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ICIMOD

FOR MOUNTAINS AND PEOPLE

# Rural Livelihoods and Climate Change Adaptation in the Himalayas

## Annual Interim Progress Report – 2015

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## Executive Summary

The overall objective of the Regional Programme on Adaptation to Change is to enhance resilience and support adaptation by vulnerable mountain communities in the Hindu Kush Himalayan (HKH) region. The operational strategy of the programme to achieve this objective is based on three fundamental pillars: scientific knowledge generation to improve understanding of the contours and drivers of change as well as the responses and support needs of mountain communities to manage change; innovative pilots and action research to promote sustainable, secure livelihoods and adaptive strategies; and the contribution of knowledge inputs for the refinement and formulation of pro-poor, mountain-specific enabling policies through effective policy engagement. The programme pays particular attention to addressing the challenges faced by women and strengthening and empowering their roles in adapting to and managing change.

The strategic implementation approach of the programme is strongly founded on the promotion of joint ventures with partners, piloting with practitioners and beneficiaries, and promoting and supporting champions for policy engagement, thereby strategically laying the foundation for upscaling and ensuring impacts. This is further concretized by the mapping of impact pathways and partnership networks to develop a conceptually clear theory of change for the programme, as well as each of its initiatives. The programme is anchored by three major initiatives, the Himalayan Climate Change Adaptation Programme (HICAP), Support to Rural Livelihoods and Climate Change Adaptation in the Himalayas (Himalica), and Improving Livelihoods and Enhancing Resilience of the Rural Poor in the Hindu Kush Himalayas to Environmental and Socioeconomic Changes (AdaptHimal). Presently, the regional programme has operations in seven regional member countries (RMCs) and efforts are being undertaken to expand to the eighth in the near future.

Support to Rural Livelihoods and Climate Change Adaptation in the Himalayas (Himalica) is a demand-driven, need-based programme financed by the European Union that started in January 2013. Himalica aims to support poor and vulnerable mountain communities in the Hindu Kush Himalayan (HKH) region, and the conservation of ecosystem assets and services, in the context of socioeconomic and climate change through active regional cooperation. The two main expected results are 'enhancement of the capacity of national and regional stakeholders to address livelihood development and protect the environment', and 'reduction of poverty among mountain people through increased resilience, the harnessing of new livelihood opportunities, and the promotion of more equitable approaches'.

Notwithstanding the 25<sup>th</sup> April and 12<sup>th</sup> May earthquakes and the post-earthquake traumatic experiences, followed by the political disturbances in the following months that severely restricted movement and project implementation in Nepal, progress of Himalica activities during 2015 has been satisfactory. A major achievement for the project was the culmination of the policy support in Myanmar with the launch of the Ecotourism Policy and Management Strategy for Protected Areas jointly by the Ministry of Hotel and Tourism and the Ministry of Environmental Conservation and Forests, Government of Myanmar in the presence of His Excellency, the Vice President of Myanmar at Naypyidaw in May, 2015. Simultaneously, the action research support on tourism development and management also concluded with the completion of the Destination Management Plan for Inle Lake. An immediate uptake of the latter was evident with the adoption of the recommendations as guidelines for the Sustainable Tourism Development and Management strategy by the Shan state government and the operationalisation of the same with the support and funding from GIZ. Foundations of a cross-country fusion was laid in Bangladesh with the Ministry of Chittagong Hill Tract Affairs, Government of Bangladesh suggesting the adoption of the Inlay DMP process for the development of a Destination Management Plan for the Bandarban hill district, initially, with a focus on Ruma Upazilla of the district which is also the location of Himalica's pilot on Inclusive Tourism development. These have contributed substantially towards the achievement of the Regional Programme outcome for uptake and scaling up.

The action research on pollination and horticulture – pollination services for improved apple productivity – conducted in Chitral, Pakistan in collaboration with the KPK Agricultural University, Peshawar was concluded successfully, demonstrating the positive impact of beekeeping and pollination services on apple yield. The action research demonstrated positive effect of pollination on apple production, reducing pre-mature fruit fall, qualitative improvements of the fruits, both in regard to shape and colour, as well as increases in yield. The action research also demonstrated the potential of establishing mutually beneficial economic partnerships between marginal, poor households and the large orchard owners. The Himalica team also developed the Ecosystem Services Assessment framework as an action research activity and supported partners from Bhutan, Myanmar and Nepal in conducting the assessments in their respective countries. Application of the methodology and findings in improving resource management has been initiated in Udayapur, Nepal, thus setting a modest beginning of taking science to practice. These, again, are important contributions of Himalica towards the Regional Programme's output of institutional capacity building for improved resource governance.

Project activities in Nepal suffered severe setbacks because of the earthquakes in April and May and the aftershocks that followed, as well as the political unrest in the Terai in the following months. The action research on strengthening agricultural extension services had planned a series of trainings and incentive distribution for the participating farmers. These had to be put on hold for much of the year, and planned activities could be started off only towards the end of the year and some put off to early 2016. Similarly, planned activities for the action research on migration and remittances under implementation in Udayapur had to be rescheduled or postponed to 2016. Despite these setbacks, activities for both the action research picked up towards the end of the year. The project teams focused on activities that could be conducted at Kathmandu as well as those in the other countries. Thus, several activities were conducted in collaboration with the Nansen Initiative, supporting the participation of officials from the relevant ministries in the Regional Stakeholders Meeting held at Khulna, Bangladesh as well as to the Global Inter-governmental Consultation held at Geneva. The project team also supported the government in preparing a policy brief and position paper on migration as an adaptation strategy. In addition, studies and assessments were completed on circular migration in Bangladesh and a policy analysis on migration and remittances in Pakistan.

The project made substantial progress in regard to the pilots in Myanmar, Bangladesh and Bhutan. In Myanmar, subsequent to the selection of the value chains (ginger and bamboo) as promising options for improving income of target households, value chain analysis were initiated to identify leverage points for project intervention. With the completion of the analysis, activities to support the development of the value chains have been initiated in each of the pilot sites. Thus, community seed banks for improving access to quality ginger seeds have been set up in each pilot village in Myanmar. These seed banks are also designed to function subsequently as aggregation centres for ginger and other agricultural produces from the villages, strengthening the value chains and thereby, contributing to enhancing and diversifying incomes. Steps are being taken to similarly develop the bamboo value chain. On-farm demonstrations for improved cultivation practices for ginger have also been initiated and these demonstrations are being used for capacity building of farmers using the Farmer Field School approach. Simultaneously, activities initiated to address severe water stress in the pilot area continued with construction of new water harvesting ponds and the renovation of existing structures. In addition, storage tanks for harvesting rooftop rainwater have been constructed in each pilot village and Water Management Committees set up in each village to facilitate water management. To address sustainable water resource management, Himalica facilitated the construction of a Participatory 3 Dimensional Model (P3DM) of the project area to facilitate planning and identify interventions that promote resource management. An immediate spin-off of the modelling has been the identification of a spring source which is being tapped for pumping and supplying water to five villages with funding from the Shan State Department of Rural Development. Drawing on the early achievements in the project villages, Winrock International has entered into partnership with the Myanmar Institute of Integrated Development (MIID), Himalica's implementing partner, to out scale project interventions

in adjoining villages with funding support from USAID, thus further consolidating Himalaya's contribution to the Regional Programme's outcome for uptake and scaling up.

With the completion of value chain analysis in Bangladesh, activities have been initiated for development of the tourism related value chains. The team completed the surveys and assessments of 26 paras (villages) within Ruma Upazila for their tourism potential and selected ten pilot villages for initiating tourism related interventions. The analysis has helped in identifying a 'menu of products' – homestays, local cuisines, handloom and handicraft products and potential tourist treks and locales - as well as four value chains that would be developed for income enhancement as well as their links to the tourism value chain. Capacity building of tourist guides and the mapping of new trails and trekking routes have been completed. Identification of local cuisines, handloom products and supply chains have been initiated and activities taken up for the development of these supply chains. In Bhutan, vegetables and goat rearing have been selected for value chain development as the central focus of pilot activities. In addition, sustainable land and water development are primary activities included in the pilot. Activities have been initiated in regard to improved land and water management, improved goat rearing, sustainable farming practices including organic manuring and bio-pesticide development.

As a critical step for implementation of the pilot activities and in order to facilitate strong ownership of the pilot activities, the team facilitated the development of micro plans in all project villages in Myanmar and Bhutan. These plans were developed by the villagers with the support of the local partners subsequent to a regional training on micro planning conducted in Nepal by the Himalica team.

The reporting year also saw the completion of the partner selection process for new pilots in Nepal and Pakistan. Agreements with the partners in these countries have been formalised and activities completed for selection of the value chains in the pilot sites in these two countries. Micro plans have also been drawn up for 10 villages in Taplejung where the pilot focuses on strengthening the cardamom value chain. With the completion of these processes, Himalica will reach out to 1,795 households in 25 targeted villages across 5 countries. In addition, another 240 households will receive support through the action research on migration. These activities initiated by Himalica significantly contribute to the Regional Programme's output on diversifying livelihood activities and enhancing incomes and subsequently, to the Programme outcome.

The Himalica team has also conducted several activities in regard to capacity building. While training events on enhancing awareness and sensitisation on climate change adaptation has continued during the reporting year, with a good number of partners as well as government and non-government participants being trained on adaptation (605 participants), several thematic and technical capacity building events were also conducted for partners, community based organisations and farmers. Significant among these were the training on improved soil and water management (including rooftop rainwater harvesting) in Myanmar and trainings on improved agricultural practices. Subsequent to the former training, several households in the project villages have adopted rooftop rainwater harvesting practices, in some instances demonstrating innovative adaption using simple, low cost resources. Capacity building was also effected through exposure visits, and Himalica supported several exposure visits for officials from partner organisations as well as community members, largely focusing on regional cross learnings on subjects linked to pilot activities. These activities, once again, contributed to the achievement of the Regional Programme's outputs and outcomes for the year.

## Progress Report 2015

This report comprises the progress made for the reporting year 2015. At the 4<sup>th</sup> Himalica Steering Committee held in Kathmandu on 10<sup>th</sup> June, 2016, it was agreed that the Annual Interim Report should be presented with clear links to the Himalica Log Frame under the EU contract. Thereby, the present report is structured accordingly, with headings from the Himalica Log Frame (Annex 2).

**Result 1: The capacity of national and regional stakeholders to deal with livelihood development and the protection of the environment in the HKH region is enhanced.**

**Activity 1. Develop Capability to Adapt Policy: Increase the national and regional collaborative capacity to develop adapted policies impacting on mountain rural livelihoods, taking socio-economic and climate change into account;**

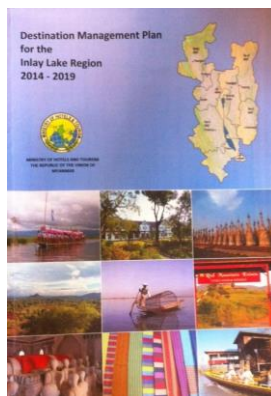
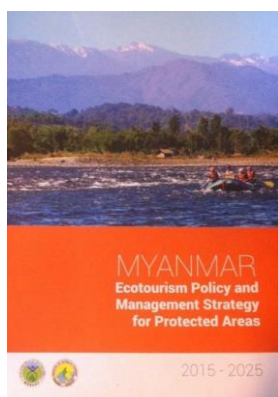
***Climate Change adaptation policies or strategies identified, monitored and assessed:***

ICIMOD made several efforts to initiate collaboration regarding national level CCA policy in Nepal, Myanmar and Bhutan, despite the fact that conditions are not very conducive for agreement, significant progress has been made with some of the partners which will be materialized in the coming year.

***National strategies or policies and processes are supported and adapted to mountain-specific context through project influence:***

The highlight of ICIMOD's support to national policy development in the reporting year was the launch of Myanmar's new 'Ecotourism Policy and Management Strategy for Protected Areas' by the Union Ministers of the Ministry of Hotels and Tourism (MOHT) and the then Ministry of 'Environment, Conservation and Forests (MOECAF)'<sup>1</sup>. This policy has been developed in close collaboration with a joint-ministerial engagement by MOHT with MOECAF (now MONREC), the nodal ministry for ICIMOD in Myanmar. The policy launch took place in May 2015 at the Himalica supported International Ecotourism Conference in Nay Pyi Taw, where his Excellency U Nyan Tun, Vice President of the Republic of the Union of Myanmar presided over the official opening.

The Destination Management Plan (DMP) for Inle Lake Region, completed and disseminated in late 2014, was printed in Myanmar language also, this year. Immediate uptake of the DMP has taken place with the adoption of its recommendations as guidelines for the Shan State Tourism Development Project focusing on the Inle region, and with operationalisation supported by GIZ.



<sup>1</sup> Now the Ministry of Natural Resources and Environmental Conservation (MONREC).

ICIMOD has also been supporting Bhutan's national agriculture marketing policy.

***Knowledge products on ecosystem services are developed and used by partners:***

The Ecosystem Services Assessment framework methodology, developed for ecosystem management AR (finalized in 2014, with local stakeholders in the pilot sites of Bhutan, Myanmar and Nepal) was applied in Udayapur, Nepal, as initial site. Noted results in improved natural resources, showing 'science to practice' in a modest way (see below under Activity 3).

***Mountain Specific Poverty Index:***

As a concerted step to improve inclusion in Myanmar pilot interventions, Himalica has implemented the Poverty and Vulnerability Assessment (PVA). Analysis of the PVA data in Myanmar has been completed. The analysis indicates that Chin state is comparatively lagging behind in several socio-economic and adaptation indicators as compared to Shan state. A study report along with results on multidimensional poverty is near completion.

ICIMOD has also fine-tuned the PVA for Bhutan with its partner, the Ministry of Agriculture and Forests (MOAF), and is in the process of initiating implementation through a LoA with MOAF and the Gross National Happiness Commission. The findings from the PVA will inform policy making and development planning authorities for improving inclusion through representative data at district levels. The PVA instrument covers several dimensions including the socio-economic conditions of households, income and expenditure including food security and nutrition, gender roles in household decision making, and different aspects of governance and social capital. In addition, baseline surveys have been initiated in all pilot sites.

***Member countries are provided support to engage in international CCA events:***

The Secretary from the Prime Minister's Office of the Government of Nepal (GoN) was supported to participate in the COP 21 as part of the Nepal delegation. Before the COP 21, a policy brief on migration as an adaptation strategy to environmental change (and on financial planning at the household level at different stages of the migratory process) has been shared with the GoN delegation. Discussion with the GoN on how to bring the issue forward is ongoing, and a ToR is under formulation. Together with the Nansen Initiative and the Asia Pacific Refugee Rights Network (APRRN), ICIMOD co-organized and participated in the following events in 2015:

- Nansen Initiative Civil Society International Meeting on 'Climate Change, Disasters and Human Mobility in South Asia' in February 2015. Over 71 participants (with 26 women and 45 men, which included 50+ participants from 6 ICIMOD RMCs participated in the workshop;
- Nansen side-event at Sendai World Conference on Disaster Risk Reduction (WCDRR), March 2015, where ICIMOD facilitated a session on migration and adaptive capacity. ICIMOD also took part in the Nansen Initiative's Regional Consultation on 'Climate Change, Disasters and Human Mobility in South Asia' in Khulna, Bangladesh, in April 2015, and in the Intergovernmental consultation organized in Geneva in October 2015.
- Himalica supported the participation of a delegation from the Government of Nepal to prepare and participate in a global intergovernmental consultation organized by the Nansen initiative in Geneva in October.
- Following the above mentioned collaboration, ICIMOD was invited to join the Nansen Initiative Consultative Committee.

***International workshops/conferences organised on CCA in region:***



The International Ecotourism Conference was organized with ICIMOD support in May 2015, in Nay Pyi Taw, Myanmar, where his Excellency U Nyan Tun, Vice President of the Republic of the Union of Myanmar presided over the official opening. More than 200 experts, policymakers, government officials, and journalists participated in the conference, which attracted regional interest in the underlying theme of 'streamlining ecotourism in protected areas as a way of strengthening livelihoods, conservation, and adaptation'.

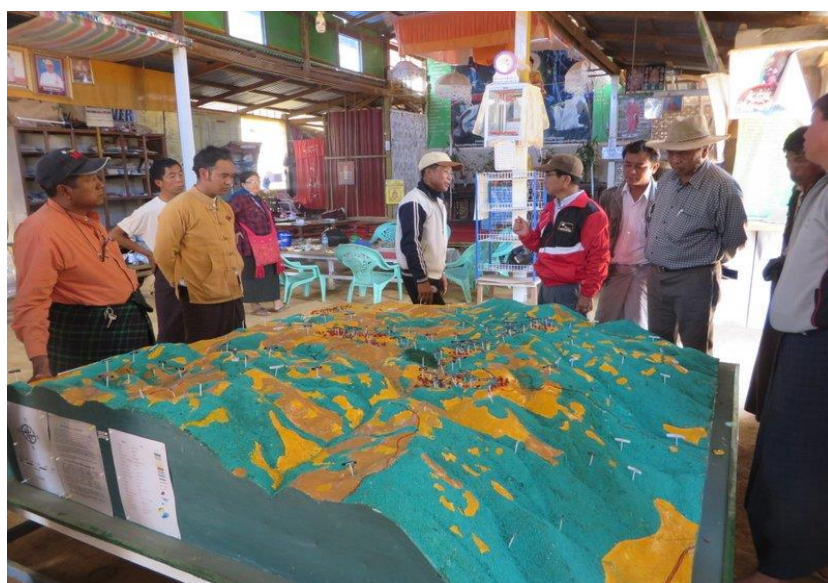
**Activity 2. Knowledge Management: Raising awareness and disseminating knowledge on the effects of climate change and adaptation responses in the HKH region;**

***Knowledge products on CCA related issues (e.g. poverty, value chains, tourism, and ecosystem services) developed, packaged and disseminated***

So far Himalica has been successful in bringing out 3 knowledge products on CCA related issues in member countries. Beside this, AdaptHimal and HICAP have brought 66 knowledge products. With most of the project activities still at early stages of implementation, opportunities for development of knowledge products are, as yet, premature. A modest beginning has been made however, and one of the early products is the Destination Management Plan (DMP) for the Inle Lake Region, in Myanmar. The DMP has been printed in both Myanmar language and English, and is an active working document which has been distributed to partners and to relevant agencies, individuals, and line departments. The DMP is a good example of a product that ICIMOD strives to develop throughout its initiatives: from programme investment to immediate use as an implementation manual.

The Ministry of Hotel and Tourism, with technical support from Himalica also published the Myanmar Ecotourism Policy and Management Strategy for Protected Areas (see Activity 1). This document is being used as guiding document by development organizations and national institutions.

In the Myanmar Pilot site in Inle Lake uplands, a participatory 3-dimensional model (P3DM) has been constructed with active engagement of community members from pilot villages, and relevant stakeholders, to enable communities to design and implement interventions for better management of water, soil and other resources. This compliments the hands on technology training conducted jointly by MIID and ICIMOD for the communities to improve water resource management based on 3R model - 'retention, reuse and recharge' (see Activity 5).



*P3DM model, Myanmar: Officials from the Department of Rural Development discussing the water supply project*



In Nepal, the development and dissemination of CCA awareness Information Education and Communication (IEC) materials has started and is underway in other countries as well. While main materials are developed in English, the intention is to develop national language versions with partners in Himalica HKH member states. IEC publications began with 1 booklet, 2 posters, and 1 leaflet on CCA in Nepali language. The IEC materials published in Nepali language are being disseminated to the wider public by partner National Association of VDCs in Nepal (NAVIN).

In Bhutan, development of a CCA Resource Book and other IEC materials such as leaflets and posters in English and Dzongkha language are also in progress. A draft CCA Resource Book submitted by the communications partner Bhutan Media and Communication Institute (BMCI) has been reviewed by the ICIMOD Adaptation Working Group members and has received positive feedback. BMCI collaborated with the College of Natural Resources, Royal University of Bhutan (RUB/CNR) in the production of IEC materials on CCA in Dzongkha language, equivalent to those in Nepal.

Two chapter on migration and gender, drawing on a case study each from Nepal and Pakistan submitted for a peer reviewed book, edited by the IOM / UNU and to be published by Springer publications.

An Ecosystem Assessment Framework developed and published for pilot stakeholders in Bhutan, Myanmar and Nepal. The results of this assessment helped to identify trends and projections on the state and dynamics of pilot site ecosystem services.

Regional collaboration with project partners in preparation of operational guidelines for pro-poor and climate resilient Value Chain (VC) development, with the objective to provide practical tools and guidelines for development practitioners to overcome value chain constraints and harness opportunities in a sustainable manner to provide long-term benefits to mountain communities. Thereby, ICIMOD organized a regional experience-sharing and peer-learning workshop held in Kathmandu. Participants included local coordinators and focal persons of Implementing partners of Himalica pilot projects, as well as the partners of AdaptHimal, mainly the representatives of the loan projects under the International Fund for Agricultural Development (IFAD).

#### ***National and regional conferences or workshops arranged to share CCA information:***

International Ecotourism Conference organized in Nay Pyi Taw, Myanmar, (see Activity 1).

#### ***Exposure visits organised to share CCA knowledge:***

Five exposure visits organized for farmers and other relevant stakeholders of the RMCs to share the CCA knowledge as listed below;

An exposure visit to Myanmar was organized for Bandarban-Ruma pilot management team to gain learning from Inle Lake tourism destination management and sustainable tourism planning experience during the development of the Inle Region DMP mentioned under Activity 1. Tourism is developing rapidly in Bandarban, and the development of sustainable tourism is seen to benefit from lessons concerning issues of community – livelihoods – tourism – planning - governance in the Inle region.

Another exposure visit to Nepal for target beneficiaries of Ruma pilot sites has been arranged to gain learning from Pokhara on how supply chain arrangements are functioning, with coffee as an example. Pokhara is a popular tourist destination in Nepal with 2 famous lakes: Phewa and Begnas.

Two farmer groups from Barshong, Bhutan made exposure visits linked to the identified products for VCs, to India for the vegetable farmers, and to Nepal for the goat farmers. In each group of 9-10 people, 2 were district agriculture/livestock extension officers, with 25-30% women participants.

For Udaypur, Nepal, pilot site, communities, Himalica organized an exposure visit on ecosystem management for 17 district-level stakeholders (8 women) from 10 organizations (district line agencies

and development committee, and community forest user groups, chamber of commerce, etc.). The team was taken to various parts of Nepal for ESM experience sharing.

**Activity 3. Collaborative Action Research. *Strengthening collaborative action research in the region in relation to mountain livelihoods and eco-systems, generating evidence-based knowledge on adaptation and mitigation to climate change in the HKH region;***

***High value product value chains are analyzed with partners***

Five value chain analysis conducted in four RMCs in the reporting year which include; Value chain analysis of Apis cerana honey conducted in Bangladesh, Bhutan and Pakistan and VCA of apricot in Pakistan. VCA of Peas conducted in Udayapur Nepal to link with migration research for productive use of remittance by women headed migrant sending households.

***Action research initiatives on tourism or ecosystem services developed and under implementation with partners:***

In Myanmar action research that developed and disseminated a Destination Management Plan (DMP) for Inlay region as mechanism to assist in spreading of tourism benefits from center to periphery (see under Activity 1) is now under implementation as guideline for Sustainable Tourism Development with funding from GIZ, and will be used as model for developing Inclusive Tourism Development and management in Ruma, Bandarban Hill District, Bangladesh, under MOCHTA (see above).

Ecosystems Services Management (ESM) action research in the Pilot sites of Bhutan, Myanmar, and Nepal is the outcome of a participatory Ecosystem Services Assessment which identified potential interventions for better ecosystem health for vulnerable communities (vulnerable to natural disaster such as landslide and drought). The AR interventions are in the form of (a) ecosystem management through promotion of 'zero grazing'; (b) ecosystem management through promotion of erosion control and rehabilitation of erosion prone areas; (c) reducing pressure on ecosystem through introduction of locally prepared low cost improved cook stoves; and (d) introducing and promoting kitchen gardening. These interventions have shown visible positive ecosystem changes, supported by a collective effort of all major line departments responsible for the VDC, along with civil society organizations with visible synergy and contributions in place. The action research included also I exit strategy elements by linking with pilot projects, and mainstreaming with line departments.

***Action research initiatives on migration or population dynamics developed and under implementation with partners:***

In Nepal, under the ongoing action research on migration and remittances in Udayapur district, trainings and extension service on financial literacy, flood preparedness, and livelihood diversification have been provided to women members of migrant-sending households with the aim of building adaptive capacity at community level. A key learning emerging from the AR is that knowledge-based interventions to bring about household behavioral change should be connected with income needs and risk management practices of the household, and is best achieved through a peer-driven process.

A similar action research has now been initiated in Pakistan's Hunza and Nagar districts.

Efforts are being made to mainstream migration within the NAP process in Nepal through continuous engagement with government stakeholders from relevant ministries (see above under Activity 1, 'support to engage in international CCA events').

***New action research initiatives on innovative livelihood opportunities developed and under implementation with partners:***

In Chitral, Pakistan, pollination action research on the impact of honeybee pollination on apple yield and fruit quality was carried out, with observed results showing that apple quality (weight, shape & color) and productivity is significantly improved due to pollination. This work also demonstrated the potential of establishing mutually beneficial economic partnerships between marginal, poor households and the large orchard owners. Reports have been submitted, and ICIMOD is encouraging the research teams to also write a journal paper, as part of solid documentation of the interesting research results.

In Barshong, Bhutan, and Taplejung, and Udayapur in Nepal, beekeeping has been integrated as a livelihood diversification activity in the Pilots.

Further support by ICIMOD at the regional level, in pollination has been initiated through the development of a web portal for dissemination, experience sharing, and capacity building.

In Bhutan, AR has focused on in-house capacity development at College of Natural Resources of the Royal University of Bhutan, engagement of Dzongkhag sector heads and extension agents in vulnerability assessment of rural livelihoods to climate change, awareness and ToTs at Dzongkhag (2) and Geog (8) levels, and finally small grants for innovative projects at community level.

In Nepal, the ongoing action research on agri-extension services has been showing encouraging results. Based on Randomized Control Trial method, this AR is examining whether agri-extension services can be enhanced in a cost-effective manner through an incentive-based system that will encourage active involvement of peer and lead farmers from the community. Besides, through its collaboration with the Department of Agriculture, Govt. of Nepal, the AR is contributing to the building of institutional capacity in the government for conduct of RCT-based interventions. The key outputs till date are the RCT Design document prepared by J-PAL, baseline survey data, data from two follow up surveys, data from two on-farm monitoring surveys, J-PAL technical report based on data analysis, and a report on five incentive distribution workshops. It is planned that once the 2<sup>nd</sup> round of incentive distribution is over, the learnings from the AR can be incorporated and the RCT Design document can be published as a technical manual for conduct of RCT based interventions by government agencies not only in Nepal but also in other member countries of the region.

There is strong interest from the highest levels in this AR (the Department of Agriculture /DoA), GoN and ownership regarding the study, and there is an expectation that the study results will feed into the policy measures for strengthening of agri-extension system in Nepal. Once the end line survey is completed next year, the DoA has agreed for an ICIMOD-GoN joint experience-sharing conference at the regional level in which government representatives from RMCs will be invited.

***Gender sensitive packages on how to leverage migration for poverty reduction and food security developed:***

The Migration and Remittance AR that aims to build adaptive capacity of migrant-sending households, and concerns women-focused flood preparedness is ongoing in Udayapur district, Nepal (also a pilot district). Training has been completed for 240 women, one each from selected migrant-sending households. The programme of activities on flood resilient value chains includes also financial literacy training and flood preparedness, with the module finalized.

A similar initiative will be implemented in northern Pakistan that concerns eight flood-affected villages of Hunza-Nagar district in Gilgit-Baltistan.

**Result 2: Poverty among mountain men and women in the HKH region is reduced through increased resilience and the unlocking of new livelihood opportunities, and through the promotion of more equitable approaches.**

**Activity 4. Pilot Activities on climate change adaptation: Conduct pilot activities in a collaborative manner in vulnerable areas that strengthen the resilience of mountain men and women through delivery of services and products that will improve livelihood opportunities and ensure the sustainable management of natural resources;**

***At least 6 pilot collaborative HKH projects implemented:***

By December 2015, 6 pilots were operational in Bangladesh, Bhutan, Myanmar, Nepal (2), and Pakistan

Himalica concluded the process to establish 3 new pilots in 2015, with 2 in Nepal (Taplejung and Udayapur districts), and 1 in northern Pakistan (Gilgit-Baltistan province). After approval of the overall approach for the pilot projects by ICIMOD senior management, a call for expression of interest (EOIs) was published and implementing partners were selected through competitive bidding process.

The pilot interventions are designed with an aim to reduce poverty among mountain people through *increased resilience* and the *unlocking of new livelihood opportunities*, and through the *promotion of more equitable approaches*. Though the local context of each pilot site is different and opportunities vary greatly, there are some common challenges – e.g. production fluctuation and price volatility; unchecked exploitation of resources; climate & socio-economic changes impacting on farming practices; increased competition in market places; changes in consumption trends and rising concerns about food safety. It is in this context, pilot projects are developed to capitalize on opportunities offered by the diversity and niche potential of mountain products, while addressing vulnerabilities.

***6 - 8 effective partners are identified for pilot work, MOUs signed:***

The 6 partners identified, and contracted with Letter of Agreements are:

1. Ministry of Chittagong Hill Tracts Affairs – Bangladesh
2. The Ministry of Agriculture and Forests – Bhutan
3. Myanmar Institute for Integrated Development – Myanmar
4. Centre for Environmental and Agricultural Policy Research - Nepal
5. Environment Conservation and Development Forum – Nepal
6. Aga Khan Rural Support Program – Pakistan

***At least 4 HKH countries are hosting pilot collaboration activities***

The 5 countries hosting Himalica pilots are mentioned above.

***2 new pilot activities addressing livelihoods of poor mountain men and women identified, developed and into implementation in Year\_1***

During the first year of Himalica implementation, the pilots in Inle Lake uplands, Myanmar, and in Tsirang District, Bhutan, were initiated.

***4 new pilot activities addressing livelihoods of poor mountain men and women identified, developed and into implementation in Years\_2 & 3***

In years 2 & 3 of Himalica implementation, pilots the 4 pilots in Bandarban Hill District, Bangladesh, in Udayapur and Taplejung Districts, Nepal (2 pilots), and in Gilgit Baltistan, Pakistan, were initiated.

The pilot projects are at different stages of development, and there is ample scope for peer learning and experience sharing from each other. Keeping this into consideration, a regional workshop on pro-poor and climate resilient value chain development was organized for the partners of Himalica and of the AdaptHimal Initiative, in November 2015. This workshop gave good opportunities for partners not only to customize value chain approach but also to learn who does what, what worked well, and how it worked. As an effort to build resilience, community perceptions were mapped using various participatory tools about climate change, and its effect on community resources. And, communities were supported to develop climate change adaptation focused micro-plans.

### ***20 community-led micro plans developed with CCA / environment focus:***

Total 20 community led micro plans have been developed so far which include; Communities of pilot sites in Bhutan, Myanmar and Nepal have developed their community level micro plans as an integral part of the pilot activities in these countries. Five micro plans, one for each pilot village, have been developed in Barshong block in Bhutan, and incorporate ingredients that will help improve resource management and governance.

Similarly, in Myanmar, after initial orientation sessions were held with the partner to gain common understanding, and followed by water and land assessments with PRA exercises, another five micro-plans – one for each pilot village – have been developed. The micro-plans were presented and discussed in village mass-meeting, and approval gained from the other community members for implementation.

In Nepal, community-led micro-planning has been completed in all pilot villages in Taplejung. Thereby, ten micro-plans focusing on impacts of climate change and sustainable management of cardamom farming have been developed there.

In Bangladesh, initial activities geared to increase understanding of the importance of community planning, and role of communities in planning and its implementation has been held in a 3-day training on community-led micro-planning organized for community leaders, volunteers and staff of local NGOs from five Paras (villages) of the pilot area.



*Micro plan developed in a pilot village in Shan, Myanmar Community members developing micro plans for resource management, Bhutan*

Thus, 20 micro-plans have been developed, and 5 more initiated (in Bangladesh) up to the end of 2015. Moreover these plans form the basis for communities to leverage resources of other development organizations and government line departments. In Myanmar, for example, the Rural Development Department has stepped in to support the communities with water lifting to their water tanks, and using the participatory 3-dimesional model as planning tool.

The initial results from pilot sites show clear indication of increased household income, up-take of technologies by communities, and synergy with and ownership of national programmes. An account of progress in all six pilot projects is given below.





































				<p>(i) Since January, 2014 in the district of Udayapur, Nepal in collaboration with Nepal Institute of Development Studies (NIDS) and Centre for the Study of Labor and Mobility (CESLAM)</p> <p>(ii) Initiated in November, 2015 in Hunza and Nagar districts of Gilgit-Baltistan in Pakistan in collaboration with World Wildlife Fund for Nature (WWF), Pakistan.</p> <ul style="list-style-type: none"> <li>• A study for the loan system for migrants in Nepal conducted through NIDS.</li> </ul> <p>Action research (AR) initiatives on innovative livelihood opportunities</p> <ul style="list-style-type: none"> <li>• AR on pollination services in Chitral Pakistan completed in collaboration with Aga Khan Rural Support Program (AKRSP) and Khyber Pakhtunkhwa Agricultural University Peshawar.</li> <li>• Improving agricultural extension services cost effectively in 10 districts of Nepal through Randomized Controlled Trial (RCT) is ongoing in collaboration with J-PAL, NDRI and Department of Agriculture (DoA), Nepal.</li> <li>• Action research on community led climate resilient approaches underway in Bhutan through College of Natural Resources/Royal University of Bhutan (CNR/RUB).</li> </ul>	
5. 500 participants (40%+ women) in at least 3 international and 6 national/ regional workshops or conferences organized on CCA	350	283	283	<p><b>Progress in 2015</b></p> <ul style="list-style-type: none"> <li>• International Ecotourism Conference organized in Myanmar. Around 192 participants including 77 female and 115 male participated in the conference</li> <li>• Co-organized the Nansen Initiative Civil Society Meeting on “Climate Change, Disasters and Human Mobility in South Asia” in Kathmandu. Over 71 participants (including 26 female and 45 male) 50+ participants from six ICIMOD Regional Member Countries (RMCs) participated in the workshop</li> <li>• A regional workshop on Ecosystem service assessment organized in Thimpu Bhutan for more than 20 key stakeholders from Bhutan, Myanmar and Nepal</li> </ul>	Output 6: National and regional platforms to share knowledge, experience and engage diverse stakeholders to shape policies and practices on innovative adaptation approaches and mechanisms are established.

<b>Result 2 Poverty reduction:</b> Poverty among mountain men and women in the HKH region is reduced through increased resilience and the unlocking of new livelihood opportunities, and through the promotion of more equitable approaches					
Himalica Log frame output Indicators	Planned for 2015	Progress 2015	Cumulative Progress		Link to RP Out put
			Quantitative	Qualitative	
2. 20 community-led micro-plans developed with CCA/environment focus	20	20	20	<b>Progress in 2015</b> Followed by a regional TOT on micro-planning for the implementing partners, they facilitated communities to develop a total of 20 micro-plans with gender focus for livelihood improvement and climate change adaptation; <ul style="list-style-type: none"> <li>• 5 community led micro plans developed in Barshong, Bhutan,</li> <li>• 10 (one for each ward) in Taplung and</li> <li>• 5 in Myanmar.</li> <li>• Participatory 3-dimensional model (P3DM) being developed at pilot villages of Myanmar to be used to revise micro-plans in future for better management of water, land and forest resources.</li> </ul>	Output 3: Improved resource governance, access and support services identified, assessed and promoted for livelihoods
3. 1500 poor men and women in 25 communities are targeted as beneficiaries of pilots (gender disaggregated)	2000	5015	9215	<b>Progress in 2015</b> 3 new pilot projects under implementation in Udayapur and Taplung, Nepal and Gilgit-Baltistan in Pakistan targets 955 households' beneficiaries, (with an average household size of 5, total (5x955) 4775 men and women are expected to benefit from the 3 new pilot projects.  In addition, Action Research on Migration and Flood response, target 240 women-headed households (HHs) in Nepal.  <b>Progress in 2013-14</b> 3 pilot projects target a total of 840 households in Bangladesh, Bhutan and Myanmar. Average households size: 5 (840 x 5 =4200)	Output 4: Gender specific livelihood diversification options to enhance income and adaptive capacity of mountain people identified, piloted and validated and up scaled in collaboration with partners.

Himalica Log frame output Indicators	Planned for 2015	Progress 2015	Cumulative Progress		Link to RP Out put
			Quantitative	Qualitative	
4. 50% of targeted poor men and women record 30% increase in income (gender disaggregated)				<p>To assess the progress, baseline and end line surveys are planned to be conducted in the pilot intervention areas.</p> <p>Bangladesh: Partner identified, contracting process initiated.</p> <p>Bhutan and Myanmar: Baselines survey conducted</p> <p>Nepal: Surveys underway.</p> <p>Pakistan: AKRSP (pilot partner) will identify firm to conduct baseline after finalization of value chain study in 1st quarter of 2016.</p>	Output 4: Gender specific livelihood diversification options to enhance income and adaptive capacity of mountain people identified, piloted and validated and up scaled in collaboration with partners.
5. 2 gender-sensitive social protection packages developed for migrants or those left behind	2	2	2	<p><b>Progress in 2015</b></p> <p>A package on immediate flood preparedness (Go-bag) and one on financial literacy and long term response prepared.</p>	Output 4: Gender specific livelihood diversification options to enhance income and adaptive capacity of mountain people identified, piloted and validated and up scaled in collaboration with partners.
6. 10 value chains of mountain products analyzed, leverage points addressed	6	6	10	<p><b>Bangladesh: (2015)</b></p> <ol style="list-style-type: none"> <li>1. Assessment of tourism and its associated sub sectors value chain conducted and report shared with Bandarban Hill District Council (BHDC). The 'menu of products' from pilot villages prepared and detailed value chain analysis of four most promising product analyzed including; Coffee, Mango, Handicrafts and Cashew nut) completed and report finalized.</li> </ol> <p><b>Bhutan: (2014)</b></p> <p>Value chain study underway and VC analytical report is under finalization for the pilot project site on;</p> <ol style="list-style-type: none"> <li>2. Goat meat and</li> <li>3. Vegetables and ginger</li> </ol>	Output 4: Gender specific livelihood diversification options to enhance income and adaptive capacity of mountain people identified, piloted and validated and up scaled in collaboration with partners.

				<p><b>Myanmar: (2014)</b> Two value chains developed;</p> <ol style="list-style-type: none"> <li>4. Ginger and</li> <li>5. Bamboo</li> </ol> <p><b>Nepal: (2015)</b> The value chain studies are being carried out;</p> <ol style="list-style-type: none"> <li>6. Cardamom and its associated chains in Taplejung district and</li> <li>7. Fresh Vegetables and spices in Udayapur district</li> <li>8. Pea VCA in Udayapur</li> </ol> <p><b>Pakistan: (2015)</b> The assessment of risk and value chain is being carried out by the implementing partner;</p> <ol style="list-style-type: none"> <li>9. Yak meat and</li> <li>10. Sea buckthorn</li> </ol>	
7. 250 trainers have been trained in CCA-related topics	200	281	605	<p><b>Progress in 2015</b></p> <ul style="list-style-type: none"> <li>• 19 staff members of training partners trained on CCA which include 9 male and 10 female participants.</li> <li>• 262 staff of government and non-government organizations trained on CCA which include 187 male and 75 female participants.</li> </ul> <p><b>Progress in 2013-14</b></p> <ul style="list-style-type: none"> <li>• 46 staff members of training partners trained on CCA.</li> <li>• 278 staff of government and non-government organizations trained on CCA.</li> </ul>	Output 5: Capacity of relevant institutions to mitigate risks and manage change strengthened
8. 100 young entrepreneurs trained	50	10	10	<p><b>Progress in 2015</b> Identification of opportunities for supporting entrepreneurs linked to ongoing value chains initiated. Selection criterion being developed</p>	Output 5: Capacity of relevant institutions to mitigate risks and manage change strengthened

## Activity/Component Wise Progress

Himalica Log frame output Indicators	Planned for 2015	Progress 2015	Cumulative Progress		Link to RP Out put
			Quantitative	Qualitative	
Activity 1: <b>Develop capability to adapt policy:</b> Increase the national and regional collaborative capacity to develop adapted policies impacting on mountain rural livelihoods, taking socio-economic and climate change into account					
1.1.1 6 Climate Change adaptation policies or strategies identified, monitored and assessed	2	2	3	<b>Progress in 2015</b> <ul style="list-style-type: none"><li>A policy review on the role of circular labor migration in Bangladesh through RMMRU conducted.</li><li>Analytical review of the existing migration and remittance policies in reducing vulnerability and increasing resilience to environmental and socioeconomic change in Pakistan with a special focus on the mountain region completed.</li></ul> <b>Progress in 2014</b> <ul style="list-style-type: none"><li>Gap analysis of CCA mainstreaming to development policy at district level (Khotang &amp; Udayapur) conducted under the policy component with Green Forum in Nepal</li></ul>	Output 3: Improved resource governance, access and support services identified, assessed and promoted for livelihoods
1.1.2 4 NAPA or national strategies or policies and processes are supported and adapted to mountain-specific context through project influence	2	2	2	<b>Progress in 2014</b> <ul style="list-style-type: none"><li>Destination Management Plan for the Inlay Region, Myanmar, developed; Shan State Tourism Project developed by the Shan State Government (funded by GIZ) based on DMP</li><li>Myanmar Ecotourism Policy and Management Strategy for PAs developed and launched;</li><li>A policy brief on migration and adaptation has been shared with the GoN before its participation to COP 21. Dialogue is ongoing on how to bring the issue forward and a ToR is under discussion.</li></ul>	Output 3: Improved resource governance, access and support services identified, assessed and promoted for livelihoods

Himalica Log frame output Indicators	Planned for 2015	Progress 2015	Cumulative Progress		Link to RP Out put
			Quantitative	Qualitative	
1.1.3 At least 5 knowledge products on ecosystem services are developed and used by partners	3	1	1	<b>Progress in 2015</b> Ecosystem Services Assessment (ESA) framework developed and published. (Assessments completed in the 3 pilot sites of Bhutan, Myanmar and Nepal).	Output 1: Knowledge products for enhanced understanding of risks, uncertainties, vulnerabilities, gender issues, migration, poverty and opportunities to adapt to change developed and strategically disseminated
1.1.4 Mountain specific poverty index applied in at least 4 member countries	2	1	1	<b>Progress in 2015</b> As a concerted step to improve targeting and improved programme designing to enhance CCA and inclusion in all interventions: <ul style="list-style-type: none"> <li>• Himalica completed the Poverty and Vulnerability assessments (PVA) in Myanmar.</li> <li>• In Bhutan, the PVA is under implementing with Ministry of Agriculture and Forests (MOAF) and the Gross National Happiness Commission.</li> </ul>	Output 2: Comprehensive and inclusive approaches, assessment methods, economic and gender analyses, institutional and governance mechanisms for adaptation to change developed
1.1.5 4 member countries are provided support to engage in international CCA events	3	2	2	<b>Progress in 2015</b> Building on the collaboration between Nansen Initiative, Government of Nepal and ICIMOD, ICIMOD supported Government of Nepal team to: <ol style="list-style-type: none"> <li>Participate at the Nansen Initiative's Regional Consultation on "Climate Change, Disasters and Human Mobility in South Asia" in Khulna, Bangladesh.</li> <li>Senior members of the GoN delegation (NPC member and Undersecretary MoSTE) participated in a global intergovernmental consultation organized by the Nansen initiative in Geneva</li> </ol>	Output 6: National and regional platforms to share knowledge, experiences and engage diverse stakeholders to shape policies and practices on innovative adaptation approaches and mechanisms established



				(iii) Secretary from the Prime Minister's Office of the GoN was supported to participate in the COP 21 as part of the GoN delegation	
1.1.6 3+ International workshops/conferences organized on CCA in region	2	2	2	<b>Progress in 2015</b> <ul style="list-style-type: none"> <li>• Together with the Nansen Initiative and Asia Pacific Refugee Rights Network (APRRN), the ICIMOD co-organized the Nansen Initiative Civil Society Meeting on "Climate Change, Disasters and Human Mobility in South Asia" in Kathmandu. Over 71 participants (including 26 female and 45 male) 50+ participants from six ICIMOD RMCs) participated in the workshop.</li> <li>• International Ecotourism Conference organized in Myanmar and attracted regional interest to minimize dependency on climate vulnerable earning opportunities and increase climate resilient livelihood options. Around 192 participants including 77 female and 115 male participated in the conference.</li> </ul>	Output 6: National and regional platforms to share knowledge, experiences and engage diverse stakeholders to shape policies and practices on innovative adaptation approaches and mechanisms established

<b>Activity 2: Knowledge management:</b> Raising awareness and disseminating knowledge on the effects of climate change and adaptation responses in the HKH region					
Himalica Log frame output Indicators	Planned for 2015	Progress 2015	Cumulative Progress		Link to RP Out put
			Quantitative	Qualitative	
1.2.1 At least 25 knowledge products on CCA related issues (e.g. poverty, value chains, tourism, ecosystem services) developed, packaged and disseminated, additionally 6 knowledge products will be achieved by {17 Himalica + 6 HICAP + 2 by AdaptHimal = 25} under the RP1	6	6	6	<b>Progress in 2015</b> <ul style="list-style-type: none"> <li>Published a CCA Resource Book and other Information, Education and Communication (IEC) materials in English and Dzongkha language, through a local partner BMCI in Bhutan</li> <li>Myanmar Ecotourism Policy published</li> <li>Inlay Region Destination Management Plan published</li> <li>ESA framework developed and published for the audience in the pilot sites of Bhutan, Myanmar and Nepal.</li> <li>2 chapters (case studies on migration and gender in Nepal and Pakistan) has been submitted for a peer reviewed book, to be published by the Springer publication.</li> </ul>	Output 1: Knowledge products for enhanced understanding of risks, uncertainties, vulnerabilities, gender issues, migration, poverty and opportunities to adapt to change developed and strategically disseminated
1.2.2 At least 6 national and 4 regional conferences or workshops arranged to share CCA information	2	2	2	<b>Progress in 2015</b> <ul style="list-style-type: none"> <li>Myanmar Ecotourism Policy Consultation successfully organized.</li> <li>A regional workshop on Ecosystem service assessment organized in Thimpu Bhutan for more than 20 key stakeholders from Bhutan, Myanmar and Nepal</li> </ul>	Output 6: National and regional platforms to share knowledge,
1.2.3 6+ Exposure visits organized to share CCA knowledge	5	5	8	<b>Bangladesh:</b> <ul style="list-style-type: none"> <li>Exposure visit organized for 11 official (3 female) of Govt and NGOs from Bangladesh to Nepal to see improved farming practices and use of technology in farming practices. <b>(2014)</b>. A second exposure visit to Myanmar organized for Project Management Unit (PMU) for learnings from Inlay Lake tourism destination management. <b>(2015)</b></li> </ul>	Output 5: Capacities of relevant institutions (public, civic, and private) to mitigate risks and manage change strengthened

				<p><b>Bhutan:</b></p> <ul style="list-style-type: none"> <li>Exposure visit organized for 10 agriculture and forest professionals (3 female and 7 male) from Bhutan to Himachal Pradesh in India to learn from the institutional practices and programs <b>(2013)</b></li> <li>10 farmers, including 3 female, from Bhutan taken to India to learn about different varieties of vegetables and its production techniques <b>(2015)</b>. Exposure visit organized for 10 farmers (3 female and 7 male) from Bhutan to Nepal focused on goat value chain (2015)</li> </ul> <p><b>Myanmar:</b></p> <ul style="list-style-type: none"> <li>Exposure visit organized for 8 stakeholders including farmers and government officials from Myanmar to Nepal to study and learn from the community forest program/practices and ecotourism activities <b>(2013)</b></li> </ul> <p><b>Nepal:</b></p> <ul style="list-style-type: none"> <li>Stakeholder's exposure visit on ecosystem management related activities organized for 17 participants (8 women) for stakeholders from Udayapur Nepal to various parts of Nepal. <b>(2015)</b>. Inter district visit for 31 farmers (5 female) from Nepal focused on sustainable cardamom production practices in Ilamanad Jhapa Nepal. <b>(2015)</b></li> </ul>	
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Himalica Log frame output Indicators	Planned for 2015	Progress 2015	Cumulative Progress		Link to RP Out put
			Quantitati ve	Qualitative	
Activity 3: <b>Collaborative action research:</b> Strengthening collaborative action research in the region in relation to mountain livelihoods and eco-systems, generating evidence-based knowledge on adaptation and mitigation to climate change in the HKH region. This may include European / international organizations]					
1.3.1 10+ High value product value chains are analyzed with partners	5	5	5	<b>Progress in 2015</b> <ul style="list-style-type: none"><li>Value chain analysis of (i) apricot and (ii) Apis cerana honey conducted in Chitral, Pakistan with AKRSP.</li><li>VCA of Apis cerana honey conducted in (iii) Bangladesh with ECO- Development, Bandarban and (iv) in Bhutan with RNR-RDC in Jakar, Bumthang.</li><li>VCA of (v) Peas conducted in Udayapur Nepal with NIDS to link with migration research for productive use of remittance by women headed migrant sending households.</li></ul>	Output 4: Gender-specific livelihood diversification options (high value products, value chains and ecotourism) to enhance income and adaptive capacity of mountain people identified, piloted, validated and up-scaled, in collaboration with partner
1.3.2 3 action research initiatives on tourism or ecosystem services developed and implementation with partners	3	2	2	<b>Progress in 2015</b> <ul style="list-style-type: none"><li>Tourism DMP (process) development in Myanmar in collaboration with MIID and Shan State Government, Inlay.</li><li>Ecosystem management by communities in Nepal through BCN under way.</li></ul>	Output 3: Improved resource governance, access and support services identified, assessed and promoted for livelihoods

Himalica Log frame output Indicators	Planned for 2015	Progress 2015	Cumulative Progress		Link to RP Out put
			Quantitative	Qualitative	
1.3.3 3 action research initiatives on migration or population dynamics developed and under implementation with partners	3	3	3	<b>Progress in 2015</b> <ul style="list-style-type: none"> <li>Women focused flood preparedness and remittance use in flood resilient VC to build adaptive capacity of migrant-sending households is ongoing (i) since January, 2014 in the district of Udayapur, Nepal in collaboration with NIDS and CESLAM (ii) initiated in November, 2015 in Hunza and Nagar districts of Gilgit-Baltistan in Pakistan in collaboration with WWF, Pakistan.</li> <li>A study for the loan system for migrants in Nepal conducted through NIDS.</li> </ul>	Output 3: Improved resource governance, access and support services identified, assessed and promoted for livelihoods
1.3.4 3 new action research initiatives on innovative livelihood opportunities developed and under implementation with partners	3	3	3	<b>Progress in 2015</b> <ul style="list-style-type: none"> <li>An AR on pollination services (Impact of bee pollination on apple yield and fruit quality) in Chitral Pakistan completed in collaboration with AKRSP and KPK Agricultural University Peshawar.</li> <li>Improving agricultural extension services cost effectively in 10 districts of Nepal through Randomized Controlled Trial (RCT) is ongoing since January, 2014 in collaboration with J-PAL, NDRI and Department of Agriculture, Nepal.</li> <li>Design document prepared by J-PAL, baseline survey data, data from two follow up surveys, data from two on-farm monitoring surveys, J-PAL report based on data analysis, report on five incentive distribution workshops.</li> <li>Action research on community led climate resilient approaches underway in Bhutan through CNR/RUB.</li> </ul>	Output 3: Improved resource governance, access and support services identified, assessed and promoted for livelihoods
1.3.5 2 gender sensitive packages on how to leverage	2	2	2	<b>Progress in 2015</b> <p>A package on immediate flood preparedness (Go-bag) and one on financial literacy and long term response prepared. The</p>	Output 4: Gender specific livelihood diversification options to enhance income and

migration for poverty reduction and food security developed				Migration and Remittance action research that aims to build adaptive capacity of migrant-sending households is ongoing (i) in the district of Udayapur of Nepal and (ii) in the Hunza and Nagar districts of Gilgit-Baltistan in Pakistan.	adaptive capacity of mountain people identified, piloted and validated and up scaled in collaboration with partners.
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Himalica Log frame output Indicators	Planned for 2015	Progress 2015	Cumulative Progress		Link to RP Out put
			Quantitative	Qualitative	
Activity 4: <b>Pilot activities on climate Change adaptation:</b> Conduct pilot activities in a <u>collaborative manner</u> in vulnerable areas that strengthen the resilience of mountain men and women through delivery of services and products that will improve livelihood opportunities and ensure the sustainable management of natural resources. The pilot projects will be evaluated / selected by the PSC taking into account the following criteria: (1) Relevance / mountain specificity; (2) Regional collaboration; (3) Feasibility and potential impact; (4) Potential by government(s) and/or private sector to scaling up; (5) Capacity of implementing institutions(s); Cost effectiveness of budget.					
2.1.1 6 effective partners are identified for pilot work, MOUs signed	3	3	6	6 partners identified in 5 HKH countries for the pilot interventions; <ul style="list-style-type: none"><li>• Myanmar: MIID <b>(2013)</b></li><li>• Bangladesh: MoCHTA <b>(2014)</b></li><li>• Bhutan: MoAF <b>(2014)</b></li><li>• Nepal: ECDF and CEAPRED <b>(2015)</b></li><li>• Pakistan: AKRSP <b>(2015)</b></li></ul> LoAs have been signed and implementation under way.	Output 4: Gender specific livelihood diversification options to enhance income and adaptive capacity of mountain people identified, piloted and validated and up scaled in collaboration with partners.
2.1.2 at least 4 HKH countries are hosting pilot collaboration activities	2	2	5	5 HKH countries are currently hosting the pilot projects that include; <ul style="list-style-type: none"><li>• Myanmar <b>(2013)</b></li><li>• Bangladesh <b>(2014)</b></li><li>• Bhutan <b>(2014)</b></li><li>• Nepal <b>(2015)</b></li><li>• Pakistan <b>(2015)</b></li></ul>	Output 4: Gender specific livelihood diversification options to enhance income and adaptive capacity of mountain people identified, piloted and validated and up scaled in collaboration with partners.

Himalica Log frame output Indicators	Planned for 2015	Progress 2015	Cumulative Progress		Link to RP Out put
			Quantitative	Qualitative	
- 3 new pilot activities addressing livelihoods of poor mountain men and women identified, developed and into implementation in Year_1	0	0	3	3 pilot activities addressing livelihoods for poor mountain men and women identified, developed and value chain development under implementation in: <ul style="list-style-type: none"> <li>• Myanmar by MIID on ginger and bamboo VC <b>(2013)</b></li> <li>• Bangladesh by MoCHTA on tourism <b>(2014)</b></li> <li>• Bhutan by MoAF on vegetable and goat meat VC <b>(2014)</b></li> </ul>	Output 4: Gender specific livelihood diversification options to enhance income and adaptive capacity of mountain people identified, piloted and validated and up scaled in collaboration with partners.
3 new pilot activities addressing livelihoods of poor mountain men and women identified, developed and into implementation in Years_2&3	3	3	3	<b>Progress in 2015</b> 3 new pilot activities addressing livelihoods for poor mountain men and women identified, developed and value chain development under implementation in: <ul style="list-style-type: none"> <li>• Nepal: Vegetables with Centre for Environmental and Agricultural Policy Research (CEAPRED) in Udayapur, and Cardamom with Environment Conservation and Development Forum (ECDF) in Taplejung</li> <li>• Pakistan: Yak meat and Sea buckthorn with AKRSP in Gilgit-Baltistan.</li> </ul>	Output 4: Gender specific livelihood diversification options to enhance income and adaptive capacity of mountain people identified, piloted and validated and up scaled in collaboration with partners.
2.1.3 20 community-led micro plans developed with CCA/environment focus	18	20	20	<b>Progress in 2015</b> 20 communities have develop micro-plans with gender focus for livelihood improvement and climate change adaptation; <ul style="list-style-type: none"> <li>• Bhutan: 5 community-led micro plan developed in Barshong</li> <li>• Myanmar: 5 community-led micro plan developed in Inlay</li> <li>Nepal: 10 (one for each ward) in Taplejung</li> </ul>	Output 2 Approaches, assessment methods, economic and gender analysis, institutional governance mechanisms for adaptation to change developed.



Himalica Log frame output Indicators	Planned for 2015	Progress 2015	Cumulative Progress		Link to RP Out put
			Quantitative	Qualitative	
Activity 5: <b>Capacity building:</b> Support to building capacity in higher education, training institutions and NGOs across the HKH region in particular at local level, to scale up best practice for improved resilience to climate change.					
2.2.1 8 training partners identified across the region, MOUs signed	0	0	8	8 training partners identified in 5 RMCs for the capacity building purposes; • Bangladesh: Aranayak Foundation <b>(2013)</b> • Bhutan: BMCI and RUB/CNR <b>(2014)</b> • Myanmar: MIID <b>(2013)</b> • Nepal: Alliance Nepal and National Association of Village Development Committee in Nepal (NAVIN) , DoA, Nepal <b>(2013)</b> • Pakistan: Rural Support Program Network (RSPN) <b>(2013)</b>	
2.2.2 120 staff from training partners have received CCA training	20	19	65	Staff members of the training organizations trained on CCA.  • <b>Bangladesh:</b> Trained 2 staff of Aranayak Foundation on CCA in Nepal which include 1 male and 1 female <b>(2013)</b> • <b>Bhutan:</b> Trained total 12 staff which include 5 male and 7 female participants. (Participants include 6 staff from BMCI and 6 from CNR) <b>(2014-15)</b> • <b>Nepal:</b> Trained 39 staff which include 27 male and 12 female participants. (Participants include 16 staff from NAVIN and 23 from Alliance Nepal) <b>(2014)</b> • <b>Pakistan:</b> Trained 12 staff members of RSPN which include 7 male and 5 female. <b>(2015)</b>  <b>Total</b> 65 staff members of the training partners trained on CCA which include 40 male and 25 female participants.	Output 5: Capacity of relevant institutions to mitigate risks and manage change strengthened

Himalica Log frame output Indicators	Planned for 2015	Progress 2015	Cumulative Progress		Link to RP Out put
			Quantitative	Qualitative	
2.2.3 120 staff from government and non-government bodies have received CCA training	100	262	540	<ul style="list-style-type: none"> <li>• <b>Bangladesh:</b> 142 staff (105 male and 37 female)</li> <li>• <b>Bhutan:</b> 130 staff (80 male and 48 female)</li> <li>• <b>Myanmar:</b> 20 journalists (10 male and 10 female)</li> <li>• <b>Nepal:</b> 72 staff (58 male and 14 female)</li> <li>• <b>Pakistan: 182 staff (119 male and 63 female)</b></li> </ul> <p><b>Total 540 staff</b> of govt and non-govt organizations trained on CCA which include 372 male and 168 female participants.</p>	Output 5: Capacity of relevant institutions to mitigate risks and manage change strengthened
2.2.4 Training in relation to good practices demonstrated through pilot projects (from Activity 4)	10	12	19	<p><b>Regional Trainings at ICIMOD:</b> 48 people participated in 2 region events including 35 male and 13 female</p> <p><b>Bangladesh:</b> 40 people (33 male and 7 female) participated in 1 training and 3 exposure visits</p> <p><b>Bhutan:</b> 96 participants (56 male and 40 male) participated in 5 different events related to sharing and demonstrating good practices. Community level training on climate resilient livelihood with check dams and contour hedgerows installed in Wangduephodrand and Dagana Dzongkhags Bhutan</p> <p><b>Myanmar:</b> 37 people participated in 2 different event including 25 male and 12 female. One ginger demonstration plot established to share the ginger production good practices.</p> <p><b>Nepal:</b> 68 people (51 male and 17 female) participated in 3 different events related to pilot projects good practices.</p>	Output 5: Capacity of relevant institutions to mitigate risks and manage change strengthened

## Country Wise Report

In 2015 Himalica interventions were implemented in Bangladesh, Bhutan, Myanmar, Nepal and Pakistan. The key activities in these five ICIMOD regional member countries is shown in the following table.

Country	Components	Key Achievements in 2015
<b>Bangladesh</b>	Collaborative Action Research	<ul style="list-style-type: none"> <li>Information on beekeeping and honey in CHT districts for value chain analysis collected and draft report prepared which is being reviewed for finalization and findings will be shared through a workshop.</li> </ul>
	Pilot Project	<ul style="list-style-type: none"> <li>Livelihood opportunities and risk assessment has been conducted in 26 Paras (villages) of Ruma Upzila out of which 10 Paras have been selected as target area for pilot interventions</li> <li>Value chain analysis of four most promising products (coffee, mango, handicrafts and cashew nut) completed and report finalized. An exposure visit to Myanmar organized for PMU of Bangladesh for learnings from Inlay Lake tourism destination management.</li> <li>Assessment of tourism value chain in pilot site conducted and report shared with Bandarban Hill District Council. The 'menu of products' from pilot villages prepared and detailed value chain analysis of four most promising product conducted</li> <li>Followed by a regional TOT on micro-planning, the implementing partners facilitated communities to develop micro-plans with gender focus for livelihood improvement and climate change adaptation. In this regard an initial orientation to local stakeholders and community leaders conducted in Ruma Upzila,</li> <li>To conduct socio economic household baseline surveys in pilot project sites of Bangladesh, identification and selection of partner is under way and the survey will be completed in the first quarter of 2016</li> </ul>
<b>Bhutan</b>	Policy Support	<ul style="list-style-type: none"> <li>For the PVA survey for knowledge inputs and policy support, LoA has been signed and partner organization has started the preparatory work.</li> </ul>
	Knowledge Management	<ul style="list-style-type: none"> <li>Information, Education and Communication (IEC) materials publication on CCA in English and Dzongkha language for Bhutan is under way. A LoA has been signed with Bhutan Media and Communication Institute (BMCI) in this regard. BMCI has submitted the Draft CCA Resource Book for ICIMOD's review. The review is set for January. Feedback on leaflet and posters already have been given to BMCI.</li> </ul>
	Collaborative Action Research	<ul style="list-style-type: none"> <li>Regional level workshop successfully organized in Thimphu on sharing findings of ESA in Bhutan. The stakeholders appreciated the objective to consolidate the ESA work in 3 pilot sites of Nepal, Bhutan and Myanmar and the Government agencies committed to adopt this process and develop a policy brief.</li> <li>LOA has been signed with partner to start the value chain analysis. initial meeting with the implementing partner held, questionnaire and guidelines for information collection and undertaking the research finalized, training workshop conducted to train the enumerators in information/ data collection, data collection for one of the 6 districts completed, a list of beekeeping (particularly indigenous bees) related organizations in the HKH prepared and information on more organization is being added to the list</li> </ul>

	Pilot Project	<ul style="list-style-type: none"> <li>Gender equity issues and women's support has been covered in pilot ToRs and plans. A two-days' workshop on 'Empowering Women as Agent of Change' organized in Tsirang, Bhutan with an objective to raise awareness of Gender amongst the women and men leaders, strengthen their skills as change agents, and identify roles of women and men in the value chains being considered under Himalica pilot. The concept developed for this workshop will be the basis for integrating Gender in all other pilot activities.</li> <li>Followed by a regional TOT on micro-planning, the implementing partners facilitated communities to develop micro-plans with gender focus for livelihood improvement and climate change adaptation. In line with the same, 5 community-led micro plan developed in Barshong, Bhutan</li> <li>For the water and soil resource management technologies demonstrations in Bhutan, water resource assessment has been completed and actions suggested for retention, reuse and recharge of water.</li> <li>The socio economic household baseline surveys in pilot project sites of Bhutan has been completed</li> <li>For the livelihood opportunities and risk assessment in Bhutan an orientation workshop was conducted for partner on VC and PRA tools which included group exercises on VC mapping and PRA related methodology sessions separately for team leader. The assessment in pilot site (Barshong Geog), Bhutan is being carried out through the partner RUB/College of Natural Resources.</li> <li>Study on goat and vegetable value chain is underway and VC analytical report is under finalization for pilot project in Bhutan</li> <li>A training on sustainable land management conducted in pilot site in Bhutan with focus on appropriate techniques for managing water run-off, drainage, soil erosion, soil nutrient. 43 individuals participated in the training</li> </ul>
	Capacity Building	<ul style="list-style-type: none"> <li>Awareness raising sessions on CCA conducted in Bhutan for relevant line agencies at district level in Tsirang, and for community members from the Geogs at pilot site in Barshong.</li> <li>As part of sustainable land management training in Bhutan and water management training in Myanmar, orientation sessions conducted about the practices and techniques for kitchen garden and waste water management.</li> <li>10 rural youth including 4 female and 6 male, from Bhutan are being supported for two years master's program in rural development through Royal University of Bhutan/CNR</li> </ul>
<b>Myanmar</b>	Policy Support	<ul style="list-style-type: none"> <li>Myanmar Ecotourism Policy and Destination Management Plan for the Inle Lake Region have been finalized, printed, and distributed to relevant agencies, individuals, and line departments.</li> <li>International ecotourism conference successfully organized in Myanmar and attracted regional interest</li> </ul>
	Knowledge Management	<ul style="list-style-type: none"> <li>Visual documentation (video clips) on Improved Water and Soil Management training from Myanmar captured and pictorial travel report shared. Visual documentation on Regional Experience Sharing</li> </ul>

		and Peer Learning Workshop on Inclusive and Climate Smart Value Chain development prepared.
	Collaborative Action Research	<ul style="list-style-type: none"> <li>▪ PVA survey and data analysis for knowledge inputs and policy support has been completed in Myanmar. Preparatory work for knowledge input for policy engagement is on going</li> </ul>
	Pilot Project	<ul style="list-style-type: none"> <li>▪ Followed by a regional TOT on micro-planning, the implementing partners facilitated communities to develop micro-plans with gender focus for livelihood improvement and climate change adaptation. In line with the same, 5 community-led micro plan developed in Myanmar</li> <li>▪ Participatory 3-dimensional model (P3DM) developed for Myanmar by engaging community members from pilot villages, relevant stakeholders and implementing partner. This model will be used to design and implement interventions for better management of water, soil and other resources</li> <li>▪ Baseline survey conducted in pilot site of Myanmar</li> <li>▪ Completed value chain analysis of ginger and bamboo in Myanmar and findings shared with multi stakeholder platform. Ginger demonstration plots established in 5 villages of Myanmar and farmers from each village participate and practice in field schools</li> </ul>
	Capacity Building	<ul style="list-style-type: none"> <li>▪ A training on roof rain water harvesting and quality control system for community members and local level technicians conducted in Myanmar. As the context of different pilot site varies, the course content customized to meet the specific need of pilot sites in Myanmar, rather than organizing regional training. 20 participants from Shan State attended the training.</li> <li>▪ As part of sustainable land management training in Bhutan and water management training in Myanmar, orientation sessions conducted about the practices and techniques for kitchen garden and waste water management.</li> </ul>
<b>Nepal</b>	Policy Support	<ul style="list-style-type: none"> <li>▪ To support the NAP process in Nepal through consultations, gap analysis and ground-learnings, negotiation with a potential partner JVS is in final stages to sign LoA.</li> </ul>
	Collaborative Action Research	<ul style="list-style-type: none"> <li>▪ To enhance understanding of gender issues and migration, linked with adaptation to change, 2 chapters (case studies on Nepal and Pakistan) had been submitted for a peer reviewed book, which is being edited by the IOM/UNU and will be published by the Springer publication.</li> <li>▪ Review and capacity building of field staff on maize intercropping successfully completed RCT Nepal. The Department of Agriculture organized 4 events of training for its RCT participants. A total of 72 staff with 14 women, 58 men trained in CCA maize intercropping technology. The group was comprised of 40 field staff, 20 district level staff, and 12 central-level staff.</li> <li>▪ To develop action research methodology to analyze adaptation interventions and strengthen institutional delivery mechanisms, a technology adoption survey for action research on RCT in Nepal has been completed. Data entry process has also completed and J-PAL is in the process of preparing report highlights of technology adoption in districts.</li> <li>▪ For the distribution of incentive packages for action research on RCT in Nepal, materials have been purchased and the distribution workshop</li> </ul>

		<p>could not be organized by the Department of Agriculture (DoA) and ICIMOD-J-PAL because of fuel crisis in Nepal. The distribution is planned to be completed in the first quarter of 2016.</p> <ul style="list-style-type: none"> <li>▪ Flood preparedness training of the beneficiaries from the migrant sending household has been completed in Nepal. Approximately, 240 women from 240 migrant sending households participated in this training. Of these, 154 households have adopted go-bags and around 204 households have been provided with water purifying agent.</li> <li>▪ The financial literacy module for Nepal has been developed and finalized where as a flood preparedness module is yet to be finalized.</li> <li>▪ The extension service on financial literacy and flood preparedness by the NIDS field team in Udayapur, Nepal for the beneficiaries from the migrant sending household, continues. Though the extension service had been disrupted by the Terai protests from October to November. During this time village coordinators were unable to reach the study villages.</li> <li>▪ Together with the Nansen Initiative and Asia Pacific Refugee Rights Network (APRRN), the ICIMOD had co-organized the Nansen Initiative Civil Society Meeting on “Climate Change, Disasters and Human Mobility in South Asia” in Kathmandu from 2 – 3 February 2015. Over 70 participants (including 50+ participants from six ICIMOD RMCs) participated in the workshop.</li> <li>▪ To support for position paper on climate change and migration by the government stakeholders, the Secretary from the Prime Minister’s Office of the Government of Nepal (GoN) was facilitated to participate in the COP 21 as part of the GoN delegation. A policy brief on planning migration has been shared with this GoN team. Upon their return, the GoN team will be consulted about the way forward.</li> <li>▪ 1 district level stakeholders exposure visit on ecosystem management related activities for 17 participants (8 women) from 10 organizations organized in various parts of Nepal (Chitwan, Tanahun, Kaski, Dhading, Lalitpur and Kavre).</li> </ul>
	Pilot Project	<ul style="list-style-type: none"> <li>▪ Followed by a regional TOT on micro-planning, the implementing partners facilitated communities to develop micro-plans with gender focus for livelihood improvement and climate change adaptation. In line with the same, 10 community-led micro plan developed (one for each ward) in Taplung, Nepal.</li> <li>▪ New partner identification and selection process for pilot completed and LOA signed with CEAPRED and ECDF for Udayapur and Taplung, Nepal respectively and the interventions have already initiated by partners in pilot sites</li> <li>▪ To conduct socio economic household baseline surveys in pilot project sites of Nepal, partner has been selected and data collection has been completed in both the pilot sites of Udayapur and Taplung and the data analysis will be completed in the first month of next year.</li> <li>▪ In Nepal value chain study on cardamom and its associated chains for Taplung and study on vegetables for Udayapur is being carried out.</li> </ul>

		<ul style="list-style-type: none"> <li>▪ Packages of practices for climate resilient cardamom and vegetable farming are being developed, and farmers groups and sites identified for demonstration of technologies.</li> </ul>
	Capacity Building	<ul style="list-style-type: none"> <li>▪ A regional ToT on micro planning conducted in Nepal during last week of August, 2015 for staff of local implementing partners and other relevant stakeholders including community leaders.</li> <li>▪ A regional ToT on climate resilient VC successfully conducted in Nepal. 24 Participants from AdaptHimal and Himalica pilots participated in this training.</li> </ul>
	Collaborative Action Research	<ul style="list-style-type: none"> <li>▪ To enhance understanding of gender issues and migration, linked with adaptation to change, 2 chapters (case studies on Nepal and Pakistan) had been submitted for a peer reviewed book, which is being edited by the IOM/UNU and will be published by the Springer publication.</li> <li>▪ A networking process of organizations related to beekeeping (particularly those engaged in indigenous bees) in the HKH region has been initiated to develop a knowledge dissemination mechanism. In this regard a list of related organizations is prepared and is being expanded by adding more organizations. Series of consultative meeting would be organized to formalize and strengthen the networking. This networking will also be used to facilitate the development and promotion of Pan Himalayan mountain niche honey with unique area specific characteristics for Himalica and other stakeholders.</li> <li>▪ LoA between ICIMOD and WWF has been signed in November 2016 for the financial literacy and flood preparedness trainings of beneficiaries from the migrant sending households. Presently, preparation for village and household selection and baseline survey is ongoing.</li> <li>▪ Pollination Action Research 1st year results on the production of apple and fruit quality in Chitral, Pakistan compiled and presented in an international meeting in a meeting at the Karakoram International University; detail paper is being prepared. Second year studies initiated to validate findings undertaken and report from AKRSP is awaited. Value chain analysis reports of apricot value chain, and honey are finalized which will be submitted for publication</li> </ul> <p>For the flood preparedness training of the beneficiaries from the migrant sending household in Pakistan, LoA between ICIMOD and WWF has been signed in November 2016. Presently, preparation for village and household selection and baseline survey is ongoing.</p>
<b>Pakistan</b>	Pilot Project	<ul style="list-style-type: none"> <li>▪ New partner identification and selection process for pilot project completed and LOA signed with AKRSP for Gilgit-Baltistan pilot in Pakistan and the interventions has already initiated by partners in pilot sites</li> <li>▪ In Pakistan value chain study of yak meat and sea buckthorn is under way to be completed in the first quarter of 2016</li> </ul>
	Capacity Building	<ul style="list-style-type: none"> <li>▪ RSPN successfully conducted Master Training of Trainers (MToT) on CCA for 27 participants including 10 female, in Islamabad. RSPN is in the process of organizing 6 events of regional training at different locations in early 2016.</li> </ul>

## Annexes

### Annex 1 Financial statement



Support to Rural Livelihoods and Climate Change Adaptation in the Himalaya

Donor: European Union

Project No. 1-903-154-0-P

Contract CT No: ASIE/ 2012/ 292 464

Implementation Period 4 Dec 2012 to 3 Dec 2017

Interim Financial report

for the period 4 December 2012 - 31 Dec 2015

FOR MOUNTAINS AND PEOPLE

(Amount in Euro)

Budget Items	Revised Budget as per Contract (in EUR)	Reporting period 04/12/2012 to 31/12/2013 (In EUR)	Reporting period 01/01/14 to 31/12/14 (in EUR)	Reporting period 01/01/15 to 31/12/15 (in EUR)	Total	Balance
1. Human Resources	4,009,694	408,477	578,155	713,147	1,699,779	2,309,915
2. Consultancy/subcontracting	895,500	47,514	234,635	369,688	651,837	243,663
3. Travel Expenses	812,700	48,805	135,120	138,549	322,474	490,226
4. Equipments	495,900	3,233	2,261	21,955	27,449	468,451
5. Workshops and Training	1,962,000	146,136	246,107	464,104	856,347	1,105,653
6. Communication/ IT	706,500	4,841	4,250	28,108	37,199	669,301
7. Materials and Supplies	463,500	6,359	32,588	160,740	199,687	263,813
<b>Total direct costs of the Action</b>	<b>9,345,794</b>	<b>665,365</b>	<b>1,233,116</b>	<b>1,896,291</b>	<b>3,794,772</b>	<b>5,551,022</b>
8. Administrative costs	654,206	46,577	86,316	132,740	265,633	388,573
<b>Total Costs of the Action</b>	<b>€ 10,000,000</b>	<b>€ 711,942</b>	<b>€ 1,319,432</b>	<b>€ 2,029,031</b>	<b>€ 4,060,405</b>	<b>€ 5,939,595</b>

#### INCOME

Month/Year

	Euro	Amount US\$	Rate		Euro
Dec'12	€ 2,140,000	\$ 2,786,458.33	1.30208	Income	€ 3,719,586
Aug'15	€ 1,579,586	\$ 1,733,903.59	1.09769	Expenses	€ 4,060,405
				<b>Balance</b>	<b>€ (340,819)</b>

Total € 3,719,586 \$ 4,520,361.92

Director General

Director, Administration & Finance

Project Coordinator

Sr. Prog. Finance Officer

Sr. Finance Officer

Note: Subject to Annual Audit Adjustment

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*Support to Rural Livelihoods and Climate Change Adaptation in the Himalaya*  
 Donor: European Union  
 Project No. 1-903-154-0-P

Financial Statement (Activity wise)  
 for the period 4 December 2012 - 31 December 2015 (Amount in Euro)

**EXPENDITURE**

LINE ITEM	BUDGET Euro	Jan-Dec'13	Jan-Dec'14	Jan-Dec'15	Total	BUDGET BALANCE
Activity -1 Capability to Adapt Policy	1,570,000	125,697.82	324,503.27	343,112.63	793,313.72	776,686.28
Activity -2 Knowledge management	821,578	95,231.21	129,779.15	127,020.03	352,030.39	469,547.61
Activity -3 Collaborative Action Research	1,660,000	152,642.95	421,907.09	482,805.55	1,057,355.59	602,644.41
Activity -4 Pilot Activities	3,619,216	188,835.54	224,546.99	723,857.97	1,137,240.50	2,481,975.50
Activity -5 Capacity Building	1,675,000	102,957.40	132,379.33	219,494.92	454,831.65	1,220,168.35
Administrative Costs	654,206	46,577.25	86,316.41	132,740.38	265,634.04	388,571.96
<b>Total</b>	<b>€ 10,000,000</b>	<b>€ 711,942.17</b>	<b>€ 1,319,432.24</b>	<b>€ 2,029,031.48</b>	<b>€ 4,060,405.89</b>	<b>€ 5,939,594.11</b>

*Support to Rural Livelihoods and Climate Change Adaptation in the Himalaya*  
 Donor: European Union  
 Project No. 1-903-154-0-P

Financial Statement (ICIMOD & Partner's Managed Fund)  
 for the period 4 December 2012 - 31 December 2015 (Amount in Euro)

**EXPENDITURE**

LINE ITEM	Reported ICIMOD Managed Fund Till 2014	Reported Partner Managed Fund Till 2014	ICIMOD Managed Fund Year 2015	Partner Managed Fund Year 2015	Total Till 2015
Human Resources	767,244.83	219,387.60	505,078.67	208,068.30	1,699,779.40
Consultancy/subcontracting	186,507.31	95,641.45	259,551.97	110,135.88	651,836.61
Travel Expenses	91,185.09	92,738.95	78,830.03	59,718.94	322,473.01
Equipments	3,008.46	2,485.33	9,566.53	12,388.54	27,448.86
Workshops and Training	240,202.33	152,040.97	294,825.09	169,279.12	856,347.51
Communication/IT	1,817.47	7,274.10	1,366.94	26,740.61	37,199.12
Materials and Supplies	14,485.96	24,460.90	34,718.87	126,021.62	199,687.35
<b>Total direct costs of the Action</b>	<b>1,304,451.45</b>	<b>594,029.30</b>	<b>1,183,938.10</b>	<b>712,353.01</b>	<b>3,794,771.86</b>
Administrative Costs	132,893.66	-	132,740.38	-	265,634.04
<b>Total</b>	<b>€ 1,437,345.11</b>	<b>€ 594,029.30</b>	<b>€ 1,316,678.48</b>	<b>€ 712,353.01</b>	<b>€ 4,060,405.90</b>

## Annex 2: Indicative Logical Framework (Himalica)

ANNEX I-3 INDICATIVE LOGICAL FRAMEWORK - SUPPORT TO RURAL LIVELIHOODS AND CLIMATE CHANGE ADAPTATION IN THE HIMALAYA TO "SUPPORT ITS ADAPTATION TO CHANGE REGIONAL PROGRAMME" (Contract N° ASIE/ 2012/ 292-464)

	Intervention logic	Objectively verifiable indicators of achievement	Sources and means of verification	Assumptions
<b>Overall objectives (Impact of Regional Programme)</b>	Improved resilience and livelihoods of mountain women, men, and children of the HKH region through adaptation to socioeconomic and environmental change including climate change.	Socio-economic and welfare indicators (eg: % of people living under poverty level.) Human Development / MDG Indicators. Levels of generated income, inequality indicators (GINI)	National Statistics, Technical Departments MDG reports. World Bank, IMF and UN agencies monitoring indicators of human development.	Tackling the negative consequences of climate change remains high in the international/regional cooperation agenda, and national and international stakeholders recognise the results delivered by the scientific community on the subject.
<b>Specific objective- (Regional Programme Outcome)</b>	Adaptive capacities of women, men, and children of the greater Himalayan region facing socio-economic and environmental change, including climate change, enhanced and supported through appropriate policies and practices.	1. At least 12 institutions in 6 regional member countries will upscale innovative and equitable strategies to enhance livelihoods and resilience. 2. 8 of relevant local and 29 national institutions have planned, implemented and monitored adaptation related programmes in their respective countries and areas 3. 2000 women and men in selected pilot areas (12 districts in 6 countries) have 30% increased incomes. At least 3 country partners develop larger programmes to upscale the pilots benefitting double beneficiaries of the pilots by the end of the programme. 4. At least 15 mountain-specific national development policies ( such as NAPAS, LAPAS ), strategies, and approaches in at least 5 countries and at least 5 references made in global processes.	Baseline and end-line studies; Evaluation missions and reviews with local communities and other stakeholders; Reports from associated local stakeholders including local authorities, CBOs, NGOs, External and internal monitoring reports.	Policy-makers are interested to take in knowledge on local response strategies and needs for adaptation; Pilot activities and security are threatened by conflict arising from changing access to resources; Pilots are subject to external risks, e.g., global developments; Interest in regional collaboration on adaptation to change remains high.
<b>Expected results</b>	<b>Result 1</b> The capacity of national and regional stakeholders to deal with livelihood development and the protection of the environment in the HKH region is enhanced. This will lead to the development of policies and practices related to sustainable development and conservation of the environment, in the context of socioeconomic and climate change.	6 member countries are participating actively 30 high quality knowledge products on CCA made available to national, regional and global communities 4 NAPAs or other national policies or strategies adapted to include mountain-specific CCA focus 10 new action research initiatives identified and under implementation including 3+ new collaborating bodies 500 participants (40%+ women) in at least 3 international and 6 national/regional workshops or conferences organised on CCA	Reports on the implementation of the National and Regional Adaptation Plans or Strategies, Reports of international conferences, Interventions made by national stakeholders at global level.	National and regional stakeholders and authorities are effectively involved, cooperate in the implementation of the activities, and take part in the international political dialogue related to climate change.
	<b>Result 2</b> Poverty among mountain men and women in the HKH region is reduced through increased resilience and the unlocking of new livelihood opportunities, and through the promotion of more equitable approaches.	At least 6 pilot projects are identified, developed and implemented (a total of 10 pilot projects under the regional programme Adaptation to Change) 20 community-led microplans developed with CCA/environment focus 1500 poor men and women in 25 communities are targetted as beneficiaries of pilots (gender disaggregated) 50% of targetted poor men and women record 30% increase in income (gender disaggregated) 2 gender-sensitive social protection packages developed for migrants or those left behind 10 value chains of mountain products analysed, leverage points addressed 250 trainers have been trained in CCA-related topics 100 young entrepreneurs trained	Quarterly and/or annual reports of implementing bodies, Internal monitoring and evaluation system	The political, social, economical and natural environment is sufficiently secure for target groups to invest in the development of income generating opportunities.



Activities	INTERVENTION AREA 1. Regional, national and local capacity. Activities to achieve Result 1:	OVI's	Indicative Costs (Euro)	
	<u>Activity 1. Develop capability to adapt policy.</u> Increase the <u>national and regional collaborative capacity</u> to develop adapted policies impacting on mountain rural livelihoods, taking socio-economic and climate change into account.	6 Climate Change adaptation policies or strategies identified, monitored and assessed 4 NAPA or national strategies or policies and processes are supported and adapted to mountain-specific context through project influence At least 5 knowledge products on ecosystem services are developed and used by stakeholders Mountain specific poverty index applied in at least 4 member countries 4 member countries are provided support to engage in international CCA events 3+ International workshops/conferences organised on CCA in region	1,570,000	
	<u>Activity 2. Knowledge management.</u> <u>Raising awareness and disseminating knowledge on the effects of climate change and adaptation responses in the HKH region.</u>	At least 17 knowledge products on CCA related issues (e.g. poverty, value chains, tourism, ecosystem services) developed, packaged and disseminated; additionally, 6 knowledge products will be achieved by HICAP, and 2 knowledge products will be achieved by AdaptHimal under the regional programme Adaptation to Change (in total 25) At least 6 national and 4 regional conferences or workshops arranged to share CCA information 6+ Exposure visits organised to share CCA knowledge	821,578	
	<u>Activity 3. Collaborative action research.</u> <u>Strengthening collaborative action research in the region</u> in relation to mountain livelihoods and eco-systems, generating evidence-based knowledge on adaptation and mitigation to climate change in the HKH region. This may include European / international organisations	10+ High value product value chains are analysed with implementing bodies 3 action research initiatives on tourism or ecosystem services developed and under implementation with implementing bodies 3 action research initiatives on migration or population dynamics developed and under implementation with implementing bodies 3 new action research initiatives on innovative livelihood opportunities developed and under implementation with implementing bodies 2 gender sensitive packages on how to leverage migration for poverty reduction and food security developed	1,660,000	
		<b>Subtotal for Area 1</b>	<b>4,051,578</b>	

 2

Activities	INTERVENTION AREA 2. Mountain livelihoods. Activities to achieve Result 2	OVI	Indicative Costs (Euro)	
	<p><b>Activity 4. Pilot activities on climate change adaptation.</b> Conduct pilot activities in a collaborative manner in vulnerable areas that strengthen the resilience of mountain men and women through delivery of services and products that will improve livelihood opportunities and ensure the sustainable management of natural resources. The pilot projects will be evaluated / selected taking into account the following criteria : (1) Relevance / mountain specificity; (2) Regional collaboration; (3) Feasibility and potential impact; (4) Potential by government(s) and/or private sector to scaling up; (5) Capacity of implementing institutions(s); Cost effectiveness of budget.</p>	<p>The pilot projects will address inter alia the following:</p> <p>a) promote and develop pro-poor value chains of mountain niche products and services as an adaptation strategy, ensuring the sustainable and equitable management of the natural resource base (including a strong element of cooperation with the private sector)</p> <p>b) promote the diversification of livelihood opportunities through identification of new and risk reducing income and employment opportunities in mountain areas (e.g. linking value chain development to investment and employment generating activities; market-oriented services such as access to information, financial services and micro-finance; leverage financial and social remittances from labour migrants)</p> <p>c) support the use of ecosystems services such as landscape and biodiversity for recreational activities with direct community involvement and benefits</p> <p>d) enhance sustainable practices in the management of natural resources and identification of alternatives at a local level (e.g. improved farming and water management systems, use of fallow or degraded lands and forests).</p> <p>At least 6 pilot collaborative HKH projects implemented; additionally, 4 pilot projects will be achieved by Adapthimal under the regional programme Adaptation to Change (in total 10), with the following characteristics:</p> <ul style="list-style-type: none"> <li>- 6 effective implementing bodies are identified for pilot work, MOUs signed</li> <li>- at least 4 HKH countries are hosting pilot collaboration activities</li> <li>- 3 new pilot activities addressing livelihoods of poor mountain men and women identified, developed and into implementation in Year_1</li> <li>- 3 new pilot activities addressing livelihoods of poor mountain men and women identified, developed and into implementation in Years_2&amp;3</li> <li>- 20 community-led microplans developed with CCA/environment focus</li> </ul>	3,619,216	
	<p><b>Activity 5. Capacity building.</b> Support to building capacity in higher education, training institutions and NGOs across the HKH region in particular at local level, to scale up best practice for improved resilience to climate change.</p>	<p>8 training bodies identified across the region, MOUs signed</p> <p>120 staff from training bodies have received CCA training</p> <p>120 staff from government and non-government bodies have received CCA training</p> <p>Training in relation to good practices demonstrated through pilot projects (from Activity 4).</p>	1,675,000	
		<b>Subtotal for Area 2</b>	<b>5,294,216</b>	
		<b>Total Direct Costs</b>	<b>9,345,794</b>	
Activities	Other activities	Means	Indicative Costs (Euro)	
	Project management (7%)		654,206	
		<b>TOTAL</b>	<b>10,000,000</b>	

 3



**Annex III - Budget for the Action - Contract N° ASIE/ 2012/ 292-464**

Budget Items	All Years (in EUR)	Year 1 (in EUR)
<b>1. Human Resources</b> <i>(notes 1 and 4)</i>	<b>4,009,694</b>	<b>980,000</b>
<b>2. Consultancy/subcontracting</b>	<b>895,500</b>	<b>330,000</b>
<b>3. Travel Expenses</b> <i>(notes 2 and 5)</i>	<b>812,700</b>	<b>275,000</b>
<b>4. Equipments</b>	<b>495,900</b>	<b>175,000</b>
<b>5. Workshops and Training</b> <i>(notes 3 and 6)</i>	<b>1,962,000</b>	<b>380,000</b>
<b>6. Communication/ IT</b>	<b>706,500</b>	<b>190,000</b>
<b>7. Materials and Supplies</b>	<b>463,500</b>	<b>140,000</b>
<b>Total direct costs of the Action</b>	<b>9,345,794</b>	<b>2,470,000</b>
<b>8. Administrative costs</b>	<b>654,206</b>	<b>172,900</b>
<b>Total Costs of the Action</b>	<b>10,000,000</b>	<b>2,642,900</b>

(1) average salary (unit rate) for ICIMOD is 3900 EUR per month and total units needed (i.e. total person months) is approximately 626

(2) average travel rate (unit rate) is based on ICIMOD average regional travel costs of 1200 EUR per person and approximately 312 total travel-persons will be needed

(3) average event cost (unit rate) for pilot projects implementing bodies is 30000 EUR and approximately 24 events in total will be organised

(4) average salary (unit rate) for pilot projects implementing bodies is 1500 EUR per month and total units needed (i.e. total person months) is approximately 1343

(5) average travel rate (unit rate) for pilot projects implementing bodies is based on average travel costs of 1200 EUR per person and approximately 440 total travel-persons will be needed

(6) average event cost (unit rate) for pilot projects implementing bodies is 30000 EUR and approximately 49 events in total will be organised

*DM*

## Annex 3: RP1 Log frame (Himalica Activities targets and deliverables for 2016)

## RP 1: Adaptation to Change

[Outcome]: <b>Enhanced adaptive capacities of women, men and children of the Greater Himalayan region facing socio-economic and environmental change including climate change supported through appropriate policies and practice</b>		
* Please specify the target for 2015 for each outcome indicators given below, that the programme will achieve in relation to 2017 targets.		
<b>Outcome Indicators</b>	<b>Target for 2017</b>	<b>*Planned Target for 2016</b>
<b>Indicator 1:</b> Degree of up-scaling by partners and relevant stakeholders of innovative and equitable strategies to enhance livelihoods and resilience	At least 12 institutions in 6 regional member countries will upscale ICIMOD methodologies /frameworks /approaches/ strategies	At least 3 institutions in 3 RMCs beyond partners scale up ICIMOD methodologies/approaches
<b>Indicator 2:</b> Number of relevant local and national institutions that are better able to plan, implement, and monitor adaptation-related programmes, with a particular focus on gender and social equity	8 of relevant local and 29 national institutions will be enabled to plan, implement, monitor adaptation related programmes in their respective countries and areas	At least 6 relevant local and 3 sub-national Institutions enabled to plan, implement and monitor adaptation related programmes
<b>Indicator 3:</b> Number of mountain-specific national development policies, strategies, and approaches (including tools such as National Adaptation Plans of Action (NAPAs), Local Adaptation Plans of Action (LAPAs), and Biennial Update Reports making use of recommended practices and knowledge in participating RMCs	At least 15 mountain-specific national development policies, strategies, and approaches in at least 5 countries and at least 5 references made in global processes	At least 3 mountain-specific development policies, strategies and approaches make use of ICIMOD results
<b>Indicator 4:</b> Number of women and men benefited by innovative adaptation related strategies, policies, and programmes	2000 people (50% women) in selected pilot areas (12 districts in 6 countries) within five years which will be up-scaled through policies and partnerships and will reach to 100,000 people in 10 years.	At least 600 mountain HHs, including at least 300 women in at least 3 countries benefitted through ICIMOD's pilot and action research interventions

MTAP Outputs	Target 2017	Planned Target for 2016
<b>Output 1: Knowledge products for enhanced understanding of risks, uncertainties, vulnerabilities, gender issues, migration, poverty and opportunities to adapt to change developed and strategically disseminated</b>		
<b>Output Indicator 1.1:</b> Number of topical publications targeted to research, policy, and professional community.	20 Publications	10 publications (HICAP); 2 publications under Adapthimal 12 publications ( <b>Himalica</b> )
<b>Output Indicator 1.2:</b> At least X peer reviewed journal articles on stated topics	20 Peer Reviewed Articles	5 peer reviewed articles (HICAP)
<b>Output Indicator 1.3:</b> Participation in at least X global forums advocating mountain issues	Participation in at least 30 global forums advocating mountain issues	Participation in 2 global forums (HICAP) ESM International Symposium ( <b>Himalica</b> )
<b>Output Indicator 1.4:</b> Number of stakeholder engagements organized or participated in to facilitate uptake of knowledge products	50 stakeholder engagements organized or participated in	6 stakeholder engagements organized or participated in (including the ones in indicator 6.2) At least 4 stakeholder engagement organized under Adapthimal (Nepal and India for PVA data analysis sharing, value chain peer learning, exchange visits) 18 stakeholder engagements organized or participated in (including the ones in indicators 6.1 and 6.2)
	<b>Planned Activity for 2016</b>	<b>Planned Deliverables for 2016 {PI, PII,PIII}</b>
	[activity 1.1] Understand impacts of drivers of change (including climate change): Ecosystem services	<b>PIII-</b> Wetland in Himalayas book drafted (1101), 2 ecosystem services policy briefs (1102), field work for understanding Tibetan traditional medicines completed (1103)
	[activity 1.2] Understand impacts of drivers of change (including climate change): Adaptation strategies with focus on DRR, migration, food security, and women in adaptation	<b>PI-</b> PVA reports submitted (1204); <b>PII-</b> Food security paper based on PVA (1203) submitted, Final drought paper/report (1209), 1 paper/report submitted on migration in China; <b>PIII-</b> 2 papers/reports on mountain food security in Pakistan and China (1205, 1206), Integrated HKH food security strategy finalized (1201), PVA gender profiles (1210), HKH gender synthesis report draft (1211), report on framework and web-based tool for GIS vulnerability assessment and adaptation strategies (1212); <b>Himalica:</b> 2 papers/reports submitted on migration(1 Pk, 1 Np)
	[activity 1.3] Improved understanding for reducing uncertainties: Climate and hydrological models	<b>PI-</b> UNFCCC trainings on climate downscaling for impact assessment held (1301); <b>PII-</b> Climate and water policy/issue brief (1305); <b>PIII-</b> Extreme events issue briefs (1302), 1 paper on HKH climate modeling, analysis and projection in China (1303, 1306), climate and water interactive tool finalized (1304)

	[activity 1.4] Knowledge dissemination (Development of knowledge dissemination mechanisms (platforms, publication, multimedia, websites)	<p><b>PI-</b> Glimpses of HICAP results publication (1404); <b>PII-</b> 2 stakeholder engagements to share research results with communities (1402); <b>PIII-</b> CCTV documentary completed in China (1403)</p> <p><b>Himalica:</b>  <b>Promotion of innovative livelihood options - tourism, horticulture:</b>  Mm: PI - Policy brief on learnings of DMP Inlay Region development for use by RMC stakeholders;  PII - DMP protocol design that will strengthen institutional capacity among RMCs ;  Pk: PII - Pollination AR in Pk reported for building evidence base on ecosystem services for improved livelihoods;  Reg'I: PII - Pro-poor VCA framework documented;  Pk: PIII - Results on pollination action research published and disseminated among RMC institutional stakeholders;  Pk: PII/III - 2 VCA results for Piotr implementation reported;  <b>Strengthening institutional capacity in agricultural extension</b>  RCT: PI- Follow-up survey reported: along with earlier survey data to contribute to an 'early results' report for Dept of Agr., GoN  PII - Finalization of 3rd round on-farm monitoring report of action research:  PIII - End-line survey results reported;  <b>Enhancing target communities' adaptive capacities:</b>  Reg'I: Community-led Micro-planning process for improved NRM and CC adaptation documented for out scaling;  Reg'I: PII- Village resource diary development (Nepal, Bangladesh and Bhutan) for improved HH monitoring and net resource management;  Reg'I: PII - Assessment of water management technologies from gender perspective;</p>
<b>Output 2: Comprehensive and inclusive approaches, assessment methods, economic and gender analyses, institutional and governance mechanisms for adaptation to change developed</b>		
<b>Output Indicator 2.1:</b> Number of innovative and inclusive approaches, assessment methods, and institutional mechanisms promoted by partners;	6 innovative and inclusive approaches, assessment methods, and institutional mechanisms developed with partners	<p>1 approach (Ecosystem valuation) developed with partners ;  At least 2 assessment methods (framework for VC sustainability and situational analysis for NRM in the context of shifting cultivation) and innovative approach through use of GIS for VC) developed under AdaptHimal</p> <p><b>Himalica:</b>  1: RCT on Agri extension in Np; 1: Pro-poor VCA documented; 1: DMP methodology documented: 1: Micro-planning process; 1 ESA framework to support community income from tourism in BHD / CHT; 1 ESA framework to support community income from livestock products in northern Pk rangelands; = tot 6.</p>
	[activity 2.1] Develop methodology on valuation of ecosystem goods and services PES	<b>PII-</b> Paper on Nepal Koshi Shardukhola (2104); <b>PIII-</b> Maguri Beel and Dali wetland management plans finalized (2102, 2103)
	[activity 2.2] Development of framework for Institutional and Policy Analysis for Adaptation	AdaptHimal: PII/III: At least 2 assessment methods (framework for VC sustainability, situational analysis for NRM in the context of shifting cultivation) and GIS VC mapping developed



	[activity 2.3] Develop action research approaches/ methodology to analyses social and gender impacts, experiences and adaptation interventions and strengthen institutional delivery mechanisms	<b>Himalica :</b> PII - RCT on Agri extension in Np documented for dissemination and institutional capacity enhancement of partners in other RMC; PVA: conducted in Bhutan for improved understanding and MPI development
<b>Output 3: Improved resource governance, access and support services identified, assessed and promoted for livelihoods</b>		
<b>Output Indicator 3.1:</b> Number of improved resource governance, access, and support services approaches made available to partners to improve livelihoods	4 improved resource governance, access, and support services approaches made available to partners to improve livelihoods	3 improved resource governance, access, and support services approaches (NRM practices in Himalica+AdaptHimal; destination management plan for sustainable tourism; 1 approach (migration and remittance) on tapping remittances for promoting strategies for flood risk reduction at community level ) made available to relevant government agencies and uptake supported.
	[activity 3.1] Action research for identification of resource governance, access, and support services mechanisms for promotion of livelihood diversification options and improved governance	<b>PIII-</b> Report from action research on migration and adaptive capacity in India (3101), CSV information pack and technology documentation drafted (3102) <b>Himalica:</b> Strengthening institutional capacities - RCT methodology report prepared for initiating policy discussions in Np PII; District level workshop on EM for strengthening resource governance in 2 new RMCs PIII; Promotion of Beekeeping and Pollination services for improved fruit production and diversification of livelihood options in northern Pk PII;
	[activity 3.2] CCA policies or strategies identified, monitored and assessed; National strategies or policies and processes are supported and adapted to mountain-specific context	<b>Himalica:</b> CCA policy/strategy development supported in at least 2 RMCs- PI/PII/PIII Policy development support and engagement for Mountain Agriculture- PI/PII/PIII NAP process supported in Nepal through JVS-PI/PII/PIII
<b>Output 4: Gender-specific livelihood diversification options (high value products, value chains and ecotourism) to enhance income and adaptive capacity of mountain people identified, piloted, validated and up-scaled, in collaboration with partner</b>		
<b>Output Indicator 4.1:</b> Number of innovative livelihood pilots adopted by partners	4 innovative livelihood pilots adopted by partners	At least 4 innovative women centric livelihood pilots adopted by partners
	[activity 4.1] Pilot projects on livelihood diversification options initiated (tourism, income generation from value chain promotion, technologies for sustainable management of natural resources, food security, ecosystem livelihood interface)	<b>PI-</b> Working paper based on adaptive capacity action research (4101), <b>PII-</b> Gender & adaptation book published, book launch in Kunming (4103); AdaptHimal: Tulsi value chain expanded; Perilla VC analysis completed PII/III; <b>Himalica:</b> <b>Promotion of innovative livelihood options - tourism, horticulture, livestock products, :</b> PI- Learnings of pollination action research in Chitral replicated in Gilgit for farmer improved fruit production PII VC analysis in CHT, Bd, and Bhutan finalized, results shared with key stakeholders through national workshops, and institutions identified for implementation:

		<p>Bd: PII- Value chain analysis and market study (Bangladesh) methodology for pilot and good VC</p> <p>PII- Destination management plan developed and drafted (CHT / Bd) for improved planning and promotion of sustainable tourism</p> <p>PI- Documentation of potential products and services in pilot villages linking to tourism (Bangladesh);</p> <p><b>Strengthening institutional capacity to plan, implement, and monitor adaptation-related programmes, with a particular focus on gender and social equity:</b></p> <p>Bd: PI- Situation analysis on tourism and gender initiated for new AR under Bangladesh pilot (country may change based on situation analysis);</p> <p>Reg'l: PI/II/III - Develop PoP for Pilot (Nepal, Pakistan, Bhutan, Bangladesh) as base methodology for sound pilot start up with communities</p> <p>Reg'l: PII/III - Buyer-seller meet (Nepal, Myanmar, Bhutan, and Pakistan) for improved planning and promotion of sustainable VCs;</p> <p>Reg'l:PI - Socio-economic Baseline (Nepal &amp; Pakistan, Bangladesh) for Pilot VCs;</p> <p><b>Enhancing target communities' adaptive capacities, natural resource management and CC adaptation</b></p> <p>Bt, Np, Mm: PI/II/III - Water and land assessment to recommend appropriate technologies and selection of demonstration plots;</p> <p>PII- Assessment of water management technologies from gender perspective (Myanmar) for improved natural resource management;</p> <p>PI/II/III- Micro plan development in 4 countries for improved community-led NRM and CCA;</p> <p>PII/III- 3 D planning (Myanmar and Nepal), for improved community-led NRM and CCA;</p> <p>PIII- District level share workshop on findings of action research on EM organized for out scaling of approach among CFUGs in other VDCs.</p> <p>PI/II/III- Market and weather information system established (Nepal); for cardamom pilot farmers in sustainable VCs</p> <p>PII- Mapping of service providers (info, finance, other services) (Myanmar, Bhutan) for pilot improved planning, promotion of sustainable VCs</p>
<b>Output 5: Capacities of relevant institutions (public, civic, and private) to mitigate risks and manage change strengthened</b>		
<b>Output Indicator 5.1:</b> Number of communities, people (women and men) and relevant institutions trained in mitigating risks and managing change	15 communities and relevant institutions trained	At least 6 communities (minimum X women and X men), at least 3 institutions including Journalists group trained in mitigating risks and managing change
	[activity 5.1] Capacity enhancement of stakeholders and institutions	<p><b>PII-</b> Grant programme for journalists (5102), Training workshop on CCA&amp;Gender in Pakistan (5103); <b>PIII-</b> DST ecosystem trainings held (5101)</p> <p><b>Himalica:</b></p> <p><b>Enhancing adaptive capacities of communities</b></p> <p>Pk: PII- Flood preparedness training of migrant sending households as innovative adaptation strategy completed [AR];</p> <p>Pk: PIII - Value chain training of the migrant sending households completed in Pakistan [AR].</p> <p>Np: 1 exposure visit for Np stakeholders (i.e. government stakeholders, international organizations, and national NGOs) to the migration and adaptive capacity research site is organized [AR].</p> <p><b>Enhancing institutional capacities for adaptation to change</b></p> <p>Np: PI - Local level cross learning visit for CFUGs and VDC based local line</p>

		<p>depts organized under EM / AR;</p> <p>Np: PII - Sector based CCA trainings for NAP process for CC mainstreaming in 2 districts with 3 line agencies for NAPs;</p> <p>Bt: Follow up on CCA awareness raising with progress tracking by RUB / CNR for community leaders for Dagana &amp; Wangde districts for community resilience building, and Tsirang district comparison- PI,</p> <p>Pk: CCA training for various community-based institutions (NGOs, user groups, federations, local gov't) in northern Pakistan (100 participants in four events) to strengthen resilience - PII</p> <p><b>Strengthening capacities in NRM in pilot areas</b></p> <p>Pk: PII - Exposure visit for Pilot local and district stakeholders in water management technologies</p> <p>PII- 3 R model in water resource management in Pilot sites demonstrated (Myanmar and Bhutan)</p> <p><b>Promotion of innovative livelihood options:</b></p> <p>Mm: PII - DMP implementation support to MOHT line offices in Inlay through local partner and consultant Regl: PI, PII: Entrepreneurship training in 5 pilot projects Pk, Np, Bd, Mm for 120 participants, to enhance pilot VCs and to increase HH income,</p> <p>Np:- PI-II: Exposure visit on innovative livelihood options for farmers &amp; community leaders from both Pilots Np: PI/II/III- Participation in trade fair with their products EM / AR;</p>
	[activity 5.2] Support to rural unemployed youths	<p><b>Himalica:</b></p> <p>Support rural youths from pilot sites for enterprise development - PI/PII/PIII</p>
<p><b>Output 6: National and regional platforms to share knowledge, experiences and engage diverse stakeholders to shape policies and practices on innovative adaptation approaches and mechanisms established</b></p>		
<p><b>Output Indicator6.1:</b></p> <p>Number of platforms at national and regional levels active in contributing to shaping policy and practices in innovative adaptation approaches</p>	Contribute to 5 national and regional levels platforms	Contribute to at least 2 national/regional level platform
<p><b>Output Indicator6.2:</b></p> <p>Number of knowledge sharing, cross country learning, and policy engagement events organized</p>	20 events organized	At least 5 knowledge sharing and cross country learning events, and at least 1 policy engagement event organized

	[activity 6.1] Contribute to policy and institutional capacities through knowledge sharing	<p><b>PI-</b> CTCN conference held (6107), Working Paper on CC &amp; SDGs in the HKH context (6104); <b>PIII-</b> Regional Policy Dialogues held (6103), Meetings with stakeholders in Assam (6101), Assam gender info sheet finalized (6101), UNEP regional assessment submitted (6109)</p> <p><b>Himalica:</b>  <b>Stakeholder consultations, learning meetings, training events for better planning &amp; implementation of adaptation practice;</b>  Np: PI- First draft of the Np position paper on climate change, migration, and adaptation is circulated among the stakeholders;  Np: PII/III- In collaboration with the IOM-Nepal, 2 stakeholder consultations (1 KTM, 1 District) to support government stakeholders to discuss the draft position paper;  Pk: PIII- First draft of the Pk position paper on climate change, migration, and adaptation is shared among the stakeholders;  Pk: PII/III- In collaboration with the IOM-Pakistan, PIDE, NARC, and WWF, 2 stakeholder consultations (1 Islamabad, 1 GB) to support government stakeholders to discuss the draft position paper;  Reg'l: PIII- Provide support to the regional training for government stakeholders from the ICIMOD RMCs on climate change, migration, and adaptation organized in Kathmandu by the IOM; 1 nat'l / regional platform</p> <p><b>Enhancing institutional capacity in Adaptation to change</b>  PNp: III - RCT National dissemination shop as regional platform contribution;  Np: PII Traditional crops &amp; agriculture practice regional shop / share platform  Np PII/PIII Ecosystem Service Management - district experience share shop  Np PII/PIII - Support to NAP-process: 4 district, 1 regional workshop</p>
	[activity 6.2] Stakeholder engagements for uptake and impacts	<p><b>PI-</b> Sessions on HICAP findings in International Conference on Mountains in the Anthropocene (6201) and Adaptation Futures conference (6205), <b>PII-</b> Regional symposium on ecosystem valuation in China (6202); <b>PIII-</b> Launch of China synthesis report (6206)</p> <p><b>Himalica:</b>  Ecosystem Services Management: International Symposium participation PIII;</p>
	[activity 6.3] Strategic management and initiative coordination	<p><b>PII-</b> Planning and review with partners</p> <p><b>Himalica:</b>  LoAs and amendments signed with partners; Promoters meeting and donor reports  Annual Review with partners  Field level monitoring with partners and SPM team as suitable</p>

## Annex 4 List of Partners

S. No	Date of signing the	Country	Activity	Name of Partner Institution	Partner Inst. Status
1.	28 May 2013	Myanmar	Action Research	Myanmar Institute for Integrated Development	Non Govt.
2.	26 Dec 2013	Myanmar	Pilot	Myanmar Institute for Integrated Development	Non Govt.
3.	13 May 2013	Nepal	Knowledge Management	Nepal Institute of Development Studies	Non Govt.
4.	06 Oct 2014	Nepal	Action Research	Nepal Institute of Development Studies	Non Govt.
5.	27 Dec 2013	Nepal	Action Research	Department of Agriculture, Ministry of Agricultural Nepal	Govt.
6.	4 Sep 2013	Pakistan	Action Research	Pakistan Institute of Development Economics	Govt.
7.	01 Sep 2013	Bangladesh	Capacity Building	Arannyak Foundation	Non Govt.
8.	04 Sep 2013	Pakistan	Capacity Building	Rural Support Program Network	Non Govt.
9.	21 Jan 2015	Pakistan	Capacity Building	Rural Support Program Network	Non Govt.
10.	06 Nov 2013	Pakistan	Action Research	Aga Khan Rural Support Program	Non Govt.
11.	01 Aug 2015	Pakistan	Pilot	Aga Khan Rural Support Program	Non Govt.
12.	07 Jan 2014	Nepal	Action Research	Nepal Development Research Institute	Non Govt.
13.	08 Nov 2013	Nepal	Knowledge Management	Centre for the Study of Labor and Mobility	Non Govt.
14.	20 Dec 2014	Nepal	Action Research	Centre for the Study of Labor and Mobility	Non Govt.
15.	03 Jan 2014	Myanmar	Policy Support	Myanmar Survey Research	Non Govt.
16.	20 Jan 2014	Pakistan	Action Research	Pakistan Agricultural Research Council	Govt.
17.	31 Mar 2014	Bangladesh	Pilot	Ministry of Chittagong Hill Tracts Affairs	Govt.
18.	20 Jan 2014	Bhutan	Action Research	The Royal Society for Protection of Nature	Non Govt.
19.	16 Jan 2014	Nepal	Action Research	Bird Conservation Nepal	Non Govt.
20.	09 Jun 2014	Nepal	Capacity Building	National Association of Village Development Committee in Nepal	Non Govt.
21.	10 Jun 2014	Bangladesh	Policy Support	Refugee and Migratory Movements Research Unit	Non Govt.
22.	08 Jul 2014	Bhutan	Capacity Building & Action	College of Natural Resources, Royal University of Bhutan	Govt.
23.	15 Aug 2014	Bangladesh	Action Research	Ethnic Community Development Organization	Non Govt.
24.	26 Mar 2014	Bhutan	Pilot	Ministry of Agriculture and Forests	Non Govt.
25.	17 Feb 2015	Bhutan	Action Research	Department of Livestock, Ministry of Agriculture and Forests	Govt.
26.	12 Aug 2015	Nepal	Pilot	Environment Conservation and Development Forum	Non Govt.
27.	12 Aug 2015	Nepal	Pilot	Centre for Environmental and Agricultural Policy Research	Non Govt.
28.	16 April 2015	Bhutan	Knowledge Management	Bhutan Media and Communication Institute	Non Govt.
29.	10 Nov 2015	Pakistan	Action Research & Capacity	World Wide Fund For Nature WWF	Non Govt.

## Annex 5: Minutes of the third Programme Steering Committee (PSC)

### European Union – International Centre for Integrated Mountain Development

### Rural Livelihoods and Climate Change Adaptation in the Himalaya (Himalica)

#### Programme Steering Committee Meeting Minutes

Date: 18 June 2015

Venue: European Union Delegation to India Office, Taj Palace Hotel, New Delhi

#### **Participants:**

Dr Johann Hesse, Counselor, Head of Operations, EU Delegation to India

Mr Subramanian Pattabiraman, Senior Programme Manager, EU Delegation to India

Ms Melanie Kengen, Attaché, Finance, Contracts & Audit Section, EU Delegation to India

Mr Shailender Mathur, Senior Finance Manager, EU Delegation to India

Mr Tibor Sztaricskai, Head of Finance, Contracts and Audit Section

Dr Eklabya Sharma, Director Programme Operations, ICIMOD

Mr Shekhar Ghimire, Director Administration and Finance, ICIMOD

Dr Dhrupad Choudhury, Regional Programme Manager, Adaptation to Change, ICIMOD

Mr E. Valdemar Holmgren, Programme Coordinator, ICIMOD

#### **1. Opening of the meeting and Welcome remarks**

Mutual introductions were made as this was the first meeting with several members of the EU Delegation. Dr Eklabya Sharma provided an overview of ICIMOD, its strategy and its Medium Term Action Plan III, and the main issues in the Hindu Kush Himalayas that ICIMOD is focusing on through its different programmes.

#### **2. Second PSC Meeting, 12 June 2014 Minutes and Action Taken report on meeting recommendations**

Dr. Eklabya Sharma presented the Minutes from PSC meeting in June 2014 and the related Action Taken report for approval and these were endorsed by the meeting. The EU team appreciated that close monitoring of staff allocation of partners will be a challenge as a majority of organisations may not have robust systems to keep track, but steps taken by ICIMOD to monitor the issue under existing circumstances was found satisfactory. EU emphasized ICIMOD to notify partners for EU's acknowledgement as per the decision taken during 2<sup>nd</sup> PSC.

#### **3. Progress Report for 2014**

Mr. E. Valdemar Holmgren presented the Progress Report 2014, which had been sent in advance to EU. Progress highlights were brought forward as follows:

- Conceptual framework, rational and approach for pilots developed
- Streamlining the ongoing pilots in Myanmar, Bhutan and Bangladesh within revised conceptual and implementation frameworks, with value chain analyses for pilot interventions identified with local communities;

- Scoping for 3 new pilots – two in Nepal and one in Pakistan finalized, for value chain interventions that link with other ICIMOD programmes to strengthen inter-programme synergy. Process for selection of partners completed for Nepal, in final stages for Pakistan (details Agenda 7);
- Action Research on development of responsible tourism in the Inlay Lake area, Myanmar, finalized with the official launch of the Destination Management Plan (DMP) for Inlay Lake Region launched in October 2014, with immediate uptake by the Shan State government.
- Policy development technical support in Myanmar in a joint ministerial collaboration with Ministry of Hotels and Tourism, and Ministry Environmental Conservation and Forestry, on the Ecotourism Policy and Management Strategy for Protected Areas.

In the discussion on upscaling of Himalica results, the example of the Inlay Lake Region DMP was brought forward. This DMP is also the guideline for the formulation of the Bandarban Pilot tourism value chain activities, currently under start-up in the Chittagong Hill Tracts, Bangladesh.

The main challenges to progress in 2014 have been:

- Regional Member Country Government procedures, including program fund management;
- Time loss in connection with revision of Pilot conceptual framework (and Programme Coordinator change in ICIMOD);

The need for formulating a clear scaling up strategy was emphasized by EU. It was also pointed out that the project must identify opportunities where project learnings and support can be utilized to contribute to on-going national efforts in project implementation countries; a specific reference was made to the development of Bhutan's Agriculture Policy. Efforts must be made to link in to such processes. EU also highlighted the importance of maintaining good visibility of EU within all components of the Himalica programme.

Specifically on the Annual Reporting, members suggested that the Annual Report should be aligned to the Annual Targets fixed during the Annual Planning (and as reflected in the Annual Plan and Budget submitted for the reporting year); this will help in a clear understanding of the rationale for each activity and the links to targets set for each year as well as the link to the Regional Programme outcomes.

**Action to be taken:** The Annual Progress report format should be revised to reflect the annual targets set for the reporting year and should clearly show the linkages of component activities with Regional Programme outcome-level targets. ICIMOD will revise the Annual Report accordingly and resubmit.

#### 4. Himalica Monitoring & Evaluation Framework Highlights

Dr Dhrupad Choudhury emphasized the development of a Theory of Change with Risk Analysis within RP1 initiatives, as the basis for the M&E Plan and Reporting. The Review framework for ICIMOD programmes includes Directorate's programme Trimester reviews, Regular progress tracking with Partners including deliverables' review upon funding replenishment requests and liquidation, Yearly Partner Review Meeting, Monitoring missions, and Thematic workshops. An overview of the ICIMOD Strategic Planning and Monitoring Unit (SPME) set-up and tasks was also made.

The Steering Committee found the ICIMOD integrated programme and finance system for annual planning as comprehensive and accurate, and expressed satisfaction with the ICIMOD M&E framework as being comprehensive, participatory, and transparent.

#### 5. Programme Expenditure and Audit Report, 2014

Mr. Shekhar Ghimire, Director, Finance & Administration, ICIMOD presented the 2104 programme expenditure which had been sent in advance as soft copy with the Audited Financial report 2014 and ICIMOD Management response.

Attaché, Finance pointed out that although the Audit Reports had been communicated by ICIMOD by email, a formal communication has not been received as yet. A request was made to send the Audit Reports formally to EU. ICIMOD agreed that the 2104 Audited Financial Reports 2014 and 2013, with ICIMOD Management responses, will be formally sent to EU at the earliest.

EU suggested ICIMOD to review the provisions of contribution agreement (CA) and its alignment with the joint financing guidelines (JFG) developed by ICIMOD. If any specific provisions of the CA are not in alignment with the JFG, this will be discussed mutually.

EU requested ICIMOD to declare interest on the pre-financing as per article 15.07 of the general conditions of the CA.

**Action to be taken:** The Audited Financial Reports and ICIMOD Management Response to be formally communicated to EU.

## **6. Foreign exchange difference and work adjustments**

Mr. Shekhar Ghimire initiated the discussion with information on the implications for ICIMOD of the difference between available funds at present, as compared to when agreements were made with Donors, due to a shift in currency exchange rates. At present, the situation for Himalica in this regard is a difference ('potential loss') of \$1.7 million. It was agreed that this situation warrants a constant awareness during the planning of the scope of programme activities, given the strong possibility of resource constraints in the next 2-3 years, compared with the original budget amount.

## **7. Proposed pilots (Nepal, Pakistan) – partner selection criteria and progress**

The methodology and results were presented by Dr. Dhruvad Choudhury, with highlight made on the ICIMOD two-fold assessment process: Technical, and Due Diligence (new). Within this dual process, the Expression of Interest submissions from 3 partners for each of the 2 proposed pilots in Nepal have been assessed, and the report shared with EU.

EU emphasized the importance of ensuring that proposed partners have the legal status to operate, and ICIMOD confirmed that this is one of the key steps of the Due Diligence assessment.

The partner selection report with score sheets and ranking from both technical and due diligence assessments was discussed, supported by the minutes from ICIMOD Directorate meeting on 10<sup>th</sup> June 2015, with the Himalica team. EU endorsed the selection of 2 new partners presented by ICIMOD for the 2 new pilots in Nepal: In Taplejung district, 'Environment Conservation and Development Forum (ECDP)', and in Udayapur district, 'Centre for Environmental and Agricultural Policy Research, Extension and Development (CEAPRED)'.

EU also expressed appreciation for the methodology of the partner selection framework, and commended the transparency of the process.

EU also highlighted to look towards how Pilot activities (and expected results) connect to a bigger picture of national benefits, and/or knowledge-sharing, also within the HKH. ICIMOD explained how the structure of its 6 Strategic Goals assist to capture this type of cohesion.

The process of partner selection for the proposed new pilot in Pakistan has been undertaken in the same way, and the result with proposed pilot partner will be sent to EU for review around the beginning of July 2015.



## 8. Work plan and budget 2015

Mr Erling Valdemar Holmgren presented key elements of the Himalica work plan 2015:

- Continued thrust on Pilot implementation so that the 2 Pilots that slowed down can be brought up to a better implementation rate (Bangladesh and Bhutan), and that the new pilots can be started up in an efficient way Nepal / Taplejung, and Nepal / Udayapur).
- Increased support will be put to Policy development in Climate Change Adaptation (CCA) with links to the Global CC Alliance Programmes in RMCs, and in the National Adaptation Plan (NAP) process with LDCs in HKH that will be anchored in Nepal;
- Action Research work to be completed on Apple pollination and production yield and quality, and on Random Control Trial (RCT) for extension work on maize intercropping technology;
- Capacity building with focus on institutions connected to Pilot implementation, and to CCA;

One key work plan element has already been completed with high success: the Ecotourism Policy and Management Strategy for Protected Areas in Myanmar was produced and officially launched by the Government of Myanmar in May.

The need to highlight Annual targets and the links of each component activities to the Regional Programme outcomes was pointed out again and suggestions made that the format for presenting the Annual Plan and Budget should strictly follow this line of reporting.

The forecast budget 2015 was discussed as being too ambitious, given that half a year remains for its implementation, and that time had been lost due to the earthquake impacts. A revision to reflect a realistic budget was suggested for resubmission to EU.

**Action to be taken:** (i) The Annual Plan and Budget to be reformatted to reflect the alignment of proposed component activities to the Regional Programme's annual targets and outcomes.

(ii) Revision of forecast budget to reflect realistic figures given the timeline left for implementation.

## 9. AoB

The Mid-Term Evaluation for Himalica is due by next year. Dr Sharma appraised the members that the Quinquennial Review (QQR) for ICIMOD is also due in the same period; he also informed members that with the increasing number of Evaluations necessary for ongoing programmes of ICIMOD, the demand on staff time and resources has become a challenge. ICIMOD, therefore, is requesting all funding partners to explore the possibility of aligning or using the QQR evaluation as a means to address the MTR/Evaluation needs of each programme. He pointed out that if agreeable to EU, EU could be part of ISG QQR team (to be drawn up by ISG Chair) and partake in the QQR to accommodate the Himalica MTR needs and hence, overcome the need for a separate MTR Evaluation. Dr Sharma suggested that EU should positively respond to the recently sent request by ISG Chair to volunteer to be in the QQR review ISG committee.

Dr Sharma also informed the EU team about ICIMOD's Board of Governors meeting in China later this year and participation of EU as a member of the ISG. EU requested that ICIMOD share the dates and other details in this regard.

**Action to be taken:** EU to respond to ISG Chair for volunteering in the QQR committee. ISG chair has already sent request to ISG members including EU. ICIMOD should also share TOR of ISG (called Rules for ISG). Details regarding ICIMOD Board/ISG meeting with EU will be communicated to EU by Dr Sharma.

On additional information sharing it was agreed that ICIMOD would send the following to EU:

- Contacts from ICIMOD's work in Ganga Basin, and from related networks;
- 'Strategic discussions on Adaptation' date, expected in August 2015

**10 /11. Closing remarks**

Both sides expressed mutual appreciation for a productive meeting. EU highlighted the professional reporting from ICIMOD, and looked forward to continued collaboration on Himalica. ICIMOD appreciated the many discussions on content and technical issues, and found that this contributed greatly to grounding a common understanding of programme implementation.

ICIMOD also thanked EU for hosting the meeting. Next PSC is envisioned to be at around the same time next year.