



Outcome Evaluation

Disaster Risk Management, Energy and Environment

UNDP India
October 2007

1. Introduction

1.1 Background

This report is an outcome evaluation of UNDP's disaster risk management, energy and environment programmes in India for the period 2003 to 2007. Two outcomes were selected from the current MYFF:

- **Reduced vulnerability to natural and human-induced disasters through community preparedness;**
- **National capacity built to contribute to global environmental agenda setting, and global environmental concerns mainstreamed into national development planning.¹**

Intended Outcomes: 1) Reduced vulnerability to natural and human-induced disasters through community preparedness; 2) National capacity built to contribute to global environmental agenda setting, and global environmental concerns mainstreamed into national development planning.

Outcome Indicators: 1.1) DM mitigation/prevention mainstreamed into the development process including formulation of State DM policy; 1.2) empowerment of communities for disaster preparedness 2.1) MEAs mainstreamed into national plans and policies.

Baseline (2003): 1) Little or no base line available on community preparedness for DM.

2) Limited national/state capacities and examples for integrating MEAs.

MYFF Target (2006):

1) Disaster management in India strengthened through: establishment of Disaster management framework (laws, policies and DM authorities); community-based disaster preparedness; strengthening of local capacities and institutional networking; standardization of training modules.

2) enhanced capacities for implementation of the multilateral agreements (for biodiversity, climate change, and land degradation) through: i) availability of reliable baseline information based on assessments under NATCOM and NCSA, ii) strengthened institutional capacity for development of CDM projects; iii) conservation and sustainable use of biodiversity enabled through strategic interventions with geographical focus; iv) partnerships developed through launch of CoP as part of solution exchange.

According to the Terms of Reference (TOR), the objective of the evaluation is to assess how and why the outcome has or has not been achieved in the current Indian context, and to assess the role that UNDP has played. The outcome evaluation is also intended to clarify underlying factors affecting the situation, highlight unintended consequences (positive and negative), recommend actions to improve performance in future programming, and generate lessons learned. The outcome evaluation is therefore meant

¹ This outcome does not include impacts at the community, grassroots level, which are therefore largely outside the scope of the evaluation.

to provide important information on (i) the contributions that UNDP has made to the outcome; (ii) whether the UNDP strategy has been effective; and (iii) whether some adjustments are needed so that UNDP can remain or become more relevant on this outcome in the future.

The TOR indicate that the outcome evaluation shall assess the following:

- *Outcome analysis*: what and how much progress has been made towards the achievement of the outcome (including contributing factors and constraints).
- *Output analysis*: the relevance of and progress made in terms of the UNDP outputs (including an analysis of both project activities and soft-assistance activities).
- *Output-outcome linkages*: what contribution UNDP has made/is making to the progress towards the achievement of the outcome (including an analysis of the partnership strategy).

1.2 Evaluation Approach

The evaluation was undertaken in the period of April to June 2007 by two teams: The DRM team was headed by Kamal Kishore (BCPR) and included Saumik De (BCPR) as well as two national consultants, Manu Gupta and Anshu Sharma. The E&E team was led by Gernot Brodnig (RCB), and included Thiyagarajan Velumail (RCB) and K.V. Devi Prasad (National Consultant).

The evaluation was conducted through a combination of desk reviews, stakeholder consultations, project site visits, group meetings, and the professional opinions of the evaluation team. The evaluation was also based on relevant UNDP evaluation guidelines and reports, including:

- Handbook on Monitoring and Evaluating for Results, 2002
- Guidelines for Outcome Evaluators, 2002
- Evaluation Policy, 2006
- Various outcome evaluations (Nepal, Iran, Indonesia, Bhutan)

1.3. Challenges and Limitations

The evaluation team faced a number of challenges and constraints that affected the scope and depth of the exercise. These include:

- Need to develop a joint approach to the assessment of the DRM and E&E outcomes while maintaining sector-specific findings and recommendations.
- Different expectations from different stakeholders in the CO adding several implicit layers to the TOR.
- Very diverse and large project portfolio, which limited the in-depth analysis to a small sample of projects (see Annex 2).
- Limited usability of MYFF reporting due to its inherent positive bias as a self-assessment.

The most significant challenge, however, was the generic and abstract nature of the outcomes and the absence of suitable indicators. To address this problem, the evaluation team, in consultation with the CO, developed a set of intermediate outcomes and corresponding indicators, outlined below.

Outcome DRM: Reduce vulnerability to natural and human-induced disasters through community preparedness.

Intermediate Outcome 1: Institutional and legislative systems for disaster risk management (DRM) strengthened and DRM mainstreamed into key development sectors

Indicator 1: Key legislative changes/ new legislation.

Indicator 2: Focal Institutions set up.

Indicator 3: DRM integrated in the work of selected sectoral ministries.

Intermediate Outcome 2: Local level mechanisms – plans, resources and trained personnel – developed for enhancing disaster preparedness

Indicator 1: Mechanisms such as disaster management committees set up at the district, taluk and village levels.

Indicator 2: Financial allocations from regular budgets as well as legal and policy backing to ensure sustainability of local level structures.

Indicator 3: Level of awareness of disaster issues, particularly at the local level (community, village, taluk and district levels).

Outcome E&E: National capacity built to contribute to global environmental agenda setting, and global environmental concerns mainstreamed in national development planning.

Outcome 1A: National capacity built to contribute to global environmental agenda setting.

Intermediate Outcome: Enhanced national capacity to implement the obligations of and benefit from the opportunities under CBD and UNFCCC/Kyoto Protocol.

Indicator 1: National Biodiversity Strategy/Action Plan operational.

Indicator 2: Inclusive in-situ conservation and sustainable use approaches adopted and implemented.

Indicator 3: Initial National Communication submitted.

Indicator 4: Number of operational CDM projects.

Outcome 1B: Global environmental concerns mainstreamed in national development planning.

Intermediate Outcome: Biodiversity and climate change issues integrated in 10th/11th plans, sectoral policies and related budgetary frameworks.

Indicator 1: National development programmes screened for biodiversity impacts.

Indicator 2: State and district plans reflect biodiversity resources.

Indicator 3: Commitment level for climate change mitigation and adaptation activities, as reflected in national policies, plans and budget allocations.

2. Evaluation Context

2.1. Development Context

Over the past few years, India's economic performance has been impressive, with a growth rate of 8% in 2005-2006. The boom is, however, placing increasing demands on natural and energy resources, with potentially serious consequences for the environment. In general, it is the poor that are disproportionately affected by environmental degradation and lack of access to clean, affordable energy services.

So far environmental performance has been mixed: Successes such as the reversal of deforestation rates have been accompanied by setbacks such as increased fuel wood use and ground water depletion and accelerating river pollution. The 10th Plan mid-term review and background documentation for the 11th Plan have highlighted the need to move away from sectoral to more integrated approaches in order to ensure the environmental sustainability of the ambitious economic agenda. In addition to their local and national socio-economic significance, many environmental concerns in India are closely intertwined with the global agenda, particularly in the areas of climate change, ozone depletion and biodiversity.

In the area of disaster risk management, the combination of poor socio-economic conditions, lack of awareness and inadequate preparedness planning at community and administrative levels for disaster risk management and increasing incidents and frequency of disaster events has created a vicious cycle of higher economic losses and setback to the development process. Disaster is experienced differentially by men and women due to the unequal gender relations and the social milieu. The devastating Orissa Super Cyclone and the Gujarat Earthquake brought about a paradigm shift - the relief-centric approach towards disaster management was replaced by a more holistic strategy including disaster prevention, mitigation, preparedness as well as strengthening of national capabilities for mounting an effective and speedier disaster response.

2.2 UNDP (CCFII and SRF 2003-2007)

The Country Programme for the period 2003 to 2007 broadly outlines UNDP's role in supporting the Government of India and its development agenda. To address strategically and effectively national priorities as laid out by the 10th Plan, the country programme focuses on four thematic areas:

- Promotion of human development and gender equality.
- Capacity building for decentralization.
- Poverty eradication and sustainable livelihoods.
- Vulnerability reduction and environmental sustainability.

Vulnerability reduction and environmental sustainability consists interventions designed to reduce the vulnerability of communities to natural disasters and environmental degradation, including:

- Strengthening state and regional level systems for the establishment of disaster preparedness plans and setting up systems for early warning and recovery, including the use of ICT for disaster management, with a focus on highly vulnerable states.
- Developing of community capacities to plan and implement gender-equitable disaster mitigation strategies and post-disaster reconstruction/sustainable recovery, including

disaster prevention through environmental action such as rainwater harvesting and water conservation in drought-prone areas.

- Strengthening national capacities for influencing global debates on the environment and mainstreaming global environmental concerns into national projects, programmes and policies, including support to developing and implementing national action plans and mandatory reports under global conventions.
- Providing support to meet the goals of global conventions and mobilize resources from diverse sources, including the Indian private sector, to address national/regional concerns such as the management of globally significant biodiversity areas, renewable energy, land degradation, desertification and climate change.
- Demonstrating technologies, including traditional technologies and innovative approaches, to address linkages between global environment issues and national development challenges.

In the MYFF Strategic Results Framework, these programme objectives translate into four core results and corresponding outcomes: In addition to the two chosen for this evaluation and detailed above, the other two cover access to energy (*Low emissions energy technologies including renewable energy, energy efficiency technologies introduced, with particular focus on technologies relevant to the poor and for rural livelihoods*) and ozone depletion (*Contribution to the achievement of national targets in line with Montreal Protocol agreements*).

3. Analysis

3.1. Disaster Risk Management

This section presents an assessment of UNDP's performance in achieving the outcome pertaining to reduction in vulnerability to natural and human induced disasters. To carry out the analysis, baseline has been taken as 2003 and the outcome status taken as 2007. In considering the contribution of UNDP to the outcome, external factors such as actual catastrophic events during the period and socio-political changes that have taken place at national and state levels, have all been taken into account.

3.1.1 Outcome Analysis

During the period 2003 to 2007, a number of significant positive changes took place in terms of the disaster preparedness of the country. Causes lie in some of the ongoing initiatives by the Government of India from the previous decade, which were accelerated following devastating disasters in 1999 and 2001. Following the Tsunami in 2004, there was pressure on the Government which resulted in the passage of the National Disaster Management Act being expedited and the National Disaster Management Authority (NDMA) being formed.

3.1.1.1 Policy & Legislative Changes

Baseline

In 2001, based on the recommendations of the High Powered Committee, the Government of India prepared a National Disaster Management Framework. The Committee drafted a National Disaster Management Bill and proposed a National Disaster Response Plan. As per the Status Report released by the Government of India in 2004, a draft national policy had been prepared.

Current Situation

The Disaster Management Act for India was enacted in 2005. Six states have also enacted their own Disaster Management Act. The National Act lays down the structure for national disaster management, which includes establishment of Disaster Management Authorities and Disaster Management Plans to be prepared and implemented at national, state and district levels. The provisions of the various Acts clearly indicate a paradigm shift from the erstwhile relief oriented approach to a more comprehensive risk management approach. This is a significant progress in terms of providing an overall framework for achievement of the outcome.

3.1.1.2 Institutional Mechanisms

Baseline

The High Powered Committee on Disaster Management had, in 2001, recommended formation of a National Emergency Management Authority. The National Disaster Management Authority was not constituted until 2005. Two States – Orissa and Gujarat, both of which had suffered from massive disasters in 1999 and 2001 respectively, had constituted State Disaster Management Authorities. National Control Room in the Ministry of Agriculture, and State Control Rooms within the Revenue Departments have traditionally been in existence. Under the MEERP programme in Maharashtra and the World Bank supported earthquake recovery programme in Gujarat, Emergency Operation Centres at State and District Level were established and put on high levels of preparedness.

Current Situation

By 2007, in addition to the NDMA and the two states of Orissa and Gujarat, ten other states had constituted State Disaster Management Authorities. The formation of independent institutions has broadened the scope of Disaster Management in the region. Increased attention is now being given to mitigation and preparedness even in States that do not have recent history of disasters. In several states, these authorities have introduced innovative practices to increase their visibility and impact. Emergency Operational Centres have been strengthened in 13 states. Besides, a web-enabled, "India Disaster Resource Network" has been established. The progress towards the desired outcome made by these institutional changes is significant.

3.1.1.3 Mainstreaming

Baseline

No specific information is available on the baseline situation. There was little mainstreaming done as the emphasis was still on post disaster response. The paradigm shift towards preparedness and mitigation had only been initiated.

Current Situation

Mainstreaming is now made possible as a result of a new institutional mechanism established at National and State Levels. The education sector has recognized and incorporated disaster management as a subject in the formal curriculum; at State level urban bye-laws and building regulations are being re-assessed. However, the mainstreaming efforts, though relevant to the outcome, are still in a nascent phase.

3.1.1.4 Local Capacities

Baseline

Except for pilot initiatives in select states and initiatives as part of disaster recovery in Gujarat and Orissa States, there was no capacity created or in existence at District and Village levels.

Current Situation

Disaster Management Committees are functional at the village, district and state levels in several states across the country. This has followed the contours of decentralization in the country and therefore well integrated with the governance structures at all levels. This holds direct relevance to the desired outcome. For capacities to be sustained, there needs to be a continuous engagement with the local institutional mechanisms. As of now, there is very little effort in the form of programmes and schemes to utilize available capacities.

3.1.1.5 Awareness

Base Line

Awareness on issues related to the outcome was limited. The concept of building community level capacity towards risk management was only tried on a pilot basis. Only in the states that were affected by severe disasters, a paradigm shift was observed as recovery efforts were linked to long-term preparedness.

Current Situation

Disasters in recent years, notably the Indian Ocean Tsunami (2004) and the Pakistan Earthquake (2005), received considerable attention in the media and the thrust on preparedness and mitigation received fresh impetus. The increased awareness was dispersed to encompass even communities that were not directly affected by these disasters. Ongoing efforts by national and international agencies provided the necessary framework to channel awareness into concrete efforts.

3.1.1.6 Sustainability

As mentioned above (3.1.1.4), there is insufficient effort being made to ensure sustainability of capacities built in recent years. This could have a potentially adverse impact on the desired outcome.

3.1.2 Output Analysis

The Output Analysis has been carried out specifically for UNDP's Disaster Risk Management Programme. The focus of the programme is on vulnerability reduction and strengthening the capacities of the community with gender equity. This programme has emerged to be the largest multi-donor framework initiative under the on-going Country Programme. Partners such as AusAid, DFID, DIPECHO European Commission, Japanese Government (through the UN Trust Fund) and USAID have joined GoI and UNDP to establish a funding umbrella of US\$ 41 million.

The evaluation team has carried out its analysis on the basis of monitoring and evaluation reports of the project. The main objectives of the DRM programme are:

- National Capacity building to institutionalize the disaster risk management programme within the Ministry of Home Affairs;
- Environment building, education, awareness programmes and strengthening capacities at all levels in natural disaster risk management;
- Sustainable recovery, multi-hazard preparedness, response and mitigation plans for disaster risk management at state, district, block, village and ward level in 169 of most multi-hazard prone districts of 17 selected states; and
- Networking knowledge on effective approaches, methods and tools for disaster risk management, developing and promoting policy frameworks at State and National Levels.

3.1.2.1 Policy & Legislative Changes

At the national level the DRM programme has supported the Ministry of Home Affairs to launch the initiatives envisaged in the “National Disaster Management Framework” (NDMF). While the NDMF does not explicitly refer to a National DM Policy, there are other provisions such as the creation of a nodal agency for disaster management at the National level with appropriate systems and the establishment of Early Warning Systems to which the DRM programme has provided “soft” assistance to the Ministry.

The programme has assisted State Governments and facilitated the thought process in DRM Programme states towards the efficacy of establishing requisite institutional and policy frameworks. The programme has also contributed to initiating and institutionalizing a system of disaster management plan preparation across several states and districts in the country.

3.1.2.2 Institutional Mechanisms

The NDMF recommends the creation of a nodal agency for disaster management at the national level. The technical support provided to the Government under the Programme has indirectly and in a small measure helped in conceptualizing the structure and role of the National Disaster Management Authority (NDMA) in accordance with the provisions of DM Act and facilitated the process of formation of DM Authorities at the State level.

A vital output of the DRM programme has been the technical support extended by UNDP to systematically formulate the resource inventory through an organized information system designed to collate and assimilate information from authorities in 563 districts and 35 State/Union Territories. The online inventory, India Disaster Resource Network lists out details on specific equipment types, their functions performed, human expertise in search and rescue operations and contact details of expertise and suppliers for prompt mobilization during emergencies.

The DRM has contributed to the strengthening of Emergency Operation Centres at National and State Levels. The EOCs had been envisaged under the NDMF and are currently functional in 13 out of the 17 DRM States. (In Maharashtra and Gujarat, the EOCs were formed at State and District Level under World Bank supported recovery loans).

Likewise, State Disaster Management Authorities have been formed in 12 out of the 17 DRM states for which UNDP provided technical assistance through networking and cross-learning.

3.1.2.3 Mainstreaming

The DRM programme’s principal contribution towards mainstreaming has been in the sector of education and human resource development. Under the programme, UNDP assisted the Central Board of Secondary Education in outlining the curriculum and production of school textbooks on Disaster Management. Fourteen State Education Boards have introduced Disaster Management into the School Curriculum.

In its effort to mainstream disaster risk management in other development sectors, the programme has reached out to a number of national schemes of the government and has sought to integrate disaster risk management concerns in planning an implementation. Some of these schemes include Indira Aawas Yojana (IAY), Sarva Shiksha Abhiyan (SSA), National Rural Health Mission (NRHM), and Jawaharlal Nehru National Urban Renewal Mission (JNNURM).

The programme has provided training to architects, engineers and masons. To date 1,194 architects and 5,635 engineers have been trained in seismically safe construction practices. Mason training manuals have been prepared in Orissa, Assam, Uttar Pradesh and Gujarat, and over 19,622 masons have received training in disaster-resistant construction practices.

3.1.2.4 Local Capacities

Building local capacities at State, District, Block and Village Level is the largest and most important output of the programme. Disaster management and mitigation plans have been prepared for 7 states, 148 districts, 935 blocks, 17,365 Gram Panchayats and 78,188 villages. Significant progress has been made in the formation of the Disaster Management Committees and Taskforces at the village level, and imparting training in various skills.

Reaching out to communities at risk in such large numbers has raised local understanding and capacity for facing disaster situations. During field visits by the evaluation team, it was found that communities understood and have used their learning to tackle small and medium disasters. However, in qualitative terms training has not had a deep enough impact. The large number of trainings have taken a toll on the time and engagement allowed in the workshops, leading to processes being unclear to participants, and one-off coverage leaving a wider outreach and refresher inputs still desirable.

DRM has taken first steps towards building in women's participation in the programme by ensuring women's membership in the Disaster Management Committees and Task Forces. However, the notion of gender equity needs to be addressed in a deeper and more meaningful way in disaster preparedness and mitigation activities. While the DRM staff including the UNVs in the field recognize the need to integrate gender concerns in disaster reduction, they lack practical tools and knowledge to actually do this in their work. An initial set of trainings on gender dimensions are now being organized for the DRM team.

3.1.2.5 Awareness

Although low on visibility, the DRM programme has provided instruments and tools to demystify disaster management for better understanding by important stakeholders. The mid-term evaluation of DRM Programme highlighted the significant contribution made by the programme on raising awareness and enhancing the profile of DM issues in the country. The number of elected officials involved at local level, in addition to Government Officials and professionals, as well as the training imparted to village based task forces, have all contributed to creating awareness on the importance of disaster risk

management. In many cases, the training, institution building and plan preparation activities that may not have adequately achieved their primary objectives, have been successful in creating basic awareness on causes, effects and nature of disasters. In such cases, this awareness needs to be fully converted into concrete actions to enhance preparedness as well as to reduce risk.

3.1.2.6 Sustainability

The DRM programme was simultaneously launched in 17 states and activities were widely dispersed across 169 districts. This has posed challenges in terms of sustaining the engagement at the local level after an initial contact has been made and some sort of training has been imparted. As a result, sustainability of DRM efforts is variable across states. In some states, the main aspects of the programme and disaster management planning process have been internalized and have found a strong institutional basis. In other states and districts there is very little ownership of the plans, low confidence that the DMCs and DMTs will sustain for long if there is no disaster, and only a small percentage of the disaster management plans have been updated.

As the programme enters its final phase, a “graduation strategy”/ exit strategy is being developed to address issues of sustainability across states. The Strategy Paper has been finalized and shared with the states and discussions are being held with them for working out the modalities for implementing the same.

3.1.3 Output-Outcome Linkages

The chain of unfortunate catastrophes in the country, the recommendations by the High Powered Committee and the subsequent changes at National and State Levels, and the UNDP DRM programme that ran concurrently have created a strong paradigm shift towards disaster preparedness. The credit for having created this paradigm shift is shared by various influencing factors, which include the DRM Programme, but it is difficult to clearly attribute the level of influence that has emerged singly from the DRM Programme.

In the initial stages, disaster management planning was taken up only in those states that were affected by large-scale disasters and subsequently “woke up” to the need for such planning. However, since the year 2000, disaster preparedness initiatives are clearly visible, even in some states that are vulnerable but have not necessarily been affected by major disasters. States like Bihar, Uttaranchal and Uttar Pradesh are specific examples where DM initiatives and their institutionalization can be significantly attributed to the DRM Programme.

There is significant evidence of capacities having been built to manage small and medium disasters at the Local and District levels. Evidence from local floods in Gujarat and Uttar Pradesh in 2005 and 2006 clearly indicates the positive role that local stakeholders can play, and they can do so relying on the local capacities built largely by the DRM Programme. However, in the major floods faced by Maharashtra in 2005, the systems were completely overwhelmed.

The outcome of the DRM Programme needs to be viewed from a much wider perspective, wherein evidence gathered from interactions with stakeholders and direct observations at the ground level can be used to establish correlations between the DRM

efforts and the changes that are taking place in the disaster management sector in the country. These correlations can be seen under three broad classifications – positive direct correlations, positive indirect correlations and challenges/missed opportunities, as enlisted below.

Positive Direct Correlation

The DRM Programme's contribution to enhancement of capacity at State and District level is clear. Even if the States of Orissa and Gujarat are not considered (as these experienced major disasters and therefore were the focus of very significant attention besides the DRM Programme) there is a marked increase in local understanding and capacities in many other States. In the words of a State Relief Commissioner, the programme "has breathed fresh air" into the State and sub-state level machinery. The energy and drive that the programme brought with it have played a catalytic role in getting traditional systems to also perform better. There are significantly clearer role definitions, protocols and support systems for enhanced performance of the government system.

UNDP's role has been significantly useful in bringing in international best practices, and the concept of deploying UNVs has been very effectively utilized to infuse energy and professionalism in the efforts at the local level. The international stature that the local efforts acquired due to UNDP's presence created pressures to perform within the otherwise laid back local machinery.

The role of UNVs as District Project Officers has provided UNDP's DRM thrusts with a 'human face'. UNVs – who are often local to the districts they work in – have proved invaluable in facilitating the relationship between the local authorities, UNDP and the community. This relationship has been one of the primary contributors towards the pursuit of 'Intermediate Outcome 1'. The UNV mechanism has also allowed for UNDP's DRM initiatives to have a professional and committed 'frontline'. This has proved particularly useful in the earthquake mitigation work undertaken by UNDP, given the technical nature of such work.

Communities of practice (both formal through mechanisms such as Indian Disaster Knowledge Network and informal set ups such as 'e-mail' groups) have helped link UNDP's practitioners (a combination of UNVs and staff on other contracts) spread across 169 districts in India, culminating in the sharing of best practices and lessons learnt. This has ensured a uniformity and quality in UNDP's community based disaster management interventions. The use of ICT in creating the India Disaster Response Network and the State Disaster Response Network has helped Governments at district level manage disasters better and has created a knowledge backbone.

The number of trainers/resource persons created as well as institutions sensitized at District and State Levels is clearly an outcome of the DRM programme. These resource persons and institutions have in turn contributed to other programmes. No other government programme (including the NIDM and its associated State ATIs) has contributed as significantly to the creation of local knowledge capacities in terms of resource persons/institutions.

At the State and District levels the programme has been able to synergize its resources with other government and local resources in terms of funds, human resources and infrastructure. This triggering of resource flow from non-project sources, though still in small measures, has demonstrated opportunities for sustainability. The programme has

also introduced flexibility at State Level to allow opportunities for innovative ideas. This has helped States address vulnerability issues in ways unique to their specific conditions. Relevant case studies include *Chetna Fair* in Bihar and *Indira Awas Yojana* in Orissa.

Grassroots level interventions, particularly those related to village disaster management planning processes, have clearly generated awareness and built local community capacity. This capacity has also proved useful for development works other than activities directly related to disaster management.

The DRM programme has also reached out to the corporate sector including public sector organizations, individual private sector enterprises and construction sector and helped spread the message of disaster preparedness. These partnerships have set the stage for going beyond preparedness and advancing the cause of risk reduction.

Positive Indirect Correlation

Institutional changes have taken place in India roughly during the same period as the DRM. The DRM, as such, did not recommend any institutional framework for the country. However, the DRM programme provided “soft assistance” to the NDMF that ultimately led to the formation of NDMA. It can be safely assumed that the formation of the National Disaster Management Authority and likewise the State Authorities have resulted from experience and consultations that have been taking place from a time before the commencement of the DRM project. The proposal for a national authority was mooted by the High Powered Committee, and was further accentuated in the NDMF.

The State Authorities were found to be useful models based on experience of Orissa and Gujarat, both of which faced devastating disasters in 1999 and 2001, and were recipients of World Bank Loans. The World Bank loan stipulated, among other things, formation of semi-autonomous bodies at State Level to oversee the recovery work. However, some of the changes, especially in terms of generating awareness and raising the profile of the issues can be attributed to the DRM programme. The DRM Programme has facilitated the thought process in DRM Programme states towards the efficacy of establishing requisite institutional and policy frameworks. The notion of vertical linkages in institutional arrangements that the DRM programme has propagated seem to have also inspired the National Disaster Management Act.

An indirect yet significant outcome of the programme is that the DRM “model” is proven to be useful to spread the message of disaster preparedness on a large scale. This is reflected in a number of similar initiatives with UNDP support that have started over the past two years in Iran, Maldives, Pakistan and Sri Lanka. The innovations of the programme and successes have invited study visits from a number of countries like from Bhutan, Iran, Maldives, Sri Lanka, Timor Leste and Vietnam. The programme has made significant contributions to the practice of disaster risk management within UNDP.

Comment: Has it been worded appropriately so as to not claim too much credit for the DM Act?

Challenges and Opportunities

Lesson learning exercises, best practices and mid-course developments in the context have not led to significant programmatic adjustments to take advantage of new knowledge. The DM Act was passed in December 2005. This was roughly mid-point of the DRM programme. There was an opportunity to make mid-course corrections in the programme to push the implementation of the provisions of Act especially at the local

Comment: This section requires more work in line with the comment of the DRM team. Some rewording will be needed.

level through linkages with ongoing local level initiatives. This opportunity was not utilized to a desirable extent.

The programme has not been able to establish synergies with concurrent growth in civil society operations such as the Inter Agency Groups that bring together humanitarian agencies in many States and also at the National Level. There is very little engagement with NGOs and CBOs, and wherever it has been attempted it has failed since there are no funding provisions to support any activities under such an arrangement.

Emphasis on achieving numerical targets has led to compromises in quality, which is reported in terms of limited impact of one-day workshops and very little time spent on community processes under the village disaster management planning activity. The targets set for the skeletal teams at the District Level are very ambitious and human resources available are grossly inadequate. Support that comes from the government is not utilized to an optimal level due to lack of motivation, training and mandate allocation.

Sustainability of village level disaster committees and disaster management plans is uncertain due to the lack of commitment from local institutions to continue support beyond the period of the DRM Project. The committees formed through the process are still in a mindset of claiming constant resource flow for even small items that should ideally be procured from local budgets.

The programme has only recently completed the formulation of a graduation/ exit strategy, the utility of which will only become evident as the programme starts to wrap up. An initial study of the strategy reveals a focus on the assessment of achievements, institutional linkages and human resource implications. The strategy is promising because it does not take a "one size fits all" approach and takes a nuanced view of different states.

It is clear that the capacity built by the DRM programme at the level of the district administration is entirely centric to the UNVs posted to support the government machinery. This "temporary capacity" will lead to a vacuum once the DRM Programme comes to a conclusion and as expected the UNVs are withdrawn. With counterpart volunteer capacities still at a nascent stage and parallel government capacities either non-existent or insufficient, the human resource gap presents the greatest threat to UNDP's overall outcome under this practice area. The exit strategy does try to address this issue, but more in a 'suggestive' manner rather than as concrete steps. There is a 'verbal' understanding of sorts between UNDP and the state governments (including MHA) that the State Disaster Management Authorities and District Disaster Management Authorities will fill the void left by the Programme and its human resources, but even UNDP accepts in its own exit strategy that:

'It is not clear at this juncture on the structure and sources of the human resource availability at the disposal of the District DM Authority which would be a vital ingredient for its functioning.'

Being in an operationally supportive mode to the government, DRM structures face the risk of being made subservient to the government structure. The capacities built for risk management get diverted to administrative causes, making it further difficult to achieve the ambitious targets at sub-district level.

There is no significant and sustainable impact on long-term vulnerability reduction. The focus of activities seen at the district and sub-district levels has been on preparedness and not on mitigation.

The impact of the programme on political will at the local level has been minimal. The programme remains an externally administered one, and is even seen locally as a United Nations initiative. This restricts the potential of the programme to be seen as a locally owned and popular one. Even at the national level, the programme has yet to establish positive links with the NDMA, something that is critical in view of the eminent shift of responsibilities from the Ministry of Home Affairs to the NDMA as spelt out by the National Act.

Desirable impacts of training programmes have been hampered due to poor enforcement of legislation at local level. Engineers and masons have been trained, but complain that a majority of buildings still flout norms as they are constructed outside the legal framework. Enforcement of regulations and addressing the issue of illegitimate operators is still outside the scope of the programme.

Cross-cutting issues such as resource management, gender and disability are not addressed adequately. Similarly, commitments of bi-lateral and multi-lateral agencies have not been influenced in a significant way.

As part of the initial stages of UNDP's interventions in DRM in India no training mechanisms were in place for the practitioners, and the UNVs (and other practitioners) were deployed without adequate training. The opportunity to integrate the programme with NIDM and other national training initiatives could not be utilized due to the absence of training modules. However, corrective efforts to establish an orientation and training system were introduced in 2006, and this to a certain extent does show the flexibility of the programme but also questions why such flexibility was not extended to other aspects of the programme (for e.g. rethink after the DM Act).

UNDP India's DRM unit has seen the 'secondment' of senior civil servants right throughout its tenure. This has brought to the programme significant insights into the functioning of government structures at all levels as well as unique set of skills to lead the timely implementation of the programme. However, along the way, the programme has often been unable to influence policy in any significant manner. Given the scope and size of the programme, it could have played a much stronger advocacy role at the higher policy levels.

The establishment of the National Disaster Management Authority under the DM Act presents UNDP's DRM agenda with both a challenge and an opportunity. Despite the inability of UNDP to use the passing of the Act to fine tune its DRM efforts and use this legal backing to ensure 'better risk reduction' – as discussed earlier in this document – the DM Act and the power vested in the NDMA can allow for UNDP in the future to take substantial strides in introducing not only advocacy and awareness initiatives (which has been the bulk of the existing programme) but also 'cutting edge' risk reduction actions.

The challenge here, however, remains in the relationship between the Ministry of Home Affairs, NIDM and the NDMA. With the DRM Programme being implemented by the MHA and the NDMA having an independent mandate for risk reduction, it will be imperative that UNDP is able to bridge this gap to ensure that its work contributes towards a coordinated and cohesive national strategy for disaster management in India.

3.1.4 Summary

In summary, it is clear that in relation to the Intermediate Outcome 1, UNDP's contribution to the establishment of institutional mechanisms and policy/legislative

changes, as well as creation of knowledge resources may be considered as **minor to important**. In relation to Intermediate Outcome 2, UNDP's contribution to the building of local capacity at village and district level, and training of personnel, may be considered as **significant**, but questionable on the aspect of sustainability.

Outcome: Reduce vulnerability to natural and human-induced disasters through community preparedness							
	Indicators	Baseline (2003)	Status	Current (2007)	Status	UNDP Contribution	Other Factors
Intermediate Outcome 1: Institutional and legislative systems for disaster risk management (DRM) strengthened and DRM mainstreamed into key development sectors	Key legislative changes/new legislation	National Centre for Calamity Management & National Calamity Management Act proposed by High Powered Committee on Disaster Management, 2001		Disaster Management Act enacted in 2005; Several States have enacted State Disaster Management Acts.		No direct correlation between legislative changes at the national level and UNDP's programmes. However, the DRM programme created an atmosphere and provided additional capacities that may have contributed to the national level discourse on these issues.	Orissa & Gujarat experienced major disasters in 1999, 2001 India severely affected by 2004 Tsunami, leading to public outcry
	Focal Institutions set up	State Level Authorities were formed in Orissa & Gujarat. Uttaranchal formed a ministry No institution at national level existed. The High Powered Committee recommended formation of a National Emergency Management Authority		National Disaster Management Authority formed in 2005 State Level Authorities formed in several States IDRN set up		UNDP has had little role in setting up national or state level institutions. However, at the state level, UNDP has been supporting the capacity development of these institutions. The initial set up of IDRN was supported almost entirely by the DRM programme.	Major disasters over the last ten years have created a demand for greater emphasis on disaster issues. Work of the HPC had already done a lot of spadework, even if the final frameworks were at variance with what HPC suggested.
	DRM integrated in the work of selected sector ministries	<i>No Systematic Data Available, Only isolated examples of mainstreaming</i>		Introduction of disaster issues in school curriculum by CBSE Integration with rural housing schemes such as Indira Awas Yojana Integration with Jawahar Rojgar Yojana Initiatives by the HRD Ministry Overall, the initiatives remain rather fragmented		Concerted effort made by the DRM program in collaboration with CBSE and NCERT to integrate disaster related issues in school curriculum including writing of specific chapters for different grades. Higher level advocacy for the integration of disaster issues in other sectors as well.	High level of receptivity among institutions such as NCERT. Significant amount of technical resources devoted by them to make this happen.

Ranking Scale: **Significant, Important, Minor, None/Negative**

	Indicators	Baseline Status (2003)	Current Status (2007)	UNDP Contribution	Other Factors
Intermediate Outcome 2: Local level mechanisms – plans, resources and trained personnel – developed for enhancing disaster preparedness	Mechanisms such as disaster management committees set up at the district, taluk and village levels	Capacities at district level based on recovery experiences in select districts of Maharashtra, Orissa and Gujarat	District, taluk and village level committees have been set up in all the 17 states. Work is still in progress. However, sustainability of these structures beyond the DRM programme is a big question. Minor to Important	Concerted effort made by the DRM programme, especially through its UNVs to establish local level structures to deal with disaster issue. DRM efforts especially visible at the community level. Partnership established with NYKS, NSS, Civil Defence, Fire Services etc. Important to Significant	
	Financial allocations from regular budgets as well as legal and policy backing to ensure sustainability of local level structures	No systematic data available. Only sporadic examples.	This is highly uneven across states. States that have experienced major disasters in recent years have allocated resources from their own budgets. In other states, sustainability of local level structures such as disaster management committees is highly dependent upon support from the DRM programme. Minor to Important	UNDP contribution is very small in advocating for financial allocations and policy and legal back up to ensure sustainability of local capacities. Minor	Large scale disasters have created the necessary political will in some states. In addition, efforts of some state level institutions in some states (e.g. Uttaranchal) has led to steps towards ensuring sustainability.
	Level of awareness of disaster issues, particularly at the local level (community, village, taluk and district levels)	Disasters largely seen as one-off phenomenon in most States Pilot activities on enhancing community awareness in coastal districts of Andhra Pradesh and Orissa	Significantly enhanced awareness as evidenced in discussions with communities, civil society and local administration Significant	DRM Programme has made a significant contribution through public awareness campaigns, mock drills, use of the print and broadcast media etc. The process of disaster management plan preparation has also helped generate awareness Significant	State owned broadcast media, department of audio and visual publicity have made their resources available to aid the public awareness campaigns.

Ranking: Significant, Important, Minor, None/Negative

3.2 Energy and Environment

The outcome selected for this evaluation deals with global environmental issues such as biodiversity, ozone, desertification and climate change. As ozone depletion is captured by another outcome, and UNDP activities in the area of desertification/land degradation have been limited so far, the evaluation focuses on biodiversity and climate change as reflected in the intermediate outcomes. Moreover, the outcome consists of two parts: Capacity development and mainstreaming into development planning. For all outcomes, the baseline is 2003, the review point 2007, and the progress made has been ranked in a 4-tier scale (Significant, Important, Minor, None/Negative) for all indicators.

3.2.1 Outcome Analysis

Enhanced national capacity to implement the obligations of and benefit from the opportunities under CBD and UNFCCC/Kyoto Protocol.

3.2.1.1 National Biodiversity Strategy/Action Plan operational²

In 2003, India did have a policy framework on biodiversity, in the form of the 1999 National Policy and Macro-level Action Strategy on Biodiversity. As the name suggests this document was limited to broad guidance, and did not meet the requirements of the Biodiversity Convention. As a result, and with support from a GEF/UNDP Enabling Activity, a large-scale and intensive process was launched to develop a more detailed National Biodiversity Strategy and Action Plan. In 2003, consultations and drafting was all but complete, and not only was there a NBSAP but also a host of state and local strategies/action plans as well as various background studies.

Unfortunately, however, no agreement could be reached between MoEF and the consortium that managed the NBSAP process on the final version of the strategy and action plan. This disagreement could not be resolved, and eventually the final draft was published as a Technical Report, and MoEF proceeded to develop its own NBSAP. The latter process is almost complete, with a final draft in circulation among government authorities. The evaluation team did not have an opportunity to review the draft but there is some suggestion that it differs considerably from the Technical Report.

The contentious NBSAP development reflects the different approaches and priorities between MoEF and other stakeholders, particularly in civil society. While it is lamentable that no agreement was reached, India has made **important** progress in the review period towards a strategy and action plan. Although the NBSAP has not been approved yet and is thus far from operational, the extensive preparatory work has not only generated a wealth of data on the country's biological resources but has also gone a long way in identifying the main challenges and constraints. In addition, some of the sub-national BSAPs, developed as part of the original NBSAP process, have been implemented during the review period.

² In addition, India has submitted its 3rd report to the CBD Secretariat, and is now developing the 4th report.

3.2.1.2 *Inclusive in-situ conservation and sustainable use approaches adopted and implemented*

One of the cornerstones of the Biodiversity Convention is its emphasis on more inclusive conservation approaches through sustainable use of biological resources and access/benefit-sharing. India, of course, has a long history of participatory natural resource management – Joint Forest Management and Ecodevelopment – that predates the review period. Many observers suggest, however, that despite an adequate enabling legal and policy framework the main shortcoming has been in implementation. This can be attributed to a variety of reasons including capacity constraints on the part of conservation authorities as well as local stakeholders.

In the last few years, the inclusive paradigms have been further strengthened: The 2006 National Environment Policy, for example, stresses the need for equitable conservation outcomes, and the Tribal Act gives recognition to traditional resource uses of forest dwellers. Moreover, the National Biodiversity Authority and its state-level equivalents have taken a crucial role in ensuring access to and benefit-sharing from genetic resources. Nevertheless, despite these achievements, a large gap still exists between this enabling environment and its implementation on the ground. Biodiversity conservation is still primarily considered as wildlife and park management, and collaborative approaches remain the exception to the rule. Therefore, we would rank progress under this indicator as **minor**.

3.2.1.3 *Initial National Communication submitted*

The Initial National Communication (INC) was started in November 2001. The INC is a commitment under the UNFCCC. It was a critical step in presenting the scenario for a baseline assessment of the GHG inventory as at 1994. It was a national collaborative effort that mobilized the scientific community, policy makers and NGOs through the formation of 131 multidisciplinary teams, and coordinated by the Ministry of Environment and Forests.

2003 was a crucial year when the bulk of the consultations and the finalisation of the INC was done. The document was completed and submitted to the UNFCCC Secretariat in June 2004, as per the commitments articulated in Article 4.1 of the United Nations Framework Convention on Climate Change (UNFCCC) and the 10/CP.2 guidelines for non-Annex 1 Parties to the UNFCCC. The elaborate consultative process brought together central and state government agencies, research institutions, NGOs and industry through 27 training workshops and conferences at the national and sub-regional levels. It has been very well acknowledged that the process has not only helped build awareness, but also both human and institutional capacities in the various disciplines related to the preparation of the INC. The INC process has produced three key thematic reports and numerous papers. The main document itself has become an important reference document in India and outside, for ongoing work and dialogue on climate change issues. The INC also identified key gaps and constraints for sustained national communication activities, as well as for vulnerability assessment and adaptation.

Work on the Second National Communication has just been initiated and it is expected to further enhance national capacities, and in particular, address the gaps and constraints that were identified in the INC. Therefore, we would conclude that India has made **important** progress for this indicator during the review period.

3.2.1.4 Number of operational CDM projects

During the baseline year, the Government of India was already playing a lead role in the negotiations at the UNFCCC Conference of Parties in defining and shaping the modalities of the Clean Development Mechanism (CDM). India had hosted the Eighth Conference of Parties (COP8) in New Delhi in October 2002. In order to implement and take advantage of the opportunities presented, the Planning Commission constituted a Working Group in March 2003 to formulate an action plan for capacity building for CDM. The Cabinet approved the Report of the Working Group in December 2003, together with the first nine (9) CDM projects for India. Based on the recommendations of the Working Group, the Designated National Authority (DNA) was set up in end 2003.

The CDM Executive Board approved the first CDM project for India in 2004. By June 25, 2007, India had 250 projects approved by the Executive Board as compared to a global total of 713 (35.06%). India has the largest share among the 48 host countries (non-Annex 1 countries). These projects amount to 23 million expected annual certified emissions reductions (CERs) when fully operational, representing 15.13% of the total expected annual CERs. In addition, another 365 host country approved projects are in the pipeline, awaiting Executive Board review and approval. Since the bulk of the CDM projects approved by the Executive Board were only expected to become operational for delivery of CERs during the commitment period 2008 – 2012, we decided to take the “number of CDM projects approved by the CDM Executive Board” as sufficient representation of this indicator. As such, we conclude India has made **significant** progress under this indicator during the review period.

India has been rated and ranked number one by CDM investors, according to survey results of Point Carbon, since 2004. The survey rates countries on the basis of institutional conditions, investment climate, and project status and potential. India has a wide range of project types and a high number of knowledgeable players regarding CDM consultancy. However, the investment climate at the state level is still poor with a general lack of capacity and finance.

Biodiversity and climate change issues integrated in 10th/11th plans, sectoral policies and related budgetary frameworks.

3.2.1.5 National development programmes screened for biodiversity impacts.

Mainstreaming has been increasingly recognized as a critical component of successful environmental management in general, and biodiversity conservation in particular. It comes in various guises, and is often limited to vague references to the importance of “integration”, “holistic approaches” and “sustainability.” This has made it difficult to gauge the actual progress of mainstreaming efforts, and therefore this evaluation has selected a very concrete indicator.

There are primarily two avenues for mainstreaming biodiversity at the national development planning level. First, major programmes such as infrastructure could be subjected to strategic environment assessments (SEAs), which would – inter alia – examine the impacts on biological resources, including opportunities. Second, development planning is intricately interwoven with spatial planning, and the identification of and respect for critical ecosystems must be made part of any large-scale land use planning.

The evaluation team has found no evidence that any of these screening approaches have been systematically used in the review period. While there are incidences at the research or project level, neither the 10th Plan nor the preparatory documentation for the 11th Plan contain explicit provisions in this regard. There are, however, two important qualifications to this assessment. In general, the language and outlook of the 11th Plan has become less sectoral with several passages that highlight the importance of integration and coordination with other sectors. More specifically, the Environment Steering Committee report proposes a project on mainstreaming, which could be a significant breakthrough in terms of this outcome.

As a result, we consider progress under this indicator largely **minor** but with an **important** potential created recently in the context of the 11th Plan preparation.

3.2.1.6: State and district plans reflect biodiversity resources

As many responsibilities for biodiversity conservation lie with state and increasingly district authorities, any review of mainstreaming would be incomplete without a look at the sub-national level. The situation is largely a mirror image of the national level, with the added constraint of major capacity gaps. District planning is still in its infancy, and despite some examples of innovative and visionary planning in some states, there is little evidence that biodiversity considerations are mainstreamed in a systematic manner.

This status has changed little, with the exception of some isolated instances where particular aspects of biodiversity conservation have been integrated into state and district plans. These examples are provided in the NBSAP documentation, and it is most probably fair to say that they benefited from the momentum generated by that process, and will be difficult to sustain. Hence, only **minor** progress for this indicator.

3.2.1.7 Commitment level for climate change mitigation and adaptation activities, as reflected in national policies, plans and budget allocations

The following statement in the Planning Commission's Approach Paper to Mid-Term Appraisal of the Tenth Development Plan quite aptly describes the baseline in 2003:

"At a more general level, global climate change is an issue that has not been taken into account in the planning framework. The Tenth Plan does have a chapter on Disaster Management, but it may be necessary to go beyond the issues raised there".

No specific information was available on the baseline situation at that time. There was little mainstreaming evident in planning documents, nor in national policy documents. Local pollution abatement, energy access for the poor and the unserved, and energy security concerns were the primary motivations for the promotion of renewable energy and energy efficiency initiatives and programmes. The mandates of the Ministry of New and Renewable Energy (then, Ministry of Non-conventional Energy Sources) and the Bureau of Energy Efficiency, established through the Energy Conservation Act, 2001, were aligned to these motivations.

The global prevalence of the climate change issues/debate and the impending negotiations under the UNFCCC for the next commitment period (beyond 2012), with the prospect of possible "pressure" from Annex 1 countries for binding commitments, have raised the political profile of the climate change debate in India. There is increasing political positioning of what India expects of the forthcoming COP negotiations. As a

result, there is a general reluctance to explicitly make policy statements on large scale mitigation measures.

The Approach Paper to the Eleventh Plan (2007 – 2012) makes explicit statement on the challenge climate change poses to society and the need for the development strategy to be sensitive to the concerns and possible threats. However, it stops short of providing strategies to address the problem. Following the announcement of a climate change committee by the Minister of Finance in his Union Budget 2007 – 08 Speech, a committee of scientific experts has been set up by the Ministry of Environment and Forests in May 2007, chaired by the Principal Scientific Adviser to the Government. However, a criticism has been that this committee may turn out to be a “purely scientific panel”.

The National Environment Policy (2006) states the potential impact of climate change ecosystems leading to possible disruptions of livelihoods, economic activity and human health. But, while it proposes to “assess” the need for adaptation to future climate change and the scope for incorporating these in relevant programmes, it appears to leave much to the international community for “action”. The Integrated Energy Policy (2006), too, makes similar statements on climate change and emphasizes the need to be compensated for additional costs that will be incurred to contain its greenhouse gases (GHG) emissions.

Therefore, we consider progress under this indicator as **minor to important**, on the basis of the express recognition of potential impacts and need for action in the Eleventh Plan Approach Paper and recent policy documents.

3.2.2 Output Analysis

3.2.2.1 Biodiversity

Portfolio

UNDP India’s biodiversity portfolio under the 2003-07 Country Programme is a diverse mix of GEF-funded Enabling Activities, and site-specific projects of varying scale in different states and ecosystems. There is no common denominator to these interventions, and they are largely the result of an opportunistic outlook to project development. As a result, transaction costs have been high, and together with flagrant ownership issues, serious delays (and cancellations) have hampered the portfolio’s effectiveness and impact.

NBSAP

This GEF Enabling Activity predates the current CP but due to the controversies in its later stage it became a major preoccupation in the review period. Some of the pertinent issues have been addressed earlier in the outcome analysis but from the vantage point of UNDP two issues deserve mentioning. First, UNDP’s support made it possible to design and implement an exemplary process of consultations and planning that brought together all the major players. At the same time, however, UNDP failed to effectively address the contentious issues that emerged, leaving a blemish on its reputation as “neutral broker.” In short, a missed opportunity.

Mannar

This large GEF-funded project to protect the Gulf of Mannar's fragile coastal ecosystems has suffered from significant design weaknesses and a dismal management experience in its early phase, all of which led to serious delays in its implementation. As a result, it has only been up and running for a year and a half, and it is difficult to ascertain the scope and impact of results. A Mid-Term Review is currently being planned, and will shed more light on the achievements so far. One of the key features of the project is the Biosphere Reserve Trust whose objective is to provide a platform for the inter-sectoral coordination and development of the Biosphere Reserve. The experiences with the Mannar Trust, which has been formally established and has begun to operate, could be instrumental in integrating conservation with regional development.

Sunderbans

This small core-funded project is a typical Integrated Conservation-Development Project (ICDP) that aims to reconcile biodiversity and development objectives through an alternative livelihood approach. The main results of this project have been village-level livelihood interventions, whereas the component to develop a strategic plan for the area has not been accomplished. Thus, the impact of this intervention remains very limited, and it is unlikely that the fairly conventional approach will elevate it to a major demonstration project. Government partners, including the State Forest Department, have, however, acknowledged the importance of UNDP's support, as it allowed them to go beyond the rather rigid planning and implementation frameworks of central and state-sponsored schemes. They also highlighted the impact on village livelihoods and efforts to replicate the achievements.

NCSA

The National Capacity Self Assessment is another Enabling Activity that UNDP has implemented in many countries. The main purpose of the project is to "identify country-level priorities for capacity building in addressing global environmental issues (in particular biological diversity, climate change and land degradation) in an integrated manner." Like most other projects the NCSA suffered from delays – the project document was signed in 2003 -, and only recently the thematic reports were finalized. The one on biodiversity is a very comprehensive and useful document, which provides a good overview of the different capacity constraints and underlying root causes, followed by a set of priority actions. This assessment should go a long way in assisting MoEF and its partners in developing a set of capacity development interventions.

Soft Assistance

No evidence has been provided to the evaluation team that any non-project activities have been conducted by the CO. Presumably there has been some form of informal policy and technical dialogue with MoEF and other relevant actors but no major conferences, reports or similar results have accompanied or emerged from the project portfolio. This is not surprising in light of the preoccupation with implementation support but also a major shortcoming given UNDP's role as a main external partner on biodiversity issues.

3.2.2.2 Climate Change

Portfolio

UNDP India's climate change portfolio under the 2003-07 Country programme is also a mix of GEF-funded Enabling Activities, industry/state specific projects and a TRAC-funded targeted project on CDM at the state level. As a number of these projects were initiated well before the review period, they are largely the result of a pro-active and opportunistic outlook to project development. As a result, transaction costs have been high, and together with flagrant ownership issues, serious delays have hampered the portfolio's effectiveness and impact.

INC/SNC

UNDP's main vehicle for this particular component of fulfilling India's obligations on the climate change agenda is the support to the preparation of India's National Communications to UNFCCC. The Initial National Communication (INC) was submitted to UNFCCC on 16 June 2004. The project conceptualization (PDF-B) for the Second National Communication has been completed and the project has just been initiated.

The preparation of the INC was a huge task as it provided the vital support for institutional mechanisms building, agency and research coordination, public awareness, training, and capacity building. The project played a vital role in setting the groundwork for building human and institutional capacities. The broad-based participatory approach adopted by the project brought together more than 130 agencies, including government ministries and departments, research institutions and universities, autonomous institutions and non-governmental organizations, the media and the private sector. Capacity building for the continual research, assessment and reporting was an important goal. The project led to the creation of a data centre. However, more work is necessary to transform it into a reference repository centre of greenhouse gas inventory. The climate change action plan that was produced is also in need of follow-up. As a result, one of the critical enabling activities identified to be undertaken for the preparation of the Second National Communication (SNC) is the strengthening of professional and institutional capacities to meet the rigorous reporting requirements of the UNFCCC.

As stated by the STAP Reviewer of India's SNC proposal, "...*(this) is a...comprehensive project, which tries to overcome many technical, scientific, financial, and policy-related capacity constraints identified in its Initial National Communication (INC). The project proposal conceives the SNC mainly as a part of the (UNDP) Country Programme thematic focus for building national capacities to meet international commitments and to contribute to the mainstreaming of global environmental concerns into national development planning.*"

CDM

Given the pro-active role played by the Planning Commission and the Ministry of Forests and Environment (MoEF), followed by the quick buy-in by the industry, India has emerged a leading country in the CDM. UNDP has contributed to strengthening the CDM Cell at MoEF through "technical experts" support who are able to provide direct "soft assistance". It is said that India's extensive experience with Activities Implemented Jointly (AIJ) and the Global Environment Facility (GEF) projects helped India take this early lead (IGES, 2007). UNDP holds the largest portfolio of GEF projects in India. The current portfolio of ongoing and pipeline projects alone total US\$82,829,448.

More specifically, UNDP's interest and niche is in providing support to the CDM where it can contribute towards rural development and poverty reduction – an area that is still not attractive to the private sector. With this interest and recognizing the relatively poor investment climate remains at the state level, UNDP India provided support to five Indian state development nodal agencies for establishing state level CDM cells, capacity building and developing small scale CDM projects, through the TRAC-funded CDM Capacity Development Project. These States are Andhra Pradesh, Karnataka, Maharashtra, Punjab and Rajasthan. The project adopted a “learning-by-doing” approach, to promote the human, institutional and system-wide capacity building for identifying and developing CDM projects. The nodal agency is expected to work with other state level agencies, research institutions and other stakeholders to identify 3 CDM concepts that are developed into Project Concept Notes (PCNs) and Project Design Documents (PDDs).

The project has now moved to Phase 2 where support is provided to another 12 State agencies (Arunachal Pradesh, Chhatisgarh, Goa, Gujarat, Himachal Pradesh, Jharkhand, Madhya Pradesh, Orissa, Tamil Nadu, Uttar Pradesh, Uttaranchal and West Bengal).

Though the primary aim of the project is to help State nodal agencies set up their CDM cell and develop PDDs/PCNs, none of the PDDs have progressed any further for host country approval by the Designated National Authority (DNA) at MoEF.

Coal Bed Methane

The CBM Project started in mid 1999 and is scheduled to end in December 2007. The project's primary aim is to demonstrate the commercial feasibility of recovering and utilizing methane recovered from coal strata, before, during and after coal mining. Coal is India's dominant primary commercial energy, and will continue to remain so in the future. India is the third largest producer of coal, after China and the USA. And, coal production is projected to increase by 60% during the Eleventh Plan period (2007 – 2012). The Approach Paper for the Eleventh Plan explicitly states that “coal bed methane must be fully exploited”.

Hence, this project remains relevant to India's policy on energy security and sustainability. Its objectives, to control GHG emissions by demonstrating economic viability of harnessing coal bed methane and building local technical capabilities, remains valid. During discussions with key stakeholders, it was evident while everyone was fully aware of the global environmental benefits of coal bed methane capture and utilization, foremost in their mind was that this project will support efforts to expand coal mining as more potential coal mines will ultimately meet safety regulations to be mined (once coal bed methane is extracted).

The project has build local capacity of institutions like Central Mining Research Institute (CMRI) and Central Mine Planning and Design Institute (CMPDI) in coal testing for methane prediction, estimation and reservoir modeling. Unfortunately, this project has seen long delays and seems to have only made satisfactory progress in one of its four objectives (that is, to strengthen and increase local capacity of key organizations). And, the project is due for completion later this year. Implementation issues like initial delays in project initiation, long delays in procurement of demo equipments, and underestimation of real project costs leading to inability to procure spare parts promptly are some of the reasons for the project not being able to meet its objectives. The Mid-Term Review of the Tenth Plan had reported the project has “not been progressing satisfactorily” and this remains so now.

BERI

The BERI Project started in mid 2001 and is scheduled to end in late 2007. The project's aim is to develop and implement bio-energy technology packages to reduce GHG emissions and to promote a sustainable and participatory approach to meeting rural energy needs. The project is being implemented in 24 villages of Tumkur District in Karnataka State, with replication nationally. The project is relevant to upstream policy influence as it aims to demonstrate both technologies and approaches to link global environmental issues and national development challenges, particularly in providing access to modern energy services for the poor.

It has influenced state power sector policy reform to allow power purchase from communities. The project harnesses local action at the community level to produce clean energy from locally available renewable resources to provide for local (rural) energy services and for sale (of electricity) to the state grid for income generation – thus, enhancing the paying capacity of rural communities. This project has been successful in community mobilisation and actively supported women's participation, including promoting women's enterprises in biomass production. This project is also very much in line with UNDP's development objectives of linking human development and environmental sustainability.

Steel Rerolling

The SRRM Project started in mid 2004 and is scheduled to end in December 2009. The project's primary aim is to seek GHG emissions reduction by providing technical assistance to small and medium-sized steel rerolling mills that enable them to adopt more energy efficient and environment friendly technologies. The steel industry in India is a high growth sector and the steel rerolling mills are an end-of-supply-chain sector of the industry. The project is highly relevant as it targets principally an SME sector, with more than 75% in the small scale. This sub-sector employs about 500,000 people and provides 64.9% (in 2005-2006) of the finished steel demand in the country. It is characterised by outdated technologies and practices, low levels of awareness, information and engineering base, and a lack of experience in accessing external funds.

The project has been in implementation for slightly more than two years. Though it is still too early to assess impact, progress appears slow. Quick decisions and action are critical to overcome key issues that the PMC has raised through the Project Steering Committee. A mid-term valuation to provide an objective assessment of the issues and provide guidance for adaptive management of the project, will be helpful. Baseline information of the sub-sector is yet to be fully collected. The cluster mapping contract was just awarded in April 2007. While the M&E Manual has been prepared but yet to be discussed with the industry. Some of the project component activities have yet to be initiated – like the benchmark guidelines.

NCSA

As stated earlier, the National Capacity Self Assessment is an Enabling Activity that UNDP implemented and the main purpose of the project is to "identify country-level priorities for capacity building in addressing global environmental issues in an integrated manner." As the case with the biodiversity component, the thematic report on climate change too is a very comprehensive and useful document, which provides a good overview of the different capacity constraints and underlying root causes, followed by a set of priority actions. This assessment should go a long way in assisting MoEF in developing a set of capacity development interventions.

Soft Assistance

No evidence has been provided to the evaluation team that any non-project activities have been conducted by the CO, other than the technical support provided to the GEF Cell and the CDM Cell. Presumably, there has been some form of informal policy and technical dialogue with MoEF and other relevant actors but no major conferences, reports or similar results have accompanied or emerged from the project portfolio.

3.2.3 Outcome-Output Linkages

It is always difficult to attribute with confidence particular outcomes to specific activities and interventions. As many other actors and factors are involved, and processes and pathways are often non-linear and not transparent, drawing the connections is often more art than science. Nevertheless, based on textual analysis and expert opinions it is possible to establish certain trends and rank contributions according to a simple qualitative scale. Attribution is, however, only the first step, as the manner outcomes were achieved is often more revealing. The following sections will thus examine the contributions of UNDP's outputs to the outcomes in the context of the standard evaluation criteria and against the backdrop of corporate drivers, other players and external factors.

3.2.3.1 Biodiversity

As noted, UNDP's biodiversity portfolio represents a mix of enabling activities and site-specific projects, funded from GEF and TRAC. In the review period, substantial delays affected both categories, and tangible results are therefore limited. Despite these shortcomings, both UNDP's support for the NBSAP and the NCSA must be considered important contributions, as they have helped the GoI and other stakeholders to establish a much needed enabling environment for biodiversity conservation. As such, they proved to be very relevant and in line with one of the key drivers (Enabling Policy Environment).

This can not be said for the Mannar and Sunderbans projects, as there is little evidence so far that these projects have had more than a minor impact in relation to the outcome indicator on inclusive conservation approaches. Mannar has the potential of successfully piloting the Biosphere Reserve Trust as an inclusive governance institution, but at this point in time the jury is still out whether this experiment will bear fruit.

With the exception of the Medicinal Plants projects, the portfolio did not focus on mainstreaming, and it was only through the NBSAP process that this agenda was highlighted. This might have influenced some of the thinking that went into the preparation of the 11th Plan but attribution here is very difficult.

From the preceding paragraphs it is evident that some of these contributions came at a high price in terms of effectiveness and efficiency. While the evaluation did not undertake a detailed financial review, rough delivery figures show a dismal picture. Even where there is some lasting impact, serious questions of national ownership and sustainability arise. Despite recent improvements, the nature of the relationship with MoEF has often been contentious, if not outright acrimonious. Partnerships – another key driver – were mostly the exception to the rule. Last but not least, there is no evidence that the biodiversity portfolio was guided by a gender strategy or similar mainstreaming framework, leaving it up to individual projects and interventions to work

towards gender equity. This has happened at the micro-level in Sunderbans and Mannar but can not be considered a substitute for a comprehensive gender approach.³

These findings are a particular setback, as UNDP - due largely to its long-standing involvement in conservation in India - is one of the key partners to the Gol in this sector. There is thus a lot of potential and little competition with the exception of the World Bank (Ecodevelopment, BCRLI). These favourable conditions leave a lot of room for valuable contributions, particularly with regard to capacity development and mainstreaming, two of the key challenges.

3.2.3.2 Climate Change

The portfolio of climate change projects implemented by UNDP are relevant to the outcome, both in terms of capacity building and providing support of mainstreaming into national development plans and policies. The CDM project has rightly identified a niche area that is, building capacities at the state level to benefit from the potential benefits of CDM. This is an area that is considered the weakest and difficult. The BERI project, too, targets support at the state level as a pilot before it can be replicated nation-wide. Both the BERI Project and the CDM Project have high poverty focus and are consistent with UNDP's goals of targeting poverty reduction. The CBM Projects works with an industry (coal) that is high growth and coal will continue to be the dominant primary commercial energy for India even in the longer term, according to current policy and projections. The SRRM Project works in a sub-sector that is most difficult and not attractive to many other development partners, but again, a high growth sector and a sector that is dominated by SMEs characterised by low capacities. The support to INC/SNC are very relevant and critical as these are part of India's obligations to UNFCCC and provide opportunities for translating the adaptation and mitigation recommendations into actionable plans and policies.

Unfortunately, similar to the biodiversity portfolio, most projects have taken longer than originally planned. The CBM Project, after almost 8 years, is still short of all its objectives/targets but one. The Project has faced numerous implementation problems and a general lack of quick decisions. The BERI Project too has seen delays and both projects have not put in place an institutional mechanism that will ensure the programme will be sustained beyond the project life and, hence there are doubts if the critical initiatives will be replicated elsewhere when the project is operationally closed. Follow-up of to the analysis of key gaps and constraints identified in the INC is still lacking, and it is hoped the SNC will institute a mechanism for appropriate follow-up by the country. Components and sub-components of projects need to be implemented simultaneously or following a critical path approach so that they can converge at important points for effectiveness and impact. A greater focus on coordination, monitoring and sharing of lessons learnt across projects will be helpful for the current portfolio and future projects. This would also help to improve the portfolio's efficiency and impact.

In terms of key drivers, capacity development is the cross-cutting theme across the entire climate change portfolio and UNDP has not failed in providing adequate focus to

³ This finding does not contradict the CO comment: *It is inaccurate to say that BD as a portfolio has no gender sensitive and equity agenda. MYFF target 3.1 reflects some of the equity issues to be addressed All major projects which were initiated and are still operational such as Gulf of Mannar, Medicinal plants and Sunderbans have addressed issues on gender sensitivity and equity. The other projects such as NBSAP and Renewable Energy for Rural Livelihood do address the above issues too.*

this particular driver. As far as gender equity is concerned, only the BERI project, being community-based, has a gender focus. It has mobilised the active participation of women and targets specific needs of women and family in the interventions being designed.

Regarding partners and other actors, the World Bank, ADB and bilateral partners like GTZ, DFID and USAID have been active but their contribution towards the outcome being evaluated has been limited, in terms of building national capacity to implement obligations under UNFCCC and mainstreaming climate change issues in development plans and policies. However, GTZ has played an important role as an early mover to providing critical support to the work of the Planning Commission and MoEF is institutionalising an effective national framework that promotes CDM investments.

The coordinating and leadership role played by MoEF in the preparation of the INC was critical for India to have completed and submitted the document to UNFCCC. It has also played a key role in mobilising and strengthening national expertise to contribute to the negotiation process at the global level. Both the Planning Commission and MoEF have played a critical role in putting in place a framework and mechanism that has promoted active private sector participation in the design and development of CDM projects, making India the number one country from the investors' perspective. Of course, India has the largest number of CDM projects approved by the UNFCCC/ CDM Executive Board.

3.2.4 Summary

Overall, India's progress in achieving the outcomes of capacity development for and mainstreaming of global environmental issues is mixed, depending on the indicators examined. Results range from significant in the area of CDM to minor for most benchmarks of mainstreaming. These findings are not surprising as the country has become an important player in international environmental politics and diplomacy, and capacities have been gradually enhanced. At the same time, the preoccupation with economic development and social inclusion has relegated environmental concerns to sectoral approaches. There are, however, signs on the horizon that this growth is taking an increasing toll in terms of sustainable development, and progress on mainstreaming seems imminent.

UNDP's main contribution to the outcomes is the support for various enabling activities such as NCSA, NBSAP and INC/SNC, which show a clear and direct pathway at the strategic and policy level. Even those interventions suffered from a host of delays and other implementation woes, often jeopardizing their impact and sustainability.

Outcome: National capacity built to contribute to global environmental agenda setting; and global environmental concerns mainstreamed in national development planning.					
	Indicators	Baseline (2003)	Current Status (2007)	UNDP Contribution	Partners/Other Drivers
Intermediate Outcome 1: Enhanced national capacity to implement the obligations of and benefit from the opportunities under CBD and UNFCCC/Kyoto Protocol.	National Biodiversity Strategy/Action Plan operational.	1999 Macrolevel Strategy NBSAP preparations almost complete	<i>Technical Report</i> Gol Draft Final Version of NBSAP Implementation of sub-national BSAPs IMPORTANT Achievement	NBSAP Enabling Activity IMPORTANT contribution but also missed opportunity as neutral broker Little policy/strategic impact from other GEF BD projects	Civil Society and Academia important drivers "Clash of Cultures"
	Inclusive in-situ conservation and sustainable use approaches adopted and implemented.	Participatory conservation and sustainable use principles reflected in laws and policies but inadequately implemented.	National Environment Policy (2006) and Tribal Act enhance existing provisions. National Biodiversity Authority MINOR	NBSAP participatory process Mannar and Sunderbans promote ICDP approach MINOR	Joint Forest Management Ecodevelopment Project major benchmark Training/outlook of forest/wildlife cadres hamper full-fledged implementation.
	Initial National Communication submitted.	INC in preparation (Started in 2001)	INC submitted in 2004; (GHG inventory – 1994 baseline established); A key reference document; 3 thematic Reports produced; 2 nd NC initiated IMPORTANT	UNDP/GEF project National consultative effort, built human and institutional capacities. IMPORTANT	Broad participatory approach used; 131 Multi-disciplinary teams/ 350 scientists
	Number of operational CDM projects.	None (DNA set-up in 2003) GoI already playing lead role in UNFCCC negotiations	250 registered (35% of global total)= 23Mill. CER p.a. Another 365 DNA approved projects in pipeline. SIGNIFICANT	CDM Cell support CDM Cap Building project for state level agencies MINOR/IMPORTANT	Strong National Ownership, Planning Commission WG 2003; Private sector in the lead; GTZ – early mover; ADB

	Indicators	Baseline (2003)	Current Status (2007)	UNDP Contribution	Partners/Other Drivers
Intermediate Outcome 2: Biodiversity and climate change issues integrated in 10 th /11 th Plans, sectoral policies and related budgetary frameworks.	National development programmes screened for biodiversity impacts.	EIA for projects; no systematic BD assessment; No Strategic Environment Assessment (SEA)	Do, but 11 th Plan puts emphasis on mainstreaming; less sectoral MINOR/IMPORTANT Progress	NBSAP process and outputs highlighted mainstreaming agenda Medicinal Plants promotes health sector integration MINOR overall contribution at national level	Minor contributions by IFIs and DFID Civil Society and judicial activism
	State and district plans reflect biodiversity resources.	Little to no evidence of integrated approach. District planning in infancy; institutional constraints.	Isolated incidences of integration at state and district level. MINOR	NBSAP provided guidance on decentralized integration of planning and BD concerns Potential of Mannar. MINOR	Limited capacities at local level.
	Commitment level for climate change mitigation and adaptation activities, as reflected in national plans, policies and budget allocations.	Local pollution abatement, energy access for the unserved, energy security – primary motivations for the promotion of RE and EE&C. Mandates of MNRE (MNES) and BEE (Energy Conservation Act, 2001) aligned to these.	11 th Plan Approach Paper: Acknowledges the threat of CC and recommends initiatives to reduce GHG intensity of the economy. National Expert Committee on CC formed May 2007. National Environment Policy, 2006 Integrated Energy Policy, 2006 MINOR/IMPORTANT	Total GEF(Hard pipeline/ implementation phase): USD45.4 million. Potential but implementation problems Aims to link access and mitigation through livelihood development, Core: USD3.66 million. MINOR/IMPORTANT	GTZ, USAID WB?? "Monetising Mitigation Opportunities" – because GHG abatement has its economic costs.

Ranking: Significant, Important, Minor, None/Negative

4. Findings and Lessons

4.1. DRM

The intensity and frequency of natural disasters have clearly shown a marked increase in the region during the last ten years. The rapid economic development in the country has further exacerbated the impacts. All this has necessitated a change in approach with the spectrum of intervention being broadened to include disaster preparedness (and not just response) and intensified to make communities at risk direct partners.

The DRM programme, initiated by UNDP under its Country Programme 2003-07, has done well to address the changing demands of the situation in the country. The DRM programme complies well with the core issues of human development, identified in the Country Programme, such as the regional and interstate disparities, need for proactive measures to tackle the situation of vulnerable and disadvantaged groups, the pressure on environmental resources, and the need for building capacity to support decentralization.

Vulnerability to natural and human-induced disasters, however, cannot be achieved in a short span of five years. It requires long term investment, policy and institutional changes that can develop a culture of prevention and sustained initiatives such as DRM.

In effect, the "disaster preparedness" focus of the DRM programme has made a part contribution in the overall goal for vulnerability reduction. It has helped establish mechanisms at national, state and local level.

The direct positive outcome is evident in the way districts and states have been able to manage small and medium disasters (especially flood and fire disasters). Local mechanisms such as plans, resources and trained personnel were effectively used during such situations. At National Level the arrangement with the Ministry of Home Affairs in the execution of the programme has helped qualitative inputs in the content of the DM Act as well as other policies and programmes of the national government.

To be able to see lasting change in the overall vulnerability scenario in the country, the mechanisms built at local level have to find roots in existing institutional structures. As of now, such mechanisms appear temporary. The national leadership of UNDP clearly needs to step up its efforts to integrate with other National Programmes, including UN, government and civil society programmes, as well as with institutions, especially national civil society organizations that have similar parallel connections with the community. The DRM approach needs to broaden its scope further to focus on mitigation, and not just preparedness and response. This will ensure vulnerability reduction in a deeper sense, and will orient the programme strongly towards carrying out the UNDP's global mandate to establish 'partnerships to fight poverty' in the country.

During the evaluation it did emerge that UNDP's interventions in DRM were somewhat slowed down by the lack of a strategic planning unit or 'think tank'. This was explicitly emphasized by the donors and hinted at by the practitioners and stakeholders on the ground. Any future DRM interventions by UNDP in India should look to establish such a body which would provide strategic guidance and foresight to the initiatives and also be in a position to adapt the initiatives based on the developing scenario in the country.

4.2 E&E

The E&E programme is very different from the DRM portfolio, and so are its results and impacts. On the positive side, issues such as biodiversity, water and land are critical for India's sustainability and therefore the portfolio is highly relevant. The inclusive approaches and the emphasis on capacity development are also well in line with UNDP's comparative advantage and role as GEF Implementing Agency. Moreover, the portfolio is quite advanced in terms of integrating poverty and environment challenges, despite some duplication of efforts, particularly in the area of community mobilization.

Unfortunately, many of these strengths have been diluted by the lack of an explicit programme strategy, which has made the programme largely a supply-driven, opportunistic collection of projects. This situation has been aggravated by the absence of cohesive policy and knowledge management dimensions. The fragmentation into numerous site-specific initiatives with high transaction costs of implementation support has resulted in lots of activities but limited impact.

Even where there were significant linkages between programme components (eg. Medicinal Plants), they could hardly ever be exploited in a meaningful manner. Not surprisingly, the transaction-heavy project approach often ran into severe delays in approvals and implementation due to communication problems, lack of government interest/ownership and organizational issues in the CO.

There has also been a high turn-over of professionals, which – together with the other ailments – did not help to make UNDP SEED a logical or desirable partner. It is thus not surprising that most projects in E&E, unlike the DRM programme, were rather isolated initiatives with little co-financing or other forms of partnerships.

Last but not least, a detailed assessment of the programme has been made exceedingly difficult given the lack of robust and systematic monitoring and evaluation. Undoubtedly, many projects have made significant achievements and have generated important lessons, but they remain mostly buried under layers of activity and output-oriented implementation approaches.

5. Recommendations

5.1 General

Consolidation of current portfolio: This suggestion targets primarily E&E, and requires a conscious decision to forego any new project proposals that do not fit programme priorities or UNDP's comparative advantage. As fragmentation is the single-most culprit for the sub-optimal impact of the current portfolio, the streamlining of projects must be the cornerstone of the new programme.

Shift focus to upstream policy work: In a country like India where UNDP's resources are only a drop in the ocean, and development actors are plentiful, very little is gained through extensive community work except for sharply focused pilot or demonstration projects. The emphasis has to shift instead to policy-directed interventions, primarily at state level, where impact is higher.

Integrate and expand knowledge management: Building on the positive experiences with Solution Exchange, SEED and DRM should upscale their knowledge work and make it an integral if not dominant element in the new Country Programme through a catalogue of advisory services. These could include one or two hosted communities of practice in the priority programme areas.

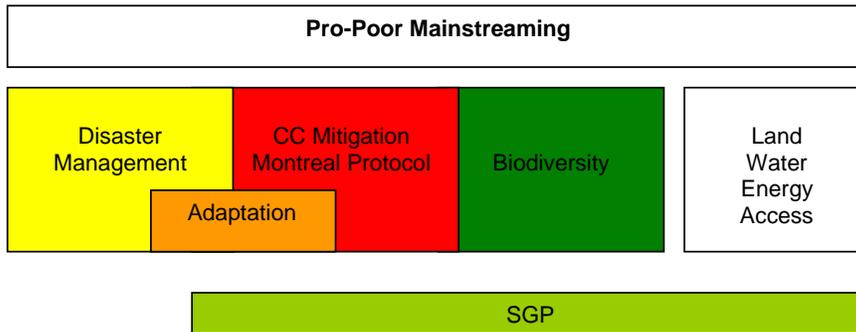
Increase visibility: The dilution of achievements due to the fragmented portfolio and the implementation support has to be countered through a couple of soft assistance flagships (conferences, reports) as key ingredients of the new programme priorities. Each one of the programme years could have one "theme" that would inform the focus and scope of these activities.

New partnerships: In the dynamic new landscape of development actors, the CO needs to reach beyond the "usual suspects" and engage with other sectors and emerging new stakeholders (incl. private sector) through a mainstreaming focus. Such a diversification approach is also good risk management as it helps to overcome bottlenecks in particular partnerships through new opportunities with other stakeholders.

5.2 Programme

Architecture

The areas of intervention for SEED are largely determined by GoI needs and priorities, UNDP's mandate and comparative advantage, and the availability of and access to financial and human resources. The evaluation team sees three main clusters: DRM; Energy/CC Mitigation and Ozone (Montreal Protocol); and Biodiversity. The emerging adaptation agenda is typically cross-cutting but could initially be dealt with as a joint venture between SEED and DRM. Land, water and energy access issues fit best in the poverty cluster and its livelihood approach. The GEF SGP should continue to complement the larger-scale interventions in these clusters through a piloting, demonstration and replication approach. Last but not least, an upstream "chapeau" on the poverty-environment nexus could provide policy guidance to programmes and projects, and translate their results and constraints into high-level advisory services. The following diagram sketches the proposed architecture:



Components

I. Pro-Poor Mainstreaming

As the portfolio has been plagued by fragmentation and lack of policy focus, particularly in E&E, it will be necessary to identify one overarching programmatic theme for the next cycle. This will not only help to bring about more coherence and cohesion but is also essential in terms of UNDP's strategic positioning and visibility.

It is suggested to adopt pro-poor mainstreaming as the theme, and to develop a TRAC-funded joint mainstreaming project with an emphasis on policy dialogue and advisory services. Such a project could encompass the integration of DRM and environmental issues in national development planning, budgetary processes and select sectors. In line with the overall emphasis on sub-national interventions, this project would be working with a select number of priority states and districts. A knowledge management component in the form of a Community of Practice or similar arrangement should be integral part of the project.

Such a project could be anchored in the poverty cluster, as the latter typically has better contacts and entry points with the relevant government actors such as planning and finance departments and line ministries. Operational arrangements for the management and supervision of such a project should be task-force driven to ensure broad-based participation and cross-fertilisation

II. Disaster Management

The programme recommendations for DRM can be divided into three strategic areas: Institutionalization of the DRM Programme; Shift from preparedness to risk management; and building synergies within UNDP.

Institutionalizing the gains of the DRM programme

The DRM programme has made significant contributions in enhancing preparedness for response at the local level. However, it still hinges on the capacity that has been placed by the programme at the local level. There is a need to institutionalize the gains of the DRM programme at the village, block, taluk, district and state levels. This can be pursued in three main ways:

- a. *Build on the opportunities created by the National Disaster Management Act*
In the DRM states, this will require building linkages with the District and State Disaster Management Authorities (DDMA & SDMA) and institutionalizing some of the current functions of the DRM programme within these emerging institutional structures.
- b. *Learn from the successes and failures of DRM and contribute to a national coverage*
There is a need to expand the response preparedness type activities that the DRM programme promoted to all the states and districts of the country. The Working group on Disaster Management for the eleventh Five Year Plan has already made similar recommendations. There is an opportunity for UNDP to engage with the government at a higher level and assist in shaping such a programme that draws upon the experience of the DRM programme.
- c. *Build partnerships to develop/generate sustainable capacities at all levels*
The implementation of the provisions of the National Disaster Management Act will create demand for capacities on different aspects of DRM at all levels. There is an opportunity for UNDP to identify key niche areas and build partnerships with a few national and state level institutions for building capacities in those areas. For example, UNDP could work with NIDM in delivering sustained training and mentoring support to professionals who will be engaged in disaster risk assessments at the local level.

Move beyond enhancing preparedness to managing disaster risks

- a. *At the local level explore specific opportunities for expanding response preparedness to risk management*
The current DRM programme has focused primarily on enhancing preparedness for post-disaster response at the local level. The programme has created multi-stakeholder programmes at the local level that can now be used to also focus on risk reduction actions.
- b. *As the government begins to develop guidelines for disaster risk reduction, begin to pilot its implementation at different levels, capture lessons and inform policy making at the state and national levels*
As the provisions of the National Disaster Management Act are implemented, the National Disaster Management Authority will begin to issue guidelines, methodologies and toolkits for application at the state and district levels. However, capacities at the local level are very limited. There are opportunities for UNDP to work with NDMA in implementing the provisions of the Act in DRM states and districts.
- c. *Promote evidence based disaster risk management decision-making: assist in building capacities for undertaking disaster risk assessment at various levels*
As the Planning Commission of India establishes a disaster mitigation fund, there will be a need for sound risk assessments to form a basis for allocations. There is currently a dearth of capacities to undertake such assessments. UNDP can assist in building capacities for such risk assessments and in piloting the risk assessments in select locations.

Build synergies with other UNDP programmes, particularly with the practice areas of governance and environment

a. Integration with governance issues

Good governance is at the heart of effective disaster risk management. Yet, in the past the DRM programme has not capitalized on UNDP's internal capacities in this area. Within the context of Urban Disaster Risk Reduction, there is an opportunity to forge linkages with the ongoing programme on capacity building for decentralized urban governance which currently works on 16 class-I cities. The key aspects of the urban governance programmes such as gender-centric planning, equity, transparency and accountability are as much a pre-requisite for disaster risk reduction as they are for sustainable development. Similarly, under the rural decentralization programme, capacity building of Panchayati Raj Institutions could easily include disaster risk management issues.

b. Integration with environmental issues

There are at least two programme areas in the environment sector where linkages can be established: Coastal biodiversity projects; and Adaptation to climate change

c. Integration with Human Development Indices

III. Adaptation

As the discussion on adaptation to climate change gathers momentum in the country, there will be a lot of opportunities to integrate the management of current climate risks – with hydro-meteorological hazards causing more than 90% of the losses – with the management of future climate risks. In a recent regional workshop on climate risk management, the delegation from India has already identified potential pilot activities.

UNDP can play a crucial and important role to promote integrated approaches to risk assessments, forecasting systems and adaptations in response to climate change, linking with the work and achievements of DRM. The “Climate Resilient Development and Adaptation” project can be used as a pilot to build knowledge and Capacity in adaptation work. The focus of immediate interventions will need to be in improving the human and institutional capacities assess, forecast and develop adaptation strategies to be incorporated into development planning. This should also include approaches or a framework for a review of existing policies and strategies to enhance their adaptive capacity. Increasing attention will be given to adaptation in future UNFCCC COP negotiations and global initiatives, and UNDP will need to position itself to work closely with other development partners to provide appropriate and timely support to India.

IV. Climate Change Mitigation

Continued work in climate change mitigation is crucial to support India in translating its aspirations, as stated in the Eleventh Plan Approach Paper, to resolve the conflicts between development goals and environmental concerns so that they can converge. The Approach Paper and the recent policy documents (the Integrated Energy Policy and the National Environment Policy) are explicit about the principle of “differentiated” responsibility, but acknowledge that “the adverse impacts of climate change will fall disproportionately” on India and action is important. They concede the additional costs of mitigation action need to be compensated.

UNDP need to provide support to expand the resource and partnership base of the portfolio of climate change mitigation projects by tapping further GEF resources and bilateral partners. New areas of work can include: energy efficiency improvements in industry, buildings and mass transport sectors; with coal consumption projected to increase rapidly, clean coal technologies and its utilization in a more “sustainable” manner at the consumer level; and, given the huge reliance on traditional biomass in rural areas, the continued promotion of renewable energy technologies for both productive and consumptive purposes at the community level so that energy access for the poor is also given equal attention. The focus of these projects should continue to be in capacity development and policy intervention to mainstream global environmental commitments into development planning.

The current focus on capacity development at the state and local level to attract further CDM investments should be continued and since projects at the local levels invariably have a higher development dividend, UNDP’s MDG Carbon Fund and UNDP-India’s own experience in promoting the PPP model need further attention.

V. Biodiversity

Biodiversity issues remain of critical importance to India, and UNDP should continue to play a role in assisting the Government with the identification of innovative approaches and mechanisms. To do this effectively, it is necessary to sharpen the approach and adopt a programmatic theme. Such a theme should respond to Government needs and priorities, as articulated in the preparatory papers for the 11th Plan, the National Environment Policy and the draft NBSAP. It also has to build on past and ongoing UNDP assistance, efforts of other partners, and UNDP’s comparative advantage in mobilizing resources from the GEF.

GEF funding under GEF4 and the new Resource Allocation Framework (RAF) needs to be accessed in line with the new strategic objectives. While discussions have been ongoing for a while to identify a number of entry points, the evaluation team suggests that those be limited to TWO full-size projects in the current cycle. It is further proposed that the programmatic umbrella be mainstreaming in line with GEF’s second strategic objective for biodiversity.

Mainstreaming is the logical area for UNDP, given its broader development agenda and rather mixed results with its protected area projects in the current and previous country programmes. Moreover, the World Bank will support GoI through the large-scale Biodiversity Conservation and Rural Livelihood Improvement (BCRLI) Project, which focuses on protected areas and builds on the Ecodevelopment Project. Finally, given their technical nature, the other GEF strategic priorities on biosafety, invasive species and ABS might be more suitable for other agencies such as UNEP.

UNDP will implement a major medicinal plants project in the next programme cycle, which does already have an important mainstreaming dimension. This could be complemented by a FSP on mainstreaming BD in high-value agri-business commodities (tea, coffee, etc.) at state-level. Some interesting pilot activities in this regard are being carried out in the Western Ghats with strong leadership from the private sector. Such a project could “claim” the first RAF tranche, to be followed by another FSP for the second half of GEF4. Preliminary ideas include a mountain landscape initiative.

Whatever projects emerge from this prioritization exercise, they should include as an integral component a Community of Practice or similar knowledge management dimension, implemented by the project team. This would help to address some of the shortcomings in terms of visibility, soft assistance, etc. identified in this evaluation.

VI. Land and Water

Although land and water issues were outside the scope of this evaluation, the team does, nevertheless, suggest a couple of entry points for the new programme cycle:

First, any existing and planned future activities including GEF land degradation projects should be consolidated under a broader Sustainable Livelihood umbrella. Second, this framework could be guided by a programmatic theme such as resource governance for Tribals and other marginalized beneficiaries, and focus on the priority states. Third, water and land issues are important platforms for integrated UN approaches and joint programming with UNICEF, FAO, etc. and multi-donor partnerships.

5.3 Management

Sharper SEED Focus on global environmental issues (biodiversity, climate change, ozone), with land, water, and energy access to be anchored in the poverty cluster.

Integration of DRM and SEED: Joint analytical work and joint programming in the context of the adaptation agenda would avoid duplication and bring about synergies.

Knowledge management: Integrate Solution Exchange into priority programme clusters through knowledge officers for SEED and DRM.

Capacity Assessment: In order to review the existing technical and managerial skill supply of the CO, and to identify gaps and match it with staff should be conducted to to and demand (technical vs. managerial) for emerging portfolio.

Strategy Groups: Establish cross-practice “think teams” (staff, consultants, external partners) to undertake cutting-edge analytical work and programme development.

Sustainable Development Advisor: Establish a senior position (temporary or permanent) to head strategy groups and recruit high-level official from government or think-tank circles with the aim of raising the clout, visibility and status of SEED agenda.

UNV: Make better use of UNVs and/or set up equivalent national modality to supplement project resources in the field.

Annex 1: TOR

TERMS OF REFERENCE For Outcome Evaluation

Energy, Environment, and Disaster Risk Management

A. INTRODUCTION

Background

The growing demand for development effectiveness is largely based on the realization that producing good deliverables is simply not enough. Efficient or well-managed development projects and outputs will lose their relevance if they yield no discernible improvements in development conditions and ultimately in people's lives. Being a key international development agency, the United Nations Development Programme (UNDP) has been increasing its focus on achievement of clearly stated results. Nowadays, results-based management (RBM) has become UNDP's management philosophy.

As part of its efforts in enhancing RBM, UNDP has shifted from traditional project monitoring and evaluation (M&E) to results-oriented M&E, especially outcome monitoring and evaluation that cover a set of related projects, programmes and strategies intended to bring about a certain outcome. An outcome evaluation assesses how and why an outcome is or is not being achieved in a given country context, and the role that UNDP has played. Outcome evaluations also help to clarify underlying factors affecting the situation, highlight unintended consequences (positive and negative), recommend actions to improve performance in future programming, and generate lessons learned.

Outcomes to be evaluated

The outcomes to be evaluated which is stated in the MYFF are, **i) Reduced vulnerability to natural and human-induced disasters through community preparedness; ii) National capacity built to contribute to global environmental agenda setting, and global environmental concerns mainstreamed into national development planning.** A detailed results framework for the outcomes is summarized below:

Intended Outcomes: 1) Reduced vulnerability to natural and human-induced disasters through community preparedness; 2) National capacity built to contribute to global environmental agenda setting, and global environmental concerns mainstreamed into national development planning.

Outcome Indicators: 1.1) DM mitigation/prevention mainstreamed into the development process including formulation of State DM policy; 1.2) empowerment of communities for disaster preparedness 2.1) MEAs mainstreamed into national plans and policies.

Baseline (2003): 1) Little or no base line available on community preparedness for DM. 2) Limited national/state capacities and examples for integrating MEAs.

MYFF Target (2006):

1) Disaster management in India strengthened through: establishment of Disaster management framework (laws, policies and DM authorities); community-based disaster preparedness; strengthening of local capacities and institutional networking; standardization of training modules.

2) enhanced capacities for implementation of the multilateral agreements (for biodiversity, climate change, and land degradation) through: i) availability of reliable baseline information based on assessments under NATCOM and NCSA, ii) strengthened institutional capacity for development of CDM projects; iii) conservation and sustainable use of biodiversity enabled through strategic interventions with geographical focus; iv) partnerships developed through launch of CoP as part of solution exchange.

National context related to the outcomes

i) Disaster risk management

Around 80 per cent of India's geographical area is vulnerable to natural hazards such as cyclones, floods, landslides, drought, and earthquakes as well as other localized hazards. The combination of poor socio-economic conditions, lack of awareness and inadequate preparedness planning at community and administrative levels for disaster risk management and increasing incidents and frequency of disaster events has created a vicious cycle of higher economic losses and setback to the development process. Disaster is experienced differentially by men and women due to the unequal gender relations and the social milieu.

The devastating Orissa Super Cyclone [October, 1999] and the Bhuj Earthquake [January, 2001] brought about a paradigm shift -the relief-centric approach towards disaster management was replaced by a more holistic strategy encompassing all aspects of the disaster management cycle viz. disaster prevention, mitigation, preparedness as well as strengthening of national capabilities for mounting an effective and speedier disaster response.

UNDP initiated its engagement with the disaster management agenda in the immediate aftermath of the Latur earthquake, 1993 and significantly up scaled and intensified its partnership with the Government of India and states in the area of vulnerability reduction and disaster management in the aftermath of two major disasters - the Super Cyclone in Orissa (November 1999) and the devastating earthquake in Gujarat (January 2001). Based on the experience gathered over the last decade, Vulnerability Reduction and Sustainable Environment emerged as one of the five thematic priorities of the GoI-UNDP Country Programme (2003-2007) and GoI-UNDP Disaster Risk Management Programme, was launched under this thematic area. The focus of the programme is on vulnerability reduction and strengthening the capacities of the community with gender equity. This programme has emerged to be the largest multi-donor framework initiative

under the on-going Country Programme. Partners such as AusAid, DFID, DIPECHO European Commission, Japanese Government (through the UN Trust Fund) and USAID have joined Gol and UNDP to establish a funding umbrella of US\$ 41 million.

ii) Energy and Environment

The poor are disproportionately affected by environmental degradation and lack of access to clean, affordable energy services. Environmental issues are also global, and issues such as climate change, loss of biodiversity and ozone layer depletion cannot be addressed by countries acting alone. UNDP seeks to develop the country's capacity to manage the environment and natural resources; integrate environmental and energy dimensions into poverty reduction strategies and national development frameworks. The focus is on strengthening the role of local women and men in promoting sustainable development and integrating gender concerns in natural resource management and conservation.

In India UNDP works towards building national capacity for conservation and sustainable use of natural resources, while addressing the issue of rural livelihoods and natural resource management to ensure the sustainable management of resources and alleviation of poverty. It also assists the Government of India and other stakeholders in meeting their commitments under the specified Multilateral Environmental Agreements. Besides UNDP's core funds and funds from bilateral and Government agencies, projects are financed from the Global Environment Facility (GEF), a partnership with the UN Environment Programme and the World Bank, Multilateral Fund of the Montreal Protocol and Trust Funds.

Priority areas for support during CCF II

Given the above national context, UNDP in close collaboration with the Gol and other development partners have developed programmes/projects designed to reduce vulnerability of communities to natural disasters and environmental degradation; supported the Government in meeting commitments under the international agreements and conventions on the environment and sustainable development; and in influencing global environmental agendas. Priority areas for support during CCF II included:

- (a) Strengthening state and regional-level systems for the establishment of disaster preparedness plans and setting up systems for early warning and recovery, including ICT for disaster management, with a focus on highly vulnerable states;
- (b) Developing community capacities to plan and implement gender-sensitive disaster mitigation strategies and post-disaster reconstruction/sustainable recovery, including disaster prevention through environmental action such as rainwater harvesting and water conservation in drought-prone areas;
- (c) Strengthening national capacities for influencing global debates on the environment and mainstreaming global environmental concerns into national projects, programmes and policies, including support to developing and implementing national action plans and mandatory reports

- under global conventions;
- (d) Providing support to meet the goals of global conventions and mobilize resources from diverse sources, including the Indian private sector, to address national/regional concerns such as the management of globally significant biodiversity areas, renewable energy, degradation, desertification and climate change;
 - (e) Demonstrating technologies and innovative approaches to address global environmental issues and national developmental challenges.

UNDP projects associated with the outcome is included in Annex I.

B. Objectives of the outcome evaluation

Outcome evaluation follows UNDP guidelines that call for an assessment of the results of UNDP's development cooperation activities in a particular thematic area. The proposed outcome evaluation of the disaster risk reduction and environment thematic areas will:

- ◆ *outcome analysis* - what and how much progress has been made towards the achievement of the outcome (including contributing factors and constraints);
- ◆ *output analysis* - the relevance of and progress made in terms of the UNDP outputs (including analysis of both project and non-project activities);
- ◆ *output-outcome link* - what contribution UNDP has made/is making to the progress towards the achievement of the outcome; and,

The results of the outcome evaluation will be used for designing interventions during the next GOI-UNDP Country Programme (2008-2012).

C. SCOPE OF THE EVALUATION

The outcome evaluation is expected to analyze the status of the outcome, particularly in relation to UNDP contribution to the outcome through project activities and soft assistance.

The outcome evaluation is expected to address the following issues:

Outcome analysis

- What is the current situation and possible trend in the near future with regard to the outcome?
- Whether sufficient progress has been achieved vis-à-vis the outcome as measured by the outcome indicator?
- What are the main factors (positive and negative) that affect the achievement of the outcome?
- Whether the outcome indicators chosen are sufficient to measure the outcomes?
- Whether the outcomes are guided by UNDP broad policy objectives on gender equity?
- Examine the intended/unintended impacts for women and men
- Examine the factors that influenced the differences in participation, benefits and results between women and men

- To what extent synergies in programming such as partnerships including among various UNDP programmes related to outcome

Output analysis

- Are the UNDP outputs still relevant to the outcome?
- Has sufficient progress been made in relation to the UNDP outputs?
- What are the factors (positive and negative) that affect the accomplishment of the outputs?
- Assess whether Disaster management Committees have strengthened the capacity of the community in disaster risk reduction with special focus on gender equity in disaster risk preparedness.
- Assess whether disaster management plans could successfully empower the community in vulnerability reduction
- Assess whether capacity building and effective orientation in disaster risk management of the government functionaries and partners has resulted in any actions specific to disaster risk mitigation or mainstreaming disaster management.
- Assess whether and how the environment-poverty nexus has been addressed and promoted in UNDP's activities; i.e. whether environmental conservation and natural resource management activities address livelihood issues.
- Assess whether environmental concerns have been considered in the national development planning.
- Assess UNDP's ability to advocate best practices, and influence integration of sustainable development into national policies and plans.

Analysis of UNDP support to the Government of India to enhance national capacity to negotiate and implement the international conventions/ treaties .

Output-outcome link

- Whether UNDP's outputs or other interventions can be credibly linked to the achievement of the outcome (including the key outputs, projects, and soft assistance); The evaluation is expected to correlate gender outputs with the broader outcomes of UNDP.
- What are the key contributions that UNDP has made/is making to the outcome?
- What has been the role of UNDP soft-assistance activities in helping achieve the outcome? Has UNDP been able to catalyze wider application of new technologies, promote public participation, or support implementation of environmentally friendly policies?
- With the current planned interventions in partnership with other actors and stakeholders, will UNDP be able to achieve the outcome within the set timeframe and inputs – or whether additional resources are required and new or changed interventions are needed?
- Whether UNDP's partnership strategy has been appropriate and effective. Has UNDP been able to bring together various partners across sectoral lines to address disaster risk management and environmental concerns in a holistic manner?
- Assess UNDP's ability to develop national capacity in a sustainable manner (through exposure to best practices in other countries, holistic and participatory approach). Has UNDP been able to respond to changing circumstances and requirements in capacity development?
- What is the prospect of the sustainability of UNDP interventions related to the outcome?

D. PRODUCTS EXPECTED FROM THE EVALUATION

The key product expected from this outcome evaluation is a comprehensive analytical report, which include the following contents:

- Executive summary;
- Introduction;
- Description of the evaluation methodology;
- An analysis of the situation with regard to the outcome, the outputs, and the partnership strategy;
- Analysis of salient opportunities to provide guidance for the future programming;
- Key findings (including best practice and lessons learned);
- Conclusions and recommendations;,(Gender dimensions to be included in each theme of the report) and
- Annexes: TOR, field visits, people interviewed, documents reviewed, etc.

A mid-term review of the Country Programme (2003-2007), including Disaster Risk Management, Energy and Environment, portfolio was conducted in June 2006. Therefore, this outcome evaluation is proposed to be forward looking, and the findings/recommendations will be used to guide portfolio development as well as human resource management for the next Country Programme Cycle. Comparisons of differential impact of the programme on women and men should be made through out the report (including executive summary, conclusions and recommendations) and not limited to a separate section.

E. METHODOLOGY

An overall guidance on outcome evaluation methodology can be found in the UNDP Handbook on Monitoring and Evaluating for Results and the UNDP Guidelines for Outcome Evaluators. The evaluators should come up with a suitable methodology for this outcome evaluation based on the guidance given in these two documents.

During the outcome evaluation, the evaluators are expected to apply the following approaches for data collection and analysis:

- Desk review of relevant documents (project document with amendments made, review reports -midterm/final/TPR, donor-specific, etc);
- Discussions with the Senior Management;
- Regular consultations with Evaluation Focal Team;
- Interviews with and participation of partners and stakeholders especially with women groups
- Field visits to selected project sites;
- Consultation meetings.

F. EVALUATION TEAM

The evaluation team will comprise of five members: three international consultants (including the team leader) and two national consultants. The Team Leader should have an advanced university degree and at least over ten years of work experience in the field of environment and disaster management, and sound knowledge about results-based

management (especially results-oriented monitoring and evaluation). The team leader will take the overall responsibility for the quality and timely submission of the evaluation report to the UNDP Country Office.

Specifically, the team leader will perform the following tasks:

- Lead and manage the evaluation mission;
- Design the detailed evaluation scope and gender sensitive methodology (including the methods for data collection and analysis);
- Decide the division of labour within the evaluation team;
- Conduct an analysis of the outcome, outputs and partnership strategy (as per the scope of the evaluation described above);
- Draft related parts of the evaluation report; and
- Finalize the whole evaluation report.

The national consultants, one with expertise on biodiversity conservation and the other with disaster risk management, should have advanced university degree and at least over eight years work experience in the area of expertise. S/he should have sound knowledge and understanding of environmental issues and vulnerability profile of India, and have substantive experience in conducting evaluation. S/he will perform the following tasks:

- Review documents;
- Participate in the design of the evaluation methodology;
- Conduct an analysis of the outcome, outputs and partnership strategy (as per the scope of the evaluation described above);
- Draft related parts of the evaluation report; and,
- Assist Team leader in finalizing document through incorporating suggestions received on draft related to his/her assigned sections.

G. IMPLEMENTATION ARRANGEMENTS

To facilitate the outcome evaluation process, UNDP India will set up an Evaluation Focal Team (EFT). The EFT will assist in connecting the evaluation team with Programme Unit, senior management, and key stakeholders. In addition, the EFT will provide both substantive and logistical support to the evaluation team, ensure participatory evaluation process, and comment on the draft evaluation report. The EFT will comprise of a focal person each from Disaster Risk Management programme, Sustainable Environment and Energy Division, Sustainable Livelihoods Programme, Management Support Unit, and a gender expert. The ARR DRM Programme and ARR Energy and Environment Programme with support of the EFT members, will facilitate the evaluators in finalizing scope of evaluation, methodology, and develop an evaluation plan; conduct field visits; and stakeholder meetings. During the evaluation, EFT will help identify the key partners for interviews by the evaluation team. However, the evaluation will be fully independent and the evaluation team will retain enough flexibility to determine the best approach to collecting and analyzing data for the outcome evaluation.

Evaluation mission schedule (April, 2007)

Activity	Timeframe and responsible party
Evaluation design and workplan	1 day, by the evaluation team
Desk review of existing documents	4 days, by the evaluators
Field visits, interviews with partners, and key	10 days, by the evaluation team

stakeholders	
Drafting of the evaluation report	5 days, by the evaluation team
Debriefing with UNDP	0.5 day, UNDP and the evaluation team
Debriefing with partners	0.5 day, partners and the evaluation team
Finalization of the evaluation report (incorporating comments received on first draft)	3 days by the evaluation team

Working Days:

24 working days

H. SELECTED DOCUMENTS TO BE STUDIED BY THE EVALUATORS

The evaluators should study the following documents:

- UNDP Handbook on Monitoring and Evaluating for Results
- UNDP Guidelines for Outcome Evaluators
- UNDP Results-Based Management: Technical Note
- Country Report on Gender Mainstreaming Evaluation 2005
- UNDP 2nd Country Cooperation Framework for India (2003-2007)
- MYFF annual reports for 2003 to 2006
- Mid-term Review Report of CCF II (June 2006)
- Project documents, project monitoring reports, factsheets, and project evaluation reports
- National policies, strategies, and plans related to the outcome
- Other documents and materials related to the outcome (e.g. government, donors)

Annex 2: List of Projects*

Project No.	Title	Source of Fund	Total Project Budget (US\$)	Evaluation conducted	Project Duration
	DRM portfolio				
13029	NDRM	Multi-donor	41,000,000	Yes	2002-2007
	Energy & Environment portfolio				
13013	Gulf of Mannar	GEF	7,650,000	No	2002-2008
39048	National Capacity Self Assessment	GEF	200,000	No	2004-2007
13047	Med Plants Conservation for Health and Livelihood	Core	3,000,000	No	2003-2007
13046	Sustainable Livelihoods for Biodiversity in Sunderbans	Core	500,000	No	2003-2007
12918	Coal Bed Methane Recovery and commercial utilization	GEF	9,115,367	Mid-Term	1999-2007
13044	Renewable Energy for Rural Livelihood	Core	3,656,683	No	2003-2007
00013042	Umbrella Foam Project (MP)	MLF	5,453,856	Yes	2002-2007
00038760 00052931	Institutional Strengthening for CFC Phase Out	MLF	373,260	Yes	2007-2009
00041505	Phase out CFC	MLF	5,000,000	Yes	2004-2007
00013002	Biomass Energy for Rural in India	GEF	4,017,000	Mid-Term	2001-2007
00037247	Steel Re-rolling - II	GEF	6,750,000	No	2004-09
12962	NBSAP		968,200		

* The projects highlighted in yellow were selected for this evaluation, as the others originally proposed by the CO target other outcomes.