Strengthening inclusive and economic decision making for environmentally sustainable pro-poor development

Thailand Poverty Environment Initiative: Evaluation Report

November 2012

Evaluation conducted by:
Phil Cowling and Walaitat Worakul

Summary

Overall Summary

The 'Strengthening inclusive and economic decision making for environmentally sustainable pro-poor development (the PEI) programme' in Thailand has increased awareness of linkages between environment and well being in the pilot areas in which it has worked. In these areas it has had an impact on local decision makers with environment issues being noted in local planning processes, and in some cases provincial planning. These successes have been based on increased awareness from local communities and local level advocacy and engagement, and have built on the understanding gained from the SGA process and the space opened for discussion through the broader programme (Outcome 1).

The programme has, however, been unable to deliver changes at the level of the provincial governors, national policies or to share information effectively at the regional scale (Outcome 2, 1 and 4). Limitations in integrating actions and outcomes into formal decision making processes and institutions will also limit the sustainability of the programme's activities. Impacts have not been delivered in these areas for a number of institutional and structural reasons including:

- ➢ Lack of initial technical and political investment in the programme
- ➢ Institutional structure that was not well suited to delivering all programme objectives and did not sufficiently incentivize change at the national level
- ➢ Introduction of new ideas into a complex and rigid institutional environment.

Despite these challenges the programme has made progress at developing a nationally appropriate approach to the Sub-global Assessment tool and has gained significant experience in attempting to integrate environmental issues into provincial and national planning. It is thus recommended that these lessons learned are consolidated and shared prior to the close of the programme and that specific case studies are considered for further showcasing and potential support.

This consolidation of information could then lead into a second phase in which minimal investment is used to maintain existing small projects which have promise and conduct further assessment of the most promising entry points for future engagement. Should this phase be undertaken over the coming 6-12 months a full programme could then be reinstated in 2014 as there remain both interest and need within Thailand and there is the potential for high quality outcomes to be achieved if the initial design period is sufficiently engaged and effective.

Summary of PEI Programme

The PEI programme globally supports country led efforts to mainstream poverty-environment linkages into national development planning. In Thailand this approach was developed through a three year $701,000 programme aiming to improve planning and budgeting at national and provincial level for natural resource and ecosystem management for pro-poor growth by addressing gaps and building on potentials at all levels to achieve the following outcomes:

1. *Increased coherence of national development plans and policies which do not undermine pro-poor environment and natural resource management;*

2. *Provincial and local government administration system and institutions are better able to integrate pro-poor environmental priorities in the development decision making and budgeting processes;*
3. *Communities have strengthened their capacity in advocating for pro-poor natural resources and environmental management concerns in the provincial planning and budgeting processes;*
4. *Lessons-learning and sharing among member states of ASEAN and other development partners to integrate pro-poor environment and natural resource management in planning and budgeting processes.*

The programme integrated a **sub-global assessment (SGA)** approach into its structure. The SGA is intended to build on the approach developed through the millennium assessments (MA) and to focus on linkages between ecosystems and human wellbeing. The process was described as:

- **Being aimed** at improving understanding of the services provided by ecosystems to people in a particular place (and how they are or might be affected by development)
- **Working as a social process** through which scientific and local knowledge is reviewed and evaluated to support a decision, plan or policy
- **Working as a tool** that improves understanding of importance of ecosystems to poor and vulnerable groups

The programme was implemented through the National Implementation Modality (NIM) with the Ministry of Interior as the lead implementing partner. Three provincial partners[1] (Regional Environmental Offices 8 and 10 and Nan Provincial Administration) in Samut Songkram, Kohn Kaen, and Nan provinces are provincial managers with piloting occurring in a number of sub-districts within these provinces. These partners worked with three SGA implementing organisations with one organization implementing the SGA process in each province (Thailand Environment Institute in Nan, Khon Kaen University in Khon Kaen, and Kasetsart University in Samut Songkram.

Summary of Evaluation Approach

The evaluation approach linked an Institutional and Context Analysis (ICA) with an assessment against the DAC evaluation criteria of Relevance, Effectiveness, Efficiency, Impact and Sustainability. The ICA was utilised to frame the evaluation and providing further contextual depth. The evaluation took place from November to December 2012 and was conducted in three main phases: Evaluation Preparation, Field visits, Information consolidation and Report Writing. Stakeholder interviews were based around a semi structured interview format with 51 stakeholders at national, provincial and local level.

The evaluation has been able to achieve a good level of access to stakeholders and gain a clear picture of programme implementation. It was, however, limited in its ability to access stakeholders outside the structure of the programme due to both time constraints and mandate an element, which has constrained the reach and scope of the ICA in assessing the broader programme context and alternative routes for implementation.

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[1] Responsible parties

Summary of Findings from ICA

The ICA assessed the existing environmental context, the decentralisation reform process and looked at the role and incentives of different stakeholders within these processes. Assessment of the context noted the highly institutionalised and politicised nature of the Thai state at present with challenges in implementing key reforms and implementing shifts in operational culture, as well as the long reach of many national and provincial level politicians within the civil service and their capacity to steer decision making processes.

It noted a number of potential drivers of change which could be utilised to further work around the PEI programme's overall objectives. External drivers primary related to desires to maintain regional and international status and increase access to markets for good particularly with relation to upcoming ASEAN integration – these may provide opportunities for promotion on improved standards of environmental management to both present a regional lead and also gain access to international and higher value markets. Internally three main drivers were identified including the high costs of recent natural disasters provide an opening for action on environmental issues, the need to address a declining small scale agricultural sector, and the increasing voice of both rural and civil society within local level and national politics.

This contextual analysis provided a number of programme specific findings:

The programme had seen localised success where it had linked its work with existing drivers with progress occurring at the local level through linkages between civil society interest and local political actors.

Programme partner selection did not provide a clear link with proposed entry point of integrated planning and development of a process orientated tool. The Bureau of Policy and Planning is primarily focused on internal monitoring and planning and does not have a strong external facilitation role – it was thus focused on development of the SGA tool as opposed to furthering national dialogue. The SGA tool in tern has been a far more participatory process that would be of immediate use to MoI with their interest more based around clear monitoring of activities.

Stakeholders at local and provincial level had limited incentives to engage in work on the integrated planning system. The structural challenges of the integrated planning process have resulted in only a limited amount of funds having flexibility to be addressed at provincial level – many of these funds are also influence by political incentives resulting in a context where local stakeholders and government staff have limited incentive to invest significant political and social capital in modifying the process.

Summary of DAC Evaluation Findings

Relevance

The programme is relevant to the Thai context where significant environmental degradation has been occurring over the past thirty years and there are increasing pressures to balance environmental considerations with sustained economic growth. All three pilot provinces also have significant environmental concerns as well as local government and civil society actors with the capacity to engage in the programme.

Effectiveness

The Programme has been unable or slow to achieve a number of key activities. Implementing partners have also been unable to link activities effectively to outcome and output levels, with the absence of a single narrative of change running through activities. A lack of results in these areas has limited opportunities for lesson learning across countries and with capacity building activities limited to a small number of personnel the broader effectiveness of the programme to deliver change has also been limited.

The SGA tool has been effective at increasing awareness of environmental issues at the local level as well as communities' capacities to assess environmental challenges. The limited capacity of the implementation teams combined with limited central technical support from the outset of the process have, however, resulted in outputs that were not effective at provincial or national level.

Increased investment in technical support at the outset of the programme may have been able to address some of these issues by increasing the buy in of the key agency and improving the understanding and focus of implementing agencies.

Efficiency

The Programme has been slow to deliver activities and reports. Programme structure and management has increased transaction costs and slowed implementation. Distribution of funds in percentage terms has been appropriate but has not corresponded with outputs and fragmentation of funding has limited the political buy in from key programme partners. Programme teams have worked hard to achieve outcomes but started from a limited technical and contextual base.

Impacts

The programme has had an impact at increasing local communities' awareness of, and capacity to advocate on pro-poor natural resource and environmental planning issues at the local level within pilot Tambons (Outcome 3). Its impacts within the provincial and national planning systems have, however, been negligible (Outcomes 1 and 2) and there has been no significant lesson learning across countries (Outcome 4).

Stakeholders engaged in the programme at all levels saw potential benefits in the programme and were keen for further work to be done with all stakeholders questioned providing a rating from 6-8 out of 10 (see Annex 1).

Sustainability

Programme sustainability is limited at present. At national level there have been limited policy/planning impacts to sustain. Capacity building or awareness raising have also been kept within a small group limiting its long term impacts. As such it is unlikely that any impacts will be sustained without further inputs to utilise the outputs and lessons learned developed at the very end of the programme.

At provincial level sustainability of impacts will rely on further facilitation and support of successes occurring towards the end of the programme.

At the local level the increased capacity and awareness of community members and local governments will have an ongoing impact and there is the potential for some expansion both through funded activities and existing networks. Further support would however be required to fully capitalise on these developments and the absence of clear institutional linkages means that

communities abilities to advocate future changes will be severely limited. This is exemplified by a lack of clear continuity plans amongst many of the stakeholders questioned.

Summary of Conclusions

The programme has been unable to deliver significant results related to three of its four objectives. The evaluation team have concluded this is the result of an effort to introduce an innovative tool and complex policy programme into a challenging policy environment without due focus on design and or high level buy in. This has resulted in the establishment of a fragmented programme that has been unable to identify a clear narrative of change.

Given this context the programme has achieved some significant success at local level, increasing awareness of local communities and local government to environmental challenges and approaches to addressing them. What is required is to consolidate these successes and the lessons learned and identify where these approaches can most effectively be utilised in the future.

Summary of Recommendations

The evaluation team have considered three options for continued engagement by UNDP and UNEP. While these are presented as independent options it is recommended that if the programme is to be continued the options should be viewed as a series of sequential steps to be undertaken over the coming 9-12 months with a full programme (Option 3) only being established following the completion of the prior two steps

Option/Step 1: Programme closure – Consolidation of existing information and sharing of lessons – no continuation

Lessons learned and knowledge from the programme need to be consolidated and shared prior to its closure. The team suggest work in this area focuses on three main elements:

1. **Consolidate results and lessons from SGA process to enable it to be formalised and adapted for future use in the Thai context**

The SGA process should be reviewed and formalised as a tool that is adapted to the Thai context. This process should engage all existing service providers but should be led by a specific individual or team and should deliver both a lessons learned document and an implementation manual that can be used by practitioners wanting to implement the tool.

2. **Consolidation and sharing of lessons learned from the PEI programme**

The PMU should consolidate and share key lessons learned from the programme both internally within the relevant UN agencies and departments (e.g. governance) and more broadly with key stakeholder groups including other development partners working within similar areas. This process will also provide a critical base line on which future activities can build.

3. **Identification of projects of interest**

The PMU should identify with key stakeholders a number of key flagship case studies and projects that can be used for further advocacy and / or which should be supported in the future and expanded. Initial recommendations for this include: the Nan Watershed fund, Extra curricular activities for youth groups (SSK, Nan), and Community forestry projects (KK).

Option / Step 2: Maintenance of flagship projects and Review of entry points into the national planning process – Minimal investment – 6-12month duration

The current programme has had localised successes and has opened space for dialogue around improved integration of environmental issues. If these developments are to be strengthened and built on a further period of support and analysis should be undertaken including:

- **Support to priority programmes –** providing support to key programmes identified under Option/ Step 1 (only base levels of investment)
- **Assessment of priority entry points –** further analysis to identify key entry point for further work and to gain additional information to support future engagement. Potential approaches to be used include:
  - *Stakeholder analysis* – to follow on from and deepen analysis in this report,
  - *Assessment of key environmental challenges and / or cost of environmental degradation* – to provide a base point for further advocacy/ engagement.
  - *Assessment of market opportunities for environmentally sustainable products* – further understanding in this area would help shape a strategy for private sector engagement.

It is thus recommended that a 6-12 moth phase be adopted during which two key activity areas are undertaken:

Option / Step 3: Establishment of Full Programme

Establishment of a full programme should be based on the outcomes of the above two steps. The below suggestions are thus initial proposals that could form a departure point for further discussion over the coming months and are based on the evaluation team's observation and analysis.

Increasing demand for improved environmental governance (bottom up approach) – objective of this element would be to support the development of SGA style approaches within a range of areas to increase local demand for and capacity to engage in local and provincial planning processes with a focus on environmental issues.

Engagement of Private sector actors at national scales (bridging approach – linking national and subnational) – objective would relate to moving at least one specific business area in direction of improved certification standards and or two key business areas in direction of low carbon products.

Engagement of other National level commissions (bridging approach - linking national and subnational) – There exist a range of thematic and issue specific committees. These committees may provide the opportunity to gain national level interest and support on specific issues. Support at this level would facilitate engagement at provincial level through the planning process and may begin to enable line ministries to adjust approaches to match more varied local demands.

บทสรุปสำหรับผู้บริหาร

โครงการทางเลือกการพัฒนาเพื่อเป้าหมายสังคมอยู่เย็นเป็นสุข (Strengthening inclusive and economic decision making for environmentally sustainable pro-poor development-PEI programme) ทำให้บุคคลที่เกี่ยวข้องในพื้นที่ทดลองเกิดความตระหนักถึงความเชื่อมโยงระหว่างประเด็นด้านสิ่งแวดล้อมกับความอยู่เย็นเป็นสุขเพิ่มขึ้น และมีการนำประเด็นด้านสิ่งแวดล้อมบูรณาการเข้าไปในแผนการพัฒนาในระดับท้องถิ่นและระดับจังหวัดบางส่วน ความสำเร็จดังกล่าวเกิดจากการที่ชุมชนเกิดความตะหนักและร่วมกันผลักดันให้เกิดการเปลี่ยนแปลง รวมถึงการใช้ประโยชน์จากความรู้ที่ได้จากกระบวนการ SGA และการเข้าร่วมแลกเปลี่ยนความคิดและข้อมูลในช่องทางต่างๆที่โครงการได้พัฒนาขึ้น (ผลลัพธ์ที่ ๑)

อย่างไรก็ตามโครงการไม่สามารถทำให้เกิดการเปลี่ยนแปลงในกระบวนการวางแผนพัฒนาแบบบูรณาการในระดับจังหวัดและนโยบายระดับชาติ รวมถึงไม่มีผลกระทบที่ชัดเจนเกี่ยวกับการแลกเปลี่ยนประสบการณ์และความรู้ในระดับภูมิภาค (ผลลัพธ์ที่ ๒, ๓ และ ๔) ข้อจำกัดในการบูรณาการกิจกรรมและผลลัพธ์ของโครงการเข้าสู่ระบบการจัดทำแผนของทางราชการมีผลต่อความยั่งยืนของกิจกรรมของโครงการ โครงการไม่สามารถก่อให้เกิดผลกระทบที่สำคัญได้เนื่องจากข้อจำกัดทางโครงสร้างและองค์กรบางประการ ได้แก่

- ➢ ขาดการสนับสนุนทางเทคนิคที่เพียงพอรวมถึงการให้ความสำคัญต่อโครงการโดยผู้บริหารระดับสูงตั้งแต่เริ่มต้นโครงการ
- ➢ การจัดโครงสร้างองค์กรไม่สอดคล้อง/ไม่เอื้อให้เกิดการดำเนินงานตามวัตถุประสงค์ของโครงการและไม่ก่อให้เกิดแรงจูงใจพอที่จะทำให้เกิดการเปลี่ยนแปลงในระดับชาติ
- ➢ การนำเสนอแนวคิดใหม่เข้าไปในบริบทที่มีความซับซ้อนและไม่ยืดหยุ่น

แม้จะมีข้อจำกัดหลายประการ โครงการได้มีความก้าวหน้าในการพัฒนาเครื่องมือประเมินคุณค่าระบบนิเวศที่มีต่อความอยู่ดีมีสุข (Sub-Global Assessment-SGA) ที่เหมาะสมกับบริบทของประเทศไทย และมีประสบการณ์เกี่ยวกับความพยายามในการบูรณาการประเด็นสิ่งแวดล้อมกับความอยู่ดีมีสุขเข้าสู่แผนการพัฒนาระดับจังหวัดและระดับประเทศ จึงควรมีการจัดทำสรุปบทเรียนเพื่อเผยแพร่ก่อนที่จะปิดโครงการและควรคัดเลือกกิจกรรม/โครงการที่น่าสนใจเพื่อพิจารณาสนับสนุนให้มีการดำเนินการต่อเป็นกรณีตัวอย่าง

การสรุปบทเรียนดังกล่าวสามารถนำไปสู่การดำเนินโครงการในระยะที่สองได้โดยอาจใช้งบประมาณเพิ่มเติมเพียงเล็กน้อยเพื่อสนับสนุนการดำเนินการที่ต่อเนื่องของกิจกรรม/โครงการย่อยที่มีศักยภาพในพื้นที่ทดลอง ในขณะเดียวกันก็ทำการประเมินโอกาสและช่องทางที่เหมาะสมสำหรับการดำเนินโครงการในระต่อไปไปด้วยพร้อมๆกัน โครงการระยะที่สองนี้ควรใช้เวลาประมาณ ๖-๑๒ เดือนจากนี้ไป ก่อนที่โครงการระยะต่อไปจะเกิดขึ้นอีกครั้งอย่างเต็มรูปแบบในปี ๒๕๕๗ เพราะการบูรณาการประเด็นด้านสิ่งแวดล้อมกับความอยู่ดีมีสุขในแผนการพัฒนายังเป็นเรื่องจำเป็นสำหรับประเทศไทย และประเทศไทยยังคงมีความสนใจที่จะดำเนินการในเรื่องนี้ต่อ อย่างไรก็ตามกระบวนการในการยกร่างโครงการจะต้องให้ความสำคัญกับการปรึกษาหารือผู้เกี่ยวข้องทุกส่วนอย่างเพียงพอและมีประสิทธิภาพจึงจะสามารถก่อให้เกิดผลลัพธ์ที่มีคุณภาพได้

ข้อมูลโดยสรุปเกี่ยวกับโครงการ

โครงการ PEI เป็นโครงการที่มีการดำเนินการทั่วโลกด้วยการสนับสนุนนโยบาย/กลไกที่มีอยู่ในประเทศต่างๆให้สามารถ
เชื่อมโยงประเด็นด้านสิ่งแวดล้อมเข้าในแผนการพัฒนาเพื่อแก้ไขปัญหาความยากจน โครงการ PEI ในประเทศไทยมี
ระยะเวลาการดำเนินงาน ๓ ปี มีงบประมาณสนับสนุน ๗๐๑,๐๐๐ เหรียญสหรัฐ โดยมีวัตถุประสงค์เพื่อปรับปรุงระบบ
การจัดทำแผนและการจัดสรรงบประมาณในระดับประเทศและระดับจังหวัดให้มีการจัดการด้านสิ่งแวดล้อมและ
ทรัพยากรธรรมชาติที่ยั่งยืนและเอื้อต่อการแก้ไขปัญหาความยากจน ด้วยการประเมินจุดอ่อนที่มีอยู่และสร้างเสริมขีด
ความสามารถและความเข้มแข็งของงค์กร/กลไกระดับต่างๆเพื่อให้บรรลุผลลัพธ์ดังต่อไปนี้

๑. มีกลไกระดับชาติที่สนับสนุนการวางแผนพัฒนาจังหวัดและกลุ่มจังหวัดที่เอื้อประโยชน์กับคนจนและ
สิ่งแวดล้อมอย่างยั่งยืน

๒. ระบบและสถาบันที่เกี่ยวข้องในการบริหารงานจังหวัดและกลุ่มจังหวัด รวมทั้งองค์กรปกครองส่วนท้องถิ่น
สามารถบูรณาการการพัฒนาที่เอื้อประโยชน์ต่อคนจนและการจัดการทรัพยากรธรรมชาติและสิ่งแวดล้อมที่
ยั่งยืนในกระบวนการวางแผนพัฒนาและจัดสรรงบประมาณ

๓. ชุมชนมีขีดความสามารถในการผลักดันการพัฒนาที่เอื้อประโยชน์ต่อคนจนและการจัดการทรัพยากรธรรมชาติ
และสิ่งแวดล้อมที่ยั่งยืนในกระบวนการจัดทำแผนพัฒนาและการจัดสรรงบประมาณของท้องถิ่น จังหวัด และ
กลุ่มจังหวัด

๔. กลุ่มประเทศสมาชิกอาเซียนและภาคีการพัฒนาระหว่างประเทศอื่นๆ ได้แลกเปลี่ยนเรียนรู้ประสบการณ์ใน
การบูรณาการการพัฒนาที่เอื้อประโยชน์ต่อคนจนและการจัดการทรัพยากรธรรมชาติและสิ่งแวดล้อมที่ยั่งยืน
ในกระบวนการวางแผนพัฒนาและจัดสรรงบประมาณ

โครงการได้ออกแบบให้มีการใช้เครื่องมือในการประเมินคุณค่าระบบนิเวศที่มีต่อความอยู่ดีมีสุข (SGA) ซึ่งเป็นการ
พัฒนาต่อยอดจากเครื่องมือMillennium Assessments –MA หรือการประเมินผลกระทบที่เกิดจากการเปลี่ยนแปลง
ในระบบนิเวศที่มีต่อความอยู่ดีมีสุข SGA เป็นกระบวนการซึ่ง:

● มุ่งให้เกิดความเข้าใจที่ชัดเจนขึ้นเกี่ยวกับประโยชน์/คุณค่าของระบบนิเวศในด้านต่างๆที่มีต่อคนในชุมชนหนึ่งๆ
(และผลกระทบจากโครงการพัฒนาต่างๆที่อาจเกิดขึ้นกับระบบนิเวศ)

● เป็นกระบวนการทางสังคมซึ่งเปิดโอกาสให้ผู้ที่เกี่ยวข้องได้มีการแลกเปลี่ยน ทบทวน และประเมินข้อมูลทาง
วิชาการและข้อมูลจากชุมชนร่วมกัน เพื่อประกอบการตัดสินใจในการจัดทำแผน หรือการกำหนดนโยบาย

● เป็นเครื่องมือซึ่งสร้างให้เกิดความตระหนักถึงความสำคัญของระบบนิเวศต่อคนยากจนหรือกลุ่มคนที่มีความ
เปราะบางในการดำรงชีวิต

โครงการใช้รูปแบบการดำเนินการแบบ National Implementation Modality (NIM) ซึ่งเป็นการบริหารโดย
หน่วยงานของประเทศไทย มีกระทรวงมหาดไทยเป็นหน่วยงานรับผิดชอบหลัก หน่วยงานรับผิดชอบในระดับจังหวัด
ได้แก่สำนักงานสิ่งแวดล้อมภาค ๘ (สำหรับจังหวัดสมุทรปราการ) สำนักงานสิ่งแวดล้อมภาค ๑๐ (จังหวัดขอนแก่น)
และองค์การบริหารส่วนจังหวัด (จังหวัดน่าน) โดยมีพื้นที่ทดลองในระดับตำบลจำนวนหนึ่งในทั้งสามจังหวัด หน่วยงาน

ที่รับผิดชอบระดับจังหวัดได้ทำงานร่วมกับที่ปรึกษาด้าน SGA ที่ได้รับมอบหมายซึ่งได้แก่สถาบันสิ่งแวดล้อมไทย (สำหรับจังหวัดน่าน) มหาวิทยาลัยขอนแก่น (สำหรับจังหวัดขอนแก่น) และมหาวิทยาลัย เกษตรศาสตร์ (สำหรับจังหวัดสมุทรสงคราม)

วิธีการประเมินผล

วิธีการในการประเมินผลโครงการ ประกอบด้วยการวิเคราะห์องค์กรและบริบทที่เกี่ยวข้องกับการดำเนินงานของโครงการ (Institutional and Context Assessment-ICA) ร่วมกับการประเมินผลตามเกณฑ์ที่กำหนดโดย Development Assistance Committee-DAC ใน ๕ ด้านได้แก่ความสอดคล้องของโครงการกับนโยบายของประเทศ และบริบทของพื้นที่ ประสิทธิผล ประสิทธิภาพ ผลกระทบ และความยั่งยืนของกิจกรรมโครงการ   ICA ช่วย กำหนดกรอบของการประเมินผลและความเข้าใจเกี่ยวกับบริบทในเชิงลึก การประเมินผลเกิดขึ้นระหว่างเดือน พฤศจิกายนและธันวาคม ๒๕๕๕ โดยมีการดำเนินการเป็น ๓ ช่วงได้แก่ การเตรียมการ การเก็บข้อมูลในพื้นที่โครงการ การวิเคราะห์ข้อมูลและจัดทำรายงาน การสัมภาษณ์ผู้เกี่ยวข้องในโครงการใช้วิธีการสัมภาษณ์แบบกึ่งมีโครงสร้างโดยมี ผู้ให้สัมภาษณ์ทั้งสิ้น ๕๑ คนทั้งในระดับประเทศ จังหวัด และชุมชน

การประเมินผลสามารถครอบคลุมกลุ่มเป้าหมายในโครงการได้มากเพียงพอที่จะทำให้ได้ภาพการดำเนินโครงการที่ ชัดเจน แต่ข้อจำกัดเกี่ยวกับระยะเวลาและขอบเขตของการประเมินผลทำให้ไม่สามารถครอบคลุมกลุ่มเป้าหมายที่อยู่ นอกเหนือโครงสร้างของโครงการได้ ดังนั้นการวิเคราะห์ ICA จึงทำได้ในขอบเขตที่จำกัด ไม่อาจครอบคลุมถึงการศึกษา ช่องทาง/ทางเลือกอื่นๆในการดำเนินโครงการได้

บทสรุปจากการวิเคราะห์ ICA

การวิเคราะห์ ICA ครอบคลุมการวิเคราะห์บริบทในด้านสภาพปัญหาและการแก้ไขปัญหาสิ่งแวดล้อมในประเทศไทย กระบวนการกระจายอำนาจ ตลอดจนบทบาทและระบบจูงใจสำหรับผู้เกี่ยวข้องในการดำเนินงานทั้งสองเรื่องในระดับ ต่างๆ การวิเคราะห์บริบทชี้ให้เห็นถึงลักษณะของราชการไทยซึ่งมีขั้นตอนและหน่วยงานมากมายเข้ามาเกี่ยวข้องในการ ดำเนินการให้เกิดการเปลี่ยนแปลง/ปฏิรูปที่สำคัญๆและการปรับเปลี่ยนวัฒนธรรมในการปฏิบัติงานขององค์กร นอกจากนี้นักการเมืองระดับประเทศและท้องถิ่นยังมีอิทธิพลต่อกระบวนการตัดสินใจดำเนินงานเรื่องต่างๆของ ข้าราชการประจำด้วย

การวิเคราะห์บริบทยังสะท้อนให้เห็นปัจจัยที่มีศักยภาพที่จะผลักดันให้เกิดการเปลี่ยนแปลงตามวัตถุประสงค์โดยรวม ของโครงการซึ่งควรนำมาใช้ในการออกแบบโครงการในระยะต่อไป ปัจจัยภายนอกได้แก่จุดยืนของประเทศไทยที่ ต้องการรักษาสถานภาพของประเทศในเวทีระดับภูมิภาคและนานาชาติรวมถึงการเพิ่มโอกาสทางการตลาดสำหรับ สินค้าไทย โดยเฉพาะอย่างยิ่งผ่านประชาคมเศรษฐกิจอาเซียนที่กำลังจะเกิดขึ้นในไม่ช้า ซึ่งอาจจะเป็นเงื่อนไขให้ ประเทศไทยต้องพัฒนาสินค้าส่งออกให้เป็นไปตามมาตรฐานการจัดการสิ่งแวดล้อมระหว่างประเทศเพื่อคงสถานะความ เป็นผู้นำในระดับภูมิภาคและเพื่อสร้างโอกาสในการเข้าสู่ตลาดสากลที่มีมูลค่าสูงขึ้น ส่วนปัจจัยภายในประเทศที่ สำคัญๆมี ๓ ประการ ได้แก่ความตื่นตัวในการแก้ไขปัญหาสิ่งแวดล้อมเนื่องจากภัยธรรมชาติที่เกิดขึ้นอย่างต่อเนื่องและ

รุนแรงยิ่งขึ้น ความจำเป็นในการแก้ไขปัญหาการหดตัวของภาคการเกษตรขนาดเล็ก และการเรียกร้องสิทธิและบทบาทในการมีส่วนร่วมในการตัดสินใจทางการเมืองและการพัฒนาโดยชุมชนและภาคประชาสังคมที่เพิ่มขึ้น

การวิเคราะห์การดำเนินโครงการภายใต้บริบทข้างต้น พบว่า:

- โครงการมีความสำเร็จในการดำเนินงานในระดับพื้นที่ด้วยการเชื่อมโยงการทำงานกับปัจจัยหนุนต่างๆที่มีอยู่แล้วในพื้นที่ได้แก่ความสนใจของภาคประชาสังคมและตัวแทนการเมืองในระดับท้องถิ่น

- การคัดเลือกภาคีผู้ร่วมดำเนินงาน (Programme Partner) ไม่มีความเชื่อมโยงกับเป้าหมายที่ต้องการให้เกิดขึ้นทั้งในกระบวนการวางแผนแบบบูรณาการและการพัฒนาองค์ความรู้เกี่ยวกับเครื่องมือการวางแผนที่เน้นกระบวนการ สำนักนโยบายและแผนกระทรวงมหาดไทยมีบทบาทหลักในเรื่องของการติดตามผลและการสนับสนุนการวางแผนภายในของกระทรวง มากกว่าบทบาทในการประสานกระบวนการเรียนรู้ภายนอกกระทรวง ดังนั้นจึงให้ความสำคัญกับการพัฒนาเครื่องมือ SGA ซึ่งอาจใช้เป็นเครื่องมือในการติดตามผลกิจกรรมภายในต่างๆด้วยกระบวนการมีส่วนร่วมมากกว่าการนำเสนอและประสานแนวคิดเกี่ยวกับกระบวนการจัดทำแผนกับหน่วยงานที่เกี่ยวข้องเพื่อต่อยอดจากโครงการ

- หน่วยงาน/ผู้มีส่วนเกี่ยวข้องระดับจังหวัดและท้องถิ่นมีแรงจูงใจน้อยในการเข้าร่วมกระบวนการวางแผนแบบมีส่วนร่วมเนื่องจากงบประมาณที่ได้รับจัดสรรโดยตรงเพื่อสนับสนุนการดำเนินงานตามแผนพัฒนาจังหวัดแบบบูรณาการนั้นมีสัดส่วนน้อย (เมื่อเทียบกับงบประมาณที่หน่วยงานต่างๆได้รับการจัดสรรโดยตรงจากส่วนกลาง) และมีโอกาสถูกแทรกแซงด้วยการเมือง ชุมชนและส่วนราชการในจังหวัดจึงไม่มีแรงจูงใจที่จะทุ่มเทซรัพยากรและทุนทางสังคมที่มีอยู่ในการปรับเปลี่ยนกระบวนการจัดทำแผนดังกล่าว

ข้อสรุปผลการประเมินโครงการตามเกณฑ์ DAC

ความเหมาะสม/สอดคล้อง

โครงการมีความเหมาะสม/สอดคล้องกับบริบทของประเทศไทยซึ่งมีปัญหาความเสื่อมโทรมด้านสิ่งแวดล้อมตลอดระยะเวลากว่าสามสิบกว่าปีที่ผ่านมาและมีแรงกดดันให้ต้องทบทวนนโยบายการพัฒนาให้มีความสมดุลระหว่างการบริหารจัดการสิ่งแวดล้อมและการเติบโตทางเศรษฐกิจอย่างยั่งยืน พื้นที่ทดลองทั้งสามจังหวัดมีปัญหาด้านสิ่งแวดล้อมที่ชัดเจนและมีกลุ่มประชาสังคมที่เข้มแข็งที่สามารถเข้ามาร่วมขับเคลื่อนกิจกรรมของโครงการได้

ประสิทธิผล

โครงการไม่สามารถดำเนินการให้บรรลุวัตถุประสงค์บางข้อได้ ภาคีที่ร่วมดำเนินการไม่สามารถเชื่อมโยงกิจกรรมของโครงการกับผลผลิตและผลลัพธ์ที่กำหนดไว้ได้อย่างมีประสิทธิภาพเนื่องจากโครงการไม่มีการกำหนดรูปแบบความเชื่อมโยงของกิจกรรมต่างๆเพื่อสร้างความเปลี่ยนแปลงที่จะนำไปสู่ผลลัพธ์สุดท้ายร่วมกันไว้ให้ชัดเจน (lack of a single narrative of change) จากข้อจำกัดข้างต้นทำให้โอกาสในการการแลกเปลี่ยนประสบการณ์กับประเทศอื่นๆมีน้อยลง และเนื่องจากกิจกรรมการพัฒนาศักยภาพต่างๆของโครงการมีผู้เข้าร่วมเรียนรู้อยู่ในแวดวงและจำนวนที่ค่อนข้างจำกัดทำให้ประสิทธิภาพของโครงการที่จะทำให้เกิดการเปลี่ยนแปลงในวงกว้างมีน้อย

SGA เป็นเครื่องมือที่สามารถสร้างความตระหนักเกี่ยวกับปัญหาด้านสิ่งแวดล้อมในระดับท้องถิ่นและเพิ่มขีด ความสามารถของชุมชนในการป้องกันแก้ไขปัญหา แต่ทีมที่ดำเนินการด้าน SGA มีข้อจำกัดทางวิชาการในบางด้านและ การสนับสนุนจากส่วนกลางที่ไม่เพียงพอในระยะที่เริ่มดำเนินการทำให้ผลผลิต/ข้อสรุปจากกระบวนการ SGA ไม่มีผล ต่อการวางแผนระดับจังหวัดและระดับประเทศ

ปัญหาดังกล่าวอาจแก้ไขได้หากโครงการเพิ่มการสนับสนุนทางวิชาการให้ทีมงานในพื้นที่มากขึ้นและพยายามให้ หน่วยงานหลักที่เกี่ยวข้องกับโครงการเห็นประโยชน์และรับผิดชอบร่วมกันตั้งแต่เริ่มต้น รวมถึงการสร้างความเข้าใจ ระหว่างหน่วยงานที่รับผิดชอบการดำเนินงานให้ชัดเจนตรงกันเกี่ยวกับจุดเน้นของโครงการ

ประสิทธิภาพ

โครงการมีความล่าช้าในการดำเนินกิจกรรมและจัดทำรายงาน โครงสร้างของการบริหารโครงการทำให้ค่าใช้จ่ายในการ ดำเนินงานทางธุรการ/ธุรกรรมต่างๆเพิ่มขึ้นและทำให้เกิดความล่าช้าในการดำเนินกิจกรรม การจัดสรรงบประมาณใน ลักษณะสัดส่วนร้อยละมีความเหมาะสมแต่ไม่สอดคล้องกับผลลัพธ์ที่ต้องการ การกระจายการบริหารงบประมาณโดย แยกเป็นส่วนๆทำให้ภาคีหลักซึ่งต้องผลักดันให้เกิดความเปลี่ยนแปลงมีขีดจำกัดในการทำงานและการรับผิดชอบผล โดยรวมของโครงการ ทีมงานของโครงการในส่วนกลางทำงานหนักเพื่อสนับสนุนทีมงานและกิจกรรมในพื้นที่แม้จะมี ข้อจำกัดด้านวิชาการและความเข้าใจบริบทของการดำเนินงานในระยะแรกๆ

ผลกระทบ

โครงการมีผลกระทบในการสร้างความตระหนักในระดับชุมชนท้องถิ่นและการทำให้ชุมชนสามารถเข้าไปมีบทบาทใน การผลักดันให้เกิดนโยบาย/แผนพัฒนาที่เอื้อให้เกิดการจัดการสิ่งแวดล้อมอย่างยั่งยืนและการอยู่ดีมีสุขในระดับตำบล (ผลลัพธ์ที่ ๓) แต่ผลกระทบต่อกระบวนการจัดทำแผนในระดับจังหวัดและประเทศ (ผลลัพธ์ที่ ๒ และ ๓) มีน้อย นอกจากนี้การแลกเปลี่ยนประสบการณ์กับประเทศต่างๆใน ASEAN (ตามผลลัพธ์ที่ ๔) ก็ทำได้ในระดับที่จำกัด

ผู้มีส่วนเกี่ยวข้องในทุกระดับเห็นว่าโครงการมีประโยชน์และมีความสนใจที่จะดำเนินโครงการ/กิจกรรมต่อเนื่อง โดยให้ คะแนนความพึงพอใจในโครงการในระดับ ๖-๘ คะแนนจากคะแนนเต็ม ๑๐ (ดูรายละเอียดในเอกสารภาคผนวก ๑)

ความยั่งยืน

ความยั่งยืนของโครงการ (ในขณะที่ทำการประเมิน) ยังมีค่อนข้างจำกัด ในระดับประเทศผลกระทบในเชิงนโยบายและ การจัดทำแผนมีน้อยจึงไม่สามารถดำเนินการต่อเนื่องให้เกิดความยั่งยืนได้ การสร้างความตระหนักและพัฒนาขีด ความสามารถของบุคลากรที่ทำได้ในวงจำกัด ทำให้ความยั่งยืนในระยะยาวอาจไม่เกิดขึ้น หากโครงการไม่มีการสรุป และเผยแพร่หรือส่งเสริมให้มีการใช้บทเรียนจากโครงการในวงกว้างก่อนจบโครงการ

ความยั่งยืนของผลกระทบในระดับจังหวัดขึ้นอยู่กับการสนับสนุนให้มีการดำเนินการในเรื่องที่เป็นความสำเร็จของพื้นที่ เพิ่มเติมก่อนจบโครงการ

ในระดับชุมชน ความตระหนัก/ตื่นตัวของชุมชนและองค์การปกครองท้องถิ่นมีศักยภาพที่จะทำให้เกิดการขยายผล แนวคิดและรูปแบบของโครงการผ่านเครือข่ายชุมชนที่มีอยู่โดยมีงบประมาณสนับสนุนจากแหล่งต่างๆ แต่โครงการควร ร่วมสนับสนุนงบประมาณเพื่อให้กิจกรรมต่างๆเหล่านี้ขับเคลื่อนไปได้อย่างดี การที่ชุมชนไม่มีช่องทางในการเสนอ แนวคิด/ข้อเรียกร้องต่างๆผ่านกิจกรรมของโครงการเหมือนในช่วงที่ยังมีโครงการอยู่ และการขาดทิศทางที่ชัดเจนว่า โครงการจะมีแนวทางการดำเนินการต่อเนื่องอย่างไร อาจมีผลทำให้ความสามารถของชุมชนในการผลักดันให้เกิดการ เปลี่ยนแปลงที่ยั่งยืนในระบบแผนของท้องถิ่นมีข้อจำกัดอย่างมาก

สรุป

โครงการไม่สามารถบรรลุประสงค์ ๓ ข้อจากวัตถุประสงค์ทั้งหมด ๔ ข้อ คณะผู้ประเมินผลสรุปว่าเกิดจากการที่ โครงการพยายามที่จะดำเนินการในเรื่องที่มีความซับซ้อนและมีการนำเครื่องมือ/กระบวนการที่มีลักษณะเป็นนวัตกรรม มาใช้ในบริบทการดำเนินงานที่มีความท้าทายด้านนโยบายโดยไม่ได้ให้ออกแบบโครงการโดยพิจารณาปัจจัยและกลยุทธ์ ที่จำเป็นอย่างรอบคอบและชัดเจนเพียงพอซึ่งรวมถึงการยอมรับสนับสนุนจากผู้มีอำนาจในระดับสูงด้วย

แม้จะมีข้อจำกัดเกี่ยวกับบริบทดังกล่าว โครงการ สามารถประสบความสำเร็จในระดับชุมชนด้วยการสร้างให้ชุมชนและ องค์กรปกครองส่วนท้องถิ่น เกิดความตระหนักเกี่ยวกับปัญหาด้านสิ่งแวดล้อมกับความอยู่ดีมีสุขและพัฒนาขีด ความสามารถในการป้องกันแก้ไขปัญหาดังกล่าว โครงการควรประมวลความสำเร็จและบทเรียนเหล่านี้และระบุ ช่องทาง/วิธีการที่มีประสิทธิภาพในการนำบทเรียนดังกล่าวไปใช้ประโยชน์ในอนาคต

สรุปข้อเสนอแนะ

คณะผู้ประเมินโครงการเสนอทางเลือกสามทางสำหรับ UNDP และ UNEP ในการดำเนินการระยะต่อไป ถึงแม้ทั้งสาม ทางเลือกจะถูกนำเสนอแยกจากกัน แต่อาจพิจารณาให้ดำเนินการเป็นขั้นตอนที่ต่อเนื่องกันประมาณ ๙-๑๒ เดือน เพื่อ นำไปสู่การพัฒนาโครงการระยะที่สองแบบเต็มรูปแบบ (ทางเลือกที่ ๓)

ทางเลือกที่ ๓ จะเกิดขึ้นได้ต่อเมื่อมีการดำเนินการตามขั้นตอนในทางเลือกที่ ๑ และ ๒ แล้ว

ทางเลือก/ขั้นตอนที่ ๑ การปิดโครงการ-สรุปข้อมูลและแลกเปลี่ยนบทเรียน
โครงการควรสรุปบทเรียนและความรู้จากการดำเนินงานและแลกเปลี่ยน/เผยแพร่ก่อนที่จะปิดโครงการ โดยเน้นในสาม เรื่องหลักดังต่อไปนี้

๑. **สรุปบทเรียนและความรู้จากกระบวนการ SGA เพื่อให้เข้าเกิดองค์ความรู้ที่เป็นทางการสามารถนำไป ประยุกต์ใช้ได้ในอนาคต**
ผู้เกี่ยวข้องควรร่วมกันทบทวนและสรุปองค์ความรู้ที่ได้จากการนำเครื่องมือ SGA ไปใช้ในโครงการและจัดทำ เป็นแนวทางการใช้ SGA ในบริบทของสังคมไทย ผู้เกี่ยวข้องในขั้นตอนนี้ควรประกอบด้วยทีมที่ปรึกษา SGAทุก ทีม โดยมีผู้รับผิดชอบหลัก ผลผลิตควรประกอบด้วยสองส่วนคือ เอกสารสรุปบทเรียน และคู่มือการนำ SGA ไปใช้โดยผู้สนใจอื่นๆ

๒. **สรุปบทเรียนและความรู้จากโครงการ PEI**

หน่วยบริหารโครงการ (PMU) ควรสรุปบทเรียนที่ได้จากโครงการทั้งระหว่างผู้เกี่ยวข้องภายใน ได้แก่ หน่วยงาน UN ที่เกี่ยวข้องและกรม/กองต่างๆ และร่วมกับผู้สนใจภายนอกอื่นๆในวงกว้าง เช่นองค์กร/ โครงการพัฒนาที่ทำงานในเรื่องที่ใกล้เคียง/คล้ายคลึงกัน ซึ่งจะทำให้การพัฒนากิจกรรมในระยะต่อไปมี รากฐานที่มั่นคงยิ่งขึ้น

๓. **การคัดเลือกโครงการที่น่าสนใจ**

หน่วยบริหารโครงการร่วมกับหน่วยดำเนินงานในพื้นที่ควรร่วมกันคัดเลือกโครงการ/กิจกรรมที่สามารถใช้เป็น กรณีตัวอย่างเพื่อแสดงผลงานของโครงการได้หรือเป็นโครงการที่ควรได้รับการสนับสนุนให้ขยายผลในอนาคต ในขั้นต้นโครงการเหล่านี้น่าจะรวมถึงกองทุนจัดการต้นน้ำน่าน หลักสูตรด้านสิ่งแวดล้อมกับความอยู่เย็นเป็น สุขสำหรับเยาวชน (ในจังหวัดน่านและสมุทรสงคราม) และการจัดการป่าชุมชนในโคกซ่งดงแหลมในจังหวัด ขอนแก่น เป็นต้น

ทางเลือก/ขั้นตอนที่ ๒: ดำเนินกิจกรรม/โครงการกรณีตัวอย่างต่อเนื่องและศึกษาช่องทางที่เหมาะสมในการเข้าไป มีส่วนร่วมในกระบวนการจัดทำแผนของประเทศ

โครงการในระยะที่ ๑ ประสบความสำเร็จในระดับชุมชนและท้องถิ่นและเปิดช่องทางให้เกิดการอภิปราย/ปรึกษาหารือ เกี่ยวกับการบูรณาการประเด็นสิ่งแวดล้อมกับความอยู่เย็นเป็นสุขในแผนการพัฒนาระดับต่างๆ หากจะมีการต่อยอด ความสำเร็จนี้ในอนาคต โครงการควรดำเนินการในเรื่องต่อไปนี้ไปพร้อมๆกัน

- **สนับสนุนให้มีการดำเนินกิจกรรมต่อเนื่อง** โดยให้ความช่วยเหลือในระดับที่เหมาะสม/ไม่มากจนเกินไปแก่ กิจกรรมที่มีการคัดเลือกแล้วในทางเลือก/ขั้นตอนที่ ๑
- **ประเมินช่องทางที่เหมาะสมสำหรับเริ่มโครงการในระยะต่อไป** โครงการควรวิเคราะห์เพิ่มเติมถึงช่องทาง ที่เหมาะสมสำหรับการทำโครงการในระยะต่อไปเพื่อให้มีข้อมูลเชิงลึกและครบถ้วนยิ่งขึ้นในการกำหนด แนวทางและผู้ที่จะเข้ามามีส่วนร่วมในโครงการ โดยอาจดำเนินการดังต่อไปนี้
  - ✓ *การวิเคราะห์ผู้มีส่วนได้ส่วนเสีย-เพื่อศึกษาในเชิงลึกเพิ่มเติมจากบทวิเคราะห์ขั้นต้นในรายงาน ฉบับนี้*
  - ✓ *การประเมินความท้าทาย/สภาพปัญหาด้านสิ่งแวดล้อมและ/หรือค่าใช้จ่ายที่เกิดขึ้นจากความ เสื่อมโทรมของสิ่งแวดล้อม-เพื่อใช้เป็นฐานในการกำหนดแนวทางการทำงาน/การสนับสนุน การแก้ไขปัญหาของประเทศไทยในโครงการระยะต่อไป*
  - ✓ *การประเมินโอกาสทางการตลาดสำหรับผลิตภัณฑ์ที่ผลิตโดยกระบวนการที่เป็นมิตรกับ สิ่งแวดล้อมอย่างยั่งยืน-ข้อมูลและความเข้าใจในเรื่องนี้จะเป็นประโยชน์ต่อการกำหนด ยุทธศาสตร์การมีส่วนร่วมของภาคเอกชนในโครงการ*

การดำเนินงานตามทางเลือกที่ ๒ ควรใช้เวลาประมาณ ๖-๑๒ เดือน

ทางเลือก/ขั้นตอนที่ ๓: พัฒนาโครงการแบบเต็มรูปแบบ (โครงการระยะที่ ๒)

การพัฒนาและออกแบบโครงการแบบเต็มรูปแบบควรพิจารณาจากผลและข้อมูลจากการดำเนินงานในทางเลือกที่ ๑ และ ๒ เป็นหลัก ข้อเสนอแนะต่อไปนี้จากคณะผู้ประเมินโครงการเป็นเพียงประเด็นขั้นต้นเพื่อให้ผู้เกี่ยวข้องใช้ในการ เริ่มต้นพูดคุย/ปรึกษาหารือกันถึงขอบข่ายและกลยุทธ์ของโครงการ

- **การเพิ่มความกดดันให้เกิดนโยบายและแผนงานจัดการสิ่งแวดล้อมอย่างยั่งยืน (จากระดับล่างขึ้นมา)-** วัตถุประสงค์คือการทำให้เกิดกระบวนการในลักษณะเดียวกับ SGA ในวงกว้างหลายๆพื้นที่เพื่อสร้างแรงกดดัน และขีดความสามารถในการผลักดันให้มีการบูรณาการประเด็นด้านสิ่งแวดล้อม-ความอยู่ดีมีสุขในกระบวนการ จัดทำแผนระดับท้องถิ่นและระดับจังหวัด

- **การมีส่วนร่วมของภาคเอกชนระดับประเทศ (สร้างความเชื่อมโยงระหว่างกิจกรรมในระดับประเทศและ ระดับภูมิภาคในภาคเอกชน)** โดยมีวัตถุประสงค์เพื่อขับเคลื่อนให้ภาคธุรกิจอย่างน้อยหนึ่งประเภทมีการ พัฒนามาตรฐานการรับรองผลผลิตที่สอดคล้องกับการจัดการสิ่งแวดล้อมอย่างยั่งยืน และธุรกิจอีกอย่างน้อย สองประเภทมีการลดการปล่อยก๊าซเรือนกระจกในกระบวนการผลิตและการจำหน่าย

- **การมีส่วนร่วมของคณะกรรมการระดับชาติอื่นๆ (การสร้างความเชื่อมโยงระหว่างกิจกรรมใน ระดับประเทศและระดับภูมิภาคในภาคราชการ)** ในประเทศไทยมีคณะกรรมการที่ดำเนินการเกี่ยวกับ ประเด็นการพัฒนาเฉพาะด้านต่างๆอยู่หลายคณะ ซึ่งอาจมีความสนใจและสามารถให้การสนับสนุนเฉพาะด้าน แก่โครงการในระยะต่อไปได้ การสนับสนุนในระดับนี้จะเป็นประโยชน์ต่อการวางแผนระดับจังหวัดและช่วยให้ หน่วยงานที่เกี่ยวข้องมีความสามารถที่จะปรับวิธีการทำงานให้ตอบสนองต่อความต้องการที่หลากหลายของคน ในพื้นที่ได้มากขึ้น

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Table of Acronyms

ASEAN	Association of Southeast Asian Nations
BOB	Bureau of Budgets
CBRC	Community Based Research Center
CDD	Community Development Department
CDR	Council for Democratic Reform
CEO	Chief Executive Officer
CODI	Community Organisation Development Institution
CS	Civil Society
CSR	Corporate Social Responsibility
CU	Chulalongkorn University
DAC	Development Assistance Committee
DIM	Direct Implementation Modality
DIW	Department of Industrial Works
DOLA	Department of Local Administration
EIA	Environmental Impact Assessment
GDP	Gross Domestic Product
GHG	Greenhouse gas
GPP	Gross Provincial Product
GPS	Global Positioning System
GIZ	German International Cooperation
ICA	Institutional and Context Assessment
IP	Implementing Partner
KK	Khon Kaen (Province)
KKU	Khon Kaen University
LAO	Local Administrative Organization
MA	Millennium Assessments
MOAC	Ministry of Agriculture and Cooperatives
MOE	Ministry of Education
MoI	Ministry of Interior
MoNRE	Ministry of Natural Resources and the Environment
MoPH	Ministry of Public Health
MSDHS	Ministry of Social Development and Human Security
NESDB	National Economic and Social Development Board
NESDP	National Economic and Social Development Plan
NIM	National Implementing Modality
OECD	Organization of Economic Co-operation and Development
ONEP	Natural Resource and Environmental Policy and Planning
PAO	Provincial Administrative Organization
PCD	Pollution Control Department
PEI	Poverty-Environment Initiative
PMU	Programme Management Unit
PSDC	Office of Public Sector Development Commission
REO	Regional Environmental Office
RSPO	Roundtable on Sustainable Palm Oil
SGA	Sub-Global Assessment

SME	Small and Medium Enterprise
SSK	Samut Songkram (Province)
TAO	Tambon Administrative Organization
TGO	Thailand Greenhouse Gas Management Organization
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme

Authors:
Phil Cowling: Independent Consultant – phil.cowling@gmail.com
Walaitat Worakul: Independent Consultant – walaitat@hotmail.com

Section 1: Overview of Programme

The PEI programme globally supports country led efforts to mainstream poverty-environment linkages into national development planning. This is achieved through providing technical assistance to government partners to set up institutional and capacity strengthening programmes and carry out activities to address the particular poverty environment context.

In Thailand the programme aims to improve planning and budgeting at national and provincial level for natural resource and ecosystem management for pro-poor growth by addressing gaps and building on potentials at all levels to achieve the following outcomes:

5. Increased coherence of national development plans and policies which do not undermine pro-poor environment and natural resource management;
6. Provincial and local government administration system and institutions are better able to integrate pro-poor environmental priorities in the development decision making and budgeting processes;
7. Communities have strengthened their capacity in advocating for pro-poor natural resources and environmental management concerns in the provincial planning and budgeting processes;
8. Lessons-learning and sharing among member states of ASEAN and other development partners to integrate pro-poor environment and natural resource management in planning and budgeting processes.

The programme sought to integrate a **sub-global assessment (SGA)** approach into this process. The SGA was intended to build on the approach developed through the millennium assessments (MA) and to focus on linkages between ecosystems and human wellbeing. In the Thai context the process was described as:

- **Being aimed** at improving understanding of the services provided by ecosystems to people in a particular place (and how they are or might be affected by development)
- **Working as a social process** through which scientific and local knowledge is reviewed and evaluated to support a decision, plan or policy
- **Working as a tool** that improves understanding of importance of ecosystems to poor and vulnerable groups

A guidance note provided to the Thai team during the initial SGA scoping mission noted:

'*The MA conceptual framework defines an assessment as **"a social process to bring the findings of science to bear on the needs of decision-makers"** (MA 2003). The process is thus as important as the quality of the end product in determining the effectiveness of an assessment (Cash and Clark 2001). An important feature of this type of assessment is to reduce complexity and add value by summarization, synthesis, and sorting what is known and widely accepted from what is not known or not agreed upon (see also Fabricius et al. 2004). Levels of certainty on the findings are often expressed, either qualitatively or quantitatively, based upon the collective judgment of the authors.*'

Extracted from 'SGA in Thailand' guidance note, section on 'what is an SGA?'

Figure 1: Summary of SGA process
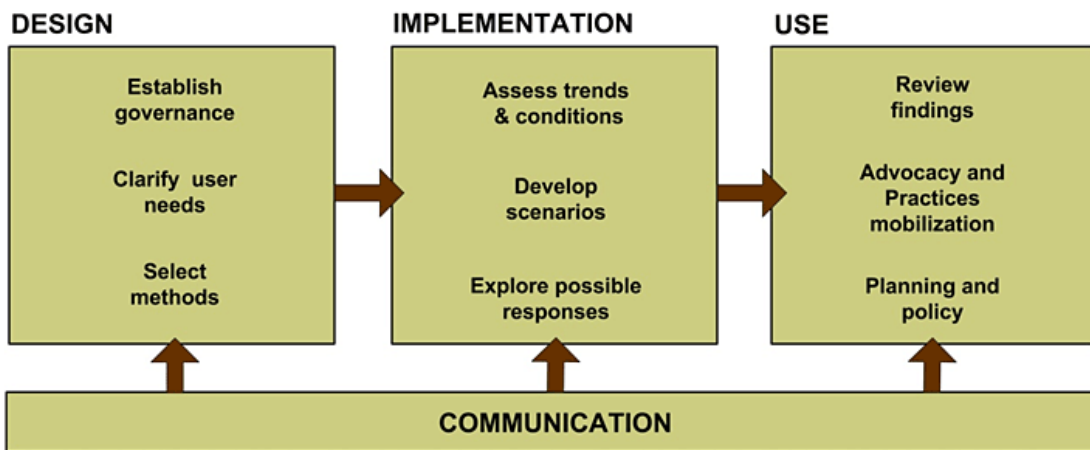
The programme was initiated in late 2009 and was intended to finish in December 2011 but has received a no cost extension due to delays in programme establishment. Programme implementation was led by UNDP and conducted through the national implementation modality with the Ministry of Interior (MoI) as the lead implementing partner. The programme also worked with a number of responsible parties within the three pilot provinces with different partners being selected to support the PEI programme and delivery of the SGA process. A summary of the implementation arrangements is provided in figure 2 below.

Box 1: Programme Budget

Total allocated resources:	**USD 701,550**
PEI:	USD 400,000
SGA (UNEP):	USD 178,550
Swedbio (added in 2010 for communication):	USD 40,000
UNDP TRAC:	USD 83,000

Figure 2: Programme Management Structure
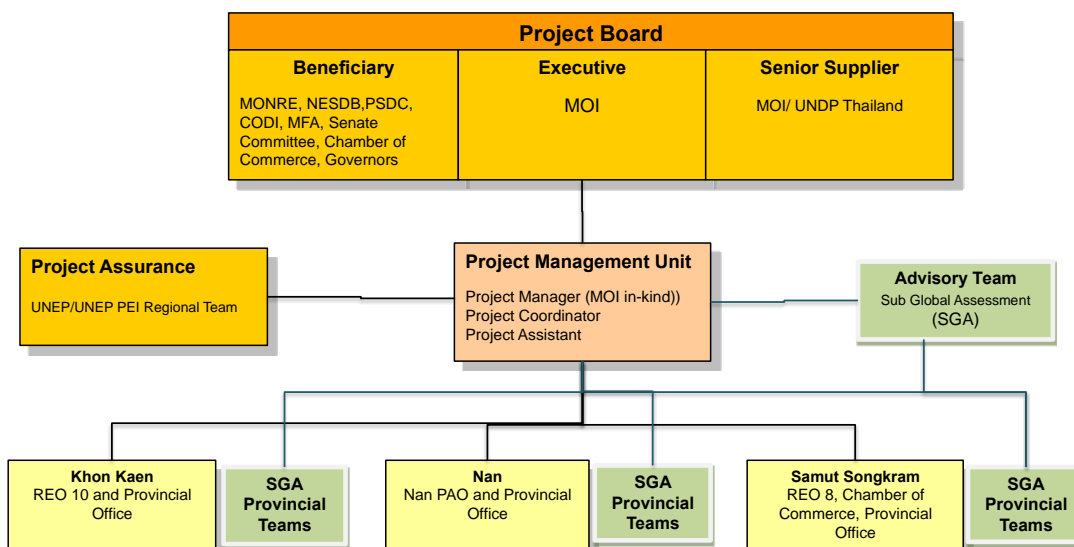
Section 2: Evaluation Methods and Approach

The evaluation approach combined two distinct but highly interrelated approaches. An institutional and context analysis (ICA) approach was utilised to assess the broad context in, which, programme implementation has occurred. This analysis was overlaid with a more traditional evaluation approach based on the OECD DAC evaluation criteria of Relevance, Effectiveness, Efficiency, Impact and Sustainability. This combined approach provides a platform for a more in-depth analysis of programme performance as well as a firmer grounding for future recommendations.

The evaluation took place from November to December 2012 and was conducted in three main phases:

Phase 1: Evaluation Preparation

- Document review and analysis
- Initial interviews with programme management team and senior staff in UNDP and UNEP
- Establishment of evaluation framework and methods

Phase 2: Field visits

- Two week field work in Thailand with time in Bangkok and the three pilot provinces.
- Semi structured interviews were utilised in a one on one or small group environment with over 40 key stakeholders interviewed during the time period.
- The period also included an initial feedback session with key programme stakeholders to present and gain responses to initial findings

Phase 3: Information consolidation and Report Writing

- A two week period was spent following up on specific points of interest within the report and finalising report writing.

Limitations

In developing the assessment methodology and approach every effort was made to address potential limitations, however, remain and can be considered as unavoidable given the scale and scope of the evaluation:

- *Limited time in available* – the team have had a limited time to conduct a broad and geographically dispersed evaluation. This has limited the number of stakeholders that can be engaged through the evaluation and has presented challenges in being able to cover all elements of the ICA while also covering the detailed points required to evaluate levels of programme delivery.

- *Broad thematic area for ICA* – the programme's overall objectives related to environmental mainstreaming are very broad if all different approaches to this process are to be considered. The analysis has thus focused on stakeholders more directly engaged with the programme but this may have limited the potential to identify relevant players that currently sit outside the programme or propose new entry roots. Should the assessment be further developed an initial strategy meeting should be held to improve the strategic function of the assessment.

- *Limitations in interviewee selection* – the evaluation team provided a list of key stakeholder groups that they wished to interview in each location. Selections of individuals from within these groups was, however, left to the PMU and provincial responsible parties as the team did not have time or sufficient local knowledge to visit all field sites and interview large groups of stakeholders. This potentially limits the accuracy of the evaluation with stakeholders selected likely to represent the views of the PMU and or the responsible party responsible for their selection. No obvious bias was however identified by the evaluation team with full and frank discussions held with most stakeholders.

Section 3: Programme Context (ICA)

The purpose of the ICA is to identify the different institutional and contextual factors that have hindered or supported programme delivery.

The below information provides an initial assessment of the programme context, the key stakeholders, structures and institutions related to programme implementation and their relationship with programme objectives. Due to the limited time availability for the study the focus remains on those bodies with, which, the existing programme has worked with a primary view to assessing the existing programme's implementation structure. Some efforts have been made to broaden this analysis to include stakeholders that may be of interest for further programme development but analysis at this level remains very limited.

Programme Context

Country Context

Thailand has seen a rapid economic rise over the past 30 years and has managed to combine this with broad progress in poverty alleviation. The country has achieved almost all of its Millennium Development Goals well ahead of schedule and has seen continued improvements in its human development index although this has begun to plateau over the past decade, a period, which, has also been characterised by significant political instability (See figure 3).

Figure 3: Human Development Index Trends, South East Asia 1975-2008
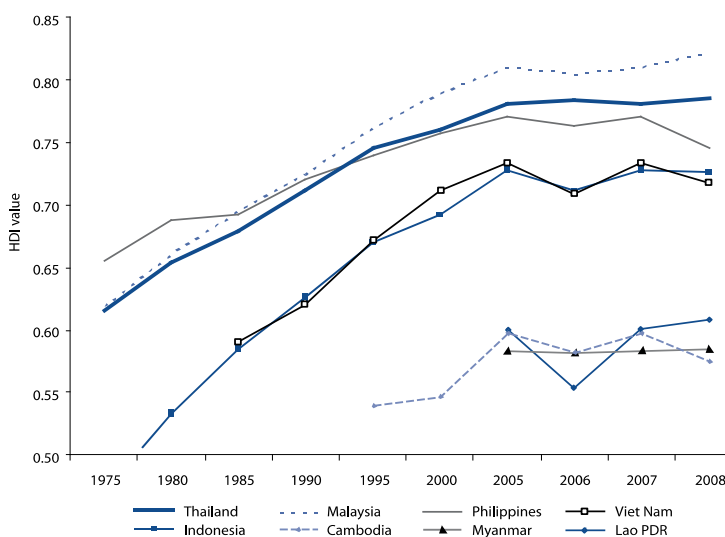
Source: UNDP, Human Development Report 2007/2008, Indicators Table 2.; and HDI webpage

While growth has delivered significant reductions in poverty pockets of poverty remain primarily in rural areas. In urban areas poverty rates are lower but there is an increasing population of informal workers who are vulnerable to shifts in the economy and now fall outside any previous rural safety net.

As a country progressing into middle-income status, with an increasingly international outlook, and advanced economy Thailand is keen to maintain its status as a regional lead. The upcoming establishment of an ASEAN free trade zone will present a number of challenges as will ongoing development in other key ASEAN members. To be able to maintain a regional leadership role Thailand will need to be able to address a number of political and institutional challenges and harness the potential to continue to deliver growth while not jeopardising environmental or social stability.

Environmental Context

Thailand's environment is under increasing pressure from a growing population and further economic growth. The 11th National Economic and Social Development Plan (NESDP) notes that rapid economic growth often focused on the exploitation of natural resources has not been matched by management capacity, policy tools, regulations and law enforcement in the environment sector. This has led to a depletion of natural resources and deterioration of the environment.

This situation is gradually changing with an increased focus on environment and sustainability within national development plans. These developments build on 25years of increased environmental awareness driven primarily by civil society activism resulting from significant conflicts between communities and development projects many of which were seen as unnecessary and highly socially and environmentally damaging.

This increased awareness of environmental challenges crystallised in the early 1990s and the 1992 Enhancement and Conservation of National Environment Quality Act, which, enshrined the "polluter pays" principle and introduced stricter systems for environmental assessments of large projects. At the same time many of the most significant environmental laws and regulations were reviewed and revised brining them more up to date. Opportunities for CS monitoring continued to develop with public hearings for significant projects introduced through the PM's regulation in 1996 and the 1997 constitution granting communities the right to "participate in the management, maintenance, preservation and exploitation of natural resources and the environment in a balanced fashion." The National Policy and Prospective Plan for the Enhancement and Conservation of National Environmental Quality: 1997-2016 was subsequently developed and an Office of Natural Resources and Environment Policy and Planning was also established to act as an official watchdog on environmental issues, with the Ministry of Environment and Natural Resources being created in 2002. The new constitution of 2007 further strengthened the rights of communities stating under Section 67 that projects that are likely to have severe impacts on a community's environment or health should conduct environmental and health impact assessments, hold public hearings, and complete and independent review. A commission was set up in 2009 to review how this process should be implemented and was due to present findings in 2010.

These developments have occurred along side a number of high profile environmental targets the best known of which is the establishment of 40% forest cover. The impact of these targets and the broader policy developments have however been undermined by a combination of a weak and poorly enforced legal framework and a number of contradictory policies and programmes at national level.

The Ministry of Natural Resources and the Environment (MoNRE) has a large remit for environmental management but is under resourced and lacks legal powers of enforcement. This situation is exemplified in the ministry's role in controlling industrial pollution. MoNRE's Pollution Control Department (PCD) despite having a mandate to inspect factories does not have a primary mandate for enforcement, which is held by the Department of Industrial Works (DIW) in the Ministry of Industry. The PCD may pursue a case if they consider DIW to have failed but in most cases the fines that can be issued are so minimal as to make legal proceedings irrelevant. This combined with a low number of trained staff has resulted in a situation where most inspections are in response to public request (approximately 70% in 2003) and despite frequent breaches of

regulations owners of factories are rarely prosecuted. A similar situation exists for EIA whereby provincial MoNRE offices have limited capacity to conduct detailed assessments and when completed have no legal capacity to enforce recommendations. This situation persists despite recommendations from a high-level MoNRE committee in 2003 for the establishment of an independent body to be responsible for EIAs with its own operating budget and legal powers.

Environmental targets have also led to their own social conflicts with the 1985 target of 40% forest cover providing the highest profile example. Efforts to achieve this have resulted in a redefining of the definition of a forest as well as increases in the area covered by national parks or other forms of protected areas to nearly 20% of the country. Recent expansions in these areas included forest areas with rural populations (estimated at 460,000 in 2002) as well as areas relied on for grazing and non-timber related forest use by an even larger number of rural communities. Efforts to address these challenges have, however, reached a political stalemate with legislation on community forestry continually contested and sporadic issue of community land title fluctuating with political interest.

Weaknesses in the legal capacity of agencies to enforce environmental protection particularly in the face of joint private sector and political desires for development, while poor communities are unable to gain effective land–use rights in the name of conservation has left many local communities skeptical about the states capacity to protect the environment and the motivations of local government in the process. Within this context civil society groups have resorted to addressing specific environmental challenges through public protest or legal challenges. These protests have achieved some successes for instance a legal block to the expansion of the Map Ta Phut Industrial estate in Rayong in 2009 with the court noting that the area should reduce existing levels of pollution and that all future developments should be put on hold. Such high profile cases, however, are difficult to sustain with the same industrial estate once again hitting the news in 2012 following a further leak from storage tank holding hazardous chemicals. The resultant water contamination and poor management of the situation left 138 people in hospital, with the leak highlighting the limited progress made since 2009.

Recent developments with regard to Climate Change and national planning directions do have the potential to increase the MoNRE's profile and capacity. Climate change is a theme running throughout the 11th NESDP and there has been significant interest in both bio-fuel development and other means to address greenhouse gas emissions (GHG). The forthcoming National Climate Change Master plan (2012-2050) will be endorsed by the cabinet level approval with subsequent efforts t mainstream the plan into national and provincial development planning. An increased focus on addressing climate change through both adaptation and mitigation strategies may open the door for improved environmental regulation and increases in the capacity and legal powers of MoNRE. This situation also avoids more embedded political challenges by allowing for measures to be introduced, addressing a 'new' challenge as opposed to preexisting challenges bought about by poor management. This opportunity is of course juxtaposed with the potential for climate change to be used to obfuscate or detract attention from existing non-GHG related pollution and environmental issues.

Decentralisation Reform

The programme design and implementation was based around engagement with the integrated planning system. This forms a key part of the on-going processes of Thailand's decentralisation process.

Thailand has traditionally been a highly centralised state both politically and economically with economic growth and political power centring around Bangkok (Dufhues et al 2011). Since the 1980s a process of decentralisation has been developing, gaining pace during the late 1990s. Over the 15 years since the 1997 Constitution this process has, however, been alternately strengthened and undermined by different governments with its future direction remaining unclear. The below section provides a brief summary of key moments within the decentralisation process with a time line also provided in figure 4.

Figure 4: Pathway of Decentralisation in Thailand
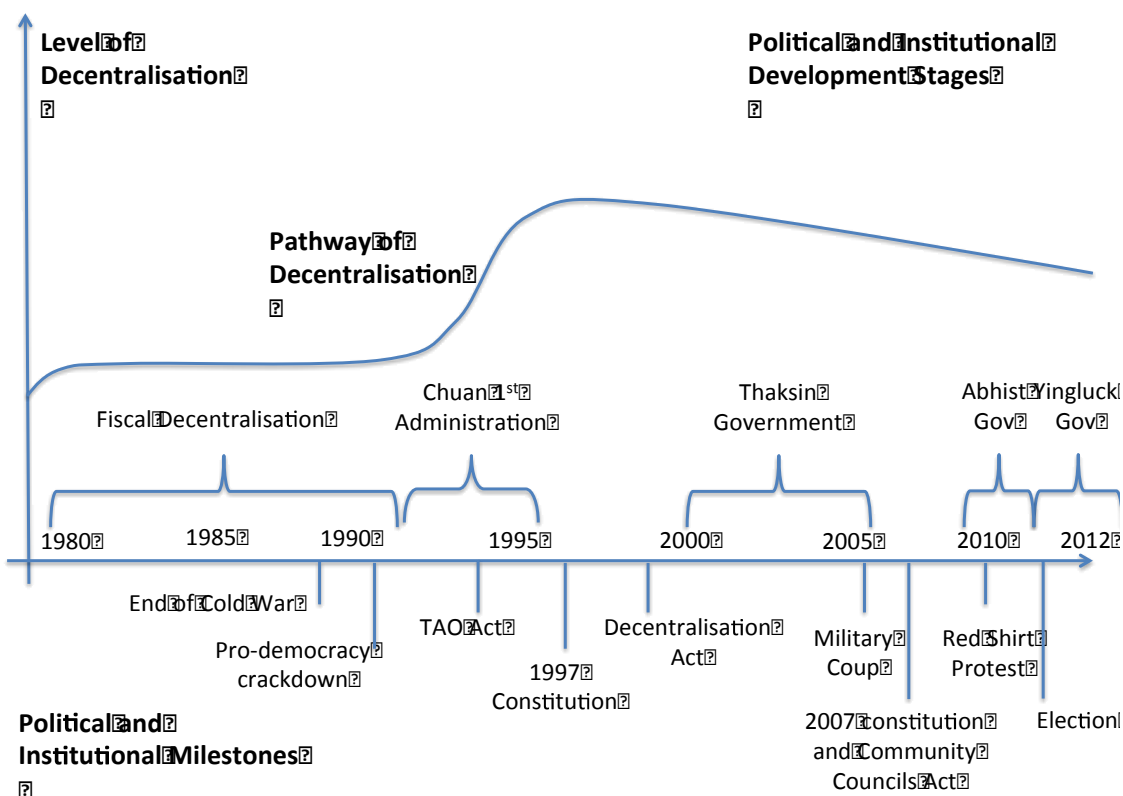
Adapted from Nagia et al (2008)

The 1997 Constitution

Thailand's decentralisation process began to gather momentum during the late 1980s and early 1990s with a gradual increase in revenue sharing and minor changes to local authorities. Political changes during the period also shifted popular interest towards a demand for increased democratisation, including democratisation and fiscal autonomy at the local level. This demand was driven by both an increasingly vocal and competent civil society, who saw the process as a means of increasing accountability and transparency in the political system and local political bosses who saw the process as a means to gain greater autonomy from the centre. These forces resulted in almost

all major parties in the 1992 national election including proposals for advanced decentralisation in their manifestos (Dufheus et al 2011). Following the election and the subsequent protests of May 1992 political reform became a significant agenda. While the process was supported by many academics and politicians, (and must be seen as an internal as opposed to externally introduced process (Chardchawarn 2010)), the political class did not necessarily fully supported the goal, seeing it more as a necessity for political survival than an ideological commitment (Duhfeus et al 2011, Wong 2007).

Under the Chauan administration decentralisation was accelerated first through the Tambon Council and Administration Act 1994, then the 1997 Constitution and the development of the 1999 Decentralisation act. These set out an ambitious programme of decentralisaiton with the creation of a large number of provincial, sub-district and municipal level elected bodies. By 1999 there were over 6,700 Tambon Administrative Authorities (TAOs) (Charas and Weist 2010). A selection of duties, budget and personnel were transferred from central level to support these local level bodies with the expressed intention of increasing the role of rural communities and local populations in the decision making process. The new model supported not only elected decision making bodies but also opportunities for referendums, public hearings, and initiations that could result in new local laws or government policies.

The process was not, however, without challenges with many within government being against the process of decentralisation (in particular the political decentralisation process) (Duhfeus et al 2011). Detractors note the high number and small size of many Tambons as making them unworkable with many unable to support a high school or professional administrative staff (Charas and Weist 2010). Central reluctance to fully decentralise political control also led to the creation of a two-tiered system where local authorities (TAO and Provincial Administrative Offices PAOs) were developed alongside centrally assigned governors and district level officials. The Ministry of Interior, having previously held a strong role in provincial control and the appointment of provincial governors, were seen as major architects of these changes with detractors suggesting that the process was more relevant to extending the reach of central government to the local level than to increasing local control over development.

Thaksin

The Thaksin administration came to power in 2001 and bought with it a new political agenda. While not openly opposed to decentralisation the administration developed a number of policies and approaches that undermined many of the previously established institutions and paid limited attention to the role of the Decentralisation Committee (Duhfeus et al 2011). Three key policies can be seen as obstructing the decentralisation process. The first was the enhancement of the powers of Provincial governors under the CEO governor approach (Wong 2007). The new approach provided assigned governors with chief executive officer (CEO) like management authority over all branches of local government including budgets, personnel, and various assignments.

The second was the increased control of the budgeting process adopted by the administration. This allowed for more discretion to the held at the centre on how budgets were allocated, an element that facilitated implementation of the administration's key policies but reduced the potential for a demand driven allocation process that should be central to decentralisation (Chardchawarn 2010). Finally the administration undertook a significant restructuring of ministries and departments, the first significant restructuring since 1897. The 'streamlining' process, however, increased the

number of ministries from 14 to 20 and departments from 126 to 143 leaving many commentators questioning whether the process had delivered any managerial gains or rather just worked to support the existing political status quo through the rewarding of senior officials (Painter 2006).

Thaksin did, however, recognise the local electorate as never before initiating a number of schemes to garner support from rural voters. His increasingly centralised regime was able to mobilise significant funds towards these initiatives through their increased control of the budgetary process and was both relatively effective and efficient at driving these redistribution processes (Chardchawarn 2010).

The 2007 Constitution

In 2006 Thaksin's administration was replaced through a military coup by a military council, the Council for Democratic Reform (CDR). This group set about rewriting the constitution, which was approved in 2007. Many commentators note the CDR as shifting back the process of decentralisation and democratisation to a more central state (Duhfeus et al 2011, Hewison 2010). The 2007 Constitution is not, however, negative on decentralisation. It reaffirms support for decentralisation policy and mandates a number of measures that would strengthen local authorities and democratic representation at the community level (Charas and Weist 2010). Other policies and regulations have been less supportive with the Provincial Administration Act being revised, strengthening the role of bureaucrats, particularly those within the MoI, at the local level (Chardchawarn 2010).

To Yingluck and beyond

The political situation in Thailand from 2008 to 2011 was highly unstable. Elections in late 2007 produced a victory for the People Power Party (Thai Rak Thai's and Thaksin's proxy party). However, after less than a year in office protests against this group mounted to an unsustainable level with protestors from the People's Alliance for Democracy (PAD) occupying the Government House compound in Bangkok. The position of PM Samak was also terminated following adjudged conflict of interest due to his holding of a position as a private employee while also being PM. Somchai Wongsawat, was nominated as PM to fill the role but never served in Government House due to its ongoing occupation and was forced out after the Constitution Court found the People Power Party to be violation of election law (Kokpol 2011).

In December 2008, Abhisit Vejjajiva, the leader of Democrat Party, became the Prime Minister. He was also faced with protests from the red shirt movement, which backed the former government and that of Thaksin. The huge demonstration of the Red Shirts turned Thailand to crisis with the demonstration finally broken up through military intervention. In 2010, the Parliament approved the amendment of the 2007 constitution. PM Abhisit dissolved the parliament and called for a general election on July 3, 2011. The election result was the landslide victory of Puea Thai Party and Yingluck Shinnawatra becomes the first female Prime Minister of Thailand (Kokpol 2011).

During this period of instability political progress was limited with many bureaucrats simply maintaining the status quo and waiting to see what the final outcome would be. The government was, however able to develop and pass the Integrated Provincial Planning and Clustering Decree of 2008. This solidified a more area based planning process into the national development process as

well as identifying the interactions between National, Provincial cluster, Province and local development plans.

Box 2: Public Participation - from Policy to Practice

The right to public participation was enshrined in the 1997 Constitution and has been further strengthened in the 2007 Constitution with particular reference to situations in which there may be significant social or environmental impacts (Section 67). These principles are further promoted by the Royal Decree on Good Governance 2003. However, there has been limited progress on defining what public participation truly means within different elements of policy development and planning. National development plans development is led by NESDB and follows a process of regional and national consultation. These plans are however only indicative and provided limited links with Ministerial plans which are developed with limited consultation. At provincial level public hearings and consultation is required but the evaluation team were unable to find clear requirements for what this meant, reducing the capacity to CS and other groups to demand due process.

The Official Information act takes steps to develop this process providing clarity on what environmental information is relevant and stipulating that certain types of information must be made publically available even if it is not specifically requested.

The slow development of criteria and procedures in these areas however indicate the more gradual speed at which headline goals of democratisation, transparency and decentralisation are being adopted in practical terms by the state administration.

National Planning Process

Thailand has a complex national planning process with a number of layers of planning based on thematic and geographical areas. These plans are developed by different ministries and agencies and have differing levels of significance within the national development process. Table 1 below provides and overview of a selection of these plans and the time frame in which they are developed:

Table 1: National Planing Processes

Plan	Overview	Time frame
National Strategic Development Plan	National level plan developed by the NESDB setting a strategic vision for the country. It contains no budget allocation.	5 years
State Administration Plan	Government's strategic plan which states the vision and direction of state administration based on policies government declares to the Parliament as well as on fundamental state policies as determined by the Constitution.	4 years (according to the government's terms)
Sector Strategic plans	Each sector is required to develop strategic plans. These plans set the agenda of line agencies and are interpreted through annual operational plans. These also form the basis of Ministerial Performance plans.	
Ministerial Performance Plans	A four-year performance plan to support State Administration Plan, approved by the Cabinet and used as basis to request budget from the Budget Bureau. The Plan must state Ministerial policies, result targets, KPIs, procedures, time and budget required for implementation, estimated revenue and costs to be borne.	4 years
Provincial Cluster Development Plans	Established at the same time as CEO governor scheme (around 2004-2005), Thailand's 75 provinces are grouped into 18 clusters based on geographical criteria. Plans are strategic and focus on exploiting the characteristics of the area as a competitive advantage when compared to other provinces while also responding to the overall national development policy and strategies. Plans must engage public hearings/participation process.	4 years, rolling
Integrated Strategic Provincial Plans	Established post 2008 (shifted from CEO governor's plan during Thaksin's era) these plans intend to adopt a holistic development approach based on the needs of people in the province expressed through village/community and district plans. Based on the 4-year strategic plan, annual operational plans are developed by line agencies at provincial level, private sector and CSOs and budgets are provided on an annual basis.	4 years, rolling
District Strategic plans	District strategic plans provide direction for district development management as well as inputs for provincial development plan. They are rolling plans, which are reviewed every year during the 4-year coverage. Annual operational plans are developed based on the strategic plans and secure annual budget for operations.	4 years, rolling
Village / community development plan	Community development plans reflect needs of local people through public participation in planning process. They are also conforming to the district development strategic framework and provide details for district annual operational plans as well as TAO plans.	4 years, rolling
TAO Plans	TAO plans are 3 year-rolling plan developed through participatory process by different interest groups in their respective villages. The plans reflect the needs of local people and also conform to district strategic development framework. Plans are used as basis to approve annual budgets.	3 years, rolling
PAO Plans	PAO Strategic Plans provide direction for socio-economic development of areas within its administrative boundary. They take into accounts important	3 years, rolling

	agenda in the national and provincial strategic plans while incorporate community needs/plans.	
	Annual operational plans are developed and budgets allocated in conformity of the strategic directions.	
Climate Change Master Plan	The Plan provides framework and mechanism for sustainable development in conformity with international agreements in climate change management and adaptations. It is linked to related plans and policies of the country such as Communication 2, the 11th Plan, national social development and social security policies, national International Relations as well as international trades policies.	40 years

National Economic and Social Development Plan (NESDP) – the Sufficiency Economy and the role of Environment

Plan development process

The development of the NESDP is led by the National Economic and Social Development Board (NESDB) in collaboration with other central agencies and bodies. The plan is based on research conducted by the NESDB and other key agencies as well as consultations held at national, provincial and local level.

Summary of Plans

Thailand has had a national development strategy for over 50 years with the most recent 2012-16 strategy being the country's 11th such document. The NESDPs set out a strategic direction for Thailand but do not have specific budgets allocated to them relying instead on area based and ministerial related strategic plans to provide budget guidance and annual operation plans to provide more specific allocations.

The nature of these strategies saw a shift in 1997 with the development of the eighth plan, which focused not only on economic development but also human and social enhancement. The concept of "people-centered development" was also launched, with economic policies considered as tools to strengthen the quality of life. Implementation of this plan, however, was undermined by the 1997 economic crisis, which led to more immediate crisis prevention measures.

The ninth plan (2002-2006) adopted the Sufficiency economy as its guiding philosophy emphasizing the need for a balanced approach between social, economic, natural resource and environmental development. Under this philosophy the planning process was also shifted from 'for the people, by the government' to 'people's participation' in setting the direction of progress[2] (NESDP 2011).

The Tenth Plan reiterated the vision of the Sufficiency Economy, but placed more emphasis on social harmony and sustainable co-existence between Thai society and natural resources and the environment. In preparation of the Tenth Plan analysis of the country's endowment for development its economic, social, and natural resource capital was also conducted.

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[2] In 2003 the Royal Decree on Criteria and Procedures for Good Governance was also passed.

The Sufficiency Economy

The Sufficiency Economy is an approach to life and conduct, which, is appropriate at every level from the individual through the family and community to the management and development of the nation.

It promotes a middle path, especially in developing the economy to keep up with the world in an era of globalization.

Sufficiency has three components: moderation; wisdom or insight; and the need for built-in resilience against the risks which arise from internal and external change. In addition, the application of theories in planning and implementation requires great care and good judgment at every stage.

At the same time, all members of the nation-especially officials, individuals and business people-need to develop their commitment in the importance of knowledge, integrity and honesty, and to conduct their lives with perseverance, toleration, wisdom, and insight, so that the country has the strength and balance to respond to the rapid and widespread changes in economy, society, environment, and culture in the outside world.

(Thailand Human Development Report 2007: Sufficiency Economy and Human Development, UNDP)

The Eleventh Economic and Social Development Plan (2012-16) was approved by PM Yingluck Shinawatra in October 2011. While noting the uncertainty of the future it notes that it will '..*continue to implement the key elements of the "Philosophy of Sufficiency Economy."…. place "people at the center of development," and promote "balanced development" in all aspects.'* (NESDP 2011 p12?), and sets out the following vision and missions:

Vision "A happy society with equity, fairness and resilience."

Missions

1. To promote a fair society of quality so as to provide social protection and security, to enjoy access to a fair judicial system and its resources, and to participate in the development process under good governance.
2. To develop people with integrity, knowledge and skills appropriate to the age of each, and to strengthen social institutions and local communities to ensure positive adaptation to changes.
3. To enhance the efficiency of production and services based on local wisdom, knowledge, innovation and creativity by developing food and energy security, while reforming the structure of economy so that consumption becomes more environmentally friendly, and strengthening relations with neighboring countries in the region for economic and social benefits.
4. To build secure natural resource and environmental bases through supporting community participation and improving resilience that will cushion impacts from climate change and disasters.

Success in these vision areas will be measured using a number of indicators:

1. Overall national development: Main indicators are the Thai Green and Happiness Index, the Institute for Economics and Peace (IEP) Peace Index, the ratio between the highest 10 percent of the population by income and the lowest 10 percent, the poverty line, the ratio of workers in the informal sector having access to social protection, and the TI Corruption Perception Index.
2. Social Aspect: Many indicators are applied, including average years of schooling, the proportion of population with access to communication networks and high-speed internet, the number of R&D personnel per 10,000 persons, the rate of non-communicable diseases, and Thailand's Warm Family Index.
3. Economic Aspect: Important indicators are the GDP growth rate, the inflation rate, TFP, national competitiveness, and the proportion of production (output) of GDP by SME's.

4. Natural resource and environmental aspect: A variety of indicators include quality of water and air, the proportion of conservation forest area to total land area, and the ratio of greenhouse gas emissions per capita to GDP

Provincial Cluster Plans

The concept of Provincial cluster development planning was introduced during the era of Thaksin and the 9th NESDP 2002-6. Through this approach 75 provinces are grouped into 18 clusters. These clusters are encouraged to identify their comparative advantages over other areas and then promote development strategies that utilise these advantages.

Cluster strategies are closely related to the delivery of elements of the NESDP and are intended to support functional zoning of different industries of initiatives. Both Provincial and Provincial Cluster plans must be developed within the same overall framework shown in figure 5:

Figure 5: Framework for Provincial Planning

Provincial Plan	Provincial Cluster Plan
Adopts holistic development approach based on the needs of the people in the province expressed through village/community and district plans	Focuses on exploiting the characteristics of the area as a competitive advantage when compared to other provinces while also responding to the overall national development policy and strategies
Framework for Development	
(1) Framework National Social and Economic Development Plan, government policies, national development strategies, regional development strategies, sectoral development strategies Conformity and Linkages Potential , opportunities, problems and needs of people in the province	**(2)** Quality of Plan • Gone through participatory review and acceptance by all concerned parties/sectors • Clear with logical links between vision, goal, strategic areas of intervention, targets, strategic inputs, plan and projects • Rolling, subject to review every year throughout the 4 year-period

Provincial plans

Overview of Planning Process

The provincial planning process has been evolving over the past 15 years with the current form established through the State Administration act of 2007 and the Provincial Planning and Clustering Decree of 2008. Under this legislation integrated plans are used by the province, as a legal entity, to access budget from the Budget Bureau. Strategic plans for the province are developed on a four yearly cycle with annual operational plans providing a more detailed framework for implementation.

The planning process is led by the office of the provincial governor and should incorporate the strategic plans of line ministries operating at the provincial level as well as taking into consideration the plans of district and village administrations as well as the both the PAO and TAO. The development process is overseen by a Provincial Development Committee (Kor Bor Jor), which is chaired by the provincial governor and has members from line ministries, private sector and civil society organizations in the province.

To request budget, the Provincial Development Committee must submit the integrated provincial development plan and an annual performance plan to the Office of Public Sector Development Commission (PSDC), which serves as the secretariat of the National Policy Committee (Kor Nor Jor) chaired by the Prime Minister. In order to receive funds, plans must be strategic in nature, related directly to the province's development strategies and should take into consideration the central government's policies and the balanced coverage of all dimensions of development. The review process should also check levels of public participation in plan development with the document and development process also reviewed by the Provincial Good Governance Committee.

Once the plan receives the final approval by the cabinet, the Budget Bureau will allocate the budget accordingly.

This integrated planning process was initiated during the period of Thaksin's administration and was first known as the 'CEO Governor's Integrated Plan) and support is provided in the process through the NESDB and the Public Sector Development Commission (PSDC) who provide training workshops to provincial administrations on the integrated planning process. This process is also supported by MoI, which, sits in the secretariat group of the Kor Nor Jor.

The integrated planning process, however, remains weak in many areas. While progress has been made in developing strategic plans that fit the model of an integrated plan there has been significantly less progress in development of the mechanisms to implement them. Planning is still conducted by line ministries first in line with requirements from their central ministry with integration being seen by many stakeholders as a cosmetic as opposed to operation activity. Even where effective planning is done on the four-year cycle capacity to integrate planning within the more compressed annual planning cycle has proven more challenging.

Local Administration plans

A number of planning pathways occur through the local administration with planning occurring within both the administrative and the autonomous pathways of local governance.

The administrative pathway (system existing pre-decentralisation and focused on the implementation of national policies at local level) moves from Community Development plans to District Strategic plans, which, finally filter up to Provincial and cluster plans (see above). Planning at community level is facilitated by the Community Development Department (CDD) of the MoI and is informed by both meetings of the village committee and data collected from household surveys which provides generic information on the social economic context of the village. At the District level planning occurs through the Kor Bor Or (District Development Committee).

Within *the autonomous system of local government,* established over the past 20years, planning occurs at the sub-district (Tambon) and Provincial levels. The process is led by the TAO and PAO respectively. At the TAO level there is a focus on identification of specific projects that can be

developed within the area as well the provision of some basic services in line with the transfer of administrative functions.

The PAO is responsible for developing a 3year Provincial Development plan based on these TAO plans and linked to the planning of the province and local administrative pathway. As PAO's have no immediate geographical area their plans must form an aggregation of TAO level plans with PAO's prioritising initiatives and projects that span multiple TAOs.

Revenue for local government comes from three main sources, locally levied revenues, shared taxes and grants (see table 2 for further information on these). The Determining Plan and Process of Decentralisation Act 1999 originally stated that by 2001 20% of Gov revenue should go to local government and that this should increase to 30% by 2006 (Chardchawan 2006 p33). This target was not achieved with revenue plateauing at approximately 26%. Revisions to the act increased the target share to 35% and the minimum to 25% but did not specify a date by which the upper target should be met. In order to gain access to these funds all local government plans must be reviewed by the Provincial Governors office and subsequently must pass through MoI to the Department of Local Administration (DOLA), which, is responsible for budget allocation. While basic administrative budgets are assured (estimated to account for approximately 40% of local government allowance) funds to undertake specific projects (related to Grants in Table 2) are based on a more discretionary process. This leaves the process vulnerable to central political interference in the allocation process and prioritising of projects preferred at national as opposed to local level.

Table 2: Local Authority Sources of Funds

Source of Income	Description	Average % of Annual Budget
Locally levied revenues	Includes property and land development tax the unit values of which are controlled centrally as well as license fees, fines and income from assets.	9%
Shared Taxes	Proportion of some taxes collected by central government (e.g. Value added Tax) are returned to local administrations – based on their contributions to their collection.	51%
Grants	Allocated based on population size and need for specific services. There are also specific grants allocated by DoLA for specific purposes and are approved following parliamentary debates.	40%

Adapted from UNDP (2012) Thailand Climate Public Expenditure and Institutional Review.

Other key planning / environmental documents

A number of other planning documents exist at the Provincial or district level. Under the

The Enhancement and Conservation of National Environmental Quality Act of 1992, allows provincial and local authorities to formulate their own environmental management plans, which should be submitted to the National Environment Board for approval. Provinces can also designate pollution control zones within which pollution levels are more closely measured and planned[3].

Provincial and local authorities are also increasingly be looked to develop plans for disaster management and climate change mitigation and adaptation (UNESCAPE 2001).

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[3] Establishment of a pollution control zone was the approach used by CS local communities in Rayong to address the development of the industrial zone there.

Initial Stakeholder Analysis - Institutions, Structures and Interests

National Level

National Government

The Ministry of Interior (MoI) – The MoI is one of the largest ministries in the Thai government and has a significant remit covering land titling, internal security, community planning, strengthening of local administration, land use planning and disaster management. Following restructuring in 2003 the MoI had 8 departments and 5 state enterprises. The structure of the MoI is shown in Figure 6.

The MoI's departments are represented in each of the 75 provinces and they play a role in the assignment of governors to provincial posts. Prior to the decentralisation

Figure 6: Structure of Ministry of Interior

Responsible for the preparation and proposal of the 4-year ministerial performance plan and the annual performance plan as well as the promotion of their implementation in sub-national level;

Internal Security Cluster		Community Development and Local Administration Cluster		Public Disaster and Town and Country Planning Cluster	
Department of Land	Department of Provincial Administration	Department of Community Development	Department of Local Administration	Department of Public Works	Department of Disaster Management and Prevention
Responsible for land titling	Responsible for maintaining public order and keeping internal security,	Responsible for community planning	Responsible for promoting and strengthening the local administration	Responsible public construction and physical and land use planning	Responsible for for disaster management

process the MoI had significant power with regard at provincial and local level government directing both budgets and administration. They had direct control over officials and village headmen (with the latter elected by popular vote).

While no longer maintaining having a direct managerial role, MoI still maintain oversight the autonomous elements of government with the MoI and provincial governor having the capacity to dismiss the heads of village and local councillors, to dissolve the local councils and to approve the budgets. As such they remain central in the provincial structure with capacity to influence and control local decision-making processes through both district and provincial officers and have been reported to regularly direct activities at the local level.

These powers have been maintained through sustained lobbying and engagement by MoI within the decentralisation process. An increase in the power of the autonomous local authorities based on community participation presents a challenge to this with the PAOs in particular presenting an immediate conflict with the MoI appointed governors. This is not to say that the MoI sees no value in these units but would prefer to see them as a means of adapting and implementing national priorities such as disaster management (Nagai et al 2008). As such the institution's interest in management tools is predominated by the ability to monitor or direct progress at the local level as opposed to promote local level advocacy and decision making.

The Bureau of Policy and Planning (BPP) – The BPP sits within the office of the PS of MoI and is responsible for a number of activities including:

- Recommending and developing the Ministry's policies and strategies in alignment with the national strategies, National Economic and Social Development Plan, the government's policies and the policies of MoI Minister;
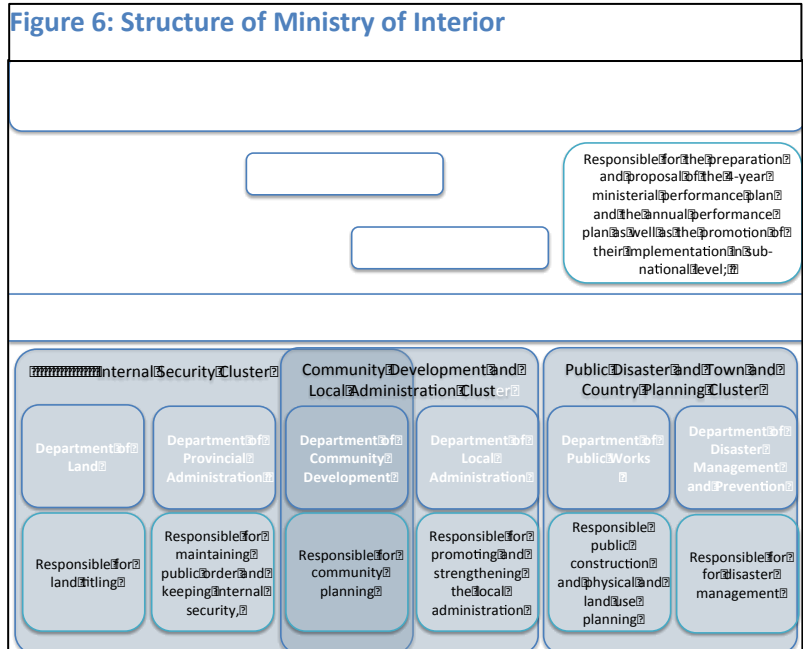
- Developing the MoI's Master Plan, coordinating its operational plans, and recommending policy in relation to annual budget request and allocation;
- Monitoring and evaluating the implementation of the operational plans of all MoI divisions/agencies.

Provincial Administration Development Department (PADP) – The PADP also sits within the office of the PS. They are responsible for supporting the development of provincial administrations including:

- Developing guidelines for the development of provincial and district development strategies;

- Control and coordination of integrated provincial and district administrations for area-based development;

- Promoting and coordinating with public and private sectors to achieve area-based provincial and district development objectives/goals

Community Development Department (CDD) - CDD was established in 1962. It is MoI's technical arm in promoting community participation in public planning process. CDD is responsible for collecting a comprehensive assessment of every village in Thailand in key development areas including household characteristics, education, health and sanitation, the environment, income, and other categories. This data set is used as a basis for developing community development plans together with data from other sources such as Basic Minimum Needs (BMN) Survey and survey on income and employment status of Thai people. As such CDD plays an important role in linking communities with the national planning process. The departments incentive structure is still however highly hierarchical and which combined with limited capacity in many offices promotes a very centrally focused approach to data collection and support to planning.

Ministry of Agriculture and Cooperatives (MoAC)

The Ministry of Agriculture and Cooperatives (MoAC) is one of the oldest ministries in the government, tracing back its existence since the 14th century. It is responsible for the administration of agricultural policies, forestry, water resources provision, irrigation, promotion and development of farmers and cooperative system, including manufacturing process and agricultural products. MoAC is divided into 13 departments with regional, provincial and district-based offices and extension workers down to the sub-district level. The Ministry also has 5 state enterprises and 3 public organizations under its administration. As Thailand is a mostly agricultural country with a strong agrarian tradition, the ministry is one of the most important departments in the government.

The ministry is also currently trying to manage a complex range of policies that provide mix incentives to farmers in the agricultural sector. Price guarantees and promotion of biofuels have led to significant shift to mono-crop production resulting in reductions in food security in some areas as well as increased vulnerability to price shocks and accelerating soil degradation. This situation is likely to continue in coming years with an increased pressure on small-scale rural farmers.

Ministry of Natural Resources and Environment (MoNRE)

Established in 2002 MoNRE is divided into six departments with responsibility for almost all environmental issues. The ministry has provincial and district offices intended to provide a full range of services. Many, however, are understaffed and lack the technical capacity to undertake key monitoring functions.

Nationally the planning process is held by the Office of Natural Resource and Environmental Policy and Planning (ONEP). This office deals with central planning as well as international cooperation under international agreements and is intended to act as a watchdog to national and provincial planning processes. The ministry is responsible for developing a number of national strategic plans and has most recently developed a National Strategy on Climate Change Management, and the Thailand Climate Change Master plan[4]. Efforts are currently being made to integrate elements of these plans within both line agency and integrated planning.

Through development of these plans and their broader work MoNRE has made progress in raising awareness of environmental issues. Their legal remit for enforcement, however, combined with limited capacity and funding as subnational level, leave the ministry underpowered in many areas making it difficult for them to drive environmental protection initiatives and changes within government. The global focus on climate change does provide a window for development in this area and development of the agency's capacity and remit to monitor GHG emissions may provide a window for increased powers in other areas of environmental monitoring.

National Economic and Social Development Board (NESDB)

The NESDB is responsible for drafting the NESDP and coordinating with Ministries over its implementation. The board has offices as regional level, which, are responsible for supporting subnational consultation processes during the development of the NESDP and the subsequent

integration of national planning into provincial planning process and supporting the planning process more broadly. The central office should also review all area based plans prior to their approval at the central level. The NESDB utilise a number of criteria to help support this process, which are drawn from the NESDP and provincial cluster plans. The board however is described by many as a 'paper tiger' with significant influence in the development of plans and strategies but with limited influence in the actual allocation of funds (the NESDP comes with no associated budget allocations). It is also acknowledged that while criteria for plan development do exist they are not seen as a priority and are sufficiently broad to allow a wide range of activities to be included.

Bureau of Budgets (BoB)

The BoB is within the PM's Office. The BoB are responsible for developing annual government statements of expenditure to be presented to the PM and cabinet for approval and submission to parliament.

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[4] This forthcoming Master plan will be in complementary to the NEDSB (2010) Master Plan on Climate Change in Thailand. This earlier document which focused on the economics of climate change noted the potential impacts of climate change on welfare and growth.

Ministry of Social Development and Human Security (MSDHS)

MSDHS is a relatively new ministry, set up in 2002 as part of the national public reform scheme. The ministry has 6 departments and bureaus and regional and provincial offices in all part of the country. MSDHS was set up as a social arm of the government to ensure that children youth, women, vulnerable groups, disable people and the elderly are protected and secured by the government social policies.

Community Councils have been set up by the MSDHS with technical support from the Community Organisation Development Institution (CODI). NESDB has used this channel to feed the community views into the national development plan (NESDP).

Community Organisation Development Institute (CODI)

CODI is an autonomous government agency governed by the executive branch. Reporting directly to the Minister of Social Development and Human Security and managing its own capital fund, CODI has the flexibility and independence to efficiently implement projects. Its core budget is financed through interest from a capital fund while project budgets are allocated on an annual basis[5]. The group has over 300 staff based at regional offices across Thailand. The organization has a remit to support community organisations to facilitate development.

Provincial and Local Government

Office of the Provincial Governor

The role of provincial governor has been turbulent over the past 15-20 years. Initially a powerful force within the provincial politics the rise of local government threatened to undermine some of this influence. Reassertion of those powers and financial strength under the Thaksin's CEO governor position, however, brought the Governor back to a central role. The current integrated planning process has limited that role to a degree with the Governor's fund now only a fraction of the provincial budget with the remainder managed by line agencies.

Indeed many central ministries – most notably the MoI, MoAC, MoE, and MoPH have their branch offices at provincial halls and district offices. Officials are assigned to these offices from central placements or moved between offices. As such these provincial administrations can be seen to represent an aggregation of branch offices as opposed to a truly decentralised from of government (Nagai et al 2008). This situation has led some to note that the position of governor is now one of figurehead with their hands tied behind them by line ministries.

While the period of total control has been reduced governors still maintain significant influence and power at provincial level. Provinces exist as separate legal entities and as such Governors and district officials, who are MoI officials, have the statutory authority to direct and order government officials from other central ministries and departments at provincial and district level as well as holding leadership of key MoI departments at the provincial level such as Public Works and Town and Country Planning.

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[5] CODI's project budget for 2009 was $92million

In recent years there has been a trend towards the rapid movement of governors between provinces and their periodic removal and replacement. This rapid turnover has created a duel incentive for further centralisation, in attitude if not in official practice. Firstly line ministries are dis-incentivised from further integrating themselves into the provincial system as they cannot be guaranteed future support from a governor if they align to provincial as opposed to national policies. As such the vertical relationship between ministries and departments outweighs the horizontal coordination at provincial level (Nagai et al 2008). Similarly the governors themselves aware of the potential for further movement or removal maintain a focus on meeting the objectives of national politicians and bureaucrats, particularly within MoI, as opposed to addressing the issues of their provincial constituencies.

Local Authorities

The reach of the central state continues below provincial level with many line agencies having offices at the district and even sub-district (Tambon) levels. Village and Tambon heads are also elected, serving for 5 year terms, although their pay and direction comes from the MoI. This series of structures has remained in place for close to 100 years as compared to the autonomous process of decentralisation, which, has only evolved fractiously over the past three decades. As such many local officials still default to requesting both supervision and guidance from central line agencies, although this may also be a function of capacity as well as habit.

The Local Autonomous System

The process of transition of roles and responsibilities to local government has had a mixed success. Decentralisation of administrative functions has made progress, fiscal decentralisation has also moved forward although well below the original objectives set out for it (with revenue flow from central government to local government stuck at approximately 26% - much of which is distributed through subjective grants). Decentralisation of human resources has, however, moved at a slower rate leaving many local authorities with limited capacity to undertake work and requiring further support from central agencies. Education and experience levels amongst many local authorities are also limited causing them to rely on adhoc relationships with specific organisations or CS groups or ongoing engagement with central line agencies.

In combination with the structural and administrative challenges to decentralisation cultural challenges also exists with central agencies unwilling to release influence at the local level and many local communities unaware of their rights to, or unable to demand improved levels of governance at the local level. Both of these issues will take time to change but there are significant signs of progress. An assessment of local communities perspectives of the roles of LAO and their engagement with them on key issues noted a high level of engagement on environmental and social issues combined with a high level of expectation for action in these areas (Nagai et al 2008).

Provincial Administrative Organisations (PAOs)

The current set up of PAO has evolved from its origin since 1933 when a Provincial Council was set up as part of the provincial administration. Represented as people's organization, the Provincial Council's main task was providing advice to the provincial development committee but it did not yet have juristic status.

In 1975, Provincial Council evolved into PAO, having status as local government unit and was the lowest local government unit before the TAO was established in 1994. The PAO Chairperson and PAO members are elected directly by their constituency and can be reelected every four years.

The chairperson oversees the work by the PAO permanent officers headed by PAO Permanent Secretary. Work focuses on the development projects/activities such as:

1. Building infrastructure which is beyond the capacity of TAO or municipality, such as waste management systems
2. Implementing projects which benefit the whole province, such as main roads
3. Public disaster prevention and relief services
4. Developing land use for public benefits such as public parks
5. Local natural resource , environmental and cultural conservation

Members of PAO councils are elected and tasked with the following functions.

1. Issuing laws and regulations to be applied within PAO boundary of responsibilities, such as law about tobacco and petrol,
2. Approving PAO annual plan and monitor its implementation,
3. Approving PAO annual budget

It is intended that the PAO head works closely with the Provincial governor in development planning and implementation. Dependent on the personalities and interests of those involved this process has also have widely varying success, a situation that is further exacerbated by the aforementioned turnover of Provincial Governors.

Serving for four-year terms with indefinite potential for extension the time horizons of representatives can vary based on their period in office and the perception of re-election. Initial evidence has shown that some more stable PAOs have developed longer term time horizons increasing focus on sustainability, while in other contexts younger groups have started to come through on platforms of more equitable and responsive development and once elected have maintained their commitments increasing spending on environmental and social issues and reducing spending on infrastructure (Nagai et al 2008).

As PAOs do not have an immediate geographical area in which funds are to be spent but rather a number of Tambons within which they can distribute their funds they represent one of the more flexible areas of government. With increasing demand for improved provincial and local governance the PAO branch also has the potential to increase in importance. With direct access to the Provincial Governor and the provincial administration but also with accountability to local populations the PAO provides a potential route into provincial decision making processes.

The office is, however, not without challenges with limited administrative capacity and with many local politicians prone to populist policies and projects as well as those that maintain a patronage system in-order to gain (re)election. As a result of this situation PAO initiatives have varying levels of trust within local communities, and are perceived to often be only guaranteed for the PAO's current term.

Tambon Administrative Organisations (TAOs)

 TAOs present many of the same opportunities and challenges as PAOs. They have a more direct mandate to deliver services to local communities and are closer to the constituents they represent. Their operating budget, however, remains low with the majority of funds allocated to

administrative or core operational costs. More flexible funding is thus limited to small-scale very local projects.

Private Sector Groups

The Thai private sector has driven growth within the country and remains a powerful force at national level with a relatively small number of firms contributing significantly to economic output[6]. As firms have increased their scale and public visibility many have also come under pressure from CS groups with accusation of unsustainable and socially and environmentally exploitative practices. From the existing limited assessment[7] there is evidence that some of these firms are responding to such criticism through both point CSR projects[8] and more significant systematic approaches to supporting sustainability.

Interest in supporting PS efforts to improve sustainability have also been supported by other DPs with GIZ supporting efforts to promote sustainable palm oil production through the promotion of the Roundtable on Sustainable Palm Oil (RSPO) standards.

The impact of the 2011 floods on Thai business has also increased the interest of many private sector companies in improved environmental management and disaster management.

At the provincial level representatives of the Chambers of Commerce within all three provinces visited displayed an interest in the maintenance of environmental conditions not least as a means of protecting the business interests of their existing members. In SSK these interests had been effective at putting pressure on provincial level decision makers (as part of a broader movement) to maintain a more environmentally friendly development pathway. These groups may also have the potential to drive issues within local and provincial government with regard to the development of specific environmental guidelines or regulations. Such developments are however highly sight specific and can be undermined by national or provincial cluster policy developments with the maize price guarantee (Nan) and push for biofuel production (KK) providing immediate examples.

Civil Society Groups

Civil Society in Thailand is varied and diverse. It covers citizen organizations with both political as well as social and economic motivations. (ADB, 2011) It is not easy to come up with the exact number of CS groups in Thailand as many legal forms are available. Groups are often active around

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[6] A study conducted by the Thaipat Institute and the Foundation For Thailand Rural Reconstruction Movement in (2009) showed that of close to 3million enterprises registered in Thailand only 0.2 per cent could be considered large enterprises with the remainder being small and medium sized. The study, however, noted that 70% of these LEs were based in or around Bangkok and they collectively contributed Bt2.21 trillion to the gross domestic product (GDP), or 46.3 per cent; while SMEs contributed Bt3.45 trillion or 37.9 per cent.
http://www.csrthailand.net/en/knowledge/detail/58

[7] CPP a leading agricultural supplier and purchaser was interviewed during the assessment and provided comments both as a representative of the Chamber of Commerce and as CPP. The organization has come under increasing CS scrutiny and it currently taking steps to address the perceived flaws in its business model through both point projects and broader strategies although it was not clear at what stage this process was.

[8] Point project is viewed as a geographically and thematically isolated initiative, such as the building of a school or digging of well and do seek not address the existing commercial practices of the company, or the broader operating context.

several sets of issue, including environmental. Income inequality and livelihoods issues have also become an increasing concern of the Thai Civil Society through various rallies and public hearings.

In regard to policy advocacy on rights to resources and sound environment, several means and mechanisms have been adopted by CS groups. Among others are the proposal of people's development plan, which demanded the state to recognise the rights of local community to manage their local natural resources and their local affairs, the proposal of community forest bill which will enable people to live in and jointly help the government nurture and protect the community forests, without having to be evicted from the forests, and the proposal to involve people in decision-making process of projects, which affect environment and large numbers of peoples such as dams, industrial waste disposals, large energy plants and other big projects (Pasuk Phongpaichit, 2000).

CS groups have been effective in gaining political traction on key point issues but have been less effective at addressing longer term and politically sensitive policy and planning issues (such as community forestry). With relatively high levels of organisation and high capacity CS groups remain a potent force in Thai society gaining additional traction when working with private sector agencies.

Thailand Research Fund

The Thailand Research Fund (TRF) was established in 1993 as an autonomous organization. It's main function is to support at both local and national levels the creation of knowledge to help tackling society problems. It grants researches with different natures such as R&D, Strategic Research Issues, Area-Based Action Researches. The biggest challenge TRF is facing is how to pool multi-disciplinary researchers to address the multi-dimensional of the problem.

The organization works through networks of their partners across Thailand. Coordinators or 'nodes' of their research projects are selected from partners who have proven expertise, capacity and ethics[9]. Nodes will coordinate between researchers and TRF throughout the complete research cycle, from proposal development to monitoring and presenting research results through a variety of formats.

Key Committees within the planning process

The Provincial and Provincial Cluster Administration Policy Committee   (Kor Nor Jor)

National level committee established to oversee policies in integrated provincial and provincial cluster administration. The committee ss chaired by the PM with OPDC Secretariat serving as secretary and MoI representative appointed by its PS as assistant secretary. Its members include Deputy PMs , Ministers appointed by PM to oversee provincial administration, Ministers of Finance and Interior, Permanent Secretaries of the PM Bureau and MoI, the PM's secretariat, the Cabinet's Secretariat, BoB Secretariat, and NESDB Secretariat; Chairpersons of PAO Association and TAO Associations of Thailand and Thailand Municipality League; Chairpersons of Thailand's Chamber of Commerce and Industrial Council; Representatives from PSDC appointed by PSDC Secretariat (maximum 3 persons); Representatives from Civil Society appointed by the PM (maximum 2 persons)

The committee is responsible for:

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[9] The Community Based Research Center (CBRC) that worked with the PEI programme in SSK is one such node.

- Developing a policy framework and systems for integrated provincial and clustered provincial administration for effective and most beneficial implementation of development based on local people's needs
- Formulating policies, criteria and methodologies for developing and administration of integrated provincial and clustered provincial strategic, operational and budget plans.
- Reviewing, screening and approving provincial and clustered provincial strategic and operational plans and corresponding budget requests and submitting them to the Cabinet

The Integrated Provincial Cluster Administration Committee (Kor Bor Kor)

The Kor Bor Kor is chaired by the governor of the province which has a leading function in the cluster. Secretary of the Committee is appointed from MoI official in the cluster by MoI Permanent Secretary.

District Development Administration Committee (Kor Bor Or)

The Kor Bor Or is chaired by Chief District Officer. Its members come from core line agencies at the district level, which form into functional taskforces such as economic, social, and security.

Or Bor Tor (TAO)

With the *Tambon Council and Tambon Administrative Authority Act BE 2537* (1994) and later by the constitution of 1997 the tambons (sub-district) were decentralized into local government units. The TAO consist of two representatives from each administrative village in the sub-district, and one directly elected president. The sub-district area which belongs to a municipality (*thesaban*) is administrated by the municipal council. In case only a part of the sub-district is within a municipality, the remaining part is administrated by a TAO. Adjoining sub-districts of a single district can also have a joint TAO.

Joint Public Private Committee to Solve Economic Problems (Kor Ror Or)

This is at provincial, regional and national level. National level committee is chaired by the PM. Members from the public sector are ministers or high level managements of key economic ministries. Members from private sector are representatives of key institutes such as the Chamber of Commerce, the Industrial Council, Bank Association of Thailand. Membership composition at regional and provincial levels takes more or less similar patterns as the national one.

Summary of Existing Context and Drivers of Change

Context

Thailand has traditionally been a highly centralised state. Both political and private sector activity in Thailand have centred on Bangkok. Government has been highly centralised with progress on decentralisation only occurring in the past 20 years and without full commitment from many in the political class.

Rapid economic, social, and political changes have occurred in the past 25 years. Thailand has experienced rapid economic growth in the past 25 years and has been able to produce significant reductions in poverty as well as improvements in the quality of living. This process has been accompanied by efforts at government reform, in terms of decentralisation, improved governance and democratisation, and improved environmental and social legislation. Many of these issues have been driven by an increasingly competent and organised civil society, which, has mobilised to demand change as well as increased recognition of the rural electorate.

Shifts in policy have often resulted from public outcry and have struggled to address deeper structural and cultural elements. Many changes that have been passed have corresponded with significant disaster events or national upheaval. While decentralisation and other reforms, including elements of public participation and environmental protection have been passed on the back of these process and the overall development trend in Thai society they have not been supported by subsequent legal or structural changes. This has resulted in weak implementation of policies and a continued strong and central state, with provincial and local communities often being presented with conflicting national policies.

The primacy of economic development has led to very close relations between business and government and in many areas has resulted in business development being prioritised above environmental or social concerns. Thai business is closely linked with political power. The high concentration of a small number of firms responsible for significant levels portions of GDP has increased their voice in national politics while at provincial level large investments can have significant influence in decision-making forums.

Demand for and capacity to deliver local government is increasing. Local democratisation is now fully established with communities starting to demand improvements from their local councils. Limited capacity and populist policies, however, still make this process vulnerable to corruption while the high levels of influence of national politicians in budget allocation present further challenges.

Continued political instability undermines the potential for significant reforms. Continued government transitions and significant public protests have constrained the potential for political reform. Political parties are wary of providing opportunities for the opposition to contest their position and civil servants are wary of following a reform process linked to a single party for fear of the long term career implications. This combined with highly hierarchical institutional structure present limited opportunities for an upward progression of change within line ministries.

Drivers of Change

External

Desire to maintain a position of regional lead within the international context. Thailand has maintained a position of regional leadership over the past and is a significant actor at both the regional and international levels. With increasing regional integration and ongoing development of regional competitors Thailand will need to maintain political and economic advantages in specific areas – improved environmental governance main prove one such area.

Challenges and opportunities within ASEAN integration – ASEAN integration will provide a number of opportunities for Thailand but will also present a number of challenges related to existing price guarantees and subsidies. Removal of these combined with the need to maintain competitiveness against neighbouring countries may promote Thailand to look to increase the value added of products through increased standards of production.

Climate Change – the term climate change is mentioned over 200 times in the 11th NESDP, efforts will be supported through international finance and there are opportunities for Thailand to gain a regional lead in business areas. Utilisation of the potential political (and external financial) support for climate change could provide a window of change.

Internal

Need to address costs of environmental damage – flooding during 2011 was estimated to have cost the country US$45.7bn. Further information on the economic costs of environmental degradation may provide motivation for changes at senior government levels, with support form the business sector as well.

Need to address small scale agricultural production – small holder farming was once a mainstay of the Thai way of life however with increased pressure from larger commercial enterprises, a steady progression of young people to urban centers and degradation of soils from unsustainable farming practices this situation is under threat. Potential changes to price subsidies resulting from ASEAN integration complicate the situation further and present a risk of increased food insecurity in rural areas with small scale farming

Strategies to address this situation will require a review of rural livelihoods and government incentive schemes as well as a strategy to develop small-scale agriculture in a way that can maintain Thailand's comparative advantage. Effective engagement in this area could help to improve environmental management at the local level and promote areas including improved water management and organic farming.

CS action on key development topics – CS remains a strong force in Thailand and has the capacity to unite on key issues. Development of an effective narrative for advocacy related to environmental issues would help promote action which could intern be integrated into increasing demands for environmental governance at local or provincial level.

Initial implications for the programme

No programme partner exists that was both incentivised to and had the capacity to deliver change. Three potential implementing partners existing within government, MoI, NESDB and MoNRE. None have a perfect mix of incentives and capacity to drive the programme, with the former being the most influential but having limited incentive to drive change and the latter two having high levels of interest in the programme but limited capacity to deliver significant change.

Within MoI the BPP within the office of the PS provided an entry into central policy-making and had the potential to be more flexible than the larger and more operationally focused departments. Without explicit support from the PS or Minister both bureaus and the individuals who staff them are reluctant to push new or innovative approaches outside of those that relate directly to their KPIs within what is a heavily structured and politicised ministry.

The process orientated approach of the PEI and the SGA in particular was not a good fit for a more results focused and heavily centralised ministry particularly within the context of programme structure. The SGA is described as a process orientated approach with the PEI also looking to support policy discussions. The structure of the PEI with multiple implementing partners was also based around the concept of having a central facilitator. Neither of these approaches are well suited to the more hierarchical MoI.

Significant structural challenges within the integrated planning process make significant programme impacts unlikely. The integrated planning process is a relatively new process and faces significant structural challenges related to rapid transition of provincial governors and the rigidity of current ministerial planning systems. While some funds do exist that could be adjusted to fit with more effective environmental planning these are limited and contested by different groups. As such the incentives of different stakeholders to prioritise engagement in this area is limited as it is complex, political and provides limited opportunities for rapid change.

Opportunities existed to support local government development and civil society engagement. Local governments are developing their own systems and processes and are continuing to evolve as a local entity. There proximity to local communities and relatively more flexible budgets provide opportunities for integration of environment and livelihood linkages. Projects however will be small scale and are unlikely to be able to address drivers of degradation coming from the national or provincial level.

High-level engagement within central ministries will be critical to gaining traction at the national level. The highly hierarchical nature of the Thai bureaucracy combined with recent political transitions make high level commitment to any programme essential if it is to be able to deliver change within an institution.

Section 4: Programme Evaluation – Successes and Challenges

Relevance

> *How well do the programme objectives fit with the interests of the RTG, UNDP and programme target stakeholders?*
> *How has the programme changed in response to changing circumstances?*

Summary

The PEI has a high level of relevance to the Thai context with continuing environmental degradation and weak and poorly integrated environmental regulation.

The chosen pilot projects also present conditions relevant for PEI combining environmental challenges with, active civil society and local government groups. The programme design, however, failed to effectively nuance its approach to these contexts.

National

The PEI programme is relevant at national level although it has failed to nuance its terminology and approach to the Thai context.

Environmental degradation has continued to be a significant challenge for Thailand. Key indicators of forest cover, water quality and air pollution have also continued to show decreases in the quality of environment. Cases of flood and drought are becoming more common with a serious flood event occurring in 2011. Rapid development has led to poor area planning and weak regulation and enforcement creating high profile environmental disasters such as recent chemical spillages in Rayong province.

In response to these challenges there has been an increasing focus on environment and happiness or wellbeing as part of the NESDPs as well as broader political dialogue. These changes have, however, not translated into improved integration or environmental considerations in mainstream policy development or operational planning. Further support to effective integration of key environmental themes into development planning at national and subnational levels is thus highly relevant.

While strategic documents have also looked at the importance of addressing inequality between different groups within Thai society there has been a reduction in focus on poverty in line with the country's reduced poverty rate[10] and status as a middle-income country. This shift in perspective is seen by the use of the term in the 11 NESDP which mentions poverty only 24 times in its 186 pages as opposed to climate change which is mentioned over 200 times. While this does not detract from the ongoing need to address poverty and maintain links between environmental governance and

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[10] The 11th NESDP notes poverty as having declined from 9.6% in 2006 to 7.8% in 2010 (approximately 5million people) although it also recognises this rate is closer to 13.8% (NESDB 2011).

poverty it does indicate that presenting an initiative as poverty focused is unlikely to appear immediately relevant to many government officials and decision makers in CS and the PS.

Institutionally UNDPs environment unit has played an important role in supporting environment and development issues within Thailand but had limited experience of addressing some of the broader governance challenges and/or engagement with MoI.

The MoI with its central role in integrated planning provided a highly relevant partner to support developing linkages between provincial and national development plans and showed early interest in the potential of a tool to support management and monitoring of environmental planning. The ministry were however less interested in broader engagement on environmental issues in the policy process with a higher focus on a central MoI approach to the process.

Samut Songkram

PEI is relevant to the local situation where there are clear P-E linkages to be addressed, a high capacity and well networked civil society and a relatively small and concentrated population.

The province is situated at the mouth of the Mae Klong River, which flows from the highlands of Kanjanaburi into the Gulf of Thailand. At the point of exits, the River branches into over 300 canals spreading the water and sediment throughout the data, creating a unique wetland known as the "Ecosystem of Three Waters", i.e. fresh, brackish, and brine waters. Livelihoods of local communities rely mainly on this unique environment. Local people still hold on to agriculture-based livelihood and traditional way of living. Fruits from this area are known to have a premium quality.

Recently, the area has faced a number of environmental challenges. The government's mega project to build sluice gates along the canals to regulate incoming water combined with rapid infrastructure development to serve the tourism boom resulted in flow stagnation, heavy sedimentation within the small canals, and flooding. There has also been an effort to turn Samut Songkram into an industrial zone as key strategy to increase its GPP. This will inevitably affect livelihoods of local communities and their traditional ways of living.

In the past, there had been a number of efforts to address these challenges, which have provided a strong basis for public participation in public policy decisions. Community based research approaches have been used to address issues such as depletion of sea species and coastal resources as a result of policies to promote large scale fishery and tourism industry. These have helped to raise the awareness of and mobilise local people to take action on local resource management and consumption. Such programmes have however only focused at the community level providing few linkages with formal planning processes at local, provincial or national government levels.

At the provincial level the ongoing turnover of governors has resulted in a lack of policy continuity and potential for the introduction of new and environmentally detrimental approaches. Support in linking community knowledge and awareness to the local and provincial policy process were thus highly relevant.

Institutionally the programme selected two initial partners to work with including the regional environment office and Kasetsart University. Neither of these organisations were based locally to the pilot areas selected and had weak linkages with key decision makers within the province with the exception of the provincial chamber of commerce. Thus while relevant to their mandate they

lacked many of the personal networks and local knowledge (in the case of KK) to effectively undertake the assignment.

Subsequent support channelled through Community Based Research Center (CBRC) however, addressed these challenges although presented another level of management that was not required.

Khon Kaen

The PEI programme has a high level of relevance to the provincial context in which there are both clear environmental challenges and some political will to address these.

The province was picked due to challenges resulting from the government's recent energy policy to encourage production of crop-based renewable energy, i.e. ethyl alcohol and ethanol in Khon Kaen and its neighbouring provinces. While the cultivation of sugarcane and cassava as raw materials for ethanol industry benefits farmers and reduces poverty, ethanol production releases molasses, which have polluted one of the two main rivers (Nam Phong). The river was a major source of livelihoods for more than 40,000 households through aquaculture. In the past decade, damage done to these farmers is estimated in hundreds of million baht.

The pollution of the Nam Phong River has been a big issue, which, received significant public attention, not only in Khon Kaen but nationwide. The governor's office has worked closely with the Regional Environmental Office (REO) 10 to resolve and monitor the situation. Currently, REO 10 has a regular monitoring and reporting schedule with the governor office, Provincial Industrial Council and other concerned agencies. Such high profile attention and direct cause and effect relationship made the PEI interventions highly relevant in concept.

The REO was also chosen as a 'responsible party' to the programme, but is again not part of the provincial administration system and has no direct engagement in the provincial integrated planning process. As part of PEI structure, a project steering committee was set up, chaired by the Vice Governor. The committee comprise of key line agencies in charge of socio-economic and environmental planning within the province. It is expected to link the PEI planning model and tools into the annual provincial integrated planning process.

Local institute, Khon Kaen University was assigned to conduct the SGA process and brought significant local knowledge as well as experience of existing planning tools (i.e. spatial planning).

> *"Farmers should be able to calculate their own costs and returns, just like private sector do. One farmer took records of his investments and returns from both organic and chemical farming. He said organic farm was much cheaper and produced higher yields"*
>
> *Mr. Wuttikrai , Khon Kaen Industrial Council*

Nan

The PEI programme has a high level of relevance to Nan where there are significant linkages between poverty, livelihood insecurity and environmental degradation. The province also has active local government and civil society which has an expressed interest in addressing these key issues to improve the quality of life and political stability of the province.

Nan is the second poorest province in the North. The province is mountainous in many areas and was previously heavily forested. The hill areas provide the source of the river Nan one of the 4 tributaries of the Chao Phraya River.

Expansion of protected areas, migration and population growth however have left a large portion of the local population with unclear land tenure. This situation combined with high levels of poverty and a national guarantee on maize prices have led to the adoption of unsustainable farming practices in many areas. The PAO reported that of the provincial area of 1million Rai some 80% has been cleared for Maize cultivation. This figure is particularly startling when 80% of the province is also supposed to have either National Park or Forest Reserve status.

This increase in agricultural activity has had a number of environmental and health impacts. Environmentally the change was significantly altering the nature of the Nan river basin with the catchment areas contributing to 40% of the water in the Chao Phraya River. Deforestation was leading to soil erosion and more rapid run off increasing the risk of flood events. Increased use of pesticides were also causing damage to the ecosystem as well as the health of farmers with local health workers reporting that many farmers had high levels of toxins within their blood.

The province has also suffered from significant flood events in 2006 and 2011 although their direct linkages with deforestation remained unclear.

High dependence on maize production has also resulted in a lack of food security within the province. Nan has to import food products such as rice, vegetables, eggs, meat from outside the province at relatively high costs. The shift from subsistence farming to cash crops has also led to increased vulnerability to price shocks. This situation has led to significant issues when price shocks have caused civil unrest with farmers coming together to block roads and demand for government intervention on maize prices, also blocking access to imported food stuffs.

Addressing the issue of maize cultivation thus has a high level of political interest at both the local and provincial levels. At the local level farmers are also aware that ASEAN integration is likely to lower the market price from maize reducing the profitability of the crop and thus putting pressure on current producers.

At the institutional level Nan has an active civil society and local government sector as well as a strong provincial identity. The PAO has been an active body in local politics being described as the other CEO with reference to the concept of Governor CEOs.

The area has also received a number of projects and programmes to support local CSOs as well as government agencies, for example, the Royal Project, the highland agricultural development project, the community-based research projects under Thailand Research Fund, enhancing food security project by the EU, and CPF's Smart Farmers Training Project and financial technical support for community-based initiatives from private sectors such as PTT and VOLVO.

TEI is well known by local communities and institutions and has the capacity to engage well in the programme

The MoAC was however noticeably absent in the original programme formulation with representatives only being introduced later.

> *'Local farmers know that maize is an issue and not a long term solution but they don't know what else to do….the PEI programme offered a new concept of land management that could help.'*
>
> *(Mr.Teerachai, School Director in Pa Daed sub-district)*
>
> *'When we first heard about PEI and there was discussion on it there was a lot of interest and excitement at all levels'*
>
> *(Mr. Wachirapong , PAO Project Manager)*

Relevance of the SGA Tool

Thailand has adopted the sufficiency economy and the most recent 11th NESDP stresses the need to link happiness and green growth. As such the SGAs linkages between wellbeing and ecosystems provides a relevant and potentially important bridging point.

The nature of the SGA tool was, however, not well understood by country partners at the outset and was thus a challenging tool to bring into a complex policy environment, and it was unclear how its findings could be integrated into the highly structured policy development process.

Effectiveness

> *To what extent have programme activities led to intended programme outputs and outcomes? What were the major factors influencing the achievement or non-achievement of the objectives?*

Programme effectiveness was evaluated against the programme's own results framework as laid out in the 2012 workplan. The below section provides an overall summary of effectiveness followed by an assessment by Outcome.

Summary

The Programme has been unable or slow to achieve a number of key activities. Implementing partners have also been unable to link activities effectively to outcome and output levels, with the absence of a single narrative of change running through activities. A lack of results in these areas has limited opportunities for lesson learning across countries and with capacity building activities limited to a small number of personnel the broader effectiveness of the programme to deliver change has also been limited.

This situation has resulted from:

- *Weak programme design* – the programme design did not provide a clear theory of change and did not identify how linkages between different outcome areas would be achieved.

- *Revisions to the programme set up* – the original programme design was based on the Direct Implementation Modality (DIM), which, would have provided the UN team with more flexibility to adjust and develop the programme during implementation. A shift to National Implementation Modality (NIM), based on the desire to increase national ownership, limited this flexibility and put additional managerial responsibilities on MoI, who had limited interest in this element and a limited budget to support this process.

- *Lack of clear understanding of what PEI or SGA are* – The integration of the SGA tool into the programme after programme design presented a challenge to implementers who were unclear of the nature of the SGA and how it could / should interact with any activities under the PEI. This led to a lack of clear programme direction with implementers 'learning by doing'. This has been valuable in increasing certain constituencies understanding of the linkages between environment and wellbeing but has been ineffective at delivering strategic inputs capable of having an impact at the national level.

The SGA tool was effective at increasing awareness of environmental issues at the local level as well as communities' capacities to assess environmental challenges. The limited capacity of the implementation teams combined with limited central technical support from the outset of the process, however, resulted in outputs that were not effective at provincial or national level.

Increased investment in technical support at the outset of the programme may have been able to address some of these issues by increasing the buy in of the key agency and improving the understanding and focus of implementing agencies.

"The pilot provinces are not like a book. They do not read one chapter then two then three with an obvious conclusion; they are like watching three different films and then trying to work out what a common message could be drawn from those films"

Director, Bureau of Policy and Planning, MoI

"PEI has 2 aspects. Process-wise, it must be inclusive and participatory. Content-wise, it must integrate P-E. There are no easy ways how to achieve these within 3 years. So we are learning by doing".

Ms. Suchada , PEI Programme Manager, MOI

Outcome 1: Increased coherence of national development plans and policies which do not undermine pro-poor environment and natural resources planning and budgeting

The programme has not been effective at increasing coherence of national development plans and policies with regard to pro-poor environmental and natural resource planning and budgeting.

The programme document identified four key outputs and corresponding activities under Outcome 1 related to, the development of increased information on environmental management issues

under the 11th NESDP, support to capacity strengthening for key planning offices and tools for their use, increase awareness of issues at the level of top decision makers on parliamentary committees, and to increase private sector engagement on sustainability issues.

This list was highly ambitious given the time, budget and capacity allocated to the programme and was revised to focus more closely on the integrated and national planning processes, with other activities included at a smaller scale. Movement was also made away from the NESDB led process as it was perceived that this institution was 'on the right track' and thus more significant change could be achieved by working with the MoI, which, had significant influence in the provincial planning process but limited historical experience of environmental issues. This placed the programme within both a very large and bureaucratic institution and a highly politicised environment (related to the decentralisation process) in which to deliver change.

Potential to deliver change within this environment was undermined from programme start up with MoI only being engaged as a lead agency after the programme design, development process and agreements were signed with provincial implementers (responsible parties) as a result in a shift in implementing modality from DIM to NIM[11]. This resulted in MoI gaining additional managerial responsibilities above and beyond what they had originally been consulted on with no real increase in what was already a limited budget (approximately 10% of the programme budget) something that limited the institutional incentive to act as a champion for the programme across government[12].

With this shift to MoI as a lead agency also came an increased focus on the need for tangible evidence of the value of the SGA tool and examples of how PEI could help in Thailand. This came from both a reluctance to invest political capital in an unproven programme and a lack of clear evidence of what the tool could achieve. This situation resulted in too greater emphasis being placed on the pilot projects to deliver key case study information that would affect policy decisions and that this information would be generated through the, new to Thailand and as yet untested, SGA process. Given the complex issues being addressed, the new team and tools being used and the relatively short time frame of the programme this was unrealistic and left the programme with insufficient time to develop a narrative of change at national level as results from provincial programmes were only received in the final months of 2012.

Both the adopted SGA approach and the institutions implementing it have further compounded this issue. In approach the SGA process has been highly participatory, lengthy and focused around increasing capacity of local stakeholders to demand and implement good environmental governance at the local level – an approach that does not translate easily into recommendations for the highly centralised MoI. The implementing partners have also had limited policy experience and have struggled to identify how outputs from this process could be linked with the national (and even provincial) policy and planning process.

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[11] It was expected that the project document would be signed in November 2009 but faced an unanticipated delay due to bureaucratic process between MOI and Ministry of Foreign Affairs. It then became clear that the project document would not be signed by the end of 2009. An alternative option was sought as the first tranche of payments to provincial partners needed to be released in the 2009 financial year otherwise the committed funds would no longer be available. In addition, there was a need to move the procurement of contractors along so as not to delay subsequent implementation Hence, the initial disbursement of funds was done directly under the Letters of Agreements between UNDP and the provincial responsible parties, while the project document was eventually signed in March 2010.

[12] It should be noted that the focal point in MoI has invested significant time in the SGA process and has shown some commitment to it. Their position within the institution, combined with the weaknesses in SGA output, have however made it difficult for her to stimulate further institutional interest.

The weaknesses at central level have been epitomised by reliance on a single report commissioned from Chulalongkorn University to act as a primary advocacy tool at the national level. The report was to cover two sections – the first a review of the existing planning context, the second a summary of lessons from the SGA and PEI process.

However, limitations in the capacity of CU to deliver this report in a timely manner and to a sufficient standard has led to significant delays in production of the first section and as such this has not been available for use as an advocacy tool and will only be finalised along with section two in the final weeks of the programme.

The programme team has made some efforts to address other output areas including some capacity building and awareness raising. Visits of senate committee on environment to Nan, Khon Kaen, and Samut Songkram were organised to increase awareness of these key decision makers but without concrete policy recommendations there was limited follow-up. The programme board was also established to represent a cross section of decision making bodies, however, this body has met only twice during the programme's duration and thus failed to provide a forum to develop buy or identify routes for further engagement.

Outcome 2: Provincial planners and local governments are better able to integrate pro-poor environmental priorities in the development planning and budgeting process

The programme has had limited effectiveness in supporting provincial planners to integrate pro-poor environmental priorities in the development of the integrated plans and budgeting process. At the local level however the process has made some progress through increasing awareness of local councils and supporting demand for improved environmental governance.

The programme set up at provincial level presented a challenge for engagement with the integrated planning process. In SSK and KK the REOs were chosen as a programme partners. These offices while familiar with environmental issues and historic links with UNDP had limited engagement with the provincial planning process and limited influence within the provincial offices. This combined with the limited commitment and lack of focused analysis at the national level (see Outcome 1) on engagement with the integrated planning process also left provincial partners with a lack of clear direction or support in engaging with the provincial planning process, which in several cases resulted in adhoc activities and an overreliance on the SGA process.

> In KK the SGA team focused on the role of biofuels in KK and their impacts on the environment and wellbeing of communities. The outputs noted the potentially damaging environmental and social impacts of further biofuel expansion a point that gained the interest from the deputy governor. When asked what the response to this process should be beyond simply stopping production however the team were unable to provide recommendations.

Engagement with the integrated planning process was also challenging as it is relatively new at provincial level and faces a number of political and technical challenges. Politically provincial governors have been subject to rapid transfer and removal in recent year. In each of the three pilot provinces there have been at least two governors during the programme's three-year life with SSK having four. This presented a challenge to building political consensus around a planning approach

and support for the integration of environmental issues (See section 3 for more information on the integrated planning process and its challenges).

The programmes engagement with local government has been more effective. In all three provinces there has been effective engagement with TAO and or PAO level administrations. TAO level groups have been engaged in the SGA process within each location with several TAO leaders playing an important role in the process leading to increased understanding and subsequent interest in improving the planning processes and budget allocation at local level.

PAO engagement has also been effective although more sporadic. In KK the PAO as been engaged as a member of the programme board and has also participated fully in the SGA process. This latter element they have seen as a useful tool for increasing understanding of environmental issues as well as promoting community action with community forestry promotion being a key element in their activities. In Nan initial strong early engagement has weakened over time due to administrative issues regarding programme set up and dispersal of funds, but the office remain committed to following through several of the initiatives. In SK the PAO has been less engaged with local political leaders mixed in their approach to environmental issues thus limiting engagement to a very small number of people.

This limited reach has occurred across the programme with only a limited number of Tambons and stakeholders within them engaged, and an equally small section of provincial actors. This is partially due to the busy schedules of many of these actors but also the long duration of particularly the SGA process making full participation difficult.

At the TAO level in particular there has also been an appreciation of having appreciated access to technical staff from the SGA providers and in the case of KK and SSK strengthened links with the REO – points that are indicative of the limited capacity and weak networks of many TAO groups.

It should also be noted that engagement of local politicians was also viewed with some scepticism by community groups identify the risk of elite capture of resources and corruption.

"Ability to think strategically is not an issue with government officials. The problem is more on the data to support the strategic planning. SGA is a good tool but it needs to be adjusted to provide more comprehensive data and workable solutions"

A high level government officer in Khon Kaen

"Before, the villagers didn't know about the value of their forest. Through SGA, they learnt about different kinds of trees and other non-timber products in their forests such as medicinal herbs. Tacit knowledge from traditional healers was shared and made known to other members of communities. Villages are motivated to protect their forests and have networked with other communities to expand forest coverage"

(Chief of Planning Division, Khon Kaen PAO)

Outcome 3: Communities have strengthened their capacity in advocating for pro-poor natural resource and environmental management concerns in the provincial planning and budgeting processes.

The programme has been effective at increasing the capacity of communities to advocate for improved pro-poor natural resource and environmental management. The SGA process has provided communities with additional knowledge and key data, which, has been legitimized by support from respected academic institutions. This process has been more effective at the local level than provincial levels and has been most effective where SGA outputs have been effectively linked with information on the policy process to present a clear picture of environmental issues that require action.

Samut Songkram

In SSK the SGA process has increased capacity and awareness of community groups to advocate for change. This process has been facilitated by the engagement of the Community Based Research Center. This group provided a number of key linkages between academic research at the local level, existing policy processes and key individuals within the decision making process at local and provincial level. These linkages have been effective at increasing participation of different groups and ensuring that activities conducted have led to action at the output and outcome level. Working directly with TAOs the team has been able to increase their interest in spatial planning approaches with one TAO keen to evolve the process to improve information on business and taxation. The team has also engaged with the development of local legislation on key environmental issues such as the filling in of traditional drainage channels on land. A draft local law on this now exists although the evaluation team was not able to gain a clear level of attribution as to the PEI contribution to this process.

This success must also be put in context of a province with extensive experience of community based research, highly specific and relatively direct environmental challenges, a business community many of whom's livelihoods depend on the maintenance of the natural environment, a relatively educated and high capacity constituency, and a relatively high number of senior personnel at provincial level who have been engaged in environmental issues for some time.

Box 4: Shared Success the Role of Youth

In all three provinces the programme has focused on engaging with youth groups, and in all three cases this approach has been both effective in its direct impacts and in broadening the programme reach.

In Nan work with schools groups has increased the awareness of young people to environmental issues and has led to both extra curricular school based activities and home based action. In SSK engagement with a youth group working on GPS mapping of Tambons and environmental issues has increased their awareness and desire to act. Local stakeholders note the value of engaging youth as they are able to spread the programme's message to a broader constituency than would other wise be possible with young people both communicating with other youth groups, taking messages back to their parents who may come from very different backgrounds, and being able to by pass many of the vested interests that limit participation of older stakeholders.

"PEI and SGA give villagers more power. Officials listen more to them and have more confidence in what they say"

Officer, Provincial Environmental Office

"Although we haven't yet achieved all intended outputs, we already see the impact of PEI on our ability to advocate our concerns to policy making bodies at national level"

Chief, Samut Songkram Chamber of Commerce

"If I could do it again, I would engage broad base stakeholders to create a critical mass for changes. I will motivate them to think about ways to improve their livelihoods activities to be more environmentally friendly. For example, not disposing waste water from coconut sugar making into canals, or not driving motor boats at high speed because it will affect fishermen who still use traditional tools for catching fish and shrimps."

A youth leader, Suan Luang Sub-district

Nan

In Nan the programme has been effective at increasing the capacity of communities and local officials in pilot Tambon's to both understand and take action on environmental issues. At the provincial level the programme has supported the further development of a number of agendas that were already prominent although slow implementation and a reliance of engagement at a national level has reduced the ability of these activities to transfer into the provincial planning process or to have significant impact as yet.

In Nan the PEI programme was piloted in three sub-districts where there was intensive maize production on watershed and highland areas. The work done covered four main thematic areas. These were based on the both the programme structure and the initiative of the PAO IP who integrated the PEI into their strategic priorities (they contributed significant funds under three of the four outputs).

1. Land ownership.

Majority of farmers in Nan especially in intensive maize growing areas do not have land title deeds. In order to secure rights over land use and promote long-term sustainable agricultural activities, PEI supported on-going activity by the Community Development Institute (CODI) to assist communities to apply for community land title deeds. Under this scheme, communities granted with the deeds have the right to use the land as a common property but cannot sell or transfer this right to individuals or other communities. Maize farmers in PEI pilot areas were engaged to conduct survey, identify potential areas, and apply for community land title deed from the government. This joint activities are able to expand land title programme from 30 villages to 200 with work funded 50% by CODI, 40% from PAO and 10% from PEI. It was expected that community land title deeds will secure farmers confidence to plan and use their land in more sustainable way, e.g. reforestation the watershed areas and turning their maize farms to into agro-forestry areas. This approach has, however, been vulnerable to national level policy changes with the issue of land title within currently designated protected areas a highly contentious issue.

2. Demonstration of the reduction of the annual crop growing.

A large portion of budget was spent on supporting 31 demonstration sites in 3 sub-districts to reduce maize cropping and shift to fruit or rubber tree production. Farmers were provided a subsidy to modify their production and to purchase the trees. The approach could provide a model for future payments for watershed protection and an incentive structure for transition to a more tree based agricultural economy. Difficulties in monitoring and the parameters set for land to be set aside, however, may effective this programme's value as a test case.

> *"Some farmers who did not get funding from the project have started to do grow rubber trees and rice on terracing areas of their farms. They got seedlings from TAO."*
>
> Director, Pa Daed School

3. Sub Global Assessment (SGA).

The SGA process was conducted in three sub districts with TEI representatives based in the field for three month periods at a time working with communities. The team were able to mobilise youth through links between schools and the SGA gaining their involvement in data collection and increasing the programmes reach through youth influence across the communities as they reach many different families not just community leaders.

Through their engagement in SGA activities, the TAO has learnt to adopt evidence-based planning and have developed skills to document relevant information for their decision making on TAO development and budget plans.

4. Set up the Nan River Watershed Management fund

Watershed committees within the Nan area along with CSO networks have been discussing about setting up a Nan River Watershed Management Fund as a means to finance improved land management within the river basic. Initial contact had been made with the National Watershed Management Committee to gain support for the idea from a national level. A portion of PEI budget was paid for consultancy assignment to conduct a feasibility study of this option.

> *"PEI is useful in two ways. It motivates us to think out of the box. It also helps local communities to realise where they stand in the larger national and global development context"*
>
> Chief, TAO council, Pong sub district

Khon Kaen

In KK the programme has been effective at engaging communities in pilot tambons in localised Spatial Planning Processes and the SGA, which eventually led to the development of activity plans for each participating village based on information from both studies. They were able to get technical and financial support for their activities from several sources, including RO10, PAO, and private sector. Efforts to develop provincial level spatial planning linking existing data and SGA outcomes however has been limited in its effectiveness at engaging with provincial planners.

A series of capacity building activities were implemented including; forums to provide opportunities for local communities to discuss P-E issues and learn about good practices on sustainable agriculture, site visits to farms that have demonstrated good practices, focus groups for locals to review environmentally sustainable and pro-poor development using spatial planning and SGA, focus groups for locals to review existing planning process and gaps in P-E mainstreaming, training sessions on the application of spatial planning data and SGA to improve the planning process and formulation of local development plan of Bua Ngeon sub-district which support the environmentally sustainable and pro-poor development. Towards the end of the project, PEI team has facilitated locals to develop projects which promote P-E mainstreaming to secure funding from the province and organized a forum to exchange lessons-learned and experiences with other communities and local governments networks.

> *"The most challenging part of my assignment is how to link PEI and SGA. PEI wants to integrate economic activities with environmental protection. SGA is a social process which brings scientific data to planning process by engaging communities. Without SGA, planning will be sector-oriented and P-E mainstreaming will be difficult"*
>
> PEI local consultant, Khon Kaen University

Outcome 4: Lessons learning for ASEAN partners and other countries to integrate pro-poor environment and natural resource management in planning and budgeting processes

The programme has been able to facilitate a number of key stakeholders participating in forums at international level on both SGA and the integration of pro-poor environment and natural resource management planning. These processes, however, have been adhoc and limited in their reach with only a small cadre of staff engaged. As such the lesson learning process has mainly been beneficial for increasing understanding of what SGA is and what the PEI could be about as opposed to identifying or sharing key lessons for integrated planning. As such the programme has not been effective in this area.

Effectiveness of the SGA

The SGA has been varied in its effectiveness across the programme. At the local level the tool has been effective at increasing understanding of environmental issues and linkages between environment and wellbeing. Communities have valued the links provided with academic and national level institutions and have gained increased ownership of information through participation in data collection and discussions. Specific exercises such as scenario building and time line activities have also proved effective at providing communities with a more coherent narrative that they can use describe their situation and demand improvements. This has been particularly effective when the process has been linked to specific policy or planning windows or issues at the local or provincial level through the PEI process.

The implementing partners have, however, struggled to utilise the tool to fully engage decision makers at the provincial level both in terms of process and in the use of results. This is partially due to a lack of institutional support from MoI and partially due to limitations of the SGA teams in their capacity to develop clear policy recommendations from the data they have gathered, or to bring the information into the language of national and provincial planning processes which are more quantitatively and less qualitatively focused. At time the evaluation team noted that the implementing partners had also become slightly confused by their own findings, suggesting causality between elements that while correlated are not causal[13].

Efficiency

Has the programme been implemented in a cost effective and timely manner?

What was the efficiency of the programme implementation structure?

Have the programme fund and resources been sufficient to contribute to intended outputs and outcomes?

Summary

The Programme has been slow to deliver activities and reports. Programme structure and management has increased transaction costs and slowed implementation. Distribution of funds in percentage terms has been appropriate but has not corresponded with outputs and fragmentation of funding has limited the political buy in from key programme partners. Programme teams have worked hard to achieve outcomes but started from a limited technical and contextual base.

National

At the national level the a programme implementation structure, which, engaged different layers of government and different institutions at each level was complex and required a high level of coordination and facilitation. This structure, developed with the prospect of UNDP facilitating, did

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[13] This is noted with reference to a suggestion that environmental degradation had a causal relationship with increasing human health.

not suit the institutional and personnel styles of the MoI office engaged which was more focused on evidence based tool development and delivery of clear and tangible outputs.

The challenge of this situation was further exacerbated by limited early investment from senior levels in UNDP and UNEP to support the development of a shared concept of the programme combined with the staggered time line in which partners were engaged. This resulted in a high transaction costs over the course of the three years with workplans and outputs having to be continually revised to match both changing expectations and levels of output across the programme. The diverse number of implementing partners and sub-projects also put considerable pressure on the central team to continually support, guide and monitor activities with some activities needing continual review to ensure that payments were being appropriately utilised. This situation has resulted in delays in budget dispersal in some areas.

The PMU have worked hard to overcome these challenges and were seen by all partners as being individually efficient and constructive. The nature of the programme structure (being based inside the highly institutionalised and bureaucratic MoI) and the relatively limited relevant technical and operational experience of the PMU team),however, limited efficiency with processes such as organising meetings, ensuring delivery of reports and supporting further stakeholder engagement. This is exemplified by the operations of the programme steering committee that has met only twice in the programme's three years of operation. This situation was primarily the resulted of limited commitment within MoI to open a broader policy dialogue process around a tool with which they were unfamiliar and had limited resources.

> 'If the programme were to be done again the design should be looked at more carefully; it is like building a house, you should start at the ground first – not build the roof and then try to put the walls underneath'
>
> Director, Policy and Plan Bureau, MOI

Samut Songkram

The limitations of programme set up can be clearly seen in SSK where the REO engaged to act as the IP for the programme had had limited engagement with the Provincial administration, while the initial SGA provided was not familiar with the local context or the nature of the SGA approach and had to be replaced after six months resulting in significant delays.

The resulting transition to the CBRC presented a significantly more efficient model. With one consultant facilitating both the SGA and PEI process they were able to provide linkages between the two elements of the programme and identify windows for interventions at both local and provincial levels as well as being familiar with local 'champions' who could support the process.

Khon Kaen

KK was faced with similar challenges although the geographical location of the REO10 with the Provincial Office facilitated communications. Here the SGA and PEI processes, however, remained separate and there were limited compound benefits generated from the two processes running side by side, with one focusing on broad environmental awareness raising while the other focused on a more academic investigation of well-being and environmental trends. In both cases the selected teams had limited knowledge of the policy processes. In the case of the SGA process this

resulted in significant inefficiencies as the national programme team have had to request multiple rewrites.

Nan

In Nan the programme has been efficient at delivering a large number of activities by combining PEI funding and activities with existing priorities and PAO and other funding streams. This efficiency and prioritisation has, however, come at a cost with both tensions occurring over the workplan between central and provincial level and issues arising regarding financial management and monitoring practices. These issues have led to delays in final implementation and some tension between the PAO and the programme.

> *'While we have been implementing this programme we have also been fixing it all the way'*
> Ms. Nuch Benjawatcharasart, TAO representative
> Pa Laew Luang Sub-district, Nan

Efficiency of the SGA

The process of SGA implementation has faced a number of challenges. Initial contracting appeared to assume a high level of national capacity with regard to developing and implementing the assessments and it was hoped that one service provider would be able to cover all three pilot areas. This proved not to be accurate with an initial revision changing the approach to two service providers with one KKU covering two provinces KK and SSK. KKU was subsequently replaced after six months in SSK due to a poor understanding of the local context and weaknesses in the team able to commit to working in the province.

At the central level a part time Technical Advisor was recruited to provide support to the teams working on the SGA. Initial support was, however, consistent with an expectation that the service providers would be able to develop and implement the approach with limited supervision. Thus a number of briefing notes were provided along with direct support if requested with limited hands on training actually occurring at the outset.

This situation allowed for teams that were under capacity in terms of technical expertise (both personnel and ability) to initiate the SGA process only realising they had not gained appropriate information after the event or realising that they had not approached the process in the most efficient and effective way. This resulted in increasing levels of input required from the central team and the SGA advisor to try to redeem the outputs and bring them more into line with MoI's expectations – a process that cost the programme significant time as well as delaying the release of results until a late stage in the programme. The increased role of the advisor also presented a conflict of interest in their role to oversee and approve outputs, which towards the programmes end he was making significant inputs to.

Further upfront investment on training and assessing the capacity of the SGA teams as well as ongoing support in addressing the policy questions may have helped to increase the efficiency (and the effectiveness) of the SGA.

Impacts

> Has the programme had the impact that it intended to have?
> What other impacts has the programme had?

Summary

The programme has had an impact at increasing local communities awareness of, and capacity to advocate on pro-poor natural resource and environmental planning issues at the local level within pilot Tambons (Outcome 3). Its impacts within the provincial and national planning systems have, however, been negligible (Outcomes 1 and 2) and there has been no significant lesson learning across countries (Outcome 4).

Stakeholders engaged in the programme at all levels saw potential benefits in the programme and were keen for further work to be done with all stakeholders questioned providing a rating from 6-8 out of 10.

National

Impact at the national level has been limited. The programme has entered a complex and contested policy space and failed to provide enough support or budget to gain political interest within its processes. Interest instead rested on the SGA tool, which has been slow to implement and failed to deliver the clear policy information desired at a national level. Limited buy in from the IP at national level has also resulted in a very limited programme reach with knowledge and capacity held within a very small team – a large proportion of which may well never work in this area again.

Samut Songkram

In SSK the programme has been able to raise further awareness at the local level and has provided new tools to community groups and stakeholders such as use of GPS or water quality monitoring. This awareness has helped increase the negotiating power of those stakeholders when discussing local and provincial planning issues.

The impact of this process was seen most significantly during the redrafting of the SSK integrated plan. A team of external consultants from a university were recruited to develop the plan to maximise future provincial development. They utilised an approach recently developed in a nearby province of Rayong which focused on industrial development. Following limited consultation this plan was presented for public hearing prior to approval. The local PEI consultant was able to work with other groups to mobilise key stakeholders to object to the plan, with the scenario building exercise utilised in the SGA process providing a clear tool to explain the differing interests between communities and the proposed plan. Through advocacy work from groups including the chamber of commerce the REO10 some TAOs (all of whom had been engaged in the PEI programme) and the PEI consultant the plan was rejected and revised to following more closely with previous plans and the maintenance of a more natural, less industrialised environment.

Box 5: Action on Canals

Land owners in Samut Songkram have traditionally maintained a network of small canals on their lands. These canals have provided irrigation to agricultural land (in particular fruit trees) but have also played a critical role in water system management. The canals act as a means of spreading high water levels caused by tidal flow across the land and preventing the funnelling of water into any one area, something that is particularly relevant during periods of high tides or heavy rainfall. Recent changes in land use driven by increased urbanisation have reduced this practice increasing the risk of flooding in the area. This risk was highlighted during the SGA process and also builds on work conducted prior to the programme.

The space created during the PEI programme also allowed improved dialogue between private sector groups on this issue with the local chamber of commerce raising it within the Kor Ror Or. Through this process a proposed act was developed to ensure all land owners accept that all canals are regarded as public property. Private Owners do not have sole rights change or fill them up without obtaining public consent or placing underground tube to facilitate the flow of the water.

Khon Kaen

Impact on provincial integrated planning process was limited. Awareness raising workshops at the provincial level have increased profile but provided limited tangible impacts with the SGA outputs also failing to provided relevant policy recommendations reducing their impact at the level of the governors office.

The PAO has allocated some future budget to support the introduction of PEI tools (e.g. SGA) to non PEI communities, although how this will be implemented is not clear. It has also included budget to support community forest management in its regular annual plans, which builds on both previous experience of community forestry promoted by WWF and experience from PEI pilot sub-district.

Data from the SGA process enabled villagers from 14 villages in Bua Nguen sub-district to understand economic valuation of their community forest. Interest in this data prompted follow up actions, such as data base on local herbs and their medicinal qualities, reforestation of intruded areas and to increase its capacity to capture CO_2.

"Objective of this activity is to improve ecosystem of Kokdongsong and to raise awareness of villagers and their children. Community forests are community's super market. They can find food, medicine, and non-timber forest products for household consumption and additional income from the forest. But they need specific knowledge in sustainable forest management"

Khon Kaen PEI Newsletter, Year 2. Volume, 4 (September 2012)

Nan

Provincial level

There was a limited impact within Governor's office. However, the provincial Agriculture Office observed closely the SGA exercise and has used SGA findings on future scenario of agriculture in Nan as a reference for its 5-year extension services plan[14].

Local level

At the local level communities have gained an increased understanding of the environmental challenges in their areas. They have gained an understanding of a way of thinking that helps them to assess the problems and also to develop ideas about the future that they would like.

Information from the SGA was included in the TAO three-year plans with budget allocated to a range of SGA related activities e.g. plantation activities, study tour, and provincial office allocated a certain budget for organic farmers.

Work with schools groups has also expanded and continued with the work promoted through the SGA process on tree planting for catchment protection and organic gardening being used as the basis for a proposal to expand these extra curricular activities to all schools in the province; a proposal that is now being funded by TRF.

> *'The programme is like throwing a stone into the water – you have an impact in one place but the ripples also spread out*
>
> Mr. Athipong Sutham, Chairman TAO Council,
> Pong Sub-district, Nan

Impact of the SGA

Impacts of the SGA are noted in the sections above with many of these changes being attributable to points at which the SGA and PEI processes combined. The tools impacts within the implementing partners has been mixed with some suggesting that they will utilise elements of the tool in future work although none committing to full scale adoption of the process in the future.

Sustainability

How sustainable will the impacts of the programme be?
What are the major factors influencing the sustainability of the impacts?

Summary

Programme sustainability is limited at present. At national level there have been limited policy/planning impacts to sustain. Capacity building or awareness raising as also been kept within a small group limiting its long term impacts. As such it is unlikely that any impacts will be sustained

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[14] This is a positive sign although the office recognized that there was limited potential for any significant modifications to the provincial plan as they were based on set formula which SGA results did not correspond to.

without further inputs to utilise the outputs and lessons learned developed at the very end of the programme.

At provincial level sustainability of impacts will rely on further facilitation and support of successes occurring towards the end of the programme.

At the local level the increased capacity and awareness of community members and local governments will have an ongoing impact and there is the potential for some expansion both through funded activities and existing networks. Further support would however be required to fully capitalise on these developments and the absence of clear institutional linkages means that communities abilities to advocate future changes will be severely limited. This is exemplified by a lack of clear continuity plans amongst many of the stakeholders questioned.

National

Limited programme reach provides a low basis for sustainability with capacity and knowledge held within a small number of individuals. The indicator system that has been developed for reviewing provincial plans and that is being tested at present provides some opportunities for long-term impacts but it is unlikely that this will be mainstreamed without further support from UNDP.

Samut Songkram

SSK possesses a strong CS network that has been further strengthened through the PEI process. This network will continue to have the capacity to advocate for change with improved awareness of policy processes assisting in this process. Youth groups and community groups established have plans to continue although these are weakly formulated and it is unclear how they will be financed.

A handbook on Mainstreaming P-E linkage into the Integrated Planning Process has been developed by the local consultant based on PEI experience. The handbook is meant to be used by government planners as well as communities although it is unclear how widely this has been distributed / integrated into planning processes.

Khon Kaen

Lessons learned from PEI will be consolidated and presented to the new provincial governor together with a training manual on P-E mainstreaming planning and P-E linkages indicators for planning. The aim is to enhance understanding and provide planners of every line agency with a practical planning tool.

Nan

Nan presents one of the most positive pictures for sustainability with a number of sub-projects within the SGA being developed further and attracting additional resources. Additional funds were mobilised from external sources (e.g. Volvo, PAO) to support follow-up actions from SGA. A learning camp on ecosystem was organized for local leaders, teachers, and students in three pilot tambons and a study visit to integrated farms in Patum Thani was also organized.

Teachers group have developed a programme for schools for the entire district which is now being funded by Thailand Research Fund. They are also keen for all schools to have an environmental education component.

The TAO has also issued a local Act on Community Forest Management as another alternative to maize cropping to address two problems simultaneously (1) to reforest their watershed forests and (2) to introduce sustainable land use.

The demonstration plots also provide some potential for sustainability should they provide a clear profit in coming years with other farmers then willing to follow this process.

Proposals for the Nan Watershed fund also present a significant ongoing process although with the feasibility report not yet finalised it is unclear what the next steps in this process will be.

> *"There are 13 villages in our sub-district, 6 participated in PEI. Soon the rest followed. Other actors and donors also joined in."*
>
> Mr. Athiwat Sutham, TAO Council, Pong sub-district
>
> *"In the past, I had asked each teacher to donate 100 baht for our school's environmental activities. It was so difficult to convince them. Now, getting 1,000 baht from each of them is not a problem at all. Teachers want to take part in our initiative"*
>
> Mr. Teerachai Chiangthong, Director, Pa Daed School

Sustainability of the SGA

The SGA tool has attracted interest form community groups, local government and other institutions. Immediate outputs however will required revision and consolidation to show a more accurate picture of the tools potential and further review at the central level should also be conducted to identify future uses.

While the tool has supported linkages between different stakeholders it is unclear how strong these have become or their potential future with it unlikely that community groups will be able to easily access support from these groups in the future. Developing a more sustainable institutional structure to allow for longer term SGA style support would present a significant opportunity for the future.

Section 5: Conclusion, Lessons Learned and Recommendations

Section 5 brings together the findings of the ICA and information gained through the DAC evaluation criteria to provide an overall conclusion as to the status of the programme and what lessons have been learned with Section 6: Recommendations laying out what further actions are recommended.

Conclusion

The programme has been unable to deliver significant results related to three of its four objectives. The evaluation team have concluded this is the result of an effort to introduce an innovative tool and complex policy programme into a challenging policy environment without due focus on design and or high level buy in. This has resulted in the establishment of a fragmented programme that has been unable to identify a clear narrative of change.

Given this context the programme has achieved some significant success at local level, increasing awareness of local communities and local government to environmental challenges and approaches to addressing them. What is required is to consolidate these successes and the lessons learned and identify where these approaches can most effectively be utilised in the future.

PEI globally describes itself as a programme that supports country led efforts to mainstream poverty-environment linkages into national development planning. This is achieved through providing technical assistance to government partners to set up institutional and capacity strengthening programmes and carry out activities to address the particular poverty environment context. The Thai programme design originally envisaged this process being led and facilitated by UNDP country office working with a number of partners but utilising a direct implementation approach. This was shifted during programme formulation to a national implementation modality with the programme led by the MoI.

The programme also sought to combine its approach, to mainstream poverty and environment, with the SGA tool. A tool that was described from the outset as being focused on process and shared understanding of outcomes as much as technical rigour. This concept is relevant to the Thai context, which is facing continued challenges with effective environment and natural resource management. **The programme, however, faced a number of challenges in its design and establishment** that left it fragmented and lacking a clear route to deliver change at national or provincial level.

The programme design was over ambitious and failed to consider the significant structural challenges present in the integrated planning process. The programme design aimed to have influence at multiple levels of government including senior planning processes. It lists a large number of activities to be undertaken to achieve this but fails to provide a clear indication of how linkages between activities outputs and outcomes are to be achieved or the relationship between different outcomes. With a limited budget spread over a number of provinces and service providers these objectives are highly ambitious. When they are placed in the context of an on-going reform process that faces significant structural and cultural challenges in a heavily institutionalised environment (as described in Section 3), these objectives become almost impossible to realise. Programme objectives should have been revised during the inception phase to identify a clear

narrative of change and to narrow the programmes focus to engagement on specific elements of the planning process. This process, however, was complicated by the programme set up process, the diversity of programme partners, and the significant role of the SGA.

Programme establishment resulted in a structure that did not take fully into account the capacity or nature of institutions engaged or their incentives for change. Selection of partners to undertake the programme followed two different approaches. Partners for the PEI programme were identified and selected based on existing institutional relationships with UNDP, their institutional remit and their initial interest in the PEI programme. While this resulted in a motivated group of actors their physical locations and institutional capacity were not always closely aligned to the requirements of the programme. The shift to MoI as the lead implementer also meant that provincial level implementation was not within the line management of MoI presenting a complex institutional relationship between central MoI and provincial implementers. The SGA teams were contracted separately based solely on a commercial tender basis. Their initial engagement was then separate from the PEI process resulting in two parallel systems at provincial level. Programme staffs have worked hard to address this but it has taken significant work for a shared understanding of PEI and SGA to be developed.

The programme has worked to introduce a new concept and a new tool into a structurally challenging environment. The concepts of both eco-system services and the practical meanings of wellbeing are new to Thailand and as such their integration into the broader policy process will be challenging. Time is required to both adapt these approaches to the Thai context and to bring decision makers and key stakeholders up to speed with the approach. Insufficient attention was paid to these issues in the development of the programme and initial implementation, which resulted in constraints on what the programme was able to deliver. Conversely progress in these areas can be further developed now that a significant test case has been undertaken

Lack of initial technical and political investment in the programme and SGA in particular The SGA process was not discussed in the original programme scoping process and was added following a separate scoping mission by UNEP staff later in 2009. This was conceived as another major design flaw and SGA, (which accounts for over 20% of the budget) was never properly blended into the PEI process. The SGA process was also subcontracted to a three different service providers with varying levels of technical capacity and differing institutional styles. As a result early progress on the SGA was slow and mixed in quality with one service provider being removed after 6 months due to poor performance. Further investment in clarifying exactly what the SGA tool was and how and where it should be used in Thailand would have helped to increase the focus of the whole programme. This process should also have focused on ensuring that outputs from the SGA were appropriate to and utilised the same language as existing planning processes. This could have been achieved through a senior UN scoping mission or a more detailed programme inception phase with support from UN staff with significant experience of the tool.

Despite these challenges **the programme has been successful in a number of areas** and has built a platform on which some key projects could be further developed.

The programme has developed and implemented a highly participatory SGA process. The SGA process has been approached in different ways by each implementing partner with community participation as the common thread. This process has been seen by all participating stakeholders as a valuable increasing awareness, and ownership of results and subsequently a demand for good governance. Local authorities in both Nan and KK have committed to further develop this process locally and stakeholders in SSK intend to develop elements of the SGA process.

The programme has supported the demand for good environmental governance at a local level and as such as strengthened local democracy and governance. Where awareness raising on environmental issues through the SGA and policy planning processes through the PEI have been linked there has been evidence of an increased demand for improved local environmental governance. This process has improved linkages between local government groups and communities and has helped support a process of improved accountability at the local level. While it has been less effective at provincial level evidence from SSK indicates that if conditions are right, in terms of an educated, networked and influential constituency, this process can also have an impact on the integrated provincial planning process.

The programme has conducted analysis and research that could be utilised to further develop environmental governance initiatives. The programme has undertaken a large number of activities in different locations, information from these when bought together will provide valuable insight for future interventions. Areas for further development are covered in the recommendations.

These successes are significant and provide a solid basis for a bottom up approach to demanding improved environmental governance. Institutionally these approaches do not sit easily within the mandate of MoI and in particular the central offices engaged in the programme and provides further explanation behind, MoI limited follow through with the approach.

Lessons Learned

Local communities in Thailand have a high level of capacity when compared to other countries in which the PEI is being implemented. As such they have the potential to be fully engaged as data gathers and analysers and can with support mobilise to develop evidence based advocacy positions. Support to mobilising this process will be important in the future development of local and provincial governance in Thailand.

There is significant existing experience of community based natural resource monitoring and management. What is lacking in many areas is an effective link between local information and provincial and national planning processes and how these challenges can be influenced.

Introduction of global programmes to national contexts must be carefully managed to ensure that the wording remains appropriate to decision makers in that country. Progress in reducing levels of poverty in Thailand has led to a reduction in political focus on poverty eradication. Decision makers are now more focused on sustainable development and climate change and while the programme has tried to focus on these areas it required some rebranding from when the programme was initially developed resulting in some inefficiencies and confusion.

When piloting innovative approaches or tools time is required to develop understanding and buy in only once this has been achieved can impact be developed. The programme looked to introduce a innovative approach interms of cross cutting environmental planning combined with an innovative tool. These processes tool significant time for both partners and other stakeholders to understand and will take further time to develop full buy in.

When seeking strategic interventions utilising innovative approaches UN agencies should commit sufficient senior staff time to help develop political buy in and reduce pressure on government staff

to risk their political capital on an untested process. The SGA tool was untested in Thailand and the PEI approach was seeking to deliver significant outcomes with limited funds. To achieve this further strategic support was required from the UN to gain the attention of key policy makers in advance of clear case studies from the field. Expecting public servants to take this political risk with limited information is unrealistic.

It is essential that programme implementing modality is explicitly considered during programme scoping and design. The original programme design in Thailand was based on DIM, with a subsequent change to a NIM fundamentally shifting the way the programme was able to operate. While it is unclear how effective a DIM approach would have been, a lack of clarity on this element presents serious challenges to any programme design as different implementing parties will have fundamentally different institutional strengths and weaknesses and will be able to operate very differently during programme operation.

Section 6: Recommendations and next Steps

The evaluation team have considered three options for continued engagement by UNDP and UNEP. While these are presented as independent options it is recommended that if the programme is to be continued the options should be viewed as a series of sequential steps to be undertaken over the coming 9-12 months with a full programme (Option 3) only being established following the completion of the prior two steps (Options 1 and 2). Under these conditions the Option 1 and 2 should be used as a means for both developing and clarifying a detailed programme design and ensuring that there is senior buy in from the Government Ministries with which it will operate.

Option/Step 1: Programme closure – Consolidation of existing information and sharing of lessons – no continuation

The programme has undertaken diverse activities and initiatives over the last three years, implemented by a range of implementing partners in different geographical locations and at different scales. This provides a rich diversity of lessons learned but also challenges with regard to consolidating lessons learned that can contribute to future development planning. It is important to consolidate and formalised the lessons learned from the programme to a level, which, will allow knowledge to be used by other stakeholders and future programmes. Three focus areas for this process have been identified by the evaluation team with the PMU needing to further review these recommendations based on their knowledge of the stakeholders and geographical locations.

It is anticipated that these activities can be conducted primarily by the PMU with support from other implementing partners. Activities can be supported through a number of programme lesson learning workshops that should consolidate information from the programme, broaden awareness of participants of the experiences of different IPs and geographical locations. Outputs from these workshops should then be used for a number of smaller more strategic meetings with key decision makers at national and provincial level. The three areas are:

1. **Consolidate results and lessons from SGA process to enable it to be formalised and adapted for future use in the Thai context**

The SGA process has been implemented by three different institutions with differing approaches and has resulted in differing outputs both on the ground and with regard to technical outcomes. The MoI and other agencies have shown interest in it but are yet to fully understand the outputs it has the potential to produce and their uses. The UNDP PMU combined with the MoI should utilise information from the recently developed SGA reports along with discussions with key stakeholders to identify key lessons emerging from the implementation of the SGA tool to identify future uses for it within the Thai context. It is advised that this process should mix both academic practitioners, CS groups and those with an understanding and interest in the policy context to ensure that information gained is balanced and is both intelligible to and practically implementable be a range of stakeholders.

The outcome of this process should be two documents combined with increased awareness of the tool amongst key stakeholders – through consultation on the documents and other awareness raising events. The first document should be a results and lessons learned document that can be

shared both within Thailand and overseas and should highlight the potential uses of the tool within the Thai context and key successes and challenges. The second should be an implementation manual that can be used by practitioners wanting to implement the tool. During the review of lessons learned from the process it should be decided who this document should be targeted at with the provisional recommendation of medium to large CS organisations and or government departments operating at the provincial level – a range of chapters dependent or scale of implementation/ context could be considered to facilitate ease of use by different stakeholders, e.g. SGA for national level, SGA for local level. This formalisation of the tool within the Thai context should also include the identification of an appropriate name in Thai (see box 6), which relates more directly to the tools purpose and outputs and a clear summary of what the tool can be used to deliver, with guidance on how it can be linked to policy and planning processes.

Box 6: What's in a Name - the SGA, tool, tool box, or framework?

Part of the success of the SGA tool in Thailand has been it participatory nature, with communities gaining increased ownership of the outputs.

Many stakeholders, however, admitted that they were at first confused as to the nature and purpose of the SGA with several groups noting it took a significant time period to even agree what the process should be called. Equally in some contexts, specific activities used through the SGA have not been the most appropriate or could have been strengthened using other tools. This may also facilitate a more significant adaptation of the SGA into planning processes that would be more difficult if it remained perceived as a stand-alone tool comparable to an EIA.

Careful and appropriate branding of the SGA along with a more descriptive name would facilitate its future adoption by stakeholders in the future.

2. Consolidation and sharing of lessons learned from the PEI programme

The PEI programme has done significant work on analysing the policy processes related to environmental planning and management as well as the broader integrated planning process through the work of the SGA teams, CU, and the PMU. The PMU should consolidate and share this information both internally within the relevant UN agencies and departments (e.g. governance) and more broadly with key stakeholder groups including other development partners working within similar areas. This process will also provide a critical base line on which future activities can build.

Key elements for this lesson learning process should include:

- The role of the private sector in environmental issues at provincial level and the impacts of national policy – lessons could be drawn from looking at the differing case studies of PS actors at provincial level in SSK, Nan, and KK and how they interact with national level actors.
- Potential for supporting environmental considerations within local governance and supporting upward demand for good environment governance
- Alternative pathways to national development planning from subnational pilots – the efforts of the Nan watershed committees to access the National Watershed council provides one such indication
- Relationships between agricultural and environmental policy processes – in both Nan and KK national agricultural policies have been central to environmental challenges. Further

assessment of lessons from these processes and potential routes for engagement should be reviewed.

This process should also bring together other programmes looking to streamline or integrate similar issues within national and local planning processes (e.g. integration of climate change adaptation and mitigation issues, and disaster risk reduction and management) and where possible draw from other sectors which have made progress in integrating key themes into the provincial or national planning processes (e.g. health and education).

Information from this process should be utilised to develop potential theories of change that the programme can analyse in more detail should it move to step 2 or could be shared with other offices or programmes that are entering a design phase. Outputs could include internal and external policy briefs from the UN as well as a summary guide to planning processes that could be used by local and provincial CS groups or other interested stakeholders.

3. Identification of projects of interest

There are a number of sub-projects that have been undertaken as part of the programme. These should be reviewed by the PMU with local stakeholders to identify potential 'flagship case studies' as well as priorities for continuation and or expansion. Some of these projects are of national level interest in terms of piloting approaches or their potential to engage in the national planning process, while others are vastly more local in nature and impact. As such the assessment should look not only at the PEI programme's objectives but also the specific needs of the areas in which the projects operate. The PMU should then work with stakeholders to either showcase the successes or support them in their efforts to access further support either through UNDP / UNEP or through other technical and financial sources. Potential projects / programmes of interest noted by the evaluation team include:

- *Nan Watershed fund* – the programme has supported a feasibility study of this process, which, is currently being finalised. This document should be linked with existing experience on watershed management within UNDP and elsewhere (eg the Water for People Partnership) as well as with an initial review of the way in which the PEI process has been implemented in Nan with particular reference to the demonstration plots to identify key lessons for future implementation of a watershed fund.
- *Extra curricular activities for youth groups* – Nan and SSK have both developed a successful range of activities for young people. The possibility that these activities could be further expanded and utilised in different provinces
- *Community forestry projects* – community forestry projects have been developed in a number of projects with KK leading the process within the PEI programme.

Nan Watershed Fund

The province of Nan faces considerable challenges related to environmental degradation resulting from an expansion of the area under maize cultivation. The situation stems from a mix of socio economic and political factors with many farmers being poor migrants without official land title. With limited land tenure security these groups have sought to maximise profits by both expanding their areas under cultivation, causing extensive deforestation, and maximising inputs from fertilisers and other chemicals. In many cases such farmers have had to access credit to undertake these activities and thus extremely vulnerable to environmental shocks or other causes of a poor yield. As a result many are trapped in a debt cycle requiring more and more land and more and more inputs to be able to break even while at the same time the land that they are farming is degrading rapidly on an annual basis due to high rates of soil erosion.

The impacts of this spiralling challenge are not just felt locally through high levels of water pollution, but are relevant on both a national and international scale with reductions in forest cover being attributed to increased risks of flooding down stream and the high levels of carbon emissions.

Existing strategies to address these issues have been piecemeal in nature conducted by one line agency, or organisation and continue to be impacted by national strategies such as the guaranteed price for maize and a fluctuating approach to the issuing of land title in such areas. As such no strategy has been able to have a significant impact in addressing the problems. Despite these weaknesses Nan has a relatively strong CS network and local administration capable of mobilising on common points of interest.

The recent extensive flooding in Thailand has made flood prevention a national priority and there is political interest in measures that can be taken to address this. Similarly the establishment of the ASEAN free trade zone in 2015 will cause a change in the maize price policy and will thus shift incentive structures.

The Nan watershed fund thus presents an option to develop and trial an approach to addressing environmental degradation in one area using economic incentives. The exact design of the scheme will require further design and development but the alignment of potential environmental challenges with political will and capacity provide an opportunity for change.

Option / Step 2: Maintenance of flagship projects and Review of entry points into the national planning process – Minimal investment – 6-12month duration

The current programme has had localised successes and has opened space for dialogue around improved integration of environmental issues. If UNDP and UNEP wish to catalyse change in the Thai context these initiatives should be built on as part of a gradual process of momentum building and mainstreaming of environmental service based approaches into both operational and policy processes. Prior to any further significant investment, however, further work should be done on planning and prioritising entry points so that the same challenges faced by the current programme

can be avoided. It is thus recommended that a 6-12 moth phase be adopted during which two key activity areas are undertaken:

- **Support to priority programmes**

During the final months of the PEI programme the potential for continuation of pilot programmes supported by the project should be assessed (regardless of whether funding will come from UNDP or UNEP). The opportunity of maintaining a base level of support to certain projects in order to maintain continuity or momentum should then be considered. This would help maintain the sustainability of any impacts, and or provide a bridging fund to help and initiative gain access to further support from elsewhere.

Levels of investment, however, should be low until completion of the below activities to ensure that the engagement strategy has the potential to support broader change.

- **Assessment of priority entry points**

This process should assess both priority stakeholders and thematic entry points. The approach should use a range of tools to assess potential pathways of change. A potential list of pathways is provided below but should be reviewed during the wrap-up process for the programme (Option 1 point 2):

Private sector engagement – the rapid growth of the Thai private sector has been a key element driving environmental degradation in Thailand. This process is set to continue with Thailand hoping to maintain significant growth rates. The country, however, is also looking to access international markets and will be looking to increase its reach and maintain an advantage within the ASEAN economic market due to be established in 2015. Domestically several large companies have also suffered from significant CS pressure to improve their social and environmental standards (eg CPP) and are taking action in this direction.

These conditions provide a potential opportunity to work with the private sector as a champion of change with respect to environmental standards and regulations. With companies looking to improve their brand image and access to markets by leading environmental initiatives while also considering providing support to domestic regulation in the same areas to ensure that they are not undercut by other producers not undertaking such efforts. Engagement in this area may be best focused towards agriculture and biofuels based production with national level actors keen to present an environmentally and socially responsible image in the market place.

Upward demand for improved environmental governance – the current PEI programme has supported specific communities and CS groups at local level to advocate for increased consideration of environmental issues within local government planning and budget allocation. A recent study by Nagai et al 2008 also noted that several local authorities were campaigning on such a platform with subsequent increased budget allocations towards environmental issues (Nagai et al 2008). Increasing demand at the TAO and PAO level has the potential to provide a stronger basis for community based environmental oversight if supported at scale may have the capacity to influence provincial level development planning as well as the development of provincial and local level environmental regulations which may have the potential to be used as case studies to promote changes at the national level.

<u>Parallel Channels of Engagement</u> – the current programme has focused on engaging through the linear provincial and national planning processes. National committees, however, exist on number of issues including watershed management, public private committees for specific products or issues, and or thematic committees related to climate change. These may provide a more flexible window to pilot approaches which once tested can be realigned to the national planning processes.

Recommended tools to assess these entry points are:

- *Stakeholder analysis* – there are a broad number of stakeholder groups active within the national and provincial planning process, each group has a range of different interests and incentives to engage with the environmental planning process. It is important to gain a clear understanding of these, in-order to engage with other key stakeholders.

- *Assessment of key environmental challenges and / or cost of environmental degradation* – there are a number of environmental challenges facing Thailand at present consolidating existing research to identify key messages may provide an example of key issues that need to be addressed.

- *Assessment of market opportunities for environmentally sustainable products* – Thailand has embarked on a number of private sector development initiatives that have relevance at the international level – such as the biofuel production. A number of existing best practice standards already exist for products in these areas and could be used as a framework for promoting private sector action. Consideration must however be given to the incentives for private sector actors to move in this direction (such as price incentives or access to markets) and/or the Thai government to promote such initiatives as a steps towards regulation (such as improved international recognition or adherence to specific treaties).

Option / Step 3: Establishment of Full Programme

Establishment of a full programme should be based on the outcomes of the above two steps. It should consider how the objectives of the PEI should be operationalized in Thailand and identify clear windows of opportunity to deliver change. Critically should it continue to wish to work with government it should ensure buy in from senior government officials prior to initiation.

The below suggestions are thus initial proposals that could form a departure point for further discussion over the coming months are based on the evaluation team's observation and analysis.

The area based planning process as outlined in Section 3 of the report is a complex process that is highly politicised. It is part of large-scale institutional change that requires an adjustment of both power dynamics and existing operational structures between the national and provincial levels. As such it will take time to evolve. This does not mean that the process should not continue to be considered but that any future engagement should focus on supporting changes in the enabling environment to help ensure that environmental considerations are included more centrally in the future planning processes with the potential to focus on key thematic areas to help facilitate change. Proposed strategies to help support this process include:

Increasing demand for improved environmental governance (bottom up approach) – objective of this element would be to support the development of SGA style approaches within a range of areas this could be achieved by:

Establishing linkages between regional environment offices and universities to help support community monitoring of environment as well as awareness raising on planning. Process could also be facilitated by CODI or regional based NGOs with proven facilitation skills. Existing community networks and TAO with recognised experience and commitment in this field should also be identified and used as entry points at local levels. To reach a level of impact that can truly create the demand for changes, networks should have regional and national links for advocacy (e.g. the 94 community forest networks established nationwide, small scale fishery networks in southern provinces, etc.). This process could also be linked to development of provincial environment or climate change plans. The institutional arrangements developed should facilitate links between communities and institutions with technical skills such as universities but should also be designed to ensure that data could also be used to supplement existing planning data bases such as those developed by the CDD and used and as basis for line agency planning.

Engagement of Private sector actors at national scales (bridging approach – linking national and subnational) – objective would relate to moving at least one specific business area in direction of improved certification standards. Opportunities to build upon existing Public-Private Partnership initiatives should also be explored as there are some innovative ideas being implemented by private sector and donors such as GIZ on Improved Certification Standards for organic products; and the carbon footprint labelling with TGO.

Engagement of other National level commissions (bridging approach - linking national and subnational) – There exist a range of thematic and issue specific committees. These committees may provide the opportunity to gain national level interest and support on specific issues. Support at this level would facilitate engagement at provincial level through the planning process and may begin to enable line ministries to adjust approaches to match more varied local demands.

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Annex 1: Overall Programme Score

Stakeholder group	Score Out of 10	Reason
National		
MoI Technical Working Group	8	+tive: Programme promotes people awareness to live harmoniously with the environment. -tive: Programme is too short; results may not be sustainable
Samut Songkram		
RE8	7.5	+tive: Programme Central team is highly committed and cooperative -tive: Ineffective inception phase, weak linkages between MoI and MoNRE, SGA and PEI
Community Representative	6	+ Programme enhances community's ability to understand development in larger context and gives them confidence to negotiate in provincial planning process -tive: Programme reached only small groups of people, most people still don't understand why we have to do it
TAO Chief (1)	7	+ tive: Programme proves to be useful and TAO wants to pursue the process on its own -tive: Some people in communities still don't understand P-E linkage issues
TAO deputy sub-district 1	6	+ tive: New leaders emerge from the PEI and SGA processes -tive: Some people participated in PEI process complained that their leaders still don't understand the relevance of the issue
TAO deputy chief, sub-district 2	8	+tive: Programme engage youth groups in environmental activities -tive: Programme was too short
Youth leader (1)	8	+tive: Youth groups able to understand links between PEI-SGA, community level data and academic information and future scenario of the area -tive: Impact is not strong enough to create critical changes
Youth leader (2)	8	+tive: Those who participate in the PEI/SGA processes have better understanding about valuation of their ecosystem through timeline exercise -tive: Working through leaders is a limiatation; Programme needs to engage a wider range of stakeholders to create the critical mass.
PEI local consultant	6	+tive: Programme was able to build capacity of TAO in one sub-district to level that can make differences in TAO plan and budget

		-tive: Capacity of the other 3 sub-districts needs to be further enhanced
Nan		
Provincial Line Agency	6.5	+tive: Programme team has worked very hard and has shown a commitment to improving livelihoods and environment. -tive: It is not clear exactly what impacts have occurred (this is partially due to the locations being away from their area of work).
TAO (Day 1)	6	+tive: The programme has raised awareness and created an impact in specific communities -tive: It lacks continuity and has a long way to go before it will have a long term impact.
TAO (Day 2)	7	+tive: The programme has been very good, it has increased awareness, and improved people's capacity to think about environmental impacts. -tive: There have been issues relating to budget management with some budget taking a long time to reach the local level and criteria being changed over the programme. -tive: Natural disasters have occurred that have damaged some of the initiatives developed resulting in people not seeing their benefits. -tive: The agencies supporting the programme at a local level and many hats (farmer, politician, school teacher) so it makes it difficult for them to do everything and maintain momentum
TAO (Day 2)	8	+tive: It has raised awareness and done a lot of good work at increasing understanding on environment and links to future. -tive: Many people are not yet convinced and want to see it over a longer period of time, they are also wary of things presented by politicians as they are worried that they will change after a few years and so will the process
TAO (Day 2)	8	+tive: It has raised awareness and people have a better way of thinking about environment now. -tive: Many people are stubborn and will only change their ways after a long time -tive: Some people thought there was corruption as sometimes money was delayed and there was confusion, also as we are politicians they are nervous.
Khon Kaen		
TAO	8	+tive: SGA added to existing knowledge base on community-based researches. -tive: Programme should cover more areas. The model should be expanded.
RE10	8	+tive: Programme built on existing area-based assessment experience -tive: Output targets set to high; frequent changes in workplans for alignment purposes

Annex 2: List of people interviewed

Date Interviewed		Name/organization	Role in PEI
19 October 2012		Mr. Razi, Latif, UNEP	PEI Regional Programme Manager
9 Nov 2012		Mr. Paul Steele, UNDP Regional Office	Regional Advisor
12 Nov 2012	Morning	Mr. Pawin Talerngsri, UNDP Country Office	PEI Programme Coordinator
	Afternoon	Ms. Sutharin Koonpol,	
13 Nov 2012	Morning	Ms. Suchada Wattana , Bureau of Policy and Planning, MoI	MoI, Programme Manager
		Mr. Boontham Lertsukhikasem, Director Bureau of Policy and Planning, MoI	MoI, Programme Director
	Afternoon	Ms. Sukanya, Bureau of Provincial Administration Development and Promotion, MoI	MoI Technical Working Group
		Ms.Suchaya, Land Department, MoI	MoI Technical Working Group
14 Nov 2012	Morning	Mr. Somchai Yensabai, Programme Specialist, Governance Unit, UNDP CO	
		Mr. Chaiyong, NESDB	Board member
	Afternoon	Ms. Sukanya Chaichuen, Thai Chamber of Commerce	Representing Board member
		Ms.Nopawan Charlongpuntarat, Thai Chamber of Commerce	Representing Board member
15 Nov 2012	Morning& Afternoon	Mr. Piya Phromsathit, Regional Environmental Office, 8	SSK PEI Provincial Manager
		Mr. Samphan Pongpunnakul, SSK Chamber of Commerce	Founder of PEI SSK and member of SSK working group
		Mr. Manop Yanapisithakul, SSK Provincial Natural Resource and Environment office	Member of SSK working group
		Ms. Chabah , Regional Environmental Office, 8	Member of SSK working group

16 Nov 2012	Morning	Mr. Amornsak Chatrathin, Chairman of Lamyai TAO, SSK	Provincial PEI committees and Local communities who participate in Community-Based Research exercise, SSK
		Ms. Tongkam Juathai	Local community member who participate in Community-Based Research exercise,SSK
		Mr. Chitsanuwat Maneesrikham, Coordinating Centre for Community based Research of Samut Songkram under Thailand Research Fund	PEI consultant and coordinator for CBR, SSK
	Afternoon	Mr. Suriyong Puchanya, Deputy Chairman of Suan Luang TAO	Local community member who participate in Community-Based Research exercise
		Mr. Sutiluk Togtong	Youth representative who participate in the PEI process, SSK
		Mr. Wigrom Suadee	Youth representative who participate in the PEI process, SSK
19 Nov 2012	Morning	Mr. Wachirapong Suwannasopon Nan PAO	Nan PEI Provincial Manager
		Ms. Payom Wutthisawat, Nan Provincial Agriculture Office	SGA working group, Nan
	Afternoon	Mr. Athiwat Sutham, Pong TAO	Member of PEI/ SGA working group, Nan
20 Nov 2012	Morning	Mr. Pet Chaiyapong, PaLaew Luang, TAO	Member of PEI/ SGA working group, Nan
		Ms. Nuch Benjawatcharasart, PaLaew Luang TAO	Member of PEI/ SGA working group, Nan
		Mr. Teerachai Chiangthong, Director, Padaed School	Member of PEI/ SGA working group, Nan
		Ms. Ketsaraporn Luangkhao, Pong Village Committee	Member of PEI/ SGA working group, Nan
21 Nov 2012	Morning	Mr. Loius Label, Chiang Mai University	SGA Advisor
22 Nov 2012	Morning	Mr. Tanawat Ploysopon, Khon Kaen Deputy Governor	Chairman of provincial steering committee, Khon Kaen
		NESDB Regional Director	Advisor to Provincial Planning Committee
		Chief, Provincial DOLA Office	Member of Provincial Planning Committee

		Mr. Yunpong Wilaipong, Chief, Governor's Office	Secretary of Provincial Planning Committee
	Afternoon	Chief of PAO Planning Division	PEI working group
		Chief, Provincial Industrial Council	Member of Provincial Planning Committee
		Ms. Wanpen Wirojanakut, Khon Kaen University	PEI consultant, Khon Kaen
		Mr. Buapan Prompakping, Khon Kaen University	SGA consultant, Khon Kaen
		Ms Siriwanna Dejwithi, Deputy Director, REO 10	PEI working group, Khon Kaen
		Mr. Akarapong Khiewjae, REO 10	KK PEI Provincial Manager
28 Nov 2012	Morning	Ms. Benjamat Chotthong, Thailand Environment Institute	SGA consultant, Nan