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Review of Phase 1 Sustainable Mountain Development for Global Change (SMD4GC)

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Abbreviations

A21	Agenda 21
ADB	Asian Development Bank
AfDB	African Development Bank
AFF	African Forest Forum
AfroMont	African Network on Mountain Research
AKF	Aga Khan Foundation
AMCEN	African Ministerial Conference on the Environment
ARCOS	Albertine Rift Conservation Society
BMUB	Federal Ministry for the Environment, Nature Conservation and Nuclear Safety
CCA	Climate Change Adaption
CCM	Climate Change Mitigation
CDE	Centre for Development and Environment
CIPRA	Commission Internationale pour la Protection des Alpes
CONDESAN	Consortio para el Desarrollo Sostenible de la Ecorregión Andina
COP	Conference of Parties (of the UNFCCC)
CSO	Chief Security Officer
DRR	Disaster Risk Reduction
EAC	East African Community
EBRD	European Bank for Reconstruction and Development
ESPA	Ecosystem Services for Poverty Alleviation
EU	European Union
FAO	Food and Agriculture Organization of the United Nations
FDDM	Fondation pour le développement durable des régions de montagne
GeoCONDESAN	Geodatabase of CONDESAN
GIS	Geographic Information System
GLOCHAMORE	Global Change in Mountain Regions
GP	Global Programme
GPCC	Global Programme Climate Change
HKH	Hindu Kush-Himalaya
HQ	Head Quarter
ICIMOD	International Centre for Integrated Mountain Development
IDB	Inter-American Development Bank

IMD	International Mountain Day
IMS	International Mountain Society
InfoAndina	Information Portal of CONDESAN
IPCC	Intergovernmental Panel on Climate Change
IPROMO	Training Programme on Sustainable Mountain Development
MDG	Millennium Development Goals
MEAs	Multilateral Environmental Agreements
MF	Mountain Forum
MH	Mountain Hub
MP	Mountain Partnership
MPS	Mountain Partnership Secretariat
MRD	Journal Mountain Research and Development
MRI	Mountain Research Institute
MSRI	Mountain Societies Research Institute
MSRI-MH	Mountain Societies Research Institute - Mountain Hub
NGO	Non-governmental Organization
NAPA	National Adaptation Programme of Action
NRM	Natural Resource Management
NSIDC	NSIDC National Snow and Ice Data Center
QQR	Quinquennial Review
PSAKFE	Prince Sadruddin Aga Khan Fund for the Environment
PSC	Programme Steering Committee
PUSCH	Stiftung Praktischer Umweltschutz Schweiz
SD	Sustainable Development
SDG	Sustainable Development Goals
SDC	Swiss Agency for Development and Cooperation
SMD	Sustainable Mountain Development
SMD4GC	Promoting Sustainable Mountain Development for Global Change
UCA	University of Central Asia
UN	United Nations
UNCBD	United Nations Convention of Biodiversity Conservation
UNCED	United Nations Conference on Environment and Development
UNCSD	United Nations Conference on Sustainable Development
UNEP	United Nations Environment (formerly United Nations Environment Programme)
UNGC	United Nations Global Compact
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFCCC	United Nations Framework Convention on Climate Change

Review Abstract

DONOR	SDC – Swiss Agency for Development and Cooperation
REPORT TITLE	Review of Phase 1 Sustainable Mountain Development for Global Change (SMD4GC)
GEOGRAPHIC AREA	Africa, Central Asia, Hindukush-Himalaya, Latin America
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Introduction

The Swiss Development Assistance has been addressing mountain regions in their transition processes for more than 20 years. This report provides for

- a synthesis of the findings deriving from the SMD 4GC programme along the five Review Areas (RAs) as defined in the Terms of Reference: RA 1 Relevance, RA 2 Effectiveness, RA 3 Efficiency, RA 4 Qualitative and quantitative outcomes and RA 5 Sustainability
- the key messages of the review with the aim to further increase the accountability of the assistance
- detailed reviews of the four participating mountain hubs and
- an input and impetus for the formulation of a potential phase 2 of the programme.

The report is based on the review of the activities of the four regional mountain hubs in Africa, Central Asia, Hindukush Himalaya and Latin America which are supported under the umbrella of Phase 1 of the SMD4GC programme and on discussions held with the three supporting Swiss organizations.

The heterogeneity of the four mountain regions is substantial which corresponds with the wide geographical scope of the SMD4GC programme. While the four mountain hubs and their host

organizations address diverse and partly unique situations, this review focuses on common issues and problems.

The impacts of development efforts in mountain areas are often limited by fragility entrenched in the prevailing social, economic, and political systems in those regions. Since the inception of Phase 1 of the SMD4GC a more thorough understanding of the root causes of failed developments in fragile environments has been developed. Ways and means on how to increase inclusion as a contribution to 'out of fragility, out of poverty' strategies have arisen, including approaches and new sets of tools to operate more appropriately in those contexts. The increased sensibility and the improved understanding on how to address those root causes led to a more efficient engagement of Switzerland during the period under review.

The findings and recommendations of this report are reflected against the external institutional evolution of the mountain agenda and internal processes which took place within SDC since Phase 1 of this programme was designed.

The key question to be addressed in a future Phase 2 of the SMD4GC will be to identify tipping points which would allow for a modest external investment to catalyze self-sustaining processes related to SMD.

A first step will be to further sharpen the focus of a future SMD4GC programme to ensure its impact as a contribution out of fragility towards an inclusive society and out of poverty towards inclusive and sustainable socio economic development patterns in mountain regions. A sharpened focus of Swiss development assistance in mountain regions would provide maximum leverage for the limited resources available, be in line with Swiss societal and economic expectations and allow the Swiss development assistance to act in a catalyzing and coordinating role within the concert of the international donor community, thus multiplying its impact. Such a "comprehensive SMD approach" would allow to address the peculiarities and the uniqueness of the mountain context

Major Findings and Conclusions

Review Area 1: Relevance

- During the evaluation period, it became evident that the Swiss development assistance made major advances in implementing the SMD4GC. The SMD4GC acknowledged both the underlying differences among the four regions countries as well as their similarities. The outcomes are relevant for the development of the four mountain regions, yet the thematic scope of the SMD4GC is broad. The mix of instruments, reflecting the complexity of mountain regions provide flexible and innovative approaches, as well as opportunities of scaling-up, balancing risks, creating possibilities for alliance building and achieving policy leverage.
- The approach of the SMD4GC to support the sustainable development of mountain regions through existing or emerging mountain hubs plus technical expertise from established Swiss centers of excellence is innovative, but needs to be further integrated into the needs of the regions and aligned with the possibilities within SDC
- A stronger interface between the four regional mountain hubs - beyond the limited exchanges at COPs or the World Mountain Forum would have provided an added impetus towards a global mountain discussion
- Mountain management is one of the core competences of Switzerland. There is a huge body of experience on SMD in Switzerland on which to capitalize, accumulated by a wide

range of stakeholders over a long period of time, presenting a unique selling position for a relatively small donor.

- Mountains provide for a spatial context in which the nexus between various sectors becomes apparent, thus providing potential docking points with and common ground for other programmes of SDC
- The interventions at the level of mountain hubs contribute to development out of fragility – the political dimension - and to development out of poverty - the social dimension – and provide entry points for future inclusive interventions.
- Only a modest success in influencing the international mountain agenda can be attributed to SMD4GC. There has been a missed opportunity to enhance cooperation with the Secretariat of the Mountain Partnership. The mountain community has not yet developed sufficient political influence. It is suggested to consider addressing and supporting mountain related issues as cross cutting issues through better integrating the mountain context into different international processes and Multilateral Environment Agreements (MEAs).

Review Area 2: Effectiveness

- All four mountain hubs are operating well. The varying management performance at the level of the individual mountain hubs contrasts with the limited efforts to integrate the activities of the mountain hubs through a common agenda. The effectiveness of the programme could have been higher if a coordination unit at SDC to oversee the implementation of the projects by the regional hubs would have provided for a strategic dimension of the programme, or if this role would have been given to a backstopping organisation.
- The communication and consulting processes between SDC's Global Programmes, SCOs and the mountain hubs are not optimal and has led to untapped opportunities
- The project lacks a signature output which is recognizable and the impact and effectiveness of the World Mountain Forums remains unclear. Interregional Cooperation needs further consolidation.
- SMD4GC has contributed, along with the efforts of the Mountain Partnership and others, to mountains being highlighted in three targets and two goals of the SDGs

Review Area 3: Efficiency

- The limited allocation of SDC staff resources resulted in a lack of coordination between the partners and interactions of the SMD4GC programme with other SDC funded projects have been minimal and synergies missed
- The lack of a communication strategy has been noted, which would also address the unified branding of the materials published and allow for greater interaction among the partners as well as with relevant organisations.

Review Area 4: Qualitative and quantitative outcomes

- The results of the activities carried out by the mountain hubs and the participating Swiss organizations as reflected in the reports in terms of quality and quantity are commendable.

Review Area 5: Sustainability

- Efforts to address exit scenarios and or the development of sustainability strategies are limited and the sustainability of integrating SMD policies and programmes in the national policies and plans were still by and large dependent on donor support.
- While certain hubs are considered sustainable, other hubs medium size regional NGOs are more vulnerable and in certain cases dependent on individual personalities.
- Recognizing the importance and accomplishment of the existing hubs, it is recommended that more investment is made by these hubs in strengthening a broader set of complementary institutions in each region using SDC funding for leverage
- Follow up to the resolutions of and policy support to the World Mountain Forums is needed.
- There are good opportunities to better coordinate action and in some cases, consolidate the funding at national, regional, and global levels with other donors under a lead programme like the SMD4GC.

Key recommendations

- A potential phase 2 should assume enhanced SDC ownership so as to act as a platform for Switzerland's technological, managerial, and geopolitical expertise. A much more stringent integration of a potential second phase of the SMD4GC programme into existing SDC structures at the level of the global programmes, regional and national programmes needs to be considered, also with a view to reflect the true size and actual and potential leadership of SDC's engagement in mountain regions.
- It is suggested that a potential second phase would have to strengthen the management and coordination unit at SDC during a second phase, e.g. through support by a backstopping partner. Such an umbrella could both provide supervision and coordination, and internalize learning from the Programme in SDC and provide for an internal monitoring system which would enable the relevant staff of the mountain hubs to report regularly against the indicators and or baselines.
- While the focus on knowledge products is important, they often do not provide for actionable knowledge with direct relevance for implementation and uptake. In a second phase, efforts should be undertaken to link knowledge management with capacity building, policy makers and practitioners.
- The content of a potential phase 2 projects should be defined more clearly and be more realistic. A potential second phase of the project should give more emphasis on collection and dissemination of best practices. Community based programmes of the mountain hubs already provide best practice and deserve further upscaling.
- A stronger linkage with key global actors and institutions should be anticipated, and the revitalization of the ECOSOC based mountain focus group at the UN-New York considered and alliances with other donors (ADA, IKI, etc.) be sought and the SMD4GC and the Secretariat of the Mountain Partnership must liaise closer in the future.
- Seek proactively dialogue with existing and new donors to share Swiss experiences and identify win-win opportunities for joint activities.

- A more standardized way of reporting by the mountain hubs both in administrative terms – lists of publications, financial reporting – and in substantive terms in alignment with the log frame should be anticipated and a communication strategy should be prepared.
- Exit mechanisms must be clearly defined and alternative partners with access to resources should be explored to enhance the sustainability of the interventions under SMD4GC.

The SMD4GC programme - description of the Intervention logic

The aim of the SMD4GC is to support four mountain regions in their efforts towards sustainable mountain development. The Programme is being implemented by the Swiss Agency for Development and Cooperation (SDC).

The current SMD4GC program’s goal is to provide a basis to the sustainable development in mountain regions under uncertain changes in climatic, environmental, and socioeconomic conditions with the intention that the resilience and livelihood options of the mountain populations, which are highly vulnerable to ongoing global changes. . The SMD4GC programme seeks to provide respective approaches and to meet the needs of mountain and adjacent lowland areas by focusing on two key outcomes, i.e. (I) the launch of (policy) instruments for SMD at different levels by local, national, and international stakeholders and decision makers and (ii) the implementation of knowledge-based SMD activities.

While the SMD4GC has been a relatively new programme, it is also a programme based on a history of long engagement by the SDC in mountain regions The SDM4GC is being implemented in cooperation with seven partners. SMD4GC is targeting four major mountain regions of the world and is based on the mandates of four regional entities in which the SMD4GC Mountains Hubs are embedded, i.e. ARCOS in Africa, CONDESAN in Latin America, ICIMOD in the HKH and Asia Pacific region, and the UCA in Central Asia. These four institutions provide the backbone of the SMD4GC programme and ensure that the global perspective of SMD4GC is reinforced by regional experiences and activities. Three Swiss institutions support them, providing longstanding Swiss experience on different aspects of sustainable mountain development, namely the Center for Development and Environment (University of Berne), the University of Zurich as well as the Fondation pour le Développement Durable des regions de Montagne (FDDM). Through the contributions provided under SMD4GC, the programme eventually intends to substantially strengthen those regional centers of excellence, enhance the (North-)South-South exchange and increase cooperation between major mountain regions of the world.

Outcome1: Instruments for SMD (e.g. initiatives, actions, legislation, and policy frames) are launched at local, national, regional, and international level (incl. UN conventions and post-2015 process) by local & national and international stakeholders
<ul style="list-style-type: none"> • Output 1.1: Policy and decision makers as well as other relevant stakeholders at local, national, regional, and international level are aware of SMD issues • Output 1.2.: Policy and decision makers as well as multilateral agents (e.g. ADB, AfDB, IDB, WB, ...) promote and support SMD in development policies, strategies, and action plans at local, national, regional, and international levels (Promotion and support)

Outcome 2: Mountain stakeholders and communities implement SMD activities based on the available knowledge and information	
•	Output 2.1.: Enhanced capacities to produce, manage, analyze and apply SMD related data and information in the target regions and thematic domains of strategic interest (Knowledge generation)
•	Output 2.2.: Improved access for mountain communities and stakeholders to relevant and targeted information and instruments (Knowledge sharing)
•	Output 2.3.: Mountain stakeholders are capable to engage in effective practical action and in policy dialogue (Knowledge-based capacity development)
•	Output 2.4: Pilot studies with upscaling potential on SMD in Africa, Central Asia, Latin America and HKH region are launched (Implementation knowledge)

The review objectives: The intention of this review was to provide an assessment of SDC's engagement on Sustainable Mountain Development within the frame of the SMD4GC programme and to assist SDC's management in its strategic and operational decision-making at a time when the SDC is preparing for a potential phase 2 of the SMD4GC.

This review was conducted in line with the OECD DAC evaluation standards and is part of SDC's concept of implementing Article 170 of the Swiss constitution which requires Swiss Federal Offices to analyse the effectiveness of their activities. Switzerland's 2013-16 Dispatch provides an overarching goal that guides all Swiss ODA managed and implemented by SDC, i.e. the promotion of sustainable global development with a view to reducing poverty and global risks.

The review provides for an external view on the ongoing implementation of the Phase 1 of the SMD4GC programme and its main achievements, as well as to suggest strategic inputs into the formulation and design of a potential second phase of the SMD4GC (2018 and onwards) programme. It also aims to further enhance the coherence of the activities of the Swiss development cooperation in mountain regions and to provide suggestions for its future orientation. Accordingly, the objectives of this review address the following five review areas:

- Relevance
- Effectiveness
- Efficiency
- Qualitative and quantitative outcomes and
- Sustainability.

Furthermore, the review team suggested to assess the relevance of outcomes and interventions as a contribution to development out of fragility – the political dimension - and as a contribution to development out of poverty - the social dimension -, thus allowing the identification of potential entry points for future inclusive approaches during a second phase. In a mountain context, this would mean “reducing fragility and building resilience” and “reducing poverty and building prosperity”. This could translate during a potential second phase into efforts to improve the ways in which fragility is being measured in mountain regions by incorporating higher levels of complexity to be used in combination with sound qualitative and historical analysis when formulating baselines for a log frame for a potential phase 2 of the SMD4GC programme and thus reinforce significantly SDC's impact in fragile mountains contexts. In consequence, a

strengthened focus on fragility and resilience would underline the need for an operational component in a potential second phase to translate into tangible impact on the level of improved livelihoods.

Based on the review, the last chapter of this report provides a concept for a potential second phase of SMD4GC. The concept note includes an analysis of the global context and rationale for a possible second phase of SMD4GC and suggestions for future strategic orientation and objectives.

Within the context of the five review areas, the review team focussed on issues such as

- What are drivers of change to focus on and mobilize people, institutions, or processes?
- What are the potentials within the mountain sector to reduce or to increase vulnerability/conflict/social tensions, as well as to exercise high leverage on the poverty reduction and economic development?
- What are the avenues to strengthen the partnerships between governments and the civil society in mountain regions?
- Are there links and synergies with other sectors?
- How far do mountainous countries consider the mountain agenda to be of key importance?
- Is the mountain agenda accompanied by a political agenda?
- Are there potential synergies with like-minded donors?
- What were the major factors which influenced the achievement or non-achievement of the sustainability of the programme?
- Can activities from one region be replicated to contribute to systemic changes?

By taking into account the contextual changes which happened between the time Phase 1 of the SMD4DGC was developed, the current situation and indications of future developments, the review is perspective in nature and a concept note for a potential second phase of the SMD4GC with a particular focus on the SDC target regions and context based on the review including a context analyses of the current international setup related to sustainable mountain development was prepared by the review team.

A guiding question for the preparation of this note regarding a potential second phase was whether SDC is focusing on the right drivers/engines for sustainable changes? The transformation towards sustainable mountain development entails a continuous searching and learning process and requires increased participation to preserve natural life-support systems in mountain regions for present and future generations by combining a 'proactive state' with increased participation of civil society in a framework of local, national, and global cooperation.

Such a "social contract" should have a global reach. It should not be purely national in focus, as the major impacts of environmental change in mountain regions are transboundary in nature. It would combine responsibility towards future generations with a culture of participation and identify legitimate, equitable and durable solutions as the basis for sustainable mountain development. Change agents have a central role to play in the transformation process as pioneers and drivers of change. Change agents of civil society would gradually increase the impact of an innovation until it finally becomes established as a new social routine.

The Evaluation Methodology

The overall objectives of this review are to assess whether SDC and its partners reached the stated outcomes and outputs and to understand whether SDC made appropriate strategic choices in the given context and its partners delivered effectively and to assist SDC's management in its strategic and operational decision-making towards a potential second phase of the SMD4GC.

The review was carried out as a hybrid evaluation by a four-member team. The composition of the review team includes three international experts, and one representative of SDC's Climate Change and Environment Network. The inclusion of a SDC network member was intended to enhance the capacities of the CCE network related to SMD. The composition of the review team reflects both the required expertise in SMD, experiences in monitoring and review of donor funded projects, in-depth knowledge of the current global context, science, and policy on SMD and regional expertise for one or more key mountain regions of the world.

The review of Phase 1 SMD4GC programme (2014-2017) was conducted between January and March 2017. The review team oriented itself along the existing log frame, the indicators as outlined in the project document and the questions raised in the TOR for the review.

The inception phase of the review provided for a dialogue with the four mountain hubs, the three Swiss based support entities and beneficiaries in government, academia, and civils society in all four regions and allowed for access to available reports which provided valuable inputs for learning processes of the review team prior to the elaboration of this report.

Throughout February 2017, staff from the four mountain hubs and their hosting entities were interviewed staff in their respective locations and the team leader undertake a series of interviews with staff of the SDC; and the three participating Swiss organizations in Geneva, Berne, and Zurich, including:

- ARCOS (Albertine Rift Conservation Society), CDE (University of Berne), CONDESAN (Consortium for the Sustainable Development of the Andean Ecoregion) FDDM (Fondation pour le Développement Durable des régions de Montagne), ICIMOD (International Centre for Integrated Mountain Development), UCA (University of Central Asia) and UZH (University of Zurich). The MHs are situated in four major mountain regions of the global South and East (Africa: ARCOS; South America: CONDESAN; HKH region: ICIMOD; Central Asia: UCA);
- SDC (Head office and relevant SDC's cooperation offices in the target regions; SDC cooperation offices that implement pilot studies)
- Members of the Steering Committee of the Mountain Partnership
- Partners and Beneficiaries in the target regions including national governments, multi-lateral agents (e.g. UNEP, MP Secretariat, UNESCO, ...).

The review team analyzed Phase 1 of the SM4DCG per five review areas (RAs) outlined above, i.e. relevance, effectiveness, efficiency, qualitative and quantitative outcomes of the SMD4GC programme: and sustainability along the questionnaire provided - see for details Annex 1. The objective of the discussions was to better understand the validity of the current outcomes and outputs as a tool for out of fragility and out of poverty strategies. The discussions with the mountain hubs focused on an analysis of the results achieved for the respective outcomes and outputs during the review period 2012 – 2016. The dates of the review missions and the names and titles of those interviewed are attached as Annex 2.

An inception report was prepared which formed the basis for the field mission of the review team members to their relevant geographical regions in February 2017. In preparation of this inception report stock has been taken of the exiting materials submitted to the external evaluators (Bibliography – Annex 3), which included

- The project document and the annexes hitherto
- Annual operational and progress reports by the participating mountains hubs
- Relevant meetings minutes and workshop and event reports
- Financial reports
- Contracts for contributions and for the SEED component of Phase 1
- Publications derived from and supported by the projects and

A debriefing at SDC took place on March 14th, 2017 at SDC in Berne.

The structure of the synthesis report follows the five Review Areas (RAs) as defined in the Terms of Reference: RA 1 Relevance, RA 2 Effectiveness, RA 3 Efficiency, RA 4 Qualitative and quantitative outcomes and RA 5 Sustainability

Based on the Review Report and the Concept Note, SDC intends to prepare a management response and start the design of a possible second phase.

Global Perspective and Contextual Setting

Mountains cover approximately 27% of the Earth's land surface and are home to about 12% of the global population (around 850 million people). Mountains supply half of the world's population with freshwater for domestic use, irrigation for food production, and hydropower for meeting the energy needs, including for economic activities and mountains are important centers of cultural and biological diversity as well as rich sources of raw materials for industries, and attractive destinations for tourism and recreation. Mountains are highly vulnerable to climate change impacts, viz. decreasing snowfall and snow-cover, rapid snow and ice melts, retreating glaciers, expanding glacial lakes, reduction in water quality, erratic weather pattern, frequent natural disasters like floods and landslides etc. An increasing exodus of mountain people, particularly young males, to lower regions and third countries for employment and better lives are leaving behind mostly old and female members. Climate change and various regional and global drivers are sources of considerable future uncertainty for mountain regions. Lowland to highland climate refugees could increase population pressures; pathogens affecting humans, other animals and plants could invade higher altitudes; social and political marginalization of highland populations could increase security risks; and other unexpected phenomena could occur. Building highland resilience and adaptability are essential to dampen risks.

While the importance of mountain systems is widely recognized which is reflected by their prominent mentioning in several key development documents through all levels, from global to regional to national scales, mountain issues have not yet received the desired level of attention at the global or national levels and lack a strong, united voice on the global stage. Indirect, implicit inclusion of mountain regions and development is made in a wide array of documents at all levels, by way of their thematic focus. Given these numerous initiatives, the SMD4GC programme directly responds to key recommendations of the Rio+20 Outcome Document and contributes to the inclusion of mountain specific issues in global policy frames for sustainable development and poverty eradication. It further provides a platform for enhanced South-South and South-North exchange and collaboration, inclusive of Swiss competence.

The United Nations systems considers 40 developing countries as mountainous countries. The example of the Small Island States in the context of the UN Convention on Climate Change underlines the potential importance and weight of such a country grouping which so far does not exist. While many countries have mountains – few strongly identify themselves as “mountain countries”. Many mountain countries face a plethora of immediate social, political, and economic challenges and so mountain agenda issues are neglected, even if they are critical for long term national sustainability.

The most pressing need of the moment in all mountain regions is the management of water resources to deal with problems created by either too little water (for drinking, sanitation, irrigation, energy, mining or too much water (floods, landslides, soil erosion) and also relating to the role of mountains as water towers for adjacent lowland regions. Addressing this is fundamental for alleviating poverty and reducing risks from natural disasters. The lack of economic and employment opportunities is a key driver of depopulating mountain communities. Tourism, integrated with pastoralism and other mountain niche based enterprises and enterprises offers the most promising potential for revitalizing mountain economies and building resilient communities. Mountain youth are the future custodians of the rich cultural and natural heritage of the mountains and should receive due attention and support for enabling them to take responsibility for this future.

Mountain regions are also hampered by weak governance systems, most mountain countries do not have specific institutions that can support a national and or regional mountain agenda. Also at local levels, a lack of capacity hampers prospects for SMD.

The fragility of mountain ecosystems represents a considerable challenge to sustainable development since the impacts of unsustainable development are more rapid, heavier, and more difficult to correct than in other ecosystems. Human activity in mountains that is not in balance with the environment can have serious consequences, resulting, for example, in soil erosion, pollution of natural waters, disruption of water and energy supplies, elimination of both animal and plant species, loss of soil productivity, increasing food deficits, malnutrition, and poor standards of living.

Climate change and resource efficiency are high up on the mountain agenda. Achieving environmental and human sustainability in mountains means finding ways to manage mountain resources and systems so that they can provide critical services indefinitely. While we cannot predict exactly what the future will look like or which services will be in demand, mountains provide many essential services that will be valued for a long time and others that may increase in value (such as biological and cultural diversity, high-value forest products, and scenic beauty). The magnitude and rate of change and its influence on social systems in recent times threatens to overwhelm mountain ecosystems—with serious consequences for the well-being of mountain communities as well as hundreds of millions of people downstream through severe economic consequences for irrigated agriculture, industry, power generation, and industry from the loss or degradation of mountain ecosystem services.

In summary, to ensure sustainability in mountain areas it is necessary to reduce poverty, inequality, and marginality, to prevent deterioration of mountain natural resources and environments, and to improve the capabilities of institutions and organizations to promote conservation and sustainable mountain development (SMD). The goals of the SMD are to assure that people living in the mountains receive full benefit from their mountain resources so that poverty and inequity can be substantially reduced; preserve and enhance the long-term value of resources in mountains; eliminate or minimize disruptive, damaging, and polluting aspects of human interventions; and, most important, and manage human-introduced change so that it

generates benefits for current and future mountain inhabitants and for those living downstream.

The role of Switzerland

As a mountain country, Switzerland has an intrinsic interest and a proven record of accomplishment in Sustainable Mountain Development and represents a mountainous country, whose cultural history is dominated by the Alps. The alpine environment is often cited as an important factor in the formation of the Swiss identity. It has been suggested that mountainous landscapes are to be considered as key elements in the building of the nation and the shaping of its culture history. The mountain ecosystems give those who inhabit it an opportunity to develop a sense of dignity.

Switzerland is being acknowledged throughout all mountain countries as a long term committed and credible partner in SMD as echoed in the beneficiaries' response to the activities in the two outcomes and its role in representing the region in the context of sustainable mountain development has been acknowledged and is appreciated. Switzerland is being considered as the ideal neutral partner, using its influence in multilateral organisations.

Switzerland has a long history of adopting sustainable mountain development policies and practices at home and supporting other mountain countries abroad and has the necessary credentials to play a leading role in addressing the challenges facing mountains and mountain communities. Worldwide, Switzerland is being considered as a role model for sustainable mountain development exemplified in agriculture, hydro energy, tourism, infrastructure etc. The role of Switzerland in shaping for the global mountain agenda – for example as the founder of ICIMOD - as well as Switzerland's impact on the global mountain agenda are recognized worldwide. While acknowledging the need for processes such as the thinning of the public infrastructure also in Switzerland, expectations from other mountain countries remain high towards Switzerland to continue taking the lead, in particular in view of its neutral role. This, and the strength of Switzerland to stand for a theme for a long period, underline the views from the four regions and the wish towards SDC to continue supporting SMD in mountain regions.

Switzerland took the lead during the 1992 Rio conference by introducing a separate Mountain chapter into the agenda 21, founded the network Mountain Forum in the mid-nineties and established a partner network with regional institutions within the framework of the Mountain Partnership Initiative. This lead role was reiterated twenty years later when Switzerland argued at the Rio plus 20 Conference for a mountain agenda to be included into The Future We Want declaration with Switzerland as the lead country.

During the inception phase of this review, it became evident that the Swiss Development Cooperation made major advances in promoting the concept of sustainable mountain development over an extended period. With the formulation of the first Phase of the programme on Sustainable Mountain Development for Global Change (SMD4GC), Switzerland reached a new quality of conceptualizing its cooperation on mountain ecosystems, addressing both the underlying differences among the four mountain regions as well as their similarities.

Since 2009, SDC has thus persistently supported both structures and promoted the strengthening of regional mountain hubs as centers of excellence in SMD. After the new institutional embedment of SDC's mountain desk within SDC's Global Cooperation Domain, SDC decided to continue with this decentralized approach, relying on regional centers of excellence while increasingly addressing global changes and challenges in mountain contexts such as climate

change and DRR. This SDC-internal "shift of paradigm" is at the center of SMD4GC as SDCs programme on mountains. SMD4GC tries to provide at the same time a sort of continuation (cooperation with long-standing partners) as well as a transition (from a more "unfocused" approach towards a focus on the key topics of the global cooperation). Yet SMD4GC does not have an operational pillar, so that the programme is limited to the pillars "policy influencing" and "knowledge management".

Many Swiss stakeholders have actively contributed and are still contributing to SMD at several levels, including the global policy level. SDC support was instrumental in the creation of the Mountain Forum (MF) and the support to the Mountain Partnership (MP), — the most prominent long-term commitments of SDC in the realm of (global) SMD policy dialogue. The support of the Swiss Federal Office for Agriculture for the secretariat of the Mountain Partnership via FAO is appreciated and the support of SDC through Phase 1 of the SMD4GC is understood by all mountain hubs and their hosting entities as well as by government representatives as the singular tool of linking local activities and partners with regional and global processes. Without the SMD4GC relevant entities in the countries would lack international contacts and inspirations. Also, the continuation of the series of World Mountain Forum Summits is considered only possible with continuous Swiss support.

Review Area 1: Relevance of the Program

1.1. Relevance
<p>1.1 Relevance of the project objectives: How consistent are the achieved effects with the needs of the beneficiaries and the requirements at (a) the global-regional level (b) the national-local level? To what extent are the objectives of the project still valid?</p> <p>1.2 Are the activities and outputs of the project consistent with the overall goal and the attainment of its objectives?</p> <p>1.3 Are the activities and outputs of the project consistent with the intended impacts and effects?</p> <p>1.4 What relevance does SMD4GC have for the promotion of Sustainable Mountain Development on a global level, also compared with other initiatives?</p> <p>1.5 Is there evidence that SMD4GC has strengthened the intra- and interregional cooperation among mountain countries and leveraged their voice to influence regional and international policies?</p> <p>1.6 How does SMD4GC link to international negotiation processes and does it have an influence?</p> <p>1.7 (How) does SMD4GC link to / interact with other SDC projects working in mountain contexts. How can this cooperation be further strengthened?</p>

It is vital for this review to create a thorough understanding of the current challenges of the mountain ecosystems services and societies, which would either allow the confirmation of the underlying basis of the first phase or the development of a hypothesis for a second phase, emerging from the review being carried out, based on the experiences gained from the discussions held. In summary, the entire spectrum of challenges in development, ranging from the importance of disaster preparedness to the challenges of conflict mitigation and management to the need for transparency and good governance are played out in one way or another

across mountain regions. In general, development assistance to mountain regions focuses on three main "transitions", one involving an economic transition toward more market-based economies, a second supporting a political transition toward more effective, transparent, and democratic governance, and a third promoting sustainable approaches toward the social sectors.

The SMD4GC is vitally involved in all three issues addressing economic growth, good governance, and social sector improvements in those regions and thus the relevance of the programme is high. The project is well aligned to national priorities in the four regions and responds to the need and challenges faced in mountain regions by governments, academia, NGOs, and rural communities.

The review underlined the relevance of the outcomes of Phase 1 of the SMD4GC programme and provided for lessons learnt and experiences gained. Based on this, the review provided evidence of the added value of the SMD4GC for launching policy instruments for SMD at different levels and increase the overall awareness towards SMD issues. The individual Mountain hubs reviews identified SMD activities which are based on knowledge created by or shared through the SMD4GC programme and provided evidence of the added value of supporting the regional key mountain hubs.

The SDG4GC programme has been developed in close consultation with key stakeholders and is aligned with the priorities of the respective national governments in the four regions, relevant international and national civil society organization and is embedded in the framework of the hosting organizations, thus ensuring ownership, and strengthening of long term capacities.

The responsiveness of the programme and the mountains hubs to the needs and challenges faced by the stakeholders and direct beneficiaries is strong, as the programme envisages to provide advice to key stakeholders, in particular to relevant national ministries in the four regions. The Programme contributes to awareness raising and systematic structured capacity building of policy makers and implementers as well as of civil society.

Purpose: Appraise the coherence of the outcomes and inputs of Phase 1 of the SMD4GC programme and its relevance for achieving the objectives

Conclusions (C)	
C 1	The rationale for Switzerland's engagement in mountain regions did not change during the period under review. The outcomes are relevant for the development of the four mountain regions , are in line with the development priorities of the regions and their respective states and correlate with the global challenges as outlined in the Federal Council Dispatch (FCD) 2013-2016.
C 2	The thematic scope of the SMD4GC is broad, the two outcomes and the respective outputs correspond to the priorities of the FCD, are relevant regarding the SMD4GC's overall goals and are of key importance to the beneficiaries. The mix of instruments, reflecting the complexity of mountain regions provide flexible and innovative approaches, as well as opportunities of scaling-up, balancing risks, creating possibilities for alliance building and achieving policy leverage.

- C 3 The SMD4GC **acknowledged both the underlying differences among the four regions countries as well as their similarities.**
- C 4 The **approach of the SMD4GC** to support the sustainable development of mountain regions through existing or emerging mountain hubs with technical backstopping from established Swiss centers of excellence **is innovative**, but needs to be further integrated into the needs of the regions and aligned with relevant existing and or planned activities of the SDC.
- C 5 A **stronger interface** between the four regional mountain hubs - beyond the limited exchanges at COPs or the World Mountain Forum **would have provided an added impetus** towards a global mountain discussion.
- C 6 Mountain management is one of the **core competences of Switzerland**. There is a huge body of experience on SMD in Switzerland on which to capitalize, accumulated by a wide range of stakeholders, **presenting a unique selling position** for a relatively small donor. The support rendered by the Swiss Government has been acknowledged by all partners interviewed.
- C 7 Mountains provide for a **spatial context in which the nexus between various sectors becomes apparent, thus providing potential docking points with and common ground for other programmes of SDC** such as climate change adaptation, sustainable land Management, DRR, water management, food security, poverty, migration, thus creating synergies and added value.
- C 8 The portfolios of the four mountain hubs are context relevant, albeit wide. The two outcomes address issues of fragility and poverty and thus provide an input to the challenges mountain regions are facing. The interventions at the level of mountain hubs contribute to development **out of fragility** – the political dimension - and to development **out of poverty** - the social dimension – and provide entry points for future inclusive interventions.
- C 9 Fragility: **Reduction of fragility**: in all **regions growing demands on scarce water resources are increasing** and major pushes for hydropower development exist in all regions; some regions have growing conflicts between mining and local community interests; and lowland agriculture, industry and urban water demands are burgeoning. These **often-transboundary highland-lowland interactions add to fragility** and are increasing risks, but also providing opportunities to revalue mountain assets and prioritize SMD.
- C 10 Poverty: All four mountain hubs maintain **interventions on the ground** supported by the SMD4GC programme in their regions –albeit in most cases only as a minor component, with a direct link to enhancing livelihoods, thus **supporting the livelihoods of mountain communities directly** and tangibly, while increasing their resilience against poverty and fragility. Those interventions **provide entry points for future inclusive interventions.**
- C 11 At the **national level**, SMD4GC has enabled mountain hubs to contribute towards formulation of policies and development of mountain strategies. The programme is **aligned to national priorities in the four regions** and responds to the need and challenges faced in mountain regions. Still, the development of national mechanisms and policy frameworks on SMD has been limited.
- C 12 At the **regional level**, mountain hubs have **developed working relationships with regional entities** and are acknowledged as providers of mountain related expertise in their respective regions. The relevance of the mandates of the hosting institutions

of the mountain hubs and of the participating Swiss organizations is in certain cases more knowledge focused rather than development oriented.

C 13 At the **global level** the recognition for mountains remained limited. The global mountain agenda is promoted through the Mountain Partnership. Only modest success in influencing the international mountain agenda can be attributed to SMD4GC. There has been a **missed opportunity** to enhance cooperation with the Secretariat of the Mountain Partnership. The mountain community **has not yet developed sufficient political influence**.

Recommendations (R)

- R 1 A potential phase 2 should assume **enhanced SDC ownership**. Opportunities to integrate SMD need to be addressed, benefiting from a greater integration with existing and or planned SDC initiatives in mountain regions to act as a **platform for Switzerland's technological, managerial, and geopolitical expertise**.
- R 2 While the focus on **knowledge products** is important, they often do not provide for actionable knowledge with direct relevance for implementation and uptake. In a second phase, efforts should be undertaken to link knowledge management with **capacity building**.
- R 3 The content of a potential phase 2 projects should be **defined more clearly and be more realistic**. A potential second phase of the project should give more emphasis on collection and dissemination of **best practices**. **Community based programmes of the mountain hubs provide already best practice and deserve further upscaling**.
- R 4 Establish a more regular exchange between the mountain hubs and the SCOs in the four regions to identify opportunities for joint interventions which can add value to SDC's regional and bilateral programmes and contribute to their achievements.
- R 5 Create an **interface to successful regional water resource management** programmes such as the national water resource components of the regional water programmes, the policy activities of the water diplomacy activities and related activities of the Global Programmes. Addressing the water-energy nexus in the mountain context and thus provide docking points for related supranational issues such as climate change.
- R 6 Ensuring a status like that of the **like-minded grouping** of Small Island Nation may be unrealistic. Instead it is suggested to consider addressing and supporting mountain related issues as cross cutting issues by including the **mountain context in different global processes**.

Additional considerations

Poverty and fragility: The conceptual discussions held during the inception phase underlined that the key question to be addressed by this review will be to understand the relevance of outcomes (and outputs) as a contribution out of fragility towards an inclusive society and out of poverty towards inclusive and sustainable socio economic development patterns. Such a

focus of Swiss Development Assistance in mountain ecosystems would provide maximum leverage for the limited resources available, be in line with Swiss societal and economic experiences and allow the Swiss Development Assistance to act in a catalyzing and coordinating role within the concert of the international donor community, thus multiplying its impact.

The impacts of development efforts in mountain ecosystems are often limited due to the fragility rooted in prevailing social, economic, and political systems. Without addressing those root causes, relevant interventions tend to solely address symptoms. Increasingly, however, a more thorough understanding of the root causes of failed development in fragile mountain ecosystems is emerging. Strategies and new tool sets have emerged to increase inclusion as a means of reducing fragility and poverty. Also, in mid-2013 the Swiss Development Assistance underlined that it would orient its approach to meet the requirements of the OECD DAC INCAF goals. Addressing fragility and social inclusion properly should be the result from a mix of different approaches and tools.

Both developments – (i) new contextual challenges in mountain ecosystems and (ii) a more thorough understanding of the need to address root causes by the Swiss Development Cooperation – opened the door to several issues on how the Swiss Development Assistance can best contribute to the improvement of living conditions, can increase the resilience of mountain regions and how Switzerland's engagement can be more relevant during a potential second Phase of the SMD4GC.

The impacts of climate change: Mountain regions are vulnerable to climate change and building resilience to the mounting impacts from climate change is a priority for poverty reduction and shared prosperity in mountain regions. Climate change is expected to intensify over the coming decades, increasing pressure on natural resources and assets with rising impact for key development sectors, such as agriculture and energy. The challenges facing mountain regions will become even more visible during the forthcoming years against the backdrop of global climate change.

Climate risks extend across national borders, through connectivity in land and water systems as well as social and economic interactions, i.e. migratory flows, food, and energy markets. In mountain regions, the sectors most at risk from climate change are agriculture, energy, and water, with women disproportionately affected. In agriculture, which is critical for the largely rural livelihoods in the region, cropping systems productivity including in both rain fed and irrigated systems is sensitive to variations in rainfall, hydrologic flows modulated by snow/ice accumulation and melt, system storage, as well as evapotranspiration. Energy systems are sensitive to hydrologic demand changes for example in warmer areas in summer, the impact of extreme events on transmission systems, as well as sensitive to mitigation actions in the case of fossil fuels). Across these sectors women tend to be more vulnerable to the impacts from climate change, given their dependence on natural resources threatened by climate change as well as their unequal access to resources, particularly in rural areas. It is therefore important to identify gender-specific strategies particularly that support sustainable, climate-resilient development.

To maximize investments, climate adaptation needs to be focused on areas where climate impacts will be relatively drastic, and hence a response is needed quickly. Climatological changes in mountain ranges are likely to have more pronounced impacts than in the surrounding lowlands. Climate change issues can be framed within a livelihoods and development context. Availability of drinking water, hydroelectricity, irrigation, glacial melt and the sudden release of water from glacier lakes causing outburst floods are all potential components. In view

of the immediate interactions in mountain ecosystems, the decision of the SDC to integrate its mountain related approaches into Phase 1 of the SMD4GC programme was justified. That includes also the decision to locate SMD4GC within SDC's Global programme in view of its interactions with climate change, water, food security, migrations, health etc.

Natural Disaster and Climate Change: Mountain regions have high-risk levels, mainly due to natural hazards. A country such as Tajikistan might face up to hundreds of natural disasters each year, resulting in major economic losses and damages. Natural disasters have been accountable for 5% of the country's GDP during 1999-2008 (GoT 2009). National capacities for managing such disasters and natural resources are developing slowly and the coping mechanisms of the local population are stretched to their limits.

Disaster Risk Reduction is an important element of the Swiss assistance to mountain regions, addressing preparedness and response to issues such as earthquakes, and specific risks such as the outburst of glacial lakes. Erosion, landslides, and other geo-hazards are omnipresent and coupled with unsustainable use of soil and water, as well as climate change. National capacities for managing such disasters and natural resources are limited. Furthermore, mountain regions are becoming increasingly exposed to climate-induced disasters, which have a profound effect on economic development. Climate change impacts are expected to intensify over the coming decades, increasing pressure on natural resources and assets, such as water, land, biodiversity, and ecosystems, with rising costs for key development sectors, such as agriculture and energy.

While the water flow in many areas will increase in the short term because of glacier melt, the water flow reduction overall, growing evaporation, increasing crop water requirements and uncertain precipitation changes will have adverse social, economic, and environmental consequences on irrigation-dependent agriculture across mountain regions. Also, hydro power energy systems in mountain regions are sensitive to demand changes for example in warmer areas in summer and the impact of extreme events.

As climate change is becoming a predominant issue, IFIs such as the World Bank launched several forums and projects around climate change to facilitate an increased interest of mountains regions to participate in regional cooperation, to which Switzerland contributes through Trust Fund arrangements.

Highland lowland interactions Mountain and lowland economies are interdependent. There is a high level of consensus that the key to achieving sustainable and acceptable standards of living in mountains has been to transfer to local people more control over mountain assets and the means to negotiate more equitable allocations of benefits. In part, this requires improving access to education and health services. This, in turn, depends on building more equitable relations with lowland political institutions and assuring a better distribution of public services. Enlightened self-interest on the part of lowland institutions and well-coordinated actions on the part of mountain people are required to achieve progress in this area. Several factors affect the highland-lowland links:

- limited accessibility, isolation, semi-closed situation created by slope, terrain conditions, and permanent underinvestment in addressing the problem, all of which adds to the cost of logistics and other support systems to harness production opportunities and their competitiveness and equitable trade,

- fragility, which not only prevents intensification of land resources use for high productivity but obstructs infrastructure development to improve accessibility to facilitate mobility and trade at lower or competitive costs;
- marginality of production—resource limitations caused by the factors just described and socioeconomic and geopolitical marginalization of mountain habitats;
- high levels of biological, cultural, climatic, and other diversity characteristic of mountains, which creates many special economic opportunities if properly harnessed and traded; and
- major known niche resources (hydropower, timber, NTFPs, minerals, eco-tourism, and so on) with comparative advantage to highlands.

The Regional Water Challenge: Transboundary water resources play a crucial role for the socio-economic development of mountain regions, creating strong interdependencies between upstream and downstream countries. The future of the mountain economies largely depends on water and energy to power economic growth and satisfy the demand for resources. The management and storage of cross-border water and other energy resources require regional cooperation. Transboundary water resources have been a highly-politicized issue for a long period. Increasingly, water diplomacy is being considered and introduced as a catalyst for dialogue and regional integration.

The need for interstate cooperation to negotiate the trade-offs is clearly vital if scarce water resources are to be used to best effect. Mountain regions seeking ways of making the best use of limited water resources, and the concept of Integrated Water Resources Management (IWRM) is being considered as the means of achieving this. Confidence in the usefulness, accuracy, and timeliness of this approach is growing among water practitioners globally. The similarities between IWRM and traditional rules of water use have prompted the desire of many people to initiate and implement this approach and particularly to involve water users in the management process.

Enabling regional basin organizations, which have already been established for major rivers could provide a mechanism to overcome barriers in water allocation and water use and bring about change. However, experience shows that this is not the only criterion. Political will is essential if change is to occur and change in water allocation will not happen if water remains the sole sector addressed. Therefore, it is recommended that negotiations on water needs to be coupled with the energy issue – the water energy nexus.

The growing competition over water and loyalty to the doctrine of absolute sovereignty had in the past a negative effect on regional water cooperation – some countries were reluctant to participate in regional projects and to support regional information systems and training activities. The availability of interstate bodies and agreements, common information systems, and common approaches to addressing technical issues did not guarantee lasting cooperation between countries if serious political and economic controversies exist. Nonetheless, it was possible to maintain contacts between lower and middle level professionals through joint activities, such as regional training, information exchanges, regional projects to improve water use efficiency, and sharing best practices.

Civil society in mountain regions: Establishing trust and commitment through a bottom-up approach of networking and experience-sharing between affected mountain communities. This method would take note of current local efforts that are succeeding: Scaling up those up. Integrated approaches, that tackle environmental, economic, and equity issues together, are

needed. Stakeholder engagement is crucial, including the involvement of national and local governments; the private sector and civil society.

Civil society organizations in mountain regions are increasingly becoming articulators of people's needs and interests, thus making an impact beyond their immediate constituency by voicing the interests and concerns of their members and supporters. Yet, the respective organizations are often working in an unpredictable environment, several of them dependent on external sources of support. Support in strengthening of civil society in mountain regions must be understood as a way for pro-actively addressing poverty reduction and social inclusion. Increasingly, a more dynamic and vibrant civil society is emerging in mountain regions, with a steady and exciting growth of civil society organizations and activities in the region.

Both outcomes are of direct relevance to civil society and the supported mountain hubs are well versed in connecting with civil society organisations in all four regions (insert example of Central Asia), which understand the SMD4GC as supporting them to express their views to a global agenda and at the same time being supported to increase and improve their capacities. The support rendered by the SMD4GC programme was thankfully acknowledged by all partners interviewed and associated with support by the Swiss partners.

Development Assistance in mountain regions: Mountains have been on the international development agenda for a long time and a robust mountain agenda has yet to be firmly established. Yet no exclusive mountain agenda was ever set up. Virtually the entire spectrum of challenges in development ranging from the importance of disaster preparedness to the challenges of conflict mitigation and management to the need for transparency and good governance are playing out in one way or another across mountain regions.

Mountain regions are evidently key contexts for sustainable global development, and the vital role of mountain systems for upstream and downstream populations has increasingly been recognized at the international level. The need to preserve mountain environmental assets and to improve local livelihoods is expressed in Chapter 13 of UNCED's Agenda 21, in the Rio+20 Outcome Document, and to some extent also in the Agenda 2030. Mountains are mentioned in the UNCBD and the UN Framework Convention on Climate Change. Mountains and highland-lowland interactions are also subject of multiple international treaties and trans-boundary collaboration initiatives, as mountains often cover cross-border areas. The combination of government neglect, lack of investment, coupled with the specificities of mountain environments have all contributed to the multiple vulnerabilities for mountain communities.

The relevance of the four mountain hubs: While SMD4GC provides contributions to different institutions, it does not have a mandate by itself (apart from a small administrative mandate for contracting services). That means that the mountain hubs have no singular mandate but operate with the mandate of the hosting entities. The logic behind this is that SDC intended to contribute to ongoing initiatives of the different institutions (mainly the 4 regional hubs) rather than creating new/additional fields of activities, if such ongoing initiatives already have the necessary ownership of the 4 regional hubs (and other relevant stakeholders in the region). The challenge with this approach was to find common denominators and to translate them into one log frame.

The portfolios of the mountain hubs were analyzed to understand whether the types of support, number of projects, size of projects and programs are appropriate to address the two anticipated outcomes and whether the portfolio composition reflects an adequate response to the challenges facing mountain regions, whether the selection of the partner's organizations is

appropriate to the objectives and which types of cooperation might enhance efficiency in results delivery.

The portfolios of the four mountain hubs are relevant regarding the overall goals of the SMD4GC and in respect to the context of the respective mountain regions: The portfolios of the mountain hubs correspond well with the priorities of the partner governments and the Message.

The general strengths of the mountain hubs are their mix of instruments which reflects the complex contexts of mountain regions. The context specific allocation allows combining flexible and innovative approaches by the mountain hubs, as well as scaling-up, balancing risks, creating possibilities for alliance building or achieving policy leverage.

Review Area 2 Effectiveness

Effectiveness of the project portfolio regarding the outcomes	
2.1.	To which extend have the objectives been achieved?
2.2.	What were the major factors influencing the achievement or non-achievement of the objectives?
2.3.	Effectiveness in the approach and strategy proposed by the project?
2.4.	Effectiveness in the reach out at regional and global level?
2.5.	Effectiveness of SMD4GC in influencing the international mountain agenda and or other relevant policy agendas?
2.6.	Effectiveness of the different SMD4GC partner in contributing to their specific outputs and to the overall outcomes?
2.7.	Special review of proposed indicators (suitability, effectiveness, measurability)

The mountain hubs as key elements of the SMD4GC have effectively been staffed at the right time and in the right host entities to trigger the formation of a critical mass of like-minded and committed practitioners, and have grown into a global network of different organizations and engaged into practical grounding of sustainable development concept at multiple levels by working on policy and practice interactions.

As recognized by the stakeholders, the importance of having the hubs is in their facilitating and match-making role under a single roof forming a core group with a common voice and goals; acting as a gate-keeper for increased exchange and linkages at multiple levels; potential mergers and partnerships for concrete practical actions going beyond mere exchange of information.

Through their policy, advocacy and capacity building work, the Hubs act as centres of excellence on SMD by making good practices available from other regions, taking stock of, capturing and documenting regional experiences for further sharing at national/regional/global levels and demonstrating the need in having a strong mountain voice.

Through their support of policy dialogues and consultation processes, the hubs encourage as a bottom-up participatory process contributing to decentralization and help the mountain stakeholders be integrated into decision making processes. On knowledge management, the Hubs helped the stakeholders to advance significantly by introducing knowledge products and tools

and platforms available in regional languages and they help shorten the divide for isolated and marginalized mountain communities. Some of those knowledge products have been recommended by governments for nationwide scaling up.

The hubs provide technical support in capturing, documenting and systematizing good practices from the region, thanks to which, many of the case studies and stories have been integrated into UN/Global framework conventions or bilateral agency produced major publications adding visibility to the region.

Conclusions (C)	
C1	The activities of the mountain hubs and of the cooperation partner organizations in Switzerland and their outputs are consistent with the overall goal and the two main objectives. All four mountain hubs are operating well , with respect to human resources and competencies, are in place. The motivation and performance of the mountain hub staff is very good. Despite the complex management structures and different decision-making processes, SDC has a trustful dialogue and seem to have mastered the management challenges.
C 2	The satisfactory management performance at the level of the individual mountain hubs contrasts with the limited efforts to integrate the activities of the mountain hubs through a common agenda. The fact that SMD4GC does not have an operational pillar during its Phase 1 needs to be addressed. The effectiveness of the programme could have been higher if a coordination unit at SDC overseeing the implementation of the projects by the regional hubs would have provided for a strategic dimension of the programme. Sufficient staff resources would have been required or support from a backstopping organization should have been sought.
C 3	The communication and consulting processes between SDC's Global Programmes, SCOs and the mountain hubs are not optimal and has led to untapped opportunities .
C 4	The project lacks a signature output which is recognizable .
C 5	The effectiveness of the programme would have been better, if the impact chain from awareness creation, knowledge generation and policy development on SMD to recognizable actions on the ground and tangible benefits of mountains communities would have been more straightforward.
C 6	The challenge was to find common denominators and to translate them into one log frame . This approach has only been partly successful. The programme continues to lack a clearly articulated set of baseline data .
C 7	The impact and effectiveness of the World Mountain Forums remains unclear. Interregional Cooperation needs further consolidation. Concerns were also expressed that the SMD4GC's focus on regional hubs risks primarily benefitting a single leading organization in each region as opposed to building a community of linked but independent regional actors.
C 8	The effects of substitute an operational pillar within the SMD4GC through the introduction of the SEED component were limited. While the individual projects seemed important, they did not interact and thus not create a critical mass. The size of the project did not allow further up-scaling at this stage.
C 9	SMD4GC has contributed, along with the efforts of the Mountain Partnership and others, to mountains being highlighted in three targets and two goals of the SDGs as

will as in the Nationally Determined Contributions (NDCs) for addressing of at least 48 countries.

C 9 In the countries that developed a mountain strategy, SMD is now increasingly seen as an important element and opportunity in the national development agenda.

Recommendations (R)

- R 1 There is a need to have **more focused and prioritized areas** of intervention. A potential phase 2 should put more emphasis on a set-up where the overall outcome of the programme is more than the sum of the individual activities, by fostering collaboration and defining joint activities and products.
- R 2 A potential phase 2 **should continue serving the regional mountain stakeholders in supporting local capacity, integrating mountains into development processes and facilitating knowledge and experience sharing on SMD.**
- R 3 There is a need to revisit the **linkage** between the SDC Programme in Bern and the regional hubs and between the regional hubs themselves to strengthen the efficiency of project implementation through an **inbuilt mechanism for follow-up and tracking of interventions.**
- R 4 Maintain the highly skilled personnel constellation at the mountain hubs and increase opportunities for exchange among the mountain hubs. Increase the level of communication between HQs, mountain hubs and Global programmes.
- R 5 The potential to create **synergies between and within the outputs and the various activities among the mountain hubs and the participating organizations** seems not yet fully explored.
- R 6 A much **more stringent integration** of a potential second phase of the SMD4GC programme into existing SDC structures at the level of the global programmes, regional and national programmes needs to be considered, also with a view to reflect the true size of SDC's engagement in mountain regions.
- R 7 A potential second phase be supported also by respective SDC **staff resources** to facilitate the cooperation between global, regional, and national SDC programmes to allow for an effective **interface management** (Schnittstellenbewirtschaftung) – creating win-win conditions and a “return of investments” for the participating SDC programmes.
- R 8 **On content**, it is suggested to root a potential phase 2 in relevant interventions of SDC such as
- the Latin American mountain hub CONDENSAN and the SDC Latin America PACC Climate Change Adaptation Programme in Peru (PACC) – with a particular focus on technologies, that ICIMOD be linked with the SDC Indian Himalayas Climate Adaptation Programme and with the Indian Himalayas Climate Adaptation Programme (IH-CAP), addressing geopolitical issues and that ICIMOD and the UCA to be connected with the SDC Jinsha River Basin (JRB) project addressing the issue of climate change in the context of IWRM
 - and link activities of ARCOS with the Water and Land Resources Centres supported by GPW, and create linkages to the Building River Dialogue and Governance (BRIDGE) programme implemented by IUCN.
- R 9 **On structure**, it is recommended to consider two options:

i.e. Option 1: Internal option **Lead SDC**: A future SMD4GC should have institutionalized links to SDC's Global and Regional Programmes, and should be properly positioned within SDC, and be linked to SDC's Agenda 2030-programme. **This would address the wish of the parliament and the promise of the federal council to address mountains in a transversal way: SDC would retain ownership and benefit from its visibility at the international level.**

i.e. Option 2: External option **Outsourcing** to an external organization such as FDDM. The modalities would have to be negotiated between SDC and the external organization.

R 10 Establish a more regular **exchange between the mountain hubs and the SCOs in the four regions to identify opportunities for joint interventions which can add value to SDC's regional and bilateral programmes and contribute to their achievements.**

R 12 Strong **linkages with key global actors and institutions** should be anticipated, and the revitalization **of the ECOSOC based mountain focus group at the UN-New York** considered and alliances with other donors (ADA, IKI, etc.) be sought

R13 **SMD4GC and the Secretariat of the Mountain Partnership must liaise closer in the future.** The Mountain Partnership as a UN type II voluntary organization has many members from both governments and civil society – it has not been fully effective in mobilizing its membership and constituency groups beyond a few governments and organisations at any moment in time.. The SMD4GC hubs have not played a mobilizing role either. The World Mountain Forum and a regional forum under SMD4GC could provide useful opportunity to do more – emphasizing the need for SMD4GC and the Secretariat of the Mountain Partnership to do more joint planning and coordination.

R 14 **Mountain hubs should increasingly share experiences with other organizations** of either regional nature and or similar focus that are working in the same region. Such knowledge sharing should eventually result in tools and guidelines how to set up such organizations, as well as more technical documentations on replicable approaches, best practices and capacity building

R 15 Strengthen the **unique strong point of Swiss assistance**, i.e. the readiness to support a given programme for an extended period and to harmonize with other donors.

R 16 **Continue Switzerland's pro-active and highly involved role in sustainable mountain management**, seek proactively the dialogue with emerging new donors to share Swiss experiences and identify win-win situations for joint activities.

Additional considerations:

The effectiveness of the mountain hubs: The common unifying factor under this regional alliance comprising of diverse group of stakeholders is their commitment to work for mountains and mountain people by collaborating, cross-learning, and merging their efforts for advocating sustainable development in mountain regions. Increasing visibility for the region and for the mountains by taking active part in global processes is what they consider as one of priorities for working together. Many of the actors recognize the importance of learning and knowledge sharing for their institutional growth and advancement of the SMD agenda in their work at

multiple levels. The effectiveness of the mountain hubs is best reflected by the impressive ability to integrate the various actors. In all four regions reviewed, the governments are highly accessible for the mountain hubs and very supportive to mountain hub activities within the countries. The staff of the mountain hubs are considered as advisors upon request of the respective governments, thus using opportunities to upscale mountain hub initiatives to the policy level.

The regional mountain hubs serve as a centre of excellence on sustainable mountain development by grounding the concept into policies and practices, by bridging communities and central level decision making, by availing expertise and experience on practical application of the SMD concept, by fostering knowledge exchange and cross learning for supporting capacity enhancement for regional stakeholders. They also serve as the regional umbrella organizations where multiple actors, their voices and efforts are coordinated and consolidated into a single regional position to contribute to global sustainable development processes concerning the mountain regions.

The regional mountains hubs are being supported by SDC (Switzerland) with funding channelled through the respective host institutions. The hubs also act as an outreach arm for the members of the global Mountain Partnership (with varying success in the different regions), the UN voluntary alliance by bringing together its regional members under the single roof, as the MP is considered by the regional stakeholders as a vital instrument and tool for linkage to global (SDGs) and UN processes (UN SG report on SMD to UN GA) and UN framework conventions (UNFCCC/UNCED/UNBDC) as a platform to bring and voice regional interests at global fora.

Depending on the size of the hosting institution, the financial contribution of the SMD4GC programme is often varying between crucial for the sustainability of the organization to limited as in the case of ICIMOD.

Institutional set up: The institutional context surrounding mountain development remains complex. Literally every development organisation has activities in mountain regions and a plethora of mountain related organisations exists. Phase 1 of the SMD4GC sensitized international organisations, development organisations and governments towards a more integrated view on SMD, thus underlining the relevance of the first phase, best exemplified by the series of World Mountain Forums in different regions of the world.

At the national level, the sectoral based organization of governments also hampers the implementation of more integrated or ecosystem-based approaches to mountain ecosystem management. The lack of mandates, policies, and – if available – their enforcement and implementation are preventing change in mountains. The lack of structural mechanisms that can deal with mountain areas in an integrated manner has made it difficult or impossible to prevent or mitigate adverse impacts. This is reflected by mountain water conservation initiatives that have often failed due to sectoral fragmentation of institutional responsibilities, political interference, limited involvement stakeholders, and inappropriate farming systems. Other indirect drivers are the lack of public awareness, lack of real valuation of resources and services, and lack of knowledge transfer.

While operating through regional hubs makes sense for SMD4GC, it is associated with some risks in each region, there are multiple institutions working in mountains. Long term sustainability and innovation in SMD in such large regions would likely benefit from a diversity of strong actors. Hence, hubs should reflect inclusiveness and recognition towards other institutions in the SMD space. Ideally, the hubs' relative leadership will decline over time as capacity is built

across each region in government, civil society, research centres, etc. and more distributed SMD leadership is buildt. This has not been achieved in any of the reviewed areas so far.

The elaboration of the second phase would provide an opportunity to improve the effectiveness of the project portfolio. The focus should be sharpened and the number of projects of the individual mountain hubs should remain manageable. Synergies should be addressed ideally right from the start of a potential second phase (and a way should be found to reflect the synergies in the annual reports of the mountain hubs).

Furthermore, it is suggested that relevant regional institutions and initiatives be identified and ways and means be mapped with a view to strengthen cooperation among regional organizations and initiatives. It would add to the overall value of a future Phase 2 if other important Swiss funded activities at regional and country level activities of relevance to the mountain regions of the Global Programmes of SDC - be linked to a second phase as well as relevant activities of other Swiss authorities, such as the support of the Swiss Federal Office for Agriculture to the Global Mountain Partnership.

Review Area 3 Efficiency

Purpose: Appraise and compare the efficiency of the mountain hub portfolio at the outcome and output level

Efficiency
3.1 Were activities cost efficient? Did the SMD4GC partner work in a cost-effective manner?
3.2. Were objectives achieved on time?
3.3. Was the project implemented in the most efficient way compared to alternatives? If not, what were the major impediments to do so? e.g. contexts in which some of the partner operated.

While the framework and project document provide a focused approach on addressing sustainable mountain development, initial activities of the mountain hubs seem to have lacked a focus, which however was addressed during phase 1 through interventions of the respective SDC programme manager. This increasing steering of the programme by SDC is also reflected by the growing standardization of reporting along the logical framework. It also reflects that the mountain hubs themselves learned during Phase 1 to increasingly act as the intended outreach mechanism for the promotion of sustainable mountain development.

The produced outputs were generally assessed to be of a high quality and some of them have a high potential for future replication. Furthermore, the programme has recorded a considerable progress in respect to the capacity building of national decision makers involved in sustainable mountain development. While the programme is still ongoing, observations in the four regions, interviews and analysis of the documents received indicated the delivery of significant outputs and that the project has been putting in place the necessary preconditions for a potential second phase of the SMD4GC.

The chosen implementation mechanism, agreements with a set of entities hosting the four mountain hubs is proving to be conducive to the achievement of the program’s results. Hosting entities are supportive, proving the necessary informational, technical, logistical and management assistance to the programme. The hosting entities themselves have a proven record of accomplishment in supporting government programmes and other stakeholders. The mix of expertise and experience of the hosting entities is well reflected in the distribution of rules and responsibilities and the cooperation between the mountain hubs and their hosting entities is sound.

The programme is implemented in a timely and cost efficient manner. Resources are managed in a transparent manner. Coordination and management of resources rest to a larger degree with the mountain hubs and their hosting entities. Project stakeholders are actively involved and contribute to the project.

Programme monitoring is done at the level of SDC’s Hqs. The progress of the individual mountain hubs is reported through annuals report and the progress of the various outputs is assessed via regular communications between SDC staff in Headquarters, staff of the hosting entities and staff of the mountain hubs. The programme does not have a comprehensive monitoring plan with a clear timeline regarding regular monitoring and analysis of performance indicators.

Conclusions (C)	
C1	In general, expenditures were according to the annual budgets, with no major reserves carried over from one year to the next.
C 2	Most activities did not have a specific delivery date .
C 3	Geographical scope - in the case of the African region the present set-up focusses on one regional mountain hub managed by ARCOS with the alternative of subcontracts with other organizations to extend their outreach.
C 4	The limited allocation of SDC staff resources and the fluctuation of SDC core staff has already been noted, resulting in a lack of coordination between the partners to keep the program on track, take advantage of emerging opportunities and improve coordination.
C 5	Interactions of the SMD4GC programme with other SDC funded projects have been minimal and synergies missed.
C 6	The lack of a communication strategy has been noted, which would also address the unified branding of the materials published and allow for greater interaction among the partners as well as with relevant target groups through social media worth raising the profile of the SMD4GC program on its own – maybe with a catchier name. More convincing success stories and lessons learned with the Excellence Centers in other regions, in particular for financial and institutional dynamics and sustainability.

Recommendations (R)	
R 1	It is recommended that any future engagements should carefully analyse the management arrangements of the mountain hubs within the regional partners’ existing structures

- R 2 It is suggested that a potential second phase would include a **dedicated management and coordination unit** at SDC, under the responsibility of a backstopper, during a potential second phase. Such an umbrella could both provide supervision and coordination, and internalize learning from the Programme in SDC and provide for an internal monitoring system which would enable the relevant staff of the mountain hubs to report regularly against the indicators and or baselines.
- R 3 **Baselines** for both outcomes and for the outputs must be further sharpened, in particular in view of a potential second phase of SMD4GC solid baseline will be required.
- R 4 A more **standardized way of reporting** by the mountain hubs both in administrative terms – lists of publications, financial reporting – and in substantive terms along the log frame has to be anticipated.
- R 5 It is also suggested that a **communication strategy** be prepared highlighting the need for an agreed upon set of priorities on sustainable mountain development and a standardized format and layout for relevant publications within the SMD4GC programme, to create an identifiable identity – branding - for the programme throughout its publications and communications.
- R 6 A potential phase two of the SMD4GC programme should be considered as an opportunity to provide for a **platform for cooperation with SECO and FOEN**.

Additional observations:

Reporting: The Logical Framework', or 'log frame', describes both a general approach to project or programme planning, monitoring and evaluation, and – in the form of a 'log frame matrix' – a planning and monitoring tool for projects and programmes. At its core is a theory of change management which presents the logical flow of causal outcomes between achievement of the program's activity targets, and the delivery of intended results. A log frame implies that baseline date, measurable milestones in the progress of an event, and or target year date are also commonly included. While a general log frame was available for the SMD4GC when the project was approved, log frames were developed for the mountain hubs during the implementation period and further refined along recommendations provided by SDC. So far, reports and related documents focus mainly on activities and do not systemically report against indicators or baselines as indicated in the log frame.

Baseline data: The design of a potential second phase of the project should start by addressing the question whether the strategic choices made at the outset of Phase 1 are still relevant given the dynamic and changing context of the mountain agenda. Variables of great importance in any mountain area include involvement of stakeholders in planning and development process (public participation) and gathering of baseline information, issues both being addressed in Phase 1 of the SMD4GC programme. An early attempt to create baseline for the outcomes in 2015 was on a best guess basis, baselines for the outputs were under preparation during the period of the review. In all four mountain hubs activities such as data related activities are now operational to analyze data and integrate such information for the preparation of the annual reports. The reporting system has been significantly improved during the lifespan of the project.

Based on a review of existing reports, typical problems in all four mountain hubs are surrounding the monitoring of results frameworks - in regard to monitoring of country development results statistics are late and deficient in quality or not specific enough and there is dependence on sometimes questionable monitoring data from multilateral partners. Understandably, results frameworks continue to struggle with those inadequate baselines in all four regions and affect measurability of targets. Including a baseline statement as well as quantitative indicators in new projects is only feasible when reliable data sets are available at national or local level. In summary, the challenge in mountain ecosystems remains to describe those impacts against a sometimes-vague data situation.

Staffing: Adequate number of staff are working in the mountain hubs for the time being. Competencies are in place. The motivation and performance of the staff is excellent. It is crucial to maintain the highly skilled personnel constellation in the mountain hubs. The mountain hubs are cautious in adding new staff and there appears to be a marked cost-consciousness. The mountain hubs allocate priority to capacity and institutional development beyond their immediate staff for partner organizations. Opportunities for exchange among the mountain hubs should be considered.

Review Area 4: Qualitative and quantitative outcomes

Qualitative and quantitative outcomes of the SMD4GC programme
<p>4.1. Which positive, lasting effects and behavioral changes can be perceived?</p> <p>4.2. What are the developed capacities of stakeholders in the target regions with regards to sustainable mountain development (after the first phase of SMD4GC)?</p> <p>4.3. What is the importance / relevance of sustainable mountain development for decision makers (what real difference has the activity made to the beneficiaries?)</p> <p>4.4. Is there an increased awareness of support to sustainable mountain development and if so, in what way?</p> <p>4.5. Feedback from users and the impact on public policies</p>

The impressive results of the mountain hubs and the participating Swiss organizations in terms of quality and quantity are recommendable

As the individual review team has been tasked to evaluate separate regions. Detailed reports about the findings have been provided separately. A summary overview of the qualitative and quantitative outcomes of the four mountain hubs are outlined below:

ARCOS:

General recommendations and conclusions for the whole SMD4GC programme:

- In phase 1, the different regional mountain hubs worked quite in isolation, with limited exchange except for attendance of COPs or the Global Mountain Forum. The programme as it unfolded can rather be characterized as an assemblage of 7 individual

contracts instead of a truly collaborative programme. There is quite some coherence and similarities in the logframe, which all follow the same overall goal and outcomes, but this did not translate in genuine cooperation between the different mountain hubs. A potential phase 2 should put more emphasis on a set-up where the overall outcome of the programme is more than the sum of the individual activities, by fostering more collaboration and by defining joint activities and joint products.

- A potential phase 2 of the SMD4GC programme should be developed based on a thorough analysis of the comparative advantages and strengths of the different partners, of the major opportunities and needs in their region and of the potential synergies with SDC Global and Regional programmes related to the mountain agenda, as well as with programmes of other development partners or UN Organisations. Establishing these linkages will require time and ideally some direct interaction between the programme partners and SDC representatives at headquarter level. Planning of a potential phase 2 should thus entail a project partner workshop in Berne, attended by all regional mountain hubs and the Swiss project partners, as well as by representatives from SDC global programmes and relevant country desks. The whole planning process might take too long to be finalized in time for a seamless continuation of the programme into a phase 2. SDC might consider a Bridging Phase between phases 1 and 2 of maybe 6 months, which would allow for a proper planning process of phase 2, while maintaining the functionality of the regional mountain hubs during the Bridging Phase.

Recommendations and conclusions for the African Mountain Hub:

- Being a rather new player in the African mountain agenda, ARCOS has done a reasonably good job in promoting mountain issues in Africa. Representing African civil society in the Global Mountain Partnership Steering Committee, hosting the interim secretariat for the African Regional Mountain Forum, and the secretariat for the African Mountains Champions Committee, ARCOS is well placed to assume the overall responsibility for managing the African Mountain Hub. Several staff are bilingual (English/French). However, ARCOS has limited outreach and leverage outside the East Africa Region. To better cover Southern and Western Africa, ARCOS should work through sub-contracts with partner organisations that are firmly anchored in these regions. Instead of only one Hub covering the whole African continent, one should reflect on a model of shared responsibilities with sub-regional hubs/partner institutions.
- ARCOS should give more emphasis in developing, maintaining or strengthening relations to REC's, river basin organisations and UN organisations and provide targeted inputs to them to strengthen the African mountain agenda.
- One of the successful activities and processes on the policy level during the phase 1 was the development of country mountain strategies for Uganda and Madagascar. Further countries, such as Malawi and Guinea for the development of country strategies have already been identified. Morocco has recently also developed a strategy and ARCOS should liaise to identify if the process of implementation needs further support. We perceive the support of developing country strategies as one of the major and promising avenues on the policy level where the African Mountain Hub can add value and suggest making it a major focus of a potential phase 2.
- Phase 1 featured two very relevant publications with contributions provided by ARCOS, the African Mountain Atlas, and the "Sustainable mountain development in East Africa in a changing climate" booklet. ARCOS can add value to such publications by providing case studies from the ground and should strive for continued collaboration with UNEP and other organisations to such flagship documents. The outreach of such documents,

as well as their credibility is much larger than an ARCOS stand-alone document and contributing to such larger reports should become the preferential working modality as compared to ARCOS publications.

- ARCOS has excellent capacities in facilitating and managing stakeholder engagement processes and organizing events, such as Mountain Fora. We suggest to build even stronger on these core competencies and put more emphasis on stakeholder engagement, learning and exchange processes
- Some of the knowledge products of ARCOS, such as the African Mountain Status Report and also the newsletter (Mountain Echo) and the policy briefs leave room for improvement in terms of content and layout. We suggest that ARCOS should outsource some of these activities to AfroMont or to another partner specialized in it. The newsletter, which currently comes in a pdf format, but which is mainly distributed electronically, could be changed to an electronic newsletter format, but instead published more periodically.
- ARCOS has to step up efforts to mobilize co-financing next to SDC for the African mountain agenda. A potential phase 2 should require evidence from ARCOS for the management of other mountain related initiatives and put more emphasis on monitoring and insisting on co-contributions
- The collaboration with AfroMont needs to be strengthened, based on an analysis of core competencies and complementarities of ARCOS and AfroMont. Phase 1 featured some efforts to establish libraries and data repositories both at ARCOS and AfroMont. Such efforts have to be coordinated and harmonized. The product should not go beyond a library of relevant documents for the advancement of the African mountain agenda. Efforts in phase 1 to establish data bases for primary research data were not successful, will most likely also not be sustainable and should be discarded.
- In terms of topics, transboundary water management would provide a strong entry point to further advance the African mountain agenda, with a focus on highland-lowland interactions, stressing the importance of the ecosystem services of which mountain communities are stewards. This also gives room for the development and promotion of payment for watershed services schemes, which would financially reward mountain communities for the services they are providing.

CONDESAN

This summary is based on review of annual operational and financial reports, and findings from field visits and interviews of CONDESAN staff as well as personnel from other organizations in the region, government agencies, and various SDC offices. The assessment kept in mind the relevance, effectiveness, efficiency, impacts, and sustainability of the SMD4GC initiative. While focused on the Andean region, references are made to the global context where applicable. Additional comments are provided for a potential continuation of this programme. Overall, CONDESAN's achievements during Phase I of the Programme were consequential. Its work was relevant at national and regional scales, as well as for advancing the mountain agenda globally, although there are significant challenges. CONDESAN is reaching out and engaging on policy and knowledge generation and management in the Andes, although its footprint is still somewhat limited in the region. Nevertheless, it has established partnership with many other organizations in the Andes, and is linked internationally with mountain research, policy, and practice communities (e.g., the GLORIA program).

In terms of the program's overall policy work, recent international advances have had positive impacts for mountain systems. Two of the SDGs, and three targets, specifically highlighted mountains, and 48 countries mentioned mountains in their NDCs under the UNFCCC. The SMD4GC Programme, including CONDESAN, was actively engaged in advocacy related to several of these processes (e.g., at UNFCCC's COP20, COP21, and COP22), both directly and through convening other institutions. The programme has directly contributed to these results, along with a diversity of other players such as various other Mountain Partnership members that played a significant advocacy role.

CONDESAN's support for knowledge generation and management in the Andes has been substantial through various online forums. However, there has been a leap in capacity in the region in government and other institutions, so supporting a general mountain knowledge platform may not be as important as in the past, and needs have evolved. There continues to be a need to find ways to better value and disseminate traditional knowledge and experience.

The World Mountain Forums (WMFs) brought together a broad community of mountain stakeholders, were well organized and effective considering the circumstances. However, they had somewhat limited convening power and results. It was not clear how much impact the Cuzco or Mbale declarations from the WMFs have had in terms of the mountain agenda. Future events should focus more on specific capacity building, improving practice and policy outcomes (e.g., linked to specific targets of the SDGs). While expensive, they are highly productive, but could be made more cost effective through twinning with other mountain science, policy, and practice events.

Key Challenges Identified

- There is a significant capacity gap for SMD in the region at local and national levels (e.g., in mountain municipalities), which needs addressing, both for institutions and individuals.
- Civil society from local communities, to national and international environmental and development NGOs are insufficiently mobilized to support the SMD agenda. And, the general public in the region is inadequately informed about mountain issues. Higher profile, better-funded topics dominate environmental communications (e.g., WASH, rainforest conservation, sea level rise impacting island states), and as a result mountain priorities continue to be neglected.
- There seems to be insufficient coordination amongst the SMD4GC partner institutions and hence a variety of lost opportunities to keep the programme focused, share knowledge and experiences, and work together to raise the profile of mountain regions beyond the direct footprint of this initiative.
- Scientific research agendas and priorities seem inadequately focused on delivering needed information to policy makers and other mountain stakeholders.
- The focus on hubs risks primarily benefitting a single leading organization in each region as opposed to building a broad, diverse, and vibrant community of local and regional actors spanning various countries.
- There has been a missed opportunity to enhance cooperation on policy processes and build synergy through not working more closely with the Mountain Partnership, which as a long-standing membership based alliance, has legitimacy that SMD4GC lacks.

- The SMD4GC programme lack a specific branding as well as visibility in the region. Neither other SDC initiatives nor Swiss Diplomatic missions in the region seem to know much about the program. Advocacy by SMD4GC could make better use of the Swiss Diplomatic missions around the world and at the UN to raise the profile of mountains.
- CONDESAN's regional convening power and impact is limited. It has strong links in Peru and Ecuador, but much less with other Andean countries and other mountainous countries in Latin America (e.g. Brazil, Mexico or Mesoamerican countries).
- There is a risk that CONDESAN will not be able to sustain its networking and regional leadership without support from SDC, even while maintaining its other SMD related activities. Another risk relates to CONDESAN's internal leadership given the recent departure of its experienced CEO Miguel Saravia—his replacement has less of a track record in regional policy advocacy.
- Given limited funding and prospects for long-term support, the programme's "Seed" initiatives in the region (e.g., Moringa in Central America), while appealing, risks staying at pilot levels and not being taken to scale. A better strategy may be to support such activities through other SDC regionally funded and long-term work.

Observations for a Continuation of this Program

Capacity building: it would be ideal to include support for specialized training in SMD topics in a continuation of this program, as well as strengthened links to other training initiatives such as those offered by the University of Alberta (Mountain MOOC), UCA, HUC, MP's IPROMO (e.g., with CATIE, Costa Rica), Fundación Agreste (advocacy), and The Mountain Institute to benefit regional stakeholders.

Program Consortium Members and Linkages: This program should focus on building a diverse and strong mountain sector (including non-governmental organizations) in South America—and be evaluated for its accomplishments. Overall, the SMD4GC Programme may consider shifting or adding additional institutions so as to better meet program objectives; and also pursue stronger linkages with the Mountain Partnership.

New Geographies: It would be worth expanding the program, funding permitting and adding hubs accordingly, to include other important mountain geographies in the Americas: Brazil, Mesoamerica and the Caribbean; as well as in Northern Africa/the Middle East, South Africa, Southeast Asia, etc.

Building a Civil Society/Public Movement for Mountain: A continuation of this program may want to give consideration to building a movement for mountains akin to those that exist for tropical forests, oceans and other environmental issues. This would particularly include bolstering civil society advocacy; and compliment the current focus on government and inter-governmental processes of the SMD community. The absence of strong mountain-focused civil society advocacy may be one reason SMD has failed to gain more traction.

Building an Alliance of Mountain Countries: Efforts should continue to focus on forging an alliance akin to that of the Small Island Developing States – this might be done in close alignment with the Mountain Partnership. However, there are challenges given that many mountain regions with vulnerable populations are likely to fall through the cracks where countries do not see the value of joining. Mountains are a crosscutting issue

geographically and thematically, and as such it would also be worth advocating for a high profile entity representing mountains in the UN organization chart.

Focus on Impact: With the Paris Agreement and the SDGs in place, along with other international agreements and processes, a continuation of the SMD4GC program should be more tightly focused on specific outcomes and impacts to meet specific parts of the 2030 agenda. Such a focus would also add focus to the objectives and agendas of the World and Regional Mountain Forums.

Focus on Communications: Adequate resources should be allocated for a targeted and innovative communications strategy that reaches a diversity of audiences, including the general public. It may want to consider support for film festivals and other cultural events to raise appreciation of mountain natural and cultural assets, importance, vulnerability, and needs.

Special Topic—The Andean Initiative: This is a high-risk endeavour, but could provide an invaluable model for other regions (and build on the experience of other existing regional mountain conventions) if successful. I suggest a continuation of the SMD4GC program consider specific funds to build the case for this initiative through working closely with Andean governments, CONDESAN, FAO, and other organizations.

Targeted studies: There is an important need for focused global and regional research and assessments to make the case for SMD. Topics need to be chosen for their potential to impact target audiences. Such research would ideally led by the Swiss-based SMD4GC institutions, together with appropriate research and knowledge dissemination partners. Potential topics include: migration, food insecurity, water security, high mountain biodiversity loss, land degradation, energy, etc. Findings should be promoted aggressively using sophisticated communication strategies recognizing that in a world crowded with agendas the most effectively communicated (and not necessarily the most urgent) get the most attention.

ICIMOD

This report pertains to the progress and achievements of SMD4GC (2014-2017) programme implemented by ICIMOD from 2014 till March 2017. It is based on the annual operational and financial reports of ICIMOD as well as on the findings from field visits and interviews of relevant officials of ICIMOD and its member countries. While the observations made were more specific to the Hindu Kush Himalayan region, references have been made to global perspectives where applicable. Based on the findings from the review, a concept paper for a possible Second Phase of the SMD4GC is included.

The overall objective of the SMD4GC programme as enshrined in the ProDoC is to provide an essential contribution to the sustainable development in mountainous areas under uncertain changes in climatic, environmental and socio-economic conditions, and by focusing on poverty and risk reduction. It is foreseen to serve as the 'vehicle' to increasingly link SMD aspects to global issues, e.g. water, food security, energy, migration and extreme events. The programme is being implemented through four regional hubs, viz. Albertine Rift Conservation Society (AFROS) in Africa; the Consorcio para el Desarrollo de la Ecorregion Andena (CONDESAN) in the Andean region; South America, University of Central Asia (UCA) and the International Centre for Mountain Development (ICIMOD) in the HKH-Pacific region. In addition three

content-oriented Swiss partners, viz. the Centre for Development and Environment (CDE) at the University of Bern, the University of Zurich (UZH) and the Fondation pour le développement durable des régions de montagne (FDDM).

The SMD4GC has successfully demonstrated the potential for developing a united front of mountain countries and regions to put forth their issues and concerns in international forums such as the UNFCCC COP events. ICIMOD has spearheaded the efforts to bring mountains and mountain perspectives on the agenda of various international forums, including at the landmark COP21 in Paris. Significant progress has been made in sensitizing and creating awareness of the impacts of climate change on mountain ecosystems and socio-economic challenges facing mountain communities but the ultimate goal of achieving a similar status for mountain countries in the global negotiation processes like that of small island nations has not yet been achieved.

The implementation of the programme through existing regional hubs was a cost-effective and efficient method that enabled the programme to capitalize on the experience and resources already available with them. ICIMOD has more than three decades of experience in working in the HKH region and therefore, there seems to be an ideal fit between the SMD4GC's objectives and ICIMOD's mandate. However, the focus of the programme needs to be sharpened in order to have a few signature outcomes from the programme which could be directly attributed to it. ICIMOD reported a number of policy interventions and advocacy of good practices and dissemination of knowledge in several of its member countries but it appears that the visibility of the SMD4GC programme was lost in the complexity of areas in which partners like ICIMOD.

From discussions with various partners and stakeholders, it was clear that the management of water resources is of highest priority. On the one hand, water scarcity is increasing at an alarming level with inherent implications on livelihoods of peoples living both within and beyond the mountains, be it for drinking water and sanitation, food production, energy or industries. On the other hand, water induced disasters such as landslides, mudslides, flash floods are the main cause of loss of life and property as a result of erratic rainfall patterns, melting glaciers and heavy runoffs.

There is also ample evidence to conclude that tourism offers the most promising avenue for sustaining economic growth and generation of employment for youth and thereby revitalize aging and shrinking mountain communities. ICIMOD and its member countries have years of experience in developing and promoting eco-tourism but this has not yet resulted in realizing the full potential that this sector offers, for example, by developing and promoting trans-boundary tour packages. Besides, this is an area, where Swiss expertise and perhaps, private sector investment, could be fully utilised.

The organization of youth forums for educating them and mobilizing their energy and enthusiasm for dealing with the challenges facing mountain countries owing to socio-economic, climate and environmental changes was a commendable achievement. However, the impact of the youth forums would be much higher, had there been follow-ups after the events, to support the participants in disseminating the information and knowledge they gained and in mobilising and engaging in other youths in their respective countries.

The establishment of the Himalayan University Consortium at ICIMOD heralds a new opportunity for the mountain countries of the region and beyond. While it is still in its nascent stage, it has been able to put together a special programme to foster exchanges and cooperation among the member universities. The choice of water as a theme for engaging the universities

in developing position papers is also an apt one and will contribute substantially for a future programme focused on water.

While the overall framework of implementing the programme through regional hubs and Swiss partners is a very innovative and sound system of implementing this global programme, the need for a dedicated coordination office in the SDC Headquarters is acutely felt. This would have strengthened linkage and coordination as well as ownership and accountability by the partners and SDC itself.

For the Hindu Kush Himalayan Region, a potential second phase of SMD4GC would be highly beneficial and impactful if it could focus on aspects of water resource management and integrated mountain tourism backed up by supporting the capacity building of youth and civil societies. The programme could continue to be implemented through ICIMOD but with a strengthened management system that would enhance accountability and effectiveness of the programme. This would entail having a dedicated management unit at the SDC Headquarters or its nominated agency.

UCA

The purpose of this review is to assess the performance by the Central Asia Mountain Hub with a focus on assessing the current modality and level of stakeholder engagement and provide recommendations to optimize its operations and form a basis for its road map to sustainability.

The review is based on the annual operational and financial reports and interviews with relevant staff of the Central Asia Mountain Hu, with staff of the MRI of the UCA, with relevant stakeholders from civil society originations and government representatives.

The Central Asian hub is unique in its operations as a development oriented network (CAMH) has been based in a research focused academic institution (MSRI/UCA), with the intention of increasing synergistic effects between SMD and institutional development in the Central Asian region. Given the fact that the ultimate goals are shared by both entities and considering the relatively short timeframe of the MSRI/UCA's operation, a strengthening of the interface between both institutions is expected as new initiatives and projects continue to come to fruition. The scale and content of those future cooperative programmes and projects depends on:

- the types and directions of research opted for by the MSRI (e.g., relevance and categories; space for accommodating the mountain stakeholders and their interests);
- the geographic scope and scale for research activities (overlap; coverage of areas),
- the applicability for adoption and practicing the research findings (able to serve as proxies for application to other regions),
- the availability of applied research findings for dissemination & practical application (amount; volume) and
- the available funding for awareness raising and communication.

Since its opening in 2010, the regional hub has been supported by SDC with funding channeled to the UCA as its host institution founded in 2000, when the Presidents of Tajikistan, the Kyrgyz Republic and Kazakhstan and His Highness the Aga Khan signed the International Treaty and Charter establishing this university.

The Hub acts also acts as the Central Asian outreach for the Global Mountain Partnership. The MP is considered by the regional stakeholders as a vital instrument and tool for linkage to

global (SDGs) and UN processes (UN SG report on SMD to UN GA) and UN framework conventions (UN-FCCC/UNCED/UNBDC) as a platform to bring and voice regional interests and voices to be heard and noted at global foras.

The CAMH has 5 main goals:

1. Advancing the mountain agenda and mountain people's concerns into global/regional/national and subnational development and policy making processes;
2. Consolidating mountain stakeholder efforts by providing a single platform of an action-oriented regional network for policy advocacy, partnership building and joint actions;
3. Serving as one-stop learning and excellence Centre for local-level capacity enhancement by encouraging global cross-learning, documentation and exchange of good practices between mountainous regions and nations;
4. Contributing to participatory governance and informed policy-making process on mountain related issues through community mobilization and collaborative initiatives with policy makers at multiple levels; and
5. Communicating applied research findings generated by its host institution.

The CAMH staff comprises two competent and motivated staff members.

The Hub's work covers an extensive and ambitious geographic scope including territories of the five former Soviet republics of Central Asia (Kyrgyzstan, Tajikistan, Kazakhstan, Uzbekistan, and Turkmenistan) as well as Dagestan and the Altai Republic of the Russian Federation. Activities in Uzbekistan have been deferred and with Turkmenistan, activities are expected to gain speed using the ties with the Interstate Commission on Sustainable Development currently chaired by Turkmenistan. The Hub expressed its interest to collaborate with this inter-governmental regional body, in the observer's capacity. Azerbaijan, another former Soviet republic which belongs to Caucasus has expressed its interest to be affiliated with the Central Asia hub due to common historic background.

In order to develop the demand-driven program and address region-al/national/local priorities in terms of grounding sustainable mountain development, local, national and regional stakeholder have been identified and assessed. Furthermore, proposals from stakeholders have been sought and developed jointly for integrating into the Hub's annual workplan.

The regional stakeholders make up the core group of 35 institutions- representing a wide range of diverse entities including national ministries, CSOs, academia and research institutions. Additionally, many of them are nationwide and or regional level networks. The common unifying factor is their commitment to work for mountains and mountain people by collaborating, cross-learning; merging their efforts for advocating sustainable development in mountain regions. Increasing visibility for the region and for the mountains by taking active part in global processes is what they consider as one of priorities for working together. Many of the actors recognize the importance of learning and knowledge sharing for their institutional growth and advancement of the SMD agenda in their work at multiple levels. Each of the actors or the institutions has their own competing priorities and interests, which they first had to overcome for working together for the common cause of advancing mountain agenda.

To this moment, the following types of cooperation and collaboration with the MSRI exist: They include direct engagement of the Hub in the MSRI activities (so far none) and engagement through the Hub's core group-critical mass members such as the AGOCA partners with the SPIKE project (The AGOCA village from Karabakh, Batken region of Kyrgyzstan has been

selected as 1 of 3 pilot villages for the project implementation and the AGOCA staff member is outsourced for the project). Joint Hub and MSRI activities include Training of Trainers (ToT) for 25 participants of 8 mountain stakeholder-institutions on Intro to Rapid Rural Appraisal Tools and Techniques , joint sessions for mountain related conferences (RMFCA 2015; Kunming 2016), a joint policy dialogue titled “Evidence-based decision making: Policy and practice interaction on integration of mountain concerns into development processes” (Central Asia Mountain Hub/Mountain Societies Research Centre of University of Central Asia/Tajik Government and CAMP Kuhiston) on show-casing regional experience of integration of mountain concerns into development

In summary, the Hub’s work impacts are:

- As recognized by the stakeholders, the importance of having the hub is in its facilitating and match-making role acting as a gate-keeper for increased exchange and linkages at multiple levels; potential mergers and partnerships: Several joint initiatives exist and the region partnering with stakeholders from India, HKH and South East Asia.
- By doing so, the hub contributes to consolidation of efforts otherwise thinly disbursed over a large geographic territory. Indeed, many regional stakeholders note that it has been the first ever experience for many of them to come together as they used to work on their own and many did not know of each other functioning in the same countries.
- Through its policy advocacy and capacity support work, the Hub acts as the Centre of excellence on SMD by making good practices available, taking stock of, capturing and documenting regional experiences for further sharing and demonstrating the need in having a strong mountain voice.
- Through its support to policy dialogues and consultation processes, the hub encourages bottom-up participatory process and facilitates integration of mountain stakeholders into decision making.
- As a Centre of excellence, it links policy with practice, popularizes science into practice for integrating mountains and mountain people concerns into this highly centralized processes.
- Increased regional visibility: The Central Asia region has become one of active and strong mountain groups at the international level along with others from Latin America and South Asia.
- On knowledge management, the Hub has been actively taking part in the production of knowledge products by supporting local level knowledge capturing and documentation; designed region-specific tools and platforms in both: print and non-print formats and worked on diversification of tools by introducing new and innovative approaches such as the webinar training modules on SMD now recommended by the Government for nationwide replication in schools.
- Even though there is no bonding agreement and no roles and responsibilities defined strictly, for many of the stakeholders, the alliance and network brings “added value” as expressed by the actors, “the feeling” of being a part of the bigger global movement on SMD and making contribution to development of their relative countries and

nations qualifying as mountainous nations or nations related to some extent to mountains, e.g., either benefiting from mountain ecosystem goods and services or geographic position in downstream.

Review Area 5 Sustainability

Sustainability

- 5.1. Sustainability of the activities?
- 5.2. Sustainability of the effects or changes promoted – e.g. to what extent will the benefits of the projects continue after donor funding ceased?
- 5.3. Sustainability of the involved partners – e.g. to what extent will the supported institutions be able to continue their work on SMD after donor funding ceased? What is the (in-kind) contribution of the partners of the SMD4GC programme?
- 5.4. Are there any donors or interested stakeholders that already support or intend to support the direction of SMD4DG or the programme itself?
- 5.5. What are the major factors which influenced the achievement or non-achievement of sustainability of the project?

Sustainable mountain management has often been reviewed by using sustainability variables within the framework of a Driving force–Pressure–State–Impact–Response Model (DPSIR Model). Response variables, i.e. efforts made to move towards sustainable mountain development (SMD), are believed to improve the situation regarding sustainability. Poverty and fragility are also linked to such diverse issues as mountain agriculture, mountain forestry, mountain tourism, and demographic issues. The lack of baseline data is without a doubt a serious obstacle when considering SMD in developing countries, which has immediate repercussions on the definition of reliable baselines for the SMD4GC and the ability to review the programme.

Sustainability aspects are achieved mainly through continued capacity development of partners and improved regulatory frameworks, which is well reflected by the two outcomes of the SMD4GC. The sustainability issue was addressed in reports of the mountain hubs made available to the review team. Certain activities have a potential for multiplication and thus contributing to the future sustainability of the programme and its impacts. Furthermore, government officials confirmed the will for the multiplication of certain activities with state funding. Still, the scope for sustainable results would be improved when the issue would have been accompanied throughout Phase 1 and be embedded the mountain hubs in a favorable legal and institutional context.

The programme has a good potential for sustainability since the issue has been considered and addressed from the beginning of the program and a series of outputs have been assessed from the perspective of sustainability. However, the programme at large and the mountain hubs individually still lacks convincing sustainability approaches and or action plans which are important to delineate a potential second phase of the programme beyond SDC.

During a second phase the project logic might be constructed in line with incentives, which will ensure that beneficiaries such as farmer and private businesses provide an additional financial contribution if needed to ensure the sustainability of the programme. This could be a leading orientation for the SEED components during a potential second phase of the programme. Relevant exit strategy plans have also not yet been developed within the frame of this programme.

Prioritizing gender issues is another factor for longer term sustainability. In the framework of the SEED projects, the role of women must be underscored and respective indicators be developed also, interventions related to private public partnerships and pilot projects create preconditions for sustainability.

Furthermore, the ownership of the respective countries in which the mountains hubs are embedded and of respective ministries and other stakeholders are key for the further sustainability of the programme to ensure replication of project experiences in state programmes, by the efforts of civil society and local populations. The development and implementation of a sustainability strategy is key for the further development of the programme.

Conclusions (C)
C1 Efforts to address exit scenarios and or the development of sustainability strategies are limited.
C 2 Follow up to the resolutions and policy support to the World Mountain Forums is needed.
C 3 Sustainability of integrating SMD policies and programmes in the national policies and plans were still by and large dependent on the support of donors and national governments, but vary from country to country.
C 4 Several bilateral and multilateral donor agencies are involved in supporting SMD activities and there is good opportunity to better coordinate action and in some cases, consolidate the funding at both national, regional, and global levels under a lead programme like the SMD4GC.
C 5 The nature and quality of partnership between the regional hubs and countries within the region influences the level of sustainability of interventions.
C 6: Lack of follow-up mechanisms and resources for the activities undertaken resulted in no mechanisms and resources for building an alliance of civil society as advocates for SMD regionally and globally (with the MP providing a ready platform to build on).

Recommendations (R)
R 1 Exit mechanisms must be clearly spelt out for the various initiatives implemented by the regional hubs and partners.
R 2 The areas of intervention must be more focused and aligned with the policies and programmes of the participating countries as well as the UN's Agenda 2030 Sustainable Development Goals.
R 3 Alternative partners with access to resources should be explored to enhance the sustainability of the interventions under SMD4GC, e.g. professional associations, civil societies, and media firms.
R 4 Address the issues of sustainability in more detail and specificity in all mountain hubs and programmes starting with the design of the projects, to ensure that their work is sustained beyond the duration of the project.

- R 5 An umbrella programme like SMD4GC should be continued to consolidate the global efforts and finances to deal with the challenges facing mountains and mountain peoples.** Such a programme could aim to influence priorities of the GEF and GCF and eventual to establish Global Mountain Fund through a consortium of donors engaged in SMD.
- R 6 Emphasize in all forthcoming end of project reports, annual reports, and review on reports opportunities for scaling up and outline strategies for innovative approaches in a potential second phase.

Additional Considerations:

Coordination with other donors: Switzerland is among the largest bilateral donors of and plays a major role in the mountain agenda. The list of multilateral donors working on the subject of sustainable mountain development includes the International Financing Institutions (IFIS). All of them have an active presence in mountain regions, offering loan packages and funding infrastructure improvements. The European Union, UN Agencies and the Organization for Security and Cooperation in Europe (OSCE) also support aid activity within the regions.

In line with its strong commitment to partner country ownership, Switzerland actively supports the creation of aid management mechanisms in partner countries and has provided financial support for this purpose. According to other donors (GIZ, EU and UNDP), Switzerland has a very important role to play in the mountain sector yet should not be the sole bearer of responsibility in the group, the national governments and other donors should also show greater engagement.

A short review of bi- and multi-lateral donors has indicated the potential for specifically target support for SMD. E.g. GEF, GCF, JICA, South Korea, China, DFID are suggested. While SDC has been focusing its support towards SMD, other donors supported thematic challenges, not mountain specific challenges and providing suggestions on how to attain a more specific and targeted support for mountains within the donor community

Scaling-up: Overall, the mountain hub reports describe scaling-up aspects and identify approaches and programmes which have the potential for scaling up. Scaling-up could be facilitated if a project is part of a nationwide sectoral approach, has a committed national partner that disseminates pilot experiences to other regions and involves partners starting at the testing phase to create ownership.

Sustainability aspects are achieved mainly through continued capacity development of partners and respective regulatory frameworks. The scope for sustainable results is improved when the issue is addressed already in the planning (as it is requested and done for most projects in the entry/credit proposal), when the project is embedded in a favorable legal and institutional context (sector programme), when capacity development contributes to strengthened implementation and policy capacities of local partners, and when the political environment is stable and conducive to policy reform. Yet transforming projects of this nature into larger, sustainable programmes remains a challenge and would need a continuing dialogue between the SDC, mountain hubs and likeminded donors, so that the respective government or other donors in this region would join or replicate an innovative SMD4GC project.

Sustainable Mountain Development for Global Change (SMD4GC 2) - A Conceptual Framework for a Second Phase

Introduction:

Where Action is Required:

Recognition of benefits deriving from mountain regions: As mountain ecosystem services contribute to sustaining and enhancing the Earth's sustainability and prosperity, the green economy framework and Rio+20 need to recognize the benefits arising from mountain ecosystems and should set principles and policies for global, regional, and national actions in support of sustainable mountain development. Principles for full-cost pricing of resources and services from mountain areas and mechanisms for granting mountain communities a fair share of the benefits derived from the use of mountain resources should be established.

Improved governance mechanisms: To provide incentives for mountain populations to protect the ecosystem, environmental governance systems must frame the mountain agenda in environment and development policy. Strengthened governance is needed at all levels, national, regional, and global. National governments have a central role in putting in place policies, strategies, and instruments to create enabling conditions for investment in mountain ecosystem conservation and to attract other actors such as the private sector to finance conservation. The international policy framework needs to recognize the value of mountain ecosystems and the needs of mountain people, and to support international, regional, and country-level implementation of the mountain agenda. Attention needs to be paid to strengthening the institutional framework at all levels for decentralized resource governance, efficient functioning of markets, well defined property rights, and fair access and benefit sharing for local resource users.

Enhanced economic security and poverty alleviation to facilitate peace and stability in mountain areas: Governments must ensure that the green economy contributes to eradicating poverty, ensuring livelihoods, and promoting social equity and security, in line with the MDGs. Promotion of green economy must be based on equitable access to resources, well defined property rights, and inclusive growth. Governments must take steps to ensure that benefits reach poor and marginalized people including women, indigenous people, and ethnic minorities.

Institutional strengthening and capacity building: Achieving and maintaining a low-carbon economy requires substantial changes in policies, priorities, and strategies, the increased application of market-based instruments for conservation and development, and the use of new technologies. It therefore requires more integrated approaches, a longer-term perspective, and new skills and expertise. Institutions in mountainous developing countries may lack the required capacities and capabilities to design and implement these changes effectively. For effective application of new policy instruments and technologies and for coordination of actions among diverse stakeholders, the capacities and capabilities of national, regional, and global institutions need to be strengthened.

Transboundary cooperation: Many of the mountain ecosystems and their services are trans-boundary in nature; thus, their conservation and management demands regional cooperation. Strengthened networks and regional conventions like the Alpine Convention may enhance coordination of activities and assist in raising mountain concerns in international governance and protocols.

Mountain-specific knowledge: Systematic research and capacity building for generation of mountain-specific knowledge and collection of disaggregated data are necessary to improve economic and scientific analysis to inform policy and guide action for sustainable mountain development.

Financial instruments: Conservation of mountain ecosystem services and the transition towards a more low-carbon path of development require financial resources. The international community must provide the necessary support to leverage financial resources, for example through establishment of dedicated funding windows for mountains in existing funding mechanisms (such as the Global Environment Facility, as far as they link to other global priorities such as climate change, water, and biodiversity). International and regional payment for ecosystem services (PES) schemes may be introduced to stimulate the provision of vital non-marketed ecosystem services at the global and regional levels

A potential Phase 2 SMD4GC should act as an umbrella for SDC allowing to bring the activities together by providing platforms for exchange, for joint learning, and for capitalization and dissemination of lessons learnt in other projects and for joint policy influencing. Accordingly, this concept note focusses on three key elements for a second phase, i.e.

- Linkage of the mountain agenda within the global programmes of the SDC and with the country programmes - understanding SDC's role in a coordinating and catalyzing function in sustainable mountain development;
- Aiming to create a critical mass of mountain focused activities and organizations and catalyzing the exchange among the four regions with a view of creating a joint agenda, and
- Shaping a Phase 2 of the SMD4GC by linking communication, political advocacy, and resource mobilization and thus supporting the cause of sustainable mountain development.

Key will be to deliver measurable change at the ground level and upscaling across mountain regions. Advancing the mountain cause more generally should be complimentary to measurable positive change at the community level.

Rationale:

There are compelling reasons for continuing with a second phase of SMD4GC with a larger role in leading the 'mountain movement' to achieve global recognition, attention, and investment in sustainable mountain development.

A second phase would provide a window of opportunity for SDC in shaping the relevance of its mountain agenda for the years to come. A coherent, focused, and adequately funded Phase 2 would ensure that Switzerland would follow its tradition of offering future perspectives in mountain management. In doing so, Switzerland would continue to be the key catalyst for helping the people of mountain ecosystems to work toward achieving stability and prosperity. Strategically, the questions to be addressed will focus around the format and content of a

second phase, the modalities and approaches that would be most useful taking into consideration the complexities of mountain ecosystems, possible new geographical concentration, and how the Global SDC programmes and the SDC country programmes would participate in a more integrated manner.

A second phase will underline Switzerland's continued pro-active and highly involved role in sustainable mountain management, seeking proactively the dialogue with other donors to share Swiss experiences and identify win-win situations for joint activities.

The areas of intervention should include relevant issues of common interest across mountain regions and countries, such as climate change, water, tourism, and youth, which are closely aligned to SDC's global and regional thematic programmes as well as to national plans of the mountainous countries and to the UN's Agenda 2030 SDGs.

Thematic focus:

The areas of intervention must be more focused and aligned with the policies and programmes of the participating countries as well as the UN's Agenda 2030 Sustainable Development Goals. Thus, the content of a potential phase 2 projects should be defined more clearly and be more realistic. To produce tangible impacts that could be visibly measured, there is a need to select strategic themes for intervention while maintaining the overall objectives of enhancing livelihoods and resilience of mountain communities.

In all the discussions, both climate change adaptation and the management of water resources emerged as one overarching theme that merits a concentrated approach and attention. Drying water sources, erratic rainfall patterns and increasing water conflicts over water use, are of serious concern to both rural and urban populations. Besides, water is also linked to many natural disasters such as landslides, floods, droughts, and diseases and therefore, security from water related disasters should receive equal importance. It is therefore suggested to create an interface to successful national and regional water resource management programmes and the policy activities water and other natural resource governance activities of the Global Programmes. Addressing the water-energy nexus in the mountain context and thus provide docking points for related supranational issues such as climate change.

Managing the risks of climate change involves mitigation and adaptation decisions with implications for future generations, economies, and environments. One of the main challenges in this context is to understand how adaptation actions work and what the implications of adaptation measures for resilience of both ecosystems and human societies are. It is increasingly clear that the lives and livelihoods of the people living in many mountain areas are at risk due to the impacts of climatic changes. Access to water, biodiversity, and many other environmental services is becoming increasingly critical. What is needed are adaptation measures that enhance the resilience of the mountain communities and reduce their vulnerability, particularly in the short term.

Against the background of climate change in mountain regions, it is therefore suggested that a second phase should seek tipping points which would allow with a modest external investment to catalyze self-sustaining processes related to SMD. An example could be to support the idea to establish a group of likeminded mountain states with major glaciers in their territories within the context of the UNFCCC as deposits of future water resources.

To fulfill its bridging role, a potential second phase of the SMD4GC should build on and coordinate with relevant interventions of SDC, e.g. by building linkages and synergies between:

- the Latin American mountain hub CONDESAN and the SDC Latin America PACC Climate Change Adaptation Programme in Peru (PACC) – with a particular focus on technologies
- ICIMOD and the SDC Indian Himalayas Climate Adaptation Programme (IHCAP), addressing geopolitical issues and ICIMOD and the UCA to be connected with the SDC Jinsha River Basin (JRB) project addressing the issue of climate change in the context of IWRM
- ARCOS and the Water and Land Resources Centers supported by GPW, and create linkages to the Building River Dialogue and Governance (BRIDGE) programme implemented by IUCN.

While the focus of Phase 1 on knowledge products is important, they often do not provide for actionable knowledge with direct relevance for implementation and uptake. In a second phase, efforts should be undertaken to link knowledge management with capacity building, giving more emphasis on collection and dissemination of best practices. Community based programmes of the mountain hubs provide already best practice and deserve further upscaling. Thus, a potential phase 2 would continue serving the regional mountain stakeholders in supporting local capacity, integrating mountains into development processes and facilitating knowledge and experience sharing on SMD. In the light of above context, a possible second phase of SMD4GC could focus on themes related to climate change, food security and outreach through water, tourism, youth, and partnerships.

During Phase 1 SMD4GC has successfully engaged youths by bringing them together to discuss issues affecting their lives in the wake of changing socio-economic conditions and climate change. It is suggested that this engagement of youths needs to be further nurtured and sustained through a concerted effort to build youth associations and movements for advocacy and adaptation measures on highly pertinent issues like climate change and its impacts besides building their capacities to engage in mountain based enterprises.

Institutional set up:

The management arrangements of the programme should be aimed at optimizing the visibility of interventions and impacts on the targeted beneficiaries and their sustainability beyond the phase of the programme. A potential phase 2 of the SMD4GC programme should be developed based on a thorough analysis of the comparative advantages and strengths of the different partners, of the major opportunities and needs in their region and of the potential synergies with SDC Global and Regional programmes related to the mountain agenda, as well as with programmes of other development partners or UN Organizations.

A potential phase 2 should assume enhanced SDC ownership. Opportunities to integrate SMD need to be addressed, benefiting from a greater integration with existing and or planned SDC initiatives in mountain regions to act as a platform for Switzerland's technological, managerial, and geopolitical expertise.

Implementing Partners: The regional hubs should broaden the base of their implementation partners to include NGOs/CSOs and media houses in the member countries. They should actively engage in delegating and decentralizing the implementation functions along with the approved budget for the activity

On timing - Bridging phase: It would be necessary to invest sufficient time to develop a Second phase. A year-long consolidation phase to hold consultative meetings with all potential partners and identify the most relevant areas of intervention based on experience as well as future

priorities. SDC might consider a bridging Phase between phases 1 and 2, which would allow for a proper planning process of phase 2, while maintaining the functionality of the regional mountain hubs during the bridging phase.

Steering:

Programme Coordination: There is a need to revisit the linkage between the SDC Programme in Bern and the regional hubs and between the regional hubs themselves to strengthen the efficiency of project implementation through an inbuilt mechanism for follow-up and tracking of interventions. During a second phase, the need for a dedicated coordination unit to coordinate between the regional hubs and other partners and consolidate the mountain programme at the global level should be addressed. It is suggested that a potential second phase would include a dedicated management and coordination unit at SDC, under the responsibility of a backstopping entity..

Such an umbrella could both provide supervision and coordination, and internalize learning from the Programme in SDC and provide for an internal monitoring system which would enable the relevant staff of the mountain hubs to report regularly against the indicators and or base-lines. This would substantially improve the accountability and visibility of the proposed programme.

Programme Steering Committee: Under the chairmanship of the Programme Coordination Unit, a Programme Steering Committee with representation from the regional hubs and other partners could be established to approve plans and budget, strengthen regional linkages and exchange of experiences and learning, monitor progress, and provide general directions. Such a Committee could have annual meetings hosted by the partners on a rotational basis.

Also, A much more stringent integration of a potential second phase of the SMD4GC programme into existing SDC structures at the level of the global programmes, regional and national programmes needs to be considered, also with a view to reflect the true size of SDC's engagement in mountain regions.

Programme Management Committees: Each of the regional hubs should institute a Management Committee composed of representatives from the key implementation partners from the member countries to strengthen ownership, accountability and facilitate exchange of knowledge and experiences. The Committee could meet annually and organized by the partner countries on a rotational basis. Also, mountain hubs should increasingly share experiences with other organizations of either regional nature and or similar focus that are working in the same region. Such knowledge sharing should eventually result in tools and guidelines how to set up such organizations, as well as more technical documentations on replicable approaches, best practices and capacity building.

Global Coordination: Strong linkages with key global actors and institutions should be anticipated, and the revitalization of the ECOSOC based mountain focus group at the UN-New York considered and alliances with other donors (ADA, IKI, etc.) be sought. Ensuring a status like that of the like-minded grouping of Small Island Nation may be unrealistic. Instead it is suggested to consider addressing and supporting mountain related issues as cross cutting issues by including the mountain context in different global processes.

An umbrella programme like SMD4GC should be continued to consolidate the global efforts and finances to deal with the challenges facing mountains and mountain peoples. Such a programme could aim to influence priorities of the GEF and GCF and eventually to establish Global Mountain Fund through a consortium of donors engaged in SMD.

SMD4GC and the Secretariat of the Mountain Partnership must liaise closer in the future. The Mountain Partnership as a UN type II voluntary organization has many members from both governments and civil society – it has not been fully effective in mobilizing its membership and constituency groups beyond a few governments and organizations at any moment in time. The SMD4GC hubs have not played a mobilizing role either. The World Mountain Forum and a regional forum under SMD4GC could provide useful opportunity to do more – emphasizing the need for SMD4GC and the Secretariat of the Mountain Partnership to do more joint planning and coordination.

Project Partner Workshop Establishing these linkages will require time and ideally some direct interaction between the programme partners and SDC representatives at headquarter level. It is suggested that planning of a potential phase 2 should thus entail a project partner workshop in Berne, attended by all regional mountain hubs and the Swiss project partners, as well as by representatives from SDC global programmes and relevant country desks. In preparation of this workshop a small group should identify tipping points which would allow with a modest external investment to catalyze impactful and self-sustaining processes related to SMD.

Proposed Programmes

The following section provides a menu of options that could be considered for the second phase of SMD4GC depending on the availability of resources and convergence of priorities among the stakeholders. The proposed project partner workshop for planning the second phase could consider these options and decide on the most viable options.

Building a Global Position for Mountain Regions

The aim is to build on the gains made through the World Mountain Forum and Mountain Partnership and the first phase of SMD4GC to strengthen cooperation, networking and unity among mountain regions and countries, and in particular among the Mountain Partnership, the Global Mountain Initiative, the Global and Regional Mountain Forums, and SMD4GC to secure a distinct identity and status in the global negotiation processes like the UNFCCC and UNFCBD. A commonly agreed advocacy strategy (jointly managed by MPS and SMD4GC coordinating institution) would enable deploying different MP members, and others, to expand SMD reach more broadly across different agendas (e.g., UNFCCC, CBD, UNCCD, Minamata, etc. – in addition to UNFCCC).

Activities would include:

- Continuous supports of further Global Mountain Forums and Regional Forums in alternate years
- Support towards the formulation and implementation of national and if there are opportunities somewhere, also regional mountain strategies

- Thematic conferences on specific subjects of common interests to share scientific knowledge and technologies
- Positioning at global forums through joint presentations, exhibits and support for targeted advocacy (e.g. UNFCCC COP negotiations from specific countries and technical presence at SBSTAs), strengthening the interface between science, practice and policies
- Joint publications and e-discussions

Mountain communities as custodians of basin-wide watershed services:

The aim is to strengthen Sustainable Mountain Development and Achieving the Sustainable Development Goals through the promotion of Green Mountain Economy concepts, which could encompass sustainable water and land use approaches, that enhance yield and preserve the watershed at the same time. Furthermore, it might entail the issue of payments for watershed services.

Although mountain regions in developing countries face numerous challenges in the context of a green economy, the green economy development model opens windows of opportunity to rectify earlier development models which have tended to exclude the concerns and interests of mountain regions. Green economy can provide the framework for valuing and compensating critical services of mountain regions that benefit downstream communities, and in the process, encourage conservation and address mountain poverty. The green economy paradigm of development can hence unlock the potentials of mountains while preserving mountain values towards sustainable development.

- Realising the Value of Mountain Ecosystem Services
- A Growing Market for Niche Mountain Products
- Conserving Ecosystem Services to Fight Poverty and Enhance Livelihood Security
- Government Policy Innovations for Conservation and Development of Ecosystems
- Introducing Incentive-Based Mechanisms for Mountain Ecosystem Services

The immediate aim would be to address the most important need of mountain and downstream communities for improving their livelihoods and reducing the risks from disasters induced by water scarcity or excesses through a combination of policy and technology interventions. The SMD4GC program's role could be either at the coordination and networking level whereby it could link up with all the ongoing activities related to water management in the member countries and synthesises the good practices into policies and programmes, or, an integrated policy and action approach on a chosen aspect, e.g. transboundary cooperation in river basin management.

Good progress was made by the various hubs on different aspects of water management, including cryosphere monitoring, river basin management, water conservation and harvesting, water distribution and use for household needs, agriculture, industry, and energy. There is thus a good opportunity to develop a comprehensive program on water that would be beneficial and relevant to address the current and emerging challenges facing mountain communities and their downstream neighbours. The programme should include policy development and advocacy, research and technology development, knowledge and technology transfer and adaptation, water management and and water governance.

The Water Programme would directly contribute towards the achievement of UN's Agenda 2030 Sustainable Development Goals. It will be fulfilling Goal 6: Ensure availability and sustainable management of water and sanitation for all and Goal 13: Take urgent action to combat climate change and its impacts. It would also contribute substantially to Goal 1: End poverty in all forms its forms everywhere and Goal 2: End hunger, achieve food security and improved nutrition and promote sustainable agriculture.

Ensuring Livelihood

Mountain regions face significant challenges when interacting with the market. Tourism, the marketing of mountain products, payments for environmental services and green economy offer opportunities for economic development. Because of environmental and climatic constraints, difficult terrain and high production costs, economic activities in mountains rarely achieve the scale and profitability of those in the lowlands. Most mountain households pursue several activities to generate income. This diversification of livelihoods makes socio-economic systems more adaptive and responsive to the fragility of mountain ecosystems, enhancing mountain communities' resilience and capacity to cope with environmental and global changes. Economic development in mountains should build on these diversified systems and should not promote reliance on a single, even if lucrative, economic activity. Certain high-quality niche products offer comparative advantages for economic development in mountain areas. In addition to traditional handicrafts, specialty products can range from farm products, such as fruits, vegetables, off-season products, cheeses, and wool, to non-wood forest products, such as medicinal plants, herbs, and native spices. To maximize returns, mountain communities need support in moving from the selling of raw materials (e.g., fruits) to the processing and marketing of goods (e.g., juices).

Tourism offers great potential for improving mountain livelihoods, but the development of tourism is often concentrated in the hands of outside interests, with little of the benefit going to local communities. Mountain tourism can also have negative side-effects, such as environmental degradation and the disruption of local cultures. To avoid these adverse impacts, sustainable forms of tourism such as eco- or agritourism should be developed and promoted; mountain people's involvement and local ownership of tourism infrastructure are at the core of sustainable tourism development. Mountain tourism should satisfy the desires of tourists and enterprises, provide economic benefits to local communities and be environmentally sustainable.

Environmental services provided by mountain areas, such as high-quality freshwater, hydro-power, and disaster prevention, are often perceived as pure public goods, and their value is rarely expressed in monetary terms. This leads to an economic imbalance between downstream beneficiaries and upstream providers of the services. Financial mechanisms to compensate mountain communities for providing such services must be developed and implemented. In much of the industrialized world, incentives, subsidies, or direct transfer payments have become the norm, and where such financing mechanisms are not available, such as in many developing countries, payments for environmental services (PES) offer a promising alternative, particularly for the provision of drinking-water.

Based on experiences already gained by different mountain countries and areas and the Swiss expertise, introduce enabling policies and develop appropriate packages and mountain based niche enterprises, to create jobs and revitalize mountain economies.

This programme could include:

- Promoting enabling policies and legislations

- Capacity building of mountain communities in engaging in various economic activities and improving the range and quality of services

Those activities would contribute directly to the achievement of UN 2030 Agenda's Sustainable Goal 8: Promote sustained, inclusive, and sustainable economic growth, full and productive employment, and decent work for all. It will also help in achieving Goal 1: End poverty in all its forms everywhere.

Expected Outcomes and Outputs

Annexes 1 - Review questions

1.1 Relevance

1.1.1 Relevance of the project objectives: How consistent are the achieved effects With the needs of the beneficiaries and the requirements at (a) the global-regional level (b) the national-local level? To what extent are the objectives of the project still valid?

1.1.2 Are the activities and outputs of the project consistent with the overall goal and the attainment of its objectives?

1.1.3 Are the activities and outputs of the project consistent with the intended impacts and effects?

1.1.4. What relevance does SMD4GC have for the promotion of Sustainable Mountain Development on a global level, also compared with other initiatives?

1.1.5 Is there evidence that SMD4GC has strengthened the intra- and inter regional cooperation among mountain countries and leveraged their voice to influence regional and international policies?

1.1.6 How does SMD4GC link to international negotiation processes and does it have an influence?

1.1.7 (How) does SMD4GC link to / interact with other SDC projects working in mountain contexts. How can this cooperation be further strengthened?

1.2 Effectiveness

1 .2.1 To which extent have the objectives been achieved?

1 .2.2 What were the major factors influencing the achievement or non-achievement of the objectives?

1.2.3 Effectiveness in the approach and strategy proposed by the project?

1.2.4 Effectiveness in the reach-out at regional and global level?

1.2.5 Effectiveness of SMD4GC in influencing the international mountain agenda and or other relevant global policy agendas?

1.2.6 Effectiveness of the different SMD4GC partners in contributing to their specific outputs and to the overall outcomes?

1.2.7 Special review of proposed indicators (suitability, effectiveness, measurability)

1.3. Efficiency

1.3.1. Were activities cost-efficient? Did the SMD4GC partner work in a cost-efficient manner?

1.3.3. Were objectives achieved on time?

I.3.3 Was the project implemented in the most efficient way compared to alternatives? If not, what were the major impediments to do so (e.g. contexts in which some of the partners operated, strength of the partners, etc.)?

1.4 Qualitative and quantitative outcomes of the SMD4GC programme

1.4.1 Which positive, lasting effects and behavioural changes can be perceived?

1.4.2 What are the developed capacities of stakeholders in the target regions with regards to Sustainable Mountain Development (after the first phase of SMD4GC)

1.4.3 What is the importance/relevance of Sustainable Mountain Development for decision makers (What real difference has the activity made to the beneficiaries?)

1.4.4 Is there an increased awareness Of / support to Sustainable Mountain Development and if so, in what way?

1.4.5 Feedback from users and the impact on public policy

1.5 Sustainability

1.5.1 Sustainability of the activities?

1.5.2 Sustainability of effects or changes promoted - e.g. to what extent will the benefits of the project continue after donor funding ceased?

1.5.3 Sustainability of the involved partners — e.g. to what extent will the supported institutions be able to continue their work on SMD after donor funding ceased? What is the (in-kind) contribution of the partners to the SMD4GC programme?

1.5.4 Are there any other donors or interested stakeholders that already support or intend to support the direction of SMD4GC or the programme itself?

1.5.5 What are the major factors which influenced the achievement or non-achievement of sustainability of the project?

2. Concept Note (for a potential second phase of SMD4GC with a particular focus on SDC target regions and contexts based on the review and a SWOT analysis of the SMD4GC programme as well as a context analysis of the current international setup related to Sustainable Mountain Development. The Concept Note should include at least the following elements:

2.1. Background including an analysis of the global context (policy agenda, key actors etc.) and rationale for a possible second phase of SMD4GC

2.2. Potential future strategic orientation and objectives (what could be the future focus, target regions/context, what are opportunities/gaps that could be filled by SDC and Swiss expertise)

2.3. Potential link(s) to other relevant ongoing key activities related to SMD

2.4. Indication on potential key partners and their role (e.g. current partners in SMD4GC, other relevant SMD institutions, ...) and duration of such a programme

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Annex 3 Logical Framework

Hierarchy of objectives Strategy of Intervention	Key Indicators	Data Sources Means of Verification	
Impact (Overall Goal)	Impact Indicators		
Contribution to Sustainable Mountain Development (SMD) under uncertain changes in climatic, environmental and socio-economic conditions with a specific focus on water, food security, energy, migration and extreme events (DRR/CCA)	proportion of essential mountain ecosystem goods and services that are sustainably secured proportion of mountain dwellers moved out of poverty proportion of mountain dwellers with increased safety and security (as key basis for sustainable development)	Regional SMD assessments (periodic)	
Outcomes	Outcome Indicators		External Factors (Assumptions)
Outcome 1 Instruments for SMD (e.g. initiatives, actions, legislation and policy frames) are launched at local, national, regional and international level (incl. UN conventions and post-2015 process) by local, national and international stakeholders <i>Enabling environment & demand level</i>	Number, type and thematic focus and quality ¹ of SMD initiatives, actions, frameworks and legislations ² Instruments for science-policy dialogue facilitations are available and tested and shared across regions.	annual reports of project partners national policy and legislative/regulative documents relevant international documents referring to SMD issues (e.g. post-2015 documents, UN-SG reports) media coverage	Relevant stakeholders are interested in SMD Additional external (and internal) support and resources for SMD can be mobilized by the partners Political stability in the focus

¹ Quality will be assessed by e.g. high-level attendance of round-tables and SMD events, the implementation of newly adopted SMD legislation etc. ² Examples: initiatives: participation of relevant stakeholders at SMD round tables; frameworks: 3 Paragraphs in the Rio+20 outcome document

			Institutional internal stability
Outcome 2 Mountain stakeholders and communities implement SMD activities based on the available knowledge and information <i>Supply level & pilot actions</i>	Number, type, thematic field and quality of knowledge-based initiatives and projects (based on knowledge provided by partners) Number of calls and access for knowledge based information by communities and stakeholders Number and quality of presentations and articles given at different fora and journals/books on the experiences of the initiatives taken	annual reports of project partners feedback by target groups / media coverage	Sufficient knowledge and capacity (financial & personal) allow SMD Enabling policy framework is existing

The following table includes a **compilation of the main activities of all partners per outputs**. For the sake of clarity, **it does not include the budget** for these activities. **The budget can be found in the detailed logframe of every partner in Annex 4.3.**

Outputs (per outcome)		Output Indicators	Means of verification	External factors
For Outcome1: Instruments for SMD (e.g. initiatives, actions, legislation and policy frames) are launched at local, national, regional and international level (incl. UN conventions and post-2015 process) by local & national and international stakeholders				
Output 1.1	Policy and decision makers as well as other relevant stakeholders at local, national, regional and international level are aware of SMD issues (Awareness raising)	Number of policy/decision makers and relevant stakeholders participating in SMD events and/or actively talking about SMD issues	- annual reports of project partners - proceedings / evidence of events incl. media coverage Verification: direct interaction with relevant stakeholders	Policy and decision makers and relevant stakeholders are not yet aware of SMD issues but interested to learn about it Mountain community cooperates on and mainstreams SMD issues
Major activities (per output)		Implementation	Expected result	

	(Co-) Organization of and contribution to several global and regional (high-level) SMD events	All, 2014-17	At least 2 major global/regional SMD events in the target regions (see Annex 5) with high-level participation Increased SMD awareness among participants and a network of interested policy/decision makers Media coverage
	Production of policy briefs	All, 2014-17 (Synthesis of technical literature and key SMD issues in a user-friendly format for decision makers)	1 policy briefs / 6 months on key SMD4GC topics published and summarised for policy makers in Africa 7 Propuestas Andinas published and distributed 2015-17 one annual SMD policy brief in Central Asia
	Cooperation with media	ARCOS 2014-17 (Use communications media to communicate SDM issues to decision-makers)	2 articles per year in major newspapers
	(Co-) Organization of and contribution to various public SMD events incl. panel discussions to promote understanding of SMD agenda (IMD, slow mobility days)	ARCOS, CONDESAN, CDE, FDDM, UCA, SDC (with different partners) 2014-17	At least 1 event / year in every target region (incl. International Mountain Day) SMD awareness has risen among the participants Media coverage
	(Co-) Organization of SMD forums, roundtables and consultations with policy makers, public and mountain stakeholders (key topics: CCA, water and land management, food security)	CONDESAN, UCA (joint implementation with regional mountain stakeholders)2014-17	7 SMD electronic forum (1 for 2014, 2 per year from 2015 to 2017) 20 face-to-face SMD forums (2 for 2014, 6 per year from 2015 to 2017) At least 2 round tables and 1 bi-annual consultation; increasing number of new players joining the group (e.g. line ministries, lead experts) Increased SMD awareness and regional visibility Reports/coverage on events/consultations/round table discussions
	Andean SMD Policy Monitor and data-base (key topics: CCA, water and land management, food security)	CONDESAN 2017-17	Data-base for policies on SMD and 12 Policy Monitor e-newsletter at the national and regional scale in the Andes
	Learning trips (with 8 policy and decision makers as well as other relevant stakeholders at local, national, regional and international level)	CONDESAN 2017-17	3 Learning trips
	Support and provide communication and outreach platforms for newly designed decision support tools (using existing tools, e.g. Aiyi Demi)	UCA 2014-17	Number of instruments in usage (Aiyi Demi/briefing notes/session documents)
	Facilitate active engagement of mountain stakeholders and ensure active presence of mountain agenda in highprofile national forums	UCA 2014-17	Increased SMD awareness and regional visibility
	Promotion of evidence based decision support for SMD in annual workshops	UCA 2014-17	Increased awareness on new tools and approaches Active network of informed actors working on SMD themes
Output 1.2	Policy and decision makers as well as multilateral agents (e.g. ADB, AfDB, IDB, WB, ...) promote and support SMD in development policies, strategies, and action plans at local, nation-	Number and kind of relevant stakeholders (e.g. Policy and decision makers, NGOs, CBOs, research centres, women's groups, private companies) promoting and supporting SMD at local, national and international level Number and kind of events at local, national, regional and	- annual reports of project partners - evidence through reported actions, frameworks, etc. Verification: direct interaction with relevant stakeholders
			Policy and decision makers that are informed about and aware of SMD issues are willing to promote and support SMD

				Cooperative attitude and/or political agendas of certain stakeholder groups allow efforts of coordination
	al, regional and international levels (Promotion and support)	international level promoting SMD issues (e.g. World Mountain Forums, Paragraphs in relevant documents)		and mainstreaming
Major activities (per output)		Implementation	Expected result	
(Co-) Organization of and contribution to several global and regional (high-level) SMD events (incl. side events)		All, 2014-17	At least 2 major global/regional SMD events in the target regions (see Annex 5) with active high-level participation and follow up network of interested policy/decision makers Media coverage	
SMD (and Agenda 21) mainstreaming into national, regional and international policy and development processes (incl. contribution to stakeholder consultations)		ARCOS, FDDM, UCA, SDC 2014-17	SMD issues in new development frame (International); technical inputs and position papers in support of international SMD4C objectives Mountain issues in AMCEN declaration (Africa); MOU signed at least with 1 Regional Economic body (EAC) and relationships built with others National committees initiated and launched in Uganda, Ghana, Cameroon and Madagascar ; meetings held and documents incorporating SMD issues ; SMD actions are led through the administration National Committees/members established/mobilized for advancing mountain agenda; Line ministries collaborating actively on SMD: MinEconomics; State Statistical Agency; State Committee on Environmental Protection; Min Agriculture Policy documents and processes addressing mountain concerns	
SMD mainstreaming in guidelines of development banks and agencies and prioritize SMD related projects		ARCOS 2014-17	Number of initiatives and size of funding mobilized for SMD projects in Africa	
Promote Green economy initiatives in mountain region		ARCOS 2014-17 (Promote Public-Private Partnerships to actively support SMD Projects and Payment for Mountain Ecosystem Services)	Report on ongoing initiatives. at least 4 PPP initiatives in place	
Science-Policy dialogue		CONDESAN 2014-17	3 Science-policy workshops in the Andes, 3 publications of the workshop proceedings as part of the "Contribuciones para el desarrollo sostenible" series	
Mobilization of key SMD stakeholders		CONDESAN 2014-17	meeting per year of at least 4 out of 6 National Mountain Committees Meetings per year of the New York Mountain Focal Group 2 meetings of the Andean Initiatives of the Mountain Partnership	
Regional communication campaign to link SMD with other key topics or regions		CONDESAN, FDDM 2014-17	A regional campaign connecting SMD with other development topics At least 2 long-term joint initiatives operational at the regional level: Inter-regional and intra-regional Conference proceedings; networking	
InkaFest		CONDESAN 2014-17	Support to 4 InkaFest and their InkaFest Tours at different Andean countries	

Provision of tools for S(M)D for mountain stakeholders to create an enabling environment	FDDM, UCA 2014-17	Concrete tools for SD are provided to the general public SMD web portal up and running in 2015 (Central Asia)
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Outputs (per outcome) and costs		Output Indicators	Means of verification	External factors
For Outcome 2: Mountain stakeholders and communities implement SMD activities based on the available knowledge and information				
Output 2.1	Enhanced capacities to produce, manage, analyze and apply SMD related data and information in the target regions and thematic domains of strategic interest (Knowledge generation)	Number and kind of stakeholders and institutions producing and providing reliable data, approaches and information Reliable baseline data and information is available <i>(baseline today: poor data/no data, no products)</i>	- annual reports of project partners - reports and (peer-reviewed) publications on SMD related data and information - number of capacity building workshops (incl. feedbacks of workshop participants) <i>Verification: direct interaction with relevant stakeholders and institutions</i>	Sound knowledge management builds on sufficient capacity, quality assurance and an open attitude for data collection and sharing Local authorities acknowledge the value of data and knowledge management and give it a high priority
Major activities (per output)		Implementation	Expected result	
Enhance data collection, analysis and reporting on important issues on SMD		ARCOS with AfroMont 2014-17	scientific papers in rated scientific journals. Report detailing common methodology two scientific meetings held (2015 & 2017) at least two collaborative research programmes/projects launched Archives with either shared data or metadata on subjects such as weather and socio-economic data	
Provide tools and case studies to guide sustainable actions and SMD in African mountain ecosystems		ARCOS 2014-17	Overview reports Information on traditional and cultural knowledge on mountains to be included in country report	
Publication of International Journal Mountain Research and Development (MRD)		Editorial office (CDE) with Editors-in-Chief (CDE, ICIMOD), with support of International Editorial Board, and members of the International Mountain Society (IMS; total of 11 international members), 2014-17	four issues of MRD per calendar year, containing state-of-the-art contributions on SMD from the point of view of development practice and research; at least four platform statements for key institutional partners in SMD	

Backstopping regional coordinators of mountain sustainability research networks	CDE/MRI (in support of AfroMont, CONDESAN, UCA, possible new network in South East Asia in collaboration with CDE, 2014-17	Collaborations between like-minded researchers in different parts of the world; Advise coordinators re: SMD relevant research, education and training, assessment Exploratory meeting of SE Asia researchers to assess potential for a regional network Regional networks websites in appropriate languages; Linkage of regional networks to funding opportunities; Participation by regional researchers in MRI global initiatives
Design of SMD Assessment	CDE/MRI, working with ARCOS/AfroMont, UCA, CONDESAN, ICIMOD, members of the MP and other cooperating entities; 2014-16	Clarification of current assessment activities; Definition of a globally appropriate comprehensive and quantitative method with indicators Specification of regionally important policy questions and their relationship to global approach Evaluation of available regional and global data Establishment of basic GIS and data delivery protocols, using existing purveyors to the extent possible Specify new datasets to be developed by third parties and made available to all
Preparation for Perth III	CDE/MRI, working with ARCOS, UCA, CONDESAN, ICIMOD, members of the MP and other cooperating entities; 2014-15	Preparation of sessions and workshops at Perth III for global initiatives Development of key interim messages and materials Participation of key regional researchers
Training workshops on data analysis	CONDESAN 2015-17	2 training workshops to create capacity created in universities and institutes collecting long term monitoring data, including enhanced relationships between academia and public institutions.
Communicator community of practice on SDM in the Andes	CONDESAN, 2015-17	1 Regional Communication Workshop on SMD in the Andean Region Journalist Network specialized in SMD in the Andes 6 peer visits for knowledge sharing between communicators 20 Virtual Training Talks across the members conducted by a Thematic Specialist
Espace Mont-Blanc SD observatory	FDDM and others 2014-17	Data on SMD in Espace Mont-Blanc region gathered, compiled and analyzed

Development of event management guide SD	FDDM 2014	A guide for event managers
Association of coordinators of local A21 in Suisse romande (Coord 21)	FDDM 2014-17	Practical tools and trainings have been delivered to targeted audience
Thematic Digests on water, climate change and biodiversity in mountain areas in the HKH and Asia Pacific region	ICIMOD (Asia Pacific MP), 2014-17	20 thematic digests shared per year through discussion lists and available on ICIMOD website and Mountain Knowledge Hub.
Comprehensive Assessment of the HKH Region (3 years)	ICIMOD involving authors from the HKH region and global experts, 2014-17	Report developed, published and shared
Position papers on food, water and energy security for the region prepared and used across various regional platforms	ICIMOD with subjects authors from the region, 2014-15	Position papers developed and shared through ICIMOD networks

capture/disseminate region specific adaptation /coping efforts by mountain communities and support to regional stakeholders for village level climate resilience practices		UCA with partners, 2014-17	At least 2 case studies by the regional stakeholders-practitioners : one for each country (Kg/Kz/Tj/Uzb/Turk/Altai/Dagestan/Mongolia) Global and regional platforms: MP/MF websites; newsletters; Aiyi Demi newspaper coverages; reports resilience practices identified/communicated/shared	
Development of online spatial information system (Atlas SIS for Central Asia) incl. data and information collection and generation		UCA, 2014-17	Progress in work on pilot spatial information system (final system fully finished 2016), but basic tool ready 2015 User statistics and feedback from workshop sessions Spatial database populated with relevant data for SMD: topographic data, land cover /land use data, data digitized from Russian/soviet military maps, data from statistical offices, data generated from sat. imagery – spatial DB will continuously growing 2014 - 2017 - Weather stations / sensors in place; data generation and analysis performed, reporting and publications concluded.	
Assessment of the Naryn catchment (incl. local knowledge for climate change adaptation, the role of ecosystem services) with support from ESPA		UCA, 2014-16		
Assessment of glacier monitoring status (country profiles)		UZH Profiles for all countries in the MH regions. 2014-15	Improved basis for efficient and effective planning and implementation of related monitoring activities	
Extending and synthesizing experiences from recent projects towards good practice guidelines		CDE, UZH, SDC, 2014-16	Review and synthesis (publications and presentations) of recent activities in the MH regions as guidance for science-policy frameworks and for multiplication (good practices)	
Review and analysis of IPCC AR5 outcomes for mountain regions with regional partners		UZH, ARCOS, CONDESAN, ICIMOD, UCA, 2014-16	Regional summaries of IPCC AR5 with contribution of and for the four MHs	
Output 2.2	Improved access for mountain communities and stakeholders to relevant and targeted information and instruments (Knowledge sharing)	Sound baseline data and information are accessible Instruments for SMD are available and accessible. Adequate response to the demand of data, information and services can be provided	- annual reports of project partners -accessible databases and reports / publications <i>Verification: access to data, information and services (e.g. for QA/QC, or for third-party projects)</i>	Baseline data, information and basic services provide a fundament for SMD People and institutions are willing to provide access and allow sharing of data (e.g. via 'open source technology') Ownership issues of data and security issues do not hinder the use and dissemination of data
Major activities (per output)		Implementation	Expected result	
Develop and maintain a database of key information on mountain ecosystems in Africa with a focus on SMD4C drivers of global change		ARCOS 2014-17	Portal under ARCOS Regional Portal Output report produced each year	
Facilitate networking with MP members in Africa		ARCOS 2014-17	Strengthened network Annual Africa Mountain Forum	

Production of user friendly communication materials	ARCOS 2014-17	Annual synthetic report on African mountains Biannual e-Newsletter 1 material per quarter (Video 2nd and 4th year)
Preparation and launch of 4 publication on mountain relevant topic including a contribution to a publication of CH-good practices on SMD (1 st topic: climate change, other topics to be identified)	CDE (coordination and editing) with core group of authors from centres of competence, guided by editorial board (SDC, CDE, ADA), 2014-17	Current state-of-knowledge report on Mountains and climate change (launch at COP 20) 3 Current state-of-knowledge report on topic to be identified, linked to a major theme in the development debate (UN-CSD list or similar) Reports on launching events
Newsletters for researchers in global changes in the Andes	CONDESAN, CDE/MRI	Quarterly newsletter summarizing research projects, news, opportunities and publications with relevance to the GLOCHAMORE strategy
Mountain Channel and InfoAndina TV for news dissemination and easy access to information about relevant topics on SMD	CONDESAN	4 institutional agreements with organizations in the region to collect and process relevant information on SMD in the Andes 300 blog post on key SMD issues and to highlight relevant novel research. 4000 news disseminated through InfoAndina and 1600 over Mountain Forum network 14 InfoGraphics on relevant SMD topics in the Andes Calendar of SMD events Thematic portals 40 InfoAndina TV micro-programs 40 video clips about SMD 60 podcast with the audio of video clips and InfoAndina TV programs
Digital Repository (Mountain Knowledge Hub @ the Mountain Forum Portal)	CONDESAN	Open access repository of relevant publications on SMD in the Andes facilitate access to information Quarterly thematic bibliographic analysis (InfoBiblio) integrated into thematic portals
GeoCONDESAN – Regional Environmental Information System	CONDESAN	Geoserver with spatial data generated by CONDESAN's projects and monitoring networks
Contribution to key SMD events and stakeholder meetings in Switzerland and Europe	FDDM	Presentations, conference proceedings, networking
Newsletter Agenda 21	FDDM	5'000 readers receive information on SD
Best practices in SD for local authorities and businesses and education for SD	FDDM	Local authorities and businesses receive have concrete help for launching SMD actions Interventions in schools
Continued support to the Mountain Knowledge hub through moderation of various discussion lists (mf-global, mf-asiapacific, mf-africa, MP-asiapacific, MP-centralasia)	ICIMOD (Asia Pacific MP)	Access to information, knowledge services specific to SMD available; Increased membership requests to the discussion lists;
Production of knowledge products for better adaptation, e.g., High Land Farmer Reference materials on low cost soil and water conservation techniques	UCA with partners	Documentations: Compiling content for the Pocket reference manual for farmers in TJ and KG

Facilitation of long-term exchange between Central Asia and India/other regions on high-value mountain products marketing	UCA with partners	joint project proposal on Joint marketing mechanism for high-value mountain products of Central Asia and HKH; and kick off the pilot initiative for joint marketing. Joint marketing mechanism for high-value mountain products; MoUs signed; Services agreed; Financial reports on goods realized; Evaluation and assessment, monitoring reports
Mobilization of mountain stakeholders for content development work	UCA and partners	-Further development of the Aiyl Demi newspaper as info exchange platform for mountain stakeholders
Diversification of knowledge sharing tools for mountain communities/stakeholders	UCA	-2014: Panel discussions; -2015: Regional Partnership Fair for mountain stakeholders; -2016: Inter-regional marketing mechanisms for high value mountain products -2017: Evaluation and assessment, monitoring reports
Promotion of data sharing and information exchange activities	UCA	Workshops with key-stakeholders to promote data and information sharing
Development and promotion of GeoNetwork application)	UCA	Progress on metadata platform as a tool for sharing / publishing of spatial meta data GeoNetwork ready and online in 2015 Metadata created for key spatial datasets 2016/2017
Assessment of the potential of DRR databases in the con-	UZH	Information and scientific analyses of local and regional disaster databases to enhance DRR efforts and

text of global change		polices, towards an improved production and management of knowledge, serving the needs and purposes of SMD
Book on climate impacts and adaptation experiences	UZH, ARCOS, CONDESAN, ICIMOD, UCA and partners	Integration of various regional perspectives on CCA; prime opportunity to increase visibility of Swiss activities contributing to SMD
Regional network mapping	UZH	Maps/database for the MH regions on existing networks and possible extensions of the networks
Facilitation of joint publications	UZH	Joint publications; Strengthened institutions and individuals in the MH regions; Increased international scientific visibility and weight
Output 2.3	Mountain stakeholders are capable to engage in effective practical action and in policy dialogue (Knowledge-based capacity development)	Number of interested persons and participants at knowledge sharing events (workshops, trainings) Number of mountain stakeholders using / applying the information and knowledge on SMD
		- annual reports of project partners - reports / publications on successful initiatives and actions - visible / tangible outputs of concrete actions (e.g. an adapted land use plan or a DRR infrastructure) <i>Verification: random sampling of interesting initiatives and actions</i>
		A conducive administrative and political environment and financial resources are available

Major activities (per output)	Implementation	Expected result
Strengthen the capacity of SMD institutions, stakeholders and (regional) networks	ARCOS, UCA 2014-17	At least 1 communication tool developed per year; At least 20 community organizations trained per year from 2 nd ; At least 1 link between communities and markets per year identified and supported Regional Training Workshop with at least 25 participants from all Africa per year Development of partnerships and exchange mechanisms with MP members outside Africa: At least 1 partnership per region finalized and exchange activities facilitated in Africa Practices identified/Reports/sources/tools on info dissemination; Village level testimonies: stories by villagers; feedbacks; Evaluation and assessment, monitoring reports
Catalyse and support income generating and benefit sharing activities in mountain areas	ARCOS 2014-17	Small Grants of 5,000 max per grantee to CBOs and NGOs working with community groups in areas of interest
Virtual SMD Communities of practice (platform to support the interaction of different Communities of Practice)	CONDESAN 2014-17	10 CoP hosted by the platform
(b) Policy oriented syntheses of key SMD topics in recent research	CONDESAN, CDE and partners 2014-17	One synthesis per year published, summarising, consolidating and translating recent research on topics such as i) global change and water availability in the Andes, ii) effects of elevation dependent warming on livelihoods in the Andes, iii) changes in distributions of important species for rural livelihoods under global changes
Provision of training (incl. IPROMO; Intern. Programme on research and training on SMD; local Agenda 21, SMD Training for trainers, Youth Forums, etc.) and regional distance learning initiatives and provide (online) decision support capacity	CONDESAN, FDDM, ICIMOD, UCA 2014-17	Up-to 3 Andean stakeholders participate in IPROMO Course each year 15 businesses trained on Valais Excellence 7 PUSCH seminars with 200 participants trained Agendas 21 have been launched 1 or 2 seminars/year, 10-15 Trainers trained online learning modules available (2014 concept development; -2015-2017:development and contribution of yearly one module) Asia Pacific Youth forum: 40 youth selected from 15+ countries participating in a regional dialogue; Event proceedings; media coverage Training program and replication for neighboring countries (TJ; KZ); 2ndstage: Altai & Dagestan;3rd stage: other countries (Mongolia???)
Initialization and piloting bilateral cooperation with higher education institutions on integration of mountain agenda into their curricula	UCA 2014-17	Agreement; Pilot program; Reports by the CA hub Evaluation and assessment, monitoring reports

Targeted capacity building and twinning		UZH 2015-17	Summer school on glacier monitoring; hosting of guest scientist and on-site support Improved individual and institutional capacities and improved (glacier) monitoring strategies	
Support to key research workshops and to scientific exchange programmes (north-south-south) and of SDC programmes; incl. transferability assessment of data and methods		CONDESAN, UZH 2014-17	Fair on long-term observing systems of mountain social – ecological systems Enhanced expertise, capacities and networks in the hub regions	
Dissemination, exchange and discussion of results at dedicated conferences		UZH 2014-17	Dissemination and sharing of knowledge, strengthening of organizing partner institution	
Output 2.4	Pilot studies with upscaling potential on SMD in Africa, Central Asia, Latin America and HKH region are launched (Implementation knowledge)	Number and kind of launched pilot studies (and induced follow up)	- pilot study drafts and final re-cooperation ports	other SDC domains are interested in SMD
Major activities (per output)		Implementation	Expected result	
4 pilot studies together with different SDC domains in the MH's regions		SDC (different domains)	4 pilot studies leading to full-fledged projects	

