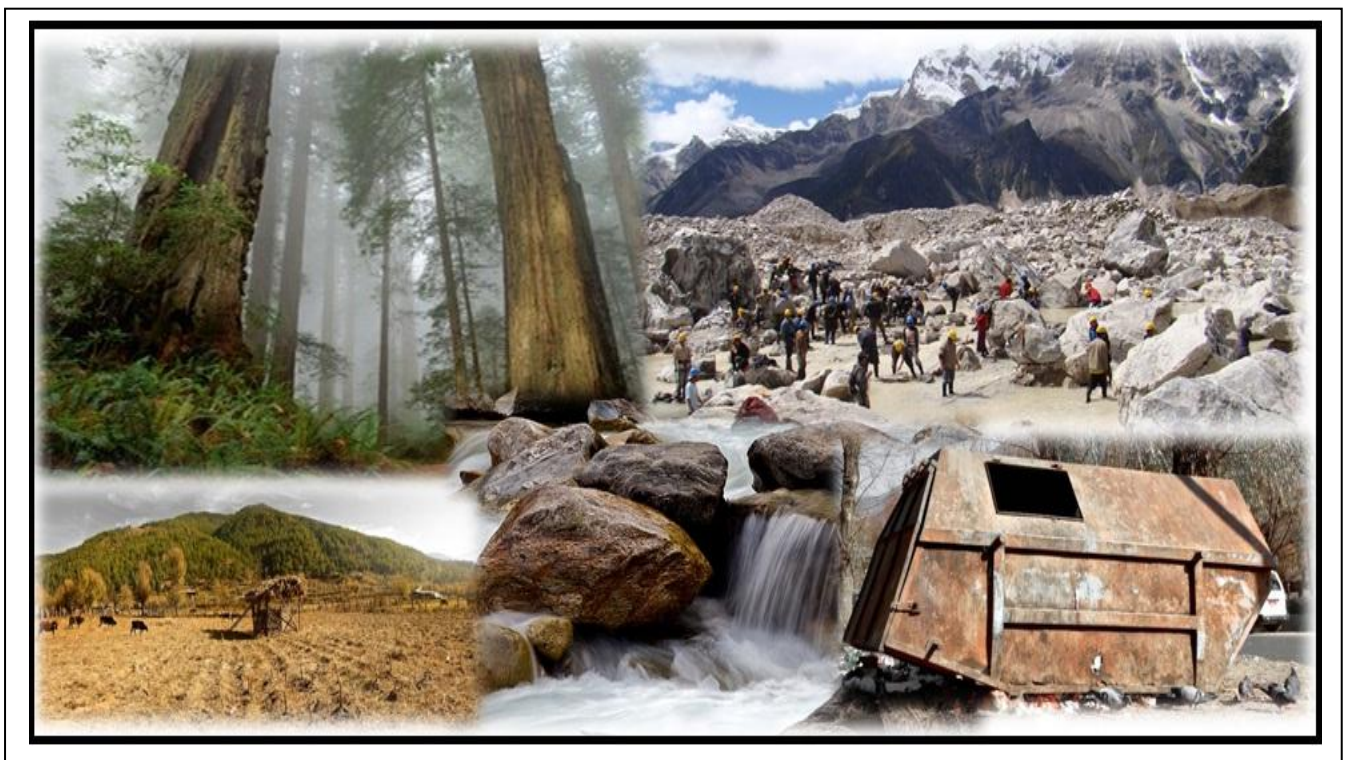August 2012

UNDAF | **Outcome 5 Evaluation Report**

Final Report

OUTCOME EVALUATION

UNDAF OUTCOME 5:
Environmental Sustainability, Disaster Management, Energy and Bio-diversity Conservation

Submitted to
UN Environment and Disaster Management Theme Group
UN system in Bhutan

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List of Acronyms

BCS	Background Conclusion Sheet (Results oriented reporting tool)
cCPAP	common Country Program Action Plan
CEDAR	Capacity for Efficient Delivery of Achievable Results initiative
CA	Capacity Assessment
CBSS	Community Based Support System
CCPAP	Common Country Program Action Plan
CD	Capacity Development
CIC	Community Information Centre
CPB	Country Program Board
CSO	Civil Society Organization
CT	Country Team
DAC	Development Assistance Committee
DANIDA	Danish International Development Assistance
DaO	Delivering as One
DDM	Department of Disaster Management
DFPS	Department of Forests and Park Services
DGM	Department of Geology and Mines
DoE	Department of Energy
DRR	Disaster Risk Reduction
ECP	Environment Climate Change and Poverty
EFRC	Environment Friendly Road Construction
EIMS	Environmental Information Management System
ESCO	Energy Service Company
EWS	Early Warning System
FYP	Five Year Plan
GNH	Gross National Happiness
GNHC	Gross National Happiness Commission
GLOF	Glacial Lake Outburst Flood
GSHAP	Global Seismic Hazard Assessment Program
HACT	Harmonised Approach to Cash Transfer
HDI	Human Development Index
HRBA	Human Rights Based Approaches
HRD	Human Resource Development
HWC	Human Wildlife Conflict
ICDP	Integrated Conservation and Development Programme
IGSP	Income Generation Support Program
ILCCP	Integrated Livestock Crop Conservation Program
IPs	Implementing Partners
IWRM	Integrated Water Resource Management
JICA	Japan International Cooperation Agency
JSP	Joint Support Programme
LDPM	Local Development Planning Manual
LDCF	Least Developed Countries Fund (GEF)
LGSP	Local Government Support Program
LEDS	Low Emission Development Strategies
MDG	Millennium Development Goal
MfDR	Managing for Development Results
MoAF	Ministry of Agriculture and Forests
MoE	Ministry of Education
MoEA	Ministry of Economic Affairs
MoF	Ministry of Finance
MoHCA	Ministry of Home and Cultural Affairs
MoLHR	Ministry of Labour and Human Resources
MoWHS	Ministry of Works and Human Settlement
MRV	Measurement, Reporting and Verification (of Carbon)
MTR	Mid Term Review
NAMAs	Nationally Appropriate Mitigation Actions
NAPA	National Adaptation Programme of Action

NDRMF	National Disaster Risk Management Framework
NBC	National Biodiversity Centre
NCD	Nature Conservation Division
NCWC	National Commission for Women and Children
NEC	National Environment Commission
NEPA	National Environment Protection Act
NFE	Non Formal Education
NGO	Non Governmental Organization
NHDR	National Human Development Report
NSSC	National Soil Service Centre
NSAs	Non State Actors
OECD	Organisational for Economic Cooperation and Development
PDNA	Post Disaster Needs Assessment
PEI	Poverty Environment Initiative
PEE	Public Expenditure on Environment
PEM	Public Expenditure Management
PEMS	Public Expenditure Management System
PES	Public Environment Services
PLaMS	Planning and Monitoring System
PPP	Public Private Partnership
PSD	Private Sector Development
PPM	Programme and Project Management
RBM	Results Based Management
RCSC	Royal Civil Service Commission
RENEW	Respect Educate Nurture and Empower Women
RF	Recovery Framework
RGoB	Royal Government of Bhutan
RMG	Results Management section of the UNDP User Guide
ROARs	Results Oriented Annual reports
RSPN	Royal Society for Protection of Nature
SMART	Specific Measurable Achievable Relevant Timely (indicator definition)
SLM	Sustainable Land Management
SLMP	Sustainable Land Management Programme
SNC	Second National Communication
SNV	Netherlands Development Organization
SMEs	Small and Medium sized Enterprises
SWM	Solid Waste Management
TGs	Theme Groups
ToR	Terms of Reference
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Program
UNEDMT	UNDAF Environment and Disaster Management Theme
UNTG	UNDAF Theme Groups
UNEP	United Nations Environment Programme
UNFCCC	UN Framework for Convention on Climate Change
UNFPA	United Nations Population Fund
UNICEF	United Nations Education Fund for Children
UNIFEM	United Nations Development Fund for Women
V&A	Vulnerability Assessment
WASH	Water, Sanitation and Hygiene
WCD	Wildlife Conservation Division
WFP	World Food Program
WMD	Watershed Management Division
YDF	Youth Development Fund

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Executive summary

Bhutan remains vulnerable to natural disaster and climate change with the potential to create a major negative impact on its social infrastructure, agriculture and economic output in addition to causing loss to life. Bhutan lies in an active seismic zone and is exposed to the threat of earthquakes. 25 Glacial lakes in Bhutan have been identified as posing a potential threat in terms of glacial lake outburst flooding. Bhutan's terrain is also exposed to landslides that can result in fatalities and the influx of heavy debris and silt causing massive clogging and silting in hydropower projects. Moreover, forest fires are rampant, monsoon flash floods ever prevalent, crop depredation by wildlife, droughts and windstorms are all frequent natural occurrences.

This evaluation is focussed on UNDAF Outcome 5: "*by 2012 national capacity for environmental sustainability and disaster management strengthened"* with a focus on its 4 CT Outcomes namely:
- CT Outcome 1: National capacity to address current environmental challenges and mainstream environmental concerns into policies, plans and programs enhanced
- CT Outcome 2: National capacity for disaster risk management strengthened
- CT Outcome 3: Access to sustainable energy and livelihoods for remote Gewogs improved
- CT Outcome 4: Conservation of biodiversity and ecosystems enhanced

The assessment revealed that the level of **relevance of the outcome has been good**. It is consistent with national policies including the 10th FYP, the GNH framework and more specifically priorities for environmental sustainability, disaster risk management, renewable energy and preservation of bio-diversity. The outcome has been **very good** at achieving its intended results in terms of outputs and activities from an **effectiveness perspective**. Several high quality results are visible at policy and operational level. Many innovative pilot projects have been implemented with resulting best practices. Operationally the **outcome has been efficient** in implementing activities within planned cost and good use of resources in the face of new operating procedures such as HACT. Implementing partners have showed initiative and commitment to implementing complex activities within budget and other resource constraints.

The outcome has shown **good potential for sustainability**. There is good financial and economic viability of activities implemented. The RGoB has committed to financially meet the maintenance costs of outputs through recurrent budgets at both national and local government level. The majority of services and results will be affordable for the target groups following the completion of projects.

The **weakest area of the outcome was in terms of social and gender inclusion.** Few outcome activities and projects were planned based on a gender differentiated beneficiary analysis. There were exceptions in the case of DRR, Education in Emergency (EinE) and earthquake relief activities where specific gender considerations were taken into account. Projects that engaged communities had strong female participation in key initiatives such as ILCCP, EFRC and GLOF SAR training. There was a distinct lack of a rights based approach to include disadvantaged groups in the outcome. Mainstreaming a gender sensitive approach from the outset is recommended to ensure outcome 5 makes women's and men's concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of its programs, so that gender inequality is not perpetuated. A Human Rights Based Approach (HRBA[1]) should be too mainstreamed as part of a programme wide cross-cutting priority. A Capacity Development (CD) approach to programming the next UNDAF cycle can provide suitable entry points for gender mainstreaming and HRBA.

The outcome has **had numerous positive direct and indirect impacts**. The outcome has directly contributed towards several policy level impacts. At the operational level, outputs and results have been effective with key results including strengthening of institutional, organisational and individual capacities, development of guidelines, SOPs and toolkits. This has built basic capacity of government to implement desired changes and create outreach for communities. The outcome has implemented several innovative and successful community level pilot activities.

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[1] HRBA Portal: www.hrbaportal.org

The overall assessment of the UNDAF outcome 5 is **good** with an overall achievement **score of 3.02** out of 4.The results of the analysis across the key evaluation criteria and the overall assessment is provided below based on the use of the Background Conclusion Sheet (BCS) evaluation tool.

Evaluation Criteria	Overall Assessment	Score (out of 4)
Relevance	Good	3.20
Effectiveness	Very Good	3.60
Efficiency	Good	3.00
Sustainability	Good	3.30
Cross-cutting themes	Problems	2.00
Impact	Good	3.00
Overall Score	**Good**	**3.02**

Table 1: Summary of UNDAF Outcome 5 Assessment

The majority of recommendations provided are medium term, informing the next UNDAF cycle. Programmatic recommendations are fivefold:
- Strengthening processes in programme cycle management including Results Based Management (RBM) approaches
- Greater emphasis on a Capacity Development (CD) approach to programming
- Focussing of programme and narrowing of outcome5 portfolio
- Mainstreaming of cross-cutting issues particularly gender equality and human rights based approaches (HRBA)
- Specific short term recommendations for the ongoing UNDAF cycle including development and dissemination of case studies and strengthening of information sharing mechanisms

Systemic recommendations are 3 fold:
- Development of SMART (Specific Measurable Achievable Relevant and Timely), results oriented, outcome level, indicators
- Strengthening of joint programming activities including stronger commitment for results oriented reporting
- Strengthening of capacity for project implementation support at GNHC to provide process support to implementing partners

Implementation recommendations focus on creating greater efficiency and effectiveness in delivering UNDAF results, particularly upscaling and replication. The recommendations are 3 fold and include:
- Support for activities contributing to enforcement of environmental regulations
- Support for private sector and civil society initiatives
- Support for market instruments including Payment for Ecosystem Services (PES)

Acknowledgements

The consultant gratefully acknowledges the valuable support, input and feedback provided to the outcome evaluation process and to this evaluation report from numerous sources including:

- Mr Karma Lodey Rapten (Head of Energy, Environment and Disaster Management Unit UNDP)
- Mrs Claire Van der Vaeren (UN Resident Coordinator for Bhutan and UNDP Resident Representative)
- Mrs Hideko Hadzialic (UNDP Deputy Resident Representative)
- Staff from Energy, Environment and Disaster Management Unit including Mrs Anne Erica Larsen (Programme Analyst), Ms Sonam Rabgye (Programme Associate) and Ms Rinchen Choden (Intern)
- Members of UNCT Bhutan
- Members of UNEDMT including RGoB representatives
- HACT M&E group including Mrs Pem Chuki Wangdi
- GNHC and implementing partners from government agencies and NGOs
- Local government and community beneficiaries
- Development partners
- UN gender committee
- Agencies of the UN System in Bhutan

Chapter 1: Introduction

1.1 Purpose and Objectives of Evaluation

The main purpose of the evaluation was to conduct an outcome evaluation of UNDAF Outcome 5 which aims "*by 2012 national capacity for environmental sustainability and disaster management to be strengthened"* with a focus on its 4 CT Outcomes namely:

- CT Outcome 1: National capacity to address current environmental challenges and mainstream environmental concerns into policies, plans and programs enhanced
- CT Outcome 2: National capacity for disaster risk management strengthened
- CT Outcome 3: Access to sustainable energy and livelihoods for remote Gewogs improved
- CT Outcome 4: Conservation of biodiversity and ecosystems enhanced

The Outcome Evaluation was commissioned with the following primary objectives:

I. To systematically gather and analyze evidence on the extent to which the UNDAF has been able to deliver expected results under outcome 5 systemically, which respond to national development goals of Bhutan (as articulated in the 10th FYP) and MDG7 and the extent to which UN's support under the outcome has produced results in terms of stronger institutions which have contributed to development results in the relevant areas.

II. Based on the evidence of successful and unsuccessful initiatives, the evaluation is intended to help improve the quality of UN's support in the area of environment, biodiversity, climate change, energy and disaster risk reduction, by evaluating the degree to which the UN has been able to deliver support that is effective, relevant, sustainable, coordinated, and nationally owned.

The outcome evaluation started on 9th May 2012.

1.2 Expected Contribution

The evaluation covers the current UNDAF/cCPAP period (2008-2013), with the following expected contributions:

- Evaluate the period from 2008 to 2012 to draw lessons learned, through data collection for the period January 2008 till April 2012.
- Provide forward looking recommendations to inform outcome 5 programme implementation in 2012 – 2013
- Provide recommendations for the formulation of the new UNDAF Action Plan for the period 2014-2018

The scope and focus of the evaluation was expected to:

- be grounded in the specific development context of Bhutan
- adopt an evaluation methodology to be informed by discussions with stakeholders, background research and a review of previous evaluations, project evaluations under the outcome and other relevant documentation
- identify and review relevant background documents, including support and interventions made by other development partners to place UN's support in a bigger context
- make a concerted effort to identify and incorporate to the evaluation framework position statements and policy documents of RGoB which are relevant to this outcome evaluation. These include policies related to renewable energy, environment and biodiversity, climate change and disaster management as well as those more broadly related to technical cooperation/assistance, aid coordination, development assistance, and so forth.

The evaluation process is expected to contribute the following:

- Evaluate the progress towards achievement of the environment and disaster management outcomes;
- Review the relevance and effectiveness of the overall programme interventions vis-à-vis resources invested, with changing country's needs in the area of environment and disaster management;
- Review and assess the programme's partnership with the government bodies, civil society and private sector, international organizations, and bi-lateral donors in programme implementation;
- Review and assess the efficiency of implementation and management arrangements of the programmes under this Outcome, including through the relevant UN – RGoB UNDAF Theme Groups;
- Review sustainability of the achievements made, establishing links to environment and disaster management indicators wherever possible; assess the extent to which successes have been or can be up-scaled or replicated;
- Identify gaps/weaknesses in the current design of interventions under this Outcome and provide recommendations as to their improvement;
- Identify lessons learnt from previous interventions in this area (from 2008-2011) and provide forward looking recommendations to inform programme implementation in 2012 – 2013, as well as the design of new interventions in the formulation of the new UNDAF Action Plan;
- Identify possible future interventions of the programme, including more enhanced cross-sectoral collaborations.

The key outputs expected from this outcome evaluation are comprehensive reports that include:
- Evaluation Inception Report
- An Outcome Evaluation Report that includes:
  - Introduction including the evaluation approach
  - A review of the development challenge facing the UNDAF cycle in 2007
  - The UN's response via outcome5 to the development challenge
  - Analysis of outcome5 in terms of key evaluation criteria including relevance, effectiveness, efficiency, sustainability, impact and cross-cutting themes
  - Conclusions and recommendations

1.3 Evaluation Readiness

Evaluation readiness or evaluability provides an indication on the readiness of a programme for outcome evaluation.

The matrix in Table 1 provides an overview of the evaluability of the UNDAF Outcome 5. It is based on an adaptation of the evaluability checklist from the UNDP PME Handbook

Table 2: Evaluability of Outcome 5

CHECKLIST FOR ASSESSING THE READINESS FOR EVALUATION	YES	NO	ANALYSIS BY CONSULTANT
Does the subject of evaluation have a clearly defined results map?	X		Outcome 5 broken into 4 CT outcomes each with expected outputs (cCPAP)
Is there common understanding as to what initiatives will be subject to evaluation?	X		Evaluation is focussed at the outcome level rather than individual project level.
Is there a well-defined results framework for initiative(s) that are subject to evaluation? Are goals, outcome statements, outputs, inputs and activities clearly defined? Are indicators SMART?	X		M&E Framework Developed
Is there sufficient capacity for the initiative(s) to provide required data for evaluation? **For example, is there baseline data? Is there sufficient data collected from monitoring against a set of targets?** **Are there well-documented progress reports, field visit reports, reviews and previous evaluations?**	X		Some baseline data not verifiable, due to lack of accurate data at start of UNDAF cycle. Annual reports (activity, output & financial progress) available Evaluation reports available for projects over 100KUSD. Mid-term & terminal evaluation reports for major projects available.
Is the planned evaluation still relevant, given the evolving context? **Is there still a demand for evaluation? Is the purpose of the evaluation clearly defined and commonly shared amongst stakeholders?**	X		Evaluation is expected to feed into UNDAF2014-18 & 11th FYP All stakeholders were aware of the purpose of the evaluation.
Will political, social and economic factors allow for an effective conduct and use of evaluation as envisaged?	X		The political situation is stable and conducive. The social and economic factors also allow for an effective conduct of the evaluation and use of evaluation results
Are there sufficient resources (human and financial) allocated to evaluation?	X		National consultant not allocated. UNDP support staff member allocated to coordinate/facilitate meetings and field visits

1.4 Methodology & Approach

Evaluation Criteria

The following documents provided the main reference guidelines to structure the conduct of this outcome evaluation:
- The UNDP,2009, *Handbook on Planning, Monitoring and Evaluating for Development Results* or PME Handbook
- The UNDP, 2011, Outcome-level Evaluation: a Companion Guide to the PME Handbook for Development Results for Programme Units and Evaluators

- Organisational for Economic Cooperation and Development (OECD) Development Assistance Committee (DAC) guidelines

The evaluation assignment applied the following 5 evaluation criteria based on the OECD 'DAC criteria for Evaluating Development Assistance' which are applied by major development agencies including the UN system in the Management for Development Results (MfDR):

- Relevance
- Effectiveness
- Efficiency
- Sustainability
- Impact

The role of partnerships was also examined against each of the 5 major evaluation criteria.

In addition to these 5 evaluation criteria, the evaluation also applied the following cross-cutting criteria required by UNDP evaluations:

- Human development including contribution towards MDGs
- Gender inclusion
- Exclusion sensitivity and rights based approach

The above 8 evaluation criteria will be adopted by the assignment based on the following evaluation framework:

Table 3: Evaluation Criteria

No.	Evaluation Criteria	Adaptation to Assignment
1	**Relevance**	This will focus on the extent to which UNDAF Outcome 5 is consistent with national and local policies and priorities and the needs of the intended beneficiaries
2	**Effectiveness**	This will be a measure of the extent to which the UNDAF Outcome 5 intended results (4 CT outcomes and CT outputs) have been achieved
3	**Efficiency**	This will measure how economically and appropriately resources and inputs (including funds, expertise and time) have been utilised to achieve UNDAF Outcome 5
4	**Sustainability**	This will assess the extent to which sustainability mechanisms for CT outcomes and outputs are in place for UNDAF outcome5 following the completion of the current UNDAF cCPAP (2008-2013)
5	**Impact**	This will measure the direct and indirect benefits that have been accrued by beneficiaries as a result of UNDAF Outcome 5 interventions including achievement of the 4 CT outcomes under Outcome 5
6.1	**Contribution to human development**	This will measure the contributions to the achievement of MDG7 by UNDAF outcome 5 initiatives
6.2	**Gender**	This will assess the extent to which gender mainstreaming mechanisms were put in place by UNDAF outcome 5 initiatives
6.3	**Equity**	This will assess the extent to which mechanisms were put in place by UNDAF outcome5 initiatives to address participation by vulnerable and rights based groups

Based on the above evaluation criteria, a set of **evaluation questions** were designed for each of the evaluation criteria. The generic evaluation questions developed are provided in Annex 2. These were modified for each category of interviewee.

Data collection methods

The data collection methods were determined by:
- the evidence needed to address the evaluation questions designed
- the analyses used to translate the data into meaningful findings in response to the evaluation questions
- judgements about what data are feasible to collect given constraints of time and resources.

According to the PME Handbook UN evaluations draw heavily on data (performance indicators) generated through monitoring during the programme or project implementation cycle. Performance indicators are a simple and reliable means to document changes in development conditions (outcomes), production, or delivery of products and services (outputs) connected to a development initiative. Whilst performance indicators are useful, they do have limitations. Indicators can only indicate, they do not explain or tell a development story. Indicators are unlikely to address the full range of questions the evaluation seeks to address.

This evaluation used a mixture of other date sources, collected via a number of methods, to provide a richer picture to the evaluation and provide meaning to what any existing performance indicators tell about Outcome5. The sources included both primary and secondary data. The data collection methods used by the outcome evaluation is summarised below.

Table 4: Data Collection Methods

	Method	Description	Aim of method
Secondary Data			
1	M&E systems	Review progress measurement against performance indicators. Includes: M&E framework, cCPAP, UNDAF Mid-term Review, CPB Annual Progress Reports, Annual Work Plans (AWPs), Capacity Development (CD) Thematic Evaluation, Country Analysis Report, Outcome evaluations for other UNDAF outcomes, UNDP ROARs	Identify key M&E indicators, assess progress of outputs and outcomes
2	Existing Documentation	Annual reports of Projects, Mid-term & terminal evaluations	Identify progress of projects & implementation issues
Primary Data			
3	Group discussions	Semi-structured discussions with UNCT, CO, UNTG, HACT M&EWG	Obtain common impressions across key implementing groups
4	Stakeholder Interviews	Semi-structured interviews with staff from key implementing partners & UN	Identify stakeholder perspectives & issues Provide answers to evaluation questions & analysis
5	On-site observations	Visit projects/programmes to observe how it operates	Information on implementation realities

Figure 1 below provides a conceptual framework of the development results chain. This conceptual framework was used to guide the conduct of the evaluation, via the 6 evaluation criteria and their relevant evaluation questions.
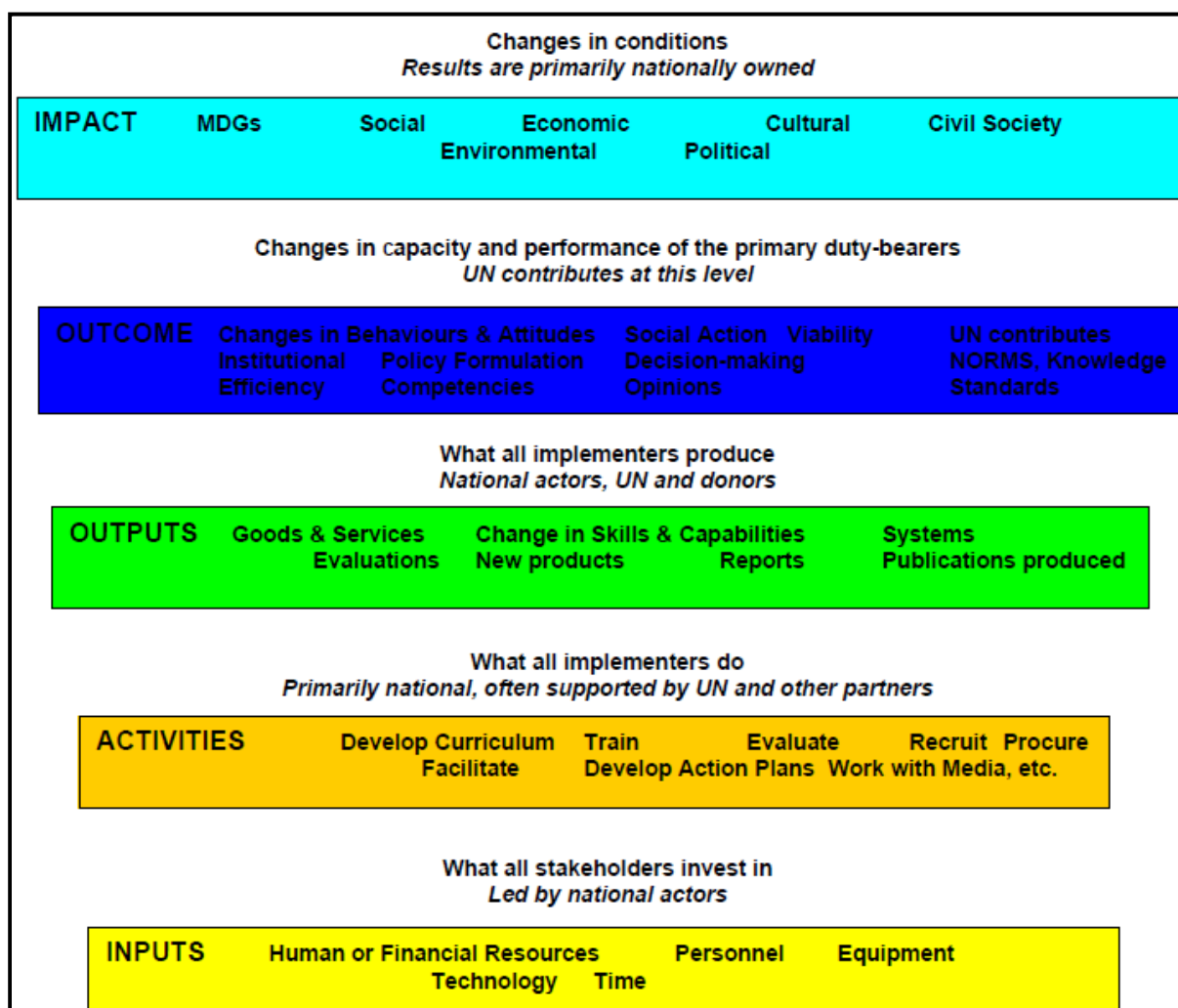
Figure 1: Development Results Chain

Analytical Framework

Based on the evaluation criteria, evaluation questions and data collection methods, an overall evaluation matrix was developed to conceptualise and guide the conduct of the outcome evaluation. The Evaluation Matrix is summarised in annex 3.

The analysis was undertaken by reviewing results from the evaluation questions across the various respondents. The analysis was undertaken across each of the 5 major evaluation criteria and the cross-cutting criteria.

The analysis was enriched through the adaptation of an evaluation tool known as the BCS or Background Conclusion Sheet. The BCS has been developed based on the 5 OECD-DAC evaluation criteria together with cross-cutting issues. Application of the BCS tool for results oriented evaluation and monitoring can improve objectivity, consistency and comprehensiveness of assessments. BCS is the key methodological instrument for Results Oriented Evaluations and Monitoring undertaken for European Union (EU) funded projects. It has seen application in over 5000 monitoring activities of EU funded projects. The advantage of applying the BCS, instead of semi-structured analytical frameworks, is that it enables the performance assessment for each evaluation criteria to be done in terms of key sub-categories with a weighting allocated against each sub-category based on its

importance. This enables the overall performance assessment score for each major evaluation criteria to be done based on a cumulative score of the sub-categories, rather simply grading the criteria on a scale of 1 to 3, as is often the case in outcome evaluations.

The analysis provided in chapter 4 was done using the BCS tool. Feedback on the benefits of applying the BCS tool for the analysis of UNDAF Outcome 5 was obtained from the UNEDMT members at the workshop held to review the draft report on 11th June 2012 and from meetings with UNDP senior management.

Implementation Arrangements

The evaluation team comprised an international consultant with overall responsibility for the evaluation, analysis and preparation of outputs to the UNEDMT. Coordination of activities and facilitation to information was provided by the UNDP Energy, Environment and Disaster Management unit. A UNDP intern facilitated the organisation of meetings, field visits and other logistical arrangements.

The assignment involved a total of 30 working days input from the consultant. The assignment commenced on 9th May 2012.

As per the TOR, an Evaluation Working Group (EWG) was established with relevant members from the UNEDMT to facilitate the process. These include the UNDP Head of Energy, Environment and Disaster Management Unit, Unit staff, staff from UNEDMT and members of the HACT M&E group. The EWG provided coordination support to the Consultant to ensure a participatory evaluation process and stakeholder feedback on the findings.

Assignment Schedule, Meetings and Key Outputs

The main phases of the assignment included:
- Desk Review & mobilisation: review of programme documents and briefing with key UN staff, UNEDMT and HACT M&E group
- 1-1 meetings with stakeholders (implementing partners at national level & donors)
- Field visits including meetings with local government (Dzongkhag level), Gewog officers, community beneficiaries & project sites (Punakha, Wangdue Phrodang & Tsirang)
- Drafting of first draft report
- Presentation/workshop with feedback from UNEDMT, HACT M&E, UN senior management
- Drafting of second draft report
- Feedback from UNEDMT, HACT M&E, UNCT, UNTG and Implementing Partners (IPs)
- Drafting of final draft report
- Submission of final report

Annex 4 provides the schedule of the assignment including the work calendar, key activities, meetings and working day allocation.

The key outputs from the assignment include:
- Inception report
- 1st draft report
- 2nd draft report
- Draft final report
- Final report

Chapter 2: The Development Challenge

2.1 Overview and Historical Trends in Bhutan

Bhutan is a landlocked country situated in the Eastern Himalayas between India and China with a size of 38,394 km[2]. According to 2011 estimates[2] Bhutan had a population of 708,265. Bhutan's development policy of the last 2 decades has been guided by the philosophy of Gross National Happiness (GNH), introduced by the fourth Druk Gyalpo, HM Jigme Singye Wangchuck.

The country is governed through three levels of administration:
* Central Government, which includes 10 ministries, various departments, autonomous bodies, institutions and corporations.
* Dzongkhag, district level, government administrations for 20 districts
* Gewog, or block, administration units numbering 205 in total

An impressive average GDP growth rate of 8.7% per annum from 2005 to 2010[3] has been driven by exploitation of hydropower resources, a strong construction sector and a growing tourism industry. Inflation has remained around 7% over this period. The rapid pace of economic growth and sustained levels of development assistance have enabled the Royal Government of Bhutan (RGoB) to continually increase investments in social sector, resulting in steady increase of Bhutan's Human Development Index (HDI), which stood at 0.522 in 2010[4]. Bhutan's MDGs progress report reveals that Bhutan is on track to meet many targets by 2015, while some areas require enhanced targeting and efforts to succeed.

Bhutan has a long proud history of been strongly committed to conserve its environment and biodiversity. This commitment continues to date. Bhutan is part of the Eastern Himalayas which is considered a global bio diversity hotspot and is one of 234 globally outstanding eco-regions in the world according to the WWF. Although Bhutan's natural heritage is largely intact, it is faced with significant environmental pressures and challenges. Pressures on its environment are already evident and are driven by a range of factors. These include population pressures, agriculture modernisation, hydro-power development, mineral extraction, industrialisation, urbanisation, sewage and waste disposal, tourism, competition for available land, road construction and the need for provision of physical infrastructure associated with social and economic development.

2.2 Challenges of Environment, Energy & Disaster Management Theme in 2007

Natural resources including agriculture, mineral extraction, hydro-power and water provide a substantial and visible contribution to the Bhutanese economy. In 2007 the natural resources sector directly contributed to approximately 41% of Bhutan's total GDP and contributed directly and indirectly to more than 75 percent of Bhutan's employment.[5]

Although Bhutan contributes relatively little to climate change and global warming, it faces potentially significant impacts from the process of climate change and natural disasters. Bhutan has 677 glaciers and 2674 glacial lakes. Glaciers in Bhutan are retreating rapidly by 8-10m/year for debris free glaciers and 30-40m/ year for debris covered glaciers. Due to the rapid melting 25 glacial lakes are considered potentially dangerous with the threat of glacial lake outburst floods (GLOFs). Based on rates of glacial retreat, temperature trends in the area and trends in GLOF in the region, threats from GLOF are expected to increase in the future.

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[2] Bhutan at a Glance 2011, National Statistics Bureau, RGoB, December 2011
[3] Round Table Meeting Background Document, RGoB, June 2011
[4] International Human Development Indicators, http://hdrstats.UN.org/en/countries/profiles/BTN.html
[5] Statistical Year Book 2011.

Bhutan is also vulnerable to earthquakes due its geophysical location. According to the Global Seismic Hazard Assessment Program (GSHAP), Bhutan lies in a region with high to very high seismic hazard potential particularly in the eastern part of the country. In the past decade Bhutan has experience some destruction to life and property due to earthquake's in the region.

There were numerous factors that made environmental sustainability challenging in Bhutan. Given the rapid pace of development and modernization in the country, increasing pressures on natural resources can compromise their sustainable use. On the other hand, the opening of global and regional markets to the harnessing of the country's hydro-power potential provides opportunities for foreign exchange income generation and enhancement of living conditions that could eradicate rural poverty.

Enhancing rural accessibility primarily through road access is an important consideration. Due to the mountainous terrain of Bhutan, road construction activities can have serious environmental consequences. Major challenges in 2007 were to effectively adopt environment friendly road construction (EFRC) methods. While this could add extra costs to the already high investments required to road construction in Bhutan, they will ultimately prove to be more cost-effective in the long run through sustainable use of resources. Other rural environment concerns pertain to over grazing by livestock, inefficient use of forest resources, high levels of fuel wood consumption and the loss of prime agricultural lands to urbanization and development.

While the air and water quality in the country is still relatively good, emerging problems of air pollution in and around industrial sites and deteriorating water quality near urban centres is a concern. Similarly, the effective management of solid waste disposal in urban areas is proving to be a major challenge due to the acute shortage of landfill sites and inadequate solid waste management systems.

In the face of major challenges, Bhutan also has limited human capacity and expertise to manage and implement sustainable environment development. Environmental awareness, education and sound practices within Bhutanese society are still limited. Bhutan's vulnerability to extreme risks from natural hazards requires concerted efforts in building capacity for response and preparedness as well as strengthening partnership between the RGoB and UN and other development partners in disaster risk mitigation. In addition, there is a need to address longer-term disaster risk reduction through implementation of the National Disaster Risk Management Framework (NDRMF) and strengthening key institutions in the country.

Strengthened technical capacity and resources are urgently needed to adapt to and mitigate the potentially severe impacts of climate change and to deal with other frequent natural disasters, including the setting up of effective early warning systems.

2.3 Status at start of cCPAP 2008-2013

The Government recognizes the United Nations as a key partner in the area of energy, environment and disaster management.

Basic capacities of national institutes for ensuring sustainable livelihoods through environmental stewardship were enhanced through formulation of a National Plan of Action for Global Environmental Management. Further, development of Biodiversity Action Plans, formulation and implementation of Integrated Conservation and Development Programme (ICDP) guidelines, and enhancement of nature and eco-tourism have contributed toward strengthening the strategic framework for biodiversity conservation, informing national strategies and highlighting experiences in an inclusive conservation approach. Preparation of national plans such as the first national communication to the UNFCC and the National Adaptation Programme of Action (NAPA) has generated awareness and facilitated Bhutan's participation in Multilateral Environment Agreements (MEA) including the United Nations Framework Convention for Climate Change (UNFCCC), the UN Convention on Biological Diversity and the UN Convention to Combat Desertification.

To achieve the national objective of proactively dealing with disasters, an integrated and holistic approach to disaster management is being established at the national and sub-national levels through

implementation of the National Disaster Risk Management Framework (NDRMF). In operationalizing the NDRMF, Disaster Management Plans and Earthquake Risk Reduction Strategies have been developed to enhance the national capacity to mitigate and cope with disasters.

2.4 Institutional Arrangements

The UNDAF/cCPAP was a new mechanism introduced in 2007, by the United Nations to operationalize the vision of 'Delivering as One' (DaO) in Bhutan. Increased national ownership and enhanced national capacity development efforts, through maximum use of national mechanisms, are also integral to the Delivering as One strategy. The Government, as the main partner of the United Nations played a lead role in coordinating development partners, both bilateral and multilateral, and their assistance to the country.

The UNDAF/cCPAP planning process coincided with the drafting of the 10th FYP and the two processes were mutually reinforcing. The following organizational structure was put in place to ensure an effective and efficient implementation of the UNDAF/cCPAP.
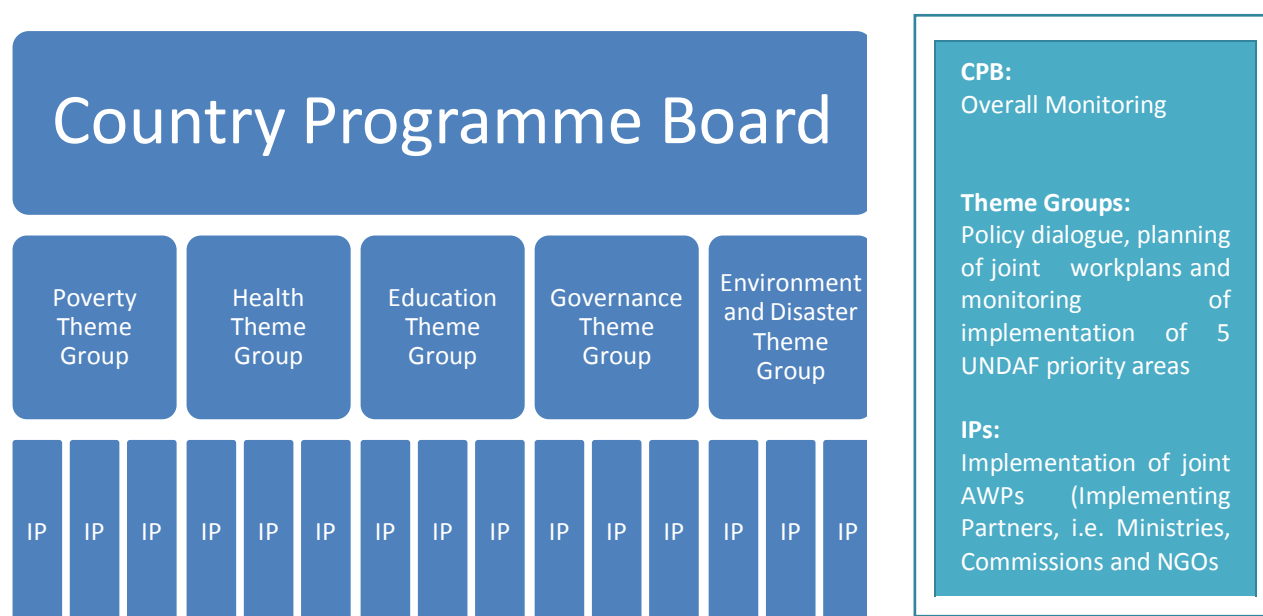

Figure 2: Framework for implementation and monitoring of the UNDAF and cCPAP[6].

As the operational plan of the UNDAF, covering programmes and activities supported by ExCom and Participating United Nations Agencies in Bhutan, cCPAP was implemented and monitored under the overall supervision and guidance of a joint Government-United Nations Country Programme Board (CPB). The CPB has the overall responsibility for the UNDAF/cCPAP implementation and monitoring. The CPB in this capacity supervises, guides the theme groups and annually assesses the progress. The CPB consists of representatives from Government and UN agencies and is co-chaired by the Secretary GNH Commission and the UN Resident Coordinator. Board members comprise senior officials of key implementing partners and United Nations Country Team members.

The five cCPAP/UNDAF Theme Groups pertaining to each development outcome (including environment and disaster management) were set-up to coordinate UN-RGoB system efforts to monitor the cCPAP/UNDAF. The UNEDMT is the theme group responsible for coordinating outcome 5. The theme groups are responsible for monitoring and evaluating the implementation of the cCPAP through Annual Work Plans (AWPs) with implementing partners, and for ensuring that the UN support

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[6] Report Country Programme Board meeting (2009) of UNDAF/cCPAP, Co-chaired by the Royal Government of Bhutan and the UN system in Bhutan, 2009.

is timely and addresses the actual need of the government to develop and implement government policies in line with the cCPAP and the RGoB's 10th Five Year Plan. AWPs detail activities to be carried out, the responsible implementing agencies, timeframes and planned inputs from Government and relevant United Nations Agencies. AWPs are jointly planned and reviewed by the Government and relevant United Nations Agencies in the last quarter of each year. The AWPs are the basis for Government to plan and request disbursements, supplies or services from UN Agencies.

Within the cCPAP signatories, UNFPA, UNDP, UNICEF and WFP are the United Nations ExCom Agencies that are the legal parties to this cCPAP. Participating Agencies of cCPAP include FAO, IFAD, OCHA, UNAIDS, UNCDF, UNCTAD, UNEP, UNESCO, UNIFEM, UNV, and WHO, all of which will support and collaborate with the ExCom Agencies and the Government in implementing their assistance programmes as outlined in the cCPAP

The key partners in the sector include those from the UN system, RGoB (national and local government), NGOs and donors. Partners for UNDAF outcome 5 from the UN system include (the list is not exhaustive):

UN Resident Agencies:
- UNDP (ExCom)
- UNICEF (ExCom)
- WFP (ExCom)
- UNFPA (ExCom)
- FAO
- WHO

UN Non Resident Agencies:
- UNEP
- UNOCHA
- UNISDR
- UNESCAP
- UNESCO
- UN HABITAT

Royal Government of Bhutan:
- Gross National Happiness Commission (GNHC) – CPB co chair and coordinator for RGoB

Implementing Partners:
- National Environment Commission (NEC)
- Royal Audit Authority

Ministry of Home & Cultural Affairs (MoHCA) which includes:
- Department of Disaster Management (DDM)

Ministry of Economic Affairs (MoEA):
- Department of Renewable Energy
- Department of Hydromet Services (DHMS)
- Department of Geology and Mines

Ministry of Agriculture & Forestry (MoAF):
- National Biodiversity Centre
- National Soils Service Center
- Department of Forestry:
  - Watershed Management Division
  - Wildlife Conservation Division

Ministry of Education (MoE)
Ministry of Works & Human Settlements (MoWHS)
Ministry of Health (MoH)

Local Government:
- Thimphu Thromde
- Dzonkhag (District) administrations

NGOS
- Royal Society for Protection of Nature (RSPN)
- World Wildlife Fund (WWF)
- Save the Children
- Tarayana Foundation

Development Partners:
- Asian Development Bank (ADB)
- Austrian Development Cooperation (ADA)
- AusAid
- Japan International Cooperation Agency (JICA)
- European Union (EU)
- Global Environment Facility (GEF)
- Helvetas
- ICIMOD
- IFRC
- Representation Office of Denmark
- Netherlands Development Organization (SNV)
- World Bank

Chapter 3: UN Response to Development Challenge

3.1 Outcome 5 Model

The United Nations Development Assistance Framework (UNDAF 2008-2012) and the common Country Program Action Plan (cCPAP 2008-2012 which has been extended till 2013) provide the framework for cooperation between the UN agencies operating in Bhutan and the RGoB for the period 2008-2013. This framework of cooperation has a focus on supporting the attainment of the Millennium Development Goals (MDGs) and the national development plan of the RGoB: currently the 10th 5 year plan. The UNDAF framework focuses on 5 major outcomes:

1. By 2012, opportunities for generation of income and employment increased in targeted poor areas (MDG1, 8)
2. By 2012, increased access and utilization of quality health services with emphasis on reproductive health, maternal and child health and nutrition, HIV/AIDS, TB, malaria and other non-communicable disease (MDG 4, 5, 6).
3. By 2012, access to quality education for all with gender equality and special focus on the hard-to-reach population improved (MDG 2,3)
4. By 2012, institutional capacity and people's participation strengthened to ensure good governance.
5. By 2012 national capacity for environmental sustainability and disaster management to be strengthened (MDG 7)

In order to achieve outcome 5, 4 Country Theme (CT) outcomes were envisaged. These anticipated CT outcomes and CT outputs form the outcome 5 Model.

Table 5: Outcome 5 Model

The expected UNDAF outcome 5 is By 2012, national capacity for environmental sustainability and disaster management strengthened (MDG 7)	
CT OUTCOMES	**CT OUPUTS**
CT outcome 1 National capacity to mainstream environmental concerns into policies, plans and programs enhanced.	1.1 Capacity of national and local agencies to mainstream environmental concerns into their policies and plans strengthened. 1.2 Environment mainstreaming tools strengthened 1.3 National and local institutional capacities for development, implementation, monitoring and evaluation of guidelines, rules and regulations for environmental mainstreaming enhanced 1.4 National capacity to implement and report on international environmental conventions and agreements strengthened.
CT Outcome 2 National capacity for disaster and risk management strengthened	2.1 Capacity of national focal agency & other stakeholders to implement disaster management framework strengthened 2.2 National and local capacity for disaster preparedness and response systems to prevent, mitigate and cope with disasters/climate change strengthened 2.3 Disaster/climate risk reduction mainstreamed into national policies and plans.
CT Outcome 3 Access to sustainable energy and livelihoods for remote Gewogs improved	3.1 Capacity of relevant agencies and communities to implement Renewable Energy Program improved 3.2 Effective and affordable renewable/alternative energy technologies for remote Gewogs supported.
CT Outcome 4 Conservation of bio-diversity and ecosystems enhanced	4.1 National capacity to operationalize new protected areas and biological corridors. 4.2 Conservation of biodiversity strengthened

3.2 UNDAF Outcome 5 Results frameworks

The UNDAF outcome 5 results framework is summarised below in table 6 at Outcome and CT outcome level. The detailed framework is provided in annex 5.

Table 6: Outcome5 Results Framework

	Results	Indicator	Baseline	Target (cumulative) Year 5	MoV/ Frequency
5	**UNDAF outcome 5:** *By 2012, national capacity for environmental sustainability and disaster management strengthened (MDG 7)*	National policies and plans incorporating environment/ disaster/ climate concerns	National policies and plans do not adequately address environment/disaster and climate change concerns.	11th FYP Incorporates environment, disaster and climate change concerns	11 FYP document
		Disaster management framework in place.	Not available	Disaster Management framework operationalized	Framework document and institutional mechanisms in place
		Number of remote households with access to renewable energy	4341 (2007)	8000 households	Energy data directory
		CO_2 emissions, total, per capita	1540.9 Gg CO_2 equivalent (2000) total, 2.4 tonnes CO_2 equivalent per capita	Carbon Neutral	GHG Inventory report
		Proportion of land area covered by forest	72.5 %	Maintain at least 60%	Bhutan Environment Outlook and National Forest Inventory
5.1	**CT outcome 1:** *National capacity to address current environmental challenges and mainstream environmental concerns into policies, plans and programs enhanced.*	Number of national and sectoral guidelines and tools developed for mainstreaming environmental concerns into policies and plans	EA Sectoral guidelines exists (2000)		
		Proportion of public expenditure in environment sector	--- (2009)		
5.2	**CT Outcome 2:** *National capacity for disaster risk management strengthened.*	Disaster Risk Management Framework in place	Not available	Disaster Risk Management framework operationalized	Framework document and institutional mechanisms in place
5.3	**CT Outcome 3:** *Access to sustainable energy and livelihoods for*	Detailed regulatory Renewable Energy (RE) framework supporting dissemination of RE technologies	Draft RE policy	RE policy and detailed regulatory framework in place	Energy Data Directory RE Policy

	Results	Indicator	Baseline	Target (cumulative) Year 5	MoV/ Frequency
	remote gewogs improved	Number of households in remote gewogs using renewable energy with increased income generation opportunities	4341 households	8000 households	Energy Data Directory
5.4	*CT Outcome 4: Conservation of bio-diversity and ecosystems enhanced*	Proportion of land area covered by forest and PAs.	72.5%/51%	Maintain at least 60 %	

3.3 List of Key Outcome Activities

The outcome was implemented via a portfolio of over 44 projects managed via between 4 to 5 Annual Work Programmes (AWPs) with numerous implementing partners each year. The projects under each of the 4 CT outcomes are summarised below.

CT Outcome 1

1. Poverty Environment Initiative Phase II/(Joint Support Programme) 07/2008-2012, US$ 1,247,975
2. Environment Mainstreaming Project – 2008 – US$ 351,765
3. Second National Communication 06/2007-12/2011, US$ 405,000
4. National Capacity Self Assessment 06/2008- 12/2011 US$ 500,000
5. PPP-Integrated Solid Waste Management 01/2010- 12/2012 US$ 150,000
6. Terminal Phase out Management Programme (Montreal Protocol) 2008 – US$ 35,000
7. Support to Environmental Education 05/2007-12/2012 US$ 208,000
8. NAPA stocktaking 2011-2012 US$ 11,500
9. National Environment Strategy update 2012-2013, US$ 150,000
10. Low Emission Capacity Building, 2012, US$ 32,100
11. National Rio+20 Preparation, US$ 25,800
12. Support to Royal Audit Authority on drafting Environmental Audit Guidelines, 2012, US$ 8,750
13. National Human Development Report on Climate Change, 2011 (US$ 19,000 through Poverty and MDGs Portfolio)
14. Policy Support to RGoB from UNEP, 2010 – US$ 130,000
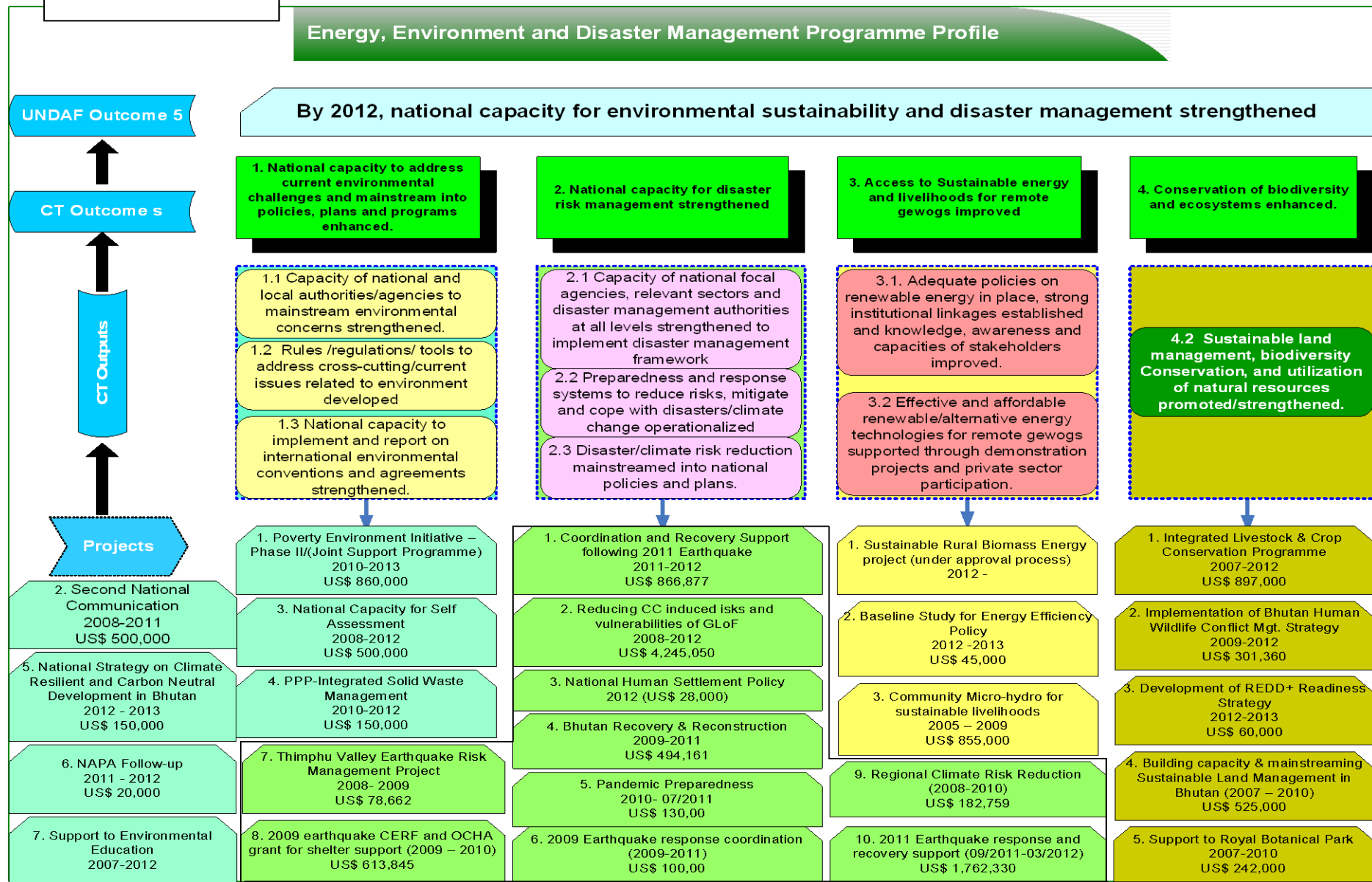15. HCFC Phase out Management Programme, 2012-13, US$ 118,000

CT Outcome 2

1. Bhutan Recovery & Reconstruction 2009-2011 US$ 494,161
2. Reducing CC induced Risks and Vulnerabilities of GLOF - 04/2008- 6/2013 US$ 4,245,050
3. Pandemic Preparedness Project 08/2010 - 07/2011 US$ 130,000
4. Earthquake Risk Reduction and Recovery Project - 11/2007-07/2010 US$ 503,000
5. Thimphu Valley Earthquake Risk Management Project 2008-2009 – US$ 78,662
6. Education in Emergencies/Safe Schools Initiative, with UNICEF, ADB and Save the Children, 2007-2012
7. 2009 Earthquake Response Coordination - 2009-2011, US$ 100,000
8. 2009 Earthquake CERF and OCHA grant for shelter support 10/2009- 06/2010 US$ 613,845
9. 2009 Reconstruction of schools buildings and Water and Sanitation facilities in the 6 eastern Districts affected by the earthquake, funded by AusAid, US$ 1,140,000
10. Regional Climate Risk Reduction Project 2008-2010, US$ 182,759
11. 2011 Windstorm Response support, 04-08/2011, US$ 50,000
12. 2011 Earthquake Response and Recovery support (shelter, education, non-food items), 09/2011 – 03/2012, US$ 1,762,330
13. 2011 Earthquake Response Coordination, US$ 75,000
14. 2010 Bumthang Fire Recovery assistance, 10/2010 US$ 82,000
15. International Conference for Disaster Management & Cultural Heritage, 06-12/2010, US$ 34,500
16. National Human Settlements Policy, 2012, US$ 28,000
17. Bhutan Disaster Assessment Tool, 2010-2012, US$ 80,000
18. 2011 Earthquake Recovery Support for Building Back Better USD 50,000

CT Outcome 3

1. Sustainable Rural Biomass Energy project – PPG 2010 US$ 93,00
2. Community Micro-hydro for Sustainable Livelihoods 06/2005 – 12/2009 US$ 855,000
3. Baseline Study for Energy Efficiency policy, 2012, US$ 45,000

CT Outcome 4

1. Support to Formulation of Biodiversity Action Plan, 2008 – US$ 24,640
2. Linking and Enhancing Protected Areas in Bhutan, 2008-2009 – US$ 8,000
3. Integrated Livestock & Crop Conservation Programme 07/2007- 06/2012 US$ 897,485
4. Building Capacity & Mainstreaming Sustainable Land Management 01/2007-12/2010 US$ 525,000
5. Implementation of Bhutan Human Wildlife Conflict Mgt. Strategy 01/2009- 12/2011 US$ 301,360
6. Promoting Ecotourism and Nature Education in Royal Botanical Park, 2008 – 2009 – US$ 92,000
7. Bhutan Climate Summit 2011 US$ 201,900
8. REDD+ Readiness, 2012, US$ 50,000

Figure 3: UNDAF 5 Programme Profile

Energy, Environment and Disaster Management Programme Profile

UNDAF Outcome 5

By 2012, national capacity for environmental sustainability and disaster management strengthened

CT Outcomes

1. National capacity to address current environmental challenges and mainstream into policies, plans and programs enhanced.

2. National capacity for disaster risk management strengthened

3. Access to Sustainable energy and livelihoods for remote gewogs improved

4. Conservation of biodiversity and ecosystems enhanced.

CT Outputs

1.1 Capacity of national and local authorities/agencies to mainstream environmental concerns strengthened.

1.2 Rules /regulations/ tools to address cross-cutting/current issues related to environment developed

1.3 National capacity to implement and report on international environmental conventions and agreements strengthened.

2.1 Capacity of national focal agencies, relevant sectors and disaster management authorities at all levels strengthened to implement disaster management framework

2.2 Preparedness and response systems to reduce risks, mitigate and cope with disasters/climate change operationalized

2.3 Disaster/climate risk reduction mainstreamed into national policies and plans.

3.1. Adequate policies on renewable energy in place, strong institutional linkages established and knowledge, awareness and capacities of stakeholders improved.

3.2 Effective and affordable renewable/alternative energy technologies for remote gewogs supported through demonstration projects and private sector participation.

4.2 Sustainable land management, biodiversity Conservation, and utilization of natural resources promoted/strengthened.

Projects

1. Poverty Environment Initiative – Phase II/(Joint Support Programme) 2010-2013 US$ 860,000

2. Second National Communication 2008–2011 US$ 500,000

5. National Strategy on Climate Resilient and Carbon Neutral Development in Bhutan 2012 - 2013 US$ 150,000

6. NAPA Follow-up 2011 - 2012 US$ 20,000

7. Support to Environmental Education 2007-2012

3. National Capacity for Self Assessment 2008-2012 US$ 500,000

4. PPP-Integrated Solid Waste Management 2010-2012 US$ 150,000

7. Thimphu Valley Earthquake Risk Management Project 2008- 2009 US$ 78,662

8. 2009 earthquake CERF and OCHA grant for shelter support (2009 – 2010) US$ 613,845

1. Coordination and Recovery Support following 2011 Earthquake 2011-2012 US$ 866,877

2. Reducing CC induced isks and vulnerabilities of GLoF 2008-2012 US$ 4,245,050

3. National Human Settlement Policy 2012 (US$ 28,000)

4. Bhutan Recovery & Reconstruction 2009-2011 US$ 494,161

5. Pandemic Preparedness 2010- 07/2011 US$ 130,00

6. 2009 Earthquake response coordination (2009-2011) US$ 100,00

1. Sustainable Rural Biomass Energy project (under approval process) 2012 -

2. Baseline Study for Energy Efficiency Policy 2012 -2013 US$ 45,000

3. Community Micro-hydro for sustainable livelihoods 2005 – 2009 US$ 855,000

9. Regional Climate Risk Reduction (2008-2010) US$ 182,759

10. 2011 Earthquake response and recovery support (09/2011-03/2012) US$ 1,762,330

1. Integrated Livestock & Crop Conservation Programme 2007-2012 US$ 897,000

2. Implementation of Bhutan Human Wildlife Conflict Mgt. Strategy 2009-2012 US$ 301,360

3. Development of REDD+ Readiness Strategy 2012-2013 US$ 60,000

4. Building capacity & mainstreaming Sustainable Land Management in Bhutan (2007 – 2010) US$ 525,000

5. Support to Royal Botanical Park 2007-2010 US$ 242,000

Chapter 4: Contribution to Results

4.1 Analysis of Relevance

Relevance focuses on the extent to which a development programme and its intended outcome, CT outcomes and outputs are consistent with national policies and priorities and the needs of the intended beneficiaries[7].

An assessment of relevance for an outcome reviews the gap between the perception of what is needed, as envisioned by the planners of the outcome, and the reality of what is needed from the perspective of intended beneficiaries.

Analyses of relevance for development programmes include a number of sub-categories. They incorporate the concept of responsiveness—that is, the extent to which the UN system was able to respond to changing and emerging development priorities and needs in a responsive manner. Another essential sub-category is the criteria of **appropriateness**, which concerns the cultural acceptance as well as feasibility of the activities or method of delivery of a development initiative. While relevance examines the importance of the initiative relative to the needs and priorities of intended beneficiaries, appropriateness examines whether the initiative as it is operationalized is acceptable and is feasible within the local context. For example, an initiative may be relevant in that it addresses a need that intended beneficiaries perceive to be important, but inappropriate because it is not sustainable within the local context.

The analysis of relevance for UNDAF outcome 5 covers a number of sub-categories, to enrich the analysis in line with best practices of the OECD DAC criteria for evaluating Development Assistance and the BCS evaluation tool. The analysis is based on these practices linking the analytical framework to the evaluation matrix. The sub-categories are described below, each with specific weighting which contribute to the overall assessment of relevance for the outcome.

- What is the extent of relevance of the programme to national needs and priorities? (30% weighting)
    - The extent to which the outcome design is relevant to national policy & priorities
    - The extent to which the anticipated CT outcomes are consistent with human development needs (including MDGs) and specific development challenges of Bhutan?
- Is the intervention logic (including activity design) holding true and consistent? (30% weighting)
    - The extent to which a cohesive and consistent intervention logic is in place, clearly and logically linking the Outcome5, CT Outcomes, outputs and activities (Projects)?
    - Were the activities, outputs and CT outcomes planned appropriately (to the country context)
    - Are suitable indicators available?
- Is the current design sufficiently supported by all stakeholders? (30% weighting)
    - The extent of stakeholder involvement in the design phase of CT outcomes, outputs and specific activities (projects)
    - Are coordination, management and financing arrangements clearly defined and do they support institutional strengthening and local ownership?
    - Were the timescale and/or range of activities realistic with regard to the stakeholders' capacities?
- Did the design sufficiently take cross-cutting issues into account? (10% weighting)

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[7] Handbook on PME, UNDP, 2009

		PERFORMANCE CONCLUSION					
1.1 What is the level of relevance of the programme to national needs and priorities?		⊙ **a**	○ **b**	○ **c**	○ **d**	**Weighting**	**30%**
Is the Outcome and CT Outcomes consistent with, and supportive of Partner Government policies?		Outcome 5 was formulated in line with the RGoB's key policy instruments including the "Bhutan 2020: A Vision for Peace, Prosperity and Happiness " and the philosophy of GNH (Gross National Happiness). More particularly the outcome was formulated in line with the 10th Five Year Plan of the RGoB, contributing to MDG 7 goals. The framework for the 10th FYP consisted of 6 strategic priorities. Outcome 5 contributed to themes in the National Spatial Planning strategic priority and the Integrated Rural - Urban Development and Poverty Alleviation (IRUDPA) priority.					
Are the anticipated CT outcomes consistent with human development needs (including MDGs) and specific development challenges in the country?		CT outcome 1 was directly in line with NEC's programme NEC/01 (conservation of environment). CT outcome 2 contributed to disaster management and specifically supported MoEA's programme MEA/18 (Assessment and Monitoring of Climate Change Induced and Geological Hazards), which involved numerous stakeholders. CT outcome 3 supported MoEA's programme MEA/12 (Development of Renewable Energy). CT Outcome 4 supported MoA's MoA/07 (Organic/Natural Agriculture), MoA/09 (Integrated Soil Fertility & Sustainable Land Management), MoA/29 (National Biodiversity Conservation Programme) and MoA/23 (Nature Conservation). All 4 CT outcomes responded to key development challenges in 2007 related to environmental sustainability and disaster management. One notable exception was the lack of initiatives targeting water/watershed management, which is an area the UN does not have comparative advantages.					
Does outcome 5 and the 4 CT outcomes still respond to the needs of the target groups?		The outcome and 4 CT outcomes continue to respond to needs of target groups through relevant AWPs of the implementing partners.					

Legend: a = very good; b = good; c = problems; d = serious deficiencies.

		PERFORMANCE CONCLUSION					
1.2 Is the intervention logic holding true and consistent?		○	◉	○	○	**Weighting**	**30%**
		a	**b**	**c**	**d**		
Does a results matrix or similar tool exist? If yes, what is its present quality (does it clearly show how activities will achieve outputs and CT Outcomes)? If not, why not?		A Results and Resources Framework was developed for the outcome as part of the cCPAP process in 2007. This shows the interrelation between the outcome, the 4 CT outcomes, specific outputs for each CT outcome, output targets/indicators, list of implementing partners and indicative resources. This was supplemented by an M&E framework developed between 2010-2011 which provided more specific annual output targets. Both frameworks lack information on outcome oriented targets, SMART indicators and specific role analysis for the implementing partners.					
Are the Outcome, CT Outcomes, outputs and activities (Projects) clear and logical, and do they address clearly identified needs?		There is a lack of a Results Based Management (RBM) logic linking target group needs, CT outcomes, outcome oriented targets, clear baseline data, SMART indicators, outputs and specific role analysis of IPs.					
Is the outcome 5 and the CT Outcomes achievable within the current UNDAF cycle? Are there suitable and informative indicators? Are they Specific, Measurable, Achievable, Realistic and Time-bound (SMART)?		Outcome 5 and its CT outcomes appear well on track to meet the relevant output targets with the exception of specific outputs relating to HWC, EFRC and ECP (CT outcome 1). Indicators are output oriented as opposed to outcome oriented. SMART measurable indicators are lacking which link CT outcomes, outputs, activities and target group needs with implementing partner roles. Baseline data is lacking to adequately measure improvements					
Are the activities, outputs and CT outcomes planned appropriately (to the country context) to achieve the Outcome5?		Activities and outputs are driven by implementing partner needs, in line with cCPAP and CT Outcomes. A programming approach driven by principles of Human Rights Based Approaches (HRBA) and Gender equality with CD (capacity development) and RBM as enablers is recommended for the next cycle (See recommendation section)					
Are the risks and assumptions holding true? *Are risk management arrangements in place? Is sustainability an integral part of the design of projects i.e. is there a phase out/hand over strategy for projects?*		The main source of risk is high turnover of government officials in certain areas. UNEDMT and IPs have produced admirable outputs based on available resources. Involvement of private sector and Non-State Actors (NSAs) including NGOs and CSOs can alleviate capacity constraints. Projects have good sustainability mechanisms in place (operational, financial and procedural).					

Legend: a = very good; b = good; c = problems; d = serious deficiencies.

		PERFORMANCE CONCLUSION					
1.3 Was the Outcome design sufficiently supported by all stakeholders?		⦿ **a**	○ **b**	○ **c**	○ **d**	**Weighting**	**30%**
Have key stakeholders been involved in the design process?		The design of the outcome was done via the UNDAF (2008-2013) and cCPAP process. Key agencies were consulted in design of the Outcome and CT outcomes. Outputs and activities were strongly driven by implementing partner needs aligned with the CT outcomes					
Are coordination, management and financing arrangements clearly defined and do they support institutional strengthening and local ownership?		Coordination, management and financing arrangements are well defined. Implementation and monitoring is done by CPB, co-chaired by government (GNHC). cCPAP implementation is via AWPs of IPs. 18 month AWP in place to ensure better synchronisation of activities between government fiscal year (July-June) and UN calendar year (Jan-Dec). Fund transfer from all donors (for outcome5) centrally managed by UN and GNHC via HACT to reduce operating procedures and simplify transactions/reporting. Progress (physical/ financial) reviewed quarterly. There is limited coordination between the various implementing partners and UN agencies involved under this outcome.					
Is the sustainability strategy (handing over strategy to partners) fully understood by the partners?		Sustainability understood by IPs at national/district level. IPs have structured/semi-structured exit strategies in place.					
Are the relevant CT outcomes and outputs clearly understood by the implementing partners? *Is the timescale and/or range of activities realistic with regard to the stakeholders' capacities?*		IPs understand desired outputs from activities (projects) they are implementing. IPs tend to be activity focussed. GNHC is aware of intervention logic. Capacity development support for UNEDMT and IPs to adopt a cohesive RBM approach is recommended with emphasis on outcome oriented results. . Yes, despite external challenges (natural disasters, elections, events of national importance)					
If applicable: How well were designs adapted to make them relevant to any changing needs?		Project design driven by IP needs. Good use of available financing resources. Certain projects/initiatives implemented in response to emergency needs (natural disasters). These are integrated with long term and regular development goals including approach of "building back better"					

Legend: a = very good; b = good; c = problems; d = serious deficiencies.

		PERFORMANCE CONCLUSION					
1.4 Did the design sufficiently take cross-cutting issues into account?		○ **a**	● **b**	○ **c**	○ **d**	**Weighting**	**10%**
Have the relevant cross-cutting issues (gender, social inclusion and donor coordination) been adequately incorporated in the programme design?		Significant efforts have been put in place by UNEDMT to coordinate programming and implementation by donors, implementing partners (government and NGOs) and UN agencies including inter-ministerial efforts. These include the annual RTM (Round Table Meeting), quarterly and annual CPB review meetings, monthly UNEDMT meetings and HACT process. Many projects lack approaches to mainstream gender equality and human rights (HRBA). UNDP projects have a gender marker. UN system reports provide gender disaggregated data. Most IPs do not have gender disaggregated reporting nor gender differentiated data. Information needs to be packaged accordingly and target group capacities built to enable information assimilation and clearer engagement by different disadvantaged groups. Greater use of information networks including Community Information Centres (CICs) developed under outcome1 can be used to provide access to and disseminate information to target groups.					

Legend: a = very good; b = good; c = problems; d = serious deficiencies.

Legend: a = very good (score of 3.51 or more); b = good (2.51-3.51); c = problems (2.51 -1.51) ; d = serious deficiencies (Less than 1.51)	Overall Conclusion For Relevance (out of 4):	3.30	**b**

Relevance: Key lessons learned

Strengths

1. Outcome is aligned with key priorities in RGoB's 10th five year plan including National Spatial Planning strategic priority and the Integrated Rural - Urban Development and Poverty Alleviation (IRUDPA) priority.
2. Strong alignment between CT outcomes and priority programmes of key implementing partners (NEC, MoEA and MoAF)
3. Strong consultative process in design of activities (projects) with involvement of implementing partners and beneficiaries at national, district and gewog level.
4. UN is pro-active in creating awareness amongst potential implementing partners on funding opportunities for specific projects and guides the formulation process.
5. Good coordination, management and financial disbursement arrangements which promote ownership of project activities and outputs.
6. Donor coordination mechanisms in place including monthly donor luncheons, RTM, HACT, cCPAP and CPB.

Weaknesses

7. Programme framework needs strengthening to clearly link Outcome, CT outcomes, outputs, activities, implementing partner roles and target group needs.
8. Specific M&E capacitating should be undertaken to strengthen the M&E process across all stakeholders (UN and IPs)
9. Indicators (particularly at CT outcome level) are output oriented and should focus on results achieved amongst target group including positive impact and behavioural changes
10. Annual targets and reporting are in terms of activities completed and outputs rather than outcomes/impact
11. Outcome lacks a rights based approach, such as involvement of different disadvantaged groups in planning and management of activities (as implementing partners) besides being beneficiaries.
12. Diverse needs of different disadvantaged groups have not been taken into account
13. Information sharing needs to be strengthened to reach grass roots levels including disadvantaged groups
14. Information needs to be packaged to and target group capacities built to enable clearer engagement by different disadvantaged groups

Partnerships

15. Relevant and strategic partnerships have been developed to coordinate implementation of outcome (GNHC), with key policy agencies (NEC, DDM, DGM, NBC, DRE) and key government implementing partners at both national and district level.
16. Key partnerships established with major international development partners including ADB, Austrian cooperation office AusAid, EU, GEF, and World Bank
17. Successful partnerships have also been forged at community level via village and farmer groups (e.g. ILCCP, GLOF, Sengor RE)
18. Partnerships with some CSOs formed (e.g. RSPN) which need to be extended to involve other CSOs, NGOs and private sector organisations such as industry associations
19. Limited coordination between the various implementing partners and UN agencies involved under this outcome.
20. Lack of partnerships with private sector
21. Greater synergies need to be explored between activities of other Outcomes, such as UNDAF Outcome3 (education) which have environment and disaster management components, some of which are not linked to Outcome5

Success Story
Reducing Climate Change induced risks and vulnerabilities from Glacial Lake Outburst Floods (GLOFs) in the Punakha-Wangdi and Chamkhar valleys

The risk from Glacial Lake Outburst Flooding (GLOF) is well documented in this report. In direct response to this risk this project was formulated by UN with implementing partners including the Department of Geology and Mines, Department of Disaster Management, Department of Energy, the Gross National Happiness Commission, Dzongkhag (district) administrations. The project was amongst the first to obtain funding from the GEF Least Developed Countries Fund (LDCF) and was also supported by Austrian Development Cooperation and WWF. The project objectives were to reduce climate change-induced GLOF risks in the vulnerable Punakha-Wangdi and Chamkhar Valleys and to enhance adaptive capacity.

Key project Results include:
- Formulation of a Disaster Management Bill (DM Bill) for Bhutan which is waiting for ratification by the Parliament.
- GLOF hazard zoning including identification of high-risk zone and evacuation sites in the Punakha-Wangdi and Chamkhar valleys.
- A government circular for GLOF-resilient land use planning, based on the GLOF hazard zoning, disseminated amongst local authorities of Punakha, Wangdi and Bumthang. This represents a significant policy-level outcome of the project, as it restricts new construction in the high-risk zone.
- The project has established district disaster management committees, district disaster management awareness and planning teams, and Gewog (sub-district) Disaster Management Committees in all three districts covered by the project area.
- The project has trained the established committees in community-based disaster risk management and GLOF risk management,
- Commencement of bottom-up disaster management planning process at district, sub-district and village level
- The project has effected a controlled artificial drainage effort at Lake Thorthomi, one of Bhutan's most dangerous glacial lakes, involving members of the community in this process.
- An Early Warning System (EWS) has being established in the downstream Punakha-Wangdue valley linking automated data collection systems, early warning control centres and siren towers along the Punakha-Wangdue valley providing GLOF early warning signals to vulnerable communities.
- 67% of households in the target area of the project are aware of GLOF hazard zonation and evacuation routes.
- Community Based Disaster Management Plans formulated in 40 Chiwogs (villages) in Punakha, 40 Chiwogs in Wangdue and 20 Chiwogs in Bumthang

The project has been highlighted[8] by major development agencies as a groundbreaking initiative to address GLOF induced risks across the Himalayan region. Key lessons learned from the project include recognizing the importance of involving stakeholders from different government departments, local government and community to create appropriate adaptation measures and ensure there is regular cooperation and support between all stakeholders.

4.2 Analysis of Effectiveness

Effectiveness is a measure of the extent to which a programme's intended results in terms of outputs and outcomes have been achieved.

Assessing effectiveness in outcome evaluations tends to examine contributions and/or attributions by the outcome toward intended positive changes. The analytical framework for assessing the effectiveness of outcome 5 consists of the following subcategories (based on OECD DAC best practices):

- How well is Outcome5 positioned towards achieving its planned results? (60% weighting)
- Are there any risks that can affect the likelihood of the Outcome to be achieved? (40% weighting)

The analysis is presented overleaf.

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[8] Ecological Footprint & Investment in Natural Capital in Asia-Pacific, 2012, ADB and WWF

		PERFORMANCE CONCLUSION					
2.1 How well is Outcome5 positioned towards achieving its planned results?		○ **a**	◉ **b**	○ **c**	○ **d**	**Weighting**	**60%**
What proportion of planned CT Outputs have been achieved?		Approximately CT Outcome 1: 75% of outputs achieved. CT Outcome 2: 90% of outputs achieved. CT Outcome 3: 90% of outputs achieved. CT outcome 4: 85% achieved.					
Are the indicators for the CT Outcomes appropriate and are they being reported against?		Indicators are output and activity oriented and they are reported in CPB annual progress reports.					
What is the quality of the results in terms of observed changes which can be attributed to or which have been directly contributed by the outcome activities?		At policy and operational level, a portfolio of several high quality results are visible which Outcome5 has directly contributed towards (see impact analysis). These include new policies, environmental mainstreaming, policy frameworks, Joint support programme (JSP) for Environment Climate Change and Poverty (ECP), DaO efforts, , guidelines, toolkits, manuals, awareness material. Several best practice pilots have also been implemented which provide a strong basis for replication and upscaling e.g. GLOF, HWC, ILCCP, Community RE, ISWM, Environment in Education and Sustainable Land Management. The GLOF outcomes serve as best practice examples for the region.					
Have relevant target groups had access to results available so far?		Specific target groups of initiatives (projects) have had access to specific project results available. Information sharing needs to be strengthened to reach grass roots levels including disadvantaged groups. Information needs to be packaged accordingly and target group capacities built to enable information assimilation and clearer engagement by different disadvantaged groups					

Legend: a = very good; b = good; c = problems; d = serious deficiencies.

	PERFORMANCE CONCLUSION		
2.2 Are there any risks that can affect the likelihood of the Outcome to be achieved?	○ a ● b ○ c ○ d	**Weighting**	**40%**
To what extent has the outcome5 adapted or is able to adapt to changing external conditions (risks and assumptions) in order to ensure benefits for target groups? If any unplanned negative effects on target groups occurred, or are likely to occur through projects, to what extent do project managers take appropriate measures? *To what extent are unplanned positive effects contributing to results produced?*	The outcome has established effective disaster response and recovery including the Joint Needs Assessment Tool to identify and assess response needs quickly and efficiently following a disaster. This has led to implementation of activities benefitting affected groups from disasters such as windstorm response, Bumthang fire recovery and numerous earthquake response initiatives. Some earthquake relief mechanisms such as provision of housing material (CGI sheets) can make beneficiaries dependent on aid, particularly due to weak assessment/monitoring mechanisms and capacities at Gewog level.		

Legend: a = very good; b = good; c = problems; d = serious deficiencies.

Overall Conclusion for Effectiveness (out of 4):	3.60	a

Legend: a = very good (score more than3.51); b = good (2.51-3.51); c = problems (2.51 -1.51) ; d = serious deficiencies (Less than 1.51)

Effectiveness: Key lessons learned

Strengths
1. Several high quality results are visible at policy and operational level including new and draft policies, environmental mainstreaming in government development plans, policy frameworks, PEI (Poverty Environment Initiative) scaling up through the Joint Support Programme (JSP), DaO efforts, LGSP, SOPs, guidelines, toolkits, manuals, awareness material.
2. Several high quality best practice pilots have been implemented which provide a strong basis for replication and upscaling e.g. GLOF, HWC, ILCCP (promoting income generation activities), Community RE, ISWM, Environment Education, Sustainable Land Management, Sengor RE (promoting income generation activities) including model for community micro-hydro power.
3. The outcome has demonstrated a good track record in responding to national disasters, by establishing an institutionalised Post Disaster Needs Assessment and Recovery Framework (PDNA/RF) through a Inter-Ministerial Task Force on Multi-sector Pandemic Preparedness enabling coordination amongst government and development partners, sourcing of external funds and implementing relevant activities. Examples include windstorm response, Bumthang fire recovery and numerous earthquake response initiatives in 2009 and 2011. Other interagency mechanisms established include the Business Continuity Plan (internal plan for the UN) and the Inter-Agency Contingency Plan to support national relief and recovery efforts. Both Plans adopt a consistent multi-hazard approach with integrated Pandemic preparedness and response

Weaknesses
4. Information sharing needs to be strengthened to reach grass roots levels including disadvantaged groups.
5. Capacity at local level to respond to disasters needs to be strengthened and mainstreamed including the use of various guidelines and SOPs already developed.
6. Capacity at local level to mitigate and prevent disasters needs to be strengthened and mainstreamed including the use of various guidelines and SOPs already developed.
7. Some earthquake relief mechanisms such as provision of housing material can make beneficiaries dependent on aid, particularly due to inadequate needs assessment at local level

Partnerships
8. Effective partnerships with government implementing partners at both national and district level have been developed to achieve policy targets.
9. Partnerships have also been effective to implement pilot initiatives involving national and local government and at Gewog level
10. Some partnerships were also forged at community level via village and farmer groups targeting relevant beneficiaries
11. Effective partnerships established with key international development partners (e.g. ADB, EU, World Bank, WWF, Save the Children, Austrian Development Cooperation, GEF and AusAid) with the UN managing a Delivery as One model.

Success Story
Integrated Livestock and Crop Conservation (ILCCP) Project

The objectives of this project were to mainstream Agro-biodiversity conservation into livestock and crop development policy and practices in Bhutan. The National Biodiversity Centre (NBC) was the lead implementing partner and the project involved other agencies from the Ministry of Agriculture & Forests. The project was funded by the GEF and Bhutan Trust Fund, with UNDP acting as the main development partner.

Key results of the project include:
- Capacity of policy makers developed to mainstream agro biodiversity management in livestock and agriculture development policies and practices.
- Formulation of "National Food Security and Nutrition Policy" which are the key areas for mainstreaming agro-biodiversity into the agriculture sector.
- National Access and Benefit Sharing Policy framework formulation
- Agro-biodiversity conservation incorporated into 11FYP programs of DoA, DoL
- All Plant Inspectors of (BAFRA) made aware on the role of BAFRA in preserving Bhutan's biodiversity.
- Contributions towards the National Organic Plan (NOP) Strategy providing a means towards agro-biodiversity Conservation
- Establishment of a gene bank for indigenous livestock and crops
- Conversation of 3,500 semen samples from poultry, ram, swine in gene bank.
- Cumulative of 1,268 accessions of crop germplasm samples collected processed in the gene bank
- Seeds of 30 traditional landraces of legumes multiplied.
- Awareness on ILCCP results created amongst farmers and students
- 16 pilot sites across Bhutan involving rural farmers adopting livestock and crop conservation practices resulting in improvements to community income generation, food security and nutrition.

4.3 Analysis of Efficiency

Efficiency measures how economically resources or inputs (such as funds, expertise and time) are converted to results. Programmes are efficient when they use resources appropriately and economically to produce the desired outputs.

Efficiency is important in ensuring that resources have been used appropriately and in highlighting more effective uses of resources. As the nature and primary purposes of project and outcome evaluations differ, the application of criterion will also differ. For example, in assessing efficiency, a project evaluation might explore the extent to which resources are being used to produce the intended outputs and how resources could be used more efficiently to achieve the intended results. An outcome evaluation may involve estimates of the total UN resource mobilisation (all projects and soft assistance) toward a given development outcome. The application of this criteria, particularly in UN outcome evaluations, poses a challenge as the nature of UN initiatives (for example, soft assistance), does not always lend itself to conventional efficiency indicators. In such cases, some analysis of delivery rates, the reasons some initiatives are implemented more quickly than others, and overall management ratios at the programme level might be considered. It is also important to assess how the partnership strategy has influenced the efficiency of initiatives through cost-sharing measures and complementary activities.

The analytical framework for assessing the efficiency of outcome 5 consists of the following subcategories (based on OECD DAC best practices):
- How well is the availability/usage of means/inputs managed? (20% weighting)
- How well is the implementation of activities managed? (20% weighting)
- How well are outputs achieved? (35% weighting)
- How well is the Partner Contribution / Involvement working? (25% weighting)

The analysis is presented overleaf.

		PERFORMANCE CONCLUSION					
3.1 How well is the availability/usage of means/inputs managed?		○ **a**	◉ **b**	○ **c**	○ **d**	**Weighting**	**20%**
To what degree are inputs provided/available on time to implement activities from all parties involved?		During the first 2 years of the UNDAF cycle (2008 and 2009) delays were experienced by IPs in implementing the HACT framework, resulting in delayed arrival of funds and implementation delays. In 2010 and 2011, major delays appear to have been largely resolved, though minor delays still occur.					
To what degree are inputs provided / available at planned cost (or lower than planned), from all parties involved?		IPs provided inputs at planned cost and have used resources efficiently in most cases. Some IPs have developed technical tender specifications without the use of consultants using in-house knowledge and research due to limited budgets showing much initiative and commitment. This was particularly the case in the disaster management area. In the case of tendering for works (construction, installation etc) budgeted amounts were in many cases much lower than tender bid amounts. This is a system wide issue, due to difficulty/remoteness of terrain and high input cost in some initiatives.					
Are inputs monitored regularly to encourage cost-effective implementation of activities? By whom are they monitored?		Budget use is monitored on quarterly and annual basis, based on AWPs. Financial assurance is obtained through onsite reviews led by UN staff based on the IP's micro-assessment rating. IPs receiving more than $500,000 collectively and cumulatively from the UN Ex-com agencies (UNDP, UNICEF, UNFPA and WFP) are audited once in the programme cycle (UNDAF/cCPAP 2008-2013) by the Royal Audit Authority (RGoB). Micro-assessments and onsite reviews reveal issues such as un-synchronized audit timelines, inadequate internal control systems and lack of capacity in results-based management (RBM),					
Are project resources managed in a transparent and accountable manner?							
Are all contractual procedures clearly understood and do they facilitate the implementation of the project?		IPs report expenditure in a transparent manner using standardised reporting formats on a quarterly and annual basis. The introduction of reporting formats such as FACE forms under HACT and the presence of different fiscal years and budget codes of RGoB and UN system led to implementation delays in 2008/2009. In 2010/2011 delays have been minimised with awareness on HACT procedures.					

Legend: a = very good; b = good; c = problems; d = serious deficiencies.

		PERFORMANCE CONCLUSION					
3.2 How well is the implementation of activities managed?		○ **a**	◉ **b**	○ **c**	● **d**	**Weighting**	**20%**
Is a logframe or similar tool used as a management tool?		Yes, most projects use a logframe for project formulation, to guide implementation and for M&E purposes. Indicators in most projects are output oriented rather than outcome oriented.					
Is an activity schedule (or work plan) and resource schedule available and used by the project management and other relevant parties?		Workplans are produced for individual projects. AWPs are produced, which becomes a binding document upon IPs and can cover more than 1 project. These documents are used by project management staff.					
To what extent are activities implemented as scheduled? If there were delays are they being rectified?		During 2008/2009 delays were experienced. These were attributed to inefficient project processes and external factors (elections, events of national importance and natural disasters). Implementation process related delays appear to have been largely rectified in 2010/11.					
Are funds committed and spent in line with the implementation timescale? If not, why not?		In 2008 69.27% was spent, in 2009 59.95% was spent, in 2010 86.8% was spent and in 2011 92% of funds committed were spent.					
How well are activities monitored by projects and are corrective measures taken if required?		Project activities are reasonably well monitored and corrective measures taken particularly with regard to financial and physical (activity) progress. There are some discrepancies between budget codes at project, AWP, annual CPB reporting and agency-specific reporting levels.					
If appropriate how does the project co-ordinate with other similar interventions to encourage synergy and avoid overlaps?		Projects explore synergies with similar activities particularly if additional funding is required for upscaling/replication. Greater synergies need to be explored between activities of other Outcomes, such as UNDAF Outcome3 (education) which has specific environment and disaster management components, UNDAF outcome1 (pro-poor employment, income generation including enterprise development and use of community information centres) and outcome4 (strengthening people's participation for good governance) which have key mainstreaming entry points.					

Legend: a = very good; b = good; c = problems; d = serious deficiencies.

	PERFORMANCE CONCLUSION					
3.3 How well are outputs achieved?	a (●)	b (◉)	c (●)	d (●)	**Weighting**	**35%**
Have all planned outputs been delivered to date? *What is the quality of outputs? Are the outputs achieved likely to contribute to intended results? Are they correctly reflected through the indicators/targets?*	A significant portion of outputs have been delivered to date. In 2010 75.9% of anticipated physical progress was achieved, whilst in 2011 80.4% was achieved. For 2008 69.27% of anticipated physical progress was achieved and in 2009 59.95% was achieved. Good quality outputs have been achieved at the policy and operation level (see impact and efficiency analysis). Yes, outputs are contributing to achievement of CT outcomes. Yes					

	PERFORMANCE CONCLUSION					
3.4 How well is the Partner Contribution / Involvement working?	a (●)	b (◉)	c (●)	d (●)	**Weighting**	**25%**
Do the inter-institutional structures e.g. steering committees, monitoring systems, allow efficient project implementation?	CPB undertakes planning of AWPs and monitors progress. UNEDMT has been established specifically for outcome5 providing a UN-IP steering committee for coordination, reporting and as a forum for information exchange, discussion and consensus on outcome related initiatives. Despite regular meetings, in practice, concerted and proactive input from UNEDMT members for reporting, monitoring and other programmatic processes is limited due to other competing agendas. Project activities are monitored by project managers and through the CPB process (quarterly and annual monitoring). Field visits to monitor project progress are also undertaken by IPs and/or UN. The need for joint RGoB-UN monitoring of activities was expressed by IPs. Progress reporting is done via both project progress and government reporting systems. Implementing partners input implementation progress information in the governments online reporting system, PLaMS (Planning and Monitoring System). While the use of the RGoB's own reporting system is preferable over donors using their individual formats and reduces the workload imposed on implementing partners, in practice there are limitations to both the PLaMS system and the capacity of government staff to use the system and provide quality reporting. PLaMS is a relatively new system and still under further development. As a result, reports focus on activities rather than outputs and outcomes, and quantitative rather than qualitative and process oriented information, and an area for further capacity development					
Have partners provided co-financing if applicable? *Is communication between CPB, the UN and project management of IPs satisfactory?*	Yes Yes					

Overall Conclusion for Efficiency (out of 4):	3.00	**b**

Legend: a = very good (score more than3.51); b = good (2.51-3.51); c = problems (2.51 -1.51); d = serious deficiencies (Less than 1.51)

Efficiency: Key lessons learned

Strengths
1. IPs provided inputs at planned cost and have used resources efficiently in most cases. Several IPs have showed initiative and commitment to implementing complex activities within budget constraints.
2. Expenditure is reported in a transparent and accountable manner
3. AWPs are used which becomes a binding document upon IPs. These are used for project management and monitoring with log-frames providing additional information.
4. The majority of anticipated outputs have been delivered to date. For 2008 69.27% of physical progress was achieved and in 2009 it was 59.95%. In 2010 75.9% of physical progress was achieved, whilst in 2011 80.4% was achieved.
5. Good quality outputs have been achieved at the policy and operation level (see impact and efficiency analysis).
6. Outputs have contributed to the achievement of CT outcomes.
7. Project activities are monitored by project managers and through the CPB process (quarterly and annual monitoring). Field visits to monitor progress is also undertaken by IPs and/or UN.

Weaknesses
8. The need for joint monitoring of activities was expressed by IPs particularly field monitoring visits targeting district and community level beneficiaries
9. In the case of works tenders (construction, installation, supply etc) budgeted amounts were in many cases much lower than tendered bid amounts. System wide issue due to remoteness of sites and input cost in some initiatives.
10. Micro-assessments and onsite reviews reveal issues such as un-synchronized audit timelines, inadequate internal control systems
11. Capacity for project implementation support at GNHC needs to be strengthened to support procedural aspects of projects including project cycle management, results based management (RBM), human rights approaches (HRBA), M&E systems, tender specifications, procurement support, results oriented reporting etc
12. The introduction of new reporting formats such as FACE forms under HACT and different fiscal years/budget codes of RGoB and UN system led to implementation delays in 2008/2009. In 2010/2011 delays have been minimised due to increased training in HACT and M&E.
13. There are some discrepancies between budget codes used by RGoB, AWP and annual CPB reporting levels.
14. Reports focus on activities rather than outputs and outcomes, and quantitative rather than qualitative and process oriented information, and an area for future capacity development
15. Greater synergies need to be explored between activities of other Outcomes, such as UNDAF Outcome3 (education) which have environment and disaster management components and UNDAF outcome1 (pro-poor employment, income generation including enterprise development and community information networks) and outcome4 (strengthening people's participation for good governance) which can provide key mainstreaming entry points for environment and DRM.

Partnerships
16. The partnerships and operating structures in place have enabled efficient implementation of outcome activities. The structures include CPB for planning of AWPs and monitoring of progress, project management staff of IPs and UNEDMT which provides a forum for UN and IPs. Concerted and proactive input from UNEDMT members for reporting, monitoring and other programmatic processes is limited due to other competing agendas.

Success Story
Poverty Environment Initiative (PEI) Scale Up through the Joint Support Programme (JSP)

The Poverty Environment Initiative (PEI) in Bhutan is implemented under the UNDAF outcome 5 as the Joint Support Programme for Capacity Development in mainstreaming Environment, Climate Change and Poverty (ECP). Phase 1 of the PEI ran from July 2008 to December 2009 whilst Phase II of PEI commenced in January 2010 and will be completed in July 2013. The main implementing partner is GNHC whilst development partners include UNDP, UNEP, DANIDA, AusAid and UNCDF.

Key achievements of the JSP include:
- The formation of an ECP mainstreaming reference group
- Building capacity of sectoral and local government officials on concepts and approaches of ECP mainstreaming.
- Development of a Policy Screening tool from an ECP perspective
- Development of an ECP mainstreaming framework and incorporation into the 11th Five Year Plan to provide development guidelines for preparation of programmes by key government agencies.
- Integration of ECP concerns into the National & Sectoral Key Results Areas (NKRAs/SKRAs) of the 11th Plan including carbon neutral and climate resilient development, environment and disaster mainstreaming, sustained economic growth. Sectors will have to align their programmes in achieving the national outcomes, which entails careful planning and design of their interventions. Local government (districts & blocks) also has the same responsibility to address ECP in an integrated manner when formulating their programs and implementation.
- In partnership with UNCDF, PEI developed a Capacity Development grant mechanism for local government to access demand driven Capacity Development (CD) grants to identify ECP issues for their locality and propose interventions which are pro-poor and environmentally sustainable.
- Recognising the challenges of reaching many rural groups, PEI has supported development of a non-formal education curriculum on renewable energy, focusing on improved cook stoves, rain water harvesting and bio-gas technology. 80 Non-Formal Education (NFE) instructors were trained to teach the new NFE curriculum. This has generated awareness on Poverty-Environment linkages for rural communities through more than 700 NFE centres in communities across the country.

4.4 Analysis of Sustainability

Sustainability measures the extent to which benefits of the outcome continue or have the potential to continue after current cycle has come to an end.

Assessing sustainability involves evaluating the extent to which relevant social, economic, political, institutional, operational and other conditions are present and, based on that assessment, making projections about the national capacity to maintain, manage and ensure the development results continue to impact on beneficiaries in the future. The analytical framework applied to assess the effectiveness of outcome 5 consisted of the following key subcategories (based on OECD DAC best practices):

- Is there financial / economic viability? (30% weighting)
- What is the level of ownership of activities by target groups and will it continue after the end of external support? (30% weighting)
- What is the level of policy support provided and the degree of interaction between the CT Outcomes/outputs and policy level? (20% weighting)
- How well is the outcome contributing to institutional and management capacity? 20% weighting)

The analysis is presented overleaf.

	PERFORMANCE CONCLUSION	

4.1 What is the likelihood of Financial / economic viability?	○ a ◉ b ○ c ○ d	**Weighting** **30%**
If the results have to be supported institutionally, are funds likely to be made available? If so, by whom? *Are the services/results affordable for the target groups at the completion of projects?* *Can the benefits be maintained if economic factors change (e.g. commodity prices, exchange rate)?* *Are the beneficiaries and/or relevant authorities/ institutions able to afford maintenance or replacement of the technologies/services introduced by projects?* *Is there a financial economic phase-out strategy? If so, how likely is it to be implemented?*	RGoB has committed to sustain outputs through recurrent budgets at national and local level. Yes in the majority of projects the results and services will be affordable. GLOF outputs for EWS/flood warning systems (CT Outcome 2) require potentially high costs for maintenance and replacement. However, financial sustainability mechanisms have been established taking into account these costs including sustainability from RGoB and hydropower projects. Yes. For most outputs yes. Some outputs (CT outcome 2 - EWS) will incur potentially high maintenance/replacement costs (e.g. Iridium data transmission). Alternative mechanisms are being explored (e.g. the use of GPRS as a mode for regular transmission of data during non-emergency operating periods). Handover strategies are in place or are being formulated by most implementing partners. Financing arrangements have established in many cases for maintenance (RGoB, communities) and upscaling of success stories (RGoB, other donors and hydro electric projects).	

Legend: a = very good; b = good; c = problems; d = serious deficiencies.

		PERFORMANCE CONCLUSION					
4.2 What is the level of ownership of activities by target groups and will it continue after the end of external support?		◉ **a**	○ **b**	○ **c**	○ **d**	**Weighting**	**30%**
How far are projects embedded in local structures?		Strong ownership structures are in place for most outputs at national / local government level and community level.					
To what extent have target groups and other relevant interest groups / stakeholders been involved in the planning / implementation process?		National and local government have been the drivers of planning and implementing project activities with facilitation provided by UN. Community level issues and needs are fed in to local government via existing mechanisms including block/Gewog officers. Community level consultation took place at the implementation phase of relevant projects.					
To what extent are relevant target groups actively involved in decision-making concerning project orientation and implementation?		Implementing partners (national level) make major decisions on project level orientation. Dzongkhag partners provide information on local needs and sometimes specific customisation requirements for localities (ILCCP, HWC). Community beneficiaries are involved in grass root level decision-making such as timing, arrangements and community involvement.					
What is the likelihood that target groups will continue to make use of relevant results?		There is a strong likelihood for national level initiatives to continue, due to ownership and integration with RGoG policy and a mainstreaming approach for future development planning. At local government level, sustainability mechanisms include training, SOPs, guidelines, manuals, toolkits and implementation of basic coordination mechanisms linking community, local government and national government. Grass root level initiatives (ILCCP, GLOF, disaster response) also provided evidence of continuation due to benefits/relevance/ownership.					
Do the target groups have any plans to continue delivering the stream of benefits and if so, are they likely to materialise?		Yes. Mechanisms to continue delivery of outputs and to upscale them post project have been actively pursued by several IPs (DDM, DOF, NBC, MOE, DHM, RSPN), some of which have been already implemented.					

Legend: a = very good; b = good; c = problems; d = serious deficiencies.

	PERFORMANCE CONCLUSION					
4.3 What is the level of policy support provided and the degree of interaction between the CT Outcomes/outputs and policy level?	○ **a**	◉ **b**	○ **c**	○ **d**	**Weighting**	**20%**
What support has been provided from the relevant national, sectoral and budgetary policies? *Do changes in policies and priorities affect the Outcome and how well is it adapting in terms of long-term needs for support?* *Is any public and private sector policy support likely to continue after the cycle has finished?*	Projects driven by priorities/needs of specific national implementing partners. These are linked to specific programmes in 10th FYP. Support from Budgetary policies of RGoB for maintenance and in some case upscaling provided. The outcome is in line with key priorities of 10th FYP. Updating of outcome been done to meet priorities of 11th FYP and emerging global agenda for climate change. RGoB support will continue by way of financial commitments, operational arrangements and policy and mainstreaming tools. Community level support is also likely to continue due to the impact and benefits on the relevant community target groups. Private and CSO sector involvement has been weak during the outcome and is an area for improvement which will serve the outcome well by providing strong entry points for upscaling initiatives.					

	PERFORMANCE CONCLUSION					
4.4 How well is the outcome contributing to institutional and management capacity?	○ **a**	◉ **b**	○ **c**	○ **d**	**Weighting**	**20%**
How far are activities embedded in institutional structures that are likely to survive beyond the life of projects? *Are project partners being properly developed (technically, financially and managerially) for continuing to deliver the outcome's benefits?* *Will adequate levels of suitable qualified HR be available to continue to deliver the outcome's stream of benefits?*	Project activities are embedded in system wide structures covering national, local and community levels. These are very likely to continue beyond the life of projects in most cases due strong ownership of outputs. Many CT outputs focus on awareness creation, training of trainers and training across all levels. Supporting mechanisms developed include SOPs, guidelines, toolkits, manuals and awareness materials. A more cohesive CD (capacity development) approach is recommended for the next cycle. Capacity shortages, in numbers of staff and technical skills are major constraint for sustainability of CT outcomes, particularly for CT outcome 2.					

Overall Conclusion for Sustainability (out of 4):	3.30	**B**

Legend: a = very good (score more than3.51); b = good (2.51-3.51); c = problems (2.51 -1.51); d = serious deficiencies (Less than 1.51)

Sustainability: Key lessons learned

Strengths
1. Sustainability strategies are in place or being formulated by most implementing partners.
2. Financing arrangements assured in most case for maintenance (RGoB, communities) and upscaling of specific success stories through RGoB, other donors and hydro electric projects.
3. Strong ownership structures in place for most outputs at national and local government level and community level. Implementing partners (national level) design projects and make major decisions on project orientation. Dzongkhag partners provide information on local needs and sometime specific customisation requirements of localities (ILCCP, HWC). Community beneficiaries are involved in grass root level decision-making.
4. Strong likelihood for national level initiatives to continue, due to ownership and integration with policy and mainstreaming into the development planning process. At local government level, sustainability mechanisms include training, SOPs, guidelines, manuals, toolkits and implementation of coordination mechanisms linking community, local government and national government. Many grass root level initiatives (ILCCP, GLOF, HWC, EFRC) provided evidence of strong likelihood of continuation due to benefits/relevance/ownership.
5. Specific projects such as ILCCP, EFRC and Sengor RE deviate from normative models by including income generation and micro-enterprise development which will ensure sustainability
6. Many CT outputs focus on training of trainers, training and awareness creation across all levels. Supporting mechanisms developed include SOPs, guidelines, toolkits, manuals, awareness materials, best practice examples/case studies for replication.
7. Mechanisms to continue delivery of outputs and to upscale them post project have been actively pursued by several IPs (DDM, DOF, NBC, MOE, DHM, RSPN), some of which have been already implemented.

Weaknesses
8. Capacity shortages, including numbers of staff, technical skills and capacities at local government level are a major constraint for sustainability of CT outcomes, particularly for CT outcome 2.
9. Some outputs (CT outcome 2 - EWS) will incur potentially high maintenance/replacement costs such as the use Iridium data transmission. However, financial sustainability has been secured and alternative mechanisms are also being looked into (e.g. GPRS for regular transmission of data).

Partnerships
10. Sustainable partnerships with government implementing partners at both national and district level have been developed to continue activities post-project
11. Some sustainable partnerships also forged at community level (e.g. ILCCP, GLOF, Sengor RE, HWC, EinE).
12. Strong partnerships established with key international development partners such as the ADB, EU, World Bank, WWF, Save the Children, Austrian Development Coordination, GEF and AusAid with UN acting as the facilitator for a delivery as one (DaO) development approach.
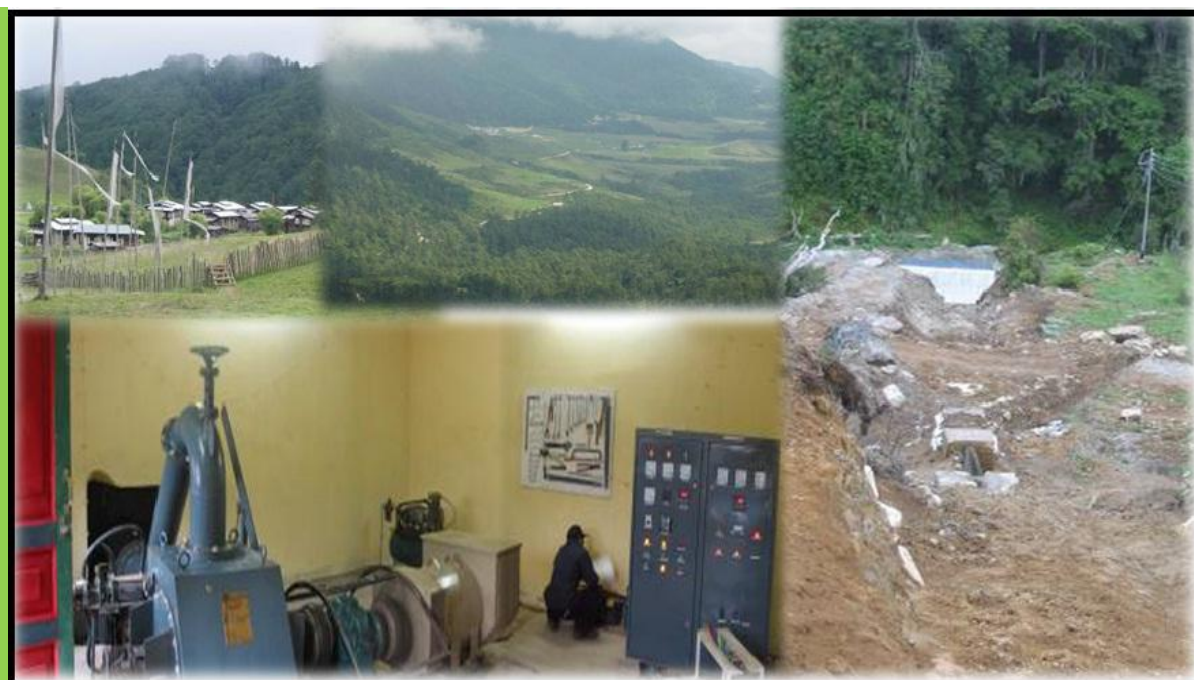
Success Story
Sengor Micro Hydro Power (MHP) project

The Sengor MHP project under UNDAF outcome5 involved establishing a 100kW MHP at Sengor with community operation and maintenance. Implementing partners included initially the Department of Energy (DOE) and the Department of Renewable Energy. The Sengor MHP focussed on developing a community based delivery model linked to micro hydropower installations. Financial and income generating strategies were developed to enable a viable community based livelihood approach through electricity provision. The project design targeted innovative decentralized strategies for electrification.

A strong community based capacity development strategy was adopted as an enabler for the project. This enabled the Sengor community to:
- successfully establish suitable electricity tariffs for a local MHP
- implement stringent credit control procedures to ensure prompt and full payment of electricity use
- utilise MHP electricity sales revenues to pay for local community operators
- gradually accumulate funds to cover ongoing operation and maintenance costs
- foster a strong sense of ownership of the MHP so that the community is motivated to initiate rapid restorative work in the face of a major outage such as floods
- reduce excessive fire wood use and the disproportionate role of women in gathering such firewood
- reduce indoor air pollution from firewood use with its particular impact on women and the young
- provide extra electricity in the evening for family entertainment, socializing, study by children
- and following news and current affairs
- utilise new funding mechanisms such as a CCF (Community Collateral Fund) to establish new
- community based livelihoods that will utilise the new local electricity supply

The Sengor MHP's proven community mobilisation, steady accumulation of funds for future operation/maintenance and improved community livelihoods focus is highly relevant to the other 20 existing micro hydro power projects in Bhutan, and for new projects. Two new projects have already been initiated based on the Sengor micro-hydro model.

4.5 Analysis of Cross-cutting themes

Consistent with UN development efforts, evaluations are guided by the principles of gender equality, the rights-based approach and human development[9].

UN evaluations assess the extent to which initiatives:
- have addressed the issues of social and gender inclusion, equality and empowerment;
- contributed to strengthening the application of these principles to various development efforts in a given country;
- incorporated the UN commitment to rights based approaches and gender mainstreaming in the initiative design.

Mainstreaming a gender perspective is the process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in all areas and at all levels. It is a strategy for making gender-related concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres so that women and men benefit equally and inequality is not perpetuated. UN evaluations assess the extent to which initiatives have considered mainstreaming a gender perspective in the design, implementation and outcome of the initiative and if both women and men can equally access the initiative's benefits to the degree they were intended. Similarly, evaluations also assess whether benefits and contributions were fairly distributed by the intervention being evaluated, and address the extent to which outcomes have advocated for the principle of equality and inclusive development, and have contributed to empowering and addressing the needs of disadvantaged and advantaged groups depending on their gender or status 13 UN (1997), duty-bearers of various types, and rights-holders of various types.

The rights-based approach in development efforts entails the need to ensure that development strategies facilitate the claims of rights-holders and the corresponding obligations of duty-bearers. This approach also emphasizes the important need to address the immediate, underlying and structural causes for not realizing such rights. The concept of civic engagement, as a mechanism to claim rights, is an important aspect in the overall framework. When appropriate, evaluations should assess the extent to which the initiative has facilitated the capacity of rights-holders to claim their rights and duty-bearers to fulfil their obligations.

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[9] UNDP, 'The Evaluation Policy of UNDP', Executive Board Document DP/2005/28, May 2006.
Available at: http://www.undp.org/eo/documents/Evaluation-Policy.pdf.

		PERFORMANCE CONCLUSION					
5.1 Have practical and strategic gender interests been adequately considered across the strategy of the programme & projects?		a (○)	b (○)	c (●)	d (○)	**Weighting**	**50%**
Are activities planned on the basis of a gender-differentiated beneficiaries' analysis? *To what extent will / could a gender sensitive approach lead to an improved impact of the programme?* *What is the likeliness of increased gender equality beyond programme end?*		According to IPs, very few of the projects were planned with a gender differentiated beneficiary analysis (exceptions DRR, Earthquake relief). However, when engaging communities, there was strong female participation in certain key initiatives (ILCCP, EFRC, GLOF SAR training), although this is not synonymous of a fair distribution of benefits and opportunities of the projects and nor of gender empowerment. Mainstreaming a gender sensitive approach from the outset can address different needs of women and girls and promote stronger ownership, access to and use of resources, strengthen decision-making power and division of labour. Neutral					

		PERFORMANCE CONCLUSION					
5.2 Have practical and strategic social inclusion interests been adequately considered across the strategy of the programme and projects?		a (○)	b (○)	c (○)	d (●)	**Weighting**	**50%**
Are activities planned on the basis of a differentiated beneficiaries' analysis for disadvantaged groups? *To what extent will / could a social inclusion approach to an improved impact of the programme?* *What is the likeliness of increased Social Inclusion beyond programme end?*		No A social inclusion sensitive approach from the outset can address specific needs of vulnerable and disadvantaged groups. Rights based approach should be mainstreamed. This includes identification of specific disadvantaged groups (unemployed youth, rural populations, elderly, differently abled, children etc), involvement of disadvantaged groups in planning and managing of specific activities (as implementing partners) besides their role as beneficiaries, packaging information on results available that is clear for potential beneficiaries, strengthening information sharing and information flow mechanisms to reach grass roots levels and building capacity of target groups to assimilate information. Limited					

Legend: a = very good; b = good; c = problems; d = serious deficiencies

Overall Conclusion for Cross-cutting themes (out of 4):	2.00	C

Legend: a = very good (score more than3.51); b = good (2.51-3.51); c = problems (2.51 -1.51); d = serious deficiencies (Less than 1.51)

Cross cutting themes: Key lessons learned

Strengths
1. Strong female participation in certain key initiatives (ILCCP, EFRC, GLOF SAR training).
2. Gender sensitive approach adopted for disaster risk reduction and earthquake relief

Weaknesses
3. Lack of gender mainstreaming of many activities and outputs
4. Lack of human rights based approach (HRBA). This includes identification of specific disadvantaged groups (unemployed youth, rural populations, elderly, differently abled children etc), and their involvement in planning and managing of specific activities (as implementing partners) besides their role as beneficiaries
5. Limited access to right holders on information covering available outputs, benefits, roles of rights holders, roles of duty bearers and sustainability mechanisms
6. Improved packaging of information required on results available which is clear for potential beneficiaries
7. Strengthening of information sharing and information flow mechanisms needed to reach grass roots levels and building capacity of target groups to assimilate information

Success Story
Education in Emergencies and the Safe School Initiative

UNICEF initiated this project in partnership with the Ministry of Education (MOE). Through fora targeting policy makers, MoE personnel, principals and teachers demand was created for the need to mainstream disaster-related activities within MoE's quality education framework. The partnership has grown since its inception with Save the Children Bhutan, Department of Disaster Management and the Asian Development Bank joining MOE and UNICEF in rolling out the Education in Emergencies (EinE) training under the nomenclature of the Safe Schools Initiative.

Key results of the project include:
- UNICEF supported the Ministry of Education in carrying out mapping of capacities required
- Training of Trainers to roll out education in emergencies was conducted with technical support from UNICEF's Asia Pacific Support Services Center in Bangkok. At least three MoE officials were later trained on basics of disaster and emergencies at the Asia Pacific Disaster Center in Bangkok. This helped create a Disaster Management Unit within the MOE under the Department of School Coordination and Liaison
- During the early stages (2008-09) all District Education Officers, Assistant District Education Officers and some school principals were trained on education in emergencies, forming a cohort of trainers to scale up the intervention to the whole country.
- Teachers in at least 11 out of 20 districts are now trained in Education in Emergencies/Safe Schools Initiative.
- Basic emergencies equipment were supplied enabling schools to conduct hands on practical trainings on disasters.
- More than 220 Schools in a Box have been prepositioned in all the 20 districts to be used in post disaster situations. Similarly Schools in a Tent are pre-positioned in strategic locations for distribution in case of emergencies.
- Most schools in Bhutan today have School Disaster Management Plans.
- 80 % of Bhutanese schools have their disaster management plans in place
- Creation of a separate Unit for DRR (Disaster Risk Reduction) and Emergencies under School Liaison and Coordination Division of the department of School education
- During 2009 September earthquake MOE responded swiftly and effectively providing relief and post disaster recovery to the affected population
- Greater knowledge and awareness of disaster and emergencies amongst members of education family, especially school leaders and teachers to provide relief and psycho-social support in the aftermath of an emergency
- Preparedness of school children to protect themselves especially during earthquakes
- Enrichment of primary science curriculum with topics related to disasters

- Prepositioning of School in a Box and School in a Tent in strategic locations
- Advocacy for safer schools in terms of seismic vulnerability and non-structural hazards
- Seismic vulnerability assessment of old structure through partnership with Geo Hazards International
- Coordination mechanism in place for disaster-related activities

Through the project with UNICEF support, capacity of the sector especially the Ministry of Education has been strengthened significantly. The support has had an impact in terms of: capacity building, policy up-streaming and advocacy / service delivery. The Ministry of Education is considered one of the strongest government agencies in terms of mainstreaming DRR in their planning, implementation, monitoring and evaluation.

4.6 Analysis of Impact

Impact measures changes in human development and people's well-being that are brought about by development initiatives, directly or indirectly, intended or unintended.

Many development organizations evaluate impact because this generates useful information for decision making and supports accountability for delivering results.

The analytical framework applied to assess the effectiveness of outcome 5 consisted of the following key subcategories (based on OECD DAC best practices):

- What are the direct impact prospects of the CT Outcomes? (60% weighting)
- To what extent does the Outcome have any indirect positive and/or negative impacts? (40% weighting)

The analysis is presented overleaf.

	PERFORMANCE CONCLUSION					
6.1 What are the direct impact prospects of the CT Outcomes?	○ **a**	◉ **b**	○ **c**	○ **d**	**Weighting**	**60%**
What, if any impacts are already apparent? *What impacts appear likely?*	The outcome has directly contributed towards several policy level impacts, leading to mainstreaming of 2 CT outcome agendas (environmental sustainability and disaster risk management) at national planning level. At the operational level numerous guidelines and SOPs have been developed and officials trained. Communities have been sensitised/trained in key CT outcome areas. GLOF mitigation mechanisms have been adopted amongst the most vulnerable communities.					
Are the current indicators/targets realistic and are they likely to be met?	The current targets for the CT outputs are realistic (they are output oriented) and appear likely to be achieved.					

	PERFORMANCE CONCLUSION					
6.2 To what extent does the Outcome have any indirect positive and/or negative impacts?	○ **a**	◉ **b**	○ **c**	○ **d**	**Weighting**	**60%**
Have there been or will there be any unplanned positive /negative impacts on the planned target groups or other non-targeted communities arising from programme activities?	There have been no noticeable unplanned positive/negative impacts arising from programme activities. Some of the earthquake relief activities resulted in certain target groups becoming reliant on aid. This is however a common occurrence in aid based natural disaster relief projects. Improvements to capacity development in needs analysis and target group selection at local level is likely to remedy this situation.					
Does donor coherence, complementarity and coordination exist and have any indirect impact?	Efforts for donor coherence and coordination have been made by UN, RGoB and UNEDMT through numerous mechanisms including RTM, CPB and HACT process. UNDAF and cCPAP have also contributed towards the Delivering As One (DaO) agenda.					

Legend: a = very good; b = good; c = problems; d = serious deficiencies

Overall Conclusion for Impact (out of 4):	3.00	**b**

Legend: a = very good (score more than3.51); b = good (2.51-3.51); c = problems (2.51 -1.51); d = serious deficiencies (Less than 1.51)

Impact: Key lessons learned

Strengths
1. The outcome has directly contributed towards several policy level impacts.
2. At the operational level numerous guidelines and SOPs have been developed and officials trained. This has built capacity and ability of local government to implement desired changes and create outreach for communities.
3. Communities have been sensitised/trained on EFRC (linked to green jobs), hazard resistant construction techniques, disaster preparedness/mitigation, agro-biodiversity conservation (linked to income generation).
4. GLOF mitigation mechanisms have been adopted amongst the most vulnerable communities.
5. Successful community level pilot projects have been implemented

Weaknesses
6. Capacity building needs to be strengthened at all levels particularly individual and organisational
7. Disaster Risk Reduction has not been mainstreamed in plans of many government sectors and at local level
8. Rights based approach needs to be mainstreamed so benefits can be accrued by specific disadvantaged groups
9. Gender mainstreaming is lacking. This can be strengthened to enable specific needs of gender groups to be met
10. Management and coordination needs to be strengthened between UN agencies and with other UNDAF outcomes (1, 3 & 4)

Partnerships
11. The outcome activities impacted positively on strengthening partnerships with government implementing partners at both national and district level and with key international development partners such as ADB, EU, World Bank, WWF, Save the Children, Austrian coordination office, GEF and AusAid.
12. The outcome activities impacted positively on establishing partnerships at community level via village and farmer groups, Gewog conservation committee etc.

Chapter 5: Conclusions and Recommendations

5.1 Emerging Challenges

Bhutan remains vulnerable to natural disaster and climate change which can have a major impact on its social infrastructure, agriculture and economic output in addition to causing loss to life. Bhutan lies in an active seismic zone and is exposed to the threat of earthquakes. 25 Glacial lakes in Bhutan have been identified as posing a potential threat in terms of glacial lake outburst flooding. Bhutan's terrain is exposed to landslides which can result in fatalities, damage to social and economic infrastructure including the influx of heavy debris and silt causing massive clogging and silting in hydropower projects. Moreover, forest fires are rampant, monsoon flash floods prevalent, crop depredation by wildlife, droughts and windstorms are all frequent natural occurrences.

Despite the lack of very definite data on climate change in the region, there is nevertheless broad agreement among climatology experts that glaciers in the Himalayas are receding rapidly and that Asia's water towers are threatened. It is also expected that the most significant changes are likely to occur in glacier fed river systems and that hydropower will be among the most critical sectors to be impacted by changes in global and regional climate, particularly as all of the hydropower plants in Bhutan are the run-of-the-river type. Moreover, hydrological flows in Bhutan are highly dependent on rainfall, snowmelt and glacial melt runoff, and as such are particularly susceptible to changes in climatic conditions. Increased volatility in precipitation patterns and hydrology flows is likely to affect hydropower generation which would potentially impact on key foreign exchange revenues. Such impacts on hydro power revenue flows would be particularly challenging in the light of significant debt servicing on account of hydropower investments. The seasonal variability of hydropower generation in winter and summer months are indicative of what a marked fluctuation in generation capacity can do.

Mountains have an ecological, aesthetic, and socioeconomic significance for those living in the mountain areas and beyond. People depend directly and indirectly on Himalayan resources, such as water, hydroelectricity, timber, biodiversity and minerals, for their livelihoods and well-being. Himalayan freshwater and terrestrial ecosystems provide many important services, such as the regulation of the climate and water, soil formation, and enrichment of cultural diversity and recreation. They also act as important carbon sinks. A significant proportion of the population of Bhutan lives below the poverty line, depending for their subsistence on an integrated farming system of crop agriculture, livestock rearing and use of forest products. These communities rely extensively on the area's ecosystems for energy (fuel wood), fibre, food and fodder. The bulk of the freshwater flowing in the major rivers is rain-fed. The Himalayan ecosystems act as sponges that soak up this rain water and then gradually release it, keeping the rivers flowing over time. Freshwater provided by the ecosystems is vital for crops such as maize, rice, and wheat, and is increasingly important for hydropower development to meet the region's energy needs. The river connections and the ecosystem services flowing in Bhutan also play a vital role in shaping the rise of cultures and living patterns in key basins and plains.

Agriculture remains the largest employer and main source of livelihood with about two thirds of the population engaged in subsistence farming as their major occupation. It is also one of the sectors with the lowest productivity levels and low remuneration. The key challenges pertaining to sustainable livelihoods relate to ensuring food and nutritional security and food self-sufficiency, raising crop productivity, addressing human wildlife conflict issues and addressing the long term impact of climate change on agriculture.

Several main rivers, including the Brahmaputra and the Ganges, are fed by the Eastern Himalayas of which Bhutan is part of, and provide freshwater for approximately a billion people in the region (Xu et al. 2009).The area harbours 10,000 plant species, 977 kinds of birds, 269 freshwater fish, 176 reptiles, 105 amphibians, 300 mammals, including tigers, Asian elephants, endangered snow leopards, and the world's rarest freshwater dolphins. A third of all plants and reptiles are unique to the region, as are 40% of all amphibians. From 1998 to 2008, more than 350 new species have been identified here, and many more have yet to be discovered. Degradation of these freshwater and terrestrial ecosystems will result in an increasing mixture of floods and lean periods of flow, potentially affecting Bhutan's agriculture, power generation and water supply.

Fuel wood and fodder collection are two major causes of habitat degradation, causing changes in species composition. Conversion of forests and grasslands for agriculture and settlements is also fragmenting habitats. The species-rich alpine meadows, when overgrazed by large herds of domesticated yak, become dominated by a few species of shrubs. The alpine meadows are also threatened by the commercial collection of plants used in traditional medicines, large quantities of which are collected for export.

5.2 Achievements of UNDAF Outcome 5

Chapter 4 provides a detailed performance assessment of the outcome across the key evaluation criteria of relevance, effectiveness, efficiency, sustainability, impact and cross cutting themes.

The assessment revealed that that level of **relevance of the outcome has been good**. The outcome is aligned with and supportive of Bhutan's guiding development philosophy of Gross National Happiness (GNH) with its emphasis on equitable and sustainable socio-economic development, preservation and promotion of culture, conservation of the environment and good governance. The outcome has made substantial contributions to the 10th FYP specifically to development priorities for environmental sustainability, disaster risk management, renewable energy and preservation of bio-diversity.

The activities of the outcome have been strongly driven by implementing partner needs, specifically government agencies and are integrated with priority programmes of the NEC, MoEA and MoAF. An operational framework has been established involving implementing partners at national, district and Gewog level. This has enabled coordination, management and financial disbursement arrangements which promote ownership of project activities and outputs. A strong consultative process is in place for the design and implementation of activities (projects) with involvement of implementing partners and beneficiaries at national, district and Gewog level. The process encompasses the CPB, quarterly progress reviews and an annual consultation to plan the annual work programmes (AWPs) of implementing partners. The UNEDMT has acted as a specific forum for implementing partners from outcome5. The UN has also been pro-active in creating awareness amongst potential implementing partners on funding opportunities for specific projects and guides the project formulation process.

The outcome has been **very good** at achieving its intended results in terms of outputs and activities from an **effectiveness perspective**. Several high quality results are visible at policy and operational level including new/draft policies, environmental mainstreaming as a joint support process, policy frameworks, DaO efforts, standard operating procedures (SOPs), guidelines, toolkits, manuals, awareness material. Many innovative pilot projects have been implemented with resulting best practices at all levels of implementation providing a strong basis for replication and upscaling. Some of these best practices include GLOF mitigation, early warning and flood control systems, human wildlife conflict (HWC), integrated livestock and crop conservation promoting income generation activities (ILCCP), community renewable energy (Sengor RE), integrated solid waste management models, environment education, education in emergencies (EinE) and sustainable land management.

Operationally the **outcome has been efficient** in implementing activities within planned cost and the use of resources has been managed well in the face of new operating procedures such as HACT. Implementing partners have showed initiative and commitment to implement complex activities within budget constraints. Examples include developing technical tender specifications using in-house knowledge and research without the use of consultants especially in the DM area. Joint AWPs are used which acts as a binding document for multiple IPs. These are used for project management and monitoring supplemented by project logframes Expenditure is reported in a transparent and accountable manner. A majority of outputs have been delivered to date. In 2010 75.9% of physical progress was achieved, whilst in 2011 80.4% was achieved.

The outcome has shown **good potential for sustainability**. There is good financial and economic viability of activities implemented. The RGoB has committed to financially meet the maintenance costs of outputs through recurrent budgets at both national and local government level. The majority of services and results will be affordable for the target groups following the completion of projects. Some of the outputs from the Thothormi GLOF initiative will require potentially high costs for maintenance and replacement of equipment/technology for the early warning and flood warning

systems. Mechanisms to alleviate these high costs have been explored by implementing partners including the use of cheaper data transmission systems for use during non non-emergency periods. Handover strategies are in place or are being formulated by most implementing partners. Some implementing partners have taken the initiative to upscale successful pilots through the use funds from other donors and from hydro electric projects. Strong ownership structures are in place for most outputs at national and local government level and community level. There is very strong sustainability of national level initiatives, due to ownership by key implementing partners and integration with policy frameworks and development plans. At local government level, sustainability mechanisms include training, training of trainers, standardised operating procedures, numerous guidelines, manuals, toolkits and implementation of basic coordination mechanisms linking community, local government and national government. Key grassroots level initiatives such as ILCCP, Sengor RE, HWC and GLOF also provided evidence of continuation due to benefits accrued by target groups, strong relevance and promotion of ownership.

The **weakest area of the outcome was in terms of social and gender inclusion.** Very few outcome activities and projects were planned based on a gender differentiated beneficiary analysis. Mainstreaming a gender sensitive approach from the outset can address specific needs of women and girls and promote stronger ownership. There were exceptions in the case of DRR, education in emergencies and earthquake relief activities where specific gender considerations were taken into account. Specific projects that engaged communities had strong female participation in key initiatives such as ILCCP, EFRC and GLOF SAR training. There was a distinct lack of a rights based approach to include disadvantaged groups in the planning and implementation of the outcome.

The outcome has **had numerous positive direct and indirect impacts**. The outcome has directly contributed towards several policy level impacts. These include:

- PEI Joint Support Programme for ECP (Environment, Climate Change & Poverty) has contributed towards mainstreaming the poverty-environment agenda in RGOB and is now being adopted for sectoral plans of the 11th FYP
- National Communication to UNFCCC
- Commitment at COP-15 for Bhutan to remain carbon neutral
- Environmental Non Formal Education module
- Draft Disaster Management bill
- Education in emergency provision
- National Disaster Risk Management Framework (NDRMF)
- Waste Management Act
- Biodiversity Action Plan III
- National Action Plan for sustainable land management
- PPP for Integrated Solid Waste Management (PPP-ISWM) model
- Human Wildlife Conflict (HWC) management framework
- Renewable Energy Policy

At the operational level, outputs and results have been effective with key results including:

- Strengthening of institutional, organisational and individual capacities
- LDPM applied to local plans
- Numerous guidelines, tools and Standard Operating Procedures (SOPs) have been developed such as those for the following areas:
  - Environment Friendly Road Construction (EFRC)
  - Environmental planning/management
  - Earthquake safe construction practices
  - Disaster management and disaster risk reduction (DRR)
  - Bio-diversity conservation
  - Sustainable land management
  - Human wildlife conflict management

These have built capacity and ability of local government to implement desired changes and create outreach for communities.

There are successful pilots at community level including:

- Sensitisation and training on EFRC (linked to green jobs)

- GLOF mitigation mechanisms been adopted amongst communities most vulnerable to GLOF threats. These include early warning systems, hazard zoning, HVCA tools (Hazard Verification Assessment)
- Participation of the community in complex activities such as the lowering of the lake Tothormi levels
- Hazard resistant construction techniques
- Disaster preparedness and response awareness creation amongst communities in response to GLOF and earthquakes

The outcome has implemented several innovative and successful community level pilot activities with success such as ILCCP, GLOF, Sengor RE, ISWM, environment education, sustainable land management, establishment of Gewog conservation committees and crop/livestock insurance schemes.

The overall assessment of the UNDAF outcome is **good** with an overall achievement **score of 3.02** out of 4.The results of the analysis across the key evaluation criteria and the overall assessment is provided below based on the use of the Background Conclusion Sheet (BCS) evaluation tool.

Evaluation Criteria	Overall Assessment	Score (out of 4)
Relevance	Good	3.20
Effectiveness	Very Good	3.60
Efficiency	Good	3.00
Sustainability	Good	3.30
Cross-cutting themes	Problems	2.00
Impact	Good	3.00
Overall Score	**Good**	**3.02**

5.3 Comparative Advantages

The UN has demonstrated strong comparative advantages in the areas of:
- Creating strong policy level impact across all CT outcome areas including environmental sustainability, disaster risk reduction, renewable energy and bio-diversity conservation
- Mainstreaming environmental sustainability into development plans of the RGoB including the 11th five year plan, targeting both national and local government, and the GNHC policy screening tool
- Disaster risk reduction particularly for mitigating risks from GLOF
- Linking income generating opportunities to biodiversity conservation and renewable energy use
- Ability to deliver numerous success stories at implementation level as highlighted in section 5.2 and in the individual success story write-ups in section 4.

The UN has a unique global legitimacy, credibility and authority stemming from its universal membership and specialist UN agencies. The UN has demonstrated significant added value in coordinating activities of the outcome with a multitude of international development partners, RGoB implementing partners, local government and communities. The UNDAF support has been instrumental in strengthening cross-sectoral and inter-ministerial coordination on national issues including synergy and convergence among stakeholders. UNEDMT has fostered strategic partnerships between government agencies and NGOs. Joint proposals between these organizations have increased national ownership and commitment and reduced duplication of efforts and resources. The strong consultative process has meant there is good alignment between CT outcomes, priority

programmes of major implementing partners (including NEC, MoEA and MoAF) and activities implemented. UNEDMT and implementing partners have also been successful at establishing operating structures and partnerships at local level including district level focal officers (for environment and DRR), district committees and other structures at Gewog, block and community level.

The UN has been successful in coordinating the efforts of development partners including the Global Environment Facility (GEF), World Bank (WB), Asian Development Bank (ADB), Netherlands Development Organization (SNV), Helvetas, Danish International Development Agency (DANIDA), Austrian Development Cooperation, Japan International Cooperation Agency (JICA) and the European Union (EU). The UN has been proactive in creating awareness amongst potential IPs from the government sector on financing opportunities from different donors and in managing the formulation and subsequent contracting process for projects.

During the course of the outcome implementation, the UNEDMT has improved communication and coordination between UN agencies who have shifted from individual AWPs to joint AWPs for specific outcomes in the CT outcome areas. As mentioned earlier there are weaknesses in inter-agency coordination due to a predominant focus each IP on implementation of specific activities. There is scope for strengthening synergies amongst IPs and between UN agencies.

The complexity of Outcome5 is evident from the diversity of themes spanning climate change, environmental sustainability, disaster risk management, biodiversity conservation and renewable energy and large number of activities including over 44 projects. This complexity in outcome 5 makes programme coordination time-consuming and difficult. However, the actions and approaches have added value as per the DaO spirit in that the national stakeholders are now better coordinated than before. The DaO reflects a gradual process of integrating and aligning principles and approaches into systems. An RBM (Results Based Management) approach to the next UNDAF cycle would greatly strengthen the DaO results.

LGSP and JSP are excellent examples of decentralised donor coordination. Both programs join in mainstreaming environment, climate change and poverty concerns into policies, plans and programmes at national and local levels. The UNDAF outcome is well positioned to take a lead role in getting donors and development partners together towards one common goal.

One of the key strengths of the outcome has been to create significant policy level impact. This has led to the mainstreaming of environmental sustainability, poverty-environment linkages and low carbon growth in the 11th FYP programming process. Examples of this mainstreaming include:
- the adoption of 6 environmental sustainability criteria (including nature, air pollution, water pollution, conservation of plants, conservation of animals and land degradation) out of a total of 26 in the GNH policy screening tool
- a specific GNH pillar, out of four GNH pillars in total, focussed on conservation and sustainable environmental management
- establishment of 4 NKRAs (National Key Result Areas) focussing on environmental conservation and sustainability out of a total of 16 NKRAs[10].

Substantial progress has also been made in establishing a framework to mainstream Disaster Risk Reduction. More specific CD (capacity development) support would serve the next UNDAF cycle well in mainstreaming the DRR agenda across sectoral plans at both national and local level. Other policy level contributions include the Biodiversity Action Plan III, National Action Plan for sustainable land management and HWC management framework

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[10] Guidelines for Preparation of the 11th Five Year Plan (2014-2018), GNHC, RGoB, 2012

5.4 Recommendations

This section provides recommendations for the future of UNDAF outcome 5 based on the outcome analysis carried out including strengths and weaknesses of the current process. The recommendations are provided across 3 levels including:

- **Programmatic**, relating to recommendations for orientation of the outcome
- **Systemic** recommendations to address specific system wide issues
- **Implementation** recommendations

As the current UNDAF cycle nears completion, much of the recommendations are medium-term in nature and oriented towards informing the new UNDAF programme cycle (2014-2018). However, short-term recommendations are also provided where remedial measures are urgent and could be incorporated within the current UNDAF cycle.

Programmatic Recommendations

The first UNDAF programme cycle is nearing completion. In the face of numerous development challenges, external threats posed by natural disasters and the adaption of new complex programming processes (cCPAP, HACT, DaO) the achievements relating to outcome 5 have been significant. At the policy level, key instruments have been developed such as the Draft Disaster Management bill, National Disaster Risk Management Framework (NDRMF), Waste Management Act, Biodiversity Action Plan III, National Action Plan for sustainable land management, National Communication to UNFCCC, Commitment at COP-15 to remain carbon neutral and Human Wildlife Conflict (HWC) framework. A platform for coordination in environmental mainstreaming has being addressed through the PEI Joint Support Programme

The UN's assistance under UNDAF 5 has focussed around 3 core approaches:

- Direct support for policy development through specific projects including policy / strategy development, capacity building and participation at global policy fora
- Demonstration, pilot and capacity development activities with some policy impact
- Specific disaster management and response activities

Almost all outcome activities have addressed elements of capacity development.

The UNDAF outcome 5 has provided assistance via a large portfolio of 44 projects covering 4 diverse CT outcome areas spanning environmental mainstreaming, disaster risk management, sustainable energy and conservation of bio-diversity and ecosystems.

Programmatic recommendations are fivefold:

- Strengthening processes in programme cycle management including results based management and the programme intervention logic
- Greater emphasis on a Capacity Development approach to programming
- Focussing of programme and narrowing of portfolio
- Mainstreaming of cross-cutting issues relating to gender equality and human rights
- Specific short term recommendations

These recommendations are discussed further below.

Recommendation 1

A key element for managing UNDAF results at country level and Delivering as One (DaO) is a single, coherent results framework. The lack of an overall intervention logic to plan the current UNDAF/Outcome5 cycle has resulted in weak alignment between outcomes and outputs, inputs and target group needs. Appropriate indicators are lacking to articulate targets for specific UNDAF support based on RGoB's 5 Year Plans and measure results by implementing partners. There is also lack of consistency in reporting between AWPs, CPB progress reports and the M&E framework leading to difficulties in quantifying UNDAF contributions. The next UNDAF cycle for outcome 5 should adopt a

consistent and cohesive intervention logic guided by the 5 programming principles of the UNDAF guidelines[11], namely:

3 normative principles of
- Human Rights Based Approach (HRBA), gender equality and environmental sustainability (Recommendation 4)

2 enabling principles of:
- Capacity Development (CD) (Recommendation 2) and Results Based Management (RBM)

A specific **Results Based Management (RBM) approach can act as a key enabler** to **shift the current emphasis from activities and outputs to one of outcomes and results** in programme design, implementation, monitoring and reporting. Adoption of RBM would require relevant support for capacity development amongst UN staff, GNHC, RGoB and implementing partners. The RBM handbook[12] provides guidance on the relevant analytical steps to be undertaken for results based programming including:
- Problem analysis
- Causal analysis
- Role-pattern analysis (including relationships between duty bearers and rights holders)
- Capacity gap analysis
- Analysis of UNCT comparative advantages
- Stakeholder mapping

The RBM framework provides a suitable entry point to develop a consistent and cohesive intervention logic in the form of a Results Matrix. The results matrix should as a minimum provide the following for the thematic outcome and outputs:
- SMART Indicators, clearer baseline data and outcome oriented targets
- Sources of information for indicators
- Risks and assumptions
- Specific role of partners
- Indicative resources

National Development Priorities or Goals:					
Outcomes	**Indicators, Baseline, Target**	**Means of Verification**	**Risks and Assumptions**	**Role of Partners**	**Indicative Resources**
Outcome 1 : *(List contributing UN agencies for each of the outcomes and highlight the outcome convener)*					
Output 1.1					
Output 1.2					
Outcome 2					
Output 2.1					

Figure 4: Results Matrix

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[11] UN, How to Prepare an UNDAF: Part (I) Guidelines for UN Country Teams and Part (II) Technical Guidance for UN Country Teams, UN, January 2010.
[12] United National Development Group (UNDG), Results Based Management Handbook, 2010

Such intervention logic should be used to drive the entire planning cycle of the programme including programme design, identification, formulation of specific projects and the M&E framework. The intervention logic can provide specific criteria to guide each stage of the programme cycle. These can include specific focusing questions at key decision points, primary responsibilities and decision options leading to consistent and clear alignment between the different programme components. This intervention logic should be used to align the key programme planning and implementation documents including the cCPAP, Annual Work Plans (AWPs), CPB annual progress reports and the M&E framework and make these documents consistent with each other. The 3rd pillar of GNH (conservation and sustainable utilisation and management of environment) and its associated 4 NKRA (National Key Result Areas) can be used to guide the formulation of this intervention logic to ensure maximum alignment with national, sectoral and local development plans.

Recommendation 2

The Capacity Development (CD) framework developed by the UN[13][14] should be used for the design and planning process of capacity building support in the next UNDAF cycle. The framework offers a systematic and structured approach to shift the emphasis of outcome5, from being supply-driven input based focussing on technical assistance, to being demand-driven outcome-based focussing on capacity development.

The focus of the CD framework is on 5 entry points to develop capacity: facilitating access to knowledge, facilitating multi-stake-holder engagement, participatory policy dialogue & advocacy, integrated approaches to local development, creating space for learning by doing.
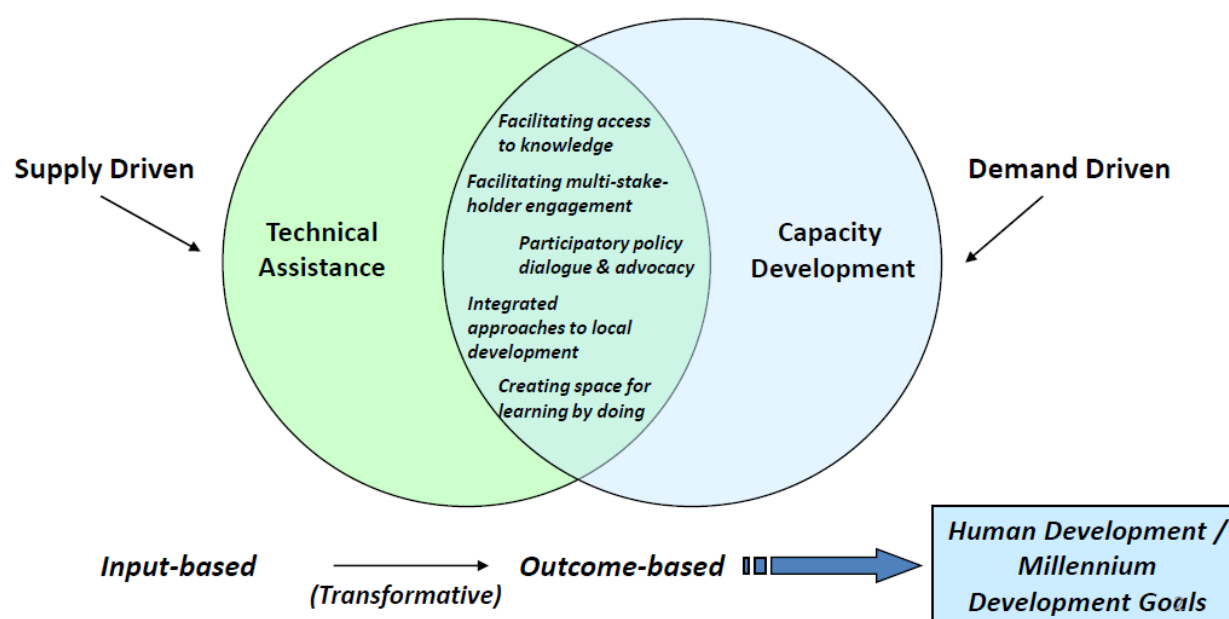
**Figure 5: Role of the Capacity Development (CD) approach in Programming
(UNDG A Collective Approach to Supporting Capacity Development, 2009)**

The CD framework includes a multi-stakeholder capacity needs assessment for identifying:
- the entry levels of support (individual, organizational and enabling environment)
- the types of capacities (functional or technical)
- the outputs where change most probably will take place (institutional arrangements, leadership, accountability, knowledge)
- the outcomes of CD support in terms of performance, stability and adaptability.

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[13] UNDG A Collective Approach to Supporting Capacity Development, 2009
[14] UNDP Report on measuring Capacity, 2010

The CD framework involves the following steps:
- Engaging partners and building CD consensus
- Assessing Capacity Strengths and Needs
- Designing CD strategies
- Implementing CD strategies
- Evaluation of CD
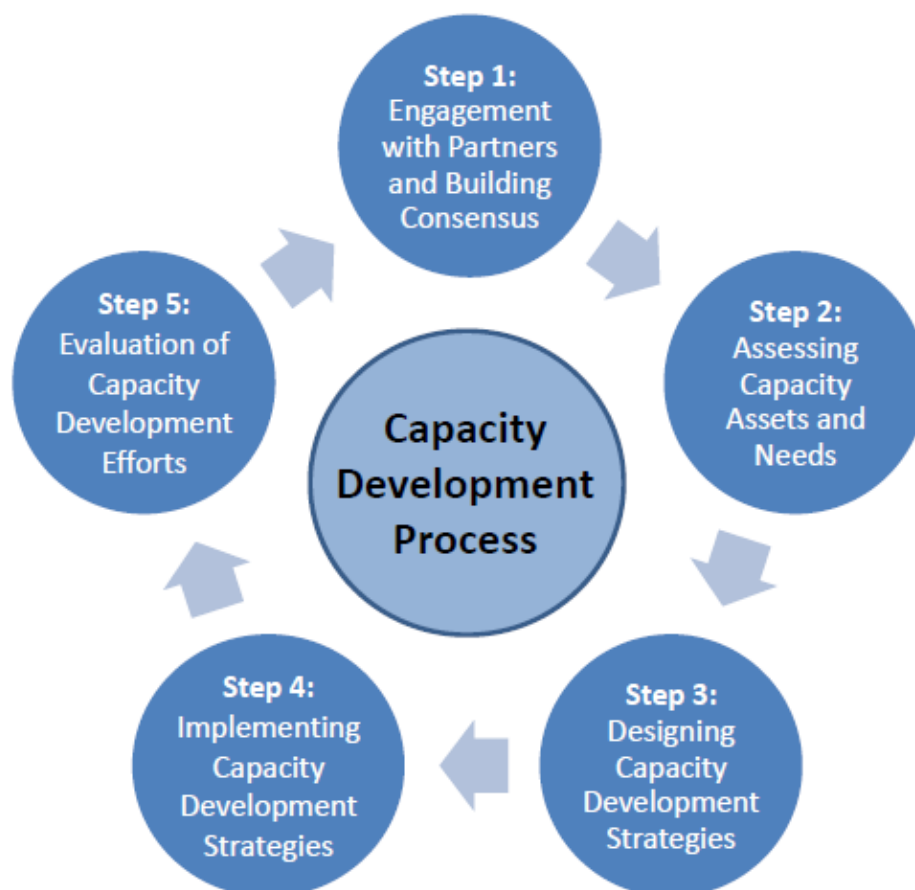
Figure 6: UNDG approach to supporting capacity development

Strengthening capacities of both UN staff and stakeholders to use the CD framework during the upcoming UNDAF planning process should be a priority. Relevant tools include:
- UNDG Capacity Assessment Methodology User Guide and Supporting Tool
- UNDG Technical Brief on Capacity Development
- Checklists for Programming for CD
- Capacity Development Learning Module

Further recommendations to strengthen the capacity development (CD) process are provided in the recently concluded Capacity Development in UNDAF Evaluation report[15]. These include:
- Provide strategic rather than fragmented and ad-hoc CD support
- Focus on CD support for strengthening leadership and accountability
- Focus on long-term and coherent CD support on emerging issues particularly National Key Result Areas (NKRAs) to build critical mass for maximum results

More specifically for outcome5 capacity development support should focus on strengthening specific competencies and skills in:

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[15] Capacity Development in UNDAF Evaluation Report, Context, 2012

- Adoption of RBM (Results Based Management) approaches to drive the programming cycle, establishment of logical and consistent results matrices and results oriented reporting (as opposed to input/output oriented)
- Specific CD support for HACT M&E and UNEDMT to strengthen results oriented monitoring and evaluation including developing SMART indicators and establishing a results oriented M&E framework
- CD support to mainstream gender quality and HRBA in outcome5 amongst UN, GNHC, RGoB and implementing partners
- CD support to mainstream environment sustainability, low carbon emission development and disaster risk reduction focussing on CSOs, NGOs, the private sector and CBOs as entry points.
- CD support at all levels for enforcement of environmental regulations
- CD at local level (Dzonkhag, Gewog and community levels) to mitigate, prevent and subsequently to respond to disasters including the use of various guidelines, SOPs and mainstreaming tools already developed.
- CD at local level for improved monitoring of environmental regulations and the DRR

The outcome should also provide CD support for women, children, other rights holders, civil society (CSOs, NGOs, CBOs) and the private sector to strengthen their role as implementing partners and beneficiaries for the next UNDAF cycle.

Recommendation 3

The UNDAF outcome5 in its present form is a very diverse programme dealing with a range of issues including environmental mainstreaming, disaster risk management, renewable energy and conservation of natural resources and bio-diversity. A significant portfolio of over 44 projects has contributed results at policy, institutional and community level. Because of the complexity of the programme and diversity of activities, coordination amongst implementing partners, development partners and other UN agencies is time-consuming and difficult.

A more focussed programme is recommended for the next UNDAF cycle to improve strategic positioning of UNDAF within the RGoB's development agenda, including the 11th Five Year Plan, and more efficient delivery of results. Priority focal areas should build upon the UN comparative advantages in areas of climate change adaptation, environmental sustainability, poverty-environment mainstreaming, disaster risk reduction and the UN's added value in coordination through established partnerships. Recommendations include:

- More specific support for low emission development, within the environment sustainability theme, including:
  - Support for an enabling framework for low carbon growth and climate resilient development including Low Emission Development Strategies (LEDS) and adoption of market based instruments to incentivise uptake by target groups building on UNDPs comparative advantage in the area
  - Support to implement the RGoB carbon neutral declaration and low carbon development agenda through upscaling and replication activities by building on the UN's comparative advantage in mainstreaming environmental sustainability through successful initiatives such as the JSP PEI and environmental education. Specific CD support for local government, CSOs, NGOs, the private sector and CBOs will provide relevant entry points for upscaling implementation.
  - Strengthening the role of private sector and CSOs in low carbon growth through CD support, specific initiatives, relevant public-private partnerships and support for environment service providers (refer recommendation 10)
  - Support to address issues in the "brown sector" based on emerging legislation including water management, rain water harvesting, waste water treatment and water re-use and solid waste targeting community and private sector level initiatives
  - Activities linking income generation and poverty reduction to low emission development including sustainable use of natural resources and tourism related activities such as agri-tourism and eco-tourism. Strengthening the role of the local community in the tourism value chain can provide important PEI linkages including the role of community members

as providers of green services (farm visits, local guides, collection of organic waste for farming, recycling), green products (handicrafts, seasonal produce, organic produce) and promoting the concept of food miles to reduce carbon emissions through better sourcing of produce from the local community.

- o Support for upscaling energy efficiency through CD amongst government, private sector and the construction industry and establishment of support mechanisms such as energy managers, energy auditors and Energy Service Companies (ESCOs)
- o Mainstreaming of environmentally friendly, low carbon, energy efficient and disaster resilient construction for urban, peri-urban and rural settlements including housing and building construction. This can build on the comparative advantages and best practices from the current cycle including EFRC and disaster resilient construction initiatives.

- Continued activities on disaster risk management, particularly:
    - o Mainstreaming of disaster risk management and disaster resilience building on successful pilot activities from the GLOF project
    - o Mainstreaming disaster risk reduction zoning, from the GLOF project, as a development tool across the country including flood hazard mapping and landslide mapping
    - o Disaster resilient urban and rural planning to reduce vulnerabilities to disasters
    - o Support for CD in disaster risk management at national, local and sub-local levels, building on successful examples such as the GLOF project, natural disaster response activities
    - o Strengthening the DRM research base including establishment of remote sensing stations, data collection, mapping of disease outbreaks, analysis and modelling capabilities. In the long term these can contribute towards the development of a climate change monitoring system which integrates remote sensing stations, early warning systems, hazard zoning, disease outbreak mapping and meteorological information to facilitate decision support, provide baseline information for monitoring climate change and improving disaster preparedness
    - o Strengthening partner coordination in disaster risk reduction, building on the Post Disaster Needs Assessment and Recovery Framework (PDNA/RF) and inter-ministerial task force on multi-sector pandemic preparedness structures in place

Support to establish a UN mechanism to identify synergies between activities of other UNDAF Outcomes is also recommended. In the case of outcome 5 synergies with other UNDAF outcomes include:

- UNDAF outcome 3 with specific education components on environment and disaster management
- UNDAF outcome 1 pro-poor employment activities and income generation including micro-enterprise development which can strengthen the PEI process and use of community information centres established to disseminate information from outcome 5
- UNDAF outcome 4 including strengthening people's participation for good governance which can provide possible mainstreaming entry points

The programme requires mainstreaming of gender equality and of human rights approaches using gender equality and HRBA approaches as entry points. This is dealt with in more detail in recommendation 4.

Recommendation 4

The weakest performing area of the outcome has been in addressing key cross cutting issues particularly gender equality and social inclusion.

The fulfilment of women's human rights, their economic development, and the resilience of their households is often determined by their access to or ownership of natural resources. Because of power disparities, women have less control over natural resources than men. The burden on women and girls for household food security, water and household fuel collection increases if drought, floods, erratic rainfall and deforestation undermine the ecosystems on which they depend. Accountability for the protection of the environment and sustainable use of natural resources is a gender and human

rights issue. Women must have the opportunity to play a role in decision-making about the management of natural resources in their communities.

Mainstreaming a gender sensitive approach from the outset is recommended to ensure outcome 5 makes women's and men's concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of its programs, so that gender inequality is not perpetuated. This should include:

- Ensure a gender analysis for the outcome that examines specific roles, division of labour, needs, and interests of women and men in the outcome, including women and men; and access to, and control over resources, benefits and decision-making processes.
- Determine critical capacity gaps for the promotion of gender equality, and how are they different for women and men
- Ensure there is broad participation of women and men as decision makers in the planning process of the outcome and in specific project activities and provide relevant CD support
- Develop measurable, and achievable gender equality results
- Develop outputs that describe tangible changes for rights-holders and duty-bearers which will lead to improvements in progress towards gender equality and women's empowerment, particularly linking gender quality and HRBA to the green agenda and DRM
- Developed gender-sensitive indicators if feasible (this requires the collection of baseline data disaggregated by sex, as well as by age and socioeconomic and ethnic groups)
- Provide specific financial support for the achievement of gender equality results;
- Include implementing partners who have commitment and capacity to promote gender equality in projects
- Involve gender equality specialists from the start of the planning process.

A Human Rights Based Approach (HRBA[16]) should be mainstreamed as part of a programme wide cross-cutting priority. This should include:

- Identification of specific disadvantaged groups (unemployed youth, rural populations, elderly, differently-abled, children etc)
- Assessment to shortlist major problems for analysis. Problems must be communicated as inter-related and unfulfilled human rights.
- Causality analysis to understand the root causes of non-fulfilment of human rights in previous activities
- Role and pattern analysis with emphasis on the main duties of the state to respect, protect and fulfil the needs of rights holders
- Capacity gap analysis
- Involvement of disadvantaged groups in planning and managing of specific activities (as implementing partners) besides their role as beneficiaries through CD support and HRBA
- Improved packaging of information focussing on available results/outputs, benefits, roles of beneficiaries, roles of duty bearers and sustainability mechanisms.

Figure 7 below provides insights on the interrelation between gender equality, HRBA and environmental sustainability in RBM programming principles.

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[16] HRBA Portal: www.hrbaportal.org

Human Rights
- UN Charter
- Millennium Declaration
- 2005 World Summit
- The Universal Declaration
- Standards in 9 core human rights treaties
- International labour standards
- Treaty body reports
- National laws, policies and plans

Environmental Sustainability
- Millennium Declaration & MDG7
- Rio Declaration and Agenda 21
- Declaration on Sustainable Development and Plan of Implementation (WSSD)
- Multilateral Environmental Agreements (MEAs) in 3 clusters: climate, biodiversity, chemicals.
- National action plans and reviews

Access to, and control of ecosystem resources (esp. vulnerable, excluded groups)

Shared underlying principles

Empowerment of women and girls and fulfillment of their human rights

Increased role of women in decision-making and their access to and control over ecosystem resources

Shared Underlying Principles:
(1) Accountability
(2) Public participation, inclusion and access to information
(3) Equality and non-discrimination

Gender Equality
- UN Charter (*esp. Article 1*)
- Millennium Declaration & MDG3
- TCPR 2004 & 2007
- 2005 World Summit
- Beijing Platform for Action (4th WCW)
- National action plans and reviews

Figure 7: Interrelation of Gender Equality, HRBA and Environmental Sustainability Programming Principles (from UNDG Results Based Management Handbook, 2010)

Recommendation 5

Specific short term programmatic recommendations for immediate implementation include:
- Ensuring that success stories from the existing cycle are adequately developed and disseminated.
- Strengthening of information sharing mechanisms targeting all levels (national and local government, private sector and community) to create awareness on new mainstreaming tools, guidelines and best practice case studies from the outcome. This can include greater use of Community Information Centres (CICs) developed under UNDAF outcome 1 to provide access to information, strengthening of UNDP Bhutan website as a repository for best practices and awareness creation amongst implementing partners on information tools such as climate tech wiki (http://climatetechwiki.org/) and the world bank climate change portal (http://sdwebx.worldbank.org/climateportal/index.cfm)
- Engaging civil society organisations, industry associations, NGOs and CBOs in developing the governance structure for the next UNDAF cycle (this is more specifically dealt with in recommendation 10 for the next cycle).

Systemic Recommendations

Based on the analysis carried, Systemic recommendations are 3 fold:
- Development of SMART, results oriented indicators
- Strengthening of joint programming activities including stronger commitment for Results Based Management (RBM)
- Strengthening of GNHC capacity to provide project implementation support for implementing partners

Recommendation 6

As identified in the analysis (Chapter 4) the tendency to use output oriented indicators, as opposed to result and outcome oriented indicators, has contributed to the system wide issue of poor integration between outputs and outcomes and limited scope to assess positive changes that the outcome has had on its intended beneficiaries. Some of the KPIs (key performance indicators) for GNH pillar 3 (Conservation and Sustainable Utilization and Management of Environment) are also output oriented (e.g. number of disaster preparedness programs implemented).

It is recommended that specific support is provided to develop SMART indicators for the outcome in the next UNDAF cycle. SMART indicators are those which are "**Specific**" for the development activities, "**Measurable**" in an objectively verifiable manner through appropriate sources of information, "**Achievable**" within capacity and resource constraints of the Bhutanese development context, "**Relevant**" to provide a measure of development impact, and "**Timely**" for the relevant periods of the next UNDAF cycle (2014-2018).These SMART indicators should be results oriented focussing on the intended positive changes expected amongst the target beneficiaries based on the principles of Results Based Management (RBM) and appropriate capacity development, as opposed to being output oriented. This process should be undertaken at the planning stage with strong involvement of UN agencies, UNEDMT, implementing partners and beneficiaries.

Recommendation 7

The prominence of and political support for decentralized governance under the new parliamentary democracy in Bhutan provides an opportunity for mainstreaming environmental issues and targeting capacity development, including among CSOs/NGOs. UNDAF interventions have engaged diverse stakeholders through adopting a multi-sectoral and decentralized approach with a community focus. This also has provided space for synergy and convergence among stakeholders. The UNDAF guidelines make clear that results in the UNDAF must be identical to the results in agency planning documents. In practice, many results agreed by the agencies in the UNDAF are later adjusted in programme and project documents to reflect organisational results frameworks. In this context managing for UNDAF results is an add-on competing for scarce RGoB staff time and resources

It is recommended that additional commitment and support is provided for managing for thematic outcomes as a joint process by UNEDMT requiring:
- Greater commitment towards Results Based Management (RBM) including results oriented reporting (see recommendation 1 for more details)
- Development of outcome and result oriented indicators which are consistent in both the UNDAF and the Five Year Sectoral plans of RGoB partners
- Monitoring outcome results jointly include joint M&E field visits
- Using this results based evidence to engage more regularly and effectively with stakeholders to discuss UNDAF performance and how to better align UNCT and government resources for greater effectiveness.

Recommendation 8

The lack of procedural support has hampered implementation effectiveness amongst some IPs many of whom have nascent capacities. It is recommended that GNHC capacity to provide project

implementation support for implementing partners be strengthened to support procedural aspects of projects including:

- Results Based Management (RBM)
- Project and programme cycle management
- Project implementation structures
- Results oriented reporting
- Implementation of M&E systems
- Development of SMART indicators
- Project risk assessment
- Mainstreaming of gender equality
- Adoption of HRBA
- Development of tender specifications for works, services and procurement
- Development of effective communication and information sharing plans for projects

Adequate capacity development should be provided to staff allocated supplemented by resource bases such as the numerous toolkits developed within the UN system including the UNDP Programme and Project Management (PPM) for Results Maturity Toolkit, CEDAR (Capacity for Efficient Delivery of Achievable Results) initiative, RBM manual, HRBA portal and toolkits, results management section of the UNDP User Guide (RMG)

Implementation Recommendations

Implementation recommendations focus on creating greater efficiency and effectiveness in delivering UNDAF results, particularly upscaling and replication. The recommendations are 3 fold and include:

- Support for activities contributing to enforcement of environmental regulations
- Support for private sector and civil society initiatives
- Support for market instruments including Payment for Ecosystem Services (PES)

Recommendation 9

A result of the RGoB initiatives and the current UNDAF cycle has been the emergence of a comprehensive environmental regulatory framework. Despite these achievements there are numerous enforcement and implementation weaknesses in environment sustainability. These weaknesses have resulted in the lack of widespread impact diminishing the effects of mainstreaming. Concerted effort needs to be put in place to initiate a green economy approach linking private sector development, livelihood improvement and gender opportunities.

New emphasis should be given to compliance and enforcement of environmental regulations in the next UNDAF cycle. This should particularly target CD at Dzonkhags, Gewogs, private sector and communities.

Strengthening of information sharing and information flow mechanisms to reach all levels and building capacity of target groups to assimilate information should be part of this approach including greater use of Community Information Centres (CICs) developed under outcome1 to provide access to information.

Recommendation 10

The current UNDAF cycle has seen few instances of private sector and civil society involvement (e.g. PPP on integrated solid waste management, RSPN activities). The private sector in Bhutan is characterized by low efficiency technology, lack of preventive maintenance, poor energy efficiency, improper production management and inefficient use of raw materials. especially in Small and Medium sized enterprises (SMEs). SMEs represent the backbone of the present private sector in Bhutan constituting more than 99% of companies. Efficiency gains achieved amongst large enterprises are outnumbered by the still mushrooming amount of polluting SMEs and are further

exacerbated by consumer trends on the demand side including a rapidly growing middle-income class and rapid urbanization.

Sustainable business practices are an essential ingredient for green growth and the private sector can generate innovative solutions and financial resources that can help sustain natural capital. For example, certification schemes that guarantee buyers that products have been sourced and produced sustainably can help protect natural capital while generating revenue and jobs.

It is recommended that the next UNDAF cycle enables a much greater role for the private sector and civil society organisations as both implementing partners and beneficiaries. This is particularly relevant for mainstreaming the agendas of low emission development, disaster resilience / management and creating resulting opportunities for income generation and livelihoods. Key implementing partners should include:
- NGOs focussing on sustainable development
- Industry associations as an entry point to mainstream environmental sustainability and DRR across key private sector, examples include:
  - BCCI (Bhutan Chamber for Commerce & Industry) with over 800 members
  - Construction Association of Bhutan, with over 3000 private sector members covering architects, construction contractors (roads, bridges, buildings, water works, telecoms, power, traditional finishing), logistics/transportation
  - Association of Bhutanese Tour Operators (ABTO) with over 450 members
  - Guides Association of Bhutan (GAB) with over 200 members
  - Hotels Association of Bhutan (HAB) with over 60 members from hotels & restaurants
  - Automobiles Association of Bhutan (AAB) with over 70 members from vehicle service and metal finishing companies
  - Handicrafts Association of Bhutan with 60 members
- Community based organisations including:
  - National Women's Association of Bhutan
  - Bhutan Association of Women Entrepreneurs
  - RENEW (Respect, Educate, Nurture and Empower Women)
  - Numerous Farmer groups
- Environmental and low emission service providers who can meet valuable skills gaps and provide much needed technical support mechanisms in Bhutan

Recommendation 11

Ecosystem services are benefits that people obtain from ecosystems, including:
- Provisioning services which are goods obtained directly from ecosystems (e.g., food, medicine, timber, fibre, bio fuel)
- Regulating services which are benefits obtained from the regulation of natural processes (e.g., water filtration, waste decomposition, climate regulation, crop pollination, regulation of some diseases)
- Supporting services such as regulation of basic ecological functions and processes that are necessary for all other ecosystem services (e.g., nutrient cycling, photosynthesis, soil formation)
- Cultural services such as psychological and emotional benefits gained from human relations with ecosystems (e.g., enriching recreational, aesthetic, and spiritual experiences).[17]

All economies ultimately rely on goods and services derived from the natural environment. For low-income countries such as Bhutan these goods and services are especially important and are often directly linked to local natural capital. For Bhutan, natural wealth in the form of agricultural land, timber, mineral deposits and other natural resources accounts for a significant proportion of income generation.

It is recommended that support to establish financial incentives and appropriate market instruments be provided to support investments in natural and environmental capital. These can provide cost-effective options for biodiversity conservation, poverty alleviation and green economic development in Bhutan. To encourage such investments, assessments of the economic and social value of specific

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[17] Ecological Footprint & Investment in Natural Capital in Asia-Pacific, 2012, ADB and WWF

ecosystems services are needed. Relevant sustainable financing options need to be explored including RGoB, donors, private sector, banks and international market instruments. This is particularly important for Bhutan, where the value of natural capital may exceed the value of produced capital and where national budgets may not be sufficient to provide direct budget support.

Options for sustainable financing include various Payment for Ecosystem Services (PES) schemes. Under a PES scheme, people involved in managing or protecting ecosystems that provide ecosystem services, such as vegetation in a watershed for example, are paid by those who benefit from the services. PES schemes can include approaches for "Reducing Greenhouse Gas Emissions from Deforestation and Forest Degradation" (widely known as REDD+), which aim to create a financial value for the carbon stored in forests and incentives for developing countries to reduce emissions from forested lands. Other PES examples include community based water harvesting, low carbon tourism and human wildlife conflict (HWC) management.

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<u>ANNEXES</u>

Annex 1. Terms of Reference of the Evaluation
UN Energy, Environment & Disaster Management Outcome Evaluation within UNDAF/cCPAP (2008-2013)

Background
The Royal Government of Bhutan (RGoB) and the UN agencies operating in Bhutan[18] signed the United Nations Development Assistance Framework (UNDAF 2008-2012) and the UNDAF operational tool, the common Country Programme Action Plan (cCPAP 2008-2012, which is now extended until 2013) in 2007. The documents outline the framework of cooperation between the UN system and the RGoB to support the realization of the Millennium Development Goals and the national development plan; the 10th Five Year Plan (FYP). Five outcome areas for UN support were agreed upon and contributed to the following five overall objectives, namely;

1. To halve poverty by 2013
2. To improve the accessibility, quality and sustainability of the health care delivery system
3. To improve the quality, relevance and coverage of education
4. To foster good governance as a core value for development
5. To enhance environmental sustainability and disaster management

The UNDAF/cCPAP planning process coincided with the drafting of the 10th FYP and the two processes were mutually reinforcing. However, since the newly elected government came only into being in the 1st quarter of 2008, the UNDAF/cCPAP were finalized beforehand with sufficient flexibility built-in to ensure alignment once the 10th FYP was officially adopted by the RGoB. The Country Programme Board (CPB) has the overall responsibility for the UNDAF/cCPAP implementation and monitoring. The Country Programme Board provides supervision and guidance to the theme groups and annually assesses the progress. The joint Country Programme Board, comprised of representatives from the Government and the UN agencies, is co-chaired by the Secretary, GNH Commission and the UN Resident Coordinator.

Five UNDAF Theme Groups (UNTGs) pertaining to each development outcome- poverty, health, education, governance, environment and disaster management- were set up to coordinate UN-RGoB system efforts to monitor the UNDAF/cCPAP. The UNTGs are responsible for monitoring and evaluating the implementation of the cCPAP through 18 month rolling work plans with implementing partners, and for ensuring that the UN support is timely and addresses the actual need of the RGoB to develop and implement government policies in line with the UNDAF/cCPAP and the RGoB's 10th Five Year Plan. Since 2009, these working groups are co-chaired by a lead government agency and an UN lead agency.

Through the Environment and Disaster Management Theme Group, the UN has been able to effectively align its support in the thematic areas of environment, disaster and renewable energy. Over the course of the current UNDAF cycle, numerous policy and legal instruments have been put in place to ensure that environmental impacts of development activities are taken into consideration. Additional emphasis is being given to strengthening implementation of related policies and plans, as well as to their monitoring and evaluation. With Bhutan deriving 64 percent of its wealth from its natural capital, primarily natural resources,[19] the environmental sector makes a substantial and visible contribution to the Bhutanese economy through the employment that it generates. The agriculture sector alone provided about two-thirds of jobs – some 183,000 – in 2007. Together, agri-, water-, forestry- and mineral-based jobs directly and indirectly provided more than 75 percent of employment

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[18] UNDP, UNICEF, UNFPA, WFP, WHO, FAO, IFAD, UNAIDS, OCHA, UNCDF, UNEP, UNESCO, UN Women, UNV, UNODC, UNCTAD. Other non-signatory agencies like UNHABITAT and UNIDO are also part of the process.
[19] World Bank, Where Is the Wealth of Nations? 2006.

that year.[20] However, natural resource degradation and biodiversity loss are increasingly undermining current and future livelihoods. The poor continue to be those usually most affected, given that they are left with little or no alternative. Limited agricultural land and productivity, population growth and scattered distribution, accelerating rural-urban migration, infrastructure that is costly to maintain, and a nascent private sector all exacerbate fundamental environmental pressures.

UN efforts so far have contributed to several important policies and legal initiatives of the government. Focus is now being accorded to compliance and enforcement of environmental regulations, even as capacity of relevant agencies and access to environmental data and monitoring systems are being strengthened.

Bhutan's vulnerability to extreme risks from natural hazards also calls for concerted efforts in building capacity for response and preparedness as well as strengthening partnership between the RGoB and UN and other development partners in disaster risk reduction. In addition, there is also a need to address longer-term disaster risk reduction through implementation of the National Disaster Risk Management Framework and strengthening key institutions in the country.

Leading up to the process of the next UNDAF formulation, the UN is also taking up mainstreaming of environment sustainability, climate change and disaster risk reduction as a priority activity. The RGoB is also taking steps to mainstream these issues and has integrated these in the guidelines issued for the preparation of the 11th FYP. Through the Joint Support Programme: ***Capacity Development for Environment, Climate Change and Poverty Mainstreaming in policies, plans and programs,*** the UN is supporting the RGoB in mainstreaming efforts since 2010. The UN and government have both recognized this initiative as an important element to be considered in the formulation of the 11th FYP. The RGOB has already developed an overall framework for mainstreaming environment, climate change and poverty concerns in the 11th FYP and this has been included in the 11th FYP preparation guidelines. The framework can be applied to integrate other cross-cutting issues such as disaster, gender, etc. The UN is also responding positively by addressing this in the new UNDAF (2014-2018) through training the UNCT and key stakeholders in mainstreaming cross-cutting issues during the UNDAF formulation process.

Purpose of the Outcome Evaluation

The UNDAF Environment and Disaster Management Theme Outcome Evaluation has the following primary aims:

The evaluation will systematically gather and analyze evidence of the extent to which the UN has been able to deliver results under the outcome as planned, which respond to national development goals of Bhutan (as articulated in the 10th FYP), and **the extent to which UN's support under the outcome has produced results** in terms of stronger institutions which have contributed to development results in the relevant areas.

Looking forward, based on the evidence of what has and has not worked, the evaluation is intended to help improve **the quality of UN's support in the area of environment, biodiversity, climate change and disaster risk reduction**, by evaluating the degree to which the UN has been able to deliver support that is effective, relevant, sustainable, coordinated, and nationally owned.

Scope and Objectives of the Evaluation

The main objective of the evaluation is to conduct an in-depth outcome evaluation of UNDAF Outcome 5: with focus on the 4 CT Outcomes under it. The evaluation will cover the current UNDAF/cCPAP period (2008-2013). The evaluation will look back at the period from 2008 to 2011 to draw lessons learned, and provide forward looking recommendations to inform programme implementation in 2012 – 2013, as well as the design of new interventions in the formulation of the new UNDAF Action Plan. Data for the evaluation will be collected from January 2008 till March 2012. The scope and focus of the evaluation will be grounded in the specific development context of Bhutan, and the evaluation methodology will be informed by discussions with stakeholders, background research, as well as review of previous evaluations, project evaluations under the outcome and other relevant documentation. The Evaluation Team is expected to identify and review such relevant background documents, including support and interventions made by other

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[20] Statistical Year Book 2008.

development partners, such as SNV, JICA and the World Bank, to place UN's support in a bigger context. In addition, the Evaluation Team will be expected to make a concerted effort to identify (and incorporate into the evaluation framework and methodology as appropriate) position statements and policy documents of RGoB which are relevant to this outcome evaluation. These could include (but are not limited to) policies related to renewable energy, environment and biodiversity, climate change and disaster management as well as those more broadly related to technical cooperation/assistance, aid coordination, development assistance, and so forth.

It is expected that the Evaluation Team will have expertise in UNDAF evaluation generally (and in particular in the region), as well as in approaches to evaluating environment outcome results specifically. Given that this evaluation is of UN-wide contributions, the Evaluation Team should review key documents related to common UN approaches to achievement of results under the outcome at the country level.

The Evaluation Team will be required to submit an inception report which presents a detailed evaluation methodology/framework which not only reflects understanding of UNDAF/cCPAP and the Environment and Disaster Management Outcome, but also adapts the methodological approach to the context of Bhutan. It is important to point out that the present ToR is intended to provide an overview of the rationale, context, scope, objectives, and management arrangements for the outcome evaluation, but the Evaluation Team is expected- using this ToR as a frame of reference- to develop a detailed evaluation methodology, one which is based on a comprehensive review of relevant documents as well as inputs from stakeholders.

The evaluation process will involve the following:

- Evaluate the progress towards achievement of the environment and disaster management outcomes;
- Review the relevance and effectiveness of the overall programme interventions vis-à-vis resources invested, with changing country's needs in the area of environment and disaster management;
- Review and assess the programme's partnership with the government bodies, civil society and private sector, international organizations, and bi-lateral donors in programme implementation;
- Review and assess the efficiency of implementation and management arrangements of the programmes under this Outcome, including through the relevant UN – RGoB UNDAF Theme Groups;
- Review sustainability of the achievements made, establishing links to environment and disaster management indicators wherever possible; assess the extent to which successes have been or can be up-scaled or replicated;
- Identify gaps/weaknesses in the current design of interventions under this Outcome and provide recommendations as to their improvement;
- Identify lessons learnt from previous interventions in this area (from 2008-2011) and provide forward looking recommendations to inform programme implementation in 2012 – 2013, as well as the design of new interventions in the formulation of the new UNDAF Action Plan;
- Identify possible future interventions of the programme, including more enhanced cross-sectoral collaborations.

Evaluation Questions (these should not be seen as exhaustive)

Outcome analysis
- Has the UNDAF Outcome been achieved, or has progress been made toward its achievement?
- Are the CT Outcomes relevant and realistic given the issues, underlying causes and participating UN Agencies' comparative advantages? Is it relevant in the context of national goals and priorities, as well as of internationally agreed goals, commitments, norms and standards?
- Focusing on key trends, what main factors have affected the Outcome, positively or negatively? How have these factors limited or facilitated progress toward the Outcome?
- To what extent are the results sustainable?
- To what extent, and how, can they be replicated or mainstreamed in national policies, strategies and programmes?
Output analysis

- What are the key outputs that have been or that will most likely be produced by the UN agencies to contribute to the outcome?
- Are the CT outputs relevant to the outcome?
- What are the quantity, quality and timeliness of outputs? What factors impeded or facilitated the achieving of such outputs?
- What are the lessons learnt on monitoring and evaluation indicators?
- Has sufficient progress been made with regard to UNDAF outputs?

Output-outcome link
- Whether CT outputs or other interventions can be credibly linked to the achievement of the outcome (including the key outputs, projects, and soft assistance);
- What are the key contributions that UN agencies have made/is making to the outcome?
- With the current planned interventions in partnership with other actors and stakeholders, will UN agencies be able to achieve the outcome within the set timeframe and inputs – or whether additional resources are required and new or changed interventions are needed?
- Assess UN's ability to develop national capacity in a sustainable manner (through exposure to best practices in other countries, holistic and participatory approach). Has UN been able to respond to changing circumstances and requirements under the outcome areas?
- What is the prospect of the sustainability of UN interventions related to the outcome?

Resources, partnerships, and management analysis
How have the UN Delivering as One (DaO) contributed to the Outcome?
- In particular, did the United Nations Agencies jointly have an impact on the Outcome directly through "soft" assistance (e.g., policy advice, dialogue, advocacy) that may not have translated into clearly identifiable outputs? Is there a sound balance between "upstream" and operational (service delivery) interventions?
- Have any joint programmes been undertaken by one or more United Nations Agencies and/or partners? To what extent have they contributed to aid effectiveness (reduced costs, etc.)? Are roles and responsibilities well-defined? How are complementarity and synergy assured among different interventions?
- What have been the key challenges and opportunities?
- How effective is coordination in planning and implementation with the Government?
- Are the current monitoring, evaluation, internal control and accountability systems adequate to enable the United Nations to demonstrate programme results?
- In the view of both the United Nations and its counterparts, are interventions appropriately resourced (i.e., in both quantity and kind of allocations)? Are results satisfactory in view of the efforts deployed and costs incurred? Were there any bottlenecks in implementation?
- Did the United Nations Agencies have a partnership strategy to ensure coordination with relevant stakeholders who played a role in achieving Outcomes? How did it affect progress towards Outcomes?
- What is the strategy for resource mobilization, and how did it affect progress towards Outcomes?
- Are there emerging issues that the United Nations is addressing and not addressing? How does the United Nations decide which emerging issues should be addressed?

Methodology
During the outcome evaluation, the evaluator(s) are expected to apply the following approaches for data collection and analysis:
- Desk review of relevant documents
- Discussions with Bhutan UNCT, CO senior management and programme staff
- Discussion with GNHC and relevant government agencies
- Consultation meetings and interviews:
  - UNTGs, UN HACT and M&E Working Group, Energy, Environment and Disaster Management
  - Unit staff
  - Stakeholders and relevant project staff;
  - Field visits;
  - In-person interviews and focal group discussions with local authorities and target communities;
- Briefing at the beginning of the assignment and de-briefing at the end of the assignment

Expected outputs

The key products expected from this outcome evaluation are comprehensive analytical reports that include:

- Evaluation Inception Report
- An Outcome Evaluation Report that highlights the following components:
- Executive summary;
- Introduction;
- Description of the evaluation methodology;
- Analysis of the situation with regard to outcome, outputs, resources, partnerships, management and working methods;
- Key findings;
- Conclusions, recommendations and lessons learnt for future programme design and implementation.

Evaluation team composition and competency requirements

The evaluation team will comprise one international consultant who will take the overall responsibility of the evaluation, report writing and for the quality and timely submission of the evaluation reports to UNCT/GNHC. The consultant will liaise closely with the Joint UN-RGOB Environment and Disaster Management Theme Group, consisting of relevant UN staff and RGoB focal points.

Qualification requirements for the international consultant:

- Advanced University degree in environment, social sciences, disaster management, international development and related fields;
- At least 5-7 years of professional experience with government agencies or international organizations in the area of environment, natural resources management, disaster management, socio-economic development with extensive experience in conducting evaluations (especially in the region);
- Knowledge of result-based management evaluation, UN policies, procedures, as well as participatory monitoring and evaluation methodologies and approaches;
- Demonstrated analytical, communication and report writing skills;
- Fluency in written and spoken English.

Evaluation Ethics

It is expected that the Consultant will respect the ethical code of conduct of the United Nations Evaluation Group (UNEG):

- Independence and impartiality of judgment in assessment findings and recommendations.
- Disclose any potential conflict of interest, and to deal honestly in resolving any conflict of interest that may arise.
- Display honesty and integrity in the evaluation process.
- Display professional competency, ensuring accuracy, completeness, reliability, transparency and accountability.
- Respect and protect the rights and welfare of human subjects and communities in accordance with the United Nations Universal Declaration of Human Rights and other human rights conventions.
- Respect people's right to provide information in confidence and make participants aware of the scope and limits of confidentiality, while ensuring that sensitive information cannot be traced to its source.
- Obligation to report omissions and wrongdoing or unethical conduct, they are obliged to report it to the proper oversight authority.

Implementation arrangements

The GNHC will lead the UNEDMT Outcome evaluation process. To facilitate the process, an Evaluation Working Group (EWG) will be established with relevant members from the UNEDMT. The EWG will provide both substantive and coordination support to the Consultant to ensure a participatory evaluation process and communicating feedback on the findings.

Timeline and schedule (tentative)

The mission will take place in April - May 2012. The duration of the assignment is for 30 working days, including field visits and writing of the report.

Activity	Timeframe	Responsible Party
Desk review, Evaluation design, methodology and detailed work plan, and access to relevant reports	3 days	Consultant
Initial briefing (Inception Report)	1 day	Consultant,
Consultations, meetings/ interviews related to the outcome evaluation including relevant partners	9 days	Consultant, EWG UNCT/GNHC
Field visit, meetings/ interviews related to the outcome evaluation including relevant partners	8 days	Consultant, UNCT/GNHC
Preparation of draft evaluation report	5 days	Consultant
Debriefing with UNCT	1 day	Consultant
Finalization of evaluation report incorporating additions and comments	2 days	Consultant
Submission of the final evaluation report to UNCT	1 day	Consultant

Annex 2 Evaluation Questions

Relevance

- What analysis was done in designing the programme?

- To what extent were national and local government involved in design of the programme?

- To what extent were CSOs/CBOs/NGOs / communities involved in design of the programme?

- Are the resources allocated sufficient to achieve the objectives?

Effectiveness

- To what extent have participatory approaches been adopted in planning and delivery of initiatives and what has been feasible in the country context?

- In addition to UNEDMT initiatives, what other factors may have affected the results?

- What were the unintended results (+ or -) of UNEDMT initiatives?

Efficiency

- On what basis were project activities designed?

- Were funds focused on the activities expected to produce significant results, pilots or broadest coverage?

- Were there any factors that contributed to reducing costs while supporting results?

- Is a Project Implementation Support Unit in place for efficiency of delivery?

- How did UN assist the efficiency of programme delivery?

- Have there been delays in fund release? Why?

- Has there been continuity in project management structures including project managers and senior staff amongst IPs?

- What has been the level of support and cooperation by stakeholders (government/community) in implementing individual projects?

- Have there been problems in aligning UNDP budget codes and other attributes with RGoB systems? Examples?

- Have there been time extensions on projects ?

- What were the typical circumstances giving rise to the need for the extensions?

- What mechanisms does UNEDMT have in place to monitor project implementation?

Sustainability

- Please give examples for mechanisms for sustainability of individual projects / overall programme outcomes?

- What issues emerged during implementation as a threat to sustainability?

- What corrective measures were adopted?

- Is there are high turnover of government officials?

- How was this addressed?

- How were capacity gaps addressed to supporting implementation?

- How has UNEDMT approached the scaling up of successful pilot initiatives and small projects?

- Has the government taken on scaling up initiatives?

- Have other donors stepped in to scale up initiatives?

Gender

- To what extent was each CT designed with contributions for gender equality?

- How did UNEDMT support positive changes in gender equality and were there any unintended effects?

- Can results of the programme and projects (e.g. Annual reports) be disaggregated by gender?

Social Inclusion

- How did the outcome take into account needs of vulnerable and disadvantaged to promote social equity, (e.g women, youth, rural persons)?

Annex 3 Evaluation Matrix

Evaluation Criteria	Evaluation Questions	What to look	Data sources	Data collection method
Relevance	-Are activities aligned with national strategies? - Are the anticipated CT outcomes consistent with human development needs (including MDGs) and specific development challenges in the country?	-How do projects align with national strategies (in specific thematic area)? -How do projects address human development needs of intended beneficiaries	-CPB reports -10th FYP -Annual progress reports -UNDAF MTR -Annual Work Plans - Project Evaluation reports -Human Development Reports -MDG progress reports -Interviews with beneficiaries	-Desk reviews of secondary data -Interviews with government partners -Interviews with NGOs partners/ service providers -Interviews with funding agencies and UNCT -Field visits to
	- Is there a clear intervention logic for the outcome? -Are UN approaches, Relevant to achieve the planned outcome? -Are they sufficiently sensitive to the context in the country? -To what extent has UN adopted participatory approaches to plan and deliver initiatives feasible in the country context?	-What analysis is done in designing the programme? -Is there a clear intervention logic between activities, outputs, CT outcomes & outcome5? -To what extent have stakeholders been involved in design? -Are the resources allocated sufficient to achieve the objectives?	-UN staff -Development partners -IPs -NGOs, CSOs, CBOs	-Interviews with UN staff, development partners, IPs. civil society partners,

Evaluation Criteria	Evaluation Questions	What to look	Data sources	Data collection method
Efficiency	-Have activities been implemented within deadline and cost estimates? -Have UN and its partners taken actions to solve implementation issues? -What impact have external factors had on delivery timelines	-Have there been time extensions on projects ? - What were the circumstances giving rise to need for extensions? -Has there been over-expenditure or under-expenditure on projects? -What mechanisms does UN have in place to monitor implementation? -Are these effective?	-Programme documents -Annual Work Plans -Evaluation reports -Annual progress reports -Implementing partners -Development partners -UN staff (Programme Implementation Support Unit)	-Desk reviews of secondary data -Interviews with IPs, UN and development partners
	-Were UN resources focused on activities	-Are resources concentrated	-Programme documents	-Desk reviews of secondary data

	expected to produce most significant results? -Was there any initiatives that contributed to reducing costs while supporting results? -Has Project Implementation Support assisted the efficiency of programme delivery?	on the most important initiatives or are they scattered/spread across initiatives?	-Annual Work Plans -Evaluation reports -Annual progress reports -IPs -Development partners -UN staff (Programme Implementation Support Unit)	-Interviews with IP partners and development partners

Evaluation Criteria	Evaluation Questions	What to look	Data sources	Data collection method
Effectiveness	- Were the intended outputs achieved? -How does UN measure its progress towards expected outputs/ outcomes in a context of flux? -Were activities Focussed on areas of greatest need? -To what extent do the poor, women and other disadvantaged and marginalized groups benefit? -How far has context been taken into consideration in selecting activities?	-What outputs have been achieved? -What percentage of results at output level have been achieved? -Who are the target beneficiaries and to what extent have they been reached by projects? -Have needs of disadvantaged groups taken into account in design, implementation, benefit sharing & M&E? -What were the unintended results (+ or -) of UN initiatives?	-Project/ programme/ thematic evaluation reports -Annual Progress reports -UN staff -Development partners -IPs -Beneficiaries	-Desk reviews of secondary data -Interviews with IPs, development partners, UN staff, civil society partners, -Field visits to selected projects
Impact	-How broad are the outcomes (e.g., local community, district, regional, national)? -Did it set changes and processes that move towards expected outcomes? -Did the programme implementation contribute towards the stated 4 CT outcomes?	-Are the results intended to reach local community, district, regional or national level? -What changes can be observed as a result of these outputs? -What CT outcomes did it intend to achieve?	-.Evaluation reports -Annual Work Plans -Progress reports -Human Development Reports -UN staff -Development partners -IPs -Beneficiaries	-Desk reviews of secondary data -Interviews

Evaluation Criteria	Evaluation Questions	What to look	Data sources	Data collection method
Sustainability	-Were initiatives designed for sustainable results given identifiable risks? -Did they include an exit strategy? -How do UN & IPs propose to exit from projects that have run for several years?	-Do projects have an exit strategy? -To what extent does the exit strategy take into account: ——Political factors (support from national authorities) —Financial factors (available budgets) ——Technical factors (capacity needed)	-Programme documents -Annual Work Plans -Evaluation reports -IPs	-Desk reviews of secondary data -Interviews
	-What issues emerged during implementation as a threat to sustainability? -What corrective measures were adopted? -How has UN addressed challenge of building national capacity in face of high turnover of government officials?	-What unanticipated sustainability threats emerged during implementation? -What corrective measures did UN take?	-Evaluation reports -Progress reports -UN staff	-Desk reviews of secondary data -Interviews of UN & IPs
	-Are there mechanisms for scaling up successful pilots and catalytic projects? -Has the government taken on these initiatives? -Have funds (government or other donors) been sourced to scale up initiatives?	-What actions have been taken to scale up the project if it is a pilot initiative?	-Evaluation reports -Progress reports -IPs - Donors -UN staff	-Desk reviews of secondary data -Interview UN, IPs & Donors

Evaluation Criteria	Evaluation Questions	What to look	Data sources	Data collection method
Policy dialogue on human development issues	.To what extent did the outcome support the government in monitoring achievement of MDG7?	-What assistance has been provided to government in promoting human development and monitoring MDG7?	-Project documents -Evaluation reports -HDR reports -MDG reports -GNHC	-Desk review of secondary data -Interviews with government partners
Contribution to gender	-To what extent was the	-Provide example(s) of how the initiatives	-Project documents -Evaluation reports	-Desk review of secondary data

equality	outcome designed to incorporate in each CT contributions for gender equality? -To what extent did UN support positive changes in terms of gender equality and were there any unintended effects?	contribute to gender equality. -Can results of the programme be disaggregated by sex?	-UN staff -IPs -Beneficiaries	-Interviews with UN staff and IPs -Observations from field visits
Addressing equity issues (social inclusion)	-How did the outcome take into account needs of vulnerable and disadvantaged groups to promote social equity?	Provide example(s) of how the initiatives take into account needs of disadvantaged groups -How has UN programmed social inclusion?	-Project documents -.Evaluation reports -.UN staff -.Government partners -.Beneficiaries	-Desk review of secondary data -Interviews with UN staff and government partners -Observations from field visits

Annex 4: Assignment Schedule

The table below provides an overview of the schedule of the assignment.

Date	Activity	Responsible	No. of Days
09 May 12	Send relevant documents to Consultant for desk review	UNEDMT Co-chair	
09 –10 May 12	Home-based desk review of documents and preparation of inception report as per ToR	Consultant	2
11 May 2012	Preparation of Inception report and discussion with UNDP Environment Unit		1
12 –13 May 12	Desk Review and prepare outline of the Report		2
14 May 12	Meetings with: - UNEDMT members (Joint UN-RGoB) - HACT M&E Group - UNICEF - Gross National Happiness Commission - National Environment Commission	Consultant and UN Co-chair	1
	Briefing with CO Senior Management	Consultant	
	Review documentation and report preparation	Consultant, Environment Unit	
15 May 2012	Meetings with: - Department of Disaster Management - Ministry of Education - Royal Society for Protection of Nature	Consultant, Environment Unit	1/2
16 May 2012	Meetings with: - Department of Hydromet Services - Department of Geology and Mines	Consultant, Environment Unit	1/2
	Desk Review and Report Preparation of preliminary draft report	Consultant	
17 May 2012	Meetings and Submission of preliminary findings of to UNCT, HACT M&E and CO Senior Management	Consultant, Environment Unit	1
30 May, 2012	Meetings with: -Department of Renewable Energy -Department of Forest (WLCD) (MoAF) -National Biodiversity Center		1
31 May 2012	Field visit to Punakha and Wangdue Phodrang - Meeting with Disaster Focal Person Punakha Dzonkhag - Site visit (Early warning system) - Site visit (Flood Warning Unit, control area) -Meeting with the Disaster focal person Wangdue Phodrang Dzonkhag	Consultant & Intern	1
01 June 2012	Field visit to Tsirang -Visit to Mendrelgang (ILCCP) - Meeting with Mendrelgang ILCCP beneficiaries - Meeting with Extension officers (Mendrelgang Gewog) -Meeting with Project focal person (Admin officer Tsirang Dzonkhag) & Agriculture officer Tsirang Dzonkhag	Consultant & Intern	1

02 June 2012	Return to Thimphu	Consultant	1
06 June 2012	Meeting with: - Austrian Coordination Office Follow-up meetings with implementing and donor partners (if required)	Consultant	1
07 – 10 June 2012	Draft report preparation	Consultant	4
11 June 2012	Presentation/workshop on 1st draft report with UNEDMT, UNTG, HACT M&E Working Group,	Consultant & Envmnt Unit	1
12 June 2012	Debriefing CO Senior Management	Consultant & Envmnt Unit	1
13 June 2012	-Incorporation of feedback from UNEDMT, UNTG, HACT M&E & CO Senior Management to draft report -Final meetings with stakeholders	Consultant	1
19 – 24 June 2012	Updating of report	Consultant	4
24 June – 4 July 2012	Feedback on 2nd draft report (UNDP, UNEDMT, HACT M&E, UNCT)	Envmnt Unit	0
6 – 11 July 2012	Preparation and submission of draft final report	Consultant	4
12 - 25 July	Feedback on draft Final Report	Envmnt Unit	
26 July – 8th August	Production of final report	Consultant	2+
8th – 16th August	Final comments and approval of final report	Envmnt Unit	
	Total Working Days		**30**

Annex 5: UNDAF Outcome 5 M&E Framework

	Results	Indicator	Baseline	Target (cumulative)					MoV/ Frequency
				Year 1	Year 2	Year 3	Year 4	Year 5	
5	**UNDAF outcome: *By 2012, national capacity for environmental sustainability and disaster management strengthened (MDG 7)***	National policies and plans incorporating environment/ disaster/ climate concerns	National policies and plans do not adequately address environment/disaster and climate change concerns.					11th FYP Incorporates environment, disaster and climate change concerns	11 FYP document
		Disaster management framework in place.	Not available					Disaster Management framework operationalized	Framework document and institutional mechanisms in place
		Number of remote households with access to renewable energy	4341 (2007)					8000 households	Energy data directory
		CO2 emissions, total, per capita	1540.9 Gg CO2 equivalent (2000) total, 2.4 tonnes CO2 equivalent per capita					Carbon Neutral	GHG Inventory report
		Proportion of land area covered by forest	72.5 %					Maintain at least 60%	Bhutan Environment Outlook and National Forest Inventory
5.1	**CT outcome: *National capacity to address current environmental challenges and***	Number of national and sectoral guidelines and tools developed for mainstreaming environmental concerns into policies and plans	EA Sectoral guidelines exists (2000)						

| | Results | Indicator | Baseline | Target (cumulative) | | | | | MoV/ Frequency |
				Year 1	Year 2	Year 3	Year 4	Year 5	
	mainstream environmental concerns into policies, plans and programs enhanced.	Proportion of public expenditure in environment sector	--- (2009)	/////	/////	/////	/////		
5.1.1	CT Output 1.1. Capacity of national and local authorities/agencies to mainstream environmental concerns strengthened.	Number of guidelines/tools (including LDPM) developed for mainstreaming cross-cutting issues	0	Draft Environment mainstreaming guidelines finalized	Draft poverty-environment mainstreaming guidelines developed	Poverty-environment mainstreaming guidelines implemented. Integrate cross-cutting issues in Draft LDPM PPP-ISWM model developed.	PPP-ISWM model designed and piloted covering 6% of 26 sq. km. of Thimphu Municipality; Document knowledge products on PPP-ISWM and disseminate. SWM Information System for Thimphu Muncipality in Place by end of 2011. Rio Convention guidelines and learning materials developed Environment Education module	Poverty Environment issues Mainstreamed in the 11th FYP Comprehensive LDPM applied to local plans PPP integrated into 11th FYP sectoral plans	10th FYP mid-term review; 11th FYP documents; PE Mainstreaming guidelines Final LDPM; SPRs; Training reports; PPP-ISWM Model

| Results | Indicator | Baseline | Target (cumulative) | | | | | MoV/ Frequency |
			Year 1	Year 2	Year 3	Year 4	Year 5	
						developed (with 50% women representation trained in the use of Env Education module)		
	Number of local governments plans incorporating cross cutting issues	0	0	0	Poverty-environment mainstreaming guidelines applied to selected local government plans	BEO for pilot dzongkhags. Resource Allocation Formula reviewed from env./vulnerability perspective. CA on ECP initiated in 5 pilot districts.		10th FYP mid-term review; 11th FYP documents;
	Number of people trained on environmental planning and management	Capacity at central government level exists in key sectoral agencies;	Central government staff trained in environment mainstreaming tools;	___ focal teachers trained	Capacity needs for PPP identified for Thimphu municipality;	20 government officials trained and sensitized in ECP related topics. 5 officials undertake long term study (M.Sc) on IWRM, nv. Planning & mgt. & GIS and Env. Modeling.	.	SPR, Training reports

Results	Indicator	Baseline	Target (cumulative)					MoV/ Frequency
			Year 1	Year 2	Year 3	Year 4	Year 5	
						___ number of people trained on PPP-ISWM model		
						20 DEO and DEC's trained in environmental planning and management(30% women representatio n)		
						At least 80 officials trained on EFRC and env. monitoring.		
						12 officials of LG including LDD/DLG trained on ECP based RBM and M & E.		
						At least 50 community people (50% women) trained in eco-friendly construction technique.		
						Training and		

	Results	Indicator	Baseline	Target (cumulative)					MoV/ Frequency
				Year 1	Year 2	Year 3	Year 4	Year 5	
							workshops conducted on PPP-SD for muncipal authorities, stakeholders and informal sectors (with equal participation of men and women).		
5.1.2	CT Output 1.2 Rules /regulations/ tools to address cross-cutting/current issues related to environment developed	Number of relevant rules, regulations and tools addressing cross-sectoral issues developed	EA Act; EA regulations SEA guidelines Forest Act and Rules Biodiversity Act	Waste Management Act formulated; Disaster Mgt. Bill drafted; Biodiversity Action Plan III prepared;	Waste Mgt. Act passed by the NA; BAP III endorsed; NAP preparation completed. Poverty environment mainstreaming guidelines drafted	NAP endorsed by the government; PPP model for local service delivery drafted;	Waste Prevention and Mgt. Rule & Regulations finalized and adopted by government. PPP-SD contracting modalities developed with focus on pro-poor and gender equality. Poverty – Environment Mainstreaming guidelines revised. Inventory of Water Resources for Bhutan available;	Acts and guidelines implemented	DM bill; Waste Mgt. Act; BAP III; NAP-for sustainable land management; PPP-ISWM model; Updated PEER; PE Mainstreaming guidelines

Results	Indicator	Baseline	Target (cumulative)					MoV/ Frequency
			Year 1	Year 2	Year 3	Year 4	Year 5	
						Strategy on resource efficiency and low-carbon economy developed		
						Undertake CA of in-country training institutions on ECP and develop training module.		
						Analysis of PEE for the 10th Plan Period.		
						Coordinated national strategy on benefit sharing implemented for HWC, other key eco-system services.		
						PES guideline and tools developed and tested in three pilot sites		

| | Results | Indicator | Baseline | Target (cumulative) | | | | | MoV/ Frequency |
				Year 1	Year 2	Year 3	Year 4	Year 5	
5.1.3	CT Output 1.3 National capacity to implement and report on international environmental conventions and agreements strengthened21.	Quality and timely submission of national reports on international environmental agreements and conventions	1st National Communication to UNFCCC (2000); CBD Implementation reports; NAPA submitted (2006); 2nd National Communication project under preparation; NCSA project under implementation	Report on national circumstances under SNC completed; Initiate implementation of NCSA project	National action plan for SLM completed; CBD 4th National report submitted; 2nd National GHG inventory completed	National action plan for SLM applied; Draft CC mitigation and adaptation plan;	Submission of final 2nd National Communication to UNFCCC	Timely submission of reports to international environment conventions	National reports submitted
		Number of relevant officials trained on reporting and implementation of international environment conventions	N A		20 DEOs trained on environmental assessment and clearance procedures; --- RNR extension staff on SLM best practices	--- working group members trained on CC mitigation and V&A assessment; TOT for 32 NCSA task force members and DEOs;	Rio focal points and stakeholders trained in reporting and use of EIMS indicators EIMS Upgraded	Capacity of national and local level staff enhanced to report on international environmental conventions and agreements	Training report
5.2	**CT Outcome 2: *National capacity for disaster risk management strengthened.***	Disaster Risk Management Framework in place	Not available	/////	/////	/////	/////	Disaster Risk Management framework operationalized	Framework document and institutional mechanisms in place

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[21] This output also contributes to Outcome 2 and 4

	Results	Indicator	Baseline	Target (cumulative)					MoV/ Frequency
				Year 1	Year 2	Year 3	Year 4	Year 5	
5.2.1	CT Output 2.1 Capacity of national focal agencies, relevant sectors and disaster management authorities at all levels strengthened to implement disaster management framework	Disaster Management Act developed and adopted by the Parliament.	0	0	Draft bill developed	Bill endorsed by cabinet and enacted NA	Bill reviewed and endorsed by cabinet Dissemination of DM Bill	DM Bill implemented NDRMF reviewed and updated	DM Bill NDRMF
		Number of disaster management plans developed and adopted at the National, Dzongkhag, gewogs and thromde levels	0	0	0	Dzongkhag and Gewog Disaster Management Plans developed	Multi-sectoral pandemic preparedness plan developed Dzongkhag, Gewog and Chiwog DM Plans adopted in 3 districts including data collection on hazard vulnerability and capacity assessment	DM plans implemented at all levels Sectoral Disaster Management Plans developed DRR mainstreamed in sectoral DM plans	Publication of DM plans Publication of multi-sectoral pandemic preparedness plan
		Disaster management codes and guidelines available for public and traditional buildings	0	0	0	Guidelines on seismic vulnerability and retrofitting developed Safe construction guidelines for rural homes formulated	4 community facilities/assets repaired and services resumed	Contingency planning guidelines developed Guidelines/codes developed	Publication of guidelines
		Percentage of NFE learners oriented on disaster risk management	0	??	??	??	250	25%	

Results	Indicator	Baseline	Target (cumulative)					MoV/ Frequency
			Year 1	Year 2	Year 3	Year 4	Year 5	
	Percentage of NFE instructors skilled on teaching disaster risk management	0	??	??	??	??	30%	
	Number of DEOs/ADEOs oriented on education in emergencies	0	10	25 (35)	15 (45)	10 (55) 5 districts	0 (55)	Workshop report/annually
	Number of principals oriented on education in emergencies	8	42 (50)	270 (320)	270 (590)	124 (590) 5 districts		Workshop report/annually
	Number of teachers oriented on education in emergencies at the cluster level	0	0	17	100 (117)	100 (217)	100 (317)	Workshop report/annually
	Number of engineers and local masons trained in Earthquake safe construction practices	Engineers at central level trained in earthquake safe construction practices	0	0	200 local masons trained in safe construction practices Construction of model house with EQ resistant features	At least 50 local masons and carpenters trained in safe construction/ retrofitting, and database established in DMIS	Local masons and carpenters trained in at least 10 Dzongkhags	Training reports Model house
	Number of Government officials trained in Disaster Risk Reduction	0	0	0	Sector Focal Person oriented in mainstreaming DRR into sectoral plans/policies CBDRM – TOT conducted at district level in 5 districts	Disaster Sector Focal Persons trained in mainstreaming DRR into sectoral plans/policies DDMC members of 2 dzongkhags oriented onimportance	DDMC members of all dzongkhags oriented in DM policies and importance of DRR	Training reports DDMCs established

	Results	Indicator	Baseline	Target (cumulative)					MoV/ Frequency
				Year 1	Year 2	Year 3	Year 4	Year 5	
						and at gewog/chiwg levels in 3 districts	of DRR and EWS More than 180 key stakeholders trained in multi-sector pandemic preparedness At least 16 officials/focal points trained/actively involved in artificial lowering systems or EWS At least 15 national key stakeholders and 20 district focal points trained as trainers in post disaster needs assessment and roll-out trainings conducted in 10 districts	Bhutan Disaster Assessment roll-out trainings completed in all districts	
5.2.2	CT Output 2.2 Preparedness and response systems to reduce risks, mitigate and cope with	Number of vulnerable communities trained on disaster preparedness, response plans and procedures	Conventional/m anual EWS in place; hazard zonation map available for	0		Awareness workshops for 10 most vulnerable communities	31 vulnerable communities trained in DRR, EWS and safe		Training reports Disaster preparedness and response

Results	Indicator	Baseline	Target (cumulative)					MoV/ Frequency
			Year 1	Year 2	Year 3	Year 4	Year 5	
disasters/climate change operationalized		Punkha, Wangdue and Chamkhar valleys			in CBDRM	GLOF evacuation sites (40 % women) Communities in 4 districts trained in CBHFA and SAR (minimum 40% women)		plans QBS assessing awareness and preparedness/ response capacities (gender sensitive)
	Preparedness and mitigation/adaptation measures/plans in place	GLOF hazard zonation maps available for Punakha-Wangdue and Chamkhar valleys; Thorthomi lake is among the most dangerous of Bhutan's 25 lakes with a high risk of GLOF	300 school Disaster management plans	Seismic risks and vulnerability assessment of buildings in P/ling and S/J; Level of Thorthormi lowered by 86 cm	Multi-cluster rapid assessment guidelines developed Risk vulnerability assessment of Mangduechhu basin; Hazard and vulnerability assessment in 2 pilot areas; Thorthormi lake level lowered by 1.3 meters (cumulative 2.2 meters)	NAPA updated Post Disaster Assessment tool and SOP finalized National DMIS established Database for GLOF/climate risks established and workshop conducted Guidelines for Sectoral Business continuity plans developed EOCs in 1 district	Thorthormi lake lowered by 5 meter and EIA conducted EWS in Punatsangchhu basin functioning, and contingency plans and back-up systems for developed	Hazard zonnation maps HVCA tools (Hazard Verification Assessment tools); Physical verification report; training reports; Work completion reports

	Results	Indicator	Baseline	Target (cumulative)					MoV/ Frequency
				Year 1	Year 2	Year 3	Year 4	Year 5	
							constructed and EOCs in 6 districts operationalized through trainings SAR equipment provided to 4 districts Thorthormi lake level lowered by 1.3 meters (cumulative 3.5 m) and lessons learnt captured Installation of Automatic EWS in the Punakha-Wangdi completed and tested monthly		
		Proportion of school with disaster management plans	0	60	70	100	100	100%	Submission of School Disaster Management plan/Annual
		Number of schools conducting mock drills for disaster risk management	0	1	1 (2)	4 (6)	4 (10) 374	4 (14)	Training report from DDM/DSE/Annual

	Results	Indicator	Baseline	Target (cumulative)					MoV/ Frequency
				Year 1	Year 2	Year 3	Year 4	Year 5	
		Emergency equipment set prepositioned for education in emergencies	0	0	10	10 (20)	20 (40)	20 (60)	??
5.2.3	CT Output 2.3 Disaster/climate risk reduction mainstreamed into national policies and plans	Number of plans mainstreaming disaster risk reduction and management	0	0	0	0	Sub-regional climate change summit supported	Disaster risk reduction mainstreamed into 11th FYP	CC summit proceedings 11th FYP
5.3	**CT Outcome 3:** *Access to sustainable energy and livelihoods for remote gewogs improved*	Detailed regulatory Renewable Energy (RE) framework supporting dissemination of RE technologies	Draft RE policy					RE policy and detailed regulatory framework in place	Energy Data Directory RE Policy
		Number of households in remote gewogs using renewable energy with increased income generation opportunities	4341 households					8000 households	Energy Data Directory
5.3.1	CT Output 3.1. Adequate policies on renewable energy in place, strong institutional linkages established and knowledge, awareness and capacities of stakeholders improved	Long term holistic RE policy formulated	Draft RE policy					RE Policy in place RE information systems /database established RE knowledge and learning platform established	Energy Data Directory RE policy framework RE database RE platform
		Percentage/proportion of stakeholders and communities involved trained and/or successfully managing new income generating activities		52 households trained on various aspects of micro-hydro operation, tariff structure and	52 households in Sengor trained on income generating activities through use of energy services			At least 10 local enterprises, CBOs and grassroots institutions involved At least 150 stakeholders	Training reports Survey of timesaving related to use of improved stoves freeing time for income generating activities

	Results	Indicator	Baseline	Target (cumulative)					MoV/ Frequency
				Year 1	Year 2	Year 3	Year 4	Year 5	
				maintenance				trained actively involved indifferent aspects of RE at national and local levels	
5.3.2	CT Output 3.2 Effective and affordable renewable/alternative energy technologies for remote gewogs supported through demonstration projects and private sector participation.	Number of households having access to affordable renewable/ alternative energy technologies (Cumulative figures).	Sengor Microhydro project initiated	Sengor Microhydro project established	PIF developed and submitted to GEF for a RE Biomass technology project	RE Biomass technology project prepared (SRBE)	RE Biomass technology project initiated (SRBE)	3,500 improved fuel-wood stoves distributed and plan for dissemination of up to 20,000 improved fuel-wood stoves in place	PIF for RE Biomass technology project; ProDoc for RE Biomass technology project; Documentation of installed stoves Household-survey
		Number of RE pilot demonstrations facilities and RE-technologies disseminated on a pilot basis	0					At least 2 RE Biomass pilot demonstration facilities in place	Installation reports
5.4	**CT Outcome 5.4:** *Conservation of bio-diversity and ecosystems enhanced*	Proportion of land area covered by forest and PAs.	72.5%/51%					Maintain at least 60 %	
5.4.1	CT Output 4.2 Sustainable land management, biodiversity Conservation, and utilization of natural resources	National capacity strengthened to address natural resources management issues through formulation of national plans (Biodiversity	RNR Policy and 29 Programmes of the 10th FYP addresses biodiversity	BAP III developed (Review of	Forest Policy of 1974 reviewed and revised (FAO); PES feasibility	National Food & Nutrition Security Policy formulated	Benefit sharing mechanisms developed and piloted (FAO/UNDP);	Benefit sharing mechanisms in place (UNDP/FAO); Community	MTR of UNDAF(UN/RGoB); Terminal Review of

	Results	Indicator	Baseline	Target (cumulative)					MoV/ Frequency
				Year 1	Year 2	Year 3	Year 4	Year 5	
	promoted/strengthened	Action Plan) and policies (National Biodiversity Policy, Food and Nutrition Security Policy), to integrate biodiversity including agro-biodiversity conservation for sustainable utilization and management	conservation in various sectors (DoA, DoL, DoFPS, NBC of MoAF). Forest Act of 1995, Biodiversity Act of 2003. Limited capacity within the government and local agencies on NRM issues in the context of sustainable utilization and management; Communities located within the project sites of HWC/ SLM/ ILCCP. Dzongkhags and central agencies supported through ILCCP/ HWC/ SLM interventions.	SLM mainstreaming in government policies, plans and programs. HWC Mgt. Strategy developed Preparation of NAP initiated; Baseline survey on PMD agro-biodiversity Demonstration of SLM best practices in various pilot sites	initiated (FAO); HWC Strategy implemented. Livestock insurance scheme piloted in one geog Crop damage mitigation measures piloted; CBNRM piloted in 2 sites; NAP finalized; Marketing strategy for local varieties and breeds developed Capacity of NBC/Dzongkhags and central agencies strenthened through ex and in-country trainings	(FAO/UNDP) National Biodiversity Policy formulated (FAO/UNDP); PES pilot implemented in one site (FAO/UNDP); NAP on SLM finalized; HWC strategy implemented; Livestock insurance scheme expanded to three areas. HWC information system developed and launched for data collection and reporting;	National Food and Nutrition Security Policy & Biodiversity Policy consulted with stakeholders and adopted by the government (FAO/UNDP). HWC strategy implemented (UNDP) Strategy/Guideline on Payment for eco-system Services developed for national and local level. HWC mitigation measures implemented in one site. At least 2 Staff trained on AnGR documentation.	insurance groups expanded to at least 6 sites. Integrate HWC mgt. strategies in the 11th FYP SLM integrated into the 11th FYP Geog plans/ Dzongkhag plans /Central plans Agro-biodiversity conservation integrated into the plans, programs of sectors in the 11th Plan; Conservation initiatives on native crop varieties and breeds expanded beyond the project sites	UNDAF (UN/RGoB); MTR/TE of 10th Plan Programmes (RGoB) Annual CPB meetings MTR and TE of projects; Mid-year and annual reviews; PIR/APR/QOP of projects FACE & SPRs of projects; Documentation of success stories and lessons learnt on HWC mitigation measures. Operationalization of HWC information system 11 FYP document Lessons documented on

	Results	Indicator	Baseline	Target (cumulative)					MoV/ Frequency
				Year 1	Year 2	Year 3	Year 4	Year 5	
						CBNRM expanded in 4 HWC affected sites.	At least 3 staff trained in HWC conflict resolution and database mgt.		CBNRM approaches and successes;
						NAP endorsed by the government	Project proposals developed to operationalize NAP		PES demonstrated
						Finalize IFS	At least 7 Dzongkhags in the pilot sites incorporate agro biodiversity Management & products.		Guidelines and strategies on PES in place.
						Document CWR;			
						National Livestock Breeding Programme incorporates breeding and management of traditional livestock varieties (in-situ and ex-situ)			
						Impact assessment of ILCCP interventions initiated in all sites.			

	Results	Indicator	Baseline	Target (cumulative)					MoV/ Frequency
				Year 1	Year 2	Year 3	Year 4	Year 5	
		Number of Households/farmers group as a proportion of Dzongkhag/Gewog population taking up agro-biodiversity conservation initiatives for ex-situ/in-situ conservation of native varieties of agricultural crops & livestock breeds			Evaluation of effectiveness of SLM initiatives; Increased production and diversification of native crop varieities and livestock breeds	Capacity of farmers in 18 sites strengthened through hands-on training and ex-country exposure visits;	50 farmers (at least 40% women representation) trained on improved management practices to cultivate native crop varieties. Communities of 4 sites in 3 districts undertake initiatives to conserve yak and nublang. Production of 1 crop variety in 6 sites increased by 15% over the baseline; Farmers of at least 5 sites increase income by 15% on average over baseline. 2 Gewog Conservation Committee formed for crop and livestock		Plan document/ reports/ Lessons documented from pilot sites Accessions of animal & Plant Genetic Resources collected and conserved in the gene bank. Impact assessments

	Results	Indicator	Baseline	Target (cumulative)					MoV/ Frequency
				Year 1	Year 2	Year 3	Year 4	Year 5	
							insurance scheme; Solar powered electric fencing constructed in south eastern part of Bhutan. Pilot crop insurance scheme initiated in one site.		