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# **Sustainable Livelihoods and Development in Myanmar 2014-2019**

Sub-Programme 5 UNODC (MMRZ39)

Myanmar

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This independent evaluation report was prepared by an evaluation team consisting of Ms. Eva Otero, Lead Evaluator and Mr. Sebastian Behrle, Alternative Development Expert. The Independent Evaluation Unit (IEU) of the United Nations Office on Drugs and Crime (UNODC) provides normative tools, guidelines and templates to be used in the evaluation process of projects. Please find the respective tools on the IEU web site: <http://www.unodc.org/unodc/en/evaluation/evaluation.html>

The Independent Evaluation Unit of the United Nations Office on Drugs and Crime can be contacted at:

United Nations Office on Drugs and Crime  
Vienna International Centre  
P.O. Box 500  
1400 Vienna, Austria  
Telephone: (+43-1) 26060-0  
Email: [ieu@unodc.org](mailto:ieu@unodc.org)  
Website: [www.unodc.org](http://www.unodc.org)

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# ABBREVIATIONS AND ACRONYMS

<i>Abbreviation</i>	<i>Full name</i>	<i>Abbreviation</i>	<i>Full name</i>
AC	Alternative Crops	NCCSAP	National Climate Change Strategy and Action Plan (2016-2030)
AD	Alternative Development	Prodoc	Project Document
CCADC	Myanmar Central Committee for Drug Abuse Control	RCSS	Restoration Council of Shan State
CDF	Community Development Facilitators	SDGs	Sustainable Development Goals
DGRV	German Cooperative and Raiffeisen Confederation	SIDA	Swedish International Development Cooperation Agency
FO	Field Office	ToC	Theory of Change
GE	Gender Equality	ToR	Terms of Reference
GIZ	German Corporation for International Cooperation	Umoja	United Nation's financial management system
HQ	Headquarters	UN	United Nations
HR	Human Rights	UNCT	United Nations Country Team
IEU	Independent Evaluation Unit	UNDP	United Nations Development Programme
ILO	International Labour Organisation	UNICEF	United Nations Children's Fund
JPO	Junior Professional Officer	UNODC	United Nations Office on Drugs and Crime
M&E	Monitoring and evaluation	UNV	United Nations Volunteers
MT	Metric ton	USA	United States of America
NCA	Nationwide Ceasefire Agreement	USAID	United States Agency for International Development

# MANAGEMENT RESPONSE

<i>Recommendation<sup>1</sup></i>	<i>Management Response (accepted/partially accepted/rejected)</i>
<p>1: Undertake an in-depth engendered value chain analysis for a revised design to strengthen achieved results and manage expectations as to what can be realistically achieved and sustained over time. This should include information about all aspects of the coffee value chain. In those activities where Green Gold is assessed to be the best owner of the activity, a comprehensive strategy must be elaborated to ensure transparency and good governance.</p>	<p>Partially accepted. This will be done in the first half of 2019, i.e. after funds for the next phase will have been deposited.</p>
<p>2: Develop an explicit Theory of Change in a participatory manner, to use it as a complementary guiding framework to the log frame. Based on the ToC, improve the monitoring system identifying indicators of process, maintenance, adaptation and also, but not only, success. It is advisable to reduce the number of indicators associated to activities and outputs to the minimum by critically looking at what the information is used for.</p>	<p>Accepted.</p>
<p>3: Develop a partnership strategy. Most significantly, investigate the scope for cooperation with the Taunggyi-based Winrock project 'Value Chains for Rural Development'. Other possible synergies and partnerships to be explored are with projects of the German Cooperation working in the area.</p>	<p>Partially accepted as options have already been explored with Winrock, so reference to Winrock should be deleted.</p>
<p>4: Establish a middle-management position with access to Umoja to plan, oversee, and document all the specific aspects of the SP.</p>	<p>Partially accepted. With current funding constraints, and ongoing discussions at senior management levels on the best way to finance urgently required</p>

<sup>1</sup> Recommendations are copy-pasted from the Summary Matrix of findings, evidence and recommendations. Please refer to the dedicated chapter on recommendation for further details.

	field resources, UNODC is also reviewing its operations and human resources in Southeast Asia, Myanmar included. In this ongoing consultation, it will be decided whether a JPO or a senior level national officer could be recruited to perform these tasks.
5. Ensure to allocate budget to recruit permanent gender expertise to creatively and realistically design concrete measures to ensure gender equality of the implementation of the activities under the SP.	Accepted.
6: Phase out the township of Ywangan and consider an expansion into new areas adjacent to the present target area in Loilen by including new villages with a presently high reliance on opium production and a lack of alternative sources of income.	Rejected, as the project has already left Ywangan and funds have been provided – and most likely will also be provided for the next phase – with the focus on ensuring sustainability in the area UNODC is already in.
7: Improve financial reporting to donors and financial management in general. This means producing regular reports with updated information about committed and spent resources against what it was budgeted for under each of the components.	Partially accepted. Certified financial reports can only be provided in Umoja format; however, the programme can provide outcome/output-based budget and expenditures if requested (not certified).
Seek possible solutions to bridge the financial gap likely to happen from January 2019.	UNODC has a standard process for requesting GP advances against confirmed donor funding, and the project will raise the best way forward for an advance or “bridging funds” with the relevant offices in UNODC HQ.

# EXECUTIVE SUMMARY

## *Background*

The main objective of the Sub-Programme (SP) 5 on Sustainable Livelihoods and Development, of the UNODC Country Programme (CP) for Myanmar (2014-2019) (MMRZ39) is to strengthen capacities to reduce drug production through illicit crop monitoring and alternative development in selected communities in the South Shan State.

The SP, as stated in the planning documents<sup>2</sup>, has two specific objectives. The first one is to improve the availability and use of data on illicit crop cultivation, drug production and trafficking. Its main outcome is the annual Myanmar Opium Survey. The second one is to promote sustainable livelihood alternatives for opium poppy growing communities in line with international guidelines. This second specific objective constitutes the main part of the SP and has two main outcomes: a) the livelihoods dimension and b) the forest dimension<sup>3</sup>.

From its Field Office (FO) in Taunggyi, the SP operates in three townships in Southern Shan State (Ywangan, Hopong and Loilen); the runtime of its first phase is from March 2015 until the end of 2019.

The SP has a budget of USD 6,473,948 which is being supported by the Embassies of the United States of America (USA) and Japan, the Ministry for Foreign Affairs of Finland and the German Corporation for International Cooperation (GIZ).

## *Purpose, scope and methodology of the evaluation*

The main purpose of this formative mid-term Independent Project Evaluation of MMRZ39, was to assess the achieved to date results of the SP, inform further programming, provide accountability to the donor by assessing the extent to which the SP objectives have been met and how the resources have been utilised. In addition, to suggest areas for improvement to adjust, if necessary, activities to meet the SP's objectives by the end of the CP in 2019, feed into the final evaluation of the CP for Myanmar and the final evaluation of the Regional Programme for Southeast Asia, as well as inform the strategic programming after the lifetime of the SP.

The evaluation covered the period from March 2015 until the end of 2019. The evaluation used a gender-responsive evaluation methodology in line with United Nations Evaluation Group (UNEG) and UNODC Evaluation Norms and Standards, promoting the participation of stakeholders throughout the evaluation process and was further guided by the principles of utility and rigor. The independent external evaluation team was composed of two senior consultants, an Alternative Development Expert and a Lead Evaluator who also provided a strong gender and HR focus.

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<sup>2</sup> The planning documents include the proposal presented to donors of the progress reports.

<sup>3</sup> **Outcome 2.1:** The livelihoods dimension aims at changing the opium poppy economy by promoting permanent crops (coffee, and, to a lesser degree, tea and avocados) as licit, alternative long-term income sources and the establishment of a farmers' organization to support the cultivation and marketing of these products. **Outcomes 2.2:** The forest dimension addresses problems of deforestation related to opium poppy cultivation through forest conservation, forest enrichment and reforestation activities, which are also expected to have positive effects on the livelihoods dimension by protecting water sources, providing fire wood, and reducing soil degradation.

During the evaluation, the team followed four stages; 1) Conceptualizing what UNODC needed to know in a well-defined and transparent analytical framework; 2) Designing appropriate data collection tools applying a mixed methods approach; 3) Gathering evidence through extensive desk review, remote interviews and two missions to Myanmar (296 people were consulted, 172 men and 127 women); and 4) Systematically processing and analysing the information collected.

## *Main findings*

### Design

The design of the SP is built on the vast expertise accumulated by UNODC from the preceding alternative development initiatives in the South Shan State. Despite this, the design phase presented significant limitations derived from the lack of time and resources devoted to this stage.

### Relevance

The relevance of target areas of the SP exposes some differences, the most relevant being the township of Loilen. An area not controlled by the government that relies heavily on opium production and where no other international organisations are present.

In general terms, the evaluated initiative responds adequately to the needs of the beneficiaries. It is also aligned with Myanmar development strategies, donor's priorities, and with international policies and frameworks, including the SDGs.

### Efficiency

Given the level of contribution to concrete results and the high degree of budget execution it can also be determined that the degree of efficiency of the SP has been satisfactory. However, the administration systems of UNODC, as they are presently used, are not facilitating the smooth management of the SP.

The management and coordination of the team, as well as the decision-making flow is working well. The Field Office is well-staffed with well-qualified people committed to doing a good job. Still, there are some aspects that require attention.

### Partnerships and cooperation

The partnerships that have been established have been essentially with donors, with some governmental entities and, to a much lesser extent, with UN Agencies, civil society organizations and the private sector. However, the evaluated initiative did not develop a comprehensive partnership strategy which has meant that in occasions relevant synergies have not been pursued, most significantly with the USAID funded project Winrock.

The relationship with donor countries is excellent. Government partners are also supportive and informed, although in general they do not participate in the SP very actively.

### Effectiveness

The SP has been generally effective in achieving its formulated targets. The most impressive progress in this regard has been the establishment of a large area of well-performing coffee plantations. Even though the initiative has encountered significant challenges during the first harvest due to the lack of adaptation of cultivation techniques to the reoccurring extreme climate events. So far, the SP, has harvested and processed 25 MT of parchment coffee roughly 1/3 of what was expected. The first batch is presently



undergoing shipment. On the marketing side, the main progress of the SP has been the signing of a 5-year agreement with *Malongo*.

Under the auspices of the SP, the cooperative Green Gold was formally constituted in July 2015. The members of the cooperatives are the beneficiaries of the SP. The cooperative has obtained a central position in the SP. Despite advancements, Green Gold has been identified as the weakest link of the initiative and it is a main threat against sustainability.

The SP has aimed at facilitating forest activities on community level, including through the certification of community forests groups and the development and approval of forest management plans to successfully reforest with valuable timber species. So far, 25 community groups have been established to manage. However, only four of them have been certified by the Department of Forestry and are fully operational.

### Impact

During the course of the evaluation an impressive list of contributions to changes could be documented at four levels. Firstly, at the personal level in the beneficiaries' lives; accessing new resources or employment mainly related to coffee production. Moreover, beneficiary farmers have gained new knowledge on how to grow perennial crops.

Secondly, at the community level, there has been changes in the collective mentality of the communities. They now have clear expectations towards the alternative crops (mainly coffee) becoming a viable alternative to opium.

Thirdly, at the institutional level, the SP has contributed to placing certain issues in the public agenda, creating incremental awareness and support for the objectives pursued by the evaluated initiative. Additionally, the SP's activities have informed and influenced the development and issuing of the recently launched 'National Drug Control Policy'.

Finally, at the environmental level, where coffee, tea, reforestation areas and fruit tree plantations have replaced annual crops, like opium poppy, they provide positive conditions for increased soil fertility and, especially in sloping areas, less erosion, due to non-tillage and increasing soil coverage.

### Sustainability

In regards to sustainability, at the moment funds are secured only until December 2018. Three donors have expressed an explicit interest in financing the SP further. However, even in the best-case scenario, these funds would not reach UNODC until the first months of 2019. Consequently, it is very possible that there will be a funding gap.

Regarding the sustainability of results, the cooperative Green Gold remains the main risk. There is no guarantee that the farmers' association would be able to maintain the organisational concept of a producer-processing-marketing cooperative.

The rest of the outputs; the coffee, tea and fruit tree plantations supported by the initiative are, once they reach maturity, likely to be sustained by their owners. Likewise, community Forest certificates are in themselves sustainable outcomes securing the user rights of villagers.

## Gender equality and Human Rights

Despite some efforts and the strong will of all stakeholders, the SP still has poor indicators regarding gender equality. This is mainly due to strong social and cultural barriers in the targeted communities, but also because of the lack of appropriate investment in gender capacity.

Even if the SP does not have a HR mainstreaming strategy in place, the evaluation found some positive results in this area.

### *Main recommendations*

#### **Inception phase for the next phase**

It is strongly recommended that the SP Management and the Country Office Management undertakes an in-depth value chain analyses for the commodities it plans to promote in the next phase that includes a HR and gender dimension.

#### **Overall management and planning**

The Country Office and the SP Management should develop an explicit ToC, in order to use it as a complementary guiding framework to the log frame. This ToC should be developed in a participatory manner together with the main stakeholders (including beneficiaries and gender expertise) and reviewed at appropriate times.

### *Lessons learned and best practices*

The evaluation could substantiate that the partnership established with the International Company *Malongo* is a best practice. This agreement has become an essential component to the success of the SP and could potentially be replicated and expanded across geographic boundaries (within the SP to other farmers or townships and/or with other UNODC initiatives).

An important lesson learned has been that having all required analyses (gender, context, stakeholders and value chain) done during the inception phase of the SP is key for a sound planning and implementation.

# SUMMARY MATRIX OF FINDINGS, EVIDENCE AND RECOMMENDATIONS.

Findings	Evidence (sources that substantiate findings)	Recommendations
<p>1. The design phase of the SP presented significant limitations.</p> <p>In general, the SP has been very effective in achieving its formulated quantitative targets, even though the first harvest has encountered significant challenges. Despite significant advancements, the cooperative Green Gold has been identified as the weakest link of the initiative.</p> <p>The SP approach has excluded poor households to become beneficiaries.</p>	<p>Desk review (Project proposals, (SP proposals, reports, secondary documents)</p> <p>Interviews (Management, FO team, partners)</p> <p>Villages meetings</p> <p>Household visits</p> <p>Direct observation</p>	<p>1. Undertake an in-depth engendered value chain analysis for a revised design to strengthen achieved results and manage expectations as to what can be realistically achieved and sustained over time.</p> <p>This should include information about all aspects of the coffee value chain. In those activities where Green Gold is assessed to be the best owner of the activity, a comprehensive strategy must be elaborated to ensure transparency and good governance.</p> <p>(SP MMRZ39 and Country Office Management)</p>
<p>2. The internal logic of the SP, responds adequately to the needs of the stakeholders, including the farmers. However, the monitoring system and how it feeds into decision-making can be significantly improved.</p>	<p>Villages meetings</p> <p>Household visits</p> <p>Interviews (Management, FO team, partners, donors)</p> <p>Direct Observation</p> <p>Desk review (SP proposals, reports)</p>	<p>2. Develop an explicit Theory of Change in a participatory manner, to use it as a complementary guiding framework to the log frame.</p> <p>Based on the ToC improve the monitoring system identifying indicators of process, maintenance, adaptation and also, but not only, success.</p> <p>It is advisable to reduce the number of indicators associated to activities and outputs to the minimum by critically looking at what the information is used for.</p>

		(SP MMRZ39 and Country Office Management)
3. The SP does not have a comprehensive partnership strategy. The partnerships that have been established have been essentially with donors and with some governmental entities and, to a much lesser extent, with UN Agencies, civil society organizations and the private sector. In some cases, obvious synergies have not been pursued, most significantly with the USAID funded project Winrock.	<p>Desk review (SP proposals, reports)</p> <p>Interviews (Management, FO team partners, potential partners)</p>	<p>3. Develop a partnership strategy.</p> <p>Most significantly, investigate the scope for cooperation with the Taunggyi-based Winrock project 'Value Chains for Rural Development'. Other possible synergies and partnerships to be explored are with projects of the German Cooperation working in the area.</p> <p>(SP MMRZ39 and Country Office Management)</p>
4. The management and coordination of the team, as well as the decision-making flow is working reasonably well, although there are some aspects that require attention.	<p>Desk review (SP proposals, reports)</p> <p>Interviews (Management, FO team partners, donors)</p>	<p>4. Establish a middle-management position with access to Umoja to plan, oversee, and document all the specific aspects of the SP.</p> <p>(SP MMRZ39 and Country Office Management)</p>
5. Despite some efforts and the strong will of all stakeholders, the SP still has poor indicators regarding gender equality. This is mainly due to strong social and cultural barriers in the targeted communities, but also because of the lack of appropriate investment in gender capacity.	<p>Village meetings</p> <p>Direct observation</p> <p>Interviews (Management, FO team, partners)</p> <p>Desk review (SP proposals, reports, secondary documents)</p>	<p>5. Ensure to allocate budget to recruit permanent gender expertise to creatively and realistically design concrete measures to ensure gender equality of the implementation of the activities under the SP.</p> <p>(SP MMRZ39 and Country Office Management)</p>
6. The choice of target areas exposes some differences in relevance, the most relevant being the township of Loilen.	<p>Desk review (SP proposals, secondary documents)</p> <p>Interviews (Management, FO team, partners)</p> <p>Villages meetings</p>	<p>6. Phase out the township of Ywangan and consider an expansion into new areas adjacent to the present target area in Loilen by including new villages with a presently high reliance on opium production and a</p>

		<p>lack of alternative sources of income.</p> <p>(SP MMRZ39 and Country Office Management)</p>
<p>7. Financial reports available through the Umoja system do not provide sufficient information to donors (which could be a deterrent to fund UNODC in the future).</p> <p>Three donors have expressed an explicit interest in financing the next phase of the SP. However, even in the best-case scenario, these funds would not reach the coffers of UNODC until the first months of 2019.</p>	<p>Desk review (SP reports)</p> <p>Interviews (Management, partners, donors)</p> <p>Financial analysis by the UNODC team</p> <p>Direct observation</p> <p>Email exchanges</p>	<p>7. Improve financial reporting to donors and financial management in general. This means producing regular reports with updated information about committed and spent resources against what it was budgeted for under each of the components.</p> <p>Seek possible solutions to bridge the financial gap likely to happen from January 2019.</p> <p>(SP MMRZ39 and Country Office Management)</p>



# I. INTRODUCTION

## Background

The main object of the Sub-Programme (SP) 5, Sustainable Livelihoods and Development, of the UNODC Country Programme (CP) for Myanmar (2014-2019) (MMRZ39) is to strengthen capacities to reduce drug production through illicit crop monitoring and alternative development (AD)<sup>4</sup> in selected communities in the South Shan State. From its Field Office (FO) in Taunggyi, the SP operates in three townships in Southern Shan State, Ywangan, Hopong and Loilen; the runtime of its first phase is from March 2015 until the end of 2019.

The SP, as stated in the planning documents<sup>5</sup>, has two specific objectives. The first one is to improve the availability and use of data on illicit crop cultivation, drug production and trafficking. Its main outcome is the annual Myanmar Opium Survey.

The second one is to promote sustainable livelihood alternatives for opium poppy growing communities in line with international guidelines. This second specific objective constitutes the main part of the SP and has two main outcomes: a) the livelihoods dimension and b) the forest dimension<sup>6</sup>.

The first specific objective is supported by the Embassies of the United States of America (USA) and Japan. The Ministry for Foreign Affairs of Finland and the German Corporation for International Cooperation (GIZ) are funding SP activities under the second specific objective. The total budget approved for the SP is USD 6,473,948<sup>7</sup>.

## The reconstruction of the Theory of Change

In order to better understand the logic of the intervention, the evaluation team reconstructed the implicit Theory of Changes (ToC) of the SP. This ToC was validated by the key stakeholders, including the management of the SP and its main donor.

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<sup>4</sup> As stated in the ToRs for this evaluation (see Annex 1).

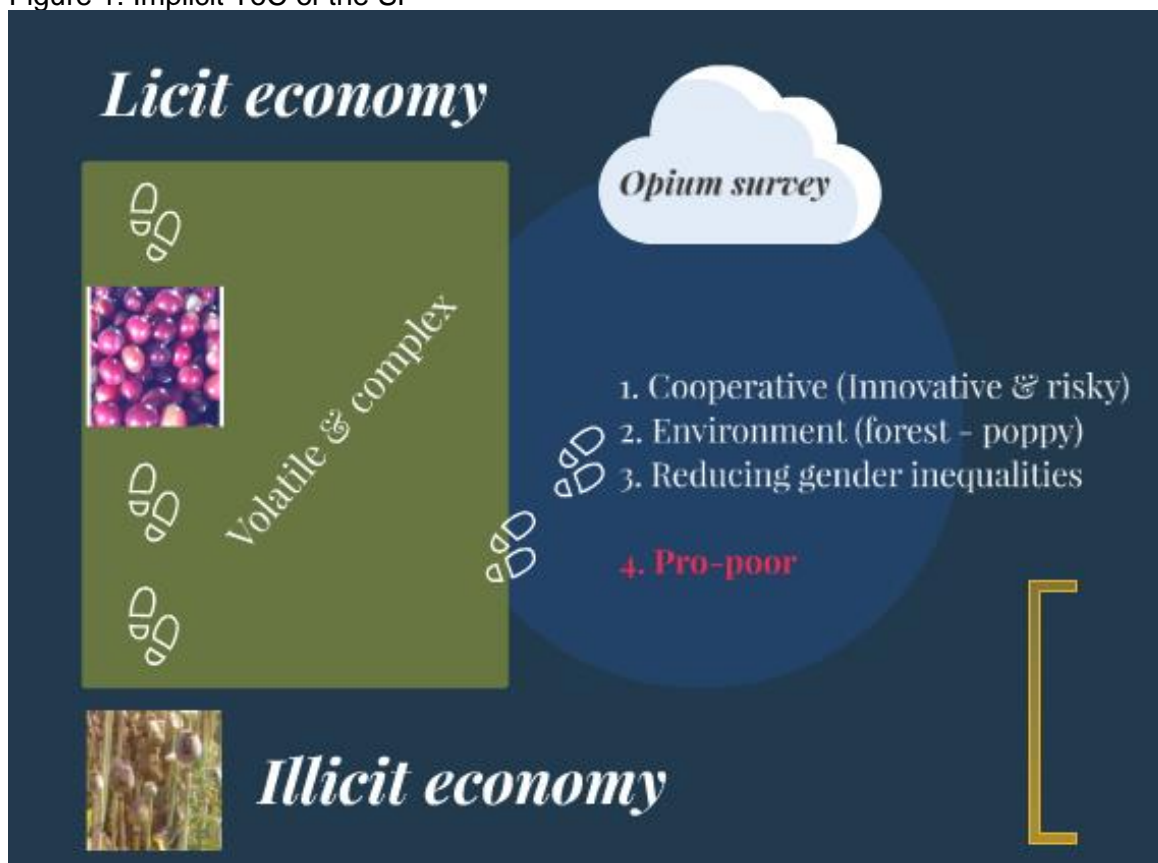
<sup>5</sup> The planning documents include the proposal presented to donors.

<sup>6</sup> **Outcome 2.1:** The livelihoods dimension aims at changing the opium poppy economy by promoting permanent crops (coffee, and, to a lesser degree, tea and avocados) as licit, alternative long-term income sources and the establishment of a farmers' organization to support the cultivation and marketing of these products. **Outcomes 2.2:** The forest dimension addresses problems of deforestation related to opium poppy cultivation through forest conservation, forest enrichment and reforestation activities, which are also expected to have positive effects on the livelihoods dimension by protecting water sources, providing fire wood, and reducing soil degradation.

<sup>7</sup> Source: Consolidated budget put together by the evaluation team based on information provided by the Project team. Notice that this figure is slightly different from the one offered in the ToRs for this evaluation.

<sup>8</sup> A ToC is a semi-structured visual map that illustrates how the desired transformations pursued by the project are expected to come about.

Figure 1: Implicit ToC of the SP



•Source: Evaluation analysis

As figure 1 indicates, the overarching aim of the SP is to move from an illicit economy based on opium production to a licit economy based on legal and sustainable crops.

The main pathway to change of the ToC is to incentivize and assist targeted communities in South Shan State by supplying the needed inputs (seeds, fertilisers, etc.) and providing technical and managerial support for the cultivation, production and marketing of these alternative crops (coffee, tea and fruit trees). This backbone of the ToC is perfectly aligned with UNODC's mandate<sup>9</sup> of reducing drug supply.

The context in which the SP is set is complex and volatile<sup>10</sup>. Some of its target areas are administered by the Government or ethnic administrations closely cooperating with the Government, others are under the control of autonomous ethnic armed groups. In both cases, there are a myriad of agents, frequently with opposing interests, directly or indirectly interacting with the SP. This backdrop implies a delicate balance that the SP is not necessarily trying to affect<sup>11</sup>, but rather it is trying to work with in order to achieve its main objectives.

<sup>9</sup> <https://www.unodc.org/unodc/en/treatment-and-care/mandate.html>

<sup>10</sup> The UN Women report (2016) "*Gender equality and women's rights in Myanmar: A situation analysis*" provides a good analysis on the general complexity of Myanmar including the gender disparities. See also, the report of the Secretary General (2016) "*Situation of Human Rights in Myanmar*".

<sup>11</sup> Altering the power balance in the Sub-Programme's context is not part of its (implicit or explicit) objectives.



In addition to the backbone, the SP has gone out of its main pathway to change to integrate four additional layers of complexity. Below, they are ordered by the level of effort that the SP has devoted to each of them.

An association of farmers – the ‘Green Gold’ coffee cooperative: A key part of the SP’s strategy is the formation of an association of farmers inspired by UNODC-supported cooperatives in Latin America. The rationale behind this is the retaining of value within the farmers’ community by cutting out the middle-man, while also improving social accountability.

This strategy is highly innovative in the local context, as the marketing of agricultural goods in Myanmar is done through individual traders, state-owned enterprises or private and multilateral companies, rather than through democratic cooperatives. As with any innovation, this strategy also carries significant risks, especially because it depends on altering collective behaviours, social norms, and values.

The environmental layer: The main premise of this layer is that promoting reforestation and sound forest conservation practices will have a reverse effect on the land previously cleared for opium cultivation, while at the same time it will contribute to the protection of water sources, the supply of fire wood, and the prevention of soil degradation. This layer has received a prominent position within the results framework as the ‘Forest Dimension’.

The gender layer: Several stakeholders, including the main donors, have expressed the explicit will to achieve the SP’s objectives while not perpetuating the acute gender inequalities in the targeted communities. The initiative has made efforts in this direction, although there is not a comprehensive gender strategy in place.

The pro-poor layer: This layer refers to the interest of the SP approach to make it inclusive for poor and vulnerable households within the target communities. This means guaranteeing that the strategies employed do not exacerbate the differences between the most powerful and the most vulnerable members of the community. Even if the SP has made some attempts to address this dimension, it has not been incorporated into the implicit ToC.

Notice that the Opium Survey is not integrated in the implicit ToC with the rest of the SP, although it is technically part of it<sup>12</sup>. Objective one and two operate in parallel without any obvious interactions and under separate project documents.

### *Purpose and scope of the evaluation*

The main purpose of this evaluation was to assess the achieved results of the SP MMRZ39, to inform further programming, and to provide accountability to the donor by assessing the extent to which the SP objectives have been met and how the resources have been utilised. In addition, the evaluation aimed at suggesting areas for improvement to adjust, if necessary, activities to meet the SP’s objectives by the end of the CP in 2019. The final report was meant to feed into the final evaluation of the CP for Myanmar and the final

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<sup>12</sup> See Structure of the Country Programme

“<https://www.unodc.org/southeastasiaandpacific/en/myanmar/country-programme.html>”

evaluation of the Regional Programme for Southeast Asia, as well as inform the strategic programming after the lifetime of the SP.

As a mid-term Independent Project Evaluation, this evaluative exercise was formative in nature. The evaluation covered the period from March 2015 until April 2018. The evaluation used a gender-responsive evaluation methodology in line with United Nations Evaluation Group (UNEG) and UNODC Evaluation Norms and Standards, promoting the participation of stakeholders throughout the evaluation process.

The evaluation followed the Organization for Economic Co-operation and Development - Development Assistance Committee (OECD – DAC) criteria: relevance, efficiency, effectiveness, impact and sustainability, as well as assessed design, partnerships and cooperation, human rights and gender equality. The evaluation also identified good practices and lessons learned.

Members of the Core Learning Partnership (CLP) were identified by the SP managers. A limited number of those deemed as particularly relevant to be involved throughout the evaluation process, i.e. in reviewing and commenting on the ToR and the evaluation questions, reviewing and commenting on the draft evaluation report, as well as facilitating the dissemination and application of the results and other follow-up action. Eight stakeholders were identified as CLPs.

Additionally, during the inception phase, the evaluation team compiled a stakeholder inventory to identify and classify the SP's key stakeholders, including UNODC staff members involved with the running of the SP. Stakeholders were classified according to a) their relation with the SP (core management, management, core partner, partner and bellwethers), b) Type of Organisation (National Government; Local Government, Civil Society, Private sector, UNODC, other international organizations, and independent consultants).

## The composition of the evaluation team

The evaluation team was composed of two senior consultants, Eva Otero, as Lead Evaluator and Sebastian Behrle, Alternative Development Expert.

Eva Otero has 20 years' experience in international development. Since 2008, she has been an independent consultant specialised in conducting evaluations and other learning processes. During this time Eva has worked with International NGOs and with multilateral bodies like the UN, including UNODC, both at the HQ level and in the field in different parts of the world.

Sebastian Behrle is a rural economist with extensive regional experience in South East Asia. He has been working as an independent consultant since 2006, specialised in Financial Inclusion and the evaluation of Rural Development (RD) and AD projects.

## Evaluation methodology

In the words of researcher Carlos Barahona *‘rigour is derived from a series of linked stages in the evaluation process. If these (links) can be fulfilled, then rigour can be inferred’*<sup>13</sup>. There are four stages in the course of this evaluation:

(1) **Conceptualizing** what UNODC needed to know in a well-defined and transparent analytical framework including: formulating clear questions that the evaluation had to answer and identifying the best sources that could inform each evaluation question. This was developed as part of an inception report that was validated by the team in Myanmar and by the IEU of UNODC.

(2) **Designing appropriate data collection tools** to gather information from identified sources. The evaluation team applied a mixed methods approach, including data sources detailed below.

(3) **Data collection:** Gathering evidence through extensive desk review, remote interviews and two missions to Myanmar. The first mission to Yangon, Taunggyi, Le Ka Tu, Myaing, Taung Nauk, Pan Khauk Woe, Pan Hu, Wan Toke and Nay Pyi Taw took place from the 23<sup>rd</sup> of February to the 10<sup>th</sup> of March and was undertaken by the Alternative Development Expert. The second mission to Yangon, Taunggyi, Bant Sawk, and Nin Mon, took place from the 30<sup>th</sup> of March to the 9<sup>th</sup> of April and was carried out by the Lead Evaluator.

Desk review analysis: Documentation provided by the management team was supplemented by the relevant literature from a variety of primary and secondary sources in order to establish a good and critical understanding of the SP’s activities as well as the wider context in which it is operating (Annex II).

Village workshops and household visits: The evaluation team organised community workshops in eight selected villages (Le Ka Tu, Taung Nauk, Pan Khauk Woe, Pan Hu, Wan Toke, Nay Pyi Taw, Bant Sawk, and Nin Mon) applying a purposeful sampling for qualitative data collection<sup>14</sup>. A total of 232 people were consulted during these workshops, 105 women and 127 men.

Interviews/small focus group discussions: The evaluation team then conducted semi-structured interviews and small focus group discussions either via Skype or in person with 68 key informants, (42 men and 26 women) that were selected based on the stakeholder inventory (Annex III).

(4) **Analysing the information and writing the report.** The information collected throughout the evaluation process was systematically processed and analysed by the evaluators. The information was compiled and codified in tables of evidence and analysed using triangulation techniques to validate findings.

<sup>13</sup> Dee Jupp with Sohail Ibn Ali and contribution from Carlos Barahona, “Measuring empowerment: Ask them!”, SIDA, 2009

<sup>14</sup> According to the following criteria: a) Selection of villages, so all Project activities can be assessed; b) Representation of villages where the Project is making good progress, and villages where the Project has met significant challenges; c) Mix of villages with different accessibility; remote/not remote; d) A balanced representation of the ethnic groups represented in the target area; e) A representation of villages where the presence of women is stronger; f) A mix of areas controlled by the government or by ethnic administrations respectively

Furthermore, the evaluation team analysed available information and insights during four formal preliminary finding sessions at the FO level with the UNODC team in the Shan State and at national level with the UNODC team in Yangon and with the main donor.

The Independent Evaluation Unit of UNODC in Vienna (IEU) also played a key role at this last level of analysis by giving their feedback and insights to the initial draft of the evaluation report and acting as a clearing entity for all evaluation deliverables.

## Limitations to the evaluation

1. A key challenge for the evaluation was the quality of the SP monitoring, particularly the lack of baseline information for some of the SP's components. As such, the evaluation team found it difficult to assess the degree of SP implementation compared to the original plan especially at the outcome level. To meet this limitation, the evaluation team reconstructed and critically assessed indicators as well as the implicit ToC together with the SP team to capture adequately the progress in the evaluation report.
2. Workshops and interviews with villagers and local authorities and organisations were undertaken with the assistance of a translator. In some cases, double translation (English/Burmese/local ethnic language) was required. The resulting risk of linguistic misunderstandings or lack of nuances has been considered in the analysis.
3. The Lead Evaluator fell ill and could not undertake the field mission with the Alternative Development Expert in late February/early March as originally envisaged. To meet this limitation the Alternative Development Expert documented all the audios for the village meetings and the interviews during his field visit. The evaluation team did a first thorough analysis of all the information gathered during this trip and identified information gaps. The Lead Evaluator then undertook a second field mission in early April to fill in these gaps and finalise the analysis of the evaluation.

## II. EVALUATION FINDINGS

### Design

#### Evaluation questions<sup>15</sup>:

- Extent towards which the Project design included an appropriate analysis of the context and employed the adequate planning process and frameworks.
- Critical assessment of the planning of the Project.

#### Analysis

The evaluation showed that the design phase of this intervention faced limitations due to a lack of time and resources devoted to this stage. This can be attributed to several factors:

Firstly, UNODC does not allocate core funds to plan for interventions. The preparation for future projects/programmes is financed by overhead budgets from ongoing financial agreements, thus competing with other management and administration tasks. Secondly, in the case of field activities under SP 5, the main donor of the predecessor project<sup>16</sup> did not extend its funding. This meant that the Country Office had to mobilise new resources within a short period of time. Thirdly, there was a critical turnover of staff at the Field Office and in the Country Office in Yangon. Finally, a new central financial administration system (Umoja) was introduced in 2017 claiming a lot of the staff's time and energy.

Consequently, a close analysis of the SP's proposals revealed that important elements were not appropriately analysed prior to, or during the inception of the SP. Key stakeholders, like the SP management, agreed that several essential aspects were not fully considered at this initial stage.

Notably, the SP did not carry out a comprehensive **context analysis**. The institutional, legal, commercial and agricultural conditions in the targeted area, and in the country at large that might have affected the SP's outcomes, were not sufficiently considered.

The intervention is built on the trust established with farmer communities and other key agents in the region by previous UNODC projects. However, the design documents do not include an explicit **stakeholders' analysis**, clarifying and describing the profile of the intended beneficiaries, and mapping other actors potentially involved or affected by the SP (positively or negatively). In consequence, key stakeholders, most relevantly beneficiaries, had very little involvement at the design stage. A Baseline Survey that could have added to the understanding of the beneficiaries' situation was not elaborated.

Despite the will and the explicit policy of UNODC to mainstream gender<sup>17</sup>, a **gender analysis** was not undertaken at this stage<sup>18</sup>. This meant that there was not any systematic examination of the differences between the roles that women and men play in the targeted communities, the responsibilities they have, the different levels of power they hold, their

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<sup>15</sup> Evaluation questions were refined during the inception phase to ensure relevance to availability of data.

<sup>16</sup> The European Union.

<sup>17</sup> See UNODC Strategy for Gender Equality and The Empowerment of Women (2018–2021).

<sup>18</sup> Acknowledging this shortcoming, the Project undertook a gender analysis after its inception, but the information that emerged from it came too late to inform the design of the intervention.

differing needs, constraints and opportunities, and how all these differences may have affected the impact of the SP in their lives.

Finally, a **value chain analysis** was not developed, which is standard good practice in interventions based on commodity development. Consequently, central issues of input supply, extension and marketing of the chosen commodities have not been analysed.

### **Design and planning**

The SP does not have one single programmatic document that articulates the internal logic (or ToC) of all its components<sup>19</sup>. Nonetheless, the rationale of the intervention (moving from an economy based on illicit crops to a licit economy through the promotion of alternative crops such as coffee) is shared and understood by all key stakeholders including the beneficiaries (according to their own testimonies).

Its main strategy also made sense from a technical perspective according to thematic experts. The promoted alternative crops are perennial. Once the plantations have been successfully established, they are unlikely to be cut to make space for poppy cultivation. Additionally, coffee and tea, due to their low bulkiness and low perishableness, are well-suited especially in remote locations where opium so far has been an attractive cash crop.

It is important to point out that although it is true that the implicit ToC was well founded, it is also based on a series of assumptions that have not been conveniently challenged, as this report will unpack in the following chapters.

What follows is a critical assessment of the design of each of the SP components<sup>20</sup>.

### **Specific objective 1: *The Opium Survey***

This component had no overt programmatic relationship with the rest of the SP. Key stakeholders at the management level suggested ways in which the relationship could have been made more apparent, for example if the research were to inform the baseline for the rest of the SP which has not been the case.

### **Specific objective 2: *Sustainable livelihood alternatives for opium***

The second specific objective represents 91% of its total investment. It is divided into three outcomes:

#### Outcome 1 – *The livelihood dimension*

This outcome very much coincided with the backbone of the ToC and represented 55% of the total investment of the SP<sup>21</sup>. It was a clear and well formulated outcome that, as previously stated, was shared and understood by all the relevant stakeholders. However, the indicators associated were not adequate to capture, in a useful and realistic manner, the range of transformations that were implicit in the outcome. In fact, a close analysis of the progress reports reveals that the indicators at the outcome level were not being used.

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<sup>19</sup> To make the assessment of the design of the Project, the evaluation team had to combine different sources, among which are the ToRs for this evaluation, the proposals to the various donors of the Sub-Programme and various progress reports. In all these sources the definition of objectives; outcomes and outputs were slightly different.

<sup>20</sup> As they were stated in the ToRs for this evaluation and in the latest progress report.

<sup>21</sup> 55% of the budget allocated to outcomes.

Probably the most important limitation in the formulation of this outcome is the lack of details concerning the development of the farmers' organization.

### **A key assumption imbedded in this outcome**

Even though the merit of the farmers' organisations and cooperatives in other contexts was undisputed, the SP did not explore whether the cooperative model was suitable to this specific context, and, if so, under which conditions.

The underlying assumption that the initiated coffee cooperative will be able to deal with: farmer extension and organisation, village-level processing, product collection and transport, quality management, dry mill processing, marketing to international buyers, and management of large money flows was decisive for success. However, this was not clear-cut in the SP proposals.

### **Outcome 2 – The forest dimension**

The internal rationale of this outcome was clear and well defined. It added an extra layer of complexity by looking at reducing opium production from an environmental perspective. According to the testimonies of interviewees, the approach was understood and shared by all relevant stakeholders, including the government, SP staff and beneficiaries.

### **Outcome 3 - National capacity**

The rationale of this component was based on developing the capacities of the governmental partners. However, government organisations are not the main partners of this SP that follows a model of direct implementation by the UNODC Country Office rather than a national implementation through governmental partners.

Capacity development of relevant agents was seen as crucial to securing the sustainability of the SP results by all stakeholders. However, national capacities are not identical with government capacities. In this case, developing the capacities of the private sector, significantly Green Gold, could have made more sense in the view of many, including the management of the SP.

There was also an important and unchallenged assumption in this outcome, that the government partners were lacking technical capacity. However, other possible limitations, like the lack of personnel, financial resources and facilities, were not considered.

### **Risk analysis**

A significant limitation of the design was the risk matrix disregarding or underestimating some key risks.

For example, the assumption of a conducive macroeconomic situation was not mentioned, even though it was crucial for a positive market environment. The influence of possible political instability on the market for farmers' products (with opposing effects on the sale of licit and illicit crops) was overlooked. Also, the 'balloon effect' – reduction of illicit crop areas leading to their expansion in other areas was not listed. Most prominently, the risk matrix did not include the risk in connection with a possible failure of the farmers' organisations that are so central to the SP design.

### Cross-cutting issues

In the light of the connection between civil unrest and the production of illicit crops, the intervention's conflict-mediating mission was a central and well-described feature of its rationale.

However, the design was not explicitly considering Human Rights (HR) and Gender Equality (GE) issues. This was derived from not having had a comprehensive analysis of these aspects at the inception period. In the proposal that was presented to Finland, there were general gender considerations that did not crystallize in the Result Framework<sup>22</sup>.

The design documents implicitly excluded resource-poor families from benefiting from the promotion of coffee as a new crop. The rationale behind this was that farmers needed to be able to produce a sufficient quantity of coffee in order to be commercially viable. To produce enough, farmers needed to have sufficient land (i.e., 3 hectare of land) and thus land possession was a key selection criterion which led to the exclusion. The report tackles this under 'cross-cutting issues'.

#### Summary - Design

The SP was founded on the substantial expertise built by UNODC from the preceding AD projects in the area. However, the design phase presented significant limitations derived from the lack of time and resources devoted to this stage.

## Relevance

#### Evaluation questions:

- Is the project addressing in nature and scope the specific situation (including expectations, challenges and needs) of the target population, both women and men?
- Was the project's interventions clearly within the stakeholders' mandate and congruent with their strategic framework?
- Extent towards which the Project has remained relevant in the face of contextual challenges/opportunities.

### Geographical scope

Information emerging from the village meetings, interviews and the desk review indicated that the choice of target areas (the townships of Ywangan, Hopong and Loilen) exposed differences in relevance towards the main rationale of the intervention.

Low relevance – Opium has reportedly not been grown in **Ywangan** township for over 20 years. UNODC chose to work in five villages in this township because of the optimal conditions for growing coffee and because the area already had previous experience with this crop. It was intended to have a demonstrative character. However, the experience of Ywangan coffee farmers was not actively used in the other targeted areas.

Medium relevance - **Hopong** township is mainly populated by the Pa-O ethnic minority, whose representative authorities are cooperating closely with the national government. Even though opium is or has been grown in many villages, the targeted area (18 villages<sup>23</sup>)

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<sup>22</sup> See Final Project Proposal presented to Finland, 3.6.

<sup>23</sup> 8 villages in Hopong Implementation Area 1; 9 villages in Hopong Implementation Area 2; 1 village



is relatively well-connected to the market, and farmers have a comparatively better choice of alternatives to opium cultivation (garlic, paddy rice, ginger, cheroot, corn and pigeon beans), making the SP less relevant in this area. However, UNODC has been working in the township since 2011 and has created relationships of trust and loyalty with the farmers. These relationships increase the relevance of the intervention in the region as according to key stakeholders, they are fundamental when it comes to promoting behavioural changes (such as switching from an illicit to a licit economy through the introduction of new crops).

**High relevance** - The SP had its core relevance in the mountainous areas of **Loilen** township (37 villages<sup>24</sup>), an area not under government rule relying heavily on opium production. Connections to other commodity markets other than opium are rudimentary due to the remoteness and political isolation of the place. Additionally, no other international organisations carry out visible activities in the area. In this context, the intervention has a very high potential to make a difference.

### Farmers needs

During village workshops, the participating farmers expressed high levels of commitment and appreciation for the SP's activities, indicating a high relevance from their point of view.

During the field missions, a participatory exercise was carried out in six of the eight villages visited<sup>25</sup>, giving an indication of the relevance of the supported activities to the beneficiaries (see table 1). The activity receiving the most attention and resources, coffee, had the overall highest score. Land titling was seen as relevant in villages where conflicts on land user rights were reported. None of the villages visited reported on actual problems regarding their forest resources, and the ranking was accordingly low. However, interviewed villagers from Loi Mon Mong village, Loilen, expressed the high relevance of their community forest in order to protect local water sources and to prevent encroachment from outsiders. It was noticeable the high interest for avocados in the villages of Pan Khauk Woe, Taung Nauk and Pan Hu.

Table 1: Results of Participative Assessment: Rating of activities

Village	Coffee	Avocado	Tea	Land Titling	Community Forest	(Animal Husbandry) <sup>26</sup>	Green houses
Le Ka Tu	26%	15%	0%	23%	3%	26%	5%
Taung Nauk	44%	25%		29%		3%	
Pan Khauk Woe	3%	34%	26%	13%	1%	23%	
Pan Hu	40%	39%	7%	0%	7%	6%	
Nin Moon	49%	4%	26%	6%	0%	15%	0%
Bant Sauk	78%			10%		12%	
<b>Average</b>	<b>40%</b>	<b>24%</b>	<b>15%</b>	<b>13%</b>	<b>3%</b>	<b>14%</b>	<b>3%</b>

Source: Evaluation analysis

in Loilen Implementa6tion Area 5 which is remote and isolated.

<sup>24</sup> 7 villages in Loilen Implementation Area 1; 3 villages in Loilen Implementation Area2; 19 villages in Loilen Implementation Area 3; 5 villages in Loilen Implementation Area 4; 3 villages in Loilen Implementation Area 5.

<sup>25</sup> Bant Sauk, Le Ka Tu, Nin Moon, Taung Nauk, Pan Khauk Woe and Pan Hu. In the two remaining villages, Myaing, Ywangan and Wan Toke, Loilen, coffee was the only activity. The results cannot in any way be seen as statistically significant.

<sup>26</sup> Even though Animal Husbandry has been supported by the predecessor project, but not by this project, it was included, as participants in the first village meeting in Le Ka Tu expressed their interest.

However, the evaluation identified a few relevant aspects for the beneficiary population that were not considered at the design and implementation stage. Significantly, farmers referred to the first three years when coffee plants were too young to be productive. This situation meant considerable pressure on the families' economy and they felt that the activities of the intervention had not taken this sufficiently into account.

The cultivation of annual crops (soya bean, pigeon beans, green beans, and bananas) was meant to bridge these shortages of income. However, this option had little demand, and some beneficiaries reported urgent need for short-term profits. Additionally, during village meetings, non-participating households said their main reason for not joining the initiative was the unaddressed demand for short-term income.

### **Alignment**

The SP was designed in close cooperation with the donor organisations and is well in line with their strategic priorities, in particular with the Finnish Embassy, whose contributions added additional emphasis on the sustainable use of forest resources, and on gender equality. The initiative is also in line with the German Cooperation's goals and their regional focus on Shan State, where Germany has had many project activities<sup>27</sup>.

A close review of UN strategic documents and testimonies from interviewed government officials indicate that the SP is also well aligned with the national development strategies<sup>28</sup> as well as with international policies.

The components of the SP also feed actively into three of the four strategic priorities for the UNCT engagement in Myanmar during the period 2012-2015<sup>29</sup> when the SP was designed. They are; i. Encouraging inclusive growth, both rural and urban, including agricultural development and enhancement of employment opportunities; iii. Reducing vulnerability to natural disasters and climate change; and iv. Promoting good governance and strengthening democratic institutions and rights. Finally, the evaluation could determine that the intervention is contributing to various SDGs<sup>30</sup>.

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<sup>27</sup> See <https://www.giz.de/en/worldwide/11988.html>

<sup>28</sup> Some of these relevant policies are:

- Nationwide Ceasefire Agreement NCA 2015 and Union Peace Conference 2016 (Panglong 2)
- Economic Policy of the Union of Myanmar, State Counsellor's office, 29 July 2016, esp. point 6: "Establishing an economic model that balances agriculture and industry, and supports the holistic development of the agriculture, livestock and industrial sectors, so as to enable rounded development, food security and increased exports."
- 1995 Community Forestry Instructions, National Forest Master Plan (2001-2030)
- Land Use: Farmland Law and the Vacant, Fallow, and Virgin Lands Management Law
- National Climate Change Strategy and Action Plan (2016-2030) (NCCSAP)
- Agriculture Development Strategy and the Agriculture Investment Plan (2017).

<sup>29</sup> The present UNDAF was under negotiations with the government at the time of the evaluation.

<sup>30</sup> Most significantly to SDG 1 under the indicator 1.4.2 - *Proportion of total adult population with secure tenure rights to land, with legally recognized documentation and who perceive their rights to land as secure, by sex and by type of tenure*; to SDG 2 under the indicator 2.3.1 - *Volume of production per labour unit by classes of farming/pastoral/forestry enterprise size*, and indicator 2.4.1 - *Proportion of agricultural area under productive and sustainable agriculture*; SDG 9 under its indicator 9.3.1 - *Proportion of small-scale industries in total industry value added*; and to SDG 15 under the indicator 15.2.1 - *Progress towards sustainable forest management*.

### Summary - Relevance

The choice of target areas exposed some differences in relevance, the most relevant being the township of Loilen. Except for a few aspects, the initiative responded adequately to the needs of the farmers and it was in line with national development strategies, UN and donor's priorities in Myanmar, as well as with international policies and frameworks, including the SDGs.

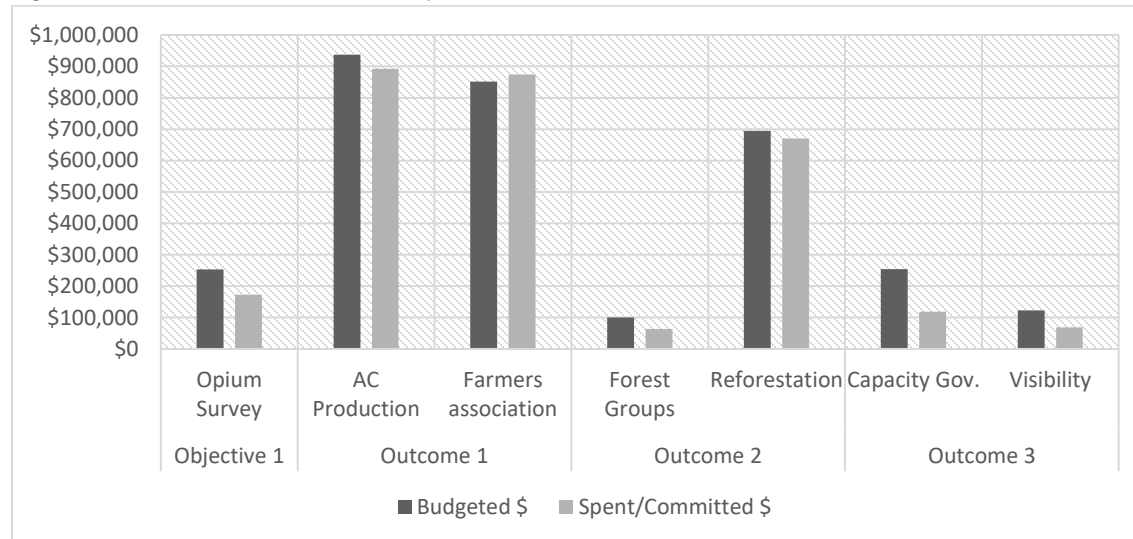
## Efficiency

### Evaluation questions:

- How well have the various activities transformed the available resources into the intended results in terms of quantity, quality and timeliness?
- To what extent are the management and administrative arrangements sufficient to ensure efficient the implementation of the SP.

The evaluation found that given the level of contribution to concrete results (which are detailed under the effectiveness and the impact chapters) and the high degree of budget execution (see figure 2) it could be determined that the degree of efficiency of the SP has been satisfactory. Moreover, despite the initial funding gap, challenges derived from the implementation of Umoja, and the lengthy UN procurement processes, the activities could generally be delivered timely and with good quality.

Figure 2: Overview of the delivery rate<sup>31</sup>



- Source: Evaluation analysis based on information provided by the UNODC Finance Department

The highest investment was by far in Outcome 1, which is normal given that it is the main backbone of the implicit ToC of the SP. The financial allocation was spread evenly between the production output and the post-harvest output (referred to in the design documents as the 'farmers' association').

<sup>31</sup> This chart includes only money budgeted for outcomes. Salaries and support costs are not considered in the figures.

Figure 3 illustrates, the share of the spent/committed budget allocated to finance activities under the three outcomes vs. money spent/committed on salaries and support costs.

Figure 3: Money spent in activities vs. salaries & support costs



• Source: Evaluation analysis

The SPs allocates a sizable 34% of the resources to pay for salaries. This may look high; however, a close analysis of the ToRs of the staff indicated that the vast majority of these positions could be allocated to particular outcomes. Most of the staff, including the two international consultants could be considered concrete inputs for specific outputs.

### Administrative Arrangements

The complexity of the administration systems of UNODC did not facilitate the smooth implementation of its activities and its sustainability. Most significantly, financial information was not readily available organised by activity and/or outputs<sup>32</sup>. This made it very difficult to get the appropriate financial data that can feed into strategic decisions and it was detrimental to the donor's accountability.

Even if Member States have agreed to get only certified budgets<sup>33</sup>, at the country level these reports do not provide sufficient information to understand the general value of their investment. During the course of the evaluation, this aspect was identified by the main donor as a potential deterrent to further funding to UNODC.

<sup>32</sup> Sources from UNODC HQ revealed that the new finance system Umoja potentially allows for financial reporting organised by a four levels project structure (Objective/Outcome/Output/Activities). It was also reported to the evaluation team that during the Umoja deployment, UNODC provided sustained training to all UNODC Programme Managers on how to run reports and provided samples of useful reports. However, the evaluation did not find evidence that these types of reporting were being used. In fact, at the request of the evaluation team, the UNODC team in Yangon provided a basic non-certified excel sheet comparing the money budgeted, committed and spent per output. The information was compiled manually by the Finance Department. This was a painstaking process that had to combine information from different sources (Project Proposals to different donors and Umoja), all of them following a different budgeting structure.

<sup>33</sup> Certified budgets offer very basic financial information organised by five to seven general budget lines.

### **Governance – internal coordination**

The management and coordination of the team, as well as the decision-making process, were done smoothly, although there are some aspects that require attention.

The team was largely focused on the achievement of results and the fulfilment of indicators. This left, according to many of the team members and external stakeholders, little space for analytical and strategic thinking, leaving key assumptions embedded in the ToC unchallenged. The Steering Committee of the SP provided an opportunity for useful information sharing once a year. However, an analysis of the Committee's minutes indicated that it is not the place to reflect strategically on the general pathway to change.

At the senior management level, the SP finances part of the salary of UNODC Country Manager. Consequently, the Country Manager reported spending considerable time performing the tasks of a project manager; like monitoring the expenditure and planning procurement. This takes focus away from more strategic tasks better suited to the professional profile such as human resources management, policy work or forging partnerships at the highest level.

At the field level the team was large; it had 35 staff, including a full time Project Coordinator and two International Consultants. The evaluation found that the Field Office was well-staffed and it functioned well. Evaluation interviews revealed that staff were well-qualified and committed to doing a good job. The extensionists and Community Development Facilitators (CDF) living and working in the targeted area and, to a lesser extent, the subject specialists had a lot of supportive and trust-building presence in the villages.

Furthermore, regular, weekly team meetings ensured coordination, exchange of experiences and discussion of occurring issues. However, a close analysis of the ToRs and testimonies from the team indicated that there was a lack of coordination and clarity between the roles and accountability lines of the Project Coordinator and the International Consultants which in some cases has led to misunderstandings.

#### **Summary - Efficiency**

Given the level of contribution to concrete results and the high degree of budget execution it could be determined that the degree of efficiency of the SP has been satisfactory. However, financial reports available through the Umoja system do not provide sufficient information to donors (which could be a deterrent to fund UNODC in the future).

The management and coordination of the team, as well as the decision-making flow is working reasonably well, although there are some aspects that require attention.

### **Partnerships and cooperation**

#### **Evaluation questions:**

- Extent towards which the Project followed an inclusive partnership strategy
- Were there any unexploited cooperation opportunities to create complementary support towards the project's objectives?
- Critical assessment of the quality of the partnerships with different stakeholders

**Inclusive partnerships**

The SP does not have a comprehensive partnership strategy. As noted under the design chapter, in the inception stage no mapping of relevant stakeholders was made on which an inclusive partnership strategy could have been based.

The partnerships that have been established have been essentially with donors and with some governmental entities and, to a much lesser extent, with other UN Agencies, civil society organizations and the private sector, notably with the International Coffee Company *Malongo* (see the chapter on Best Practice).

During the evaluation process, many stakeholders agreed on the need to expand the partnership approach to reach out to expertise that the SP did not have, for example, in gender mainstreaming. It was also shown that the implementation of an inclusive partnership strategy was easier to design than to carry out in practice. There were a range of factors, identified by stakeholders, which have hindered the establishment of partnerships. Among them difficulties of UNODC administrative systems to put into practice grants systems or any other form of monetary transfers to other entities (both contracting and outsourcing).

**Unexploited cooperation**

Potentially, the most relevant unexploited partner is the 'Value Chains for Rural Development' initiative run by the Winrock Foundation.

This USAID-funded project has the objective to promote several agricultural value chains on several locations in Myanmar. One of its high-profile activities is the promotion of high-quality coffee for export in Ywangan and Pinlaung townships in Southern Shan State (in close proximity with the UNODC initiative). The evaluation team found that the Winrock project has a good understanding of the coffee value chain including: international market conditions, private sector cooperation and development of farmers' organisations that could potentially be of high value for UNODC<sup>34</sup>.

The team in the FO has reported some sporadic cooperation with Winrock at the beginning of 2017. For example, both initiatives held coordination meetings that led to joint actions such a training workshop organised by Winrock with participation of UNODC staff.

However, despite the very high relevance and potential for synergies, the relationship between the two initiatives has been facing some difficulties.

Winrock, without prior coordination with UNODC, acted as an agent for the sale of coffee from UNODC beneficiary farmers in two villages in Hopong township. Additionally, as part of the project rationale, Winrock came to propose to the beneficiaries of UNODC an organizational model different from Green Gold. This was confirmed by the UNODC team and by concerned farmers.

These actions were however perceived by UNODC personnel as not quite appropriate as they had adverse effects for the SP. Additionally, Green Gold's ability to comply with the commercial commitments with *Malongo* was affected (see the progress chapter of this report).

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<sup>34</sup> For example, Winrock has commissioned a value chain analysis for Arabica coffee in Myanmar; based on its findings, they have developed a strategy of enabling local farmers growing high quality coffee for the international market.

Winrock expressed willingness towards closer cooperation with UNODC in the evaluation. However, the relationship and trust between the two initiatives has seemingly been damaged, limiting further cooperation. Only lately have formal connections been re-established between USAID and UNODC, but at the Yangon level, not in the field.

**Donors**

Mainly thanks to the active and communicative outreach of the Country Management, UNODC enjoys an excellent relationship with the four present donors of the SP: Finland, Germany, US and Japan. The Finnish Embassy keeps a special, close contact with UNODC, taking a specific interest in the second specific objective of the SP.

The relationship is frank and transparent according to all the parties concerned. The UNODC management keeps donors informed of issues that at times have affected the SP. Donor representatives appreciate this openness, especially in relation to occurring problems, provision of information and the fast response given by the UNODC Country Office.

**Government and authorities**

The UNODC Country Office maintains good relationships with the relevant line ministries. All the interviewed departments<sup>35</sup> were well-informed about the SP and supported its objectives. A number of relevant line ministries are included into the Steering Committee and high-level coordination and alignment with these is done during annual meetings.

Although government partners are supportive and informed, they are not very actively involved. There is little interference with the field activities, only in cases regarding national security or the government's international reputation.

The Field Office has good working relationships with the local departments actively involved in the activities of the SP. As governmental services presently have only a small outreach and government staff cannot work in non-governmental areas, UNODC had to rely on direct implementation. Government staff are therefore involved mainly in bureaucratic processes (land titling, community forest certification, cooperative registration).

Contact with the non-governmental minority administration is informal and sporadic.

**UN System and bilateral organisation**

During the evaluation, the Country Office in Yangon identified GIZ as a potential relevant partner. The management of the SP saw the merit of reaching out to this organisation that has spread its presence in the targeted area and has a trusted expertise on equitable livelihood projects. However, collaborations between both organisations have occurred on a very occasional basis in activities, for example exchanging information related to the production of tea.

Regarding the UN System, the SP maintains a good relationship with the rest of the agencies at the country level and particularly with the UN Peace Team, mainly through coordinated work in the UNCT.

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<sup>35</sup> The Central Committee for Drug Abuse and Control chaired by the Ministry of Home Affairs, the Departments of Cooperatives and for Agricultural Land Management and Statistics under the Ministry of Agriculture, Livestock and Irrigation, the Department of Forestry under the Ministry of Natural Resources and Environmental protection and the Department of Trade under the Ministry of Commerce.

At the field level only three agencies apart from UNODC have a presence in Taunggyi. They are UNDP, UNICEF and ILO. The evaluation established, through interviews and desk review, that the UNODC initiative only had ad-hoc connections with ILO; mainly within the Forest dimension.

### **Civil Society**

The Royal Thai Foundation yields a minor contribution by setting up high-quality greenhouses; this contribution is connected to the former regional UNODC programme including AD projects in Laos.

### **The Private sector**

Private sector partnerships in the local processing and marketing sector have not been pursued because of the preconception that there either were no eligible actors, or actors were too far away, or that eventual reliance on the private sector actors would lead to exploitation of the beneficiaries.

For international marketing of coffee, a strong long-term cooperation has been developed with the French coffee roaster *Malongo*. However, even though this cooperation is now fluid and productive, the first contacts occurred rather accidentally and were not part of an explicit partnership strategy.

#### **Summary - Partnerships and cooperation**

The SP does not have a comprehensive partnership strategy. The partnerships that have been established have been essentially with donors and with some governmental entities and, to a much lesser extent, with UN Agencies, civil society organizations and the private sector. In some cases, obvious synergies have not been pursued, most significantly with the USAID Found project Winrock.

The relationship with donor countries is excellent. Government partners are supportive and informed, although they do not participate in the SP very actively. The initiative has only worked sporadically with other international agencies.

## **Effectiveness**

#### **Evaluation questions:**

- Are the different components of the Project on track towards achieving the expected results and maximizing their impact?
- Monitoring, evaluating and learning: How appropriately is progress towards results measured and monitored?

### **Progress**

In general, the SP is highly effective at achieving its formulated targets. The evaluation could validate that most of its indicators are either fulfilled already, or on track to be fulfilled by the end of the phase.

This progress occurred, as described under the recreated ToC, in a very complex and volatile political background. In this context, the intervention has been mostly successful at relating to major agents involved (such as governmental departments, ethnic armed-forces, village authorities and farmers) and at navigating the delicate power balance so that the activities could be implemented as planned.



Two factors have facilitated this positive progress according to the stakeholders consulted. On the one hand, the tripartite agreement that UNODC signed with the government and the Restoration Council of Shan State (RCSS) that paved the way to the present SP<sup>36</sup>. On the other hand, the exhaustive and meticulous work of the SP team fostering a fluid communication with the relevant actors to keep them informed and get the necessary permits to conduct activities.

What follows is an analysis of the progress made by each of the SP components, including key considerations on the factors that have facilitated or hindered such progress. Please refer to Annex V for a detailed assessment of the advancement made against indicators, as formulated in the Result Framework.

**Specific objective 1: The Opium Survey:** *Improved availability and use of data on illicit crop cultivation, drug production and trafficking, and drug use and treatment for informed strategic planning*

Under the SP, two Annual Opium Surveys were published for the years 2016 and 2017. The surveys consisted of detailed data on opium production and eradication measures, amended by an informative set of socio-economic data to support measures aimed at alternative development and political stability.

The surveys published had high standards of quality according to all relevant stakeholders consulted, including the Myanmar Central Committee for Drug Abuse Control (CCADC), and the main donor, the Embassy of the USA. They unanimously underlined how the report gives crucial information that would not otherwise be available.

**Outcome 1:** *Sustainable and licit income alternatives have significantly reduced dependence on opium poppy cultivation for beneficiary farmers*

The evaluation was not able to draw conclusive findings regarding the extent to which the alternative crops boosted by the SP are decreasing the dependence on opium cultivation in the targeted areas. However, during the meetings with the villagers, both in Hopong and in Loilen townships, farmers reported having reduced (Loilen) and even abandoned (Hopong) growing opium due (partly) to the influence of the initiative.

### **The production of alternative crops**

The most impressive progress of the SP so far was the successful development of a local coffee value chain almost completely from scratch. Within a very short timeframe, UNODC has succeeded, together with its beneficiary farmers, to establish a significant area of well-performing coffee plantations. The evaluation team was able to verify this information through the testimonies of the beneficiaries and through direct observation.

However, due to the lack of adaptation of cultivation techniques to the reoccurring extreme climate events (frost and exposure to sun), a large area of coffee plantations was severely damaged and did not perform as expected during the first harvest. According to an analysis prepared especially for the evaluation by the FO team, at 80% of the harvest

<sup>36</sup> The Tripartite Agreement of Tachileik, 2012.

this year, only three villages have reached the expected level of production and only one of the three coffee containers that were planned to be shipped has been collected<sup>37</sup>.

The testimonies of the farmers indicated that the support provided by the technical team has been excellent. However, in a few cases, they did not respond appropriately to some of the challenges that arose. For example, local farmers in Ywangan were aware of the risk of planting coffee without shade<sup>38</sup> but felt pushed to plant it to meet the indicators of the SP. These experienced coffee farmers compensated this by building sunshades of palm leaves for every single coffee plant. However, in the other two townships, farmers did not have previous experience, and staff failed to instruct accordingly. Additionally, highland villages in Hopong and Loilen were not instructed on the importance of choosing the right location to adapt to microclimatic challenges.

In villages in the upland areas of Loilen, where coffee was a new crop, only few farmers took the decision to join the activity in the first year. Several villagers and the FO team confirmed that these late adopters were excluded from some of the benefits (like subsidised fertilisers), due to budget constraints and due to the decision not to extend Green Gold association membership until the end of this phase. This decision seems unfortunate, as the coffee component has its biggest relevance in this area.

The uptake of the other promoted crops; tea, fruit tree plantations (mainly avocado) and greenhouse vegetable production had far lower interest and uptake. Tea is a crop traditionally grown in the area. The SP aims at introducing new cultivars and improved cultivation and processing methods resulting in higher prices achieved in the local markets.

Avocado and other fruit trees (orange, quince) enjoy increasing attention amongst the beneficiaries. In one of the villages<sup>39</sup> visited, farmers were ready to drop coffee cultivation and to go for specialised avocado cultivation instead. However, neither the farmers nor the UNODC SP have a clear concept of the marketing of these commodities.

Even though the first greenhouses were successfully in use, this activity lacked clear objectives and ownership. Presently, the responsibility for the greenhouses is not allocated. Villagers grow – with good success – vegetables for their own consumption; this practice will not create the money flows necessary to ensure future maintenance of the greenhouses.

### **Green Gold**

The Green Gold coffee cooperative has obtained a central position within the SP, carrying the responsibility for the entire process from harvesting to the selling of coffee, including: post-harvest processing (pulp, hulling, drying, sorting), transport, local trading (agents, brokers, companies), dry milling, cupping and shipping for export.

Under the auspices of UNODC, this cooperative was formally constituted in July 2015 and its statutes were registered with the relevant Myanmar authorities. The cooperative has a

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<sup>37</sup> Mortality of young coffee plants due to adverse weather conditions – frost in the highlands and damp weather in the lowlands - has been a major issue affecting many beneficiaries. According to a survival counting done by project staff, it concluded that there was a 90% survival rate in the whole project area. Reports from all the visited villages are pointing towards much higher losses, in one village<sup>37</sup> it was close to 100%.

<sup>38</sup> The Project did not provide shady trees due to monetary constraints.

<sup>39</sup> Pan Khoek Woe, Loilen.

Board of Directors composed of five members, one of them is a woman, the Chairman is an experienced coffee farmer and he is also a coffee trader himself.

The FO team reported that the latest General Assembly of the cooperative (in July 2017) brought together 569 members, although the aspiration is that all 1,052 beneficiaries become members of the cooperative. The organisation has 48 community groups operating in 27 villages that have managed the post-harvest process for 344 farmers. These community groups are composed of four to six members including a cashier, who is in charge of transferring payments for coffee to the farmers from a bank account set up for this sole purpose, which is quite a novelty in most villages.

All this process has been designed and closely supervised by UNODC staff, although the SP does not hold any formal role in it with the view to empower the internal structures of Green Gold.

So far, the SP, through Green Gold, has harvested and processed 25 MT of parchment coffee roughly 1/3 of what was expected. The first batch (one container) was undergoing shipment at the time of the evaluation. An additional 2.4 MT<sup>40</sup> of coffee, grown and harvested by beneficiary farmers, was sold to a Dutch Company through the USAID funded Winrock project.

The coffee quality achieved by the UNODC SP is excellent and has been recognised by the main buyer, and by the Mandalay Coffee Group<sup>41</sup>.

Green Gold has, facilitated by UNODC, signed a 5-year contract with the French coffee trading company *Malongo* that has already bought and transferred the first payment for the first batch of coffee. According to UNODC staff, the terms of the contract were accepted by the Green Gold Assembly that was preceded by meetings with the zonal representatives and other farmers. The contract also included financial support to the Green Gold cooperative.

Other international buyers have also shown interest. For example, the German based company *Conflict Food* were at an advanced stage of negotiations with the SP according to an email exchange made available to the evaluation team.

The SP has also taken the very first steps to get the Fairtrade certification for the coffee (traceability registers, internal regulations for local committees and revision of statutes) in close consultations with Green Gold.

Despite these advances, Green Gold has been unanimously identified by stakeholders (to a higher or a lower degree) as the weakest link of the SP, and it is the main threat against its sustainability. There are several reasons for this.

Stakeholders consulted, and the specialised literature, suggested that the entire cooperative model, not controlled by the government, is culturally alien to the Southeast Asian context and therefore carries great risks<sup>42</sup>. A successful implementation of it will mean transforming the way in which decisions are taken in business contexts, not based

<sup>40</sup> Email to UNODC Country Manager from the Feed the Future Coordinator of USAID 11 April 2018

<sup>41</sup> <https://mcg.coffee/>

<sup>42</sup> Ferguson, J.-A., 2013, Consultancy on Co-operative Systems in Myanmar; and FAO, 2016, Rural Cooperative. Formulation and Operationalization of National Action Plan for Poverty Alleviation and Rural Development through Agriculture (NAPA), FAO & GoM, Myanmar

on hierarchical dynamics but on horizontal democracy. It will also mean building trust to share common resources in a society that has become very sceptical of it.

Despite these cultural risks, the general cooperative approach (passionately shared by UNODC international staff and by *Malongo*) was not adequately based on consultations with the local institutions, staff or beneficiaries<sup>43</sup>. Critical reports documenting the difficulties and failures of the cooperative development in the region have not been analysed. Instead of this, the SP is using the case of one apparently successful coffee cooperative in Southern Laos as a role model for Green Gold by organising study tours.

Therefore, the evaluation found little understanding or buy-in from the Myanmar nationals involved in the UNODC intervention, including members of Green Gold themselves<sup>44</sup>. In general, the applicability of the approach was assumed uncritically, and so far, no other alternatives have been contemplated, not even as a plan B.

**Outcome 2:** *Environmental sustainability and environmental conditions for opium growing beneficiary communities improved in the programme area*

Under this outcome the SP aimed at facilitating forest activities on community and farm level, including through the certification of community forests groups and the development and approval of forest management plans to successfully reforest with valuable timber species.

In general, forest-related activities have lagged behind the other activities, because the capacity of the team was not sufficient until the recent recruitment of the presently employed forest specialists.

Meetings with beneficiaries and testimonies from the team indicated that in most villages the interest for the forest component was low, as long as deforestation and land degradation have not yet led to imminent problems. The SP has deemed it necessary to add a conditional link to other activities to motivate farmers to fulfil the (reduced) targets. However, at the time of the evaluation, it was still too early to assess the progress at the outcome level as plantations have only just started to give an alternative income.

So far, it has been reported that 25 community groups have been established, which is more than what was targeted for (20 groups<sup>45</sup>). According to key informants from the Forest Technical team, four of them have been certified and are fully operational.

Additionally, 144.48 hectares of land have been reported to have been reforested by December 2017. This is roughly 18% of the target. However, a legitimate question has been raised in relation to the budget execution rate for this component. Even if the progress rate is only 18%, 96% of the resources allocated for this output have been either spent (59%) or already committed (37%).

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<sup>43</sup> Please notice that this statement refers to the general cooperative approach and not to concrete milestones of the Project such as the signing of the agreement with *Malongo* which was consulted with the Green Gold General Assembly.

<sup>44</sup> As in the previous statement, this refers to the general understanding of how cooperatives should work and what are the different roles and responsibilities involved in it. It does not refer to particular activities undertaken by the cooperative such as starting a Fair-Trade certification or formalising the agreement with *Malongo*.

<sup>45</sup> As per the target established in the Result Framework in this indicator. See latest Progress Report. December 2017

**Outcome 3:** *National capacity to implement alternative development has improved, and south-south cooperation enhanced.*

It was not possible to document increased capacity of government partners, although there have been advances in the coordination with these entities and in technical cooperation.

At the national level the coordination with government agencies is good. It occurs mainly within the framework of the Steering Committee. At the field level, the work with governmental agencies has been limited. Except for bureaucratic processes, the participation of government staff in the SP is low.

Six agricultural staff were reported to be assigned to the FO team. However, in practice, these personnel do not work with the SP. The evaluation found that the Ministry of Agriculture does not have a Coffee Department in the town of Taunggyi where the SP's Field Office is located, and there was no allocation to pay daily allowances for the transfer of employees.

The coordination with the Department of Forestry was much more intense. The department has seconded four staff who work side by side with the FO team in the townships of Loilen and Hopong.

However, in this component the expertise originated from the government system rather than from the UNODC SP, as both forest specialists were well-reputed former government employees. In fact, a main factor that most relevant stakeholders identified to explain the good cooperation with the Forest Department was the personal connections that these two staff members still had with the Department at the highest level.

**Monitoring, evaluation and learning**

Relevant stakeholders including senior members of the SP team and the main donor agree that the Results Framework<sup>46</sup> has too many progress indicators to be manageable. Moreover, most of them are quantitative targets that can document what is happening but not why, how and what it means for the targeted communities.

A monitoring system for the second specific objective of the SP is outlined in the proposals, including the deployment of two M&E specialists; the development of two workshops related to M&E and a final evaluation<sup>47</sup>. However, the M&E specialists have not been employed; neither have the M&E workshops been conducted. Many of the indicators are still to be populated with target values. Finally, as there is no baseline, it is difficult to get reliable information on progress and achievements.

During the course of the evaluation it was clear that the team at the FO and in Yagon has a very good understanding of the context and the achievements and challenges of the SP. This is however not fully reflected in the reports that are geared to meet the donor's requested formats. This means that the reporting system tends to focus on completion of activities and outputs and not so much on results, quality, non-achievements or backlashes. In fact, important aspects such as the tensions with Winrock, the challenges about integrating a gender and all-inclusive approach or the intrinsic risks of importing the cooperative model are not mentioned.

<sup>46</sup> We follow here the Result Framework as in the latest Progress Report (December 2017).

<sup>47</sup> Prodoc p 54.

### Summary - Effectiveness

In general, the SP has been very effective in achieving its formulated quantitative targets. The most impressive progress was the establishment of a significant area of well-performing coffee plantations, even though the first harvest has encountered significant challenges.

On the marketing side, the main progress has been the signing of a 5-year contract with an international coffee trade company. Despite advancements, Green Gold has been identified as the weakest link of the initiative and it is a main threat against sustainability.

The monitoring system and how it feeds into decision-making can be significantly improved. At the moment, the monitoring system has become an end in itself and not a tool for learning.

## Impact

### Evaluation questions:

- To what extent did the project contribute to positive transformations on the targeted beneficiaries and on unexpected audiences? Any there any links with SDGs?
- What have been the broader social and cultural consequences of the Project so far?
- Improved ability to deliver or support projects and programmes focused on AC .

Considering the long-time frame of the SP's activities<sup>48</sup>, the evaluation did not have the expectation to see significant, sustainable and tangible impacts yet. However, during the course of the evaluation an impressive list of transformations could be documented at four levels: changes that have occurred at the personal level in beneficiaries' lives; at the social level, in the community at large; at the institutional level; and at the environmental level.

### Personal

A report produced for the evaluation by the FO team revealed that by April 2018, the 25 tons of coffee harvested and processed through Green Gold had already been translated into incremental income for 344 beneficiaries (272 men had been paid 33,489 US\$ for the group and 71 women got paid 8,215 US\$ to be split among them). USAID complemented this information indicating that farmers who sold 2,4 MT of coffee through Winrock obtained 5,689 US\$ in the village of Ban Sauk and 15,752 US\$ in the village of Long Hat.

Members of the Green Gold cooperatives, and especially its board, demonstrated increased awareness on the benefits of cooperative action.

The workshops in the villages and the interviews as well as the evaluators' observation during the field trips showed that beneficiary farmers have gained expertise in growing perennial crops, including the post-harvest processing, leading to high quality products that fulfil the requirements of international markets.

Additionally, these workshops and interviews revealed that land titling has, in some villages, led to an end of internal conflicts about land usage. Secured and documented

<sup>48</sup> It is planning to go on for around ten years providing funds can be secured.

ownership of land also gives farmers access to formal finance, as banks require land titles as collateral. However, farmers who were interviewed have not been aware of that side-effect.

Finally, in some villages, people reported an increase in migration to Thailand (among other factors<sup>49</sup>), after UNODC advised them to stop poppy cultivation resulting in higher income from remittances. Even though the SP was aiming for more off-farm employment opportunities, it is doubtful, whether this kind of employment, mostly illegal and often risky, is living up to the national goals of the government, or the labour standards as set by ILO<sup>50</sup>.

### **Social**

During the village meetings, participants demonstrated a good understanding and acceptance of the SP approach. Most beneficiaries had high expectations towards the alternative crops becoming a viable alternative to opium, although it was not yet a reality.

The evaluation could also document reports of conflicts and clashes between ‘poppy growers’ and ‘coffee growers’. These testimonies were vital signs of change. They were not indicative of failure or a lack of effectiveness, but exactly the opposite— this was evidence that the process might be working and creating resistance from the status quo as a result. There were no reports, whether or not the FO team took an active role in mediating these conflicts.

In non-governmental administered villages there is a high level of isolation and villagers have experienced armed conflicts with army squads in the recent past. Villagers reported that the presence of the UNODC brings a highly appreciated feeling of normality and inclusion. Since the (predecessor) project started its activities, the army has stopped its raids, possibly because of the risk of bad, documented publicity.

Finally, all villages reported increased environmental awareness, but the retained messages are not always correct.

### **Institutional**

The SP at large and the Opium Survey in particular, have obtained large press coverage resulting in at least 19 articles published in national and international media that were documented by the evaluation team. It is assumed that this publicity has created incremental awareness and support of the SP context and the objectives it is pursuing.

According to internal communications between the UNODC and governmental partners, the SP also had an impact at informing policies. The Opium Surveys, as well as the experiences from this and previous AD projects have informed and strongly influenced the development and issuing of the recently launched ‘National Drug Control Policy’.

### **Environmental**

Community Forest certification and organisation into user groups has led to marked decreased pressure on these forest areas. Where coffee, tea, reforestation areas and fruit

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<sup>49</sup> The Sub-Programme team reported that other factors to increasing migration: a) forced eradication of opium poppy fields carried out by the government; b) decline of the opium price; c) price fluctuation of agriculture products; d) agriculture is no longer attractive for young people; e) no regular employment opportunities, only seasonal jobs in the agriculture sector; and f) high daily wages in Thailand.

<sup>50</sup> Opportunities for women and men to obtain decent and productive work, in conditions of freedom, equity, security and dignity’.

tree plantations have replaced annual crops, like opium poppy, they provide positive conditions for increased soil fertility and, especially in sloping areas, less erosion, due to non-tillage and increasing soil coverage.

#### Summary - Impact

The SP has contributed to transformations at four levels. Firstly, at the personal level in the beneficiaries' lives; accessing resources or employment mainly related to coffee production. Secondly, at the social level; building a collective acceptance that coffee could be a viable alternative to opium. Thirdly, at the institutional level; influencing public debates and in one instance informing concrete policies. Finally, at the environmental level.

## Sustainability

#### Evaluation questions:

- What are the prospects that key stakeholders will remain involved in this process once the project has finished? (including UNODC)
- What are the prospects for the results of the project (individual, social and institutional transformations) being sustained after the funding stops?
- Does the Project have a concrete and realistic exit strategy to ensure sustainability?

The SP is two years into its expected total runtime of ten years (providing additional funds are secured). Accordingly, any statements about the sustainability of its outcomes at this stage are speculative. However, this midterm evaluation aims at identifying factors that are influencing future sustainability either positively or negatively, and how the SP, so far, has dealt with the issue.

### Government involvement

Except for the mentioned demand for supervision by the Forest Department, activities need little involvement from government agencies to be sustained. Therefore, it is estimated that the SP's attempts to build governmental capacity will have little effect on the sustainability of its results.

### Green Gold

The income potential of coffee largely depends on the continuous access to high-price markets established by the SP via the initial 5-year contract between the farmers' association, Green Gold, and *Malongo*. By now, UNODC has decided to transfer most of the tasks required for connecting local farmers with international buyers to the farmers' organisation.

However, at this stage there is no guarantee that farmers will be able to sustain the organisational concept of a regional producer-processing-marketing cooperative. In its present shape and with the present lack of strategy and awareness of organisational issues, as described earlier, Green Gold's sustainability is not ensured.

Moreover, if Green Gold should fail in this respect, it is unknown, whether the existing trade network would be able to absorb the produced coffee to a similar standard. If farmers have to sell their coffee at local prices, because the expected quality no longer can be maintained, the crop may no longer be an interesting alternative to opium.



**Donors**

At the time of the evaluation the SP had secured funds until December 2018 plus \$399,775 from USA to finance the Opium Survey in 2018/2019<sup>51</sup>.

The Country Manager was making enormous efforts to mobilize the necessary resources to continue a second phase of four years for the second specific objective. Three donors had expressed an explicit interest: the governments of Finland, Germany and Switzerland. However, in the best-case scenario, these funds would not be available before the beginning of 2019.

Consequently, it is very possible that the SP will experience a funding gap during the first three months of 2019 which may jeopardise the proper functioning of its activities.

**UNODC in Myanmar**

As previously stated the SP sponsors part of the salary of the Country Manager. The fact that this position is not financed by core UNODC funds, but by projects has important implications for the sustainability of the initiative.

Actually, the position of Country Manager is essential not only for the sustainability of this SP but also for the entire program developed by the UNODC office in Myanmar.

**Opium survey**

Because of the peculiarity of the context of illicit crops in a conflict-prone area, the opium survey will continue to depend on donor financing and implementation by a neutral, external organisation.

**Coffee /Tea / Greenhouses**

The coffee, tea and fruit tree plantations supported by the SP, once they reach maturity, are likely to be sustained by their owners, because they constitute a considerable investment. Shorter periods of weather-induced low yields or market depressions will probably not lead farmers to cut down the plantations, but there is a risk that they will use other areas, including forest or reforested areas for additional income through growing opium.

With the relatively high prices from the sale to international traders, coffee can be an attractive alternative to opium, especially when opium cultivation continues to be under pressure from lower prices and perspectives of law enforcement.

Tea has less income potential, but higher income security, as market channels are well-established with less fluctuations. The income potential of fruit trees, especially avocado, is unknown; the present and future market situation has not been assessed. As fruit is bulky and perishable, the connection to lucrative markets in Myanmar or abroad is far more difficult to establish than for high-value, dried commodities like tea and coffee.

Similar experiences from UNODC sister projects<sup>52</sup> indicate that greenhouses can be a sustainable production method, if their products can be marketed. The SP has presently no concept on the use of the supported greenhouses; if no or insufficient cash income is created, a lack of maintenance will end the activity.

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<sup>51</sup> Signed letter from US Bureau of International Narcotics and Law Enforcement Affairs to UNODC, April 2018.

<sup>52</sup> LAO/K46 and XSP/K26.

### Land titles and forest groups

Community Forest certificates are in themselves sustainable outcomes, securing the user rights of villagers. Whether Community Forest groups will sustain the new practices, will depend on: a) the perceived relevance of the underlying problems by its members; b) the groups' ability to organise themselves; and c) the Forest Departments' capacity to carry out regular supervision. It is unclear whether such supervision will be carried out and what measures would be in place in the case of non-compliance.

#### Summary - Sustainability

There is no guarantee that the farmers' association 'Green Gold' would be able to maintain the organisational concept of a producer-processing-marketing cooperative. This aspect remains a main risk for the sustainability of the initiative.

Three donors have expressed an explicit interest in financing the next phase of the SP. However, even in the best-case scenario, these funds would not reach the coffers of UNODC until the first months of 2019. Consequently, it is very possible that there will be a funding gap.

Regarding the sustainability of outputs, the coffee, tea and fruit tree plantations supported by the initiative are, once they reach maturity, likely to be sustained by their owners. Likewise, community Forest certificates are in themselves sustainable outcomes securing the user rights of villagers.

### Human Rights, Gender Equality and leaving no one behind

#### Evaluation questions:

- To what extent were human rights considerations mainstreamed into the design and implementation of the project?
- To what extent were gender considerations mainstreamed into the design and implementation of the project?
- To what extent were considerations of inclusion of all, irrespective of age, sex, disability, race, ethnicity, origin, religion or economic or other status, mainstreamed into the design and implementation of the project?

#### *Human Rights*

Even if the SP did not have a HR mainstreaming strategy in place, the evaluation found some positive results in this area.

Securing (quasi) property rights by supporting the issuing of land titles and community forest certificates is strengthening the target population's human rights situation in government-administered areas.

In conflict areas, where the population has suffered from human rights violations in the past, UNODC is playing an active role in mediation and conflict prevention. Even though the role of UNODC in the wider context of the peace process is probably negligible, there appears to be a noticeable impact in the targeted area, where villagers reported that national army forces no longer intrude into village areas, possibly because of UNODC presence and monitoring.

## *Gender Equality*

The SP has made efforts to mainstream gender. Firstly, the reports provide sex-disaggregated information for some of its indicators. Secondly and most significantly, it undertook two gender assessments, the second one being a complete gender analysis that explains the complexity of the issue and gives concrete recommendations. Unfortunately, only very few have been partially implemented.

Despite these efforts and the strong will of all the stakeholders, (including UNODC) the SP's performance regarding gender equality could be improved. For example, less than 17% of the staff recruited by the FO are women, and gender roles are not being challenged<sup>53</sup>. There is only one woman on the Board of Green Gold, and 80% of the financial benefits from the activities of the SP so far went to male farmers.

There are two reasons for these timid results on promoting gender equality. Firstly, there was a vast consensus among stakeholders that the main challenge to achieve gender equality is the social and cultural values in the targeted communities. This means how the community views women and men in terms of capacity and roles. A practical consequence of this is that there is a strict labour division by sex. Women work longer hours and have less time to participate in community activities, including those organised by UNODC.

All consulted stakeholders agreed that cultural and social values are profound and complex barriers. These can only be tackled with a very long term strategic vision which requires a considerable investment. However, not attempting to transform gender power relations means that UNODC will contribute to perpetuate the acute unbalanced gender situation in the communities where it works.

The second reason that explains the poor results, is precisely the lack of investment on gender capacity. Denting such a complex socio-cultural scenario requires bringing in permanent gender expertise. Installing this capacity means prioritising resources that are now invested in other strategies or mobilising additional resources.

## *Leaving no one behind*

The aspect of *Leaving No One Behind* is not considered in the SP approach.

Short-term bridging of income gaps from termination of opium has not effectively been provided for. The support of seasonal (inter)crops has not been successful exc. Opium itself; this is another reason why poor households were not able to participate, as they had to struggle for survival.

Per design, resource-poor families were excluded from benefiting from the promotion of perennial crops, as it is required villagers to have at least 3 acres of suitable land and enough labour to be eligible as a beneficiary. The reason stated for these requirements is the aim to reach economies of scale. However, as both number of households and area grown with perennial crops are used as target indicators, there is no plausible reason for the exclusion of resource-poor families. This 3-acre rule has not been enforced equally throughout; in some areas, households with less resources were permitted to participate.

As poor people tend to be more reliant on the use of common resources than better-off ones, it can be claimed that the forestry component benefits mostly the poor households

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<sup>53</sup> Two of the female staff are cleaners and one is an Administration Assistant

collecting Non-Timber Forestry Products like bamboo, mushrooms, wild honey and fire wood. This has, however, not been considered during the design phase.

### *Environment*

The SP has a very strong record on environmental issues. In its design it aims at addressing some of the dramatic environmental threats faced by the target villages: loss of forest cover resulting in rapid loss of soil fertility, especially in sloping areas under cultivation of seasonable crops like opium; in negative impacts on the micro- and macro-climate and; in increasing scarcity of forest products. All AD activities of the SP have a similar effect on the environment. Forestry, agro-forestry and the promotion of perennial crops are reducing tillage, increasing protective soil coverage and contributing positively to biodiversity.

One aspect of the coffee component has a potentially negative environmental effect. The SP chose to promote wet processed coffee; the wet-processing stations use a lot of water, which can be scarce especially during harvest (dry) season. The waste water from the stations can have negative impacts, if not treated carefully.

Summary - Human Rights, Gender Equality, leaving no one behind and the environment.

Even if the SP does not have a HR mainstreaming strategy in place, there have been some positive results in this area related to property rights and to a decrease of unrest in the targeted areas due to the presence and monitoring of UNODC.

Despite some efforts and the strong will of all stakeholders, the SP still has poor indicators regarding gender equality. This is mainly due to strong social and cultural barriers in the targeted communities, but also because of the lack of appropriate investment in gender capacity.

The aspect of *Leaving No One Behind* is not traceable in the SP approach. On the contrary, in its aim of reaching 'economies of scale', resource-poor households have been excluded from becoming beneficiaries.

It is remarkable to see the SP 's strong record on environmental issues.

### III. CONCLUSIONS

#### **Conclusion 1: The Theory of Change**

The SP follows an implicit ToC which has not been documented or reflected upon. The main rationale of this ToC is straight, clear and fully in line with UNODC mandate. This is to incentivize and assist targeted communities supplying needed inputs (seeds, fertilisers, etc.) and providing support throughout the production and selling of alternative crops to opium (mainly coffee).

As well as the main pathway to change, the intervention team has identified three extra layers of complexity. These layers of complexity are: a) the formation of an association of farmers inspired in cooperative models from Latin America to increase the bargaining power of the united farmers; b) protecting the environment; and c) fighting gender inequality. These layers mean making the road to change more difficult, but they are also enriching the results that are expected from the SP.

#### **Conclusion 2: The design of the SP**

The SP design is mainly founded on the expertise built by UNODC from the preceding AD projects in the area. However, the formal inception phase had very limited resources (time, human and financial). This meant that key pieces of research that should have informed the design of the SP were not carried out. Concretely, four key types of analysis were missing a) a rigorous context analysis, b) a stakeholder analysis, c) a gender analysis before planning, and d) a value chain analysis. This has had implications in the planning of the SP and in the implementation of its strategies and activities.

The main rationale of the SP was well defined under the outcome referred to as the production of alternative crops. However, a series of assumptions related to some of the SP 's components were not conveniently challenged. Most notably, whether the cooperative model is suitable to this specific context and whose capacities needed to be built to make it sustainable.

Furthermore, the lack of a gender analysis at the inception period meant that the intervention theory failed to incorporate gender equality dimensions in its design, implementation and monitoring.

#### **Conclusion 3: Relevance**

The SP is generally highly relevant to the needs and expectations of the targeted communities; being Hopong and Loilen townships the most relevant areas to the SP 's aims. Ywagan had a theoretical demonstrative value that has not been used.

There are however a few important aspects for the beneficiary population that were not reflected on at the design and implementation stage. High entry requirements and insufficient provision for compensating for short-term losses of income have deterred resource-poor households from joining SP activities. There is also a need for a closer consideration of women's specific circumstances, challenges, and requirements.

The initiative is fully aligned with the national strategies, UN and donor's priorities in Myanmar, as well as with the international development frameworks, including the SDGs.

#### **Conclusion 4: Value for money and financial reporting**

The financial administration system of UNODC and the financial reports present serious deficiencies that do not facilitate taking informed management decisions, and that could jeopardise the efforts to mobilize future resources. However, given the level of achievement and the high delivery rate, it can be concluded that the SP's value for money is satisfactory.

#### **Conclusion 5: The human resources**

On a daily basis, the management and coordination of the team works well. However, they are greatly focused on the achievement of results and the fulfilment of indicators.

Additionally, even at the senior management level much time is devoted to tasks such as monitoring the expenditure, planning procurement and solving emerging problems of a tactical or logistical nature. This means there is a lack of time and formal space for strategic thinking.

At the field level, the SP is well staffed with capable and committed people who are also generally well-coordinated. There is however an overwhelming gender imbalance particularly when filling technical positions.

#### **Conclusion 6: Partnerships**

The SP lacks a comprehensive partnership strategy. Excellent partnerships have been established essentially with donors and to a lesser extent with some governmental entities at the national and regional levels. It is remarkable, for example, the relationship of the Forest Department with the informal village authorities.

The lack of a strategy has meant missing opportunities to establish synergies, coordination and information sharing with highly relevant actors in the area; most significantly with the USAID-funded project Winrock.

#### **Conclusion 7: Progress**

The initiative is on track to fulfil most of its formulated targets. This impressive progress has occurred despite significant administrative difficulties and a very complex and volatile political background.

Most of this remarkable progress has been done under the outcome that relates to the main backbone of ToC; assisting communities to replace opium with alternative crops. In this component, the SP succeeded to develop a local coffee value chain and to establish a sizeable area of well-performing coffee plants. Additionally, it secured a 5-year contract with an international coffee trading company.

Despite good progress, an important issue requires close attention. The SP has supported and coached the development of Green Gold, an association of producers inspired by the cooperative model. This model is innovative in Myanmar and carries considerable risks. In fact, Green Gold (in its present shape) has been identified clearly as the weakest link of the SP and a main threat against its good functioning and sustainability.

#### **Conclusion 8: Monitoring**

The monitoring system can be clearly improved. The Results Framework has too many progress indicators to be useful. Additionally, most of them are of a quantitative nature,

which means that they cannot offer information about how and why change happens. Progress reports are designed to meet the donor's requirements and are focused on indicators. This means that there is little room to measuring or reflect on contributions to transformations, quality, non-achievements or backlashes.

### **Conclusion 9: Early impact**

Even at this early stage, the initiative is already contributing to significant transformations at four levels. Firstly, and foremost, at the personal level in beneficiaries' lives; increasing their technical knowledge about new agricultural practices or accessing alternative sources of income and employment.

Secondly, at the community level, building the acceptance that coffee could be a viable alternative to opium. Thirdly, at the institutional level, incrementing awareness and support of the SP context and the objectives it is pursuing. Finally, at the environmental level, decreasing pressure on forest areas and creating positive conditions to decrease land erosion.

### **Conclusion 10: Sustainability**

The sustainability of the SP is at present not guaranteed. In the short term, funds are secured only until the end of 2018 for the second strategic objective. Although three donors are seriously considering financing the next phase, it is likely that the SP will face a gap of funding in the first months of 2019. The fact that core positions, such as the Country Manager, depend on the project's funding rather than the UNODC central funding also may affect the sustainability prospects.

In the long term, the main concern is that there is no guarantee that the farmers' association (Green Gold) will be able to sustain the organisational concept of a regional producer-processing-marketing cooperative.

Other outputs developed by the SP are considered sustainable, like the coffee plantations and the land titles and Community Forest certificates.

### **Conclusion 11: Cross-cutting issues**

Despite efforts to mainstream gender equality issues, the SP's indicators in this regard are still poor. The main reason for this is the intrinsic difficulty of challenging gender power in communities with fixed cultural and social views about women and men in terms of their capacity and their roles. Secondly, the SP has made little investment on gender capacity which is essential to bring about any positive transformation in this area. Not bringing in such expertise would mean perpetuating the acute unbalanced gender situation in the communities where the SP works.

The aspect of *Leaving No One Behind* is not present in the SP. On the contrary, some components prevent the inclusion of poor households as beneficiaries.

## IV. RECOMMENDATIONS

### **Recommendation 1 – Inception period for the next phase (undertake an engendered value chain analysis)**

#### For the SP MMRZ39 and Country Office Management

Commission an in-depth engendered value chain analyses for a revised design to strengthen achieved results and manage expectations as to what can be realistically achieved and sustained over time.

This should include detailed information about all aspects of the commodity: input supply, extension, production, post-harvest processing, transport, financing and marketing<sup>54</sup>.

Based on the analysis, the best strategy considering criteria such as the cost/price of required services and suppliers, reliability and quality should be carefully considered. In regard to the coffee value chain, it is important to be open towards modifications of the present approach by intensified cooperation with the private sector (traders, Myanmar Coffee Association) on input supply, extension, quality control, processing and marketing.

In those activities where Green Gold is assessed to be the best owner of the activity, a comprehensive strategy must be elaborated addressing how the cooperative can ensure grassroots decision-making processes, good management and governance, and financial transparency and accountability. This strategy must include a realistic business plan, capacity development plan and an accounting system living up to International Accounting Standards<sup>55</sup>

In general the role of Green Gold should be kept as small as possible in order to increase its chances for becoming a sustainable unit. A cooperative does not necessarily perform better, be more accountable and give higher returns to coffee farmers than private sector actors. The larger and more complex the organisation, the higher the risk, and vice versa. The smaller the units, and the closer they are to existing social structures (e.g. village communities or clans), the higher the chance for success and the lower the demand for external development inputs.

The value chain analysis should also look at UNODC's role in each stage of the process and plan realistic strategies to gradually phase each of them out, so that the process can be sustained without external assistance.

Finally, the value chain analysis should include a HR and GE dimensions. This means: exploring how women and men are involved in the set of activities in the value chain; identifying the constraining factors for women in a value chain; analysing ways to overcome the problems; and maximizing benefits to both women and men; as well as generally aiming at involving currently disadvantaged people in the value chain like resource-poor households<sup>56</sup>.

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<sup>54</sup> Winrock already has elaborated a value chain analysis for coffee, that is freely available, and can be updated for UNODC use. For the other crops, promoted by the project with less intensity, qualified project staff could draft an analysis themselves by engaging external experts.

<sup>55</sup> Issued by the International Financial Reports Standards Foundation <http://www.ifrs.org/>

<sup>56</sup> To learn more about engendering value chain see Basundhara Bhattarai and Brigitte Leduc (2009) *“Engendering Value Chain Development”*



## **Recommendation 2 – Overall management and planning (improve strategic thinking)**

### For the SP MMRZ39 and Country Office Management

During concept development for the next phase, the Country Office and the SP Management should develop an explicit Theory of Change (ToC), in order to use it as a complementary guiding framework to the log frame.

This ToC should be developed in a participatory manner together with the main stakeholders (including beneficiaries and gender expertise) and reviewed at appropriate times<sup>57</sup>.

Based on the processes of change specified in the ToC, indicators should be identified to reflect the nature of the transformations sought. It is important to identify indicators of process, maintenance, adaptation and also, but not only, success. Additionally, gender equality issues should be considered, and a concrete budget should be allocated to pursue transformations in gender power relations.

In this process, it is advisable to reduce the number of indicators associated to activities and outputs to the minimum by critically looking at what information is useful and for what purpose. Donors should have a key role in leading this reflection and in helping to streamline reports using fewer indicators.

## **Recommendation 3 – Partnerships (improve synergies with others)**

### For SP MMRZ39 and Country Office Management

Develop a realistic partnership strategy. Most significantly, investigate the scope for cooperation with the Taunggyi-based Winrock project ‘Value Chains for Rural Development’.

This collaboration should firstly ensure that UNODC has updated information about the amount of coffee coming from UNODC supported farms that is being sold through Winrock. The connections should also help to build a mature understanding of the reasons why farmers sell through Winrock. In the long run, UNODC should also aim at exchanging developed expertise tools and resources from both initiatives.

Other possible synergies could also be explored with projects of the German Cooperation working in the areas<sup>58</sup>.

<sup>57</sup> The elements that a ToC should contain are: a) a description of the expected results, an update of the contexts in which it operates; b) a description of the main actors (change agents, partners, etc.); c) the preconditions to reach such changes, and; d) the assumptions behind the occurrence (or not) of the desired transformations.

<sup>58</sup> In particular with the Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH (GIZ – German Association for International Cooperation) project ‘Adapting agricultural value chains to climate change in Shan State, Myanmar’ with tea and fruit trees as main commodities, and the KfW Development Bank’s ongoing construction of high-quality rural roads in the area. The Deutscher Genossenschafts- und Raiffeisenverband e. V. (DGRV - German Cooperative and Raiffeisen Confederation) has longstanding expertise on cooperative development in the region, that could be mobilised for technical assistance to Green Gold.

Concerning future market expectation and contacts for avocado and other fruit, the Myanmar Fruit, Flower and Vegetable Producer and Exporter Association should be consulted, and, if relevant, a cooperation should be considered. Additionally, national organisations present in South Shan like the Metta Development Foundation could be reached to seek needed capacity on gender equality issues.

#### **Recommendation 4 – Overall management (human resources)**

##### For the SP MMRZ39 and Country Office Management

Establish a middle-management position with access to Umoja to plan, oversee, and document all the specific aspects of the SP in close collaboration with the Project Coordinator and under the supervision of the Country Manager.

Ideally this person should also have expertise on gender equality and human rights to ensure a HR and GE approach during the implementation and monitoring. As contract modalities UNODC could explore the possibilities of a Junior Professional Officer fully funded by one of the JPO Programmes of the donor countries or an International UNV.

UNODC HQ in Vienna should consider assigning core funds to the position of the UNODC Country Manager. This will reduce the dependence of this position on funds from projects and thus improve the sustainability of the country Programme at large. It would also free up this position from performing tasks better suited to a project manager.

Finally, it is advised to maintain the present staffing level to be well-prepared for the next phase. The SP should invest in their staff by encouraging further education, organising trainings, and study tours/exposure trips.

#### **Recommendation 5 – Gender (Capacity)**

##### For the SP MMRZ39 and Country Office Management

At the field level, bring in permanent gender expertise to creatively and realistically design concrete measures to get women more and better involved in all the stages.

There is a strong gender civil society movement in the area where the SP operates so it is advisable to reach out to local expertise.

Part of the responsibilities of this position should be ensuring that the value chain analysis include a HR and GE dimension. This means: exploring how women and men are involved in the set of activities in the value chain; identifying the constraining factors for women in a value chain; analysing ways to overcome the problems; and maximizing benefits to both women and men; as well as generally aiming at involving currently disadvantaged people in the value chain like resource-poor households<sup>59</sup>.

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<sup>59</sup> To learn more about engendering value chain see Basundhara Bhattarai and Brigitte Leduc (2009) “*Engendering Value Chain Development*”

### **Recommendation 6 – Sustainability (Targeted communities)**

#### For SP MMRZ39 and Country Office Management

Phase out the township of Ywangan and consider an expansion into new areas adjacent to the present target area in Loilen by including new villages with a presently high reliance on opium production and a lack of alternative sources of income.

The SP should develop low-cost packages for establishing coffee plantations, e.g. intercropping with high-yielding annual cash crops, promoting farmer-to-farmer extension and encouraging pioneer farmers from non-target villages to participate in trainings and exposure visits.

For the present phase, ensure that late adopters can enjoy all benefits, including subsidised fertiliser and Green Gold membership. The required budget could be relocated from other, less relevant activities, or by reducing subsidies to farmers that have received it in the first two years. The SP should also ensure that those farmers who have sold coffee through Winrock retain their full status as beneficiaries.

If the SP mainly expands into non-governmental areas, the scope for land titling and community forestry will be diminished. In this case, focus should be on environmental awareness raising and community action in case of perceived problems.

### **Recommendation 7– Sustainability (Financial management)**

#### For SP MMRZ39, Country Office Management and UNODC Vienna

Guided by instructions from the Country Office, improve financial reporting to donors and financial management in general.

This means producing regular reports with updated information about committed and spent resources against what was budgeted for under each of the components. It is also recommended that UNODC HQ in Vienna is prepared to secure a General Purpose Advance to bridge the financial gap likely to happen from January 2019.

## V. LESSONS LEARNED AND BEST PRACTICES

A lesson learned: It is important to undertake a comprehensive inception phase before formulating the initiative.

An important lesson that has been learned during the implementation of the SP has been the need to allocate sufficient resources for an adequate inception phase before the formulation of the initiative.

Many of the aspects that could be improved on the SP could have been corrected if a series of analyses would have informed its design. Most significantly, it has become clear the convenience of having had a) an analysis of the context b) a stakeholder analysis with an explicit assessment of their capacities and expectations c) a gender analysis and d) a value chain analysis of the commodities promoted by the SP (especially coffee).

However, and despite the fact that the SP' management understands the importance of the identification phase in a development projects, the process continues to be governed by the urgency of securing resources from external donors for implementation. Subsequently, necessary resources (time and money) to undertake these pieces of research are very challenging to find.

A best practice: The Cooperation with *Malongo*

The cooperation established between Green Gold and the French coffee company *Malongo* is a best practice of the SP.

The agreement offers a long time frame (5 years, and with the option for extension), substantial financial subsidies for establishing of a professional management structure, a guaranteed minimum price to farmers and a bonus depending on the actual market situation.

The first, guarantee price payments are transferred directly into village accounts and disbursed to farmers by village representatives. The agreement with *Malongo*, establishes a minimum price to the producers of 140 cents per pound this year. This is higher than the 135 cents per pound established by the International Coffee Association as the average price for (non-Colombian) coffee in March 2018<sup>60</sup>. In addition, the contract also establishes that if the price in the international market increases *Malongo* will increase accordingly. Furthermore, Malongo adds an extra 10 cents per pound are for quality and 20 cents per pound for a social fund.

With these features, this cooperation is following international best practices that in the future possibly could be replicated and expanded across geographic boundaries (within the SP to other farmers or townships and/or with other UNODC initiatives dealing with coffee production).

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<sup>60</sup> International Coffee Organisation, Coffee Market Report March 2018. See: <http://www.ico.org/documents/cv2017-18/cmr-0318-e.pdf>.

The relationship that has been established with *Malongo* affects the results of the SP at different levels.

**The implications for the viability of the main component of the SP**

Through the agreement with *Malongo* the SP has made a significant breakthrough securing beneficiaries' sale of their coffee through the Green Gold cooperative to the international market with good and guaranteed conditions for the farmers until 2022.

**The perception of farmers**

The partnership with *Malongo* has offered a strong purpose to targeted farmers. During the village meetings it became clear that the SP's beneficiaries were well-aware of the contract with *Malongo* and for many it was a main reason to join the initiative. Both the consulted farmers and the members of the Board of Green Gold often identified that, according to their perception, the link to the international market was the cooperative's *raison d'être*. This purpose has therefore the ability to articulate and give meaning to the activities that the Green Gold cooperative carries out in the communities.

**The commitment to the cooperative model**

*Malongo* makes a clear commitment to support the cooperative model through the strengthening of Green Gold, which is a positive and central factor for Green Gold's sustainability perspectives. However, the *Malongo* representative shares a similar 'blind angle' towards alternative solutions for marketing to the present approach of building a large and complex cooperative from scratch.

ANNEX I. TERMS OF REFERENCE OF THE  
EVALUATION

Terms of Reference of the

**Midterm Independent Project Evaluation**

**SP 5: Sustainable Livelihoods and Development**

**MMRZ39**

Myanmar

November 2017

## BACKGROUND AND CONTEXT

Project number:	MMRZ39
Project title:	SP 5: Sustainable Livelihoods and Development
Duration:	03/03/2015 – 31/12/2019
Location:	Myanmar
Linkages to Country, Regional and Thematic Programmes:	SP 5 – ‘Sustainable Livelihoods and Development’ of the Country Programme for Myanmar (2014-2019)  SP 5 – ‘Drugs and Health and Alternative Development’ of the Regional Programme for Southeast Asia (2014-2019)
Executing Agency:	UNODC
Partner Organizations:	
Total Approved Budget:	USD 6,386,519
Total Overall Budget	USD 12,258,500
Donors:	Japan, Planetek Italia, Germany, Finland, U.S.A.
Project Manager/ Coordinator:	Troels Vester, Country Office in Myanmar (COMYA), UNODC
Type and time frame of evaluation:	Independent Project Evaluation/ midterm evaluation
Time frame of the project covered by the evaluation:	03/03/2015 – beginning of March 2018 (end of field mission)
Geographical coverage of the evaluation:	Myanmar
Budget for this evaluation in USD:	55,000 USD
Number of independent evaluators planned for this evaluation <sup>61</sup> :	2
Type and year of past evaluations (if any):	n/a
Core Learning Partners <sup>62</sup> (entities):	Central Committee for Drug Abuse Control, Ministry of Border Affairs, Ministry of Agriculture, Livestock and Irrigation, Forest

<sup>61</sup> Please note that the minimum for any UNODC evaluation is two independent evaluators, i.e. one lead evaluator and one Alternative Development expert.

<sup>62</sup> The CLPs are the main stakeholders, i.e. a limited number of those deemed as particularly relevant to be involved throughout the evaluation process, i.e. in reviewing and commenting on the TOR and the evaluation questions, reviewing and commenting on the draft evaluation report, as well as facilitating the dissemination and application of the results and other follow-up action. Stakeholders include all

	Department, Restoration Council of the Shan State Anti-Narcotic Department, PaO Self Administrative Zone, Royal Project Foundation of Thailand, Green Gold Cooperative, Embassy of Finland, Embassy of the Federal Republic of Germany, U.S. Department of State's Bureau of International Narcotics and Law Enforcement Affairs, Permanent Mission of Japan to the UN (Vienna).
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those to be invited to participate in the interviews and surveys, including the CLPs.



## Project overview and historical context

The project MMRZ39 on Sustainable Livelihoods and Development, implemented by UNODC and running from March 2015 until the end of 2019, represents the SP 5 of the Country Programme for Myanmar (2014-2019). The Country Programme further comprises four other SPs: SP 1 on Transnational Organised Crime and Illicit Trafficking (MMRZ35), SP 2 on Anti-Corruption (MMRZ36), SP 3 on Criminal Justice (MMRZ37), and SP 4 on Drugs and Health (MMRZ48).

Alternative development and sustainable livelihoods has historically been one of the most important programmatic components in Myanmar, pursued as a long-term solution to opium poppy cultivation. In this regard, UNODC's main role has been to provide assistance for country level alternative development programmes, promote South-South cooperation (e.g. between Myanmar, Lao PDR and Thailand) and link it with the research work of the Illicit Crop Monitoring Programme to promote strategic thinking and collective action to address the issue of opium poppy cultivation. UNODC's assistance aims to focus on a sustainable alternative to opium cultivation through poverty alleviation and improving food security.

Results reported from ongoing alternative development projects continue to indicate significant achievements with respect to improved livelihoods, including enhanced income earning opportunities and access to key services (such as infrastructure, markets, and credit). Field assessments indicate that where alternative development programmes have been initiated, illicit opium poppy cultivation has not returned.

Within the Country Programme for Myanmar (2014-2019), the SP 5 on Sustainable Livelihoods and Development (MMRZ39) has been designed to support two main outcomes, namely in relation to: (i) illicit crop monitoring; and (ii) alternative livelihood and development.

Under the first outcome, UNODC works with the Government of Myanmar to produce reliable data and analysis relating to opium poppy cultivation and production. In coordination with activities conducted under SP 4 on Drugs and Health (MMRZ48), overall research expertise made available through SP 5 also supports the improvement of the drug use and treatment reporting system.

The second outcome of this SP focuses on addressing the immediate needs of food security concurrently with the development of permanent cash crops, followed by vocational training programmes in the area of livelihoods and in small farmer-led enterprises. Further, the outcome focuses on reforestation and enrichment activities to target the vast areas of forest that have been cleared due to opium poppy cultivation and those that are at risk for future deforestation.

This SP addresses the first phase of a longer-term 10-year strategy to significantly reduce opium poppy cultivation and improve the socio-economic situation of small farming communities.

In coordination with activities conducted under SP 4 on Drugs and Health, overall research expertise made available through SP 5 will also support the improvement of drug use and treatment reporting system, which collects data on available resources, number of cases and patients, local and regional capacity, coverage and trends.

In the context of the SP, better gender balance is promoted, inter alia, by encouraging female participation in ongoing activities. For example, in August 2017, women farmers participated in a

series of UNODC Focus Group Discussions, designed to clarify opportunities for strengthening gender equality in and through programme implementation.

## Main challenges during implementation

Some delays were caused by challenges to secure funding to commence implementation of the CP, as well as external factors such as the political situation in Myanmar in the lead-up to the 2015 elections.

In the 2015/2016 crop season, the regular illicit crop monitoring under the SP 5 could not be conducted due to insufficient funding. As a replacement of the regular surveys, a village socio-economic survey was conducted in Shan State only. The successive illicit crop surveys for the 2016/2017 opium poppy crop season were commenced in quarter 3 of 2016, but due to limited funding, the scale of the surveys has been reduced significantly compared to previous surveys. Further, the surveys are conducted without involvement of government institutions, and survey operations have encountered more security related challenges than usual.

Additional delays were caused by the organisation-wide transition to a new Enterprise Resource Planning system Umoja and the limited roles available for staff for procurement roles.

## Project documents and revisions of the original project document

	Year	Please provide general information regarding the original project document.
<b>Project document</b>	2015	Original project document approved on 28 January 2015

Project revision <sup>63</sup>	Year	Reason & purpose (max. 2 sentences per revision)	Change in (please check)
1	2017	The SP (project) has been extended for 2 years until 31 December 2019 in line with the extended duration of the Country Programme	<input type="checkbox"/> Budget <input type="checkbox"/> <b>Timeframe</b> <input type="checkbox"/> Logframe

## Main objectives and outcomes

The main objective of the SP 5 (MMRZ39) is to strengthen the capacities to address drug production through illicit crop monitoring and alternative development.

The process of establishing the baselines is currently ongoing.

## Objective of the project/programme (as per project document/revision):

<sup>63</sup> Please add further rows as needed

<b>Objective:</b>	Strengthened capacities to address drug production through illicit crop monitoring and alternative development
Performance indicators:	No indicators established for programme objective

**Outcomes of the project/programme (as per project document/revision):**

<b>Outcome 1:</b>	Improved availability and use of data on illicit crop cultivation, drug production and trafficking, and drug use and treatment for informed strategic planning
Performance indicators:	Availability of data relating to illicit crop cultivation, illicit drugs production (and seizures), as well as main socio-economic factors enhanced  Enhanced capacity of Government agencies to monitor and report on the above
<b>Outcome 2:</b>	Sustainable livelihood alternatives for opium poppy growing communities developed in line with international guidelines
Performance indicators:	Number of households adopting legal livelihood income opportunities through sustainable permanent crops and off-farm activities increased  Access to national and international markets increased for farmer enterprises with products stemming from alternative development  Improved data gathering and analysis capacity for land use planning and land- use change database to support alternative development planning  Evidence of enhanced South-South cooperation on alternative development as a result of UNODC support

**Contribution to UNODC's country, regional or thematic programme**

**Contribution to the following UNODC country and regional programmes:**

1. Country Programme for Myanmar (2014-2019) – SP 5 – ‘Sustainable Livelihoods and Development’
2. Regional Programme for Southeast Asia (2014-2019) – SP 5 – ‘Drugs and Health and Alternative Development’

**Contribution to the following thematic programme(s):**

1. The five SPs of the CP are drafted in accordance with the five thematic areas of the UNODC Strategy so as to enable coordinated implementation of and reporting on mandates. The five SPs of the CP are also drafted in accordance with the Regional Programme mentioned above. UNODC reports to and receives its mandates from the CND and the CCPCJ, both of which are governing bodies of UNODC. The CND is the central policy-making body for drug-related matters within the UN system, providing Member States with a forum to exchange expertise, experiences and information on drug-related matters and to develop a coordinated response. The CCPCJ is the central body within the UN system covering

crime prevention and criminal justice policy, including rule of law issues broadly, aspects of counter-terrorism and other non-drug transnational organised crime challenges.

## Linkage to UNODC strategic framework and to Sustainable Development Goals

The SP 5 is aligned with the UNODC Strategic Framework SP 5 on Prevention, treatment and reintegration, and alternative development, in particular, expected accomplishment (d) Improved capacity to design, implement, monitor and evaluate sustainable crop control strategies through alternative development or preventive alternative development, and (e) Improved capacity to provide sustainable livelihoods (basic social assistance) to populations vulnerable to drug dependence and crime as a result of social and economic marginalization.

In addition, the SP contributes to the following Sustainable Development Goals, Targets and Performance Indicators:

SDG <sup>64</sup>	Target	Indicator <sup>65</sup>
1 - End poverty in all its forms everywhere	1.4 - By 2030, ensure that all men and women, in particular the poor and the vulnerable, have equal rights to economic resources, as well as access to basic services, ownership and control over land and other forms of property, inheritance, natural resources, appropriate new technology and financial services, including microfinance	1.4.2 - Proportion of total adult population with secure tenure rights to land, with legally recognized documentation and who perceive their rights to land as secure, by sex and by type of tenure
2 - End hunger, achieve food security and improved nutrition and promote sustainable agriculture	2.1 - By 2030, end hunger and ensure access by all people, in particular the poor and people in vulnerable situations, including infants, to safe, nutritious and sufficient food all year round  2.3 - By 2030, double the agricultural productivity and incomes of small-scale food producers, in particular women, indigenous peoples, family farmers, pastoralists and fishers, including through secure and equal access to land, other productive resources and inputs, knowledge, financial services, markets	2.1.2 - Prevalence of moderate or severe food insecurity in the population, based on the Food Insecurity Experience Scale (FIES)  2.3.1 - Volume of production per labour unit by classes of farming/pastoral/forestry enterprise size  2.3.2 - Average income of small-scale food producers,

<sup>64</sup> All SDGs and targets can be found here: <http://www.un.org/sustainabledevelopment/sustainable-development-goals/>

<sup>65</sup> All SDG indicators can be found here: [https://unstats.un.org/sdgs/indicators/Global%20Indicator%20Framework\\_A.RES.71.313%20Annex.pdf](https://unstats.un.org/sdgs/indicators/Global%20Indicator%20Framework_A.RES.71.313%20Annex.pdf)

	<p>and opportunities for value addition and non-farm employment</p> <p>2.4 - By 2030, ensure sustainable food production systems and implement resilient agricultural practices that increase productivity and production, that help maintain ecosystems, that strengthen capacity for adaptation to climate change, extreme weather, drought, flooding and other disasters and that progressively improve land and soil quality</p>	<p>by sex and indigenous status</p> <p>2.4.1 - Proportion of agricultural area under productive and sustainable agriculture</p>
5 - Achieve gender equality and empower all women and girls	5.A - Undertake reforms to give women equal rights to economic resources, as well as access to ownership and control over land and other forms of property, financial services, inheritance and natural resources, in accordance with national laws	5.A.1 - (a) Proportion of total agricultural population with ownership or secure rights over agricultural land, by sex; and (b) share of women among owners or rights-bearers of agricultural land, by type of tenure
8 - Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all	<p>8.2 - Achieve higher levels of economic productivity through diversification, technological upgrading and innovation, including through a focus on high-value added and labour-intensive sectors</p> <p>8.3 - Promote development-oriented policies that support productive activities, decent job creation, entrepreneurship, creativity and innovation, and encourage the formalization and growth of micro-, small- and medium-sized enterprises, including through access to financial services</p> <p>8.5 - By 2030, achieve full and productive employment and decent work for all women and men, including for young people and persons with disabilities, and equal pay for work of equal value</p>	<p>8.2.1 - Annual growth rate of real GDP per employed person</p> <p>8.3.1 - Proportion of informal employment in non-agriculture employment, by sex</p> <p>8.5.1 - Average hourly earnings of female and male employees, by occupation, age and persons with disabilities</p>
9 - Build resilient infrastructure, promote inclusive and sustainable industrialization	9.1 - Develop quality, reliable, sustainable and resilient infrastructure, including regional and transborder infrastructure, to support economic development and	9.1.1 - Proportion of the rural population who live within 2 km of an all-season road

and foster innovation	human well-being, with a focus on affordable and equitable access for all  9.3 - Increase the access of small-scale industrial and other enterprises, in particular in developing countries, to financial services, including affordable credit, and their integration into value chains and markets	9.3.1 - Proportion of small-scale industries in total industry value added
10 - Reduce inequality within and among countries	10.1 - By 2030, progressively achieve and sustain income growth of the bottom 40 per cent of the population at a rate higher than the national average  10.2 - By 2030, empower and promote the social, economic and political inclusion of all, irrespective of age, sex, disability, race, ethnicity, origin, religion or economic or other status	10.1.1 - Growth rates of household expenditure or income per capita among the bottom 40 per cent of the population and the total population  10.2.1 - Proportion of people living below 50 per cent of median income, by age, sex and persons with disabilities
15 - Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss	15.1 - By 2020, ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands, in line with obligations under international agreements  15.2 - By 2020, promote the implementation of sustainable management of all types of forests, halt deforestation, restore degraded forests and substantially increase afforestation and reforestation globally  15.3 - By 2030, combat desertification, restore degraded land and soil, including land affected by desertification, drought and floods, and strive to achieve a land degradation-neutral world  15.4 - By 2030, ensure the conservation of mountain ecosystems, including their biodiversity, in order to enhance their capacity to provide benefits that are essential for sustainable development  15.9 - By 2020, integrate ecosystem and biodiversity values into national and local	15.1.1 - Forest area as a proportion of total land area  15.2.1 - Progress towards sustainable forest management  15.3.1 - Proportion of land that is degraded over total land area  15.4.2 - Mountain Green Cover Index  15.9.1 - Progress towards national targets established in accordance with Aichi Biodiversity Target 2 of the Strategic Plan for Biodiversity 2011-2020

	planning, development processes, poverty reduction strategies and accounts	
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## DISBURSEMENT HISTORY

<b>Time periods throughout the <u>life time of the project</u></b>	<b>Total Approved Budget</b>	<b>Expenditure</b>	<b>Expenditure in %</b>
03.03.2015 – 31.12.2015	USD 518,326	USD 259,823	50 %
01.01.2016 – 31.12.2016	USD 6,386,519	USD 1,776,330	28%
01.01.2017 – 24.11.2017	USD 6,386,519	USD 2,032,090	32 %
<b>Time period that will be covered by the <u>evaluation</u></b>	<b>Total Approved Budget</b>	<b>Expenditure as per 24 November 2017</b>	<b>Expenditure in %</b>
03.03.2015 – beginning of March 2018 (end of field mission)	USD 6,386,519	USD 4,069,090	64 %

## PURPOSE OF THE EVALUATION

The midterm Independent Project Evaluation is conducted halfway through the lifetime of SP 5 of the CP for Myanmar as envisaged by the programme document, requested by the main donor (Finland), and is to be undertaken in line with UNODC and the United Nations Evaluation Group (UNEG) Evaluation Norms and Standards.

Due to delays caused by challenges to secure funding to commence implementation of the CP, a decision was made together with the Independent Evaluation Unit (IEU) to only evaluate SP 5 of the CP in a midterm evaluation.

The main purpose of the midterm evaluation, which will be formative in nature, is to assess the achieved to date results of the programme, inform further programming, and provide accountability to the donor by assessing the extent to which the programme objectives have been met and how the resources have been utilised.

The main objective of the evaluation is to identify lessons learnt and best practices and derive recommendations for future decision-making and organisational learning. The evaluation will further suggest areas for improvement to adjust, if necessary, activities to meet the SP's objectives by the end of the CP in 2019, and will also feed into the upcoming final Independent Project Evaluation of all SPs of the CP for Myanmar, as well as the final evaluation of the Regional Programme for Southeast Asia, both previewed for 2019, and will also inform the strategic programming after the lifetime of the SP.

The midterm evaluation report will be shared with all relevant internal and external stakeholders, as well as published and made publicly available on the IEU website.

The following DAC criteria will be assessed during the evaluation: relevance, efficiency, effectiveness, impact and sustainability, including social, economic and environmental sustainability. In addition, established partnerships and cooperation as well as aspects of human rights and gender mainstreaming will be assessed. The evaluation will specifically assess how gender aspects have been mainstreamed. The evaluation will further assess the conflict sensitivity of the project.

## SCOPE OF THE EVALUATION

<b>Unit of analysis</b> (full project/programme/ parts of the project/programme; etc.)	Full SP 5 of the Country Programme for Myanmar (MMRZ39)
<b>Time period of the project/programme covered by the evaluation</b>	03.03.2015 – beginning of March 2018 (end of field mission)
<b>Geographical coverage of the evaluation</b>	Myanmar

## KEY EVALUATION QUESTIONS

### Evaluation Criteria

The evaluation will be conducted based on the following DAC criteria: relevance, efficiency, effectiveness, impact and sustainability, as well as design, partnerships and cooperation, human rights, gender equality and leaving no one behind, as well as lessons learnt and best practices. The questions will be further refined by the Evaluation Team.

<b>Design</b> <i>The Design of a project or programme measures the extent to which the logical framework approach was adopted.</i>	
1.	To what extent were the needs and priorities of programme beneficiaries and national partner organisations translated into the logical framework outputs, outcomes and objectives?
2.	To what extent are the project outputs and outcomes suitable and informative targets, e.g. are they Specific, Measurable, Achievable, Realistic and Time-bound (SMART)?
<b>Relevance</b> <i>Relevance is the extent to which the aid activity is suited to the priorities and policies of the target group, recipient and donor.</i>	
3.	To what extent were local circumstances taken into consideration when planning and implementing this project?
4.	To what extent are the outputs, outcomes and objectives of this SP relevant to implementing the Sustainable Development Goals?
<b>Efficiency</b> <i>Efficiency measures the outputs - qualitative and quantitative - in relation to the inputs.</i>	
5.	To what extent were inputs converted into outputs in a cost efficient and timely manner, and how have unexpected causes of delay been managed?
6.	To what extent have all planned outputs to date been delivered in a logical sequence and with high quality?



<b>Effectiveness</b>	
<i>Effectiveness is a measure of the extent to which an aid activity attains its objectives.</i>	
7.	To what extent did the project achieve its planned objective and outcomes to date?
8.	To what extent did the quality of the outcomes to date meet programme beneficiaries' and national partner organisations' needs?
<b>Impact</b>	
<i>Impact is the positive and negative changes produced by a development intervention, directly or indirectly, intended or unintended.</i>	
9.	To what extent – if any - has the project to date made a positive difference to beneficiaries?
10.	To what extent did the project/programme contribute to the Sustainable Development Goals?
<b>Sustainability</b>	
<i>Sustainability is concerned with measuring whether the benefits of an activity are likely to continue after donor funding has been withdrawn.</i>	
11.	Is stakeholders' engagement likely to continue, be scaled up, replicated or institutionalised after external funding ceases?
12.	What is the level of ownership of the project by target groups and how will it impact sustainability after the project ends?
<b>Partnerships and cooperation</b>	
<i>The evaluation assesses the partnerships and cooperation established during the project/programme as well as their functioning and value.</i>	
13.	To what extent have partnerships been sought and established (including UN agencies) and synergies been created in the delivery of assistance?
14.	To what extent were efficient cooperation arrangements established (e.g. between UNODC and Government at national and local levels, donors, other UN agencies, and other relevant partners)?
<b>Human rights, gender equality, and leaving no one behind</b>	
<i>The evaluation needs to assess the mainstreaming throughout the project/programme of human rights, gender equality, and the dignity of individuals, i.e. vulnerable groups.</i>	
<b>Human Rights</b>	
15.	To what extent were human rights considerations mainstreamed in the design and implementation of the project?
<b>Gender Equality</b>	
16.	To what extent were gender considerations mainstreamed in the design and implementation of the project?
<b>Leaving no one behind</b>	
17.	To what extent were considerations of inclusion of all, irrespective of age, sex, disability, race, ethnicity, origin, religion or economic or other status, mainstreamed in the design and implementation of the project?
<b>Lessons learnt and best practices</b>	
<i>Lessons learnt concern the learning experiences and insights that were gained throughout the project/programme.</i>	
18.	What best practices emerged from the project implementation?
19.	What lessons can be drawn from the project/programme implementation?

# EVALUATION METHODOLOGY

## **The methods used to collect and analyse data:**

This evaluation will use methodologies and techniques as determined by the specific needs for information, the questions set out in the ToR and the availability of stakeholders. In all cases, the evaluation team is expected to analyse all relevant information sources, such as reports, programme documents, thematic programmes, internal review reports, programme files, evaluation reports (if available), financial reports and any other documents that may provide further evidence for triangulation, on which their conclusions will be based. The evaluation team is also expected to use interviews, surveys or any other relevant quantitative and/or qualitative tools as a means to collect relevant data for the evaluation. While maintaining independence, the evaluation will be carried out based on a participatory approach, which seeks the views and assessments of all parties identified as the key stakeholders of the SP – the Core Learning Partners (CLP).

The present ToR provides basic information as regards the methodology, which should not be understood as exhaustive. It is rather meant to guide the evaluation team in elaborating an effective, efficient, and appropriate evaluation methodology that should be proposed, explained and justified in the Inception Report.

In addition, the evaluation team will be asked to present a summarised methodology (including an evaluation matrix) in the Inception Report outlining the evaluation criteria, indicators, sources of information and methods of data collection. The evaluation methodology must conform to the United Nations Evaluation Group (UNEG) Norms and Standards as well as the UNODC Evaluation Policy, Norms and Standards.

While the evaluation team shall fine tune the methodology for the evaluation in an Inception Report, a mixed-methods approach of qualitative and quantitative methods is mandatory due to its appropriateness to ensure a gender-sensitive, inclusive methodology. Special attention shall be paid to an unbiased and objective approach and the triangulation of sources, methods, data, and theories. Indeed, information stemming from secondary sources will be cross-checked and triangulated through data retrieved from primary research methods. Primary data collection methods need to be gender-sensitive as well as inclusive.

The credibility of the data collection and analysis are key to the evaluation. Rival theories and competing explanations must be tested once plausible patterns emerge from triangulating data. The limitations to the evaluation need to be identified and discussed by the evaluation team in the Inception Report, e.g. data constraints (such as missing baseline and monitoring data). Potential limitations as well as the chosen mitigating measures should be discussed.

## **The main elements of the evaluation process are the following:**

- Preliminary desk review of all relevant project documentation, (Annex II of the evaluation ToR), as provided by the Project Manager and as further requested by the evaluation team;
- Preparation and submission of an Inception Report (containing preliminary findings of the desk review, refined evaluation questions, data collection instruments, sampling strategy,

- limitations to the evaluation, and timetable) to IEU for review and clearance before any field mission may take place;
- Initial meetings and interviews with the Project Manager and other UNODC staff as well as stakeholders during the field mission;
  - Interviews (face-to-face or by telephone/skype) with key project stakeholders and beneficiaries, both individually and (as appropriate) in small groups/focus groups, as well as using surveys, questionnaires or any other relevant quantitative and/or qualitative tools as a means to collect relevant data for the evaluation;
  - Analysis of all available information;
  - Preparation of the draft evaluation report (based on Guidelines for Evaluation Report and Template Report to be found on the IEU website <http://www.unodc.org/unodc/en/evaluation/index.html>). The lead evaluator submits the draft report to the Project Manager for the review of factual errors (copying IEU) and the Project Manager shares with IEU for review, comments and clearance. Subsequently, the Project Manager shares the final draft report with all CLPs for comments.
  - Preparation of the final evaluation report. The evaluation team incorporates the necessary and requested changes and finalises the evaluation report in accordance with the feedback received from IEU, the Project Manager and CLPs. It further includes a 2-page evaluation brief (template to be provided by IEU) and a PowerPoint presentation on final evaluation findings and recommendations;
  - Presentation of final evaluation report with its findings and recommendations to the target audience, stakeholders etc. (in person or if necessary through Skype).
  - In conducting the evaluation, the UNODC and the UNEG Evaluation Norms and Standards are to be taken into account. All tools, norms and templates to be mandatorily used in the evaluation process can be found on the IEU website: <http://www.unodc.org/unodc/en/evaluation/index.html>.

### **The sources of data:**

The evaluation will utilise a mixture of primary and secondary sources of data. The primary sources include, among others, interviews with key stakeholders (face-to-face or by telephone), the use of surveys and questionnaires, field missions for case studies, focus group interviews, observation and other participatory techniques. Secondary data sources will include project documents and their revisions, progress and monitoring reports and all other relevant documents, including visual information (e.g. eLearning, pictures, videos, etc.).

### **Desk review:**

The evaluation team will perform a desk review of all existing documentation (please see the preliminary list of documents to be consulted in Annex II of the evaluation ToR). This list is however not to be regarded as exhaustive as additional documentation may be requested by the evaluation team.

### **Phone interviews / face-to-face consultations:**

The evaluation team will conduct phone interviews / face-to-face consultations with identified individuals from the following groups of stakeholders:

- Member States (including recipients and donors);
- Relevant international and regional organisations;
- Non-governmental organisations working with UNODC;
- UNODC management and staff at HQ and in the field;
- Programme donors and beneficiaries
- Others as may be required.

#### Questionnaire:

A questionnaire (on-line) is to be developed and used in order to help collect the views of additional stakeholders (e.g. trainees, counterparts, partners, etc.), if deemed appropriate.

## TIMEFRAME AND DELIVERABLES

<b><i>Duties</i></b>	<b><i>Time frame</i></b>	<b><i>Location</i></b>	<b><i>Deliverables</i></b>
Desk review and drafting of Inception Report	02.01.-21.01.2018 (12 working days for lead evaluator and 10 for Alternative Development expert)	Home-based	Draft Inception report in line with UNODC evaluation norms and standards <sup>66</sup>
Review of draft Inception Report by IEU	22.01.-26.01.2018 (1 week for IEU review)		Comments on the draft Inception Report to the evaluation team
Incorporation of comments from IEU (can entail various rounds of comments)	29.01.-09.02.2018 (3 working days for lead evaluator and 2 for Alternative Development expert)	Home-based	Revised draft Inception Report
<b>Deliverable A: Final Inception Report in line with UNODC evaluation norms, standards, guidelines and templates</b>	<b>By 09.02.2018 (overall 15 working days for lead evaluator and 12 for Alternative Development expert)</b>		<b>Final Inception report to be cleared by IEU before the field mission can get started</b>

<sup>66</sup> [https://www.unodc.org/unodc/en/evaluation/normative-tools.html#Inception\\_Report](https://www.unodc.org/unodc/en/evaluation/normative-tools.html#Inception_Report)

Evaluation mission: briefing, interviews with staff at UNODC HQ/FO (including by phone/skype); observation; focus groups; presentation of preliminary observations (if applicable)	19.02.-09.03.2018 (15 working days for both lead evaluator and Alternative Development expert)	UNODC/HQ:  Myanmar/ Yangon  Myanmar/ Taunggyi and surrounding programme target areas	Interviews and data collection
Drafting of the evaluation report; submission to Project Management and IEU	12.03.-29.03.2018 (15 working days for lead evaluator and 13 for Alternative Development expert)	Home-based	Draft evaluation report
Review of IEU for quality assurance and Project Management for factual errors	03-04.-13.04.2018 (2 weeks for review)		Comments on the draft evaluation report to the evaluation team
Consideration of comments from the project manager and incorporation of comments from IEU (can entail various rounds of comments)	16.04.-04.05.2018 (6 working days for lead evaluator and 4 for Alternative Development expert)	Home-based	Revised draft evaluation report
<b>Deliverable B: Draft Evaluation Report in line with UNODC evaluation norms, standards, guidelines and templates</b>	<b>By 04.05.2018 (overall 36 working days for lead evaluator and 32 for Alternative Development expert)</b>		<b>Draft evaluation report, to be cleared by IEU</b>
IEU to share draft evaluation report with Core Learning Partners for comments	07.05.-18.05.2018 (2 weeks)		Comments of CLPs on the draft report
Consideration of comments from Core Learning Partners	21.05.-22.05.2018 (2 working days for lead evaluator and 1 for Alternative Development expert)	Home-based	Revised draft evaluation report

Final review by IEU; incorporation of comments and finalisation of report (can entail various rounds of comments) and a 2-page evaluation brief	23.05.-01.06.2018 (3 working days for lead evaluator and 2 for Alternative Development expert)	Home-based	Revised draft evaluation report
Presentation of evaluation results (to be reviewed and cleared by IEU)	Tentative: 04.06.2018 (1 working day for lead evaluator)		Presentation of evaluation results
<b>Deliverable C: Final evaluation report and 2-page evaluation brief in line with UNODC evaluation norms, standards, guidelines and templates; presentation of evaluation results</b>	<b>By 04.06.2018 (overall 6 working days for lead evaluator and 4 working days for Alternative Development expert)</b>		<b>Final evaluation report, 2-page evaluation brief and presentation of evaluation results, both to be cleared by IEU</b>
<b>Project Management:</b> Finalise Evaluation Follow-up Plan in ProFi	By 14.06.2018		Final Evaluation Follow-up Plan to be cleared by IEU
<b>Project Management:</b> Disseminate final evaluation report	By 22.06.2018		Final evaluation report disseminated to internal and external stakeholders

## EVALUATION TEAM COMPOSITION

Role	Number of consultants/ evaluators <sup>67</sup> (national/international)	Specific expertise required <sup>68</sup>
Lead evaluator	1 (international/national consultant)	Evaluation methodology; expertise in Gender Equality and Human Rights
Alternative Development expert	1 (international/national consultant)	Expertise in Alternative Development and Sustainable Livelihoods

<sup>67</sup> Please note that an evaluation team needs to consist of at least 2 independent evaluators – at least one team leader and one Alternative Development expert.

<sup>68</sup> Please add the specific technical expertise needed (e.g. expertise in anti-corruption; counter terrorism; etc.) – please note that at least one evaluation team member needs to have expertise in human rights and gender equality.

The evaluators will not act as representatives of any party and must remain independent and impartial. The qualifications and responsibilities for each evaluator are specified in the respective job descriptions attached to these Terms of Reference (Annex 1).

### Absence of Conflict of Interest

According to UNODC rules, the evaluators must not have been involved in the design and/or implementation, supervision and coordination of and/or have benefited from the programme/project or theme under evaluation.

Furthermore, the evaluators shall respect and follow the UNEG Ethical Guidelines for conducting evaluations in a sensitive and ethical manner.

## MANAGEMENT OF THE EVALUATION PROCESS

### Roles and responsibilities of the Project Manager

The Project Manager is responsible for:

- managing the evaluation process;
- drafting and finalising the ToR;
- selecting Core Learning Partners (representing a balance of men, women and other marginalised groups) and informing them of their role;
- recruiting the evaluation team following clearance by IEU;
- providing desk review materials (including data and information on men, women and other marginalised groups) to the evaluation team including the full ToR;
- liaising with the Core Learning Partners;
- reviewing the draft report for factual errors only;
- developing a follow-up plan for the usage of the evaluation results and recording of the implementation of the evaluation recommendations (to be updated once per year);
- disseminating the final evaluation report and communicating evaluation results to relevant stakeholders as well as facilitating the presentation of evaluation results.

The Project Manager will be in charge of **providing logistical support** to the evaluation team, including arranging the field missions of the evaluation team, including, but not limited to:

- All logistical arrangements for the travel (including travel details; DSA payments; transportation; etc.);
- All logistical arrangement for the meetings/ interviews/ focus groups/etc., ensuring interview partners adequately represent men, women and other marginalised groups (including independent translator/ interpreter if needed); set-up of interview schedules; arrangement of ad-hoc meetings as requested by the evaluation team; transportation from/to the interview venues; scheduling sufficient time for the interviews (around 45 minutes); ensuring that members of the evaluation team and the respective interviewees are present during the interviews; etc.);
- All logistical arrangements for the presentation of the evaluation results;
- Ensuring timely payment of all fees/DSA/etc. (payments for the evaluation team need to be released within 5 working days after the respective deliverable is cleared by IEU).

### Roles and responsibilities of the evaluation stakeholders

Members of the Core Learning Partnership (CLP) are identified by the project managers. The CLPs are the main stakeholders, i.e. a limited number of those deemed as particularly relevant to be involved throughout the evaluation process, i.e. in reviewing and commenting on the ToR and the evaluation questions, reviewing and commenting on the draft evaluation report, as well as facilitating the dissemination and application of the results and other follow-up action. Stakeholders include all those to be invited to participate in the interviews and surveys, including the CLPs.

## Roles and responsibilities of the Independent Evaluation Unit

The Independent Evaluation Unit (IEU) provides mandatory normative tools, guidelines and templates to be used in the evaluation process. Please find the respective tools on the IEU web site <http://www.unodc.org/unodc/en/evaluation/evaluation.html>.

Furthermore, IEU provides guidance, quality assurance and evaluation expertise, as well as interacts with the project manager and the evaluation team throughout the evaluation process.

IEU reviews, comments on and clears all steps and deliverables during the evaluation process: Terms of Reference; Selection of the evaluation team, Inception Report; Draft Evaluation Report; Final Evaluation Report; Evaluation Follow-up Plan. IEU further publishes the final evaluation report on the UNODC website, as well as sends the evaluation report to an external quality assurance provider.

## PAYMENT MODALITIES

The evaluation team will be issued consultancy contracts and paid in accordance with UNODC rules and regulations. The contracts are legally binding documents in which the evaluation team agrees to complete the deliverables by the set deadlines. Payment is correlated to deliverables and three instalments are typically foreseen:

1. The first payment upon clearance of the Inception Report (in line with UNODC evaluation norms, standards, guidelines and templates) by IEU;
2. The second payment upon clearance of the Draft Evaluation Report (in line with UNODC norms, standards, evaluation guidelines and templates) by IEU;
3. The third and final payment (i.e. the remainder of the fee) only after completion of the respective tasks, receipt of the final report (in line with UNODC evaluation norms, standards, guidelines and templates) and a 2-page evaluation brief and clearance by IEU, as well as presentation of final evaluation findings and recommendations.

75 percent of the daily subsistence allowance and terminals is paid in advance before travelling. The balance is paid after the travel has taken place, upon presentation of boarding passes and the completed travel claim forms.



## ANNEX II. DESK REVIEW LIST

### *UNODC documents*

1. Additional info on opium intensity in villages prepared by Project team, April 2018
2. Conditions of Gender Inequity in Shan State prepared by Project team
3. Detailed money received by beneficiaries male and female
4. Email exchanges about potential links with DGRV
5. Email exchanges with Conflict Food
6. EU MMRJ94, Project Revision, December 2014
7. EU MMRJ94, Report on Village, UNODC comments, 2014
8. EU MMRJ95, Report on Village, UNODC comments, 2015
9. Finland - The Ministry for Foreign Affairs, undated, 'Project Proposal: Alternative Development and Establishment of Community Forests in South Shan'
10. Frontier Myanmar 14/7-17
11. Gender Ratio for UNODC Myanmar Country Office as of 02 April 2018
12. GIZ, 2016, 'Grant Agreement'
13. GIZ, 2016, 'Supplement to the Grant Agreement'
14. Message from USAID about coffee sold through Winrock
15. Ministry for Foreign Affairs of Finland, 2015, 'Agreement between The Ministry for Foreign Affairs of Finland and The United Nations, as represented by the United Nations Office on Drugs and Crime'
16. Minutes of Meeting for 3 Steering Committee Meetings so far(15/6-2016, 23/11-2016, 29/11-2017)
17. Official Financial Statement FR2016 MMRZ39, December 2016
18. Project Annual Progress Report 12/2017
19. Project Organigram desagregated by sex, April 2018
20. Project Procurement Plans for 2016, 2017, 2018
21. Project Progress Report Finland 8/2017
22. Project Progress Report Germany 2/2017
23. Project Quarterly Progress Reports 2016-2017
24. Project Semi-annual report Field Inputs
25. Project Workplan for 2016, 2017, 2018
26. Technical Report on Beneficiary Information Tea
27. Technical Report on Coffee Beneficiary and Planting Area Data
28. Technical Report on Community Forest Data
29. Technical Report on Government Counterpart Staff Trainee List
30. Technical Report on Land Tenure & CF Certificates
31. ToR for Agriculture Specialist
32. ToR for Forest Specialist
33. ToR for Senior Forest Specialist
34. ToR for Senior National Programme Coordinator
35. TOR International Consultant on Alternative Development
36. TOR International consultant on Post-harvest of high-quality coffee
37. Uncertified budget - Finland Expenditure by outcome/output, 03 April 2018
38. Uncertified budget - Germany Expenditure by outcome/output, 05 Apr 2018
39. Uncertified budget – USA, Japan Italy by outcome/output, 03 Apr 2018
40. United States Department of State, 2017, 'Partnership agreement between the Green Gold Cooperative and Malongo 2017 – 2022'
41. UNODC Myanmar, undated, 'Project Proposal: Alternative Development in South Shan Townships Affected by Opium Poppy Cultivation'

42. UNODC, 2015, 'Working Paper: Reframing Alternative development in the Greater Mekong Subregion'. UNODC, Austria.
43. UNODC, 2016, 'Agreement between The Ministry for Foreign Affairs of Finland and The United Nations, as represented by the United Nations Office on Drugs and Crime'
44. UNODC, 2016, 'Gender Baseline Report'
45. UNODC, 2017, 'Evidence for enhancing resilience to opium poppy cultivation in Shan State, Myanmar - Implications for alternative development, peace, and stability'
46. UNODC, 2017, 'Myanmar Opium Survey'
47. UNODC, 2017, 'UNOV UNODC Strategy for Gender Equality and the Empowerment of Women 2018-2021'
48. UNODC, undated, 'Consultation with female beneficiary farmers on opportunities for strengthening gender equality in and through programme implementation'
49. Update from Swiss embassy on funding 2 April 2018

### *External documents*

1. Basundhara B. 2009, 'Engendering Value Chain Development', ICIMOD
2. Batliwala, S. 2010, 'Capturing Change in Women's Realities A Critical Overview of Current Monitoring & Evaluation Frameworks and Approaches' AWID
3. Biersack, W., 2015, 'Opium reduction in Myanmar: An analysis of UNODC's Alternative Development for rural communities in Shan State'
4. Buchanan, J. 2016, 'Militias-in-Myanmar', The Asia Development Foundation
5. Buxton, J., 2015, 'Drug Crop Production, Poverty, and Development', Open Society Foundation, USA
6. Cenfri, Finmark Trust, UNCDF, 2014, 'Myanmar - Demand, Supply, Policy and Regulation, Myanmar Country Diagnostic Report'
7. Cenfri, Finmark Trust, UNCDF, undated, 'Myanmar -Creating financial inclusion through leadership towards a market based approach, Financial Inclusion - Roadmap 2014–2020'.
8. Central Committee for Drug Abuse Control, 2018, 'The Republic of the Union of Myanmar - National Drug Control Policy'
9. Chouvy, P.-A., 2009, 'Opium - Uncovering the Politics of the Poppy',
10. FAO, 2016, 'Rural Cooperative. Formulation and Operationization of National Action Plan for Poverty Alleviation and Rural Development through Agriculture (NAPA), FAO & GoM, Myanmar
11. Ferguson, J.-A., 2013, 'Consultancy on Co-operative Systems in Myanmar'
12. GIZ, 2013, 'Rethinking the Approach of Alternative Development', GIZ, Germany.
13. International Coffee Organisation, Coffee Market Report March 2018.
14. Mansfield, D., undated, 'Alternative Development: The Modern Thrust of Supply Side Policy'.
15. Report of the Secretary General, 2016, 'Situation of Human Rights in Myanmar'
16. Signed letter from US Bureau of International Narcotics and Law Enforcement Affairs to UNODC, April 2018
17. Torres, M. 2005 'Advance Africa Project: Best Practices Final Report
18. Transnational Institute, 2010, 'Alternative Development or Business as Usual? China's Opium Substitution Policy in Burma and Laos', TNI, Netherlands.
19. UN Women, 2016, 'UNWomen Report Gender Situation Analysis'
20. UNCDF, Finmark Trust, 2014, FinScope Myanmar 2013 - Survey Highlights
21. United Nations, 1948, 'Universal Declaration of Human Rights'
22. Unnamed, 2015, 'Myanmar Coffee Value Chain Analysis' USAID, Winrock Int.

Number of external documents reviewed: 22

Overall number of documents reviewed: 71

## ANNEX III. LIST OF PERSONS CONTACTED DURING THE EVALUATION

<i>Number of interviewees</i>	<i>Organisation</i>	<i>Type of stakeholder</i>	<i>Sex disaggregated data</i>	<i>Country</i>
4	Embassies	Donors	Male: 2 Female: 2	Myanmar
9	Green Gold Coffee Cooperative	Civil Society	Male: 5 Female: 4	Myanmar
12	Other organisations	UN Agency, Private sector, Civil Society	Male: 6 Female: 6	Myanmar
24	Government	Local and National Government; Local authority	Male: 20 Female: 4	Myanmar
232	SP beneficiaries in eight villages	Beneficiaries	Male: 127 Female: 105	Myanmar
8	UNODC	Management at the Country Office and Field Office	Male: 6 Female: 2	Myanmar
7	UNODC	SP staff	Male: 6 Female: 1	Myanmar
Total: 296			Male: 172 Female: 124	

## ANNEX IV. EVALUATION TOOLS: QUESTIONNAIRES AND INTERVIEW GUIDES

### Interview guidelines

			Issues will be discussed with stakeholders marked with an "x"						
Unit	Evaluation questions	Evaluation questions sub-	Core Management	Consultant	Management	Core partner	Gov. Partner	Donor	Bellwether
Design	Analysis	Assessment of the chosen framework (ToC vs. logframe)	x	x		x			
		Consideration of cross-cutting issues to AC (gender, poverty, conflict, environment)	x	x	x	x	x		x
		Risk analysis (internal and external)	x	x		x			x
		Stakeholders analysis and involvement (example - livelihood specialists; beneficiaries men & women)	x	x	x	x	x		
	Planning	Assumptions (example - successful implementation likely lead to reduction of opium supply)	x	x	x	x	x		x
		Gaps, blind spots (law enforcement elements; conflict prevention; Local drug consumption; Has the focus on opium reduction narrowed the SP approach?)	x	x	x	x	x		x
		Definition of results - activities - budget	x						
		M&E - Indicators (including gender indicators); baseline; M&E tools (quality and use)	x		x				
Relevance	Adequacy	Is the SP taken into account the assets and resources (land, labour, income, finance) of key	x	x	x	x	x		

		stakeholders including beneficiaries?							
		How is the SP addressing the challenges and expectations of the targeted population?	x	x	x	x	x		
		Is it likely that beneficiaries will be able to apply techniques, technology and organisation introduced by the SP?	x	x	x	x	x		
		Has the SP considered social and cultural perceptions and beliefs of the targeted communities (example - forest, environment, gender)	x	x	x	x			
	Alignment	Donors' strategies & priorities	x					x	
		UNDAF & UNODC National Strategy	x		x	x			
		To SDGs (inc, gender commitments)							
		National Strategies (including the 12 gender points)	x			x			x
		Regional Strategies	x		x	x			x
		Market tendencies (Coffee trends)	x			x	x		x
	Adaptability	How/if the SP has been able to positively react to unexpected challenges and opportunities	x	x	x	x	x		
Efficiency	Value for money	Delivery rate: Budget - expenditure comparison	x						
		Appropriateness of resources: Would it be possible to reduce the level of external inputs without jeopardising the outcomes?	x			x			

		Leverage of resources	x	x	x				
		Quality of the activities/products	x	x	x	x	x		x
	Internal coordination	Admin: Were admin procedures facilitating the achievement of results?	x			x			
		Management: Clarity and adequacy of roles (include sex-disaggregation) and decision making mechanisms (including information flows)	x		x				
		Governance: Critical assessment of the roles of governance mechanism (example - Committee and Technical Committee)	x		x				
	External coordination	Inclusiveness of partnership strategy (focus gender, environment & conflict)	x	x	x	x	x	x	x
		Unexploited cooperation opportunities to create complementary support towards the SP objectives (Private sector; other projects, gender/conflict experts)	x	x	x	x	x	x	x
		Critical assessment of the quality of the partnerships with different stakeholders	x	x	x	x	x	x	x
Effectiveness	Progress	Factors that helped or hindered implementation. What has been done to address them / use them?	x	x	x	x	x		
		Outreach of activities: Has targeting of beneficiaries been true to the spirit of the SP as well as to the requirements for successful implementation?	x	x		x	x		

	M&E	Adequacy of monitoring tools (reports and others)	x	x	x				
		How is this information feed into the SP to promote learning	x						
Impact	Personal transformations	Self-awareness (sense of agency; internal empowerment, ideological shifts)	x	x	x	x	x		
		Skills, capacity, knowledge	x	x	x	x	x		
		Access to services & resources	x	x	x	x	x		
		Access to employment	x	x	x	x	x		
	Social	Social norms and behaviours in the communities	x	x	x	x	x		x
		Are there any differentiated effects are resulting from the SP in accordance with the sex, ethnic group, social strata?	x	x	x	x	x		
		Do not harm - Any unexpected adverse transformation?	x	x	x	x	x		x
	Institutional	Cooperative (s)	x	x	x	x			
		Government partners	x	x	x	x	x		
		Policies: Reforms in institutional, legal, commercial and agricultural settings	x			x			
Sustainability	Process	Stakeholder's ownership and political will	x	x	x	x	x	x	x
		Technical capacity	x	x	x	x	x		x
		Financial capacity	x	x	x	x	x		x
	Results	Factors inhibiting resp. contributing to sustainability. Analysis of sustainability risks and mitigation measures	x	x	x	x	x	x	x

		Are the economic prospects of the promoted income-generating activities promising enough to become a realistic alternative to opium? (Rentability; return to labour)	x	x	x	x	x		
	Future	Hand-over to private sector/government/entities created by the SP.	x	x	x	x	x	x	x
		Is it likely that the SP approach will be upscaled or replicated? - Factors that would promote resp. impede expansion resp. replication?	x	x		x		x	

## **Adaptable dynamics for villages' workshops**

### ***Setting***

Create an environment, most often modelled after a café (or living rooms in houses), i.e. small round tables, block paper, coloured pens, and optional "talking stick" item. There should be four chairs at each table (optimally). We will do six tables (ideally, 3 with men and 3 with women)

### ***Welcome and Introduction***

The facilitator (Sebastian and/or Eva) begins with a warm welcome and an introduction to the World Café process, setting the context, and putting participants at ease.

### ***Small Group Rounds***

The process begins with the first of three 15 minutes rounds of conversation for the small group seated around a table. At the end of the 15 minutes, each member of the group moves to a different new table. They will leave one person as the "table host" for the next round, who welcomes the next group and briefly fills them in on what happened in the previous round.

### ***Questions***

Every two tables (one male, one female) will talk about a **question** specially crafted for the specific context and desired purpose of the evaluation. Proposed questions.

### **Relevance**

This is the information about the context. We want to learn from beneficiaries about their communities a) demographics b) community history c) their organization – who does what; who makes decisions (incl. gender analysis) d) resources/assets e) challenges. With this info we can assess if:

- The SP has taken into account the assets and resources (land, labour, income, finance) of beneficiaries?
- How is the SP addressing the challenges and expectations of the targeted population?

QUESTION: Tell us about your community – a) tell us about the people living here; b) how you organize yourselves – who makes decisions; c) what are your assets and your challenges?



**Effectiveness /impact**

This information is about their relationship with the SP. We want to know what activities were present in the community and what benefits/challenges they have had and who has been involved (included gender analysis). With this info we can feed into:

- a) Factors that helped or hindered implementation of the SP.
- b) What has changed? (personal or community level)

QUESTION: Tell us about the SP a) tell us what was done in this community b) who was involved and why c) what went well and what could have been done better

**Sustainability**

We need info about the future expectations of the beneficiaries and the factors that need to be in place to ensure sustainability. With this info we will feed into the evaluation question:

- a) Factors inhibiting resp. contributing to sustainability.
- b) Hand-over to private sector/government/entities created by the SP.

QUESTION: Tell us what needs to happen to sustain the work of the SP?

**Harvest**

After the small groups, hosts are invited to share insights or other results from their conversations with the rest of the large group (5 minutes each).

**Final plenary (30 minutes)**

## ANNEX V. DETAILED PROGRESS BY OUTPUT

Specific Objective 1:	Performance indicators	
Improved availability and use of data on illicit crop cultivation, drug production and trafficking, and drug use and treatment for informed strategic planning	Availability of data relating to illicit crop cultivation, illicit drugs production (and seizures), as well as main socio-economic factors enhanced	Two Annual Opium Surveys were published for the years 2016 and 2017.  They are linked with the UNODC Regional efforts to develop data and evidence as the basis for countries of the Mekong region to respond to challenges of drug production, trafficking and use.  The survey consists of detailed data on opium production and eradication measures, amended by a very informative set of socio-economic data to support measures aimed at alternative development and political stability.  The two surveys published have high standards of quality according to all relevant stakeholders consulted, including the Myanmar Central Committee for Drug Abuse Control (CCADC), and the main donor, the Embassy of the USA. They unanimously underlined how the report gives crucial information that would not otherwise be available.
	Enhanced capacity of Government agencies to monitor and report on the above	
Specific Objective 2	Performance indicators	
Sustainable livelihood alternatives for opium poppy growing communities developed in line with international guidelines.		
Outcome 2.1.	Performance indicators	
Sustainable and licit income alternatives have significantly reduced dependence on opium poppy cultivation for beneficiary farmers	Number of households that have adopted a legal livelihood income through sustainable permanent crops and off-farm activities <ul style="list-style-type: none"> <li>Target: 1400 (700 new households)</li> </ul>	The SP monitoring system does not offer data at this level due to the intrinsic complexity of this outcome and because no adequate indicators were defined, as was already advanced under the design chapter.  Additionally, the evaluation scope did not allow for the collection of statistically representative primary data in this regard.  However, during the meetings with the villages, both in Hopong and in Loilen townships, farmers reported to have reduced (Loilen) and even abandoned (Hopong) growing opium due to the influence of the SP.
	Percentage of beneficiary households abandoning opium poppy cultivation by the end of the programme period <ul style="list-style-type: none"> <li>Target: 80% of beneficiary farmers have abandoned poppy cultivation by the end of the programme</li> </ul>	
	Number of hectares used for opium cultivation in programme areas <ul style="list-style-type: none"> <li>Target: Significant reduction of number of hectares used for opium cultivation</li> </ul>	

	<p>Income from alternative development products</p> <ul style="list-style-type: none"> <li>Target: In the second year of production, 80% of the beneficiary households receive minimum 2000 USD in annual income from alternative development plantations</li> </ul>	
Output 2.1.1:	Performance indicators	
1154 hectares of land used for alternative and sustainable crops and managed by the farmers, including 374 hectares of already implemented crops which will be maintained and managed and 780 hectares of crops to be implemented and managed, and food security for the farmers enhanced	<p>Area used for alternative development activities (hectares)</p> <ul style="list-style-type: none"> <li>Target: 1154 hectares</li> </ul>	<p>Since the beginning of the SP, a reported 982.69 hectares of alternative crops have been planted or maintained (953 coffee, 14.69 tea, 15 avocado). Additionally, 19 nurseries have been built for coffee, tea and shade trees.</p> <p>Mortality of young coffee plants due to adverse weather conditions – frost in the highlands and damp weather in the lowlands – have affected a number of beneficiaries.</p> <p>According to a survival counting done by SP staff concludes a 90% survival rate. Reports from all visited villages are pointing towards higher losses, in one visited village close to 100%.</p>
	<p>Amount of production from alternative and sustainable crops</p> <ul style="list-style-type: none"> <li>Target: In the second year of production each hectare of coffee plantation produces 1,000 kg of exportable, green coffee beans</li> </ul>	<p>The SP, through Green Gold, has so far harvested and processed 25 MT of parchment coffee roughly 1/3 of what was expected. The first batch (one container) is presently undergoing shipping. An additional 2.4 MT of coffee grown and harvested by beneficiary farmers was sold to a Dutch Company through the USAID funded Winrock project.</p> <p>The coffee quality achieved by the SP is excellent and has been recognised by the main buyer, and by the Mandalay Coffee Group.</p> <p>Due to missing adaptation of cultivation techniques to reoccurring extreme climate events: (frost and exposure to sun), a large area of coffee plantations was severely damaged and did not perform as expected during the first harvest. At 80% of the harvest this year completed, only three villages have reached the expected level of production and only one of the three coffee containers that were planned to be shipped has been collected.</p>
Output 2.1.2	Performance indicators	
Farmer organizations constituted and farmers integrated into existing or new farmer organizations	Number of beneficiary farmers taking part in farmer organisations, disaggregated by sex	Green Gold was formally constituted in July 2015 and its statutes registered with the relevant Myanmar authorities. The cooperative has a Board of Directors composed of five (originally seven) members, one of

<sup>69</sup> Email to UNODC Country Manager from the Feed the Future Coordinator of USAID 11 April 2018

with capacity to promote public-private partnerships and to produce and commercialize quality products for domestic and international markets	<ul style="list-style-type: none"> <li>Target: 1200 beneficiary farmers</li> </ul>	<p>them is a woman, the Chairman is a coffee farmer and he is also a coffee trader himself.</p> <p>The SP team reported that the latest General Assembly (in July 2017) brought together 569 members, although the aspiration is that all 1,052 beneficiaries become members of the cooperative. The organisation has 48 community groups operating in 27 villages that have managed the post-harvest process for 344 farmers. These community groups are composed of four to six members including a cashier, who is in charge of transferring payments for coffee to the farmers from a bank account set up for this sole purpose, which is quite a novelty in most villages.</p> <p>Despite these advances, Green Gold has been unanimously identified by stakeholders (to higher or lower degree) as the weakest link of the SP and its main threat against its sustainability.</p>
	<p>Number of clients identified and engaged</p> <ul style="list-style-type: none"> <li>Target: By the end of the programme, the farmer organisations have secured a base of premium clients for the farmer production</li> </ul>	<p>Green Gold has, facilitated by the SP, signed a 5-year contract with the French coffee trading company Malongo, that has already bought and transferred the first payment for the first batch of coffee. According to UNODC staff, the terms of the contract were accepted by the Green Gold Assembly that was preceded by meetings with the zonal representatives and other farmers.</p> <p>The contract also includes financial support to the Green Gold cooperative. Other international buyers have also showed interest; presently, the German based company Conflict Food are at an advanced stage of negotiations with the SP according to an email exchange made available to the evaluation team.</p>
	<p>Price that cooperative products are sold for</p> <ul style="list-style-type: none"> <li>Target: By the end of the programme, the cooperatives produce products that can be sold for higher prices than the average stock market price</li> </ul>	<p>A number of farmers complained about the pricing system being non-transparent. In general, beneficiaries lack the understanding of the long-term perspective and the security guaranteed by the contract with Malongo.</p>
	<p>Annual revenue of farmer organisations from alternative development products</p> <ul style="list-style-type: none"> <li>Target: Yearly revenue increase</li> </ul>	<p>By April 2018, the 25 tons of coffee harvested and processed through Green Gold had already been translated into incremental income for 344 beneficiaries. 272 men had been paid 33,489 US\$ and 71 women got paid 8,215 US\$. Farmers who sold 2,4 MT of coffee through the USAID funded project Winrock obtained 5,689 US\$ in the village of Ban Sauk and 15,752 US\$ in the village of Long Hat.</p>
	<p>Amount of alternative development products produced by the farmer</p>	<p>The SP has also taken the very first steps to get the Fairtrade certification (traceability registers, internal</p>

	<p>organisations having organic and social certification</p> <ul style="list-style-type: none"> <li>Target: All alternative development products produced by the Farmer Organizations have organic and social certification</li> </ul>	regulations for local committees and revision of statutes) in close consultations with Green Gold.
<b>Outcome 2.2.</b>	<b>Performance indicators</b>	
Environmental sustainability and environmental conditions for opium growing beneficiary communities improved in the programme area	<p>Number of beneficiary farmers having abandoned slash and burn activities as well as migratory agriculture</p> <ul style="list-style-type: none"> <li>Target: 80% of the beneficiary farmers have abandoned slash- and burn activities</li> </ul>	<p>In general, forest-related activities have lagged behind the other activities, because the capacity of the SP team was not sufficient until the recent recruitment of the presently employed forest specialists. In most villages, the interest for the forest component is low, as long as deforestation and land degradation have not yet led to imminent problems. The Project has deemed it necessary to add a conditional link to other activities to motivate farmers to fulfil the (reduced) targets.</p> <p>However, it is still too early to assess the progress at the outcome level as plantations have only just started to give an alternative income.</p>
	<p>Number of forest user groups</p> <ul style="list-style-type: none"> <li>Target: 20 forest user groups</li> </ul>	
	<p>Number of beneficiary farmers taking part in forest user groups, disaggregated by sex</p> <ul style="list-style-type: none"> <li>Target: 600 farmers</li> </ul>	
<b>Output 2.2.1</b>	<b>Performance indicators</b>	
The organisation of forest activities on community and farm level improved, including through certification of community forests and development and approval of forest management plans	<p>Number of community forests certified</p> <ul style="list-style-type: none"> <li>Target: 20 beneficiary villages have certified community forests</li> </ul>	<p>25 community groups have been established in the SP area, which is more than what it has been targeted for (20 groups70).</p> <p>So far, only four Community Forests have been certified and are fully operational. Groups cannot start to implement activities until they have been accepted by the relevant authorities and until the community management plan has been approved.</p>
	<p>Number of management plans approved</p> <ul style="list-style-type: none"> <li>Target: 20 beneficiary villages have approved management plans that meet the quality standards for such plans</li> </ul>	
<b>Output 2.2.2.</b>	<b>Performance indicators</b>	
800 hectares of community forests successfully reforested or enriched with valuable timber species	<p>Number of hectares reforested or enriched</p> <ul style="list-style-type: none"> <li>Target: 800 hectares reforested or enriched with the density suitable for the species</li> </ul>	So far 144.48 hectares of land has been reported to have been reforested by December 2017. This is roughly 18% of the SP target.

	<p>Number of beneficiary farmers benefitting from permanent technical assistance on community forestry, disaggregated by sex</p> <ul style="list-style-type: none"> <li>Target: All programme beneficiaries benefit from permanent technical assistance</li> </ul>	<p>Even if the progress rate is low, the situation is not alarming as only four community groups are operational.</p>
<b>Outcome 2.3</b>	<b>Performance indicators</b>	
<p>National capacity to implement alternative development has improved, and south-south cooperation enhanced.</p>	<p>Number of policy roundtable meetings with relevant government institutions.</p> <ul style="list-style-type: none"> <li>Target: One roundtable arranged per year</li> </ul>	<p>This outcome has placed emphasis on the capacity building of governmental entities, which is not that relevant for the implicit ToC of the SP. It has not been possible to document increased capacity of government partners, although there have been advances in the coordination with these entities and in technical cooperation.</p> <p>At the national level the coordination with government agencies is good. It occurs mainly within the framework of the Steering Committee. At the field level, the work with governmental agencies has been limited. Except for bureaucratic processes, the participation of government staff in the SP is low.</p>
	<p>Level of South-South cooperation on alternative development as a result of UNODC support</p> <ul style="list-style-type: none"> <li>Target: Concrete contributions from south-south cooperation can be identified</li> </ul>	<p>South-south cooperation is one of the main features of the SP. Considerable efforts are being made to import expertise from Latin America to Myanmar. However, this aspect has not been included in the progress reports.</p>
	<p>Number of alternative development policy changes influenced by programme contributions</p> <ul style="list-style-type: none"> <li>Target: Lessons learned from the programme contribute to changes in government policies on alternative development</li> </ul>	<p>There is some progress recorded regarding the influence on policy. Particularly, the SP has been successful in placing certain issues in the public arena, most significantly through the Opium Survey. The report expands on this under the impact chapter.</p>
	<p>Number of community forestry policy changes influenced by programme contributions</p> <ul style="list-style-type: none"> <li>Target: Lessons learned from the programme contribute to changes in government policies on community forestry</li> </ul>	

Output 2.3.1.	Performance indicators	
Capacity of the Ministry of Agriculture (Industrial Branch), Cooperatives and Land Record Department to implement Alternative Development approaches strengthened	Number of staff from the Ministry of Agriculture participating in the programme <ul style="list-style-type: none"> <li>Target: 4 technicians from the Ministry of Agriculture contribute 18 months working time each to the programme</li> </ul>	Six agricultural staff were reported to be assigned to the SP. However, in practice, these personnel do not work with the rest of the team. The reason behind this is that The Ministry of Agriculture does not have a Coffee Department in the town of Taunggyi where the FO is located, and there is no allocation to pay daily allowances for the transfer of employees.
	Number of staff from the Ministry of Agriculture trained on alternative development, disaggregated by sex <ul style="list-style-type: none"> <li>Target: All staff nominated by the Ministry of Agriculture to participate in the programme receive proper training</li> </ul>	The only other connections reported with the Ministry of Agriculture at the field level have been ad-hoc trainings organised by the Ministry in the SP area and the invitations to thematic workshops.
Output 2.3.2.	Performance indicators	
Capacity of the Forest Department to implement community forestry strengthened	Number of staff from the Forest Department participating in the programme <ul style="list-style-type: none"> <li>Target: 4 Technical staff from the Forest Department contribute 18 months working time each to the programme</li> </ul>	The coordination with the Department of Forestry is much more intense. The department has seconded four staff who work side by side with the SP team in the townships of Loilen and Hopong. There is also much logistical and technical information exchanged regarding the setting up of the Forest Groups and the development of the Community Management Plans.
	Number of staff from the Forest Department trained on community forestry, disaggregated by sex <ul style="list-style-type: none"> <li>Target: All staff nominated by the Forest Department to participate in the programme receive proper training</li> </ul>	In this component the expertise originates from the government system rather than from the SP (as both forest specialists are well-reputed former government employees). In fact, a main factor that most relevant stakeholders identified to explain the good cooperation with the Forest Department was the personal connections that these two staff members still had with the Department at the highest level.
Output 2.3.3.	Performance indicators	
Alternative development activities (livelihood and forest) are widely known and positively recognized amongst key stakeholders and south-south cooperation enhanced	Number of publications in national and international media <ul style="list-style-type: none"> <li>Target: Minimum three publications per year in national or international media describing the programme</li> </ul>	The evaluation team conducted a brief analysis of the latest press clippings collected by UNODC in Yangon and could document more than 19 pieces of news mentioning the SP. These pieces included coverage from leading news agencies like EFE and Reuters.
	Number of field visits conducted for international	It is regrettable however that the SP does not make a systematic documentation and reporting of this coverage as it has a good potential to enhance the

	stakeholders or high-level government officials <ul style="list-style-type: none"> <li>• Target: Minimum five field visits from international stakeholders or high-level government officials per year</li> </ul>	visibility not only of the issues at hand but also of UNODC and its donors.
	Number of south-south exchange visits <ul style="list-style-type: none"> <li>• Target: Minimum two missions from other successful alternative development programmes to ensure exchange of knowledge</li> </ul>	



