverty portfolio:

- Relevance: Are the outcomes relevant to UNDP's mandate, to national priorities and to beneficiaries' needs? (Relevance to UNDP's country programme)

- Effectiveness: Have the intended impacts been achieved or are they expected to be achieved?

- Do different outcome definitions feed into each other and is there a synergy in between? Is the outcome achieved or has progress been made to achieve? Has UNDP made significant contributions in terms of strategic outputs?

- Efficiency: To what extent do the outcomes derive from efficient use of resources? And to what extent UNDP has contributed to the outcomes versus that of its partners?

- Degree of Change: What are the positive or negative, intended or unintended changes brought about by UNDP's intervention in these outcomes?

- Sustainability: Will benefits/activities continue after the programme cycle?

The evaluation questions also included an assessment of the extent to which programme design, implementation and monitoring have taken the following cross cutting issues into consideration:

- Human rights
- Gender Equality
- Capacity development
- Institutional strengthening
- Innovation or added value to national development
- South-South Cooperation

Some of the generic outcome evaluation questions for each project/ stakeholders were:

- Were stated outcomes or outputs achieved?
- What progress toward the outcomes has been made?
- What factors have contributed to achieving or not achieving intended outcomes?
- To what extent have the UNDP outputs and assistance contributed to outcomes?
- Has the UNDP partnership strategy been appropriate and effective?
- What factors contributed to effectiveness or ineffectiveness?

The key questions were aimed to identify current areas of strengths, weaknesses and gaps, especially in regard to:

- The appropriateness of the UNDP partnership strategy
- Impediments to the outcome
- Midcourse adjustments
- Lessons learned for the next programming cycle
- Inform higher level evaluations, such as ADRs and evaluations of regional and global programmes, and subsequent planning
- Support learning across UNDP about outcome evaluation

The outcome evaluation also tried to address

- the broad-based linkages with development;
- partnerships across agencies;
- analysis of the external local, regional and global environment in the analysis of success;
- significance of the role of partners in the attainment of those outcomes

However, in case of a few projects the evaluation exercise has been constrained due to limitations of documents available and also non availability of interviewees.

4. Major Findings

4.1 Poverty Reduction

All the projects of the Poverty reduction Programme have been aimed at the UNDAF outcome viz. **"Improved effectiveness of poverty reduction and livelihood promotion programmes in disadvantaged regions and for the inclusion of poor women and men from SC and ST groups, minorities and the displaced".** All the projects which were looked at in detail are also aligned with the national priorities of the Government of India. Most projects focus on themes such as **Inclusive Growth, facilitate effective implementation of Governments Policies and Programmes (both state and national) and try to reduce disparities and poverty through pilots and innovative models** that are identified as priorities in the 11th Five Year Plan of the Government of India**.**

There was a strong focus on working with Central Ministries in the previous CPAP to facilitate effective implementation of policies and schemes as well as to showcase some pilots for the same. However, there was a realisation that this does to some extent bypass the state governments and in the end has a negative impact on the successful adoption and acceptance of the work of UNDP. In the current CPAP, therefore, there has been a clear focus to work with state governments to make the projects more relevant and acceptable. This strategy also builds upon learning's from initiatives like the State livelihoods Programmes that were initiated towards the end of the previous CPAP.

Relevance:

Projects like Endogenous Tourism and ICT initiated in the previous CPAP were strategic enough to align with the Government of India's upcoming policies or newly mandated priorities and demonstrate some good models. Some pilots on the ground have been very well received and appreciated. They have had positive impacts in most cases and have demonstrated livelihood augmentation and inclusion of minorities and poor in relevant schemes and programmes. For example, the revival and up gradation of *Magra* breed of sheep in Bikaner has actually helped the community to augment their incomes and improve upon their traditional

occupation. The IKEA Foundation project also has brought a holistic approach appreciated by the implementing NGOs and has had a positive impact on the women it focuses. The women are now aware of their rights and entitlements and have also started asserting themselves to a certain level to access them. The political empowerment component of IKEA Foundation is perhaps the best example of taking advantage of an opportunity of the upcoming panchayat level elections to develop capacities and capabilities of women in legal and political dimensions to enable them to take part in an effective manner in local level decision making process and exercise their democratic rights. Similarly the tourism project which developed infrastructure, capacities and tourism potential of the chosen project sites also has been able to showcase community based tourism as a potential for enhanced livelihoods albeit not in all cases.

The National Strategy for Urban Poor (NSUP) helped the newly carved out Ministry of Urban Development and Poverty Alleviation in 2003 to develop its strategies and focus its work on urban poor. The terminal evaluation report considers it to be a very relevant and timely programme as urban poverty alleviation is of major importance for India due to its need for achieving inclusive growth and fulfil its Millennium Development Goals. It has also been credited to bring the issue of urban poor and urban poverty to the forefront of policy making.

Similarly, the approach adopted as Social Mobilisation for Natural Resource

UNDP Focus on Women

Several projects that were reviewed and evaluated had an explicit focus on women. This focus was both on enhancing livelihoods for individuals as well as building capacities through creating community level organisations such as Self Help Groups.

Thus, in the IKEA Project in 2009-10, the achievements were following: "The project has its own 12 point empowerment charter ratified by 13,000 women, 16000 women have benefited from SHG revival, 4000 women volunteers are working in each village as change agents, 2735 women are trained on good credit management practices, two value chain up-gradation plans in the dairy and craft sectors covering an expected outreach of 17,000 women are underway, 35,000 women equipped with market oriented entrepreneurial skills, 20,000 women know their political rights better and over 12,000 know their legal rights under law better, political awareness campaigns have resulted in over 100% increase in voter registration in some pockets."

In the "Social Mobilisation around Natural Resources Management for Poverty Alleviation" project, ", a total of 5156 women's collectives were mobilised /strengthened by the project in 2180 villages."

Similarly the GOMBR project also focussed on fisher women SHG formation for livelihood augmentation

The financial literacy programme in the Tonk district (RMOL) also trained over 10,000 women of which 50% belonged to minority groups to enable them to access financial institutions, open bank accounts and purchase insurance policies

Management project is very relevant. Social mobilisation alone is not enough but as a base for action towards NRM, livelihoods, and micro enterprises it has proven to be effective for sectoral integration and poverty alleviation.

The strategy for setting up state level livelihood missions does seem to bear fruit. The support to Missions have has been designed in a manner that UNDP support is essentially for setting up technical secretariat to support the Mission, designing and testing of pilots, facilitating experience sharing, forging new partnerships and for action research and policy analysis/influence. The RMOL has played a pivotal role in bringing about - in certain instances - an effective convergence of various livelihood programmes/schemes and other related initiatives in the state. It has increased the outreach of government schemes to the weak and marginalised sections of the society. The livelihood missions have led to improved delivery mechanisms and bring about synergies between numerous development schemes. The Jharkhand State Livelihood Promotion Society (JLPS) which was also set up under this project has been identified as the nodal agency for facilitating the smooth implementation the National Rural Livelihood Mission in the state.

New and innovative approaches such as financial inclusion project seem to have been tested particularly services such as mobile van banking. However, since this and other projects are ongoing and have not yet been evaluated, it is difficult to say anything much regarding effectiveness, efficiency or sustainability

However, in some cases, the rationale of selecting some themes or priorities like the Conditional Cash Transfers (CCT) pilots for demonstration is not stated clearly. The purpose of this project is directed towards testing policy instruments for social protection mainly "cash transfers". However, as the pilot is really small and not representative, it is not clear how policy instruments based on non representative samples can be upscaled. The added value in doing this project is not apparent since the Delhi Government is in any case going to do pilots on this approach. In addition, within the development community in India, there are conflicting views around CCTs and many sections, especially among civil society, consider these measures to be anti poor. The relevance of UNDP's pilot in CCT with a tiny sample needs further reflection especially since the Delhi Government is already pursuing this approach. However, through this project, some vulnerable groups like the homeless have been surveyed for whom the Government does need to design and designate special schemes. An end line assessment is also expected in early 2012 and would probably be able to suggest the viability of this approach in Indian conditions.

Efficiency and Effectiveness:

- **Capacity building and Funding:** In almost all projects it has been recognised that UNDP funding and support has been crucial in providing the impetus for community mobilisation, skill enhancement, capacity building, and bringing in technical expertise for enabling the projects to accomplish their objectives and goals. It has been stated over and over again that UNDP provides the space and is flexible enough to allow the project to reorient some of its activities. At times the funding provided by UNDP is small but has been crucial as it provides project dedicated personnel for a sustained engagement and focus solely upon the project which is difficult for a government counterpart to do.

- **Planning and Implementation:** It has been observed across all projects that the project cycle gets inevitably delayed. Almost all projects have started late, this is perhaps due to a lot of procedural requirements but if it is so, then there should be ample time budgeted within the project during planning itself, so that this requirement is taken care of. For projects to be more effective and efficient, the time duration also needs to be adequate (four year are not enough) so that they need not take extensions like in the case of NSUP.

- **Technical Knowledge:** UNDP relies heavily on external expertise. This is even true for projects it is implementing on its own. Most partners have stated that UNDP personnel do not really provide any technical inputs into the projects. However, they all agreed that UNDP can often source the right kind of expertise and make it available.

- **Scale and Impacts:** UNDP supported project support are either embedded in government schemes or are sites for testing innovative approaches to demonstrate their viability for up-scaling. While there is evidence of positive impact of pilots, UNDP could focus more closely on the design of pilots that are more amenable to large scale upscaling and absorption in the government system. In this regard, one needs to look at the size and scale of pilots in some cases as the pilots may not be representative enough to scale up or get absorbed in the government system. In addition, perhaps pilots need to be designed in a manner such that there are elements that lend themselves to upscaling and replication.

- **Partners:** Some of the project successes can be attributed to the right selection of the implementing partners. This is especially true in the case of the Social Mobilisation Project where the project was successful in some districts because the NGOS understood the concept, were capable, and had a sense of ownership of the projects. Partnering with RLEK and CECOEDECON also has enhanced the projects ability to

undertake some components effectively with a wider coverage.

4.2 Energy and Environment

A total of fifteen projects were looked at in detail to assess and understand the Energy and Environment programme. Broadly these projects can be clustered under two broad thematic groups: Biodiversity Conservation and Climate Change. The climate change theme can be further subdivided into Energy Efficiency, Access to Energy, Multilateral Agreements and Capacity Building. All projects were aligned to the UNDAF outcome "By 2012, the most vulnerable people, including women and girls, and government at all levels have enhanced abilities to prepare, respond, and adapt/recover from sudden and slow onset disasters and environmental changes. In addition, the projects taken up for evaluation were aligned to the CPAP under these outcomes:

- **Outcome 4.2. "Communities are aware of their vulnerabilities, and adequately prepared to manage (and reduce) disaster and environmental related risks "**
- **Outcome 4.3. "Progress towards meeting national commitment under multilateral environmental agreements"**

The corresponding national priorities articulated in the approach paper of the 11th Five Year Plan stated that "protection of environment is extremely important for our well being". The approach paper further emphasized the need to aim for significant improvements in this area and noted the devastating effects of the profligate use of water and deforestation and recognized the threat of climate change for future generations. The approach paper accorded importance to building environmental concerns into the country's development strategy.

Economic Inclusion and Emission Reduction: Focus on SMEs

The project "Removal of Barriers to Energy Efficiency Improvement in the Steel Rerolling Mill Sector in India" focuses on the neglected and backward but socially important employment generating unorganised part of the steel sector in India. It seeks to augment their capacities as well as bring about technological changes leading to significant emission reduction and energy savings.

Similarly, the UNDP is also working on introducing a new Copper Motor Rotor technology for manufacturing energy efficient motors used in the industrial and agricultural sector to reduce missions and enhance energy efficiency in the Indian economy

Relev ance:

The energy and environment programme is carrying out pilots to prevent erosion of India's biodiversity resources as well as positioning India on a low carbon trajectory especially with respect to making available electricity to the 40% Indian households that do not have access to it and improving energy efficiency in energy intensive sectors such as steel and tea. Most of these however are supported by GEF.

Biodiversity Conservation: India is a mega diversity country harbouring diverse and valuable resources that are of global importance. As such, UNDPs thrust on biodiversity conservation is relevant from the perspective of the poor in India, many of whose incomes and livelihoods are directly dependent on biodiversity resources. It is thus essential that India should achieve its development goals without degradation and loss of biodiversity

The most relevant aspect was the diversity of approaches and strategies to achieve conservation of biodiversity under different contexts. The Medicinal Plants project focused on creating awareness about the importance of medicinal plants in our daily lives and tried to develop mechanisms for its conservation and use. The promotion home herbal gardens, forming associations of local vaidyas at block levels and helped the local community to use and preserve medicinal plants. On the other hand the Gulf of Mannar project focussed on preserving coastal and marine biodiversity within a wildlife protected area that had been notified under the Wildlife Protection Act (1972). The Gulf of Mannar is one of the oldest projects. It has created a lot of awareness among the local communities about the ecological value of the area. The project has also managed to stop poaching of turtles and mining of corals from the area. The more recent projects have focussed on conservation of biodiversity outside wildlife protected areas. The focus on creation of community managed biodiversity reserves and also build a stake in restoring degraded forest areas through community involvement is an innovative approach and an extremely relevant one.

Climate Change: Even though per capita emissions in India are low, they could rise up to unacceptable levels in the future and threaten the global climate system and its stability if India pursues its development goals such as providing energy or electricity to all through high carbon emission energy options. Thus, the emphasis on pursuing low carbon energy options to the maximum extent possible is essential for the stability of the global climate system in the future. Yet, a low carbon development and energy pathway is also imperative for protecting the poor in India, who are likely to be the most vulnerable to impacts of dangerous climate change. Indeed, the poor in India are already suffering due to the climate change that has occurred till now due to high GHG emissions of the

developed world in the past.

Capacity Building: A very crucial initiative where the state governments capacities are being built to develop State Climate Change Action Plans and deal with various aspects of Climate Change. The development of a framework for State Action Plans for Climate Change has been accepted by the MOEF and has been used to States for developing the State Action Plans.

Access to Energy: Effectiveness in electricity distribution and end uses, Biomass Energy for Rural India (BERI) have developed pilots which seek to enhance access to energy of the rural households and villages through low carbon options such as using biomass for electricity generation. The BERI pilot though running successfully has kind of lost its significance for the rural poor as it was delayed and could not build upon its community ownership. In addition, the selling of electricity to BESCOM fetches only Rs 2.85 Rs per unit but the costs to generate the electricity is around 4-5 Rs per unit, though as per the UNDP Delhi office informed that the cost of production of electricity is actually higher. However, the lessons learnt from the pilot on the technology aspect have helped the MNRE to develop other biomass based projects. This project has also contributed to the Government of Karnataka fixing a feed-in tariff for biomass based electricity generation.

Energy Efficiency: Energy Conservation in Small Sector Tea Processing Units in South India and Removal of Barriers to Energy Efficiency Improvement in Steel Re-Rolling were relevant from the perspective of meeting India's development objectives by making available more efficient processes and technologies in energy intensive units of the unorganised sector that provides more employment than the organised corporate sector and having co-benefits of reducing emissions. The Tea project has led to reduction in energy usage by 80% by just replacing conventional chokes by electronic chokes and 30% by using FRP fans in the withering trough. Similarly storage of firewood in closed sheds, replacement of firewood by biomass briquettes, use of solar air heaters has also led to increased efficiency in thermal energy

Energy Conservation in Small Sector Tea Processing Units in South India

This initiative reaches out to tea producers in South India who would otherwise not have been motivated to invest in energy savings and efficiency enhancements. 62 units are reportedly investing in energy efficiency equipment resulting in electricity savings of 5,187 MWh. 30 units have also initiated some thermal energy conservation activities. The success of this initiative has resulted in outreach to tea producers in Assam by the Tea Board. Reportedly, tea producers from Sri Lanka as well as Uganda have also shown an interest in

Multi lateral agreements: Institutional Strengthening Supported by the Montreal Protocol, Second NATCOM and Hospital waste management are in direct support of fulfilling India's obligations to multilateral environmental agreements. UNDP is an implementing agency for these multilateral agreements.

Efficiency and Effectiveness:

- **Awareness Generation and Outreach:** Almost all projects have had a strong component on awareness generation about conservation issues. The medicinal plants project has encouraged the forest department to include the conservation of medicinal plants in their plans. The Gulf of Mannar has enabled the communities to learn about legal provisions of the Wildlife Protection Act like what is a Scheduled 1 species. This perhaps has been the most valuable contribution which has been provided by all projects whether they have focussed on biodiversity conservation or promotion of energy efficient technology. The energy access pilots are consistent with efforts to provide electricity to villages in a decentralised manner which must be promoted instead of focusing solely on grid based expansion.
- **Capacity Building:** Almost all projects partners and stakeholders have appreciated the efforts to enhance capacities of project stakeholders like from local communities to tea factories and to relevant ministries. The training and capacity building of Village Resource persons under the medicinal plants project has also been beneficial. It has also been acknowledged that UNDP contribution to bring technical knowhow and skills for better processing of NTFPs have benefitted the local community. Similarly, capacity building and providing appropriate technology to SME owners, motor manufacturers, technicians and R&D support to CIPLA for inhalers have been a very effective contribution of UNDP.
- **Community Involvement:** Some projects have strong components of strengthening community involvement in biodiversity conservation through promoting sustainable community use. Projects like Gulf of Mannar and CCA have established and are establishing village level institutions to ensure participation in project activities and also livelihood augmentation. However, delays in project implementation in some cases like BERI has not been able to set up mechanisms to involve the community in the projects as envisioned
- **Interlinkages:** Some projects have crosscutting benefits which range from health (medicinal plants), to augmenting incomes (CBNRM) to providing water for irrigation and diversifying livelihoods (BERI)

- **Technical Capacity:** One of the frequent criticisms that one has come across from project partners and stakeholders has been that the UNDP India staff more often than not do not provide required technical inputs. Technical inputs, if any, are provided by the UNDP offices in Bangkok or New York. For example, the Ozone Cell in the MoEF appreciated the technical inputs of UNDP Bangkok office. Some projects have contributed to exchange of technical knowhow under South South Cooperation initiatives. Iran has shown an interest and will get assistance from India in CFC phase out in the metered dose inhalers.

- **Partners:** Identification of right partners is crucial for success of the project and selection of appropriate implementing partners like Bureau of Energy Efficiency (BEE), Technological Informatics design Endeavour (TIDE) has enhanced the projects impacts and outcomes

4.3 Challenges

Both the programmes face similar challenges and thus these have been clubbed together.

- **Strategic Thinking:** A wide variety of stakeholder consultations are carried out prior to CPAP formulation. This is also followed up by interactions with state and central government departments before an issue of mutual interest is identified and a project developed. However, it is not very clear if UNDP looks at its resources and then decides on how best to address the outcomes of its CPAP. There seems to be some ambiguity in the process of project selection and the targets to be achieved.

- **Scale:** As mentioned above this question needs to be discussed and investigated further. UNDP is in a good position as it works closely with the government and thus can see successful initiatives getting up scaled and absorbed into regular government schemes. However, because of its strategic position as a regular partner of the Government of India, it is felt that there could have been a better achievement of outcomes. Perhaps this could also have been addressed if there had been a greater engagement on policy advocacy efforts.

- **Cooperation Issues:** At all field sites, there seems to be a limited engagement with the district authorities. There is good interaction at the panchayat level but very limited linkages have been established with the relevant line agencies in the district. The IKEA Foundation project is an example of this. It seems that eliciting greater engagement from the district authorities is to a certain extent dependent upon the implementing NGOs and partners. It would be desirable if the UNDP field team focuses

on this aspect and prioritises on building relationships and linkages with the relevant line departments especially at the district. It seems that this was not the case in the previous cycle projects as projects like Endogenous tourism and Social Mobilisation around NRM did have strong linkages with the district authorities. However in this cycle, there was no evidence of such linkages.

- **Staff and Capacity:** Both the UNDP teams (poverty and environment) consists of individuals with several years of experience and technical qualifications, but there was very little acknowledgement of this across the board. There is a strong feedback that the capacity of UNDP field teams needs to be enhanced. There is an overall consensus among partners that there is very limited contribution of UNDP staff on technical issues. At least in one project the UNDP staff seems to be working in a silo and a better integration of their workplans and achievements would benefit the work immensely. There is also a need to strengthen field level involvement and engagement of the staff in charge of projects.

- **Project Procedures:** The requirement of implementing NGOs to repeatedly bid for various tasks for the same projects seems to be counterproductive and does not create a sense of ownership and security. This has been pointed out by CFOs of the IKEA Foundation project though they were appreciative of the UNDP staff support. This is also a time consuming task and breaks the continuity and flow of the activities being implemented. In addition, a lot of partners have mentioned that the reporting requirements are complicated and tedious. This is especially true in the case of GEF funded projects.

- **Advocacy and Lobbying:** The UNDP team is working to a certain extent on policy issues like State Action Plans for Climate Change, Climate financing and technologies but there is almost no visibility of this work and this needs to be imporved. The advocacy and lobbying also does not seem visible in most cases. It seems that there is little or no effort that is being made for policy advocacy. The attitude seems to be that simply partnering and aligning with the government will result in impacts on policy changes and reforms.

- **Lessons sharing and cross learning's:** UNDP unfortunately does not seem to provide adequate opportunities for their own staff and implementing partners to visit each other's field sites and interact with stakeholders. Cross learning seems to be limited to offsite meetings, partners meet and retreats. The tea project is seen as an exception as it takes out a quarterly magazine which is widely disseminated to share findings and learnings.

- **Monitoring and Evaluation:** In most projects, it appears that monitoring is being done of the activities and not the overall goals the project seeks to achieve. Some projects have developed a complex M&E system like the IKEA Foundation project but the utility of these outputs, especially for the beneficiaries is not clear. As a lot of projects have community institutions and mechanisms, it would have been good to include some participatory monitoring mechanisms that could be internalised and implemented by the beneficiaries themselves. This would also improve the downward accountability of the initiatives undertaken by UNDP

- **Documentation:** Not enough stress is given on process documentation and availability of documents is also limited.

- **Sustainability:** Most projects do not have explicit exit plans and assume that they would function even after withdrawal of UNDP support. This is true especially for the pilots. For example the financial literacy pilot which was carried out under RMOL by CECOEDECON was a highly successful intervention but it could not be pushed through/scaled up by UNDP. The positive side is that CECOEDECON understood its value, adapted it and have internalised it for all their projects. Again the Tea project stand out as the Ministry of Commerce is willing to put money in it for its replication and upscaling.

- **Project Cycles:** The CO office has to work in three financial cycles and report as per that also. The GEF has a July to June cycle, MOEF has an April to March cycle and UNDP office has January to December cycle. All this leads to multiple reporting cycles and duplication of effort. This at times also hinders the synchronisation of field activities time line and fund flow.

- **Dissonance of Authority and Accountability:** Reportedly, the decision making and implementing authority rests with the Government of India, particularly the designated National Project Directors. However, the accountability for project progress, funds utilisation, achievement of objectives etc. rests with the UNDP. This may lead to some tension when there are impediments in implementation and activities.

4.4 Synergies Poverty and Environment

There have been very limited synergies between various projects of the two programmes. Some incidental benefits have been very few like conservation of an indigenous variety of livestock, conservation of natural resources, and livelihoods augmentation due to some conservation interventions.

Components of the BERI and the Gulf of Mannar project have contributed significantly towards livelihoods augmentation of the local community. The provision of borewells and electricity connections to 32 water user groups under the BERI project has converted the marginal rain fed farmers to multi croppers who can irrigate their land and take cash crops also. One borewell is used by 4-5 families. Provision of microcredit for SHGs through the village Ecodevelopment Committees has also helped the poor fishing community to diversify their livelihood options. Similarly, the social mobilisation for natural resource management also helped in building stronger links between environment and poverty reduction.

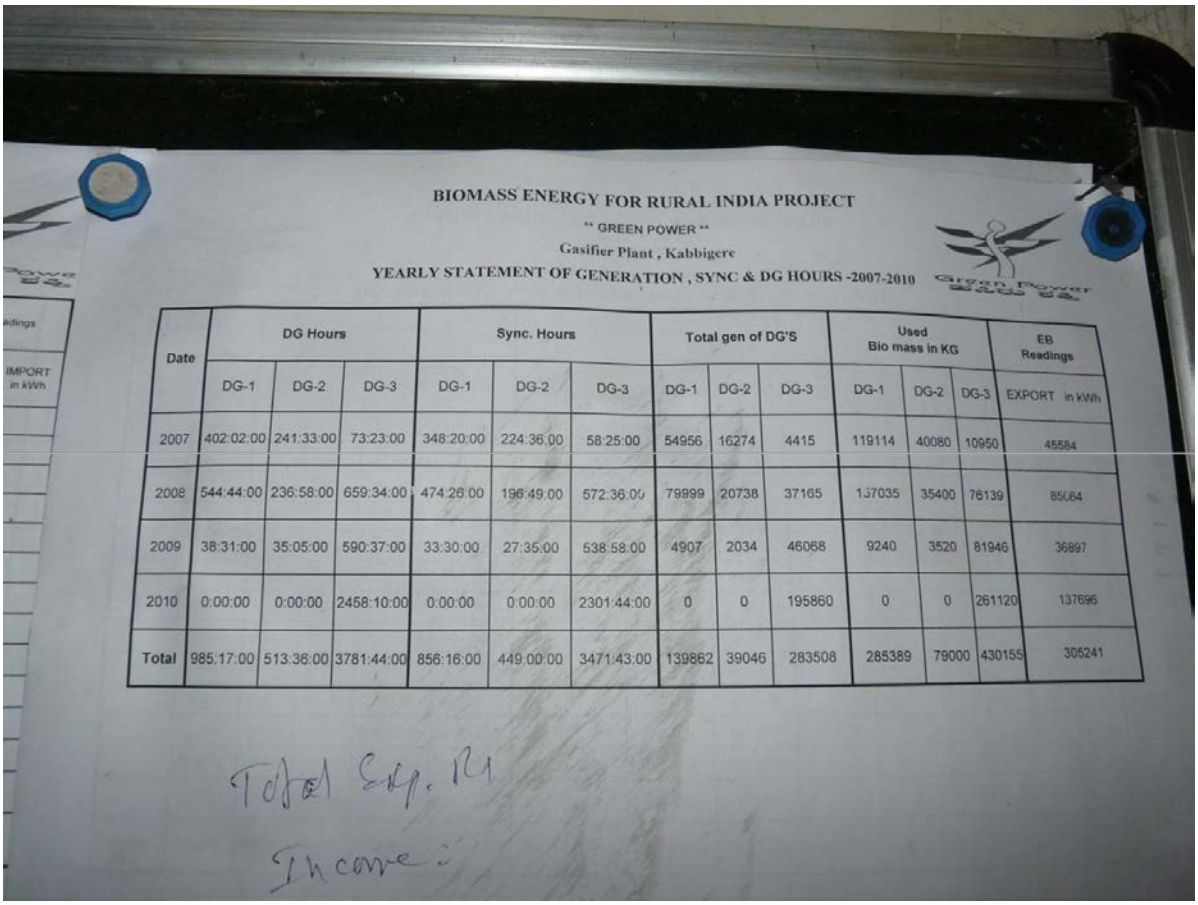
There is however a strong and critical need to build synergies and as mentioned in the mid term review "*Demonstrate the linkages between natural resources, poverty and climate change by considering a possibility of least one matrixed project focusing on climate-resilient and sustainable livelihoods in the coming cycle, to be jointly designed and implemented as a cross-programme initiative by the Poverty, Environment, Governance and Disaster Management teams*"

This aspect needs to be strengthened and some collaborative projects within programmes should be implemented to enable UNDP showcase and demonstrate the linkages effectively.

Some Glimpses of the field visit

Biomass Plant, Kabiigere, Karnataka

Women Farmers supported by BERI



BIOMASS ENERGY FOR RURAL INDIA PROJECT

" GREEN POWER "

Gasifier Plant , Kabbigere

YEARLY STATEMENT OF GENERATION , SYNC & DG HOURS -2007-2010

Date	DG Hours			Sync. Hours			Total gen of DG'S			Used Bio mass in KG			EB Readings
	DG-1	DG-2	DG-3	DG-1	DG-2	DG-3	DG-1	DG-2	DG-3	DG-1	DG-2	DG-3	EXPORT in kWh
2007	402:02:00	241:33:00	73:23:00	348:20:00	224:36:00	58:25:00	54956	16274	4415	119114	40080	10950	45584
2008	544:44:00	236:58:00	659:34:00	474:26:00	196:49:00	572:36:00	79999	20738	37165	137035	35400	76139	85064
2009	38:31:00	35:05:00	590:37:00	33:30:00	27:35:00	538:58:00	4907	2034	46068	9240	3520	81946	36897
2010	0:00:00	0:00:00	2458:10:00	0:00:00	0:00:00	2301:44:00	0	0	195860	0	0	261120	137696
Total	985:17:00	513:36:00	3781:44:00	856:16:00	449:00:00	3471:43:00	139862	39046	283508	285389	79000	430155	305241

Total Exp. Rs

Income :

Record keeping at BERI Plant, Kabbigere, Katnataka

Pariyat river and tank, Jabalpur CCA site

Blackbucks in the Dindori CCA site

SHG members weaving baskets (Gulf of Mannar)

Village Meeting with Panchayat Representatives (IKEA Foundation)

Ongoing electrical wiring Class in Construction Academy (RMOL)

Security Training Institute in Jaipur (RMOL)

Magra Sheep farmer in Bikaner (RMOL)

5. Recommendations

5.1 Generic Issues

Consolidate Programme focus: There is a need to consolidate and prioritise the type of projects which these two programmes should implement. Both the programme areas viz. poverty reduction and energy and environment, have a very large number of small, unrelated projects. Some details of the relative size of projects are provided here:

- Poverty reduction and MDG achievement: The present programme cycle has 15 projects – 6 projects that continued from previous cycle and 9 projects in the current cycle and these have been listed with their expenditure details below. [UNDP feedback]

Award ID	Project ID	Project Title		Expenditure during 2008-2010		Total Expenditure
Projects from Previous Programme Cycle				**core**	**non core**	
13052	13052/53509	ICT for Development		732,997	0	
13045	13045	National Strategy for Urban Poor		740,146	0	
13043	13043	Endogenous Tourism		1,586,001	0	
35859	38717	Vulnerability Reduction in Marwar Region (JBF) Phase I		0	1,010,842	
46521	55474	Capacity Development to Operationalize the Orissa Resettlement & Rehabilitation Policy, (R&R Phase-II)		286,703	0	
31547	31675	Social Mobilisation around NRM for Poverty Alleviation		171,422	0	
Sub total				3,517,270	1,010,842	**4,528,112**
Projects from current CPAP			**Budgets (2008 to 2012)**	**Expenditure until 2010**		
49804	74054	State Level Support to Livelihood Promotion Strategies - Rajasthan	2,608,093	2,136,158	0	
49804	74057	State Level Support to Livelihood Promotion Strategies - Jharkhand	2,662,158	1,620,859	0	
49804	75417	State Level Support to Livelihood Promotion Strategies - National Component	488,635	488,635	0	
49804	61074	Financial Inclusion	2,300,000	1,060,077	0	

49804	61073	Innovation Support for Social Protection	1,000,000	312,223	0	
49804	61073	India Business Alliance on Water	150,943	-	150,943	
49804	61073	IKEA funded Womens Empowerment	799,517.00	-	2,089,523	
49804	78300	NRLM	1,104,558	0	0	
49817	61116	Water and Livelihood Security for Vulnerability Reduction in the Marwar Region of Rajasthan, India	512,500.00	512,500	0	
Sub total			11,626,404	6,130,452	2,240,466	**8,370,918**
Grand total						**12,899,030**

- Environment and sustainable development: The 15 biggest of 78 projects have disbursed 80 per cent of the total 60 million dollars of the programme. The median expenditure was $200,000, and the average was $770,000. [draft ADR]

This would imply that there are large number of different activities which may be too small to be effective or replicable. This does not suggest that small projects do not lead to positive outcomes. The major drawback is that managing such a range of projects across different financial cycles does limit the efficiency of the staff and the programmes capability to manage the portfolio effectively. Thus UNDP should consolidate and priortise and work only in select aspects with better focus under the two programmes. Measuring of progress and overall project focus needs to be more holistic than simply focusing on MDGs. There is a need to consider additional sustainability parameters. In addition, there is a need to develop projects that promote not just income enhancement but also focus on aspects dealing with health, food security, environment etc. Finally, perhaps there is a need to find a niche that it seems to have lost due to the growing domestic financing available with the Government of India for pursuing its development priorities. This niche could perhaps, it has been suggested, be in the area of capacity development or in cutting edge and strategic knowledge creation and effective pilots and demonstrations

Implement pilots which inform policy: Many of the pilot initiatives have shown good results but have not been upscaled. This means that even if there was a potential to inform policy choices and formulation, it has not been realised. Greater focus must be on pilots that can inform policy and carry them through to their logical end.

Develop explicit exit plans and sustainability mechanisms: It appears that projects

often have relatively long gestation periods, and implementation time frames tend to be compressed, unless they are extended further. Partnerships are mostly confined to the government departments and are not broadened to include other stakeholders such as local organisations and NGOS. Thus, once the project is over, and the participating government departments are moving on with their own priorities, sustainability of project activities suffers. This can be avoided through greater outreach and stakeholder participation during project formulation and implementation in order to generate greater ownership of projects.

UNDP needs to improve its visibility: UNDP needs to improve its interaction more with local NGOs and CBOs even if they are not direct partners. At present, there seems to be limited effort to showcase the work done in the field and there is limited awareness among CSOs/CBOs of UNDPs achievements and footprints.

Strengthen documentation and lessons sharing: Documentation of good practises must be cross- cutting across portfolios. This should be disseminated as widely as possible and in local and regional languages also. The lessons learnt should also be shared between projects and programmes. In this regard, it must be emphasised that the MTR, if used appropriately, is a good tool that can be utilised for mid-course corrections wherever they may be required.

Better synergies/linkages between programmes: Most of the projects are working in silos and there is no evidence that there is enough capacity building and cross visits among them. There needs to be an concerted effort to ensure that project learnings are fed into other projects and field staff are exposed to the kind of work happening across the country. Tools such as partners meet are useful in this regard.

South-South Cooperation: UNDP Country Office needs to promote more south-south synergy and cooperation since it is uniquely placed to do so. As UNDP has operations in other developing countries and work on similar issues, it would seem that they can be agents of change as far as greater south- south lesson learning and cooperation is concerned.

Reintroduce UNV: This was considered as a beneficial strategy and should be mainstreamed to develop an Indian model. UNVs have helped in improving project efficiency and effectiveness. They have worked as support mechanisms for better coordination and convergence and it is felt that this model should be replicated.

5.2 Programme/Project related

Poverty Reduction

Urban poverty is going to be increasingly important due to accelerated urbanisation and needs to be an ongoing focus. Vulnerable sectors should be highlighted and there should be a continuous and sustained engagement with the government to ensure adoption and implementation of the policies and strategies identified to mitigate this issue

The IKEA Foundation should integrate literacy as an integral component. It should also look at drudgery reduction, promotion of clean energy and drinking water which will also have some environment and health benefits. The livelihood component should identify most vulnerable SHGs and initiate feasible livelihood options. Effort must also be made to bring about more convergence among the various components of the programme.

Successful Pilots need to be upscaled and integrate into the governments programmes and schemes. Pilots embedded in state programmes and owned by the government have an institutional space for both innovation and upscaling. This should be strengthened across the portfolio and also through accelerated convergence with schemes and programmes of government and other stakeholders (e.g., donors, private sector).

Specifically, there needs to be a credible exit plan for the RMOL project that also includes upscaling and better convergence of the various pilots that have been initiated such as the Kanjar integration project. In addition, backward and forward linkages need to be thought through such as inclusion of fodder and grassland management in the sheep revival project

Energy and Environment

Biodiversity conservation as a source of pro poor livelihoods security and income enhancement must be highlighted and showcased. In this regard, there is a need to also strengthen systems and policies that promote co-management of resources and community involvement. Opportunities created by governmental initiatives such as the Forest Rights Act (2008) also need to be studies and their impact on biodiversity conservation measured and monitored. In addition, there is a need to look at systems and approaches that can lead to conservation of agro biodiversity as well as medicinal plants.

On biodiversity conservation, additional areas of focus could be:

- Focus on conservation of biodiversity of biomes other than those located in terrestrial and/or forests ecosystems such as marine protected areas that are starved of resources when compared with wildlife protected areas that harbour glamorous species like tigers
- Focus on conservation, in terrestrial and/or forest ecosystems in those areas that fall outside the protected area network of the country since valuable areas of rich biodiversity outside protected areas are starved of resources for promoting sustainable use and management of biodiversity
- Focus on areas where community involvement in the management, sustainable use and enhancement of local welfare can be promoted and for which required capacities need to be developed both within communities as well as institutions as well as enabling policies and governance systems created

Innovative institutional initiatives such as those taken up under the Gulf of Mannar project need to be further strengthened and developed. The various stakeholders of the project need to be part of the Trust and have a role in the decision making and operations. Special efforts must be made to bring the fisheries department and fisher folk forums on board. The Trust should not be seen as a government entity but as a mechanism where all stakeholders can participate freely. Almost everyone that was interviewed felt that the Trust needs to continue but with a governance that needs to be transformed. The livelihood options of the local community dependent on the marine area could also be diversified by exploring options like fish cultivation (only local species) like introducing cage fishing, management of the marine area as a common property for sustainable use through compensating local people for example, by providing insurance or cash transfers for not fishing in certain seasons. Creating, local level institutions like village conservation councils which can protect, manage and conserve small parts of the protected area or its adjoining marine or coastal belts is also worth exploring. Trust needs to be vibrant and establish an effective institutional mechanism to improve its functioning and impact.

The SLEM, CCA and the CBNRM projects are positive steps towards community involvement in management and protection of natural resources. There should be a concerted effort to ensure appropriate and robust community level institutions and mechanisms are developed to ensure effective implementation of the projects.

The BERI project is trying to get the get the authorities to relook at its electricity tariff so that it can get the right value of the electricity it supplies to the grid. It should also strengthen its mechanisms so that the panchayat can take ownership of the power plant. In addition, the plan to supply electricity to the village when the grid electricity is not available should be

operationalised as soon as possible. The supply of biomass for the power plant by local communities is a good model and perhaps can be explored as an option for looking the Thermal energy component of the Tea project.

The energy portfolio of the UNDP needs to focus on either energy efficiency or renewable energy. Within the renewable energy space perhaps the UNDP needs to decide whether it would focus on biomass energy or other renewable energy sources. Further, the UNDP needs to also make choices regarding whether it wishes to focus on the rural energy provisioning through grid based or off-grid solutions. An additional choice is whether UNDP would like to work on aspects of universal energy access or not. Making clear choices will help the UNDP to develop a portfolio that is focused and consistent and might result in better outcomes. At present, the energy portfolio seems diffused.

Annexure A: Desk Reviews of Projects

Environment and Energy

A: Access to Energy

Name of the Project: Access to energy – enhancing effectiveness in electricity distribution and end uses
Duration: Sep 2008 to 2012
Total Cost: USD 1,500,000
Objectives: To enhance access to clean and renewable energy for livelihoods in remote unelectrified villages in the seven selected UNDAF states (fact sheet)
Scope: 1. Design framework for quality and delivery of services including AT&C losses 2. Support pilots to address gaps and up scaling 3. Development of national strategy for "Accelerated clean energy access"
Main Components: 1. Policies and Schemes of rural electricity reviewed and inputs to formulate new set of guidelines 2. Rural franchisee system strengthened 3. De centralised Distributed Generation (DDG) scheme strengthened and up scaled 4. Efficiency of electricity end use in villages increased 5. Review supply of electricity under the RGGVY
Implementation Arrangements: 1. Ministry of Power (MoP), GoI was designated implementing partner. MoP also designated a senior officer as National Project Director (NPD) 2. Departments of Power/Energy at state level – Chhattisgarh, Jharkhand, Madhya Pradesh – and selected NGO/CBO to coordinate and facilitate project activities at the state level 3. Project Steering Committee (PSC) consisting of NPD, MoP officials, state government officials, NGO/CBO created. Tasked with consensus management decisions for effective project implementation and periodic project reviews 4. Project Management Board (PMB) co-chaired by MoEF and UNDP established to oversee delivery and achievements contributing towards higher level objectives of project. 5. Project Manager to carry out day-to-day management and be accountable to NPD and PSC and to liaise with UNDP. To also prepare detailed activities and workplans on the basis of Annual Work Plans (AWP) as well as prepare annual progress reports 6. Project Manager to be assisted by a Project Management Unit (PMU) 7. Project assurance was the responsibility of UNDP 8. Project finances to be routed through MoP budget under distinct budget line. Fund utilisation to be reported on a quarterly basis

9. Various monitoring arrangements including reviews and evaluations agreed upon, annually as well as within a given financial year. Midterm evaluation and outcome evaluations were to be conducted
***Relevance*: Are the outcomes relevant to UNDP's mandate, to national priorities and to beneficiaries' needs? (Relevance to UNDP's country programme)**: 1. Progress towards meeting national commitments under multilateral environmental agreements 2. Communities are aware of their vulnerabilities and adequately prepared to manage (and reduce) disaster and environment related risk (relevance to UNDAF)
***Effectiveness:* Have the intended impacts been achieved or are they expected to be achieved? Do different outcome definitions feed into each other and is there a synergy in between? Is the outcome achieved or has progress been made to achieve? Has UNDP made significant contributions in terms of strategic outputs?** Cannot say on the basis of available documents
***Efficiency:* To what extent do the outcomes derive from efficient use of resources? And to what extent UNDP has contributed to the outcomes versus that of its partners?** Cannot say on the basis of available documents
***Degree of Change:* What are the positive or negative, intended or unintended changes brought about by UNDP's intervention in these outcomes?** Cannot say on the basis of available documents
***Sustainability:* Will benefits/activities continue after the programme cycle?** Cannot say on the basis of available documents
Gender and equity: Cannot say on the basis of available documents
Any Innovations: Cannot say on the basis of available documents
Any other Issue: NA
Additional Remarks if any: Project is in the penultimate year of its project cycle
Documents Referred: Fact Sheet, Annual Work Plans (2009, 2010, 2011)

B: Integrated Land and Ecosystem Management to Combat Land Degradation

Name of the Project: Integrated land and ecosystem management to combat land degradation and deforestation in Madhya Pradesh
Duration: Five years - 2010 to 2014
Total Cost: USD 101,286,750 (Contribution of GEF/UNDP covers incremental costs of project equalling USD 5,763,000. GoMP contribution is USD 95,523,750)
Objectives: To promote community-driven sustainable land and ecosystem management at the landscape level through integration of watershed management, joint forest management, and sustainable livelihoods development so as to balance ecological and livelihood needs
Scope: The project aims to address issues pertaining to land degradation, biodiversity conservation and climate change adaptation
Main Components: 1. Creation of an enabling environment for climate-resilient, sustainable land and ecosystem management 2. Community-driven, climate-resilient approaches for sustainable land and ecosystem management are demonstrated in 4 micro-catchments 3. Capacities for adaptive management, learning and replication of project lessons are

developed
Implementation Arrangements: 1. GoMP designated executing agency 2. GoMP to appoint a National Project Director (NPD) 3. NPD to appoint project coordinator and administrative and financial assistant utilising GEF funding 4. GoMP to also establish a Project Steering Committee consisting of stakeholders at all levels to be chaired by NPD 5. Territorial/local committees to also be formed for each of the four micro-watersheds of the project 6. Project to be implemented on the basis of Annual Work Plans. Annual monitoring to occur through PSC. Annual Project Implementation Reports to be prepared at the end of each project year. Project Terminal Report to be prepared at the end of the project. Independent mid-term and final evaluations to also be carried out
***Relevance*: Are the outcomes relevant to UNDP's mandate, to national priorities and to beneficiaries' needs? (Relevance to UNDP's country programme)**: Project expected to contribute to achieving objectives of the sustainable land and ecosystem management programme. Project also expected to contribute towards achieving global benefits towards biodiversity conservation and sustainable use of forests. National and local benefits accrue towards sustainable use of natural resources as well as poverty alleviation and building rural resilience
***Effectiveness:* Have the intended impacts been achieved or are they expected to be achieved? Do different outcome definitions feed into each other and is there a synergy in between? Is the outcome achieved or has progress been made to achieve? Has UNDP made significant contributions in terms of strategic outputs?** The project was initiated only in 2010 so too early to assess effectiveness
***Efficiency:* To what extent do the outcomes derive from efficient use of resources? And to what extent UNDP has contributed to the outcomes versus that of its partners?** Cannot say on the basis of documents available
***Degree of Change:* What are the positive or negative, intended or unintended changes brought about by UNDP's intervention in these outcomes?** Cannot say on the basis of documents available
***Sustainability:* Will benefits/activities continue after the programme cycle?** Cannot say on the basis of documents available. However, since around 95% of the costs are being incurred by GoMP, the risk of benefits/activities not continuing after project period is low
Gender and equity: Cannot say on the basis of documents available
Any Innovations: Cannot say on the basis of documents available
Any other Issue: NA
Additional Remarks if any: Project is only in the second year of its execution
Document Referred: Project Document, Annual Work Plan (2009, 2010, 2011), Inception report, PSC meeting minutes (1st)

C: Biodiversity Conservation through CBNRM

Name of the Project: Biodiversity conservation through community based natural resource management

Duration: As per Project Document 2006 to 2010. The fact sheet states 2008 – 2010. The revised fact sheet states 2008 to 2012.

Total Cost: USD 3,000,000
Allocation:
2,000,000 for community work
104,000 UNDP use for travel and monitoring
828,384 Policy work
67,616 PMU (MOEF)

Objectives:

1. Facilitate the process of making the national and state-level policies and programmes more responsive to linkages between sustainable rural livelihoods and biodiversity conservation.
2. Enhance the capacity of communities and institutions of decentralized governance for integrating sustainable biodiversity based livelihoods in participatory micro planning while ensuring equity, transparency and accountability.

Scope:

1. National and state-level policies and programmes made more responsive to linkages between community driven and gender equitable sustainable natural resource based livelihoods and biodiversity conservation.
2. Enhanced capacity of communities and institutions of decentralized governance for integrating sustainable biodiversity based livelihoods and biodiversity conservation in participatory microplanning, ensuring equity, transparency and accountability.

Main Components:

At the national level:

1. Concepts, methods and tools for integrating sustainable natural resource based livelihoods with gender equality concerns into biodiversity conservation and development strategies, evolved.
2. Lessons from site based activities and policy analysis disseminated for programme formulation and policy reformulation.
3. Local, sub-national and national networks promoting community- based biodiversity conservation established
4. Institutional and technical issues that impinge on the integration of poverty and gender concerns into implementation of CBD explored.

At the community/local level:

5. Establishment of partnerships for community-based, gender-equitable approaches to pilot ecologically secure sustainable livelihoods which also address biodiversity conservation in 15 sites across various biogeographic zones.
6. Capacity of locally elected bodies (rural/urban), civil society organisations and communities strengthened to address biodiversity concerns in the generation of sustainable natural resource based livelihoods and natural resource management.
7. Equitable frameworks for community/government partnerships for managing common property resources based on equitable sharing of rights and responsibilities demonstrated.

8. Development and demonstration of initiatives to mainstream CBNRM through mutually supportive and organic linkages with institutions of local self government (uup gram sabhas/gram sabhas/PRIs at all three levels).
9. Register of innovations on poverty eradication through CBNRM based sustainable livelihood approaches evolved and disseminated.

Implementation Arrangements:

1 The Department of Economic Affairs (DEA), Ministry of Finance, responsible for the overall co-ordination
2 MoEF, GoI designated the Executing Agency for the project. Responsible for its overall management including achievement of planned results and for the use of UNDP funds.
3 National Steering Committee (NSC) chaired by the appropriate level official from MoEF to facilitate the required level of intersectoral coordination with other relevant ministries and departments of GoI and also ensuring the required level of participation from the concerned state governments in which the project is to be implemented.
4 The concerned Joint Secretary, MoEF, to be the National Project Director (NPD). The NPD to coordinate project execution on behalf of GoI and ensure its proper implementation
5 Project Management Unit was to be established at the centre and also responsible for 2 other projects; "National programme on promoting conservation of medicinal plants and traditional knowledge for enhancing health and livelihood security" and "Strengthening sustainable livelihoods for biodiversity conservation in Sundarbans". PMU to be headed by Project Coordinator responsible for day-to-day management of project as well as monitoring project progress

***Relevance*: Are the outcomes relevant to UNDP's mandate, to national priorities and to beneficiaries' needs? (Relevance to UNDP's country programme)**:
Relevance to UNDP India programme through the goal to conserve India's biodiversity by supporting livelihood options through community based natural resource management.

The midterm review suggests that this initiative was required in order to demonstrate and promote community based and led biodiversity conservation approaches especially outside the protected areas network, which is where most of the GoI resources are targeted.

***Effectiveness:* Have the intended impacts been achieved or are they expected to be achieved? Do different outcome definitions feed into each other and is there a synergy in between? Is the outcome achieved or has progress been made to achieve? Has UNDP made significant contributions in terms of strategic outputs?**
According to the midterm review, focus of the project was to contribute to India's national action plan on biodiversity conservation by translating and integrating community based initiatives, access to benefit sharing of natural resources, market oriented ecosystem services approach to sustain livelihoods through strengthened policy framework for implementing state–national programmes.

As far as project achievements related to the first set of objectives is concerned, the midterm review states that the progress in the project outputs were less than satisfactory. On capacity building issues however, the progress was said to exceed expectations.

***Efficiency:* To what extent do the outcomes derive from efficient use of resources? And to what extent UNDP has contributed to the outcomes versus that of its partners?**

The midterm review rates the project progress satisfactory on this aspect

***Degree of Change:* What are the positive or negative, intended or unintended changes brought about by UNDP's intervention in these outcomes?**

Difficult to say on the basis of available documents. However, it does not appear from the midterm review that the project achieved any significant transformation on the ground
Sustainability: **Will benefits/activities continue after the programme cycle?** Project progress was rated satisfactory under the updated midterm review
Gender and equity: Not clear. However, the project focus was on marginalised based communities and women were said to have been empowered through formation of self help groups that supports alternative livelihood for women and could allow them to be equally benefited from micro enterprises that process value added minor forest produce.
Any Innovations: Cannot say on the basis of available documents
Any other Issue: Project focusses on Tribals and other vulnerable groups
Additional Remarks if any: NA
Documents Referred: Project Document, Fact Sheets, EPSC meeting minutes (1-4), NSC meeting minutes (1-4), Annual Work Plan (2009, 2010, 2011), Project Status Reports, Updated Mid term review 2010, MOEF UNDP PPT, Annual Progress report Arunachal.

D: Biomass Energy for Rural India

Name of the Project: Biomass Energy for Rural India
Duration: Five year project starting in 2001 but extended upto 2012
Total Cost: USD 8,623,000 1. UNDP/GEF – USD 4,017,000 2. Bilateral ICEF – USD 2,495,000 3. Government of Karnataka – USD 1,481,000 4. Government of India (MNRE) – USD 391,000 5. Others – USD 239,000
Objectives: Project objective was to reduce CO2 emissions through the promotion of bioenergy as a viable and sustainable option to meet the rural energy service needs in India. Further, it would provide decentralised bioenergy technology packages for the provision of good quality rural energy services for lighting, drinking water supply, cooking gas, irrigation water supply, and milling; and help in removing key barriers to large-scale adoption and commercialisation of bioenergy technology packages. The two specific immediate objectives were: 1. To develop a decentralised bioenergy technology package for the provision of good quality rural energy services for lighting, drinking water supply, cooking gas, irrigation water supply and milling 2. To remove barriers to large-scale adoption and commercialisation of bioenergy technology packages
Scope: 1. Target beneficiaries included rural households (women and farmers), rural entrepreneurs, manufacturers of bioenergy systems and NGOS 2. Energy services to be provided under the project included biogas for cooking, electricity for piped water supply, and home lighting to households in 24 project villages 3. 2000 farmers were to benefit from provision of electricity for lift irrigation, availability of

biofertiliser, and increased incomes from farm forestry

4. Project villages were to benefit from community participation and village institution development
5. Entrepreneurial opportunities were to be created for installation and maintenance of bioenergy systems and around 60 entrepreneurs were to be provided with appropriate training
6. Government, NGOs and Energy equipment manufacturers were to benefit through involvement in the project

Main Components:

Related to the first immediate objective

1. Technology package standardisation
    a. Gas engine development
    b. Development of detailed technical specifications for bioenergy technologies
    c. Development of draft standards bioenergy package
2. System demonstration and proof of concept
    a. 1.2 megawatts woody biomass gasifier installations
    b. 120 kilowatts community biogas cum biofertiliser systems for domestic electric loads to meet the year around requirements
    c. 45 community biogas cum biofertiliser systems to meet the cooking gas requirements
    d. Establish short rotation energy forest plantations, agro-forestry systems, community forestry, horticultural orchards and high input forestry plantations
    e. Lessons in different modes of providing rural energy service package to rural villages including experience in gaining full cost recovery

Related to the second immediate objective

3. Capacity building to overcome institutional barriers
    a. Bioenergy packages for service enterprises for replication in other parts of rural India
    b. Approach and methodology for monitoring carbon flows in bioenergy project
    c. Training and involvement of women in planning and management of the bioenergy systems
    d. Training centre for training entrepreneurs, NGOs and managers on implementation of technology and institutional package
    e. Training for entrepreneurs, NGOs, technicians, and managers in business skills
    f. Infrastructure development for manufacturing, spare parts supply, and servicing of bioenergy systems
4. Enabling Activities to overcome market barriers
    a. "Fee for service" framework
    b. Policy papers to make impact on policy makers
    c. Case studies on bioenergy technologies and field implementation
    d. Workshops to involve stakeholders especially policy makers to exchange the experiences, study tours and policy research activities
    e. Documentation of lessons learnt and sharing of experiences
5. Information dissemination

a. Information package made available for bioenergy technologies manufacturers, suppliers, financial mechanisms, performance guidelines, R&D facilities, technical expertise etc
b. Methodology and designs for project formulation, financial analysis, implementation, fee recovery for services and project monitoring guidelines for potential replicability evolved
c. Development of promotional modules of bioenergy packages using audio-visual, print and other mass media for training and dissemination
d. Establishing communication network within the project area to enable proper communication among project sites, PMU, PSU and bioenergy services enterprises

6. Removal of financial barriers and creation of investment risk fund
   a. Financing of enterprises
   b. Creation of investment risk fund or revolving fund
   c. Formulation of approach involving bidding for concessions to operate future bioenergy systems in areas targeted for replication
   d. Demonstration of financial viability
   e. Demonstration of willingness to pay

Implementation Arrangements:

1. Designated executive agency was the Department of Rural Development and Panchayati Raj (DRDPR) of the Government of Karnataka (GoK).
2. Designated local implementation agency was Karnataka State Council for Science and Technology (KSCST). Other agencies expected to participate in implementation were MNRE, UNDP and ICEF at the national level and Zilla Parishad and Panchayats at the local level. KSCST was also expected to coordinate among all participating agencies as well as host the Project Management Unit (PMU).
3. Project Steering Committee (PSC) was to be formed under Chairship of the Development Commissioner or another senior officer in GoK. PSC was to be convened by the Project Director (PD). Main functions of PSC were identified:
   a. Provide broad guidelines to PMU and take policy decisions
   b. Guidance to PMU on project activities
   c. Ensure achievement of project goals
   d. Provide coordination support to PMU
   e. Monitor project progress, physical and financial
   f. Monitor strategic results to strengthen the project impacts
   g. The PSC was also authorised to delegate executive functions to a Project Executive Committee to be chaired by the PD
4. Secretary to the DRDPR was nominated to be the PD. This position was created to provide a link and interface between the PMU and PSC as well as guide and manage project activities and report progress to the PSC. PD was also expected to leverage interdepartmental support and coordination
5. KSCST was expected to receive funds from UNDP/GEF, ICEF and MNRE and implement the project through a PMU located at Tumkur.
6. A Technical Support Unit (TSU) was to be formed at the KSCST. Tasks of the TSU were identified:

a. Prepare technology package, design and plans
b. Prepare guidelines for implementation, management and monitoring
c. Plan and organise capacity building and enabling activities
d. Prepare policy papers, manuals, guidelines, audio visual aids, case studies, information and publicity packages
e. Organise workshops, training programmes, awareness campaigns and business meets
f. Organise monitoring and evaluation
g. Function under PD guidance and work closely with project coordinator (PC)

7. A dedicated project management unit (PMU) was located in Tumkur as an extended and exclusive unit of KSCST. PMU was to be headed by a Project Coordinator (PC) and function under guidance of PD. PMU functions were:
    a. Organise and supervise implementation, operation, management, monitoring
    b. Procurement of equipment and recruitment of staff in consultation with Project Implementation Committee (PIC)
    c. Coordinate with district, panchayat administration, NGOs, manufacturers, entrepreneurs etc.
    d. Receive funds from various donors
    e. Funds management and reporting
    f. Selection of institutions, experts, NGOs, contractors, and consultants for different tasks in consultation with Project Executive Committee (PEC)
    g. Allocation of tasks and coordination
    h. Develop guidelines for implementation and monitoring
    i. Periodically report to PD and PEC on programmes and progress
    j. Prepare periodic progress reports as required by different agencies
    k. Be authorised by KSCST to adopt measures to speed up project implementation and identify, train and finance entrepreneurs
8. Project Executive Committee (PEC) was formed to assist PMU and PC in taking decisions on a regular basis. PEC was to be chaired by the PD or a person nominated by the PD. The other members included Chairman ASTRA, Secretary KSCST, Director, Area of Development Programme, CEO Zilla Parishad, and ICEF/UNDP. The PC was to act as convenor/secretary of PEC. PEC was to be authorised to take the following decisions:
    a. Selection of experts and institutions
    b. Procurement of major equipment
    c. Selection of contractors, entrepreneurs, and NGOs
    d. Appointment of staff to PMU
    e. Periodic monitoring of project activities etc.

***Relevance*: Are the outcomes relevant to UNDP's mandate, to national priorities and to beneficiaries' needs? (Relevance to UNDP's country programme)**:
The project is in line with UNDAF priority "Communities are aware of their vulnerabilities and adequately prepared to manage (and reduce) disaster and environmental related risks" and UNDP CP priority "Promotion of biomass energy for rural India"

***Effectiveness:* Have the intended impacts been achieved or are they expected to be achieved? Do different outcome definitions feed into each other and is there a synergy in between? Is the outcome achieved or has progress been made to achieve? Has UNDP made significant contributions in terms of strategic outputs?**

The MTR states that "The project has achieved significant and sustainable results in the project area in terms of community mobilization, capacity building, strengthening of economic prospects for farmers and households (which should improve the ability for communities to pay for energy services in the medium to long term), and created impressive community-owned initiatives in afforestation (far exceeding the original project targets). This has already brought significant benefits to the communities involved."

The overall rating of the project in 2010 PIR ranges between unsatisfactory to highly unsatisfactory even by National Project Director and by UNDP stakeholders for both meeting of DOs and IPs .

Efficiency: **To what extent do the outcomes derive from efficient use of resources? And to what extent UNDP has contributed to the outcomes versus that of its partners?**

The MTR states that "In the period between design of the project (1999-2000) and this mid-term evaluation, the relevance of the project appears to have increased. The design and project strategy is generally consistent with the needs of all stakeholders, and implementation experience since the project started has largely demonstrated that the basic premises upon which the project was built are still valid, and that the project design is appropriate for tackling the identified barriers. Design shortcomings in both implementation structure and tools for results based management have caused difficulties for project execution Attempts to produce a working project planning matrix in the beginning of 2003 were ineffective."

The progress on utilisation of funds, however, is not satisfactory as the MTR states that "To date (end June 2005), total project expenditure has been Rs. 64,563,560, with an additional Rs. 14,343,230 already committed, making a total of Rs 78,906,791 (approx. 1.7 million USD) since the project start. With a total project budget of 8.6 million USD, currently about 20% of the funds have been used, while 80% of the project period (4 out of 5 years) have passed. In order to reach financial targets a significant increase in the rate of expenditure will be required. This may not be possible within the remaining period available. The lack of output level tracking of expenditure means that feedback to management on how the project is progressing and the cost effectiveness of activities is virtually non-existent"

The MTR makes further observations regarding efficiency that are critical. These observations are: "The main difficulties with the implementation structure are:

a) Two project implementation structures – a Technical Support Unit (TSU) and a Project Management Unit (PMU) – both appear to function autonomously under the project director who will provide overall project co-ordination. The division of the tasks between these two units is sometimes problematic. Although not clearly defined, it appears that the TSU would run national level and technical activities, and the PMU would be an operational unit based in the field. Both these units would come under (within) KSCST.
b) The project director would provide strategic and co-ordination support with both the TSU and the PMU operating under the director. However in reality the project director is of a senior level who does not have the time or responsibility to guide the project and take that level of responsibility for the project.

There are numerous committees providing advice to the project – a project steering committee (chaired by the development commissioner), an executive committee (chaired by the project director), as well as a project advisory committee. In reality, only one committee, the project steering committee has been functioning"

In addition, the MTR criticises the design of the project at various places in the report about it being unwieldy and complex, as well as not being consistent. Further frequent changes in timelines and

deliverables seem to suggest that the original project design was inappropriate.

Degree of Change: **What are the positive or negative, intended or unintended changes brought about by UNDP's intervention in these outcomes?**

The MTR states that "Community mobilization has been one of the major successes of the project so far. The approaches used to community mobilization by the PMU staff and the cluster NGOs deserves to be documented and best practice distilled so that it can be passed on to other projects.

The excellent co-operation with the local Forestry Department was notable, and together with highly effective efforts from the PMU staff and the cluster NGOs shows the benefits of co-operation between extension officers from different disciplines and public private partnerships. This has been highly commendable."

Sustainability: **Will benefits/activities continue after the programme cycle?**

MTR States that "crucial project activities remain almost untouched, and fundamental changes in project strategy have meant that even with additional efforts on project activities which to date have been delayed, the market transformation impact of the project will have been reduced. The project appears to make significant contributions to local sustainable development and livelihoods and the replication prospects are uncertain and the market transformation effect of the project extremely limited to date"

Gender and equity:

The 2010 PIR states that "Employment has been generated through the project activities for nursery and gasifier plants. Over 60% SHG members and 20% of the committee members formed under the project are women. This has also indirectly led to enhanced participation of women in gram sabha meetings (village council meetings). The project's gender aspects were presented at 'Regional Conference on gender and energy' organised by Asian Development Bank on 23 Sept 2009."

The 2010 PIR states that "One of the original aims of the project was to provide improved access to electricity to the 24 project villages. However, now all electricity produced is being sent to the grid. This at best has indirect benefit to the project villages."

Further, the 2010 PIR states that "Energy use patterns have serious implications both on the environment as a whole as well as on the users. Fuelwood requirements have contributed to the degradation of forests leading to villagers, especially women travelling longer distances and spending more time in collecting fuelwood; switching to inferior fuels. Furthermore women in these villages spend a large portion of the day in the kitchen and the health implications of working in close quarters with burning firewood cannot be neglected. The project has provided biogas plants as clean fuel option to about 175 families. They have helped women to generate income through nursery and plantation activities, participating in gasifier plant operation, etc."

Any Innovations:

The project concept was innovative; however, its implementation has been uneven and weak thus not being able to build upon the original ideas.

Any other Issue: The BERI project has been held back by several policy and systemic barriers. There are also certain technological challenges that can be overcome but remain difficult given Indian policy constraints and social and economic difficulties. Biomass gasifier power plants remain a potential source of rural energy, but several barriers need to be overcome to realise its potential. These issues have been discussed in a report titled "Grid-Interactive Biomass Gasification Based Power Generation in Rural India" by Karen Freund that was written for UNDP – India.

Additional Remarks if any: NA

Documents Referred: Project Document, Mid term evaluation 2005, APR and PIR 2010, report titled "Grid-Interactive Biomass Gasification Based Power Generation in Rural India" by Karen Freund that was written for UNDP – India.

E: Health Care Waste Management

Name of the Project: Demonstrating and Promoting Best Techniques and Practices for Reducing Health-Care Waste to Avoid Environmental Releases of Dioxins and Mercury

Duration: 2008 (September) to 2012 (December)

Total Cost: USD 800,000

Objectives:

(1) Leveraging existing infrastructure and expertise for the development and implementation of local, national and global co-ordination structures and mechanisms to carry out the work of the project;

(2) Demonstrating best practices in health-care waste management in model facilities, including installation and use of non-burn waste treatment technologies, waste segregation and other waste management practices with participatory training at the local and national levels, with a focus on the replicability of these models to permit country operationalization of the Stockholm Convention;

(3) Raising and enhancing awareness in the health-care sector and related stakeholders about the connection between waste management and public health, resulting from the provision of easy-to-use educational and technical information and materials for health-care and waste-treatment staff, and increasing the sector's ability to manage its waste in a way that is environmentally responsible and protective of public health. Monitoring the technical efficacy and economic performance of alternatives to incineration and mercury devices and improving alternatives where necessary to achieve Project goals will also be completed.

(4) Building capacity for the broader and longer-term use of best practices in health-care waste management based on non-burn treatment technologies and the phase-out of mercury devices, reducing dependency on technologies resulting in the unintentional release of dioxins and mercury to the environment and ensuring sustainability in the long term. This also has linkages with chemical management and enhanced health security.

Scope: The Project will focus primarily on activities necessary to demonstrate best practices in health-care waste management, such as promoting the use of alternative waste treatment technologies, improved waste segregation practices and the use of appropriate alternatives to mercury-containing devices. Training will be provided and training programs put in place to ensure the sustainability and replication of Project gains.

It was agreed that in India, the Project would work to develop models in two states – Uttar Pradesh and Tamil Nadu, and would do working with the appropriate state agency such as, the State Pollution Control Board or the State Ministry of Health.

In Uttar Pradesh, the Project will work with a single large hospital to develop it into a model hospital for biomedical waste management. It will also provide information and advice, as appropriate, on approaches to replicate the model in other facilities in the state to the State Ministry of Health and the State Pollution Control Board. It will promote replication of model results in all states; and it will give consideration to a possible policy review based on project results.

In Tamil Nadu, the Project will work with a CTF that services the city of Chennai and also with selected healthcare facilities in its service area(s). It will focus on education, training, assessing management systems, and ensure that the systems that are required for safe handling and movement of waste from the point of generation to treatment and final disposal operate in a continuous flow. It will additionally deploy and evaluate one or more commercially-available technologies related to non-incineration health-care waste treatment to enhance the capacity of the identified CTF(s) and it may also, if feasible, strengthen the CTF transportation infrastructure; improve its sharps management capabilities; and enable it to better manage its hazardous residues.

The Project will also help enhance the existing national training program of IGNOU to make it more effective in national replication of the results. The Project will also work with IGNOU to develop a curriculum and delivery mode for a healthcare waste training program aimed at non-professional staff with responsibilities in biomedical waste management.

Main Components:

1. Best practices for health-care waste management demonstrated, documented and made replicable
2. Appropriate non-incineration health-care waste treatment technologies successfully deployed and demonstrated
3. Best practices for management of mercury waste demonstrated, documented and made replicable and use of mercury-free devices promoted
4. New and/or enhanced training programs established to build capacity for the implementation of best practices and appropriate technologies beyond model facilities and programs
5. National policies aimed at replicating and sustaining best techniques and practices demonstrated by the Project explored and, where feasible, initiated
6. Project results disseminated to all stakeholders for awareness raising aimed at their replication

Implementation Arrangements: This is a multi country project. The national implementation arrangements were:

The Implementing Partner:
This national sub-component (herein referred as the "Project") "India National Component of Global Project: Demonstrating and Promoting Best Techniques and Practices for Reducing Health-Care Waste to Avoid Environmental Releases of Dioxins and Mercury" will be nationally implemented by the Ministry of Environment & Forests (MOEF).

The Implementing Partner will sign a budgeted Annual Work Plan with UNDP on an annual basis, as per UNDP rules and regulations.

Responsible Party:
MOEF will carry out implementation of the project to achieve overall project objectives in accordance with the policies of the Government of India. The Project Management Unit set up by MOEF will carry out all project activities from the PMU, which will be headed by a Project Manager. The PMU will also coordinate the project activities, including the preparation of Annual Work Plans, budget, financial reports, etc. and will interface on project management issues.

Project Steering Committee:
A Project Steering Committee (PSC) would be constituted at the apex level to review the progress and provide direction and guidelines for implementation of the project. The PSC will be chaired by

MoEF and will comprise of members from different institutions - Ministries, UNDP, financial institutions, industry associations, bilateral agencies, TERI and others and would help in providing guidance and directions for project implementation. The PSC will carry out the following functions:

- Ensure that the project goals and objectives are achieved in a defined timeframe;
- Review the project progress and suggest implementation strategies periodically;
- Review the project expenditures against activities and outcomes;
- Approve Annual and Quarterly Work Plans;
- Mobilize cost-sharing and follow-up financing;
- Ensure all stakeholders are appropriately involved in the project planning and management;
- Facilitate linkages with high-level decision-making.

The PSC will be the group responsible for making, by consensus, management decisions for the project and holding periodic reviews. In order to ensure UNDP's ultimate accountability, final decision-making rests with UNDP in accordance with its applicable regulations, rules, policies and procedures. Project reviews by the PSC will be carried out mandatory on a quarterly basis during the running of a project, and also as necessary when raised by the Project Manager.

Programme Management Board (PMB):
PMB for the Energy & Environment Outcome (Outcome 1.1 in CPD/CPAP) will be set up and co-chaired by MoEF and UNDP. The PMB will oversee the delivery and achievement of results for all the initiatives under the Energy & Environment Programme Outcome and provide strategic directions for future programmes in this outcome area. The PMB will also appraise the new programme initiatives prior to sign off with the Implementing Partners (IPs). The PMB will comprise ministries relevant to the Programme Outcome and relevant stakeholders identified in consultation with UNDP and IPs. DEA will be an invitee to the meeting It will meet twice a year, in the 2nd and 4th quarter, to take stock of the physical and financial progress.

National Project Director:
The MOEF will designate a National Project Director, who will be responsible for overall management, including achievement of planned results, and for the use of UNDP funds through effective process management and well-established project review and oversight mechanisms. The NPD will coordinate project implementation on behalf of MOEF and ensure its proper implementation.

Project Manager:
MoEF will designate a full-time Project Manager for the day-to-day management and decision making of the project and will be accountable to the NPD and PSC. S/he will prepare the detailed activity and monitoring plan based on the Annual Work Plan (AWP) and Budget and submit it to the PSC for approval. The Project Manager will ensure that the project produces the results specified in the project document, to the required standards of quality and within the specified constraints of time and cost. The Project Manager will prepare and submit to UNDP the following reports/documents:

Annual and Quarterly Work Plans, Quarterly and Annual Progress Reports (substantive and financial), Issue Log, Risk Log, Quality Log, Lessons Learnt Log, Communications and Monitoring Plan using standard reporting format to be provided by UNDP.

The Project Manager will head the PMU and will work in close collaboration with MoEF and other partner organizations and undertake periodic monitoring and review of the project activities.

Project Management Unit (PMU):
For day-to-day management of the project, a Project Management Unit (PMU) under the National Project Manager (NPM) will be formed and comprise the required professional and other support staff. The PMU will also coordinate the project activities including the preparation of Annual and Quarterly Work Plans, Budget, Financial Reports, etc. and will interface on project management issues. PMU will also be responsible for documentation (MOUs, minutes of meeting and agreement etc of the project). These documents will be circulated to Steering committee members. In addition, the PMU would help in smooth and timely flow of funds from co-financiers of the project to ensure that there are no times and cost over-run.

In order to accord proper acknowledgement to GEF for providing funding, a GEF logo should appear on all relevant GEF-supported project publications, including among others, project hardware, if any, purchased with GEF funds. Any citation on publications regarding projects funded by GEF should also accord proper acknowledgement to GEF. The UNDP logo should be prominent – and separated from the GEF logo.

Project Assurance:
Project Assurance will be the responsibility of UNDP. The Project Assurance role will support the PSC by carrying out objective and independent project oversight and monitoring functions. During the implementation of the project, this role ensures (through periodic monitoring, assessment and evaluations) that appropriate project management milestones are managed and completed.

NPD, in collaboration with the Project Manager, will convene an annual review meeting involving the Implementing Partner and Responsible Parties to review the progress in the previous year and discuss the work plan for the coming year. An independent external review may be conducted through resource persons/groups to feed into this process. Project Assurance and Project Manager will meet quarterly (or whenever guidance/decision is required by an implementing agency).

***Relevance*: Are the outcomes relevant to UNDP's mandate, to national priorities and to beneficiaries' needs? (Relevance to UNDP's country programme)**:
Project is consistent with the Country Programme Output viz. " Progress towards meeting national commitment under multilateral environmental agreements"

***Effectiveness:* Have the intended impacts been achieved or are they expected to be achieved? Do different outcome definitions feed into each other and is there a synergy in between? Is the outcome achieved or has progress been made to achieve? Has UNDP made significant contributions in terms of strategic outputs?**

The project implementation began only in Jan 2010 after the PMU had been established and identification of project sites at Chennai and Lucknow.

Upto June 2011, USD 1, 74,972 had been disbursed according to the PIR.

The rating of progress towards meeting development objective was marginally satisfactory in 2011 and satisfactory in 2010 by the National Project Manager according to the PIR.

Project Manager's comments on project progress in the PIR were as follows "The IGNOU & UP components of the project exhibited excellent progress in project implementation. However, the TN Component of the project lagged behind due to various administrative problems with the State Government. The TN component of the project could not utilise all of the funds released to them for carrying out the activities for 2010 and subsequently the balance funds were sought back by UNDP. Due to under-utilization of funds advanced by UNDP to the project partners in the year 2010, from the year 2011 onwards direct advances to project partners could not be done due to UNDP's

accounting procedures. The arrangement with CPCB for management of project funds is being examined during the reporting period and none of the project partners could receive funds for undertaking the activities so far during 2011. Although the project partners initiated some of the activities with the resources available with them. However, all the activities as committed in their respective AWPs for the year 2011 could not be carried out since Jan 2011."
Efficiency: **To what extent do the outcomes derive from efficient use of resources? And to what extent UNDP has contributed to the outcomes versus that of its partners?** Reportedly, according to the PIR, the project has been unable, especially in TN, to efficiently utilise available resources. Reportedly, according to the PIR, the start of the project was delayed by 10 months, while the inception workshop was delayed by 8 months. The PIR reports gaps in project implementation strategy. The lessons learnt were reported as follows "During the reporting period, majority of the funds released were unutilised due to ambiguity in various procedures like tendering of the equipments etc. Further as per the Govt of India norms; the financial year is treated as April to March whereas as per UNDP procedure, calendar year is treated as financial year. Due to this reason also the project partners faced problems in maximum utilization of funds for the year 2010. Importance of various procedures to be followed was learnt from this experience. Further, the TN Component of the project got into considerable administrative delays as the concerned officials have been transferred several times. From this experience, it was decided to involve more officials in project implementation."
Degree of Change: **What are the positive or negative, intended or unintended changes brought about by UNDP's intervention in these outcomes?** Cannot say on the basis of available documents
Sustainability: **Will benefits/activities continue after the programme cycle?** Cannot say on the basis of available documents
Gender and equity: Project has no explicit gender targetting
Any Innovations: Cannot say on the basis of available documents
Any other Issue: NA
Additional Remarks if any: NA
Documents Referred: Project Document, Project Implementation Report 2010, APR and PIR 2011

F: Natural Resource Conservation outside PAs

Name of the Project: Natural Resource Conservation outside Protected Areas
Duration: 2009 – 2012
Total Cost: USD 1,180,000
Objectives: Conservation of biodiversity outside Protected Areas in Madhya Pradesh and Orissa
Scope: Enlarge the coverage of community conserved areas of biodiversity significance in selected districts of Madhya Pradesh and Orissa. Facilitate recognition of Conservation Areas within the Biodiversity Policy framework. Complement existing efforts of GoI for biodiversity conservation
Main Components: 1. Biodiversity rich conserved areas mapped in two states through an appropriate methodology developed for doing so

2. Pilots for effective community based conservation (CBC) outside Protected Areas demonstrated. And experiences in CBC areas shared and upscaled through knowledge networking and awareness campaigns
3. Lessons learned from the project recognised and integrated into relevant state national policies and programmes
4. Project management and assurance

Implementation Arrangements:

1. Ministry of Environment and Forests (MoEF) GoI, Forest Department (FD) Government of Madhya Pradesh (GOMP) and FD Government of Orissa (GOO) were designated implementing partners
2. MoEF to appoint a National Project Director (NPD) responsible for overall management including achievement of planned results and effective use of UNDP funds
3. Project Steering Committee (PSC) responsible for project implementation with agreed project design consistent with national and state policies to be chaired by an officer designated by the MoEF and convened by NPD
4. Project Management Board (PMB) to provide oversight and co-chaired by UNDP.
5. Project Management Unit (PMU) to be headed by NPD. PMU to consist of a Project Manager (PM) to support the NPD. PM to liaise with PSC and state level bodies and coordinators as well as formulate Annual Workplans and monitor progress of project
6. State Project Coordinating units to be setup in both implementing states
7. UNDP responsible for Project assurance.

***Relevance*: Are the outcomes relevant to UNDP's mandate, to national priorities and to beneficiaries' needs? (Relevance to UNDP's country programme)**:
Consistent with UNDAF outcome "communities are aware of their vulnerabilities and adequately prepared to manage (and reduce) disaster and environment related risk. Also consistent with UNDP country programme action plan "progress towards meeting national commitments under multilateral environmental agreements"

***Effectiveness:* Have the intended impacts been achieved or are they expected to be achieved? Do different outcome definitions feed into each other and is there a synergy in between? Is the outcome achieved or has progress been made to achieve? Has UNDP made significant contributions in terms of strategic outputs?**
The 2nd PSC Meeting minutes suggest that project progress in Madhya Pradesh was better than in Orissa on quantitative aspects of hiring personnel and other administrative milestones. However, it is difficult to judge the quality of project outcomes from the available documents. Available documents also indicate that Madhya Pradesh had initiated a microplanning exercise for identification of CBAs. However, it is not clear how effective the implementation of proposed community involvement in protection of conservation areas has been.

***Efficiency:* To what extent do the outcomes derive from efficient use of resources? And to what extent UNDP has contributed to the outcomes versus that of its partners?** Cannot say on the basis of available documents

***Degree of Change:* What are the positive or negative, intended or unintended changes brought about by UNDP's intervention in these outcomes?**
Cannot say on the basis of available documents

***Sustainability:* Will benefits/activities continue after the programme cycle?**
Too early to assess as project is just been initiated

Gender and equity:

Limited to some women specific activities in the microplan.
Any Innovations: Cannot say on the basis of available documents
Any other Issue: Cannot say on the basis of available documents
Additional Remarks if any: NA
Documents Referred: Annual Work Plan (2008, 2009, 2010), Project Brief, Draft Inception report, Microplans (MP), PSC minutes (1&2), Action Plan Orissa.

G: Coal Bed Methane

Name of the Project: Coaled Methane Recovery And Commercial Utilization
Duration: Initially, the project was started in 1999 for a 5 year duration. Project faced serious time constraint due to delay in equipment procurement (UNIDO) and budget problems due to underestimation of the cost of equipment and services in the project report. The activities then had to be scaled down and actual gas recovery process could start only in mid 2005 with start of drilling, more than 6 months after the project was supposed to have been completed in September, 2004. A fresh cost estimates with reduced scope of work was prepared in 2004 with completion schedule of December' 2007.
Total Cost: Initial cost was USD 18,082,000. Despite time and cost overruns, UNDP/GEF contributions were only marginally additional (USD 28,000). Most of the cost escalation was borne by domestic financing.
Objectives: 1. harness methane – to minimize safety risks in mines, to utilize the potential energy source and to mitigate damage to the atmosphere 2. to bring to the country state of art methodology for resource assessment and recovery techniques of CBM and adopt the same to Indian condition 3. to demonstrate the utilization of the exploited CH_4 for power generation and fuel for transport and industrial domestic sector 4. to engender development of an action plan for replication and to set up a CBM Clearing house
Scope: The project is to degasify coal seams for subsequent safer extraction of coal and to demonstrate economic viability of harnessing CBM in India. The project would undertake techno-economic evaluation of in-situ gas from existing mines in areas where mining is contemplated in future as well as areas goaved out and to demonstrate harnessing of methane which other-wise would have escaped into atmosphere
Main Components: 1. Strengthen and increase capacity of Central Mine Planning and Design Institute, Bharat Coking Coal Limited, Indian School of Mines, Central Institute of Mining and Fuel Research, Ministry of Coal, and the Ministry of Environment to develop and support mine associated CBM recovery and utilization projects, through training, and to build experience in design, identification, and implementation of programme to recover and use coal bed methane (CBM) in a safe, cost effective, and environmentally acceptable manner. 2. Prepare and execute demonstration Projects at the Moonidih and Sudamdih coal mines located in the Jharia coalfield for the recovery and use of mine associated CBM in the Jharia Coalfield, design and execute CBM resource recovery programme, using three different

drilling technologies at the two proposed demonstration sites.

3. Use recovered gas, after successful execution of the above objectives, for vehicle refuelling and electric power generation.
4. Develop and adopt action plan for replication of successful aspects of demonstration projects. Use CBM Clearinghouse to disseminate information, educate, promote, and to facilitate interaction with potential foreign investors.

Implementation Arrangements:

1. The GEF and UNDP as Implementing Agency were the collaborators of the project with the GoI. UNDP provided overall guidance and management from its New Delhi country office as per normal GEF & UNDP requirements.
2. Central Mine Planning & Design Institute, a subsidiary of Coal India Limited, was the main implementing agency from the very inception at all stages of execution of the project.
3. Bharat Coking Coal Limited, another subsidiary of CIL, is the co-implementing agency. It has participated in project formulation process as well as played a major role in implementing field trials at two specific project sites – Moonidih and Sudamdih located in its control area in Dhanbad district of Jharkhand State.
4. After the project initiation, an agreement was reached in February'2000 for involving UNIDO in providing technical supervision and equipment procurement services (from UNDP/GEF budget). Chief Technical Advisor and other International Experts were involved in preparing various tender documents, drawings, technical specifications of equipment and of bids and in evaluation of bids. Subsequently UNIDO has provided services in procurement of some project equipments such as CBM fuel gas control unit, Steering tool & accessories, etc.
5. The project partners relied on variety of universities and technology institute of repute such as Indian School of Mines, University and Central Institute of Mining & Fuel Research both based in Dhanbad to perform part of the study, research and engineering work.
6. Also ONGC, a public sector company has been involved at a later stage by providing budget and support for equipment procurement & support when drilling and gas recovery operations were started.
7. In addition there were various committees as a part of implementation arrangement for monitoring and guiding the project. These include National Steering Committee under MoC with Special Secretary (the then Additional Secretary), MoC as National Project Director for monitoring the project work. Project Director was assisted by a Project Advisor (CBM) to carry out coordination with various Govt. Ministries and agencies, provide guidance to the project team to coordinate with UNDP and UNIDO, to review reports and to look after the administrative arrangement required under GoI, UNDP and UNIDO procedures. Two other committees called (i) Operational Executive Steering Committee convened by Chief Project Manager consisting of CMDs of CMPDI & BCCL, Director (Tech), CIL, representatives of DGMS & ONGC for reviewing the work progress on a regular basis (ii) Policy Advisory Committee was a forum for broader policy issues and also to assess inputs from other organizations besides the institutions involved in the project, also existed

***Relevance*: Are the outcomes relevant to UNDP's mandate, to national priorities and to beneficiaries' needs? (Relevance to UNDP's country programme)**: Project is consistent with the UNDP country programme objective; "Progress towards meeting national commitments under multilateral environmental agreements"

***Effectiveness:* Have the intended impacts been achieved or are they expected to be achieved? Do**

different outcome definitions feed into each other and is there a synergy in between? Is the outcome achieved or has progress been made to achieve? Has UNDP made significant contributions in terms of strategic outputs? Project was delayed inordinately and completed in double that of the initial time estimate. There were delays at all stages of the project i.e. project initiation, project design, and equipment procurement. Reportedly, the project was under budgeted to begin with thus forcing the authorities to leverage additional funds from domestic sources. Massive delays took place in equipment procurement and reportedly some procured equipment was non functional and faulty and had to be repaired/recalibrated. Some of the equipment is reportedly still not fully functional thus having an impact on project delivery
Efficiency: **To what extent do the outcomes derive from efficient use of resources? And to what extent UNDP has contributed to the outcomes versus that of its partners?** The final project evaluation report suggests that at all stages of the project there were delays and lack of planning and anticipation. Due to initial under budgeting, project authorities did not procure certain equipment thus further slowing down project implementation. The project thus cannot be viewed favourably on an efficiency parameter.
Degree of Change: **What are the positive or negative, intended or unintended changes brought about by UNDP's intervention in these outcomes?** Despite inordinate delays and inefficiencies in project implementation, the question of the viability of CBM as an energy source is in the balance and likely to be pursued as a cleaner fuel option than coal and avoiding emission of methane that would otherwise escape into the atmosphere and add to climate change
Sustainability: **Will benefits/activities continue after the programme cycle?** It appears from the terminal project evaluation that the GoI is interested in pursuing this energy option and thus the project benefits are likely to be pursued unless CBM as an additional energy option is abandoned in the future
Gender and equity: Several families of mine workers in the Jharia coal fields have been provided with electricity by using the recovered methane gas and this been benefitted
Any Innovations: CBM is an energy source that requires an innovative approach and according to the terminal project report some of the lessons learnt during the project implementation could be used to pursue CBM recovery more efficiently
Any other Issue: NA
Additional Remarks if any: The main Project document does not mention Jharkhand and has different objectives.
Documents Referred: Project Document?, Terminal evaluation Report, NSC meetings minutes (7,8,9), Project Implementation Review

H: Energy Conservation in TEA

Name of the Project: Energy Conservation in Small Sector Tea Processing Units in South India
Duration: 2008 - 2012
Total Cost: USD 2,050,000. GEF – USD 950,000; GoI – USD 240,625; Other – USD 859,375.
Objectives: To remove barriers and develop replicability strategies for energy efficiency and energy conservation interventions in the tea processing industry in South India
Scope: 30 tea processing units in South India adopt energy efficient equipment and practises within the project period resulting in accumulative saving of 56,925 tonnes of direct CO2
Main Components: 1. Awareness creation among the target sector about energy efficiency/renewable energy

technologies and their relation to profitability

a. Awareness about energy efficiency/renewable energy technologies of relevance to tea units and implications of their adoption
b. Institutionalised mechanism for knowledge creation and management

2. Elimination of financial barriers that inhibit investment in energy conservation equipment
   a. Institutionalisation of commercial lending for investment in energy efficiency/ renewable energy equipment
   b. Development and operationalisation of the risk insurance scheme
3. Adoption and procurement of energy efficiency/ renewable energy equipment/ practises
   a. Nurturing the market driven establishment offering all components of energy services to the target sector
4. Learning, knowledge sharing and replication
   a. Capacity building of agencies involved to replicate energy efficiency projects in other areas and sectors

Implementation Arrangements:

- National implementing partner was Ministry of Commerce (MoC). MoC was to designate a National Project Director (NPD) responsible for overall management including achievement of planned results and utilisation of funds.
- The Tea Board and Technology Informatics Design Endeavour (TIDE) were designated as responsible parties. Functions of Tea Board and TIDE were:
  - Tea Board
    - Provide day-to-day guidance to TIDE on behalf of MoC
  - Technology Informatics Design Endeavour (TIDE)
    - Implement project activities under overall guidance of NPD and Project Steering Committee (PSC)
    - Set up a Project Management Unit (PMU) to be headed by a Project Manager
    - Prepare annual and quarterly workplans, budgets, financial reports etc
    - Set up a Technical Advisory Committee (TAC) of eminent persons and stakeholders to provide technical inputs to project
    - Provide office space and other infrastructure and management capacities to project
- Project Steering Committee (PSC) Chaired by NPD was to be created consisting of representatives of MoC, Tea Board, MoEF, UNDP and TIDE. PSC functions were:
  - Ensure that the project goals and objectives are achieved in a defined timeframe
  - Review the project progress and suggest implementation strategies
  - Review project expenditures against activities and outcomes
  - Approve annual and quarterly work plans
- Project Manager (PM) to be recruited by MoC/Tea Board for day-to-day management and be accountable to NPD and PSC. Specific functions were:
  - Prepare and submit reports such as annual and quarterly workplans, annual and quarterly progress reports, issue log, risk log etc.
  - Head the Project Management Unit (PMU) and coordinate with all stakeholders
- Technical Advisory Committee (TAC) was to be established by TIDE. Responsibilities of TAC

were:

- Advise project team on technical issues
- Review energy audits and data management
- Advise on technology selection
- Suggest policy issues of relevance to technology adoption in tea factories

- Support teams were to also be set up by TIDE
  - Finance and audit team consisting of an accountant, a part-time auditor, local and international consultant
    - Address issues of financial barriers identified in project proposal
    - Conceptualize and operate the Risk Fund
    - Assist the PM in interaction with Industry associations and suppliers of equipment in financial matters
    - Interact with financial institutions for financial options for energy conservation
    - Interface with Tea Board in availing subsidy schemes
    - Maintain accounting of project expenses as per UNDP guidelines
    - Purchase and procure in accordance with TIDE purchase procedures
    - Co-ordinate with external auditor for annual audit
  - Information and awareness creation team consisting of consultants for market development, documentation and supported by an international consultant for addressing information barriers. Tea Board was also to be involved in the activity
    - Creation of promotion and publicity material
    - Content management of website
    - Preparation of statutory reports as required by M&E plan
    - Preparation of manuals
    - Addressing information barriers as identified in the project proposal
    - Organising awareness meets
    - Organising meetings between tea factories, suppliers, financial institutions, and technology experts
    - Carrying out promotional activities for acceptance of energy conservation
  - Technical team consisting of local consultants from partner institutions and experts on solar energy, energy audits, and technology selection
    - Review the energy utilisation patterns and ways of improving efficiency
    - Technology selection and recommendation
    - Energy audits and data management
    - Assessment of data from energy efficiency and CDM considerations

***Relevance*: Are the outcomes relevant to UNDP's mandate, to national priorities and to beneficiaries' needs? (Relevance to UNDP's country programme)**:
Consistent with Country Programme output within the Energy and Environment Programme viz. "Capacities build and pro-poor initiatives supported at national and local levels to directly address environmental issues"

***Effectiveness:* Have the intended impacts been achieved or are they expected to be achieved? Do different outcome definitions feed into each other and is there a synergy in between? Is the outcome achieved or has progress been made to achieve? Has UNDP made significant contributions in terms of strategic outputs?**
2010 PIR states that USD 1,600,000 invested in the sector, leading to saving of "5,187 MWh

electricity and 8,326 tonnes of firewood (30,000 GJ)". 2010 PIR also states that:

- An investment of about US$ 1.6 million made in energy efficient equipment. Resources rose through bank loans, factory contribution and Tea Board subsidy. Equipment suppliers also willing to offer a deferred payment option to the industry as a result of project interventions
- 62 factories are now investing in energy efficient equipment (both thermal and electrical depending on the factory specific need). Adoption of electrical energy interventions is easier because the market driven establishment has quickly moved in to service the sector after sensing the opportunity. Market driven mechanism for thermal energy needs to be stimulated further as the investment in thermal energy equipment is high. But about 30 factories also investing in thermal energy conservation equipment
- Awareness creation carried out in all tea clusters in south India. The NPD participates actively in all awareness meetings. Awareness programmes also held in Kolkata and Jorhat at the request of the Chairman, Tea Board. Awareness also created through the Tea & Tourism Carnival in Coonoor. Tea factories in non project tea growing regions in the country request Tea Board for a similar project.

Project rating for 2010 was satisfactory.

Efficiency: **To what extent do the outcomes derive from efficient use of resources? And to what extent UNDP has contributed to the outcomes versus that of its partners?**
2010 PIR states that "The project has helped to develop synergy with the Ministry of New and Renewable Energy. Secretary, MNRE visited Conoor and held discussions with Project Management Unit, Tea processing unit owners and other relevant stakeholders. MNRE is looking at areas to complement the ongoing GEF-UNDP project, especially in amalgamating renewable energy systems. Tea Board has initiated promotional activities in Assam region, the other tea processing cluster in India"

Degree of Change: **What are the positive or negative, intended or unintended changes brought about by UNDP's intervention in these outcomes?**
2010 PIR states that it achieved reduction of 17,200 MTCO2 in 2010. PIR 2010 states that "All lead banks in the region lending money to tea factories for the promotion of energy efficiency and installation of renewables for the first time"

Sustainability: **Will benefits/activities continue after the programme cycle?**
Cannot say on the basis of available documents

Gender and equity: PIR 2010 states that "There was no scope in the project to address gender concerns"

Any Innovations: Cannot say on the basis of available documents

Any other Issue: Cannot say on the basis of available documents

Additional Remarks if any: We understand that Project has undergone an MTR but no document available with us.

Documents Referred: Fact Sheet, Project document, APR and PIR 2010

I: Gulf of Mannar

Name of the Project: Conservation and Sustainable Use of the Gulf of Mannar Biosphere Reserve's Coastal Biodiversity.

Duration: 2002 to 2009, with an extension upto 2012

Total Cost:

GEF: US$ 7.84 million

Government of Tamil Nadu cash US$ 11.18 million

Government of India in-kind US$ 5.80 million

M.S.S.R.F. US$ 0.05 million

UNDP US$ 1.00 million

Other Donors US$ 1.07 million

Total Project Cost: US$ 26.74 million

Objectives:

The project seeks to ensure that a Globally significant protected area of coastal biodiversity in which there are activities of a multiple-use will be conserved and sustainably utilized by stakeholders

Scope:

1. Creating a Strengthened, statutory Trust/Foundation that will ensure that government agencies, private sector, local communities and NGOs all work together in a coordinated way for integrating biodiversity conservation into coastal zone management plans, and take responsibility for their implementation.
2. The Forest Department (Wildlife Wing) and local communities are enabled to implement a sustainable conservation programme for the protected area.
3. The Fisheries Department implements a sustainable fisheries harvest programme successfully in the buffer zone of the protected area.
4. Inhabitants of the buffer zone of the Protected Area are able to apply alternative livelihoods successfully and halt encroachment on protected area resources.

Main Components:

1. Establish the Gulf of Mannar Biosphere Reserve (GoMBR) Trust or Foundation and ensure that it is able to secure long term and sustainable funding. The Trust/Foundation was to be supported and empowered through enabling legislation and statutory powers. Long term funding was to be achieved through establishment of a long term funding mechanism (LTFM) distinct from the GoMBR
2. Strengthen the management of the marine national park through developing a comprehensive and ambitious management plan that would also include a community based management approach as well as integrate ecotourism components. The management plan was to also have capacity building, research and monitoring, education and awareness components in addition to eliciting local community participation in protected area management
3. Expansion of the protected area infrastructure including equipment and field installations
4. Development of a sustainable development plan and approach for the buffer zone of the protected area from the point of view of promoting the sustainable use of biodiversity and

other resources of the biosphere reserve as well as institutional development of local level coastal zone management authorities (CMA)

5. Developing and demonstrating sustainable alternative livelihood options

Implementation Arrangements:

1. The Project executed by the Tamil Nadu Department of Environment and Forests (DoEF) in close collaboration with the Ministry of Environment and Forests and the Dept. of Ocean Development at the centre.
2. Government to establish the "Gulf of Mannar Biosphere Reserve Trust/Foundation" under the Tamil Nadu Societies Registration Act as an independent governmental statutory body. The trust to have a Board of Trustees comprised of 15 leading representatives of key stakeholder groups, including the State Government, MOEF, DEA, MSSRF, and UNDP. The Trust/Foundation will play more than an advisory role. The Board of Trustees will be independent, mixed public-private sector representatives, with a balance of stakeholders. The trust was expected to:
    a. play a crucial role in integrating the various sectoral activities in the project Reserve area.
    b. Trust/Foundation will be fully "owned" by the Government of Tamil Nadu as well as the other crucial stakeholders. This will ensure that the Government acknowledges full responsibility to undertake actions recommended by the Trust/Foundation.
    c. The Chairman of the Board will be the Chief Secretary for the DoEF and other Board members will be chosen based upon their official standing and ability to effect change.
    d. GoTN to ensure that adequate provisions are made during the legal registration of the Trust/Foundation so that it is given a substantive development review role in the Reserve coastal zone. In this respect, the Trust/Foundation will be empowered to oversee the implementation of agreed upon actions for integrated biodiversity and coastal zone management in the project area by all relevant government agencies and institutions, among other stakeholder organizations.
    e. The Trust/Foundation would be evaluated by an independent entity during the third year of the project. Based on this mid-term evaluation, the GoTN will make further provisions under existing laws and statutes to enable the Trust/Foundation to play an effective role as the apex management body for the Reserve.
3. A project coordination unit (PCU) was to be formed under the Trust/Foundation to implement the project. The Board of Trustees will provide guidance to the PCU through their own home institutions facilitating the coordination of the project's work among government agencies, NGOs, communities, and other partners. Execution responsibilities for various government and non -government entities will be determined on the basis of comparative advantage
4. The PCU was to be comprised of a Director, and a staff of technical experts. Staff on loan to the project from GoTN's FSD and FD-WW would fill at least half of these expert positions beginning in year four. The other half of these positions will be filled by staff from other government agencies, NGOs and individual biodiversity experts.
5. The Director of the PCU was to be responsible for the level of excellence and successful implementation of project activities.
6. The project's community level work was to be enabled by two district-level coordination committees comprised of representatives of the key stakeholder groups at the local level. These committees would meet quarterly and will play a hands-on role in helping to develop

and facilitate project implementation. 7. Village Marine Conservation Councils (VMCCs) were to be established in at least 20 coastal villages in the buffer zone of the Reserve. These VMCCs were to be comprised of coastal resource user groups drawn from existing panchayats (village councils). Women were to comprise at least 50% of VMCC membership.
***Relevance*: Are the outcomes relevant to UNDP's mandate, to national priorities and to beneficiaries' needs? (Relevance to UNDP's country programme)**: The project is consistent with the objective to achieve "Progress towards meeting national commitment under multilateral environmental agreements" by India, as well as the sub objective to support "National efforts towards conservation and management of natural resources"

Effectiveness: **Have the intended impacts been achieved or are they expected to be achieved? Do different outcome definitions feed into each other and is there a synergy in between? Is the outcome achieved or has progress been made to achieve? Has UNDP made significant contributions in terms of strategic outputs?**

The MTE 2008 states that "At the centre of the Gulf of Mannar Project was the objective of establishing a new type of marine resource management or conservation system, called a marine Biosphere Reserve. This was a complex undertaking, as it entails tackling the multiplicity of natural resource and environmental issues that prevail and are growing in the Gulf of Mannar region..... The evaluation found that this concept and its implications for the project's management were not widely recognised among the various stakeholders in the initiative. There has been little progress made towards formally instituting the management arrangements for a Biosphere Reserve, nor towards addressing the significant challenges facing the marine and coastal conservation initiative. The impression gained by the MTE is that once it was written, the project plan was not used to any great extent to guide implementation, and was perhaps not fully understood, or accepted and owned by those made responsible for its implementation. Part of the reason for this may have been the complexity of the concept and plan, and the multi-faceted nature of the proposed project activities."

The MTE 2008 further states that "The project managers have not followed this strategy of developing the three cornerstone programs and overall management mechanism in parallel, but have implemented a community-based "eco-development" support project, confined largely to activities under component 5. It is clear to the MTE that while excellent work has been done in this area, it will not be sufficient to achieve the higher purpose and objectives of the project. The essential institutional and policy reforms and capacity development flagged as component 1. have not progressed adequately. The evaluation concludes that, in order to regain a balance between protection, use and development, and achieve the overall purpose, the second half of the project – post-MTE – must be revised, to address directly the outstanding issues under components 1. and 4. in particular." Additionally, on the crucial aspect of implementing Component 1, the MTE states that "The evaluation found that the Biosphere Reserve Trust has been formed as a simple registered society, given only partial responsibility for project implementation, and run as an office of the Forest Department, under the direction of a series of governing committees. In the last three years, the Trust/ project office has done an excellent job but is operating under difficult circumstances: it has not been given a clear mandate or authority, nor the capacity, to direct and manage in an integrated manner the disparate array of line departmentslil separately-financed programs involved in developing and operating the GoM Biosphere Reserve. The evaluation concludes that one of the most important steps to be taken is to resolve these institutional and financing arrangements"

Efficiency: **To what extent do the outcomes derive from efficient use of resources? And to what extent UNDP has contributed to the outcomes versus that of its partners?**
The MTE 2008 states that "The general finding is that most aspects of project management could be improved by a more rigorous and careful approach. It is apparent that there has been insufficient attention to supervision, ownership and support for the project; to enabling the project to be developed and managed efficiently and effectively by the mandated office; and to building the capacity of that office by means of thorough processes of project inception, staff recruitment and in-service professional capacity development."

The MTE further states that "The project manager and his officers have performed effectively and efficiently at the lower level actions, for example by refining their system for supporting village eco-development work, but they have not been enabled or supported to make broader adjustments. Project supervision has not been adequate, with a confused system of six committees discussing a mix of project management issues and Biosphere Reserve establishment issues. The formal Tri-Partite Review (TPR) has not been convened and the constitution and mandate of the Project Steering Committee has not been made clear"

Degree of Change: **What are the positive or negative, intended or unintended changes brought about by UNDP's intervention in these outcomes?**

The MTE states, and is quoted above that the only changes, which happen to be positive, have taken place in pursuit activities under component 5. The rest of the components, however, according to the MTE were either not implemented or were extremely weak.

The MTE also states that "The original logical framework was not well-developed, which reduced its value as a planning and monitoring tool for the project's supervisors and executants; as noted above, this evaluation in 2008 is based on the logical framework that was written a decade earlier and which has not been revised in the meantime. There is an outstanding need to put in place an adequate system for integrated monitoring, recording and reporting, information management, financial management, and planning, to serve both the project and the Biosphere Reserve"

The MTE suggests that impacts have been achieved under component 5 of the project where the achievements are "The evaluation found that most has been achieved to date under component 5., including (a) forming and enabling a **village organising committee** (VMCEDC) for conservation and development in each of 252 village communities in the GoM coastal zone; (b) facilitating preparation of an integrated **conservation and development plan** (the "micro-plan") by each participating village; (c) establishing , providing the first trenche of capital and operating successfully a micro-credit account and **revolving loan scheme** in every participating village; and (d) facilitating the start-up of **small enterprises** as alternative livelihood options by 1,125 Self-Help Groups."

Sustainability: **Will benefits/activities continue after the programme cycle?**

Component 1 of the project was mostly geared towards achieving project sustainability. However, the MTE 2008 is not very positive on the progress made in this regard and the following observations have been made; "The major tasks under component 1. was to establish the governing body for the Biosphere Reserve and a long-term funding mechanism (LTFM). The evaluation considers that the Trust as a registered society is not adequate as the authority to drive the Biosphere Reserve initiative and should be reformed into an effective entity. Recommendations are made for creation of an Authority comprising a small governing Board, an Executive with adequate capacity to manage the operational program, and an Executive Coordination Group, of agencies contributing to the joint program. The evaluation considers that good progress has been made towards establishing the LTFM, with most of the GEF funds for capitalization having been disbursed to the village fund accounts, but this work also needs to be consolidated and completed early in the next phase of the project. A formal structure such as the suggested GoMBR Community Foundation and Fund needs to be created as the umbrella body and endowment fund for all the village funds, and as the entity representing the community partnership with the GoMBR Authority. Reciprocal membership on the Boards of the Authority and Foundation are suggested. Importantly, as a mark of confidence and commitment to the newly established Biosphere Reserve institutional arrangements, the planned capitalization of the Fund by
the leveraged co-financing of $4 million from GoTN should be completed as soon as practicable in the next phase of the project"

Gender and equity: Cannot say from the available documents

Any Innovations:

The idea of creating autonomous institutional arrangements in the form of GoMBR Trust and LTFM is innovative. However, the lack of implementation of this component does not allow for this idea to be considered elsewhere.

Any other Issue: NA

Additional Remarks if any:

A compendium of research findings has been published by the Trust on biodiversity conservation and

sustainable use. The summary of the recommendations made by the MTE are given below:

For overall project:

1) Re-frame and re-confirm the Project essentials: supervision, implementation capacity, strategies, budget and timetable extension.
2) Integrate the planned co-financing and GEF funds in order to confirm and manage one program budget.
3) Develop and implement a systemic capacity development program for the Biosphere Reserve management.

Component 1. Project management, Trust and LTFM

4) Strengthen Project supervision, management and administration.
5) Revise the Project budget and strengthen financial management.
6) Formally establish the GoM Biosphere Reserve and Authority – Board, Executive, Director, Executive Coordination Group.
7) Strengthen the Executive staff of the Biosphere Reserve Authority.
8) Establish a GoM Biosphere Reserve Advisory Committee.
9) Establish a GoMBR Community Foundation and Long-Term Funding Mechanism.

Component 2 and 3. National Park Operations and infrastructure

10)Fully integrate the National Park into the management and development of the Biosphere Reserve.
11)Capital equipment purchases.
12) Develop the GoMBR (and NP) management planning and policy framework.
13) Make provision for community-owned eco-tourism in the NP and GoMBR.
14) Strengthen GoMBR and NP staffing and capacity development.
15) Development of the GoMBR Management Information System.

Component 4. Development of Biodiversity Overlay

16) Formal establishment of the GoM Biosphere Reserve, governance arrangements and management policy.
17) Formal establishment of an integrated program of management for the Biosphere Reserve.
18) Establish an effective management planning function for the GoMBR.
19) For the GoM region, synchronize and merge the new TN CZM planning initiative with the BR management plan.

Component 5. Development of Sustainable Livelihoods

20) Strategy re-planning and re-budgeting.
21) Strengthen GoMBR campaigns and programs for community-based marine resource management and sustainable fisheries.
22) Strengthen the development of community institutions, village committees, conservation and development planning, eco-development and livelihoods support.

Documents referred:

Project Document, Fact Sheet, Annual Work Plan (2008, 2009, 2011), and the Mid Term Evaluation, 2008, for Gulf of Mannar Biosphere Reserve Project - Conservation and Sustainable Use of Coastal Biodiversity

J: Institutional Strengthening Montreal Protocol

Name of the Project: Institutional Strengthening Project (Multiphase project funded/supported by the Montreal Protocol)
Duration: The first phase of the project was initiated in 1994. The project is currently in its eighth phase that terminates in 2011

Total Cost: Funded by Multi Lateral Funds not UNDP

- Phase I - US$ 430,000
- Phase II - US$ 287,100
- Phase III - US$ 287,100
- Phase IV - US$ 287,100
- Phase V - US$ 373,230
- **Phase VI - US$ 373,230**
- Phase VII - US$ 373,230
- Phase VIII – US$ 326,576
- Total for all phases of project so far – US$ 2,737,566

Objectives: To allow the Ozone Cell in the MoEF to continue to plan, organize, and develop and co-ordinate relevant activities for the implementation of India's Country Program (CP) for the phase-out of Ozone depleting substances (ODS) under the Montreal protocol.

Scope: All ozone depleting gases covered under the Montreal Protocol and phasing out production processes that use these gases as described in the objectives given above

Main Components: Different phases of the project had different components. Information on the components of the latest phase is not available. Generally, the effort has been to strengthen the Ozone Cell of the MoEF to perform its awareness raising, regulating, capacity building, and facilitating of technology transfer functions. Specifically, these were:

1. Finalization of Country Programme Update
2. Implementation of National CFC Phase out Plan comprising of foam, commercial refrigeration, transport refrigeration and RAC service sector
3. Implementation of Customs and Policy Training Strategy
4. Implementation of the Ozone Depleting Substances (Regulation and Control) Rules, 2000, and its Amendment Rules 2001, 2003, 2004 and 2005
5. Implementation of the licensing system and fiscal incentive
6. Review of existing regulations and fiscal incentive in the light of 2007 compliance target
7. Compliance with the provisions of the Copenhagen, Montreal and Beijing Amendments to the Montreal Protocol. Submission of data on production, export and import of Hydrochrlo-fluorocarbons (HCFCs), methyl bromide
8. Preparation of MDI transition strategy
9. Survey of methyl bromide in pre-shipment and quarantine use
10. Auditing, monitoring and the implementation of the individual investment projects to achieve phase out of ODS in order to meet 2007 compliance targets
11. Reporting of Article 7 data to the Ozone Secretariat. Progress report on implementation of Country Programme to Multilateral Fund and other reports to implementing agencies and to National Government
12. Awareness programmes (Seminar, workshop, print and Electronic media and publication on Ozone layer protection and alternative technologies)
13. Implementation of the CFC production phase out project and technical assistance component under this project
14. Evaluation and monitoring of completed investment projects in aerosol, foam, refrigeration and solvent sectors
15. Survey of HCFC production and consumption

Implementation Arrangements: The terminal report of Phase 6 outlines the following arrangements. We assume that these arrangements are still in place.

The Ozone Cell in the MoEF is the focal point for coordinating all activities of the Montreal Protocol in India including co-ordination with the Fund Secretariat, the Implementing Agencies, enterprises, industry associations, other Ministries and institutions, UNEP Ozone Secretariat, other countries, NGOs Press etc. It receives projects from the Implementing Agencies, processes them and with the approval of the competent authority endorses the proposals for approval by the ExCom. It also formulates policy and regulatory measures and implements them.

The Ministry has set up an Empowered Steering Committee (ESC) chaired by the Secretary (E&F) which is the apex body to take decisions on all policy measures and approves investment and non investment ODS phase out projects for submission to the ExCom. The ESC is supported by four Standing Committees such as Technology and Finance Standing Committee (TFSC), Standing Committee on Small Scale, Tiny and Unorganized Industries, Standing Committee on Monitoring and Standing Committee on approved phase out projects.

The Ozone Cell is headed by a Director. The ESC is responsible for implementation of the Montreal Protocol. All investment and non investment projects and policy measures are approved by the ESC.

The activities of the Ozone Cell are undertaken under the supervision of the Director (Ozone). Prior to undertaking any work or activity, the proposals are prepared in the Ozone Cell and submitted for approval to the Joint Secretary, Additional Secretary and Secretary (E&F). The activities relating to policy and regulatory measures are sent to Minister (E&F) for approval. However, Secretary (E&F) as the Chairman of the ESC has been directly guiding and supervising the activities of the Ozone Cell relating to ODS phase out program under the Montreal Protocol.

***Relevance*: Are the outcomes relevant to UNDP's mandate, to national priorities and to beneficiaries' needs? (Relevance to UNDP's country programme)**:

Project is consistent with the UNDP country programme objective; "Progress towards meeting national commitments under multilateral environmental agreements"

***Effectiveness:* Have the intended impacts been achieved or are they expected to be achieved? Do different outcome definitions feed into each other and is there a synergy in between? Is the outcome achieved or has progress been made to achieve? Has UNDP made significant contributions in terms of strategic outputs?**

Ozone Cell received the Best Implementer of the Montreal Protocol Award in 2007. In addition, the Director, Ozone Cell received the United States Environment Protection Agency's 2008 award for protection of Stratospheric Ozone Layer

The status of ODS phase out according to report of the Ozone Cell in 2010 is as follows "India has phased out production and consumption of CFCs, CTC and halons as on 1.1.2010 except use of pharmaceutical grade CFCs in manufacturing of MDIs for Asthma and Chronic Obstructive Pulmonary Diseases (COPD) patients under Essential Use Nomination (EUN) of the Montreal Protocol. A total of 301 projects have been approved and funded by the Executive Committee of the Multilateral Fund (MLF). A total amount of USD 257,427,713 has been approved by the Executive Committee of the MLF to phase out 58,638 ODP tonnes of ODS"

***Efficiency:* To what extent do the outcomes derive from efficient use of resources? And to what extent UNDP has contributed to the outcomes versus that of its partners?**
Reportedly, India was able to phase out CFCs except use in MDIs 17 months ahead of the agreed phase out schedule.

***Degree of Change:* What are the positive or negative, intended or unintended changes brought about by UNDP's intervention in these outcomes?**

There has been considerable progress in general in phasing out of ozone depleting substances. They would not have been achieved without the support provided by Montreal Protocol Fund and UNDP. According to the 2010 report of the Ozone Cell, due to the availability of support through MLF, India has embarked on an accelerated plan for phasing out of HCFCs by 2040. Government of India has exempted customs and excise duties on capital goods required for ODS phase out projects. Indian financial institutions have decided not to finance/refinance new ODS producing/consuming enterprises. The Tariff Advisory Committee – a statutory body under the Insurance Act 1938 – has decided to grant suitable discounts on fire insurance premiums if alternate fire extinguishing agents are used in place of halons. India has also enacted the Ozone Depletion Substances (Regulation and Control) Rules 2000.
Sustainability: **Will benefits/activities continue after the programme cycle?** Production units that have phased out ozone depleting substances have permanently adopted technologies and processes that do not now use them. Thus the benefits achieved are permanent
Gender and equity: NA
Any Innovations: NA
Any other Issue: NA
Additional Remarks if any: NA
Documents Referred: Project Document, Annual Work Plans (2008, 2009, 2010), Terminal Report Institutional Strengthening, Plan of Action Institutional Strengthening, The Montreal Protocol India's Success Story Oxone Cell Report 2010

K: Medicinal Plants CCF II

Name of the Project: National Programme on Promoting Conservation of Medicinal Plants and Traditional Knowledge for Enhancing Health and Livelihood Security
Duration: 2003 to 2007
Total Cost: USD 10 Million of which UNDP Contribution was USD 3 Million. The rest was GoI and State Govt contribution
Objectives: 1. Related to forestry and biodiversity a. Establishment of network of forest gene banks for conservation of medicinal plant germplasms b. Design and implement a self-financing system for afforestation and sustainable harvest of medicinal plants using the JFM framework c. Put in place an institutional mechanism for identifying threatened species, undertake species recovery and avoid extinction and regulating of trade in threatened species 2. Related to indigenous knowledge a. Document local health traditions and protect their IPRs b. Promote self reliance of households in primary health care by revitalising sound traditional health practices and folk healing traditions c. Introduce modules of traditional knowledge at all levels of education including medical schools d. Undertake pilot experiments for integration of robust traditional medicine into official health care programmes

e. Undertake similar experiments in the private sector

3. Related to rural livelihoods
   a. Generate rural livelihoods for women and rural poor by commercialising medicinal plants and their products through community owned enterprises by using lessons learnt in earlier experiences of a similar nature
   b. Develop strong partnerships between rural communities and commercial enterprises dealing with medicinal plants
4. Promoting south-south cooperation
   a. Establish linkages with traditional medicine associations in other parts of Asia, Africa and Latin America and promote joint initiatives for revitalisation of local health cultures, IPR protection and community owned enterprise development

Scope: Project was to be implemented in 9 states of India; Kerala, Tamil Nadu, Karnataka, Maharashtra, Andhra Pradesh, Rajasthan, Orissa, West Bengal, Madhya Pradesh. The project sought to strengthen R&D in traditional medicine, and create a supportive policy framework across forestry, health, rural livelihoods, R&D and IPR.

Main Components:

1. Forestry sector.
   a. Creation of a network of Forest Gene Banks to conserve wild medicinal biodiversity and link them with a seed centre and a community managed nursery in each state. Local management committees to be setup under a JFM framework for protection and management
   b. Rationalise and streamline a system of sustainable harvesting of wild medicinal plants
   c. Regulating of trade in threatened medicinal plant species
2. Indigenous knowledge
   a. Develop community knowledge registers for the protection of community IPRs related to folk knowledge of medicinal plants
   b. Mainstream traditional medicine into official primary health care programmes
   c. Establish home herbal gardens in rural and urban households
   d. Introduce indigenous knowledge curricula in schools
3. Rural livelihoods
   a. Establish model community owned enterprises
4. South-south cooperation: through exchange visits, joint strategies for protection of IPRs related to traditional knowledge, training programmes, and joint action research projects
5. Cross cutting programmes
   a. Policy studies on
      i. Role of local health traditions in contributing to health security of rural and urban households
      ii. Scope and effect integrating ISM practises into the official PHC system
      iii. Scope and effect of introducing indigenous knowledge of medicinal plants into school curricula at various stages as well as into the curricula of medical schools
      iv. Role of forestry sector in the conservation of medicinal plants
      v. Rural employment potential of medicinal plant resources
      vi. Strategies for protection of IPRs of folk and household knowledge of

medicinal plants

b. R&D Programmes:
   i. Support the work of research institutions in areas like product development, certification, assessment of local health traditions, and selection of traditional practises for introduction into official primary health programmes.
   ii. Support organisation of training programmes for research teams in collaborating institutes on inter-cultural research methods for work on traditional medicine

c. Training programmes to be carried out by FRLHT for staff of state forest departments, state level coordinating agencies, NGOS, CBOS on following modules
   i. In situ conservation
   ii. Sustainable harvest systems
   iii. Methods of threat assessment
   iv. Para taxonomy
   v. Design of home herbal gardens
   vi. Design and purpose of community knowledge registers
   vii. Role of local eco tourist guides in implementing conservation education activities around the forest gene banks
   viii. Techniques and methods for documentation and rapid assessment of local health traditions including computerisation
   ix. Planning and operation of community owned enterprises
   x. Methods for R&D on traditional medicines
   xi. Traditional knowledge and school curricula

d. Communication and advocacy programmes: development of educational materials in multi-media for creating public interest and support for the programme

e. Development of multi-disciplinary databases on medicinal plants and traditional knowledge:
   i. Checklist of native medicinal plants of project states
   ii. Natural distribution of medicinal plants in project states
   iii. Trade information on medicinal plants
   iv. Agro technology information on nursery techniques, seed storage, and agronomy of medicinal plants
   v. Traditional knowledge of medicinal plants based on codified Indian medical knowledge systems
   vi. Database on Vriksh ayurveda related to the application of plants in agriculture
   vii. Database on pashu ayurveda related to veterinary care

f. Multi-lingual website programme on Home Doctor: to provide support to the initiative on home herbal gardens

g. Focus on gender and poor communities

h. Strengthening decentralised governance including PRIs

Implementation Arrangements:

1. DEA was designated the overall coordinating agency and expected to participate in the

Project Management Board

2. MoEF was designated the National Executing Agency.
3. A Programme Management Board (PMB) headed by Secretary, MoEF was designated consisting of representatives of various relevant line ministries as well as DEA, state governments, and NGO partners like FRLHT. Functions of PMB were
    a. Identify project policy lessons that are applicable to other national initiatives
    b. Linking broader approaches and strategies to the grassroots
    c. Review progress of the project through participatory mechanisms based on indicators such as ownership, participation, equity and empowerment
    d. Explore areas of convergence and coordination within the government systems
    e. Explore leveraging of funds from programmes of various ministries and departments
4. An Empowered Project Standing Committee (EPSC) chaired by the Joint Secretary (MoEF) who was also designated as the National Project Director (NPD) and having membership of UNDP, FRLHT, and four other members nominated by MoEF was set up. It was to approve the annual budget and review progress of achievements.
5. FRLHT was designated the national coordinating agency and responsible for day-to-day management of the project
6. State Nodal Agencies in every state were designated. These agencies were responsible for:
    a. Effective implementation of components being executed in the states
    b. Release funds as per approved budget to partner organisations
    c. Cooperate with FRLHT in
        i. R&D programmes
        ii. Policy studies
        iii. Training programmes
        iv. Communication and advocacy programmes
        v. Development of databases and websites
        vi. Participatory monitoring and evaluation exercises
    d. These agencies were to also set up state level project management committees consisting of 7-9 members who would represent key project stakeholders in the state
7. UNDP was to support the management of this project through participation in various advisory committees that were set up as well as in the EPSC.

***Relevance*: Are the outcomes relevant to UNDP's mandate, to national priorities and to beneficiaries' needs? (Relevance to UNDP's country programme)**: The project was stated to be a good fit with UNDAF thematic areas of

1. Poverty eradication and sustainable livelihoods
2. Vulnerability reduction and environmental sustainability

The project also dovetailed with other UNDP supported initiatives such as:

1. Preparation of national biodiversity strategy and action plan
2. Development and implementation of in-situ medicinal plants conservation and participatory model for community based sustainable management of medicinal plants conservation areas in Maharashtra and Andhra Pradesh
3. Food security and women in agriculture and community based pro-poor initiatives supported in different parts of the country

***Effectiveness:* Have the intended impacts been achieved or are they expected to be achieved? Do**

different outcome definitions feed into each other and is there a synergy in between? Is the outcome achieved or has progress been made to achieve? Has UNDP made significant contributions in terms of strategic outputs? According to the consolidated review report, the project could not be initiated as per original schedule. As a result the planned project period of about four years (2003-2007) got shortened and implemented over a period of two years only (2006-2008). However, the report goes onto to state that despite the shortened project period, project outcomes were satisfactory. The consolidated review report suggests that the UNDP ought to have fine tuned the project deliverables due to the fact that the project implementation period was squeezed. There is also criticism of delayed release of funds, although it is not clarified whether it was UNDP which was solely responsible.
Efficiency: **To what extent do the outcomes derive from efficient use of resources? And to what extent UNDP has contributed to the outcomes versus that of its partners?** The author mentions at various places in the report that deployment of resources especially human resources was not adequate and that project implementation was not efficient. There is neither special praise nor criticism of UNDP in the report
Degree of Change: **What are the positive or negative, intended or unintended changes brought about by UNDP's intervention in these outcomes?** The consolidated review report describes the following achievements of the project: "The programme has achieved significant success in creating massive awareness on the various key aspects of medicinal plant conservation, primary health care and livelihood earning in the entire project states thus far. Within a short period of about two years a massive outreach has been achieved across stakeholders' groups as during this, over 50,000 HHGs have been developed at household level, a large number (approximately 2,500) of VRPs created, more than 500 CKRs have been prepared, about 25 MPCAs established, state level RET medicinal plant species prioritized and published reports are available." "Conservation Assessment and Management Prioritization (CAMP) workshops in Orissa, Rajasthan and West Bengal provided a suitable plate form to a wide range of stakeholders to share experiences in preparing a state level list of RET medicinal plant species with clear actions to taken to conserve them. Similarly establishment of MPCAs has been helping traditional forestry sector to identify forest areas rich in medicinal plants and to appreciate the importance of a whole range of biodiversity present and checklist of medicinal plants in the forests besides timber. Many of the foresters have found this component as an opportunity to put their location specific conservation experiences into practice. Activities related to establishing seed centre at state level have also provided opportunities related to important medicinal plants such as learning species specific techniques of successful nursery raising to project team" "Majority of activities related with establishing HHGs and preparation of CKR components helped prioritizing health conditions at local level in many project states, identification of medicinal plants useful for curing these conditions, generating knowledge regarding nursery development and cultivation of the identified local medicinal plants in home gardens in different agro-climatic conditions. The CKRs developed under the present project may be considered vital documents and with proper scrutiny and scientific validation may become a source of new information and providing benefits to local communities in future"
Sustainability: **Will benefits/activities continue after the programme cycle?** The consolidated review report suggests that while project achievements have been impressive, more investments and sustained engagement is needed to achieve sustainability of the outcomes
Gender and equity: There isn't enough information available on this aspect. The consolidated review report uses the word gender only once in 37 pages

Any Innovations: 1. The use of GPS for developing community knowledge registers in Andhra Pradesh and Maharashtra were considered innovative in the consolidated review report. 2. Sambandh's model in Orissa for forming associations of Vaidyas at block, district and state levels is considered innovative and recommended to be worth emulating in other states in the consolidated review report 3. The establishment of Medicinal Plant Conservation Areas and Home Herbal Gardens were also ideas that the consolidated review report suggested were worth continued support and emulation in other parts of the country
Any other Issue: NA
Additional Remarks if any: This project has been closed
Documents referred: Project document, Consolidated Terminal Report (draft), 8th PSC meeting minutes

L: Second NATCOM

Name of the Project: Enabling Activities for Preparation of India's Second National Communication to UNFCCC
Duration: 2007 – 2011
Total Cost: US$ 6.5 million. GEF contribution US$ 3.5 million
Objectives: Strengthen technical and institutional capacity to assist India to mainstream climate change concerns into sectoral and national development priorities
Scope: The second national communication is planned to build on the results of the initial national communication. It is expected to fulfil more intensive reporting requirements of decision numbers 17/CP.8 and 10/CP.2 of the Conference of Parties of the UNFCCC, address the gaps that were identified in the initial national communication, and focus on prioritised activities taking into account national circumstances, priorities and development needs.
Main Components: 1. Consistent, comparable, comprehensive and transparent national GHG emission inventory for the year 2000 with reduced uncertainties a. GHG inventory by sources and sinks for the year 2000 b. National inventory management system c. Strengthened institutional networks and improved scientific measurements, monitoring, reporting, and learning capacities and informed decision making 2. An integrated assessment of the impacts of climate change and associated vulnerabilities in the various regions of India a. Development of climate change and socio-economic scenarios b. Improved sectoral impact analysis: a comprehensive assessment of impacts of climate change on key sectors c. Integrated vulnerability assessment in selected areas to provide representative sample of climate change impacts and adaptation responses leading to the formulation of adaptation framework

d. Enhanced institutional capacity for undertaking V&A assessments and informed decision making

3. A compilation of information on the Indian national circumstances and the steps taken or envisaged to implement the convention
    a. Information on national circumstances
    b. Steps taken to integrate climate change
        i. Steps taken to integrate climate change into relevant social, economic and developmental policies
        ii. Activities related to technology transfer
        iii. Climate change research and systematic observation and research to adapt to and mitigate climate change
        iv. Information on education, training, public awareness, and capacity building at the national and regional level
        v. Constraints and gaps, and related financial, technical and capacity needs
4. Preparation of the second national communication report

Implementation Arrangements:

1. MoEF was designated the executing and implementing agency
2. National Steering Committee (NSC), chaired by the Secretary MoEF is responsible for implementing the project and ensure that it progresses as per the project design. NSC has representation of MoEF and UNDP, as well as various other ministries and departments such as DEA, Water Resources, Coal, Agriculture, Finance, New and Renewable Energy, Science and Technology, Power, Heavy Industries, Shipping and Transport, Petroleum, Health and Family Welfare, External Affairs, Ocean Development and Planning Commission
3. National Project Director (NPD) appointed by MoEF to facilitate the required level of inter-sectoral coordination of other departments and ministries as well as states
4. Project Management Cell (PMC) guided by NPD responsible for day to day coordination, management and implementation of the project
5. In addition, various other expert institutions within and outside the governmental system as well as NGOS are also involved to carry out inventory estimation, uncertainty reduction, vulnerability assessment, adaptation and other tasks and enumerations
6. Technical Advisory Committee (TAC) created under the Chairmanship of Secretary MoEF to guide the technical aspects of the project. TAC coordinates technical inputs into the project, and guides the preparation of scientific and technical information of the communication
7. UNDP as GEF Implementing Agency to provide project assurance and provide independent project oversight and monitoring
8. Stakeholder Interaction Committee (SIC) to ensure awareness and stakeholder participation

***Relevance*: Are the outcomes relevant to UNDP's mandate, to national priorities and to beneficiaries' needs? (Relevance to UNDP's country programme)**:

Support to India to fulfil its commitments to the UNFCCC and assist India in incorporating climate change in the developmental process. The project also falls within the GEF's mandate as financial mechanism of the UNFCCC to support Enabling Activities for implementation of the UNFCCC

***Effectiveness:* Have the intended impacts been achieved or are they expected to be achieved? Do different outcome definitions feed into each other and is there a synergy in between? Is the outcome achieved or has progress been made to achieve? Has UNDP made significant**

contributions in terms of strategic outputs? Midterm evaluation of the project has not been carried out, hence an independent view is not available. According to the 2010 Project Implementation Report (PIR 2010), the progress of the project has been rated as satisfactory. Comments of the National Project Manager are quoted below: "As per the annual work plan for 2010 a draft chapter for each of the elements of the communication will be ready by Dec. 2010. In this respect almost 95% of GHG inventory and 80% of the V&A reports have been received. The other element reports will be available by September 2010. Therefore it is envisaged that the timeline for preparation for the synthesis reports might shift by 1 month, and hence the draft report may shift by one month. All the consultative meetings and workshops envisaged to be undertaken by June 2010 have been conducted. Financial delivery has been a bit slow but will catch up by the third quarter of 2010. The financial delivery is linked to receipt of reports for each of the sub-project. In each sub-project of outcome 2 and 3, 4 reports were requested (initial status report, interim progress report, draft report and final report). Earlier it was envisaged that all the final reports will be available by Dec 2009. However, due to delay in generation of the climate change scenarios, the projects dependent on these scenarios have got delayed and are being received now. By June 2010, 98.5% of the finance requested in Sept-Dec 2009 has been disbursed. No extra funding was requested during the period Jan-June 2010."
Efficiency: **To what extent do the outcomes derive from efficient use of resources? And to what extent UNDP has contributed to the outcomes versus that of its partners?** Cannot say on the basis of the available documents
Degree of Change: **What are the positive or negative, intended or unintended changes brought about by UNDP's intervention in these outcomes?** Cannot say on the basis of the available documents
Sustainability: **Will benefits/activities continue after the programme cycle?** Cannot say on the basis of the available documents. However, the MoEF has established the Indian Network for Climate Change Assessment (INCCA) that is expected to carry forward the process of mainstreaming and integrating NATCOM results into planning and developmental processes
Gender and equity: PIR 2010 states that "The aim of this project is to prepare information for submission to UNFCCC secretariat as India is a signatory to the Convention which aims to stabilise the GHG concentrations in the atmosphere at a level that will not dangerously interfere with the climate system and not hamper food security and sustainable development. Therefore, issues related gender is not directly applicable here. However, a gender expert is coordinating though this project one sub project that examines the impacts of climate change on water and on women's health and livelihoods."
Any Innovations: NA
Any other Issue: NA
Additional Remarks if any: NA
Documents Referred: Project Document, Fact Sheet, Annual Work Plan (2009, 2010, 2011) Project Implementation Review and Annual Project Review 2010, National Steering Committee meeting 2008

M: Steel Rerolling Mills

Name of the Project: Removal of Barriers to Energy Efficiency Improvement in the Steel Rerolling Mill Sector in India
Duration: 2004 – 2010

Total Cost:

1. Total cost = USD 32,200,000
2. UNDP/GEF = USD 7,030,000
3. Government of India = USD 7,340,000
4. TA project for cluster financing of SMEs = USD 1,000,000
5. Private sector = USD 5,540,000
6. Government agencies (IREDA, PATSER, Technology Development Board) = USD 5,520,000
7. Financial Institutions = USD 5,770,000

Objectives: The project goal (environmental objective) was to increase end - use energy efficiency of SRRM sector and to reduce associated emissions of greenhouse gases (GHG).
The project's immediate objective was to accelerate the penetration of environmentally sustainable energy efficient technologies, ultimately leading to large-scale commercialization of energy-efficient technologies and practices in the sector.

Scope: The project sought to promote sustainable and viable energy efficient (EE) technologies in a market-driven manner. This was to be achieved through reduction of transaction cost of EE technologies, opening up innovative channels for financing of EE investments in the SRRM units, development of human resources at local, regional and national level, facilitating communication among institutions and assistance to SMEs in the sector to develop market - based bankable energy efficiency projects. The project coverage extended over the states of Haryana, Rajasthan, Uttar Pradesh, Punjab, Jammu and Kashmir, Gujarat, Maharashtra, Chhattisgarh, West Bengal, Tamil Nadu, Andhra Pradesh, Kerala and Karnataka

Main Components:

1) *Establishment of benchmarks* for energy-efficient and/or environmentally friendly technology packages, called 'EcoTech Options & Packages' by reviewing the techno economic and commercial status of the EcoTech packages and development of labels, standards and benchmarks for equipment, devices and processes used in the SRRMs;

2) *Strengthening of institutional arrangements* for long-term sustainability of the project objectives has been built in to the project design. This includes improved utilization of existing institutions, facilities and resource persons as well as development of business and commercial networks (business support system) and encouraging cooperative procurement of technologies and services;

3) *Effective information dissemination* by means of establishment of a database on current and new development in technology, their sources and investment requirements, projects in progress, market trends, resource personnel as well as the development of communication channels including web based EE- Net for information dissemination on technology markets, funding schemes;

4) *Enhanced stakeholders' capacity,* including assessment of capacity building needs of major stakeholders to facilitate implementation and absorption of advanced EE technologies in the SRRM sector (mapping of clusters) as well as developing and implementing a capacity building strategy;

5) *Establishing technical and financial feasibility of EcoTech options and technology packages.* The technology packages would be demonstrated in 30 sample units spread across 5-

geographical clusters to demonstrate techno-economic viability.

6) *Innovative financing mechanism such as ESCOs* would be introduced for the first time in the industry that has a high risk-perception and development of 'investment portfolios' with the banks is envisaged;

7) A self-sustained *Technology Information Resource and Facilitation Centre (TIRFAC)* would be set up that would continue to provide various technical assistance services to the SMEs in the post- project period. TIRFAC would consist of two components, namely a Software Centre and a Hardware Centre.

8) The above-mentioned *programme components* were supplemented by an *investment component* which would involve the development of 30 representative SRRM units as model for demonstration of the EcoTech options and technology packages. The financing for this component was to not come from GEF but mainly through the industry's own resources supported by loans from commercial banks. The introduction of risk-guarantee scheme on a limited scale was envisaged as well.

Implementation Arrangements:

1) The Ministry of Steel (MOS) was given overall responsibility and create a project management cell (PMC) for effective project execution. The ministry was also mandated to appoint a National Project Director (NPD).

2) A project steering committee (PSC) under the chairmanship of the Secretary, MOS, was created with representation from Department of Economic Affairs, Ministry of Power, Bureau of Energy Efficiency, Ministry of Coal, Planning Commission, Ministry of Petroleum and Gas, Ministry of New and Renewable Energy, Ministry of Environment and Forests, Department of Science and Technology, Department of Scientific and Industrial Research, and UNDP. NPD was designated as member secretary of the PSC. Functions of the PSC were:

a. Ensure achievement of project goals and objectives
b. Review project progress and suggest implementation arrangements
c. Review project expenditure against activities, outputs and outcomes
d. Approve annual and quarterly workplans
e. Provide progress report for feedback and review

3) Project management cell headed by NPD was to implement the project. NPD was to be assisted by National Project Coordinator (NPC) and other staff in Project Management Unit (PMU)

4) National Project Coordinator was to be designated by MoS and carry out day-to-day management of the project. NPC would head the PMU and was responsible for:

a. Annual and quarterly work plans
b. Annual and quarterly progress reports
c. Various other documents and reports required by the Project Management Board (PMB)

5) Project Advisory Committee (PAC) was to be a technical advisory committee to be established by the MoS and Chaired by Joint Secretary, MoS. Its role was:

a. Advise project team on technical issues

b. Review of energy audits and data management
c. Advise of technology selection
d. Suggest policy issues of relevance to technology adoption in SRRM sector

6) The CPAP Programme Management Board (PMB) for the Energy and Environment outcome and co-chaired by MoEF and UNDP was to oversee the delivery and achievements at the programme outcome level.

***Relevance*: Are the outcomes relevant to UNDP's mandate, to national priorities and to beneficiaries' needs? (Relevance to UNDP's country programme)**:

Project is consistent with UNDP priority of Vulnerability Reduction and Environment Sustainability in the UNDP country programme for 2003-2007. Project is also consistent with UNDP priority to support sustainable energy use and capacity building to achieve global environmental and developmental goals. The project is also consistent with the objectives of the GEF Operational Programme No. 5 on "Removing Barriers to Energy Efficiency and Energy Conservation"

***Effectiveness:* Have the intended impacts been achieved or are they expected to be achieved? Do different outcome definitions feed into each other and is there a synergy in between? Is the outcome achieved or has progress been made to achieve? Has UNDP made significant contributions in terms of strategic outputs?**

According to the MTR, project effectiveness is reported along following lines:

- Project has been successful in creating awareness and by providing capacity building by holding workshops and technical trainings as well as some study tours (*Outcome 4*). The Evaluation Team feels that the project has achieved an increased awareness amongst SRRM units, although not equally in all Cluster areas.
- Progress regarding *Outcomes 7* and *Outcome 3* is halfway at the time of the Evaluation Team's mission. The TIRFAC Software Centre was set up (by December 2005) and the Centre's Information and Knowledge unit is just being set up, while the project's Newsletter has only recently been published (May 2007).
- Under *Outcomes 1* (benchmarks) and *Outcome 6* (ESCOs and financing) no notable progress has been made.
- Under *Outcome 2* (institutional arrangements), some networking has been taken place with organizations that work in the technology area, notably with technological institutes in India and China, but less so with organizations in the commercial sphere, i.e. private sector associations, domestic equipment manufacturers, consultants and banks.
- Investments in fuel consumption and process improvements by the SRRM units are the real indicator for *outcome 5* (technical and financial feasibility) and the *investment component*. Unfortunately, while the project document aims at having investments in 20 out of 30 sample units, only nine units have been supported so far and only a few units are contemplating investments.
- The budget expenditures reflect the slow rate of implementation; of the combined GEF and Ministry of Steel co-financing, only 11% has been spent.

According to the PIR 2010 the project was rated as Marginally Satisfactory by the UNDP Country Office and UNDP Regional Technical Advisor. The National Project Manager rated the project as Satisfactory

PIR 2010 reports the following:

- The project is scheduled to end in December 2010. However, only about 2.9 million USD has been spent till now. There are substantial activities that are still relevant and it is important to establish mechanisms to upscale project outcomes. This will additional time, beyond the

scheduled project closure.

- Leverage and utilise co financing. MoS has dedicated 7.28 million USD out of which less than 25% has been spent till now. Other co-financing included loan from banks. However, SRRM units have not taken loans from banks instead have invested themselves. This needs to be accounted. There is a co-financing of about 1.0 million USD from MoEF which needs to be utilised.
- Slow progress with some of the outcomes such as TIRFAC software centre becoming financially sustainable, Benchmarking, involving ESCO and TPF.

***Efficiency:* To what extent do the outcomes derive from efficient use of resources? And to what extent UNDP has contributed to the outcomes versus that of its partners?**

Following remarks have been made in the MTR regarding efficiency:

- *Project design*
  - The project seems *over-budgeted*. On the positive side, the Evaluation Team acknowledges that the Government contribution is real cash money (unlike other GEF projects where the national contribution usually is in-kind or when cash it is no new money, but already budgeted or provided by other donors). Nonetheless, a budget total of about US$ 14 million seems too much money for technical assistance activities only.
  - The project document does not provide any approach for *sustained regulatory and policy framework* for the project that could include policy instruments, such as fiscal incentives, carbon tax, subsidies, excise duty & custom duty exemption. In general, no proper sustainability and replicability plan has been prepared in the design document.
  - The Evaluation Team has serious doubts about the feasibility of two project outcomes:
    - *ESCOs.* The concept of performance contracting does not seem to be applicable to the SRRM sector
    - *TIRFAC Hardware Centre.* Installation of the Hardware Centre seems to be quite ambitious programme. At this juncture going for investment (as part of the cofinancing) for installation of demonstration unit at NISST for making the demonstration unit operational will be a challenging task. The sustainability issue of the project raises some questions. As this demonstration unit is not coming with a mill, the Evaluation Team asks itself what will happen to the end products? How are the funds to be arranged for operation and maintenance of units as well as for the raw materials and manpower needed? The evaluation team has the opinion that the necessity of the Hardware Centre should be reconsidered and if felt essential, demonstration units may be installed with the collaboration of existing organization like CSIR Lab, IITs etc. Alternatively, this fund can also be gainfully utilised in implementation of energy efficient technologies in additional 40-45 model units, providing wider coverage of model units.
- *Project management and implementation*
  - With a large PMC as well as TIRFAC Software Centre being based in Delhi, project management seems quite top-heavy, with no permanently based staff in the Cluster areas, while the role of Resident Missions has been limited so far. This centralised structure hinders the effective outreach to the SRRMs in the various States of India.
  - Regarding provision of technical assistance to the SRR sector, the PMC has followed a step-by-step approach in which a few units are approached and assisted. However, the commercial viability of EcoTech options and energy efficient technical packages is to be proved in the sector on a *visible scale* to improve the confidence level of investors. This is a 'critical' factor in widespread adoption of EE technologies especially when some technologies proposed under the project are new to the

investor in the sector or first time in the country. Clearly, the batch-wise approach by the PMC to convince the SRRM units has not been working. Many more units need to be more approached in parallel.

According to the PIR 2010, due to less than adequate project progress, it was suggested that the project duration be extended by an additional 2 years.

According to PIR 2010, 38755 MTCO2 emissions have been avoided since the start of the project and energy savings of 351,705 GJ had been achieved

Degree of Change: **What are the positive or negative, intended or unintended changes brought about by UNDP's intervention in these outcomes?**

Cannot say on the basis of available documents

Sustainability: **Will benefits/activities continue after the programme cycle?**

MTR reports major concerns regarding sustainability of the TIRFAC Hardware Centre as detailed above. Additional comments regarding sustainability are:

- The sustainability will depend on the ability of the project to create a niche market for energy-efficient investments in the SRRM sector by bringing together industry associations, technology providers, domestic and international experts, government agencies and financial organizations (for marketing and dissemination of these technologies and development of financial mechanisms). However, such a business network, needed for longer-term sustainability, has not emerged yet.
- Technology information resource services and optimum solution design support will be provided by the TIRFAC Software Centre. At this point in time, however, it is not yet clear how the activities of TIRFAC will be sustained after the project's life.
- Some SRRMs are adopting EcoTech technologies even without the project's support. This proves that certain energy efficiency improvements have a replication potential in these times of rising fuel prices, but the project should put much more emphasis in creating awareness across the length and breadth of the country as part of an effective strategy for securing large-scale replication.
- The Evaluation team feels therefore that the current *top-down*, *batch-wise* way of implementing activities and *technology-oriented* approach in implementing the project activities has to change towards a more *decentralised*, *parallel-wise* and *demand-oriented* approach for the project to become successful.

Gender and equity: PIR 2010 reports that "Steel Re-rolling Mills does not often have women workforce, except perhaps in administration. Hence, gender relevance is extremely limited in the project."

Any Innovations: Cannot say on the basis of existing documents

Any other Issue: Project will continue till 2012

Additional Remarks if any:

Recommendations of the MTR suggested a change in project strategy and several recommendations were made regarding specific components of the project:

- *Project management should be 'lean and mean'*
    - The PMC should be less top-heavy with, for example, having more staff based at the Resident Mission instead of sitting in Delhi. These regionally based staff should have the technical knowledge about the SRRM sector, but also have a commercial orientation to be able to convince the SRRM owners to effect energy-efficient investments

- The PMC should not act too much as consultant itself, but play more of a facilitating role by bringing together the various stakeholders (SRRM units, technology providers, consultants, technology institutions, consultants, banks, national and local authorities) at the national as well as regional (Cluster) level
- Similarly, the project has two committees, the Steering (PSC) and Advisory Committee (PAC). In the same spirit of decentralisation, more 'advice' should be at the cluster level by setting up regional PACs, while at the national level, the 'decision-making' function of the PSC should be strengthened by adopting a culture of 'taking bold decisions' to speed up the project's implementation.
- A business plan should be formulated for the TIRFAC Software Centre, in particular looking at the sustainability of its operations after the project's end.

- *Project activities*
  - The mapping of clusters (assessment of technology, such as furnace type, production capacity, end products as well as current practices, needs and technological options) should be finalised as soon as possible, to be followed by updating the roster of technology providers, consultants and resource persons as well as by performing technology-wise benchmarking for each cluster. This mapping should include the establishment of a firm baseline of energy consumption and corresponding CO2 emissions in the SRRM sector so that progress and project results can be monitored.
  - Regarding technologies, a step-wise package of technology should be promoted, i.e. starting first with the 'low-hanging fruits' (low-cost technologies) such as good maintenance and operating practices and realising improvements in the existing furnace (better refractive lining, putting in automation and control system, etc.). As a next step, it can be considered the whole furnace can be replaced by a new more efficient pusher-type furnace with a recuperator. More expensive state-of-the-art technology packages (regenerative burners and walking beam furnaces) could be considered for the larger SRRM units. Another option is switching to pulverised coal and coal gasification.
  - SRRM units usually have good partnerships with the local suppliers of furnaces. It is suggested that local manufacturers should be encouraged to produce good quality equipment and the project should provide training and technology support to the domestic equipment manufacturers. Here, the opportunities could be investigated for cost reduction by local manufacturing (e.g., gasifiers) and, if not available locally, of developing capacity for local manufacturing.
  - A massive campaign should be organised aiming at all the 1,200 SRRM units in the country by providing them with information about the project objectives and technical assistance services and financial incentives (such as the new support scheme of Rs. 30 lakhs or 25% of capital cost, whatever amount is higher). While it is good to aim at supporting at least pre-selected 30 model unit, let in a parallel approach support also
    - (1) SRRMs that are not model units but have already implemented some energy efficiency improvements and showcase them as model unit if they want to,
    - (2) Support any SRRM that needs technical and/or financial support from

the project.

- Some funds of the capacity building component may be used for providing special courses on operation and maintenance of 'new' technologies (at the technological institutes or polytechnics in each Cluster area). There is also a strong need for training of the supervisors working in the field of furnace operation, mill operation and maintenance activities; such training could be done in cooperation with the large steel manufacturing companies.
- Apparently, the ESCO concept will not work in the SRRM sector in India. A small study can be done on the potential of ESCOs, but if not favourable, the whole ESCO component could be dropped from the project and the associated GEF and co-financing funds used for other purposes.
- The Evaluation Team feels that there is need for serious review of the proposed Hardware Centre. This will need lot of effort for commissioning of such unit and financing its operation and its maintenance after the project's end. Instead, the SRRM companies can be used to showcase technology to their peers. Technology can be transferred, adapted or developed in cooperation with domestic equipment manufacturers. If there is some need for funds to support research and demonstration (for adapting technology to the small production capacities of the SDRRM sector), this should be done in cooperation with existing self-sustaining technology institutes.
- Regarding replicability, the project's support scheme (Rs. 30 lakh or 25% of capital cost) would end with the project. In order to reach most of the 1,200 units, the Evaluation Team suggest looking into the option of establishing post-project financing schemes, such as a revolving fund for guarantees and/or soft funding with national funds at a reputed financial institution.
- Given the fact that most of the project's funds have not been used so far and that even more funds would become available by cancelling or reducing the ESCO and TIRFAC Hardware Centre components, we suggest that the project supports setting up such new schemes as well as by boosting the existing '30 lakh support' scheme and that such schemes are promoted as part of the massive promotion campaign
- The possibility may also be explored to provide relaxation in custom & excise duty for equipment, spares, instrumentation related to energy efficiency improvement in SRMM and related pollution control equipment or other fiscal incentives. Regarding coal, it should be studied if higher-grade coal can be provided by the coal suppliers. Such a policy formulation / fiscal incentives component has not been included in the project's design, but some activities in this respect should be considered to be included.

Documents Referred: Fact Sheet, Project Document, Midterm review 2007, APR and PIR 2010, AWP 2011

N: Institutional Structures for Strengthening Biodiversity Act

Name of the Project: Strengthening Institutional Structures to Implement the Biological Diversity Act

Duration: 2008 - 2012

Total Cost: USD 1.18 million

Objectives:

1. Promote conservation and sustainable utilisation of biodiversity
2. Promote in-situ, on farm and ex-situ conservation
3. Collect, collate and integrate biodiversity information into a database of biodiversity with networking systems and linkages
4. Measures for conservation and management of biodiversity
5. Promote harmony, synergy and linkages for conservation and management of biological diversity and associated traditional knowledge
6. Accelerate effective implementation of provisions of Biological Diversity Act and Rules through training and awareness campaign

Scope: The National Biodiversity Authority was to help in implementing the project along with MoEF mainly in Jharkhand and Madhya Pradesh since these are "states with rich biodiversity and globally significant species".

There was also a focus on strengthening the capacity of institutions that are directly involved in implementation of the Biodiversity Act at all levels such as Biodiversity Management Committees (BMC), State Biodiversity Boards (SBB) and National Biodiversity Authority (NBA) as well as other relevant institutions and departments such as Rural Development, Forest Department, Municipalities and Gram Panchayats.

In addition, the project was to also assist BMCs in developing People's Biodiversity Registers (PBR) and share lessons learnt and best practises with other states.

Main Components:

1. Assessment of institutional capacity conducted for effective implementation of the Biodiversity Act
2. Improved understanding of the Biological Diversity Act and strengthening and integration of conservation efforts
3. Networking of human resources development and R&D Agencies/institutions of the States for implementation of the BD Act

Implementation Arrangements:

1. MoEF was designated the implementing partner
2. The Chairperson, National Biodiversity Authority (NBA) was designated the National Project Director (NPD)
3. The NBA was designated the responsible party for carrying out project activities and results achievement
4. Project Steering Committee (PSC) was tasked with overall coordination and providing oversight. PSC was to be chaired by Additional/Special Secretary MoEF and include representation from MoEF, NBA, UNDP, project states and other stakeholders. The specific functions of PSC were identified as:
    a. Achievement of project goals and objectives within defined timeframes
    b. Review of project progress and suggestion of implementation strategies
    c. Review of project expenditure against activities, outputs and outcomes
    d. Approve annual and quarterly workplans
    e. Review progress report

5. Programme Management Board (PMB) to be co-chaired by MoEF and UNDP was established for the Energy and Environment programme. PMB was to provide strategic direction for future programmes as well as tasked with delivery of project outcomes. It had representation of all implementation partners of other departments as well as GEF plus NPDs of GoI/UNDP Energy and Environment programme
6. Project management Committee (PMC) responsible for day to day management of the project was set up under the chairmanship of the NPD

***Relevance*: Are the outcomes relevant to UNDP's mandate, to national priorities and to beneficiaries' needs? (Relevance to UNDP's country programme)**:
The project is consistent with the UNDP CP objective to make "Progress towards meeting national commitments under multilateral environmental agreements"

***Effectiveness:* Have the intended impacts been achieved or are they expected to be achieved? Do different outcome definitions feed into each other and is there a synergy in between? Is the outcome achieved or has progress been made to achieve? Has UNDP made significant contributions in terms of strategic outputs?**

Several capacity building initiatives were undertaken:

- Technical Support Groups (TSG) formed in each district to train the BMC/EDC members on the preparation of Peoples Biodiversity Registers (PBR). Five workshops were organized in Jharkhand. In Madhya Pradesh, a number of workshops/meetings and seminars were organized for PBR preparation with involvement of college faculty and students.
- Workshop for capacity building of various stakeholders- line department officials, SHGs, BMCs were organized. In Madhya Pradesh, at village Matkuli in Hoshangabad district, one training for BMC members and villagers, mostly women, was organized for alternate livelihood generation.
- A workshop to train stakeholders on BD Act, sustainable use and PBR process was held at Bhopal (August 6) in collaboration of IIFM. A regional seminar on IPR and Innovation Management Knowledge Era was held at Bhopal on August 18.
- Audit Clinic organized by UNDP at PMU, Chennai in which all 12 project staff participated.
- Project Management Training organized by UNDP in New Delhi office in which two project staff participated.
- Project Manager participated in Deep Democracy course organized by Tata Institute of Social Sciences, Mumbai.
- Project Manager, Liaison Officer, Project Coordinators, Project Associate participated in a number of workshops/technical conferences/ seminars/ meetings.

Biodiversity conservation initiatives under the project:

- Jharkhand: the project supported a biodiversity park in Hazaribagh to have a nursery of RET species of plants.
- Madhya Pradesh: State Biodiversity Board is setting up biodiversity parks in each district- the one in Hoshangabad being supported by the project.
- A conservatory of medicinal plants and RET species has been established by the BMC of Malajkhand in Balaghat district.
- In each project district, BMCs are being encouraged to set up "Herbal gardens".
- A herbarium is being developed and maintained by PG Govt. College, Hoshangabad.
- Madhya Pradesh: documentation of land races and folk varieties of rice and mango is being done with help of college/KVK faculty.
- Farmers of Rewa and Balaghat districts being encouraged and assisted in growing the minor millets which otherwise are getting out of cultivation.
- Preliminary identification of Biodiversity Heritage Sites has been done in all the five districts of the two states. Their verification and notification remains to be done.

Biodiversity Management Committees (BMCs) and Peoples Biodiversity Registers (PBRs)

- In Jharkhand seven EDCs are working as BMCs and seven PBRs are under preparation.
- In Madhya Pradesh 337 BMCs have been formed
    - 252 in Hoshangabad
    - 55 in Balaghat
    - 30 in Rewa district
    - Twenty nine PBRs are under preparation
        - 11 in Hoshangabad
        - 16 in Balaghat
        - 2 in Rewa

Access and Benefit Sharing (ABS) initiatives started in Balaghat and Hoshangabad districts. Several activities undertaken for awareness generation in Jharkhand and Madhya Pradesh

Efficiency: **To what extent do the outcomes derive from efficient use of resources? And to what extent UNDP has contributed to the outcomes versus that of its partners?**

Cannot say on basis of available documents

Degree of Change: **What are the positive or negative, intended or unintended changes brought about by UNDP's intervention in these outcomes?**

Some BMCS are able to take up activities on their own like the BMC of Malajkhand in district Balaghat. They are selling Kalmegh to Natural Remedies, Bangalore and have taken up various activities related to ABS, biodiversity conservation and awareness generation. A conservatory of medicinal plants has also been established by them.

Sustainability: **Will benefits/activities continue after the programme cycle?**

Cannot say on the basis of available documents

Gender and equity:

Efforts have been made on capacity building and awareness creation among women as "women are most closely associated with forests as they gather forest produce like Tendu leaves, Achar, fruits of Buch and other wild fruits, Ramie, Lauzen, fodder, and fuel for domestic use and sale." Women who are active in conservation have been identified in some areas.

Any Innovations: NA

Any other Issue: NA

Additional Remarks if any: NA

Documents referred: Project Brief, Annual Workplan 2009,2010, 2011, Annual Project Report 2009, 2010

O: Supporting National Development Objectives

Name of the Project: Supporting National development objectives with co-benefits of mitigating climate change

Duration: August 2008 – December 2012

Total Cost:

Core: US$ 5.5 million Non- Core: US$ 42.11 million

Total: USD **47,599,021**

Objectives:

1. Energy efficiency improvements in select energy intensive sectors demonstrated
2. Framework developed for inclusive planning and delivery of clean energy services.
3. Options explored for partnerships and leveraging financing

4. Inputs provided for the environmental and climate policy regimes

Scope:

The project "Supporting national development objectives with co-benefits of mitigating climate change" is aligned with the UNDP country programme outcome 4.3: Progress towards meeting national commitment under multilateral environmental agreements as it supports meeting the national commitments under the United Nations Framework Convention on Climate Change (UNFCCC) and the Kyoto Protocol to the UNFCCC, and with MDG Goal 7 to Ensure Environmental Sustainability.

The project aims at strengthening knowledge base, building institutional capacities, leveraging financial resources (international and local) and developing strategic partnerships for mitigation of GHGs and implementation of the National Climate Change Action Plan (2008). With particular reference are the Missions for Enhanced Energy Efficiency, Sustainable Habitat and Strategic Knowledge, and other initiatives towards reduction of AT&C losses of electricity and Renewable Energy technologies (RETs) for Power Generation mentioned in the National Climate Change Action Plan. The project also contributes to relevant provisions of the Eleventh Five Year Plan (FYP), the National Environment Policy and the cross-cutting sectoral policies.

Broadly, the project, building upon the ongoing efforts, stakeholder consultations and lessons learnt from the last Country Programme, will further strategic initiatives and partnerships for global and national environmental benefits. Special focus will be placed on enhancing efficiencies to reduce GHG emissions in energy intensive industries, transport and commercial sector, and facilitating access to clean energy particularly in four energy deficient UNDAF states.

To this effect, energy planning and climate change activities will be mainstreamed within national developmental strategies and UNDP Country programme. National initiatives for leveraging additional finance (such as funds from the Global Environment Facility) will complement these sectoral interventions for addressing global environmental issues. Other environmental financing mechanisms will also be explored.

The GHG mitigation activities would largely be carried out in Chhattisgarh, Jharkhand, Orissa and Madhya Pradesh (short listed based on a comparative analysis of energy and environmental scenarios in the seven UNDAF states). However, activities supported through GEF funds would have the wider national geographical focus (since the GEF considers no geographical focus); although, priority will be given to implement these activities in UNDAF states as well. The partners range from ministries at central level, state governments, state nodal agencies, NGOs and CBOs and communities in carrying out sub activities.

While most activities (including GEF projects) will be coordinated in partnership with the Ministry of Environment and Forests (MoEF), the activities specifically related to clean energy access will be coordinated in partnership with Ministry of New and Renewable Energy and Ministry of Power (MNRE and MoP).

Main Components:

1. Energy Efficiency
    a. Sectoral energy efficiency demonstrated in few energy intensive sectors
    b. The stakeholders' capacity built
    c. Dialogue initiated and inputs given to strengthen Energy Conservation Act 2001
2. Access to clean energy
    a. Rural Energy Access Advisory committee formed and current scenario reviewed
    b. Urja Sanghathan formulated to build in grass root feedback to the activities in participating districts

c. Capacity building of Urja Sanghathan and ToTs for rural franchisee
d. Mainstream modern clean energy devices for meeting thermal applications in selected areas for the end uses of both domestic and enterprises
e. Energy Efficiency, Electricity generation and distribution for 350 rural villages
f. Establishment of criteria for Renewable Energy Service Company (RESCO) as viable business model
g. Energy Efficiency in villages
h. Support actions to reduce Transmission & Distribution losses
i. Developing communication strategy to disseminate the learning
j. A national policy to accelerate "Access to clean energy" developed

3. Strategic partnerships to leverage environmental financing
   a. Partnerships and strategies explored
   b. Inputs provided for environmental policy and national as well at international climate policy regimes
4. Knowledge sharing and networks
   a. Knowledge management
   b. Knowledge base related to climate vulnerabilities and potential mitigation options strengthened
      i. GHG inventories and climate vulnerability assessments
      ii. Potential mitigation options, particularly in the key UNDAF states

Implementation Arrangements:

1. Programme Management Board: Oversight body co-chaired by the UNDP and the Department of Economic Affairs. To administer the overall outcome and delivery of the Energy and Environment programme. PMB will meet twice a year to assess and analyse the progress towards achievement of planned objectives and outputs
2. Implementing Partners: Ministry of Environment and Forests (MoEF), Ministry of New and Renewable Energy (MNRE) and Ministry of Power (MoP)
3. National Project Directors: The IPs nominate/advise the respective line departments to nominate a senior official as the NPD of each the activities envisaged in the project. The NPDs will be responsible for overall management, including achievement of planned results, and for the use of UNDP funds, in each activity under this project. The Implementing Partner will sign a budget for each Annual Work Plan with UNDP, as per UNDP rules and regulations.
4. Outcome Coordinator: Outcome Coordinator (OC) will be appointed to oversee all the activities under the Outcome 4.3. The OC reports to the PMB. The OC liaises between the PMB, the Steering Committee and the Project Management Unit. The OC will also be responsible for presenting the progress of projects and activities to the PMB.
5. Steering Committees: The implementation and monitoring of activities under this project would be overseen by four Steering Committees for relevant Annual Work Plans (AWPs) that would meet bi-annually.
6. Project Management Unit and Project Manager: A Project Management Unit (PMU) will be set up for four components namely GEF supported Climate Change activities, ACE, Access to Energy-enhancing effectiveness in electricity distribution & end uses and Strategic partnership & capacity building will be set up related to the Outcome 4.3. The PMU will report to the NPD and will be headed by one Project Manager (PM). The Project

Implementing Partner/s will either designate or recruit PM from the Project Funds. The PMU will carry out the day-to-day management work to ensure implementation of the project activities. This team of PMs and Technical Professionals within the PMU will support the OC. Within the PMU, one PM will manage one AWP each. The PM will coordinate the project activities including the preparation of Annual and Quarterly Work Plans, Budget, Financial Reports, Progress Reports, etc. and will submit it to the SC for approval. The PM will ensure that the activities produce the results specified in the project document and AWPs, to the required standards of quality and within the specified constraints of time and cost.
***Relevance*: Are the outcomes relevant to UNDP's mandate, to national priorities and to beneficiaries' needs? (Relevance to UNDP's country programme)**: Outcomes are relevant to Programme Outcome 4.3 on "Progress towards meeting national commitments under multilateral environment agreements".
***Effectiveness:* Have the intended impacts been achieved or are they expected to be achieved? Do different outcome definitions feed into each other and is there a synergy in between? Is the outcome achieved or has progress been made to achieve? Has UNDP made significant contributions in terms of strategic outputs?** Cannot say on the basis of documents provided
***Efficiency:* To what extent do the outcomes derive from efficient use of resources? And to what extent UNDP has contributed to the outcomes versus that of its partners?** Cannot say on the basis of documents provided
***Degree of Change:* What are the positive or negative, intended or unintended changes brought about by UNDP's intervention in these outcomes?** Cannot say on the basis of documents provided
***Sustainability:* Will benefits/activities continue after the programme cycle?** Cannot say on the basis of documents provided
Gender and equity: Cannot say on the basis of documents provided
Any Innovations: Cannot say on the basis of documents provided
Any other Issue: NA
Additional Remarks if any: Project is in final year of operation. The project brief talks of many more aspects and but the annual work plans focus mostly on state CC action plans
Document Referred: Project Brief, Annual Work Plan (2010, 2011)

Poverty Alleviation

P: Endogenous Tourism

Name of the Project: Endogenous Tourism
Duration: July 2003 to December 2007 extended upto May 2010
Total Cost: The project had an approved budget of USD 1.8 million to be provided by UNDP. The indicative budget was USD 4 million, of which UNDP share was 2.5 million and the rest from GoI. The total funds utilized including the extended period was USD 4.2 million (as per information provided by UNDP)
Objectives: The principal objective of the project was "to support the "rural tourism" initiatives of the GOI as articulated in its National Tourism Policy 2002, through the setting up of alternative

models of tourism - running parallel with the conventional tourism models – which would serve to create sustainable livelihood opportunities among low income communities living in rural areas. In addition, there were 5 specific objectives.

- Build capacity at the local level through establishment or a half dozen tourism circuits involving some 20 communities at specific sites where an alternative model of endogenous, community-based sustainable tourism, involving both domestic and international tourists would be set up on a pilot basis and then tested and evaluated
- Experiment with location-specific models of community tourism enterprise engaging in the gamut or activities from construction to operation and marketing, starting with core funds from the project thereby expanding visitor stay duration and hence, tourism revenue.
- Build strong community-private partnerships in the tourism sector through an enabling environment for the dynamic participation of local communities/artisans, local/State authorities, NGO's and private entrepreneurs in setting up and sustaining efforts In this area
- Support innovative and promising rural tourism Initiatives through establishment of an Incentive Fund to encourage experimentation, replication and dissemination of experiences and practice and compilation of a Register or Innovations
- Provide inputs to national and state tourism policy based on a detailed evaluation of the feasibility and sustainability of extending this system nationwide

Scope: The scope of the project ranged from developing pilots and demonstrations as well as giving inputs into policy formulation at the state and national levels

The project sought to cover six tourism circuits and 20 sites under this project focusing on the theme of tourism resources from within including traditions, culture, craft, environment and wildlife, skills and indigenous knowledge. Factors such as the availability of hard infrastructure – access to roads, water, power etc – and the interest and capacity of the respective communities to adopt and run the desired models of endogenous tourism were sought to be verified.

The project sought to make efforts to pilot a broad range of upscalable interventions in different areas such as private-community partnerships, ecotourism, community-credit institution model, community tourism network, PRI integrated tourism development planning etc.

Main Components:

- Outcome 1: model of endogenous tourism piloted and tested successfully
  - Local capacities of twenty communities built at specific sites in conceptualising, implementing and managing alternative models or tourism.
- Outcome 2: spectrum of local enterprise models and community-private partnerships explored
  - Try out a variety of enterprise types and community-private sector partnerships for endogenous tourism
- Outcome 3: enabling environment for community-private partnerships created
  - Enabling environment created for building wider partnerships between stakeholders
- Outcome 4: innovative and promising endogenous tourism initiatives supported
  - Innovative and promising endogenous tourism initiatives broadened and deepened across the country
- Outcome 5: project outputs used as input to policy debate on the position of endogenous tourism as part of national tourism development policies and plans
  - Discussion of site and circuit experimental results in tourism policy formulation

Implementation Arrangements:

- The Department of Tourism, GoI was designated the executing agency
- The Joint Secretary (Tourism) was designated the National Project Director (NPD)
- A Programme Management Board (PMB) chaired by Secretary (Tourism) was also created to provide oversight and cross-sectoral linkages at a senior policy making level
- A Project Steering Committee (PSC) headed by the NPD was established to take decisions on management of the project
- Required coordination at the state level was to be ensured through State Coordination Committees (SCC).
- UNDP was to provide support for implementing specific project activities based on requests made, if any, by the executing or implementing agency
- Department of Economic Affairs (DEA) and UNDP were to provide overall coordination and high level support to the project
- As per UNDPs information a PMU was also set up in the Ministry of Tourism.

***Relevance*: Are the outcomes relevant to UNDP's mandate, to national priorities and to beneficiaries' needs? (Relevance to UNDP's country programme)**:

The project is in line with the United Nations Development Assistance Framework (UNDAF) and the two themes identified by the Government for priority attention for the work of the United Nations system: *promotion of gender equality and strengthening of decentralisation)* constitutes the common philosophy underlying the project

Further, the special group on "Targeting ten million employment opportunities per year over the "Tenth Plan Period" constituted by the Planning Commission had earmarked tourism as one of the major priorities for creating employment

***Effectiveness:* Have the intended impacts been achieved or are they expected to be achieved? Do different outcome definitions feed into each other and is there a synergy in between? Is the outcome achieved or has progress been made to achieve? Has UNDP made significant contributions in terms of strategic outputs?**

The impact assessment report states the following regarding achievements:

- 13,818 persons benefited with some form of livelihood
- Of these 67.4% were women
- Total income of INR 4.87 crore was generated
- Income earned by beneficiaries per annum ranged between as little as Rs. 416 to as high as Rs. 24,000
- Artisanal incomes were also similarly disparate between different sites
- In many sites, lack of hardware resulted in no incomes for beneficiaries despite training and capacity building
- Lack of marketing was a major cause for low realisation of benefits
- The economically better off as well as those having modern skills and capacities in the first place, benefitted much more than the poor and unskilled beneficiaries
- Involvement of BPL families was reportedly high in 18 sites

According to the Review Report, impacts on the ground are limited and uneven.

***Efficiency:* To what extent do the outcomes derive from efficient use of resources? And to what extent UNDP has contributed to the outcomes versus that of its partners?**

- The impact assessment report provides a mixed picture.

- The Review Report assesses the project on the following parameters:
    - Community engagement was reportedly weak
    - Unnecessary construction was undertaken and in many cases people's priorities were ignored
    - Marketing was identified as a weakness
    - Equity issues have not been adequately addressed
    - Some sites were experiencing ecological stress due to expansion of tourism and waste management was dealt with unevenly
    - Communities have not always felt empowered and had ownership over the project
    - In some sites social tensions have either become worse or originated due to the dynamics of the project implementation process
    - Effectiveness of the institution building and capacity building processes was uneven
    - Project management and project design needed to be better

Degree of Change: **What are the positive or negative, intended or unintended changes brought about by UNDP's intervention in these outcomes?**

Difficult to say with existing documents available

Sustainability: **Will benefits/activities continue after the programme cycle?**

1. 18 out of 28 sites reported registration of Village Tourism Development Committees
2. Women representation in VTDC was 37%
3. While project handover had taken place in 19 sites, implementing partners were reportedly continuing to provide support in 26 sites
4. VTDCs were reportedly weak in marketing, communication, trade linkages etc.
5. UNDP's continued engagement in marketing, waste management and VTDC capacity building was sought to be continued
6. Of the total number of overnight stays at the ETP sites, 3 sites accounted for 69% such stays

Gender and equity:

Impact Assessment Report states that:

- Involvement of BPL families was high in 18 sites
- Involvement of women in the project was reported to be high except in a few locations
- Migration of labour had reportedly been reduced in many sites of the project

Any Innovations: The project sought to make several local, state and national level linkages and sought to deal with endogenous tourism in an integrated manner. For example, the project document states that:

"The 20 representative sites/destinations will be identified and tackled in a phased manner, with the more adaptive sites selected first, and in two states at a time. State Tourism Boards and PRIs will be asked to participate in the investment planning and expenditure, along with local cost-sharing (in kind). At each or the sites, six months will be devoted to organisational work discussing the concept with local groups (particularly women groups), CBOs and NGOs to ensure that there is full understanding and agreement on the enterprise forms and benefit-sharing arrangements. This will end with the participatory preparation or a feasibility study on the schedule of investments to be undertaken, the roles and responsibilities or the investing partners, the designs and plans for the infrastructure and facilities and the human resource planning to ensure the maximum participation and training or village women and men. These will be completed so that the first sets or tourists may be accommodated within 18 months of the project inception.

With the support or local masons and architects, the optimum ethnic designs for low-cost structures using local materials (e.g., Touphema tourist village in Nagaland) will be used to create 'modern accommodation and common facilities (restaurants, performance enclosures, children's recreation). so that emulation can be encouraged for enlargement, under easy credit terms (negotiated with

NABARD or other banking institutions). Simultaneously, training will be organised for the villagers in essential standards of hygiene, sanitation, nutrition and tourism services (including rudimentary language training, guiding and explanation of local customs and traditions, dance, music and drama performances. local cuisine based on organically grown fruits and vegetables). Destination/circuit specific tourism assets would be identified for harnessing economic advantage for the weakest and marginalized sections of society without causing irreversible negative impact on bio-diversity" In addition, the project document also outlines several coordination and knowledge dissemination activities at the state and national levels However, both the review as well as impact assessment reports suggest that even though the original idea of the project was innovative, overall execution and implementation was uneven or weak
Any other Issue: NA
Additional Remarks if any: NA
Documents referred: Project document, Impact Assessment Report 2009, Review Report by Equations 2008

Q: Financial Inclusion

Name of the Project: Financial Inclusion
Duration: July 2009 - December 2012
Total Cost: Total Budget USD 9.5 million. USD 4.5 million (UNDP). The rest to be mobilised
Objectives: The project supports innovative approaches to improve access to existing financial products and design new products and services for the poor, particularly disadvantaged groups. Efforts are underway to promote financial literacy. Lessons learnt both through the project and other experiments are being shared across specially designed learning networks, roundtables and regional deliberations. The project also supports advocacy efforts aimed at a more conducive policy environment to enable financial inclusion.
Scope: Select districts and blocks in Bihar, Chhattisgarh, Jharkhand, Madhya Pradesh, Orissa, Rajasthan and Uttar Pradesh. The core of this innovative project lies in wider stakeholder consultation and their subsequent participation in different project activities. It also requires detailing of the demand and supply side challenges to financial inclusion by getting into partnerships with key stakeholders at specific sites. It is therefore proposed to initiate a preparatory assistance phase for 1 year where the key stakeholders could be provided a platform for giving their inputs to the detailed designing and testing of the different components. The project specifically tried to focus on: • piloting a range of financial products and services to promote livelihoods, protect incomes and reduce vulnerabilities of the poor, especially the disadvantaged groups, in the 7 UN focus states • supporting financial literacy in 3 main areas building technical capacities of the poor and more specifically the disadvantaged groups, strengthening the attitudes and functional capacities of formal financial institutions/MFI staff, and conducting awareness campaigns on available financial products and services
Main Components: **Output 1:** Innovation support in financial products and services suited to the livelihood needs of

poor women and men.

a. Interlinking financial innovation product pilots (microfinance) with ongoing state wide livelihood promotion projects working with the poor in Bihar, Rajasthan and Jharkhand:
    i. Invite leading Microfinance organizations in the three states to identify, design and support innovative pilot test provision of appropriate microfinance products for livelihood value chains in at least one location in each state.
b. Exploring innovations in financial products and services focusing on vulnerability reduction of the poor, especially for disadvantaged groups and disadvantaged regions

Output 2: Financial literacy strengthened for the poor on available financial products and services, pricing and terms and conditions in 7 UN focus states

c. Supporting a perception survey in selected locations of the 7 UN focus states to assess the current situation with respect to the understanding among poor about financial literacy.
d. Organizing an interface of women leaders from community-based organizations to develop an understanding of the capacities of organizations of the poor on financial management and accessing financial services.
e. Establishing operational linkage with the IKEA Foundation Social Initiative supported women's empowerment project implemented by UNDP in eastern UP (3 districts; 50,000 women). Taking project villages in one block of each district, financial literacy tools will be developed, tested and made available to women's collectives, partner NGOs and local financial institutions.
f. Finalising a context-specific strategy for rolling out a financial literacy programme in UN focus states.
g. Identifying responsible parties to strengthen financial literacy among the poor and to sensitize banks/MFis/NGOs staff on dealing with disadvantaged groups.

Output 3: Knowledge sharing supported nationally and across 7 UN focus states between actors of the financial services sector to encourage delivery and scaling up of financial products and services for the poor (With Un Solution Exchange – Microfinance Community)

h. Knowledge sharing network, namely Microfinance Community of Practice, Solution Exchange, United Nations supported including hosting the annual Resource Group meeting. The network proactively identifies and invites members from UN focus states and especially organizations/individuals working with disadvantaged groups and in remote areas
i. 2 state level consultations supported in UN focus states and held for key stakeholders to discuss operational and policy challenges in the area of financial inclusion (thematic Workshops)
j. 4 action group meetings held in partnership with UN Solution Exchange Microfinance Community- on various action points to support future initiatives on financial inclusion. Micro leasing, SHG Federation, Micro Insurance, Post office as delivery channels for Micro finance.
k. Undertake a feasibility study to test the setting up a "bridge model" in at least 1 UN focus state. This will create a mechanism for a two-way knowledge sharing structure

with the MF community of practice at the national level and a bridge institution at the state level. The latter will create active knowledge links with a number of grassroots organizations.

l. At least 2 policy issues debated within the MF community of practice for inputs to policy makers.

Output 4: Policy environment for financial inclusion strengthened

m. National level microfinance policy platform and publication of State of the Sector Report supported with Access Development Services.

n. National Level Consultation supported to discuss the status of implementation of Micro insurance for the poor and vulnerable segment of the population in partnership with IRDA.

o. Consultation supported to discuss the status of Financial Inclusion in Formal Financial Institutions. Critical Bottlenecks identified and policy prescriptions for removing them discussed and disseminated to a wider audience of stakeholders.

p. A Roundtable supported for Financial Exclusion among the Muslim, Dalit and Tribal groups.

Implementation Arrangements:

- **Implementing Partner:** The initiation plan will be implemented by UNDP. A full time Project Manager will be designated and/or hired from project funds for day-to-day coordination and management of the project activities. Relevant institutions - public, private, and CSOs -will be engaged to carry out project activities and deliverables as outlined in the activity work plan at component V below. UNDP Country Office will be responsible for project financial management, reporting, procurement and recruitment services as per its rules and procedures
- **Project Steering Committee:** To oversee the project initiation plan, a Project Steering Committee (PSC) will be set up comprising designated representatives from UNDP and an eminent person with considerable experience in financial sector. UNDP Country Director (or delegated to appropriate UNDP official) will chair the PSC and be responsible for the project deliverables. The PSC will carry out the following functions:
    - Ensure that the initiation plan is in line with national development priorities, Country Programme Action Plan (CPAP) and the approved project brief.
    - Review project progress and provide direction and recommendation to ensure that the agreed deliverables are produced satisfactorily according to the plan and as per the timelines and budgets.
    - Provide advice when substantive changes are needed in the project's planned results, strategies or implementation arrangements.
    - Review on a quarterly basis the progress- physical and financial- against approved activity results and outputs.
    - Address project issues as raised by the Project Manager
- The PSC will meet at least once every quarter. The Project Manager will act as the secretariat of the PSC with the responsibility prepare background documents, agenda papers and follow up on their recommendations.
- **Project Manager:** UNDP designated and/ or hired project manager will be responsible for

the day-today management, technical oversight and decision-making with respect the project. S/he will prepare the detailed activity and monitoring plan based on the budgeted work plan below and submit to P5C for endorsement. The Project Manager will plan and organize project review meetings, provide technical feedback to senior management, ensure that project activities are carried out within the financial limitations of the budget, supervise the technical and administrative support personnel and coordinating project activities with stakeholders. The project manager will ensure that the project produces the results specified in the initiation plan document, to the required standards of quality and within the specified time-frame. 5/he monitor progress, undertake field visits to project sites, consult with beneficiaries, and ensure that potential opportunities and risks, including lessons learned from the experience, are taken into account. The project manager will prepare and submit to the PSC the following reports and documents: Quarterly work plans, quarterly progress reports (substantive and financial), Annual progress report at the end of the initiation plan period, issues log, risk log, quality log, lessons learnt log, communications and monitoring plan, using standard UNDP formats.

***Relevance*: Are the outcomes relevant to UNDP's mandate, to national priorities and to beneficiaries' needs? (Relevance to UNDP's country programme)**:

The project is located within Located within UNDP's Poverty Reduction Programme 2008-12 and is also in line with central theme of GOI's 11th Five Year Plan 2007-12, *"restructure policies to achieve a new vision based on faster, more broad-based and inclusive growth."*

The project is also relevant from the point of view of UNDP CP outcome "Improved effectiveness of poverty reduction and livelihood promotion programmes in disadvantaged regions and for inclusion of poor women and men from SC and ST groups, minorities and the displaced"

***Effectiveness:* Have the intended impacts been achieved or are they expected to be achieved? Do different outcome definitions feed into each other and is there a synergy in between? Is the outcome achieved or has progress been made to achieve? Has UNDP made significant contributions in terms of strategic outputs?**

- A range of innovative financial products and services such as mobile van banking and resource centres for financial inclusion are being piloted to test their potential to improve access to financial services in select locations.
- Rashtriya Swasthya Bima Yojana or the National Health Insurance Scheme strengthened to improve delivery of benefits to poor families in 10 remote locations in Bihar, Chhattisgarh, Jharkhand, Uttar Pradesh (UP) and Uttarakhand.
- A pilot in the Pakur district in Jharkhand brings together various stakeholders, banks, MFIs, NGOs, government departments and technical agencies working on inclusion and livelihoods to demonstrate the possibilities of deepening financial inclusion, particularly among disadvantaged groups.
- 10,000 poor men and women have benefited from customised financial literacy packages that include information on available financial products and services, pricing and conditions in select locations in Rajasthan, Madhya Pradesh and UP.
- Knowledge sharing networks supported/established nationally (UN Solution Exchange Micro Finance Community of Practice) across project states for the financial services sector to highlight and share best practices in financial inclusion.

• Policy environment strengthened by support to national and regional policy platforms, conferences and roundtables focusing on microfinance needs of women community leaders, street vendors, financial exclusion of marginalised groups and national events such as the Microfinance India Conference. • A network of stakeholders has been put in place to provide strategic guidance to the project which includes representatives of relevant ministries from the central and state government, financial institutions both from the formal and informal sector, people's organizations, government agencies, technology service providers and independent professionals.
Efficiency: **To what extent do the outcomes derive from efficient use of resources? And to what extent UNDP has contributed to the outcomes versus that of its partners?** Cannot say on the basis of available documents
Degree of Change: **What are the positive or negative, intended or unintended changes brought about by UNDP's intervention in these outcomes?** Cannot say on the basis of available documents
Sustainability: **Will benefits/activities continue after the programme cycle?** Cannot say on the basis of available documents
Gender and equity: The project design focuses on women from marginalised communities
Any Innovations: The project design itself is innovative. However, information on innovations, if any during implementation as well as any other innovations highlighted by independent evaluations are not available.
Any other Issue: Cannot say on the basis of available documents
Additional Remarks if any: NA
Documents Referred: Factsheet, Annual Workplan 2009, 2010 and 2011

R: Information and Communication Technology for Development

Name of the Project: Information and Communication Technology for Development (ICTD) Project
Duration: October 1 2003 to December 31 2007, later the project was extended upto June 30 2009
Total Cost: UNDP contribution – INR 4,50,55,843. SIDA contribution – INR 1,03,25,000
Objectives: The key objectives of the project are • to demonstrate the use of ICT for improved governance through sustainable initiatives in delivery of key public services in selected states in areas such as e-procurement, rural development, legal information and the like; • to encourage active Business Process Re-engineering efforts to make governance procedures simpler, rule-based, non-discretionary and transparent, thereby facilitating use of ICT on a sustainable basis and outsourcing of functions; • to build Public-Private Partnerships in ICT applications for governance; • to develop solutions and applications based on open source and other electronic communication technologies that would improve access to and reduce costs of ICT applications with a view to cover even those areas that now suffer from high access costs, inadequate communications infrastructure and insufficient localised content and media

development;

- to support the formulation of master plans and roadmaps for eGovernance; and
- to document lessons learnt for horizontal transfer of success stories.

Scope:

The Project focuses on four broad themes of Integrated Citizen Services, Rural Livelihoods, Governance and Women's Empowerment. While each of the projects taken up under the above programmes is aligned to the themes mentioned above, each of them also spans the following elements of interventions.

- Citizen-Centric Service Delivery;
- Capacity Building;
- Change Management;
- Business Process Re-Engineering;
- Public Private Partnerships;
- Bridging the Digital Divide; and
- Knowledge and Experience-sharing.

19 different sub-projects were taken up under the umbrella of the ICTD project. These were:

Project Name	Theme	Implementing Agency	Implementation State
Bangalore –One	Integrated Citizen Services	Dept. of Administrative Reforms, Go Karnataka	Karnataka
Integrated Community Service Centres (i-CoSC)	Integrated Citizen Services	Dept. of IT, Govt. of Himachal Pradesh	Himachal Pradesh
Ashwini	Rural Livelihoods	Byrraju Foundation	Andhra Pradesh
e-Krishi (Agri-Business Centres)	Rural Livelihoods	Kerala State IT Mission	Kerala
Decentralized Rural Information System & Technology Initiatives (DRISTI)	Governance	West Bengal State Rural Development Agency	West Bengal
e-Procurement	Governance	Dept. of Administrative Reforms, Go Karnataka	Karnataka
Mahiti Mitra	Governance	Kutch Nav Nirman Abhiyan	Gujarat
Village Information System	Integrated Citizen Services	Gujarat Informatics Limited	Gujarat
Mahiti Manthana	Women Empowerment	IT for Change	Karnataka
Enterprise Development Service	Rural Livelihoods	Development Alternatives	Madhya Pradesh/Punjab
e-Justice	Governance (Access to Justice)	Centre for Good Governance	Andhra Pradesh
Mahiti Mitra – Phase II	Governance	Kutch Nav Nirman Abhiyan	Gujarat
ICTlilSchool for Womenlils Empowerment	Women Empowerment	SEWA	Gujarat
ICT for Women Conciliation Centre	Women Empowerment	VIDIYAL	Tamil Nadu
Mobile Information Teclilnlillogy for Rural Advancement – MITRA	Rulilal Livelihood	PEDO	Rajasthan
Using ICT for Ililproving Livestock Productivity - NANDINI	Rural Livelihoods	OCAC	Orissa
Mobile – Government	Governance	West Bengal State Rural Development Agency	West Bengal
Centre for Development Process Innovations through ICTs – Community Radio Unit	Womenlils Empowerment	IT for Change	Karnataka
Real Time Provisioning of Fishing Zone Information	Livelihood/ Early Warning	INCOIS- Kutch Nav Nirman Abhiyan	Gujarat

Main Components:

1. Output 1: Demonstration of sustainable pilot initiatives in the use of ICT for improved governance and upscaling of successful pilots
2. Output 2: Business process re-engineering for better service delivery
3. Output 3 Public private partnerships in ICT applications for governance
4. Output 4: Development of solutions and applications for bridging the digital divide
5. Output 5: Master plans and road maps for e-governance
6. Output 6: Documentation of lessons learnt and strengthening of networks and partnerships

Implementation Arrangements:

Executing Agency - Ministry of Communication and Information Technology

Implementation Partner - National Institute of Smart Governance

Sub-project implementing agencies – see table in section on scope above

***Relevance*: Are the outcomes relevant to UNDP's mandate, to national priorities and to beneficiaries' needs? (Relevance to UNDP's country programme)**:
The project had cross cutting and overarching relevance to the UNDAF and UNDP CP for 2003-2007.

***Effectiveness:* Have the intended impacts been achieved or are they expected to be achieved? Do different outcome definitions feed into each other and is there a synergy in between? Is the outcome achieved or has progress been made to achieve? Has UNDP made significant contributions in terms of strategic outputs?** The terminal evaluation report rated all the projects on this parameter. The projects that got a score of under 4 on a scale of 1 to 6 were:

- DRISTI – 3.86
- Ashwini – 3.71
- Enterprise Development Service – 3.79
- E-Justice – 3.93
- Mobile government – 3.29

None of the projects were rated below 3. It would thus seem that the overall project achievements were good.

***Efficiency:* To what extent do the outcomes derive from efficient use of resources? And to what extent UNDP has contributed to the outcomes versus that of its partners?** The terminal evaluation report rated all the projects on this parameter. The projects that got a score of under 4 on a scale of 1 to 6 were:

- I-CoSC – 3.6
- Ashwini – 3.43
- Mahiti Mitra – 3.6
- Village information system – 3.6
- ICT school for women empowerment – 3.8

None of the projects were rated below 3. It would thus seem that the overall project achievements were good.

***Degree of Change:* What are the positive or negative, intended or unintended changes brought about by UNDP's intervention in these outcomes?**
E-governance is now firmly established and considered a part of improving transparency and accountability. However, much still needs to be done to ensure penetration of e-governance in rural areas and among the marginalised communities

Sustainability: **Will benefits/activities continue after the programme cycle?** The terminal evaluation report rated all the projects on this parameter. The projects that got a score of under 4 on a scale of 1 to 6 were: • Ashwini – 3.5 • Enterprise development service – 3.75 • E-justice – 3.25 • ICT for women conciliation centre – 3.88 • Mobile government – 3.38 • Community radio unit – 3.63 • Nandini – 3.88 As in other parameters, none of the projects were rated at below 3. However, on this parameter, there were more projects that scored below 4. Yet, the results would suggest that overall project achievements have been good.
Gender and equity: Cannot say
Any Innovations: The project concept is innovative and many innovative projects have been taken up as a part of this initiative
Any other Issue: NA
Additional Remarks if any: NA
Documents Referred: Project Document, Terminal Evaluation by Deloitte Consultants

S: Women's Social, Economic and Political Empowerment IKEA Foundation

Name of the Project: Women's Social, Economic and Political Empowerment in Jaunpur, Mirzapur and Sant Ravidas Nagar of Uttar Pradesh (IKEA Foundation funded project)
Duration: 18 June 2009 to 31st December 2013
Total Cost: Total cost - EUR 5,554,104
Objectives: The integrated women's social, economic and political empowerment project was launched in 2009 covering 500 villages of Jaunpur, Mirzapur and Sant Ravidas Nagar districts of UP with an expected outreach of 50,000 women. Starting with a baseline of 1154 SHGs with a membership of 15,557 women, marked by low levels of self-esteem, mobility and unstable livelihoods among the existing members, the project executes a basket of strategies including (i) social mobilization to cover 50,000 women organized into self-help groups (SHG's) further grouped at cluster and federation levels (ii) expand economic opportunities and choices resulting in sustainable increase in women's household incomes and enhanced role in economic spheres (iii) enhance political participation and representation of women so that they contribute effectively in local decision-making and demand quality public services (iv) raise legal awareness of elected women representatives and SHG leaders.
Scope: The integrated women's social, economic and political empowerment project was launched in 2009 covering 500 villages of Jaunpur, Mirzapur and Sant Ravidas Nagar districts of UP with an expected outreach of 50,000 women. Starting with a baseline of 1154 SHGs with a membership of 15,557 women, marked by low levels of self-esteem, mobility and unstable livelihoods among the existing members, the project executes a basket of strategies including (i) social mobilization to cover 50,000 women organized into self-help groups (SHG's) further grouped at cluster and federation levels (ii) expand economic opportunities and choices resulting in sustainable increase in women's household

incomes and enhanced role in economic spheres (iii) enhance political participation and representation of women so that they contribute effectively in local decision-making and demand quality public services (iv) raise legal awareness of elected women representatives and SHG leaders.

Main Components:

1. **Output 1: Social Empowerment:** *Poor women are organized into strong collectives or SHGs and federations at group and cluster levels and their capacities are developed for running these sustainably.*
2. **Output 2: Economic Empowerment:** *Capabilities enhanced and economic enterprises of women established and/or strengthened for enhanced household income.*
3. **Output 3: Political Empowerment:** *Women leaders supported to contribute effectively in local decision-making and to demand quality public services*

Implementation Arrangements: This project is being implemented by UNDP with a PMU based in Varanasi

***Relevance*: Are the outcomes relevant to UNDP's mandate, to national priorities and to beneficiaries' needs? (Relevance to UNDP's country programme)**: Project is in line with the CP outcomes:

1. Improved effectiveness of poverty reduction and livelihood promotion programmes in disadvantaged regions and for inclusion of poor women and men from SC and ST groups, minorities and the displaced
2. Capacities of Elected Representatives and State and District officials in UNDAF focus States/districts enhanced to perform their role effectively in local governance.

***Effectiveness:* Have the intended impacts been achieved or are they expected to be achieved? Do different outcome definitions feed into each other and is there a synergy in between? Is the outcome achieved or has progress been made to achieve? Has UNDP made significant contributions in terms of strategic outputs?**

According to the UNDP's final Annual Report 2009-10 submitted to IKEA Foundation, the reported project progress was as follows:

"The year 2009-2010 has been positive in terms of achievements. The project has its own 12 point empowerment charter ratified by 13,000 women, 16000 women have benefited from SHG revival, 4000 women volunteers are working in each village as change agents, 2735 women are trained on good credit management practices, two value chain up-gradation plans in the dairy and craft sectors covering an expected outreach of 17,000 women are underway, 20,000 women know their political rights better and over 12,000 know their legal rights under law better, political awareness campaigns have resulted in over 100% increase in voter registration in some pockets.

Project Monitoring and Review Systems including reporting mechanisms are in place. These will soon be automated and available online to track the progress of SHGs, improve quality of processes, efficiency and effectiveness of the project.

The project is gradually but successfully transforming the lives of women in these areas by initiating the process of collectivization and awareness campaigns. Women now have a voice and the capacity to take their own decisions. The women are beginning to gain financial independence and improvement in social status as a result of growing political participation. In an area known for deep rooted hierarchies and subjugation, women are being empowered to lead a brand new movement."

***Efficiency:* To what extent do the outcomes derive from efficient use of resources? And to what extent UNDP has contributed to the outcomes versus that of its partners?**
Cannot say on the basis of available documents

Degree of Change: **What are the positive or negative, intended or unintended changes brought about by UNDP's intervention in these outcomes?** Cannot say on the basis of available documents
Sustainability: **Will benefits/activities continue after the programme cycle?** Cannot say on the basis of available documents
Gender and equity: The project is focussed on social, economic, and political empowerment of women from among the marginalised communities in poor and backward districts of UP
Any Innovations: Cannot say on the basis of available documents
Any other Issue: NA
Additional Remarks if any: NA
Documents Referred: Project Document, Annual report 2009 and 2010.

T: Conditional Cash Transfers

Name of the Project: Innovation Support for Social Protection
Duration: October, 2009 to December 31 2011
Total Cost: USD 1,000,000 (for entire project duration)
Objectives: A conditional cash transfer system is developed and piloted in two districts leading to lessons learnt for replication of CCT in other districts with suitable modifications as may be revealed by the evaluation of the pilot.
Scope: The scope of the project was to provided conceptual inputs on institutionalising a conditional cash transfer system, initially in a few pilot states and subsequently to be implemented more broadly
Main Components: **Output 1:** Mission Convergence capacities for identification, prioritization, targeting and indexing of the target population as well as design and management of CCT interventions are strengthened and institutionalized. **Output 2:** Public expenditure in social sectors and household consumption expenditure are reviewed and CCT transfer amounts determined **Output 3:** Proposals for (a) introducing administrative reforms needed to facilitate CCT implementation, (b) introduction of conditionality (including exit criteria) and (c) addressing supply side gaps issues, with specific focus on health and education sectors, are developed and implemented. **Output 4:** An M&E framework for CCT is developed (within the overall Mission Convergence M&E framework) for tracking and monitoring of CCT Interventions (including in terms of FDI) are developed and operationalised. **Output 5:** An IEC (Information, Education & Communication) strategy for the project and stakeholders is developed and implemented with specific attention to promoting transparency and accountability mechanisms **Output 6:** Implementation of supplementary livelihood activities are facilitated **Output 7:** Project Monitoring, Evaluation & Capacity Development

Implementation Arrangements: Cannot say on the basis of available documents. As per information provided by UNDP, the Administrative Department of the Government of National Capital Territory of Delhi is the Implementing Partner with the PMU set up in 'Mission Convergence' (Samajik Suvidha Sangam)
***Relevance*: Are the outcomes relevant to UNDP's mandate, to national priorities and to beneficiaries' needs? (Relevance to UNDP's country programme)**: In line with CP outcome "Improved effectiveness of poverty reduction and livelihood promotion programmes in disadvantaged regions and for inclusion of poor women and men from SC and ST groups, minorities and displaced."
***Effectiveness:* Have the intended impacts been achieved or are they expected to be achieved? Do different outcome definitions feed into each other and is there a synergy in between? Is the outcome achieved or has progress been made to achieve? Has UNDP made significant contributions in terms of strategic outputs?** Project Steering Committee meetings reveal that the project is at the stage of surveys and data gathering and analysis. The various studies and surveys appear to be progressing. However, it is not clear whether the progress is satisfactory or not
***Efficiency:* To what extent do the outcomes derive from efficient use of resources? And to what extent UNDP has contributed to the outcomes versus that of its partners?** Cannot say on the basis of available documents
***Degree of Change:* What are the positive or negative, intended or unintended changes brought about by UNDP's intervention in these outcomes?** Cannot say on the basis of available documents
***Sustainability:* Will benefits/activities continue after the programme cycle?** Cannot say on the basis of available documents
Gender and equity: Cannot say on the basis of available documents
Any Innovations: The project is an attempt to create greater efficiency and better targeting in pro poor public expenditure of the GoI. It attempts to draw upon lessons learnt in other parts of the world, including in Latin America
Any other Issue: NA
Additional Remarks if any: NA
Documents Referred: Annual Workplan and PSC minutes

U: National Strategy for Urban Poor

Name of the Project: National Strategy for Urban Poor
Duration: NSUP project was signed in November 2003 between UNDP and Government of India (GOI) for a five year period with end date of December 31st 2007
Total Cost: allocated budget of USD 6 Million including UNDP share of USD 5 Million
Objectives: The project aims at encouraging informed debate and formulate national and state level strategies

on urban poverty reduction drawing on the wealth of local and international research findings on causes and potential responses to urban poverty keeping in mind that institutional reforms to improve efficiency and strategies to accelerate human development process are needed.

Scope: NSUP had two components i.e. a national component and a National Capital Region (NCR) component

Main Components:

- Project Outcome 1 -Enhanced understanding on trends and directions of urban poverty in India
- Project Outcome 2- An all India network on urban poor livelihood established to support wider stakeholders' dialogue and exchange of information within India and with other countries.
- Project Outcome 3 Innovative and promising livelihood initiatives of urban poor communities broadened and deepened across the country
- Project Outcome 4 - Capacity building for a national strategy on urban poverty reduction
- Project Outcome-5 Comprehensive review and capacity analysis to formulate operational
- strategies for financing livelihood intensive social/physical infrastructure and improved regulatory environment in NCR

Implementation Arrangements:

Government Coordinating Agency: The Department of Economic Affairs (DEA) in the Ministry of Finance was responsible for the overall coordination of the Country Programme activities. DEA was also designated to participate in the Project Management Board (PMB). DEA was also mandated to raise additional resources for the project

National Executing Agency: The Ministry of Urban Development and Poverty Alleviation was the National Executing Agency for the project. NEA was responsible for overall project management. NEA was also to designate a senior level official of the rank of Joint Secretary as the National Project Director (NPD) to coordinate project execution. A Policy Cell within the ministry was also created to assist and advise the NPD. A Project Coordinator and limited administrative support staff was to be provided to assist the NPD and UNDP in project implementation and supervision

Implementing Agencies: The Government of the NCR of Delhi was designated as implementing agency for the NCR component. Autonomous Institutions such as (HUDCO) could be designated as an/or one of the implementing agencies for the national component of the project

Programme Management Board (PMB): The PMB was to be chaired by the Secretary of the MUD&PA and with representation from stakeholders was to be constituted to provide oversight and cross-sectoral linkages at the senior policy making level for both the national and the NCR components of the project.

Project Standing Committee {PSC): The PSC was to be headed by the NPD and have as members Project Coordinator and representatives from DEA and UNDP

Special state level and coordination mechanisms were also put in place

***Relevance*: Are the outcomes relevant to UNDP's mandate, to national priorities and to beneficiaries' needs? (Relevance to UNDP's country programme)**:

According to the terminal evaluation report the project was judged to be highly relevant.

"Mission judges NSUP to be highly relevant to the continual developmental priorities of GOI and focus areas of UNDP as evidenced by UNDAF and CPAP of two plan periods of 2002-07 and 2007-12

and priorities allocated to UN institutions by GOI of decentralization and gender inclusive

Programming". This is demonstrated by –

- Alignment with developmental priority of Government of India- The increased priority of GOI towards urban poverty is indicated through various measures like formation of Ministry of Urban Employment & Poverty Alleviation (2004) and launch of one of the largest program of urban renewal under JNNURM (2005) in Tenth Plan period. The shift to "Inclusive Growth Agenda" in Eleventh National Five Year Plan marked launch of Modified SJSRY with inclusion of self –employment component, announcement of Rajiv Awas Yojana (RAY) and strengthened program implementation system in JNNURM with pro-poor programming.
- Alignment with UNDP area of focus- NSUP is in harmony with UNDAF 2003-07 and the priority of strengthening of decentralization assigned by GOI and forms part of strategic areas of support of "development and implementation of macro and poverty reduction policies and strategies" UNDAF 2003-07"

Effectiveness: **Have the intended impacts been achieved or are they expected to be achieved? Do different outcome definitions feed into each other and is there a synergy in between? Is the outcome achieved or has progress been made to achieve? Has UNDP made significant contributions in terms of strategic outputs?**

According to the terminal evaluation report, project was overall rated as satisfactory under this parameter.

However, the findings of the evaluation report at the outcome level were mixed and were justified by the evaluation team thus "Findings of outcome level evaluation have a dissonance with overall evaluation of NSUP based on results, due to disconnect in the NSUP design and logic flow between result and intended outcomes"

The outcome level ratings were:

"Outcome -1 of "Enhanced understanding on trends and directions of urban poverty in India" is judged to be significantly achieved and "highly satisfactory".

Outcome-2 of "An all India network on urban poor livelihood established to support wider stakeholders' dialogue and exchange of information within India and with other countries" is judged to be partly achieved and "moderately satisfactory".

Outcome-3 of "Innovative and promising livelihood initiatives of urban poor communities broadened and deepened across the country" is judged to be partly achieved and "moderately satisfactory".

Outcome-4 of "Capacity building for a national strategy on urban poverty reduction" is judged to be significantly achieved and "highly satisfactory".

Outcome-5 of "comprehensive review and capacity analysis to formulate operational strategies for financing livelihood intensive social/physical infrastructure and improved regulatory environment in NCR" is judged to be significantly not achieved and "moderately unsatisfactory".

Outcome-6 of "Targeted support to community associations and NGOs active in the NCR of Delhi to promote urban poor concerns and to address multiple vulnerabilities of urban poor" is judged to be partly achieved and 'moderately satisfactory"

Efficiency: **To what extent do the outcomes derive from efficient use of resources? And to what extent UNDP has contributed to the outcomes versus that of its partners?**

According to the terminal evaluation report, project was rated as satisfactory under this parameter.

The report also states that "The evaluation has a limitation of precise reference frame due to lack of proper documentation of design changes at the time of recasting of NSUP in 2006.

Evaluation thus is limited by comparison of the original intended outcomes with implementation of revised NSUP. One effect of the limitation is an apparent degree of disconnect between evaluation findings and conclusions at project result level and findings at project outcome level"

On stakeholder engagement, the terminal evaluation report had the following to say "National Core Group on Urban Poverty Alleviation did have individual advisors from institutions like Janaagraha, SPARC, BASIX but direct representatives of urban poor were absent. All the research had interactions with urban poor but it was limited to data gathering and initial consultations. NCR component did work with NGOs/CBOS and to some extent provided opportunities of representation of urban poor at intervention implementation level. Various networks formed under NSUP including Mayors' Conclave, Researchers Colloquium, City Managers Forum, National Network of Urban Resource Centers, etc. also did not have representation of urban poor in their constitutions. SEWA was enrolled in NSUP but had limited role of documentation of best practices. Mission appreciates the difficulties of selection of appropriate representatives of urban poor especially as there are very few organized networks/CBOs/associations/federation, etc. that can be considered as representatives of urban poor. NSUP would have been enriched by strong role of direct representatives of urban poor and also could have built capacities of the urban poor"

Degree of Change: **What are the positive or negative, intended or unintended changes brought about by UNDP's intervention in these outcomes?**

Urban Poverty identified as an issue and a national policy drafted by the Government

Sustainability: **Will benefits/activities continue after the programme cycle?**

According to the terminal evaluation report, project was rated as highly satisfactory under this parameter

The terminal evaluation also states that "Top Management of MoHUPA had strong ownership and demonstrated visible interest and presence throughout the project. Significant key meetings were attended by the Honorable Minister and the Secretary. EDI stated the presence of National Project Coordinator in five valedictory functions of EDI training workshops in the states. AIILSG and YASHADA had almost daily interactions with MoHUPA. Policy Cell members traveled all over project sites and had high amount of informal communication with all the stakeholders. All the stakeholders have praised the features of processes like ease of accessibility of top management of MoHUPA, priority accorded for NSUP tasks, real time feedback and cross learning and freedom available to express divergent views. NSUP created a collegial environment and high energy inputs and the mission attributes the same to the openness and leadership of the top management of MoHUPA. Significant stakeholders considered NSUP as an immense source of personal satisfaction and contribution, which the mission takes as an indicator of ownership by the stakeholders."

The following were provided as evidence by the terminal evaluation report as evidence of sustainability:

- "Scaling up plan of MoHUPA of incorporating urban poverty centers to all BSUP cities.
- Launching of re-casted SJSRY with component of self employment and entrepreneurship development strategy for urban poor based on outputs of EDI and YASHADA.
- MoHUPA plan of scaling up of I-POMS to JNNURM cities.
- Design of funds for urban poor (BSUP).
- Likelihood of continuation of "think tank" attached to MoHUPA in the form of National

• Core Group on Urban Poverty Alleviation and ensuring that proactive planning and informed policy making happens based on debates and discussions among policy makers, thinkers/researchers and Urban Poverty managers. • Scaling up of NSUP ideas including policy cell and their incorporation in to another program funded by DFID and World Bank. NSUP provided vibrancy and visibility to efforts of MoHUPA, which indirectly facilitated to some extent such programs and funds. • Draft National Urban Poverty Reduction Strategy, which has just come out and yet to be debated, discussed and then furthered. It is not yet known to what extent this policy will be adopted by GOI. • Recently announced Rajiv Awas Yojana – Policy cell of NSUP contributed in design of the scheme. • Many outputs/documents produced by NSUP have life after NSUP closure. These comprise poverty profiles of cities and states, Mumbai HDR, India Poverty Report, training tool kits, etc. • Capacity built to a significant extent among major stakeholders of NSUP"
Gender and equity: NA
Any Innovations: NA
Any other Issue: NA
Additional Remarks if any: NA
Documents Referred: Project Document, Terminal Evaluation Report 2010

V: Social Mobilisation around NRM

Name of the Project: Social Mobilisation around Natural Resources Management for Poverty Alleviation
Duration: 2003 to 2007
Total Cost: USD 6 million
Objectives: • To demonstrate and replicate the social mobilization approach for working with women towards poverty alleviation • To promote and strengthen decentralized management of natural resources, on which the poor including women depend for livelihoods and survival, through provisioning of resources and training to women's groups. • To strengthen partnerships between women's groups, civil society, PRIs and local government to facilitate greater cross learning, knowledge and information sharing, access to resources and technical capacities and wider dissemination of tested approaches. • To facilitate dialogue between women's groups, NGOs and policy makers on critical issues (such as tribal land alienation, community control and management of natural resources, creating of sustainable livelihoods, migration and education and for influencing relevant policies and programmes.
Scope: <u>Rajasthan: Udaipur, Ajmer and Baran</u> Dependence on natural resources for survival is complete whether in terms of agricultural

production, wage labour, livestock rearing or for other survival needs such as water and fuel. However, even the best combination of these modes of survival are not sufficient for survival as landholding is marginal and fragmented, water resources are so depleted that lands, humans and animal suffer equally, wage labour is not sufficiently available locally and forests are degraded. Girls and women suffer in particular, as much of the burden of ensuring daily needs such as water, fuel and fodder are on them.

The selected districts are in three distinct parts of Rajasthan: Central, South-East and South.

Orissa: Bolangir, Koraput, Nuapada

The areas are characterized by high resource degradation, breakdown of traditional resource management techniques, impoverishment of tribal, chronic food insecurity, excessive workloads on women, and shortage of land for settled agriculture and lack of control of women over resources.

While Nuapada and Bolangir adjoin each other in the West of Orissa, Koraput is in the South.

Jharkhand: Dumka, Godda, Gumla, Lohardaga and Ranchi

The selected districts are among the poorest in the State. They are tribal dominated. While natural resources survive to some extent, the people are nevertheless poor – owning very little and the worst lands, poorly serviced by government facilities and infrastructure, exploited by the powerful, having little access to credit and technology and facing rampant ill health and illiteracy.

Godda, Lohardaga and Ranchi form one contiguous belt from central to south-west Jharkhand while Dumka and Godda adjoin each other in the north-east.

Seventeen implementing partners with limited or wide outreach were selected within these regions. The `area focus' that is visible in the above was part of a deliberate strategy that ensured that clear poverty pockets are selected for concerted action. This also enables greater visibility of impacts and achievements, which a `spread out' project cannot capture.

Main Components:

1. Outcome-1: Effective implementation of the social mobilisation approach strengthens the capacity of 5,000 women's groups from poor and marginalised communities to undertake natural resource management and thereby improve their access to natural resources and sustainable livelihoods
2. Outcome-2: Improved partnerships between women's groups, government, PRIs, NGOs and donors result in effective participation of poor and marginalised communities, particularly women, in their own development and foster collective thinking and effort for poverty alleviation
3. Outcome 3: Effective advocacy by project partners leads to wider demonstration and replication of social mobilization approach for poverty alleviation and for mainstreaming gender in poverty alleviation policies and programmes
4. Outcome 4: Enhanced capacity of women's groups to address issues of health and education to enable these issues to be mainstreamed in the poverty discussions

Implementation Arrangements:

The Ministry of Rural Development (MORD) is the nodal and Executing Agency for the project, responsible for overall management, with a Joint Secretary as the National Project Director. Its main responsibility, as defined in Project Document, is close monitoring of the project. At the state level, the Department of Rural Development and PR institutions receive support to further the interests of the project. State level steering committees are responsible for stock-taking, advice and policy guidance. Local NGOs contribute identifying women's groups that can partner in the project. Envisaging that partnerships can fizzle out, the project provides for collaborative forums between the partner organisations and senior government representatives that meet regularly, at District, State and National levels. At the national level, the project has provided for a Government Coordinating Agency with the Department of Economic Affairs at the helm. A Programme Management Board chaired by Secretary, MORD and representatives from UNDP, UEA, DWCD and MEF, officials of partner state government and others is empowered to identify policy lessons, reviewing progress, etc. In addition, an empowered Standing Committee is provided for easy management and implementation of various provisions and requirements of the project. At the state level, the state-level Steering Committee is defined as the main empowered body and at the District level, a District Facilitation Committee chaired by the DC or the Project Director DRDA with various representatives including partner NGOs is to monitor the project. Additionally, UNVs were to be recruited in all the Districts and placed within the Collectorate at the District level.

***Relevance*: Are the outcomes relevant to UNDP's mandate, to national priorities and to beneficiaries' needs? (Relevance to UNDP's country programme)**:
Terminal evaluation found the project to be in line with UNDP Country Programme priorities as well as national development priorities and was thus of a HIGH relevance

***Effectiveness:* Have the intended impacts been achieved or are they expected to be achieved? Do different outcome definitions feed into each other and is there a synergy in between? Is the outcome achieved or has progress been made to achieve? Has UNDP made significant contributions in terms of strategic outputs?**

According to the terminal evaluation report the project achieved a MEDIUM level of effectiveness.

In terms of the desired outputs and achievements and progress towards outcomes, the picture was as given below:

- Outcome 1/Output 1: Key components of the social mobilisation approach tested, refined and widely demonstrated was **FULLY ACHIEVED**
- Outcome 1/Output 2: Capacity of women enhanced to collectively address their vulnerability to resource degradation was **MOSTLY ACHIEVED**
- Outcome 1/Output 3: Increased productivity and sustainability of natural resources and livelihood systems in the project areas was **MOSTLY ACHIEVED**
- Outcome 1/Output 4: Women enabled to improve their access, skill and competence as farmers and managers of natural resources (land, water and forests) was MOSTLY ACHIEVED
- Outcome 1/ Output-5: The benefits as well as approaches for integrating biodiversity conservation in natural resource development programmes effectively demonstrated and adopted by local communities made **SOME PROGRESS**
- Outcome 2/ Output-6: Access of women and poor communities to resources available with the government and other agencies improved was **PARTIALLY ACHIEVED**
- Outcome 2/Output-7: Linkages between key actors for greater cross learning, sharing of knowledge and information, improved access to resources and technical capacities and

wider dissemination of tested approaches established made **SOME PROGRESS**

- Outcome 3/ Output-8: Project's ability to contribute to policy and programme formulation/change at all levels –district, state and national – enhanced was **PARTIALLY ACHIEVED**
- Outcome 3/ Output-9: Institutional mechanisms for exchanges and dialogues between policy makers, women and other concerned groups to influence government policies established was **PARTIALLY ACHIEVED**
- Outcome 4/ Output-10: Project is able to effectively contribute to a dialogue on the necessity of including health, education and child labour elimination into the poverty debate was **PARTIALLY ACHIEVED**
- Outcome 4/ Output-11: Research studies, advocacy campaigns and grassroots implementation highlight the contribution of women and children in sustainable livelihoods made **SOME PROGRESS**

Efficiency: **To what extent do the outcomes derive from efficient use of resources? And to what extent UNDP has contributed to the outcomes versus that of its partners?**
According to the terminal evaluation report the project achieved a MEDIUM level of efficiency.

Degree of Change: **What are the positive or negative, intended or unintended changes brought about by UNDP's intervention in these outcomes?**
Cannot say as per documents available

Sustainability: **Will benefits/activities continue after the programme cycle?**
According to the terminal evaluation report the project achieved a LOW TO MEDIUM level of sustainability

Gender and equity: The project was entirely focussed on women. According to the evaluation, the ranking of top 10 outcomes of the project from the point of view of women was as follows:

1. Improved ability and opportunity to women to take decisions at household, village level **was MOSTLY ACHIEVED**
2. Village based women leaders emerged **was PARTIALLY ACHIEVED**
3. Increased participation of women in gram sabha **was MOSTLY ACHIEVED**
4. Increased participation of women at cluster/block and district level forums **made SOME PROGRESS**
5. Women are able to influence decision in their favour at gram sabha **made SOME PROGRESS**
6. Women awareness on hygiene, health, education and other well being issues have improved **was MOSTLY ACHIEVED**
7. Status of hygiene, health, education and other well being has improved **was PARTIALLY ACHIEVED**
8. Improved ability of the women to deal with crisis situation due to social support available **was MOSTLY ACHIEVED**
9. Enhance role of women in NRM interventions in the village **was PARTIALLY ACHIEVED**
10. Enhanced role of women in economic livelihoods interventions **was PARTIALLY ACHIEVED**

A total of 5156 women's collectives were mobilised /strengthened by the project in 2180 villages.

Any Innovations: NA

Any other Issue: NA

Additional Remarks if any: NA

Documents Referred: Project Document, Terminal Evaluation 2008

W: State Level Livelihood Promotion Strategies Rajasthan

Name of the Project: State-Level Support to Livelihood Promotion Strategies-Rajasthan

Duration: 2005 to 2012

Total Cost: Rs. 92.28 crore. UNDP contribution Rs. 12.08 crore. Government of Rajasthan contribution Rs. 80.20 crore.

Respective USD equivalent, assuming and exchange rate of 1 USD = Rs. 45

Total cost = USD 20.51 million. UNDP contribution = USD 2.68 million. GoR contribution = USD 17.83 million

Objectives: Contribute towards reduction of vulnerability by promoting livelihoods in Rajasthan

Scope: convergence of livelihood promotion schemes across departments and beneficiaries for more effective impacts on the ground. In addition, to demonstrate through pilot initiatives, the most viable and feasible livelihood options.

Main Components:

1. State government's capacities and coordination mechanisms strengthened for designing and implementing inclusive livelihoods strategies for vulnerable and disadvantaged groups regions
2. Institutions strengthened for providing effective coordination towards livelihoods enhancement
3. Innovative and Scalable Livelihoods Promotion Projects successfully developed with special reference to the vulnerable and disadvantaged communities and groups
4. Skill development trainings for improving livelihoods opportunities
5. Knowledge Networking among all stakeholders for capturing and disseminating best practice, policy and learning's

Implementation Arrangements: Project is being implemented through Mission on Livelihoods, that is a public-private partnership between GoR, UNDP and Bharatiya Samruddhi Investments and Consulting Services Ltd (BASIX). The mission comprised of 14 eminent persons from both public and private sector. The mission was chaired by the Humble Chief Minister of Rajasthan.

***Relevance*: Are the outcomes relevant to UNDP's mandate, to national priorities and to beneficiaries' needs? (Relevance to UNDP's country programme)**:

Corresponding CP Outcome(s): Improved effectiveness of poverty reduction and livelihood promotion programmes in disadvantaged regions and for inclusion of poor women and men from SC and ST groups, minorities and the displaced

Corresponding CP Output(s): Disadvantaged people (poor women and men from SC and ST groups, minorities and the displaced) in at least four UNDAF states benefit from national poverty programmes and livelihood strategies through enhanced public expenditure, private sector engagement and better delivery mechanisms.

***Effectiveness:* Have the intended impacts been achieved or are they expected to be achieved? Do different outcome definitions feed into each other and is there a synergy in between? Is the**

outcome achieved or has progress been made to achieve? Has UNDP made significant contributions in terms of strategic outputs?

The beneficiary table for the project is given below:

Number of beneficiaries impacted by MoI till 31st March 2011		
S.No.	**Project**	**No. of Beneficiaries**
1	Training of Prachetas of Women and Child Development Department	139
2	Empowerment and strengthening of the Blinds	9
3	Develop Capacities of NGOs on PwD	46
4	Providing training to institutions on "convergence of government schemes for livelihood promotionlil	20
5	Rehabilitation of Kanjars	1952
6	Promotion of Dairy cluster	959
7	REX	2000
8	Tourism	50
9	AgBDS, dairy	250
10	Overseas placement bureau	250
11	Animal husbandry	25601
12	Horticulture development	8100
1lil	Districlil Livelihood Cell	27312
14	Employment fair	208624
15	LRC	407
16	Financial Literacy	10,000
17	Mobile Skill Training Program	800
18	RISE	2332
19	Skill Training	80636
20	Establishment of Construction Academy	354
21	Sheep Breed improvement Project in Bikaner	351
22	Establishment Fishery Cluster in Banswara	96
23	Support services of Migrant labour	3300
24	Tribal SME	160
Total		**373748**

In addition, there were the following achievements:

1. Working with the poor and vulnerable
   1.1. Directly working with 1,952 individuals in Jhalawar on rehabilitation of Kanjars (denotified tribe involved in criminal activities) and showcasing the project to address the issues of around 40,000 Kanjar families in the state.
   1.2. Promotion of micro enterprises for 160Tribal families in Udaipur district in Southern Rajasthan through continuous financial and technical assistance. The project is showcased for addressing the need of 84 lakh tribal population in the state.
   1.3. Convergence of various livelihood schemes/programs: RMoL at state level is playing a pivotal role in bringing out the effective convergence of various livelihood programmes and has established RMoL offices in five districts to focus convergence for dovetailing 10 government schemes and have directly impacted 27,312 families.
   1.4. Financial Literacy program for women: Keeping in view the importance of financial literacy for women, RMoL initiated this project in Tonk and covered 10,000 women by educating them on various dimensions of financial literacy so that they can choose the best financial products.
   1.5. Establishment of Livelihood Resource Centre (LRC) in Partnership with NGOs: RMoL provided infrastructure support and built the capacities of five NGOs in five districts for delivering livelihood services through institutional approach to the poor and vulnerable families at district level.
   1.6. Provide support services for migrant labour: Realising migration as a major livelihood strategy for large number of poor, RMoL started pilot on provision of support services to 3,300 migrants at both source (Banswara, Dungarpur and Udaipur district) and destination (Ahmadabad) through capacity building of NGOs, and Skill training.
2. Pilots on specific subsectors impacting livelihoods
   2.1. With 11.2 Million sheep in the state, pilot undertaken with 500 sheep rearing families in Bikaner on the whole value chain comprising breed improvement and market linkages.
   2.2. With 10 lakh dairy households in the state, pilot undertaken on promoting and strengthening women institutions involving 959 women at present in dairy sector value chain in Tonk district.
   2.3. Promotion of community based tourism services and handicraft development: For the promotion of livelihoods of the people residing nearby monumental locations in Abhaneri, Dausa district, RMoL conceptualized the project by combining handicraft products with the rural tourism package and impacted 50 families.
   2.4. Rural Employment Exchange (REX) was initiated in Dausa district on a pilot basis on revenue generation model for catering the employment needs of the rural segment. The main activity of the project comprised of registrations of youth and employers, job placements, counselling, skill and entrepreneurship training, information on various government schemes and provision of financial services for undertaking skill related trainings. This project impacted 2000 youth.

Efficiency: **To what extent do the outcomes derive from efficient use of resources? And to what extent UNDP has contributed to the outcomes versus that of its partners?** Cannot say on the basis of available documents

Degree of Change: **What are the positive or negative, intended or unintended changes brought about by UNDP's intervention in these outcomes?**

1. Policy Advisory
   1.1. Employable skills related largest programme initiated and presently run by RMoL

comprising of stakeholders convergence, curriculum development, mobile van based trainings, infrastructure support, e-learning module development, assessment and certification, skill vouchers (Akshat Kaushal Yojana), job fairs etc.

1.2. A draft state policy for people with disability to address t he issues of 15 lakh population has been formulated and presently in consideration with Department of Social Justice and Empowerment, GoR.

1.3. Through range of consultations held, Domestic Worker Security related issues of minimum wages, social security etc. was discussed.

1.4. Fishery sector milestones 2020 developed by Animal Husbandry Department, based on extensive study and pilot undertaken by RMoL for promoting livelihoods in this sector.

2. Institutional Incubation/Strengthening

2.1. Rajasthan Institute of Security Education {RISE): To cater to employment opportunities for security guards, RISE has been set-up at all the seven divisional headquarters and successfully trained 2,390 youth with 100 per cent placement.

2.2. Construction Academies: To cater to employment opportunities in construction sector, construction academies has been set-up at all the seven divisional headquarters and successfully trained 600 youth.

2.3. Overseas Placement Bureau: To cater to employment opportunities in overseas, RMoL is in the process of establishing overseas placement bureau under its aegis

2.4. DWCD Department: RMoL enhanced the capacities of 139 prachetas who are trained on various aspects of entrepreneurship development which has enabled them to further act as trainers for SHG members {1Mn SHG members in the state).

2.5. Strengthening of EMI: The capacity of EMI has been built to undertake skill training programs of RMoL with innovations throughout the state and it has managed training of 80,636 youth through 400 training partner institutions.

2.6. Employment Department: RMoL built the capacities of 22 district employment officers for improving the better delivery of employment exchange services such as assessment, apprenticeship, counselling, training and job placement.

2.7. Facilitated establishment of Rajasthan Council for Vocational Education and Training {RCVET)

2.8. Facilitated establishment of Rajasthan Knowledge Corporation ltd.

2.9. Setting up of Raj Kaushal Society for addressing the employment needs of the youth in the state.

Sustainability: **Will benefits/activities continue after the programme cycle?** RMoL is contemplating restructuring of its legal status to enhance its scope and size by facilitating private and other agencies involvement with the government for attracting private investments for large scale impact. RMoL is building linkages with NRLM and National Skills Development Corporation to undertake large scale projects on livelihoods and skill trainings. It has recently initiated the ambitious plan of training of one lakh youth per annum through collaboration with Corporate training agencies to meet the State's requirement of skilled manpower demand, and is setting up the Overseas
placement of youth of Rajasthan to provide systematic guidance and information and also to explore the possibility of overseas placement. RMoL will continue playing its role in policy recommendations to the State Government on various livelihood sectors which may impact a larger cross section of population.

Gender and equity:

The gender related impacts of the project are:

1. **Financial Literacy-** As a new initiative, RMoL has trained 10000 women on financial literacy aspects in Tonk district, 50% of the beneficiary were from minority community. Furthermore 100 successful trainees were identified as potential business and banking facilitators.

2. **Dairy Cluster-** Formation of women Dairy Cooperatives (for 500 women) for enhancing milk productivity under diary project in Tonk district. 3. **Sheep Cluster-** 201 women benefited in sheep breed improvement project in Bikaner district where target group is provided with technical know how and improved rams. 4. **Rehabilitation of Kanjars-** Skill training programme on tailoring organized specifically for 40 women under Kanjar livelihood improvement project in Jhalawar district, six health camps were organized to benefit the women Kanjars. 5. **Building capacities of state government departments-** The exercise taken up with Department of Women and Child Development (DWCD) for capacity building of 150 „Prachetas;. DWCD had also been provided financial assistance to support the operational of Amrita Society (Amrita is a marketing society created by DWCD for assisting marketing of SHG products. Amrita society is formed with the objective to support in marketing of WSHG products within the state and outside.) 6. **Skill training program-** RMoL skill training programme has generated awareness in large population of the state and are largely being appreciated by different government and non government agencies. Out of the totally youth trained under the 2700 training programme, 30% are women 67% of beneficiaries are educated below class 10th and 83% have monthly income of less than Rs. 5000/- Through skill training, • SC women impacted 4600 • ST women impacted 2400 • Minority women 5000 • OBC women 5600 • General women 3500
Any Innovations: Cannot say on the basis of available documents
Any other Issue: NA
Additional Remarks if any: NA
Documents Referred: Annual Plan 2010, Undated and Anonymous document titled "Rajasthan Mission on Skill and Livelihoods", Document titled "Rajasthan Mission on Skill and Livelihoods: Activities 2006-2011 by www.rajasthanlivelihoods.org

Annexure B: Names and Designations of People interviewed

Names and Designations	**Projects**
Dr. H. S Pabla, PCCF WL, MP Forest Department, Satpuda Bhawan, Bhopal, Madya Pradesh	CCA
Mr Sudhir Kumar, Member Secretary, State Biodiversity Board MP , 26, Kisan Bhawan, 1st Floor, Arera Hills Bhopal, Madhya Pradesh	Institutional Structures for Biodiversity SBB
Dr. M.S. Rana Additional PCCF and Project Director BAMBOO Project Satpuda Bhavan, Bhopal, Madhya Pradesh	Bamboo, MP

Dr Gopa Pandey CCF and Mr.Jitendra Agarwal Additional PCCF, Bamboo Mission-MP Satpuda Bhawan, Bhopal, Madhya Pradesh	Bamboo, MP
Mr. G.S. Prabhu, Additional PCCF, Karnataka, Project Director BERI Bangalore, Karnataka	BERI
Mr Jawara Gowda, Village Kapigere, Mrs Siddaganga Ma, Village Chikarasanahalli, Mr Putta Kummamma Village Boragunte and a few others District Tumkur Karnataka	BERI
Mr Swaminathan, ex manager Kaikati Tea factory, Conoor, District Nilgiris, Tamilnadu	TEA
SHRI R Ambalavanan, Director Tea Board Conoor, District Nilgiris, Tamilnadu	TEA
Mr Arunachalam, Manager Kaikati tea Factory, Conoor, District Nilgiris, Tamilnadu	TEA
Mr Ramamoorthy,Scientist, Krishi Vigyan Kendra, Conoor , District Nilgiris, Tamilnadu,	TEA
Mr Vasimalai Executive Director, Dhan Foundation, Madurai, Tamilnadu	Gulf Of Mannar
Deepak Samuel plus team GOMBRT, Ramnathpuram, Tamil Nadu	Gulf of Mannar
Mr Muthuvalayethan, Director CCD, Madurai, Tamilnadu	Gulf of Mannar
Mr Arvind Ojha, Chief Executive and Secretay, URMUL Trust , Bikaner, Rajasthan	RMOL
Ms Alka Avasthi,Senior Manager CECODECON, SWARAJ F-159-160, Sitapura Industrial & Institutional Area, Jaipur - 302 022, Rajasthan	RMOL
Mr Pawan Kumar Chabra, Supritendent, ITI, Bikaner, Rajasthan	RMOL
Mr. B. G. Pande, Asst General Manager (Jaunpur and Bhadohi) NABARD Varanasi, Uttar Pradesh	IKEA Foundation
Svati Bhogale, Secretary, Technology Informatics Design Endeavour (TIDE) No : 19, 9th cross, 6th main, Malleswaram Bangalore - 560 003	TEA
Dr Harisingh Barhat, Dr Neetu Arya, Dr Suman Nagpal, Mr Manoj Foujdar, Mr Madanlal Department of Animal Husbandry (veterinary) District Bikaner, Rajasthan	RMOL
Alok Sharma, Sub Divisional Officer Jabalpur, MP Forest Department, Jabalpur District Madhya Pradesh	CCA
A. K. Shukla, Sub Divisional Officer Dindori, MP Forest Department, Dindori District Madhya Pradesh	CCA
Ms Vinisha Panwar and Mr Siddarth Banerjee Project Managers UNDP	CCA
AK. Srivastava , IG WL, Paryavaran Bhawan, MOEF, New delhi	CCA
Dr Sanchita Jindal, Director, Paryavaran Bhawan, MOEF, New delhi	Medicinal Plants, CCF II

Dr Pragati Srivastava DIGWL, Paryavaran Bhawan, MOEF, New delhi	CCA
Dr Subodh Sharma, Advisor, Paryavaran Bhawan, MOEF, New Delhi	NATCOM
Dr S Satpathy, Director, Paryavaran Bhawan, MOEF, New Delhi	Capacity Building for CC
Mr.Haridasan, Joint Director, FRLHT, Bangalore, Karnataka and Ms Deepa	CCF II
Mr. N.R. Dash Director, Ministry of Steel , Udyog Bhawan, New Delhi	Steel rerolling Mills
Mr. R.S. Agarwal, Advisor, Oxone Cell, India Habitat Centre, New Delhi	Institutional Strengthening MP DEX phase VI
Mr. Hem Pande Joint Secretary Paryavaran Bhawan,Ministry of Environment & Forests	CBNRM
Dr. Ajay Mathur Director General & Mrs. Abha Shukla, Secretary, BEE, Bureau of Energy Efficiency 4th Floor, Sewa Bhawan, R.K. Puram, New Delhi-110066	Copper motor
M. Subba Rao Additional Director Ministry of Environment & Forests Paryavaran Bhawan New Delhi	Medical Waste
MF Farooqui Additional Secretary Ministry of Environment & Forests Paryavaran Bhawan, CGO Complex	Strengthening institutional structures for Biodiversity SBB
Mr. R. Chandrashekhar, Chairman, Telecom Commission & Secretary Ministry of Information Technology DOT, Electronic Niketan, CGO complex New delhi	ICT
Mr. Vigyan Vikram Singh(Project Director RMOL),Plus RMOL team EMI Campus, J-8A, Jhalana Institutional Area, Jaipur, Rajasthan	RMOL
Mr Bhawar Singh, Villager (sheep rearer) Village Beethnokh, Bikaner	RMOL
Mr. Brijendra Singh Verma ITI Principal Mr Ashok Gupta, Construction Academy Incharge Mr DP Sharma, Vice Principal ALL THREE are from ITI, JAIPUR	RMOL
Mr Ram Dulare Rajak ,Sarpanch, Village Matamar, Mr Sudhir Chowbey Mr Dharmendra Burman and other village members, District Jabalpur, Madhya Pradesh	CCA
Uma Shankar Srivastava, Swami Vivekanand Shiksha Samiti, Mirzapur, Uttar Pradesh	IKEA Foundation
Mayank Pratap Singh, Gramanchal Sewa Samiti, Varanasi, Uttar Pradesh	IKEA Foundation
Mr Sivan Ambattu, Mr Nadeem, Mr Nilesh, Mr Naveen UNDP TEAM in Varanasi, Uttar Pradesh	IKEA Foundation

SHG members of 3 SHGs Ravidas Mahila SHG, Tulsi Mahila SHG, Chaura Ma Mahila SHG {Anarkali Devi, Nagina Devi, Devkali Devi, Batia Devi and others} Meeting was held in Harijan Basti, Village Barkachcha Khurd, District Mirzapur, Uttar Pradesh	IKEA Foundation
SHG members of 4 SHG Chandraprabha SHG, Lakshmi SHG, Saroja SHG and Anjan sarif SHG {Birnai, Renu Devi, Saroja devi, Muni devi, etc} Meeting was held in Village Jassowar, District Mirzapur, Uttar Pradesh	IKEA Foundation
Women of 6 SHGs Bismillah SHG, Basdeo SHG, Maa Durga SHG { Sabari Begum, Sita Devi, Lakshmi devi, Hira Devi etc} Meeting held in Semra Belauna Village, District Mirzapur, Uttar Pradesh	IKEA Foundation
Women of 6 SHGs Ganga Ma SHG, Santoshi Ma SHG, Durga Ma SHG, Vidwashani SHG, Suryodaya SHG, Chaura Ma SHG {Vidya Devi, Anita Devi, Sultana Devi, Gita Devi. Kusum devi etc} Meeting held in Village Piparadand, District Mirzapur, Uttar Pradesh	IKEA Foundation
Col Rathore, Rajasthan Institute for Security Education,c /o Jaipur Ex-servicemen Welfare Cooperative Society Ltd Jaipur	RMOL

Annexure C: Terms of Reference

Terms of Reference for
Outcome Evaluation of Programmes on climate change, energy, environment, poverty and sustainable livelihoods

Introduction

United Nations Development Programme (UNDP) conducts outcome evaluations to capture and demonstrate evaluative evidence of UNDP's contributions to development results at the country level as articulated in the country programme document. These are independent evaluations carried out within the overall provisions contained in the UNDP Evaluation Policy[1]. In line with the Evaluation Plan of UNDP India, an outcome evaluation will be conducted to assess the impact of UNDP's development assistance in the Practice Areas of Energy and Environment and Poverty Reduction. The proposed evaluation will evaluate the relevant country programme outcomes and outputs as stated in the Country Programme Action Plan (CPAP) and the Country Programme Document (CPD) for India both covering the period 2008-2012.

Under these practice areas, the Country Office has been working to support the country to achieve MDGs and reduce human poverty. UNDP's on-going Country Programme Action Plan 2008-2012 (CPAP) is positioned within the overarching objective of the India-United Nations Development Assistance Framework (UNDAF) 2008-2012, which is focused on "promoting social, economic and political inclusion for the most disadvantaged, especially women and girls." The formulation of the UNDAF in turn has been guided by the Millennium Development Goals (MDGs) and the vision of the Eleventh Five Year Plan that places a high priority on inclusive growth.

The purpose of the outcome evaluation is to:

- Provide substantive direction to the formulation of programme and project strategies
- Support greater UNDP accountability to national stakeholders and partners in India
- Serve as a means of quality assurance for UNDP interventions at the country level; and,
- Contribute to learning at corporate, regional and country levels.

The outcome evaluation will be conducted in 2011 towards the end of the current programme cycle of 2008-2012 with a view to contributing to the preparation of the new UNDP country programme starting from 2013 as well as the forthcoming United National Development Assistance Framework scheduled to start in the same year.

Background

The subject of this outcome evaluation will be the projects implemented within the framework of Poverty Reduction and Energy/environment portfolios are summarized in Annex D. In addition to assessing the overall result and development impact of the programmes in these two practice areas, this evaluation will also take into consideration the impact if these programs on **cross-cutting issues** identified in the CPAP such as **gender equality and inclusion.**

During a recently completed Mid Term Review of the entire country programme, the environment and poverty portfolios were also reviewed, based on internal review and reflection as well as a external and independent assessments. The report of the MTR will be made available to the evaluation team.

[1] www.undp.org/eo/documents/Evaluation-Policy.pdf . The ADR will also be conducted in adherence to the Norms and the Standards and the ethical Code of Conduct established by the United Nations Evaluation Group (www.uneval.org).

Poverty Reduction Programme: The Poverty Reduction Programme aims to improve the effectiveness of national poverty reduction and livelihood promotion programmes in partnership with Central and State governments in disadvantaged areas. It promotes the design and use of strategies that involve the poor, people belonging to Scheduled Castes and Scheduled Tribes, migrants, minorities and displaced. UNDP fosters partnerships to enable disadvantaged households to improve their skills, diversify to non-farm activities and increase access to credit and markets. It assists organisations of the poor to develop livelihood plans in areas such as agriculture, forestry, fisheries, land resource development, rural tourism and handicrafts. UNDP also works on the ground to empower disadvantaged communities. UNDP seeks to expand financial inclusion beyond access to financial products and services to providing new opportunities to diversify their livelihoods. The work on financial inclusion also aims to support innovation in product design and delivery of the entire range of financial services including remittance transfers, credit, insurance and market-based social security services such as micro-pensions. Some projects from the previous programme cycle were completed in the current cycle, including the National Strategy for Urban Poverty, Endogenous Tourism and ICT for Development. These projects were aligned to flagship government programmes of JNNURM, Rural Tourism Scheme and e-governance, and involved multi-level policy engagement and incorporation of measures to strengthen programme implementation. Knowledge products under the urban poverty project especially the National Strategy for Urban Poverty Reduction have long-term implications for urban poor. The ICT project and Endogenous Tourism projects have been mainstreamed by the concerned Ministries at the Centre and in some States. The programme has succeeded in creating interest at the policy level in an outcome-based approach to poverty programming. The strategy of placing technical teams at state and district level has been successful in building credibility and enhancing engagement with stakeholders. The financial inclusion project has engaged with a wide range of stakeholders and has expanded NABARD's engagement with CBOs.

Energy and Environment: The Energy and Environment Programme supports the 11th Five-Year Plan in its endeavour to build the capacities of the most vulnerable people, including women and girls, and government at all levels, to prepare, respond and adapt to sudden and slow-onset disasters and environmental changes. UNDP works in partnerships to protect the environment and meet the challenges posed by climate change. UNDP is addressing global warming by supporting the reduction of GHG emissions in energy-intensive industries, promoting the use of renewable energy sources and helping the government to phase out ozone depleting substances. It works with the government to strengthen policy, legislative and regulatory mechanisms for carbon reduction, developing standards and codes for energy conservation and encouraging more efficient use of natural resources. UNDP helps implement various national policy initiatives to increase forest cover and arrest land degradation. Biodiversity conservation efforts are being strengthened by involving communities in sharing traditional knowledge on natural resources, and improving market access for their products. The programme has supported the national Government in the preparation of the “Second National Communication to the UNFCCC’, ‘Fourth National Report to CBD’ and ‘National Biodiversity Action Plan’. Technical support has been provided for the Phase-out of CFCs. It is noteworthy that the target for phase out of CFCs has been achieved one year before schedule. UNDP is the lead agency for accelerated phase out of HCFC’s by 2030 (instead of 2040). The Environment Programme portfolio comprises of some purely “technical” components (such as emission reduction and phasing out of CFCs) and some “people-centred” components (such as sustainable management of natural resources). It is a challenge to build linkages between these components, which tend to operate in isolation from each other. Apart from strong technology pilots (where the guarantee of mainstreaming is built in at the start), this programme has developed and tested innovative approaches to community-based natural resource management that build climate change resilient livelihoods as well as enhance gender equality.

Climate change is likely to have a negative impact on UNDP's work on the environment, poverty, and disaster risk reduction, and can undermine the quality and sustainability of the results achieved thus far. The CPAP acknowledges the importance of mainstreaming adaptation to climate change concerns in the development and planning process. However a specific output on climate change adaptation was added in the CPAP Result and Resources Framework only in 2009. Apart from the Environment Programme where climate change is a substantive area of focus, climate change poses risks in the areas of poverty/livelihoods and natural disasters. A broad strategic framework has been proposed for integration of adaptation issues, with the goal of making all UNDP interventions climate-resilient and climate change responsive. Ongoing efforts to better integrate climate risk concerns into UNDP practice areas (which has been recognised as needing to be strengthened) have produced some initial promising results, such as the integration of a few adaptation activities into the Annual Workplan for 2010 of a few projects, and some in-house awareness-raising/capacity building activities on adaptation. However, since this is a relatively new area of work, these efforts are still in the initial phase and need to be more systematic.

Purpose of the evaluation:

The UNDP Energy and Environment programme now plans to position its work within a new paradigm of "low-carbon and climate-resilient, social just and inclusive growth". In moving towards this new approach, it is essential for the Programme to benchmark its activities against the larger goals of social inclusion and achievement of the MDGs, while continuing work towards technological solutions to Climate Change.

While 'low-carbon, climate resilient growth' is an important outcome, the relevance of helping GoI meet its commitment under multilateral environment agreements particularly on emission of ozone depleting substances (the Montreal protocol) and persistent organic pollutants (the Stockholm Convention), cannot be underestimated. In the long run, these have significant impact on the sustainability of development, in India and for the world.

Through this evaluation UNDP India seeks to understand and articulate the key contributions that the programme has made in the programmes on environment and poverty reduction, a rigorous analysis of the areas of synergy between the two programmes and recommendations to strengthen UNDP's interventions in these critical areas of engagement with the govt of India.

UNDP's work on linking biodiversity with poverty reduction addresses these major national concerns. With India hosting the CoP of CBD in 2012, GoI is keen to establish global leadership in biodiversity. The National Action Plan on Climate Change and its constituent Missions on Green India, Sustaining the Himalayan Ecosystem and Sustainable agriculture offer many opportunities to work on biodiversity and poverty reduction. Convention on Biological Diversity (CBD) seeks to link biodiversity with production sectors (including agriculture, livestock rearing, fisheries, forest resources and extraction sectors), an area of both expertise and interest for UNDP India.

The livelihood options being promoted under the programme should be assessed on the basis of their long term impacts on the environment, gender and caste relations and on the local economy. This is particularly important in the case of livelihoods that depend on positive partnerships with the private sector. The long-term implications of making small informal producers dependent on contract arrangements and corporate supply chains should be analysed before upscaling these experiments. The possible impacts of climate change on the livelihood options being promoted under this programme should also be taken into account.

UNDP seeks to assess its successful pilots on livelihoods through sustainable natural resource management (such as the support to women traditional healers), focusing on changes in key socio-economic indicators of equality. This assessment will be necessary at the levels of both environmental

and social/economic benefits, before upscaling and replication of these models, or using them as the basis for developing market-based ecosystem services as proposed.

Scope of the Evaluation

The outcome evaluation seeks to:

- Review the programmes and projects of UNDP with a view to understand their relevance and contribution to national priorities for stock taking and lesson learning, and recommending corrections that may be required for enhancing effectiveness of UNDP's development assistance;
- Review the status of the outcome and the key factors that have affected (both positively and negatively, contributing and constraining) the outcome;
- Assess the extent to which UNDP outputs and implementation arrangements have been effective for strengthened linkages between the two outcomes (the nature and extent of the contribution of key partners and the role and effectiveness of partnership strategies in the outcome);
- Provide recommendations for future country programme in the two outcomes of the Poverty Reduction and Environment Portfolio (described in detail above on page 2-3) and particularly for better linkages between them..

This evaluation is also very timely since the results of this evaluation will be used by UNDP India and its government in preparing the United Nations Development Assistance Framework (UNDAF) and UNDP Country Programme for the years 2013-2018. UNDP will incorporate the findings of the evaluation, experiences and lessons learned while preparing the new Country Programme Document. This evaluation is also expected to bring recommendations regarding partnership and implementation strategies.

Deliverables

The Evaluators will conduct a preliminary scoping exercise and come up with a short inception report (containing an evaluation matrix, evaluation protocols for different stakeholders, and a description of the methodology), to be discussed with the UNDP Country office and other stakeholders, before s/he and the team start the evaluation itself.

The suggested table of contents of the main final report could be as follows:

- Executive summary

i. Introduction (Background and approach/methodology)

ii. Development context (Presentation of issues in the country context. Factual)

iii. Description of UNDP's work (How has UNDP responded to the issues? Factual.)

iv. Development results (Presentation of findings based on the evaluation criteria and other cross-cutting issues. Analytical.)

v. Conclusions and Recommendations

- Annexes

Note: It is expected that the report should include analysis of the outcomes pertaining to women and men throughout the report and that gender analysis is not confined to a separate chapter.

Methodology

The evaluators will visit select project sites to meet the local stakeholders and beneficiaries including Central and state government officials, civil society organizations, local authorities, academics and subject experts, individual entrepreneurs, etc.

The evaluation shall assess the following for each outcome in the 2008-2012 programming cycle in this portfolio:

- *Relevance*: Are the outcomes relevant to UNDP's mandate, to national priorities and to beneficiaries' needs? (Relevance to UNDP's country programme)
- *Effectiveness:* Have the intended impacts been achieved or are they expected to be achieved? Do different outcome definitions feed into each other and is there a synergy in between? Is the outcome achieved or has progress been made to achieve? Has UNDP made significant contributions in terms of strategic outputs?
- *Efficiency:* To what extent do the outcomes derive from efficient use of resources? And to what extent UNDP has contributed to the outcomes versus that of its partners?
- Degree of Change: What are the positive or negative, intended or unintended changes brought about by UNDP's intervention in these outcomes?
- *Sustainability:* Will benefits/activities continue after the programme cycle?

All evaluation questions should include an assessment of the extent to which programme design, implementation and monitoring have taken the following cross cutting issues into consideration:

- Human rights
- Gender Equality
- Capacity development
- Institutional strengthening
- Innovation or added value to national development
- South-South Cooperation

The outcome evaluation will include the following key activities:

- Evaluation design and workplan (to be shared with UNDP India before start of the evaluation)
- Desk review of existing documents
- Briefing with UNDP India
- Field visits
- Interviews with partners
- Drafting of the evaluation report
- Debriefing with UNDP India
- Finalization of the evaluation report (incorporating comments received on first draft)

Though the evaluation methodology to be used will be finalized in consultation with the UNDP India Country office, the following elements should be taken into account for the gathering and analysis of data:

- Pre-assessment of data availability
- Desk review of relevant documents including Country Programme Document (CPD), Country Programme Action Plan (CPAP), reports of relevant flagship projects, etc.
- Discussions with the Senior Management and programme staff of UNDP India
- Presentation of an inception report and discussion of the content with UNDP management and partners
- Interviews: with key partners and stakeholders both at central and field levels. Drawing on specific check listed questions supporting the DAC criteria
- Focus group discussions: within UNDP and external parties both at central and field levels. Gaining consensus on key issues.
- Participation and providing guidance to an Outcome Board Meeting of both the environment and poverty portfolios.
- Field visits to select key projects, if necessary
- Regular consultation meetings with the UNDP staff, project staff and senior management as appropriate

Implementation Arrangements

This evaluation exercise will be undertaken by an Evaluation Expert. The Evaluation Expert will be reporting to the Deputy Country Director of UNDP India, with delegated authority to the Evaluation Focal Point. The Evaluation focal point will arrange the introductory meetings within UNDP and will establish the first contacts with the government partners and project staff. The expert will then set up his/her own meetings and conduct his/her own methodology upon approval of the methodology submitted in the inception report.

The draft and final reports will be submitted in English. The expert will work home/office-based with presence in UNDP premises as needed for the desk reviews, and will make their own travel arrangements for the site visits.

The Evaluation Expert shall arrange all the resources he/she needs to complete the assignment, if needed, at his/her own cost. The resources to be used by the expert shall be subject to UNDP approval.

Evaluation Expert will have the overall responsibility for the conduction of the evaluation exercise as well as quality and timely submission of the final evaluation report to UNDP. S/he will specifically undertake the following tasks:

- Lead and manage the evaluation mission,
- Design the detailed evaluations scope, methodology and approach,
- Ensure efficient division of tasks between team members,
- Conduct the outcome evaluation in accordance with the proposed objective and scope of evaluation
- Draft, communicate and finalize the evaluation report as per the comments from UNDP,

Required Qualifications

- Minimum Masters degree in economics, business administration, regional development/planning or any other social sciences related to poverty reduction and economic growth and their linkages with climate change, energy and environment issues
- At least 10 years of experience in conducting evaluations, strong working knowledge of UNDP and its mandate, the civil society and working with government authorities
- Extensive knowledge of results-based management evaluation, as well as participatory M&E methodologies and approaches,
- Experience in applying SMART indicators and reconstructing or validating baseline scenarios,
- Minimum 10-15 years of professional experience in the area of development, poverty reduction, regional development, gender equality and social policies,
- Strong reporting and communication skills
- Excellent communication skills with various partners including donors

Timeline and Schedule

Key Activity	No of days	Remarks
Sharing of the relevant documentation {progress reports, project documents, AWP, PSC minutes etc }	7 days	This was a very time consuming task
Evaluation design, methodology and updated work plan including the list of stakeholders to be interviewed	2 days	
Desk Reviews of each project	10 days	A total of around 22 projects were

		looked at in detail besides an overview of the other ongoing project
Meeting various ministries/NGOs	3 days	This has been a scattered exercise but overall have spent 3 days
Review of the evaluation design and work plan/meetings with ADR team	2 days	
Consultations and field visits, in-depth interviews in the field	18 days	Have visited UP, Raj. MP, Kar and TN
Preparation of draft evaluation report including an Executive Summary of approx. 5 pages) and debriefing UNDP	8 days	
Provision of comments to the draft report	7 days	
Finalization and submission of the evaluation report incorporating additions and comments provided by project staff and UNDP CO	8 days	
Total	65 days – 7 days for comments = 58 days	

*Each and every activity to be conducted by the Consultant is subject to UNDP approval. Each step shall be conducted upon approval of the previous step by UNDP.
**# of days to be invested by the Consultant may be subject to change based on the project needs and at the sole discretion of UNDP.

Evaluation Expert will be logistically and financially responsible for arranging his/her travel to and from relevant project sites and arranging interviews. This will also be included in the proposal including the travel costs to mission sites and daily subsistence allowance (DSA), with explicit information presented with the proposal and the methodology.

Annexure D: Some Key Questions

RELEVANCE

What is the need or demand for the initiative?
What problem or development opportunity is the initiative intended to address?
Which aspect of the overall country strategy is it addressing?
How does the project align with national strategies (in specific thematic area)?
How does the project address the human development needs of intended beneficiaries (poor, women, disadvantaged groups)?
What analysis was done in designing the project (India Common Country Assessment 1999 and 2007)?
To what extent have indigenous people, dalits, women, conflict displaced people, and other stakeholders been involved in project design?

EFFECTIVENESS

How well has UNDP manage to link PEN aspects in its poverty and environment practice areas at the local, state and country levels?
Has UNDP been able to integrate PEN-related issues into its other practice areas, especially crisis prevention and recovery, and governance?
Is there evidence that UNDP has been able to encourage government agencies to implement PEN-related policies and programmes?
Have environmental impacts been taken into consideration when UNDP designs and supports poverty alleviation and job creation programmes and projects?
Are there particular incentives or disincentives to increase PEN linkages for regional centres and country offices and their staff focused on poverty and environment?
How does the management structure aid or impair the closer integration of poverty reduction and environmental protection strategies?
What if any, are the impacts on the environment and ecology?
Were location specific natural resources and tenurial rights taken into account ?
What outcomes does the project intend to achieve?
What outputs or outcomes has the project achieved?
What % of the stated project objectives of has been achieved?
What changes can be observed as a result of these outputs?
In addition to UNDP interventions, what other factors may have affected the results?
What were the unintended results (+ or -) of UNDP interventions?
What factors have contributed to achieving or not achieving intended outcomes?
To what extent have the UNDP outputs and assistance contributed to outcomes?
Has the UNDP partnership strategy been appropriate and effective?
What factors contributed to effectiveness or ineffectiveness?
Did it at least set dynamic changes and processes that move towards the long-term outcomes?
How does UNDP measure its progress towards Expected Results/Outcomes in a context of flux?

OUTREACH

How broad are the outcomes (e.g. local community, district, regional, national)?
Are UNDP's efforts concentrated in regions/districts of greatest need?
How far the regional context (least developed region) has been taken into consideration while selecting the project/programme>?
Are the results of the project intended to reach local community, district, regional or national level.
Who are the target beneficiaries and to what extent have they been reached by the project?

How have the particular needs of disadvantaged groups been taken into account in the design and implementation, benefit sharing, monitoring and evaluation of the project /programme?
How far the social inclusion has been taken into account in the project/programme?
How have the skills and capacities of the target groups been enhanced ?
To what extent did the project manage to conserve natural resources

EFFECIENCY

Is the programme been implemented within deadlines, costs estimates?
Have UNDP and its partners taken prompt actions to solve implementation issues?
Are the resources allocated sufficient to achieve the objectives of the project?
To what extent has UNDP adopted participatory approaches in planning and delivery of programmes and what has been feasible in the India context?
On what basis did you select the partners that you did?
Were different approaches compared to select the most efficient approach
Were UNDP resources focused on the set of activities that were expected to produce significant results?
Any pre assessments done to select the approach/site
Are resources concentrated on the most important interventions or are they scattered/ spread thinly across interventions?
How has the existence of the Project Implementation Support Unit assisted the efficiency of programme delivery?
How methodically was the project documented?
What mechanisms does UNDP have in place to monitor implementation? Are these effective?

SUSTAINABILITY

Does/did the project have an exit strategy?
To what extent does the exit strategy take into account the following:
- Political factors (support from national authorities)
- Financial factors (available budgets)
- Technical factors (skills and expertise needed)
- Environmental factors (environmental appraisal)

Any institutional mechanisms in place for sustaining the work beyond project period
What unanticipated sustainability threats emerged during implementation?
What corrective measures did UNDP take?
How has UNDP addressed the challenge of building national capacity in the face of high turnover of government officials?

SCALING UP

What actions have been taken to scale up the project if it is a pilot initiative?
How has UNDP approached the scaling up of successful pilot initiatives and catalytic projects?
Has Government taken on these initiatives? Have donors stepped in to scale up initiatives?
How have capacities and skills been enhanced at local levels to sustain project activities?

GENDER

Are gender issues being raised in the context of PEN, recognizing that poverty and environmental degradation may affect men and women differently? (PEI, MDGs etc)
Does the project attempt any gender disaggregated activities (data collection etc)

Annexure E: Ethical Code of Conduct for UNDP Evaluations

Evaluations of UNDP-supported activities need to be independent, impartial and rigorous. Each evaluation should clearly contribute to learning and accountability. Hence evaluators must have personal and professional integrity and be guided by propriety in the conduct of their business

Evaluators:

Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded

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.

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.

Evaluations sometimes uncover evidence of wrongdoing. 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.

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.

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.

Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.