



MOZAMBIQUE

SGP Country Programme Strategy for utilization of OP5 grant funds

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GEF/UNDP Small Grants Programme

Rua Kibiriti Diwane, nr. 322

P.O. Box: 4595 Maputo - Mozambique

Tel: +258 21 481 476 , Fax: +258 21 491 691

registry.mz@undp.org , www.undp.org/sgp

List of Acronyms

AIDS - Acquired Immune Deficiency Syndrome
CBD - Convention on Biological Diversity
CBO - Community Based Organizations
CEO - Chief Executive Officer
CO - Country Office
CPMT - Central Program Management Team
CPS - Country Programme Strategy
CSO - Civil Society Organizations
GEF - Global Environment Facility
GHG - Green House Gases
HIV - Human Immuno-deficiency Virus
ICCA - Indigenous and Community Conservation Areas
INE - Instituto Nacional de Estatística (National Bureau of Statistics)
LOLE - Lei dos Órgãos Locais do Estado (Local State Authorities Law)
LPG - Liquefied Petroleum Gas
M&E - Monitoring and Evaluation
MDG - Millennium Development Goals
MEA - Multilateral Environmental Agreements
MICOA - Ministério para a Coordenação da Acção Ambiental (Ministry for Coordination of Environmental Affairs)
NAMA - Nationally Appropriate Mitigation Actions
NAP - National Action Plans
NBSAP - National Biodiversity Strategy and Action Plan
NC - National Coordinator
NCCC - National Conventions Coordination Committee
NCS - National Communication Strategy
NCSA - National Capacity Self-Assessment
NEPAD - New Partnership for African Development
NFG - National Focal Groups
NGO - Non Governmental Organizations
NIP - National Implementation Plan
NPFE - National Portfolio Formulation Exercise
NSC - National Steering Committee
OFP - Operational Focal Point
OP5 - Operational Phase 5
PA - Programme Assistant
PARPA - Programa de Acção para a Redução da Pobreza Absoluta (Poverty Reduction Strategic Paper)
PECODA - Programa de Educação, Comunicação e Divulgação Ambiental (Environmental Education, Communication and Awareness Programme)
PNGA - Programa Nacional de Gestão Ambiental (National Environmental Management Programme)
POP - Persistent Organic Pollutants
PRA - Performance and Review Assessment
PRSP - Poverty Reduction Strategic Paper
SAP - Strategic Action Programmes

SC – Stockholm Convention
SGP - Small Grants Programme
STAR - System for a Transparent Allocation of Resources
TV - Television
UNCCD - United Nations Convention to Combat Desertification
UNDAF - United Nations Development Assistance Framework
UNDP - United Nations Development Program
UNESCO - United Nations Education, Science and Culture Organization
UNFCCC - United Nations Framework Convention on Climate Change
UNOPS - United Nations Office for Projects Services

SGP Country Programme Strategy for utilization of OP5 grant funds

Country: MOZAMBIQUE
Resources to be invested: US\$1,2M¹ (CORE excluding STAR Funds)

1. SGP country programme - summary background

1.1 Length of time the SGP country programme has been active within the global SGP and results achieved.

The GEF/SGP aims to deliver global environmental benefits in the GEF focal areas. It is implemented by the UNDP and executed by UNOPS². Established in 1992 at the Rio Earth Summit, the GEF/SGP embodies the very essence of sustainable development, by providing financial and technical support to projects in developing countries that conserve and restore the natural world while enhancing the well being and livelihoods of local communities. It demonstrates that community action can maintain the fine balance between human needs and environmental imperatives.

SGP links global, national and local-level issues through a transparent, participatory and country-driven approach³ to projects planning, design and implementation. Grants are made directly to community groups and NGOs in recognition of the key role they play as a resource and constituency for environment conservation and development concerns. Though SGP grants are small, their impact is large.

The GEF/SGP country programme has been active in Mozambique for almost eight years. After a country request by the Ministry for Coordination of Environmental Affairs (MICOA), an appraisal mission took place in October 2003 which was conducted by CPMT and UNOPS and culminated with the GEF/SGP country programme being established in the country. The country team started its activities in April 2004 with the opening of the GEF/SGP office based at UNDP CO. The first NSC group was established at the same time, it designed the first version of the country programme strategy (CPS), and approved the first project grants that grew up to more than ninety seven projects over these years covering all GEF focal areas.

The country programme strategy, together with complementing guidelines for project design, approval and monitoring, provides the necessary tools for the National

¹ The level of SGP OP5 resources is an estimated total of the GEF core grant allocation, anticipated STAR resources (US\$2,4M STAR funds to be allocated), as well as other sources of third party co-financing.

² The GEF Small Grants Programme (SGP) is implemented by UNDP on behalf of the implementing agencies of the Global Environmental Facility - and is executed by the United Nations Office for Project Services (UNOPS).

³ 5th Operational Phase of the GEF Small Grants Programme

Coordinator (NC), National Steering Committee (NSC)⁴ and grantees to comply with the programme operational procedures. Identification and development of projects depends greatly on local conditions and priorities, once the GEF criteria is given due consideration, together with the tools developed by the country programme.

The NSC together with the NC plays a key role in the design of the Country Programme Strategy (CPS). They have the ultimate responsibility for ensuring that local environmental concerns are taken into consideration, and that a framework for project implementation by grantees is established. The CPS also provides a channel for partnerships and collaboration mechanisms in programme facilitation, mainstreaming, resource mobilisation and sustainability of impacts.

Social concerns related to HIV/AIDS and gender equity, as crosscutting issues, are integrated into this CPS assuming that most beneficiaries are in the active age and are vulnerability to the pandemic. Analytical tools are considered for the project approval process to ensure that HIV/AIDS and gender balance impacts **on** and **from** the projects are assessed in the project approval and implementation stages. During review of project proposals by the NSC, the economic, social, political and cultural roles of women, children and men are recognised and given relevant or equal opportunity. Project design will have to incorporate the roles of both women and men in contributing to and managing household income.

For consolidation of projects impacts, the CPS took into account the needed capacity building of Civil Society Organizations (CSO), with particular focus to community-based organizations. Training efforts will be put in place to improve managerial capacity of these groups and these shall include the organizational development, financial management and project planning.

1.2 Key baseline considerations for the SGP Country Programme Strategy, major partnerships, and existing sources of co-financing (including from government, bilateral and other sources).

Within the GEF-5 Mozambique SGP country programme was ranked within SGP as a Category I country. STAR funds have been negotiated for an amount of US\$2.4M, and the GEF/OFP letter of endorsement is expected anytime. The major goals to this operational phase will be to focus on development of networks to increase programme impacts that will include stakeholders consultations and training on GEF/SGP focal areas and major environmental conventions, resource mobilization for added technical and financial support, capacity development of CSOs to improve their project management capacity, knowledge management workshops involving partners and grantees, and to increase programme visibility through publications and collection of best practices.

For OP5, part of the major challenges will be to increase and consolidate efforts on biodiversity conservation around hotspots, protected areas and other areas of

⁴ The NSC is comprised of representatives from the government, UNDP country office, NGOs, universities/research institutions, and other civil society organizations. The NSC also includes donor representatives and private sector entities. Participation of technical experts in the GEF focal areas was ensured, and these experts are affiliated with the government, NGOs, universities, and environmental movements.

environmental significance. In the area of geographic coverage, key vulnerable species, habitats and sensitive landscapes are identified and effort will be put towards increasing their protection by involving local communities, local administrative authorities and local private sector entrepreneurs.

To mitigate climate change impacts, projects will concentrate on reducing GHG emissions, promotion of carbon sequestration, development and use of innovative technologies for clean energy efficiency. Resilience to the impacts and effects of Climate change by local communities will also be a priority.

Control of land degradation is still a priority with efforts being concentrated on limitation of soil erosion, soil impoverishment, watershed management, improvement of soil fertility, and control of wildfires, control of desertification and deforestation, and increase and expansion of plant cover. Management of waterbodies has a significant impact in sustaining livelihoods and enabling environment preservation. Projects will aim to limit pollution, maintain integrity and secure wildlife around these waterbodies.

Incentives to reduce and eliminate or phase out use of POP's and harmful chemicals that lead to environmental degradation and pose a threat to humans and wildlife health will be developed at community level. Measures to control pollution by these substances and promote its sequestration will also be encouraged. Complementary measures that promote good environmental governance at community level will be promoted. Crosscutting issues like gender balance, reduction of vulnerability, mainstreaming of the MDG's and organizational capacity development will be integral to the programming during this phase.

Consolidation of projects impacts within the area of geographic coverage will be a priority. SGP focal areas strategies will be complemented by national environmental strategies and action plans as a mean to address national priorities.

2. SGP country programme niche

Mozambique is situated in the Southern Africa east coast between Rovuma River bordering Tanzania in the north and South Africa in the south. At west is bordered by Malawi, Zambia, Zimbabwe, South Africa and Swaziland. The country holds an area of 799.380 km² and seashore by the Indian Ocean. The population was estimated at 20.8 millions in 2008 by the national bureau of statistics (INE).

The country is divided in three main geographic areas. South (southern of Save River), centre (between Save and Ligonha rivers), and north (between Ligonha and Rovuma rivers). Coastal plains along the coastline characterize the geography of this zone. Towards the countryside, the altitude increases in a succession of plains, plateaus and mountains. The average altitude is 370 meters. There is a clear distinction between the region south of Save River with altitudes up to 120 meters and the region north of this river with average heights of 435 meters.

The northern region presents extensive mountains that coincide with the limits of the Rift valley. Few Inselberg Archipelagos occur in the countryside of the northern region.

Along the 2,700 km of the coastline, there are numerous islands with a distinction to Quirimbas Archipelago, Mozambique Island, Primeiras and Segundas Islands, Goa and Sena Islands, Bazaruto Archipelago, Inhaca Island, and Elefantes and Xefina Islands.

Major water bodies are the Niassa/Malawi lake, an internationally recognized area for its biodiversity value, specially its richness of endemic fish species, the Cahora Bassa dam, an important nursery ground for fish species with a significant economic importance to the region, and small lakes like Chiuta, Chirrua, Chicamba-Real, Massingir and Corumana dams that stand as major water reservoirs, and source of fish and hydropower. There are various secondary and tertiary river systems that have a significant importance in providing water to human settlements.

The country is located between the inter-tropical and sub-tropical zones of the southern hemisphere, being subject to four atmospheric circulation factors: inter-tropical front of southern convergence, anti-cyclones of the Southern-Atlantic and Indian oceans, thermal depressions of the warm season, and tropical cyclones of the Mozambique Channel. The temperatures vary from 23°C in the coast to 25°C inland within the south region. They are little higher in the northern region with average temperatures of 25 to 26°C in the coast and 18°C inland. The average temperatures in the central region are 25°C, but can fall to 20°C in higher areas of Tete province. The climate ranges from tropical to subtropical with two seasons. A cool and dry winter from April to September and a warm and rainy summer from October to March.

Rainfalls vary from south to north and from coast to inland. In the coastal areas annual rainfalls vary between 800 to 1,000 mm. Due to monsoons effect in the coast close to the Zambezi delta, rainfalls can reach 1,200 mm and in the inland of the Zambezi valley, rainfalls can reach up to 500 to 600 mm. The warm and wet season is from October to March and the cool and dry season is from April to September. Notable altitudes can be observed in Manica province (the country's highest point - Mount Binga with 2,492 meters), the Zambezia province plateau in the Gurúe and Alto Molókie highlands, the Maravia and Angonia plateaus in Tete province, and the Lichinga plateau in Niassa province.

The country's forest cover is about 78%, with Miombo dominating the central and northern regions, and Mopane, the second largest vegetation type, occurring along Limpopo and Save valleys and along Zambezia plateau. Non-differentiated forests occur along the central and southern regions and are dominated by acacias. The afro-montane vegetation type occurs in islets mostly along the border with Malawi and Zimbabwe.

Coastal mosaics dominated by dune, swamp and mangrove forests characterize the coastal areas. About 45% of the country (\pm 36 million hectares) is regarded as arable land, suitable for seasonal and permanent crops. Unfortunately only 30% of the farming potential is in use, but holding 80% of the labor force.

With a 2,700 km coastline along the western Indian Ocean, marine and aquatic resources provide a huge potential for economic growth. The Niassa Lake, Cahora Bassa dam and other lakes and rivers complement the coastline resources with an outstanding source of fish species and hydrological potential for multiple uses.

2.1 List of dates of the country ratification of the relevant Rio Conventions and relevant national planning frameworks:

Table 1: List of relevant conventions and national/regional plans or programmes

Rio Conventions + national planning frameworks	Date of ratification / completion
UN Convention on Biological Diversity (CBD)	24 August 1994
CBD National Biodiversity Strategy and Action Plan (NBSAP)	21 October 2007
UN Framework Convention on Climate Change (UNFCCC)	24 August 1994
UNFCCC National Communications (1 st , 2 nd , 3 rd)	21 October 2007
UNFCCC Nationally Appropriate Mitigation Actions (NAMA)	7 February 2008
UN Convention to Combat Desertification (UNCCD)	26 November 1996
UNCCD National Action Programmes (NAP)	21 October 2007
Stockholm Convention (SC)	31 December 2004
SC National Implementation Plan (NIP)	12 August 2008
World Bank Poverty Reduction Strategy Paper (PRSP II:2006-2009)	1 May 2006
GEF National Capacity Self-Assessment (NCSA)	9-11 May 2007
GEF-5 National Portfolio Formulation Exercise (NPFE)	24 March 2011
Strategic Action Programmes (SAPs) for shared international water-bodies	26 November 1996

2.2 SGP country programme use of OP5 resources to support implementation of national priorities in relation to GEF-5 Strategic Priorities. Civil society and community-based projects coordination to help the country achieve its priorities and objectives of the global conventions.

The GEF focal areas are addressed by taking into consideration local agendas and plans. SGP complements country initiatives in the areas of poverty alleviation, environmental protection and sustainable development. The SGP recognizes the essential role that households and communities do to conserve environment by applying locally appropriate solutions and can play an important role in protecting the environment.

In the environmental sector, various steps are taken to establish an enabling legal and institutional framework to deal with issues of environmental and social concern. The National Environmental Management Programme (PNGA) adopted in 1995 complements the Agenda-21 in establishing the intervention priorities. In 2007 an Environmental Strategy for Sustainable Development was adopted establishing a set of scenarios and strategic interventions for areas to safeguard the environment.

This legal and institutional framework aims at the following:

- Minimize vulnerable environmental hazards;
- Support sustainable environmental practices;
- Encourage sustainable resource use;
- Improve livelihoods at community level;
- Improve access to basic environmental infrastructure and services;
- Ensure a sound economic and social development; and
- Reduce and prevent pollution.

Complementary work is underway to proclaim new Natural World Heritage Sites like the Bazaruto Archipelago and Inhaca Islands⁵, and design of a corresponding national action plans to support the realization of the various policies and strategies.

Civil society organizations have a medium-term national history. Around urban areas, most NGOs working on environmental issues are found, and in rural areas most CBOs undertake activities promoted by the local administrative authorities are common. The well established NGOs can promote and also bridge the CBOs to expand and develop their intervention capacity. A general assessment carried by CPMT in October 2003, during an evaluation mission for the start up of SGP in Mozambique, indicated that capacity development is needed to strengthen civil society.

There is an advantage that environment protection and sustainable development, are issues of major concerns for NGOs and CBOs, which eventually constitute potential grantees, but there is still a need for further support in developing their expertise. With the support from the public sector and donor community a lot can be done to establish good institutions for the civil society, from the pool of grantees that will benefit from SGP funding. The ultimate goal will be to convert these grantees into centers of community enterprises.

Target Groups

The target groups⁶ will be community organizations and NGOs that are eligible for SGP funding. These will comprise those entities that will undertake activities at the grassroots level for improving livelihoods, promoting sustainable resource use and promoting environmental conservation. Such target groups are characterised as vulnerable community groups that will do limited actions on sustainable resource use, and are marginalized from the development process that occurs in major urban areas, have limited access to new technologies and innovations and that are interested to develop their own capacities. Major challenge will be to build the capacity of the target groups in promoting sustainable resource use, environmental protection and income generation activities that will improve their livelihoods and enhance their capacity. The programme will also encourage development of networks of CBOs and NGOs, identify their priorities and action plans, and channel resources to build their capacity.

⁵ Case study for nomination of Bazaruto Archipelago and Inhaca Island as World Heritage Sites – UNESCO, Mozambique

⁶ Target groups are referred as potential grantees from community groups and NGOs that can benefit from SGP project grants.

Comparative Analyses

SGP will complement local and national agendas and plans, enabling the Programme to address local needs. The new policy setup for local and environmental governance will enable partnerships at various levels, by putting into practice legal frameworks. Besides considering a programme on its own, SGP will sustain itself on various sectoral development plans like the Government Five Year Plan, PECODA, Law of Local Level Official State Organs (LOLE), the Environmental Strategy for Sustainable Development, the Poverty Reduction Strategic Plan (PARPA), the National Programme for Environmental Management (PNGA), the Agenda 2025, the New Partnership for African Development (NEPAD), the United Nations Development Assistance Framework (UNDAF), and the Millennium Development Goals (MDG's). These programmatic instruments will be used as framework to implement the CPS.

Some complementary policies are the National Tourism Strategy, the Forestry and Wildlife Strategy, the National Water Policy, National Fisheries Policy, Rural Development Strategy, and Agriculture Sector Strategy among others that will be accounted for when addressing community needs for sustainable development and environmental protection.

Most of these national programmes are supported by the donor community and follow the guidelines of most international treaties and conventions to which the country is a signatory. Under the SGP collaboration framework, steps will be taken to establish partnerships with neighboring countries for strategic projects. Cross border communities that share similar concerns and goals will benefit from joint management efforts and cooperation.

The other component is related to working relations with the public sector, nationwide NGOs and CBOs fora, and private entrepreneurs, as an effort to share resources, build local capacity and avoid duplication of activities. SGP stands as an easy and accessible funding mechanism, with immediate impacts to benefit CBOs and NGOs, strengthening their capacity and preserving the environment. Partnerships will be encouraged in order to mobilize more resources for the programme and its projects.

Geographical Focus in OP5

2.3 Map of the region of geographic focus.

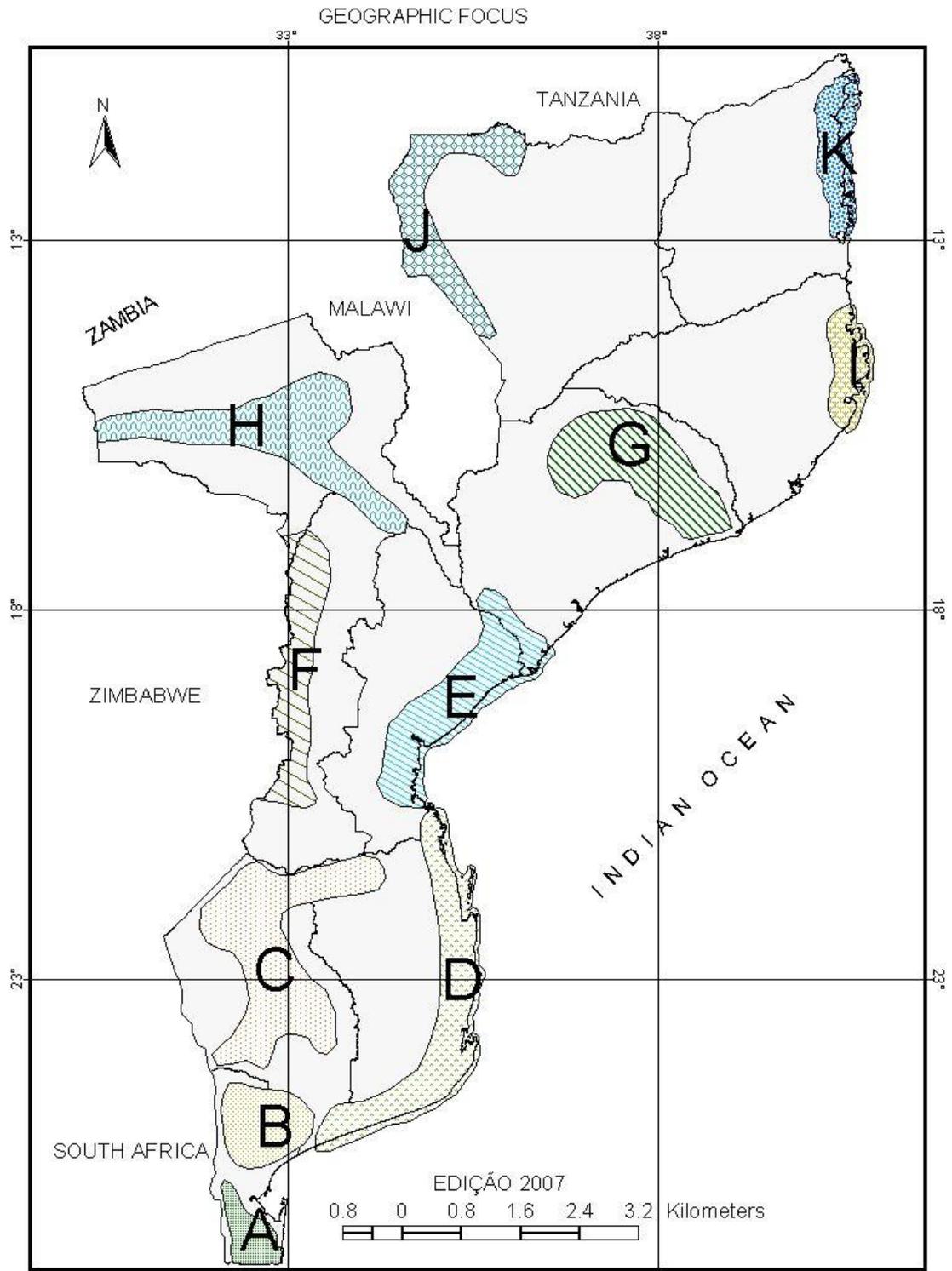


Fig.-1: Cluster areas of the geographic coverage representing different ecosystems and the GEF focal areas.

LEGEND
A – coastal marine and forest (Maputaland Centre of Endemism)

B – forest–Miombo woodland (Magude-Macia Complex)
C – drylands and salt pans (Gaza Drylands)
D – coastal marine (Inhambane-Gaza Coastal Mosaic)
E – coastal marine and forest (Zambezi Delta and Rift Valley)
F – afro-montane (Manica Highlands)
G – afro-montane and coastal marine (Milange-Gurúe-Alto Molócue Highlands and Pebane Coast)
H – freshwater, riverine and highvelds (Zambezi Valley and Maravia-Angonia Highlands)
I – coastal marine and forest (Mossuril-Matibane Complex)
J – freshwater and forest (Lake Niassa and Rovuma Complex)
K – coastal marine (Palma-Mocímboa da Praia and Quirimbas Complex)

2.4 The target OP5 global project objectives described in the GEF CEO endorsement documents. SGP country programme niche for grant-making in relation to the national priorities as applicable, outlined above, and the OP5 project objectives for the focal areas, as relevant.

Table 2: Consistency with national priorities

OP5 project objectives	National priorities	SGP niche
<u>SGP OP5 Immediate Objective 1:</u> Improve sustainability of protected areas and indigenous community conservation areas through community-based actions	Promote participatory management of protected areas involving relevant local stakeholders. Develop community conserved areas.	Increase community participation in conservation and management of biodiversity within and around protected areas;
<u>SGP OP5 Immediate Objective 2:</u> Mainstream biodiversity conservation and sustainable use into production landscapes, seascapes and sectors through community initiatives and actions	Improve management and production of biodiversity resources. Develop income generation activities at community level through sustainable use of biodiversity products.	Engage local communities in conservation, production and sustainable use of biodiversity products;
<u>SGP OP5 Immediate Objective 3:</u> Promote the demonstration, development and transfer of low carbon technologies at the community level	Diffuse and promote wide use of clean energies. Limit use of fuelwoods through channeling of clean energy (electric grid, LPG, solar power, etc.) to rural areas.	Disseminate use of clean energies and low GHG emissions technologies at community level;
<u>SGP OP5 Immediate Objective 4:</u> Promote and support energy efficient, low carbon transport at the community level	Reduce fuel costs to public and private transport through adoption of innovative technologies and clean energy sources.	Promote wide use of low-GHG transportation at community level;

<p><u>SGP OP5 Immediate Objective 5:</u> Support the conservation and enhancement of carbon stocks through sustainable management and climate proofing of land use, land use change and forestry</p>	<p>Promote community forests in rural areas to be established by every community leader. Develop environmental statistics to monitor trends in use of environment.</p>	<p>Engage local administrative authorities in establishment and management of community forests; Promote baseline assessments at community level to monitor resource use;</p>
<p><u>SGP OP5 Immediate Objective 6:</u> Maintain or improve flow of agro-ecosystem and forest ecosystem services to sustain livelihoods of local communities</p>	<p>Promote sustainable land and watershed management in production landscapes. Improve resilience of ecosystems through diffusion of sustainable resource use practices.</p>	<p>Promote conservation agriculture and multiple resource use by local communities as a measure to improve livelihoods and ecosystem services;</p>
<p><u>SGP OP5 Immediate Objective 7:</u> Reduce pressures at community level from competing land uses (in the wider landscapes)</p>	<p>Promote recognition of customary rights over land tenure towards securing community land. Issue community land user rights and compensation mechanisms from third party investors.</p>	<p>Reduce pressure on land uses by communities through promotion of resource user groups and adoption of zoning plans;</p>
<p><u>SGP OP5 Immediate Objective 8:</u> Support transboundary water body management with community-based initiatives</p>	<p>Engage local authorities/ communities in transboundary water management committees. Improve sustainable farming through adequate water use. Promote improved conservation of water springs.</p>	<p>Improve waterbodies and watershed management by local communities through promotion of community water committees; Improve access to safe-drinking water;</p>
<p><u>SGP OP5 Immediate Objective 9:</u> Promote and support phase out of POPs and chemicals of global concern at community level</p>	<p>Develop and put in place implementation mechanisms for phasing out use of NIP enlisted POPs and chemicals involving local communities. Improve storage and adequate disposal of hazardous POPs and chemicals.</p>	<p>Improve use of pesticides and chemical fertilizers by local communities through awareness campaigns; Promote adequate management and limited use of POPs and hazardous chemicals by community groups;</p>
<p><u>SGP OP5 Immediate Objective 10:</u> Enhance and strengthen capacities of CSOs (particularly community-based organizations and those of indigenous peoples) to engage in consultative processes, apply knowledge management to ensure adequate information flows, implement convention guidelines, and monitor and evaluate environmental impacts and trends</p>	<p>Develop capacity of community groups through technical and financial incentives and demonstration projects. Develop training packages and seminars for capacity development of community groups. Make the National Conventions Coordination Committee (NCCC) an effective environmental issues mainstreaming body among stakeholders</p>	<p>Develop and adopt training packages to be used by local communities in knowledge management, information exchange, implement convention guidelines and national strategies, and monitor environmental impacts of projects;</p>

	Undertake regular partner's workshops for knowledge exchange.	
<u>Cross-Cutting Results:</u> Poverty reduction, livelihoods and gender	Mainstream poverty relief, gender balance and vulnerability issues into development agendas and frameworks involving local communities. Promote sustainable development through environmental initiatives	Mainstream gender balance, livelihoods uplift through increase in household income, and promote poverty mitigation in projects activities; Engage local communities in environmental initiatives that produce local and environmental benefits;

3. Capacity development, poverty reduction and gender results for SGP

3.1 How the SGP country programme will be involved in the preparation and review of projects and implementation.

The country programme thematic focus will work at the grassroots level to improve livelihoods, promoting sustainable resource use and environmental conservation. Major challenges will be to build capacity of the target group in managing projects. The programme will also encourage development of networks of CBOs and NGOs by identifying their priorities and action plans, and channeling resources for execution of activities.

Due consideration is given to stakeholders participation in sustaining an inclusive and demand-driven GEF/SGP in the country as the participatory approach rests on the willingness, commitment and inclusion of all actors: the civil society, national and local CBOs and NGOs, private sector, academic and research institutions, professional networks, national and local governments, media, as well as international organizations.

Effective participation requires an effective and efficient system of information collection and dissemination. Therefore, GEF/SGP in the country will improve the information exchange mechanisms with major focus on sharing best practices and lessons learned with all interested parties in the country.

The GEF/SGP will take part in relevant national and international thematic networks, which would lead not only to increased visibility of the programme operations in the country but also will foster synergies between different similar programmes and initiatives.

Proponents will approach the GEF/SGP office for guidance on design of projects and will receive assistance from the local team that will review the concept paper. Subsequently a proposal will be submitted for review by the NSC. Projects positive results will be achieved based on prior baseline assessments and close monitoring of projects execution.

Civil society organizations capacity development will be achieved based on regular training workshops within the area of geographic coverage, and targeted to potential grantees. Stakeholders programme review workshops will also be held likely every two years in order to further streamline the programme.

Livelihoods components are to be incorporated as part of project activities complementing environmental preservation and conservation are targeted to diversify subsistence activities, increase income generation at household level and reduce pressure on local resources. The aggregation of these various components will have multidimensional positive impacts and benefits.

Gender is regarded as a crosscutting issue being a component of every project. It aims to promote gender equity, promoting participation of women and children in project activities as prime guardians of natural resources in collaboration with men. Vulnerable groups and indigenous peoples are also given due attention taking into account their knowledge base in management of natural resources and in most instances rational resource use.

Global environmental benefits are achieved through execution of projects in areas of environmental significance, inducing community groups to address GEF/SGP strategy and national and local agendas and plans into project activities.

Retention of developed capacity within organizations and communities will be a challenge, but the GEF/SGP projects being executed at grassroots level enable capacity development at local level with focus to rural communities. Knowledge gained through execution of projects is used furthermore outside projects activities in daily life activities. Knowledge transfer between projects and communities and collection of best practices is also a major tool in safeguarding knowledge and capacity gained.

4. OP5 country outcomes, indicators and activities

Table 3: Results Framework

<u>SGP OP5 Immediate Objective 1</u> : Improve sustainability of protected areas and indigenous and community conservation areas (ICCAs) through community-based actions			
Outcomes	Indicators	Means of verification	Activities
<i>1.1 Improve community level actions and practices, and reduce negative impacts on biodiversity resources in and around protected areas, and indigenous and community</i>	<i>In average 8,000 hectares of community lands of environmental significance (ecosystems and species) better protected</i>	<i>Number of projects executed in ICCAs and/or buffer zones of protected areas Targeted species and ecosystems of environmental</i>	<i>At least approximately 200 projects addressing activities related to GEF focal areas towards improved environmental protection⁷</i>

⁷ The estimated number of OP5 projects should distinguish between the utilization of core grants (which can apply across GEF focal areas) and non-core GEF resources (which need to be directly linked to the relevant GEF focal areas). In accordance with the GEF Steering Committee decision (March 2010), up to 20% of non-core GEF resources mobilized may be used for secondary focal areas.

<p><i>conserved areas</i></p> <p><i>1.2 Benefits generated at the community level from conservation of biodiversity in and around protected areas and indigenous and community conservation areas</i></p> <p><i>1.3 Increased recognition and integration of indigenous and community conservation areas in national protected area systems</i></p> <p><i>1.4 Increased understanding and awareness at the community-level of the importance and value of biodiversity</i></p>	<p><i>Buffer zones around 12 protected areas with living communities with improved management that limit environmental degradation</i></p> <p><i>Community benefits derived from use of biodiversity products</i></p> <p><i>Increased number of communities involved in protected areas collaborative management committees</i></p> <p><i>At least 200 environmental awareness campaigns undertaken by community groups towards better protection of biodiversity</i></p>	<p><i>significance that benefited from SGP projects</i></p> <p><i>Livelihoods components addressed by SGP projects that benefit local communities</i></p> <p><i>Number of communities partnering in management of protected areas</i></p> <p><i>Awareness seminars undertaken by SGP projects</i></p> <p><i>Monitoring site visits and evaluation of projects</i></p>	<p><i>Improved protection of significant ecosystems and species with participation of local communities</i></p> <p><i>SGP projects with income generation activities that sustainably use biodiversity products</i></p> <p><i>Environmental education campaigns and training seminars undertaken at community-level by community activists</i></p> <p><i>Database collection of projects activities and impacts</i></p>
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SGP OP5 Immediate Objective 2: Mainstream biodiversity conservation and sustainable into production landscapes, seascapes and sectors through community initiatives and actions

Outcomes	Indicators	Means of verification	Activities
<p><i>2.1 Improved community-level sustainable use of biodiversity in production landscapes / seascapes through community-based initiatives, frameworks and market mechanisms, including recognized environmental standards that incorporate biodiversity considerations</i></p> <p><i>2.2 Increased understanding and awareness of sustainable use of biodiversity</i></p>	<p><i>In average 3,500 hectares of production landscapes / seascapes applying sustainable use practices of biodiversity resources</i></p> <p><i>Identification of number of significant ecosystems and species that benefited from improved conservation</i></p> <p><i>Valuation of biodiversity products / ecosystems services produced in terms of</i></p>	<p><i>Introduction of sustainable use management practices in management of biodiversity resources verified at project level and community areas</i></p> <p><i>Increased understanding and awareness of value of biodiversity resources at community-level</i></p> <p><i>Better accounting of ecosystem services derived from SGP projects</i></p> <p><i>Monitoring site visits and evaluation of</i></p>	<p><i>Diffusion and adoption of innovative sustainable resource use practices at community level</i></p> <p><i>Consolidation of resource user groups at community-level and adoption of zoning plans in sustainable resource use</i></p> <p><i>Conservation activities at community level incorporated into projects activities</i></p> <p><i>Number of seminars and awareness campaigns undertaken</i></p>

	<i>US dollars equivalent, and improvement in its maintenance and conservation status</i>	<i>projects</i>	<i>at community-level</i> <i>Database collection of projects activities and impacts</i>
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SGP OP5 Immediate Objective 3: Promote the demonstration, development and transfer of low carbon technologies at the community level

Outcomes	Indicators	Means of verification	Activities
<p><i>3.1 Innovative low-GHG technologies deployed and successfully demonstrated at the community level</i></p> <p><i>3.2 GHG emissions avoided⁸</i></p>	<p><i>13,602 tones of CO2 avoided by implementing low carbon technologies:</i></p> <ul style="list-style-type: none"> <i>• Renewable energies uses (biogas, biodiesel, solar-power)</i> <i>• Energy efficient uses (improved stoves)</i> <i>• Other avoided emissions (less fossil-fuels usage)</i> <p><i>Number of community members demonstrating or deploying low-GHG technologies</i></p> <p><i>Total value of energy or technology services efficiently provided (US dollars equivalent)</i></p>	<p><i>Massive adoption of use of energy efficient stoves and lighting sources at community level</i></p> <p><i>Decrease in volume of fuel-woods and fossil-fuels used by communities</i></p> <p><i>Innovative technologies adopted for energy efficient transport at community level</i></p> <p><i>Efficient ecosystem services and its accounting and monitoring put in place towards contributing to mitigate adverse climate change effects</i></p> <p><i>Monitoring site visits and evaluation of projects</i></p>	<p><i>Decrease level of tree felling in community forests</i></p> <p><i>Disseminate innovative technologies that reduce level of use of fossil-fuels and fuel-woods</i></p> <p><i>Promote production of renewable energies at community level</i></p> <p><i>Adoption at community level of activities that mitigate climate change effects through provision of ecosystem services</i></p> <p><i>Database collection of projects activities and impacts</i></p>

⁸ “Avoided GHG emissions” is among the GEF-5 indicators for the climate change focal area, and is a relevant outcome for SGP. The SGP approach, and level of available resources, inherently implies that SGP cannot, by itself, generate a transformative influence on the global climate problem directly through the amount of GHG emissions avoided. At the same time, many, if not all, SGP climate change mitigation projects directly contribute to a reduction or avoidance of GHG emissions, and these positive results should be documented. Recognizing that addressing global climate change will require action by the entire global community, SGP’s theory of intervention (in all focal areas) is heavily predicated on its catalytic effects, and thus the SGP results framework focused on results of this nature.

SGP OP5 Immediate Objective 4: Promote and support energy efficient, low carbon transport at the community level

Outcomes	Indicators	Means of verification	Activities
<p>4.1 Low-GHG transport options demonstrated at the community level</p> <p>4.2 Increased investment in community-level energy efficient, low-GHG transport systems</p> <p>4.3 GHG emissions avoided</p>	<p>Community-level low-GHG transport options being demonstrated</p> <p>Diffused wide use of renewable energies at community level as alternative to fossil-fuels and fuel-woods</p> <p>Government sectors being influenced by SGP demonstration practices</p>	<p>Decrease of use of GHG motorized transport at community level</p> <p>Diffusion of use of battery operated transport at community level</p> <p>Use of water-falls to generate electrical power at community level</p> <p>Pilot demonstration projects being replicated, adopted by various parties and up-scaled</p> <p>Monitoring site visits and evaluation of projects</p>	<p>Promote use of animal traction in farming activities at community level</p> <p>Promote use of hand or animal pushed carts at community level as alternative means of transport</p> <p>Promote use of battery operated transport at community level (solar or electrical grid charged)</p> <p>Promote use of pico/mini-hydropower at community level, as alternative to petrol/diesel generators and water-pumps</p> <p>Database collection of projects activities and impacts</p>

SGP OP5 Immediate Objective 5: Support the conservation and enhancement of carbon stocks through sustainable management and climate proofing of land use, land use change and forestry

Outcomes	Indicators	Means of verification	Activities
<p>5.1 Sustainable land use, land use change, and forestry management and climate proofing practices adopted at the community level for forest and non-forest land-use types</p> <p>5.2 Restoration and enhancement of carbon stocks in forests and</p>	<p>At least 4,000 hectares under improved sustainable land management and climate proofing practices</p> <p>At least 10,000 hectares of forests and non-forest lands with restoration and enhancement</p>	<p>Sustainable land use and forest management mainstreamed into demonstration projects</p> <p>Increase and maintain number of community forests plantations</p> <p>Improved water conservation and management involving</p>	<p>Promote conservation agriculture and intensive land uses among resource user groups</p> <p>Engage SGP projects into Presidential initiative of “one community traditional leader one community forest plantation”</p>

<p><i>non-forest lands, including peatland</i></p> <p>5.3 GHG emissions avoided</p>	<p><i>initiated</i></p> <p><i>Promote watershed management around community lands</i></p> <p><i>Reduce bushfires and deforestation in community lands and adopt law enforcement measures</i></p>	<p><i>local communities</i></p> <p><i>Community activists involved in control of bushfires and deforestation by illegal intruders</i></p> <p><i>Monitoring site visits and evaluation of projects</i></p>	<p><i>Establish water-user groups among local communities</i></p> <p><i>Promote alternative livelihood activities to wood-cutters and community-hunters, and adopt sustainable harvesting quotas</i></p> <p><i>Database collection of projects activities and impacts</i></p>
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SGP OP5 Immediate Objective 6: Maintain or improve flow of agro-ecosystem⁹ and forest ecosystem services to sustain livelihoods of local communities

Outcomes	Indicators	Means of verification	Activities
<p>6.1 Improved community-level actions and practices, and reduced negative impacts on agro-, and forest ecosystems and ecosystem services demonstrated to sustain ecosystem functionality</p> <p>6.2 Community-based models of sustainable forestry management developed, and tested, linked to carbon sequestration for possible upscaling and replication where appropriate, to reduce GHG emissions from deforestation and forest degradation and enhance carbon sinks from land use, land use change, and forestry activities</p>	<p><i>Around 4,000 hectares under improved agricultural, land and water management practices (by management practice) in community lands</i></p> <p><i>At least 10 national and international agencies or partners are aware of successful SGP demonstrations and innovative approaches</i></p> <p><i>At least 3 national/local governments or international policy making processes with SGP influence</i></p> <p><i>Develop collaboration mechanisms with climate change adaptation projects</i></p>	<p><i>Community farmers adopting improved farming practices and trained by extension workers from agriculture services</i></p> <p><i>SGP projects promoted sustainable land and watershed management adopted by national and international agencies or partners</i></p> <p><i>SGP promoting demonstration projects that address major environmental Conventions and GEF focal areas involving local communities</i></p> <p><i>Community forest plantations widely adopted and increased in numbers</i></p> <p><i>SGP carbon sink projects upscaled to other funding mechanisms</i></p>	<p><i>Agriculture services extension workers promoting farming schools around community lands to improve crops and harvest levels</i></p> <p><i>Ecosystem services for provision, regulation and enrichment promoted by SGP projects at community level</i></p> <p><i>MEAs objectives incorporated into community demonstration projects</i></p> <p><i>Increase number of tree nurseries developed by local communities that incorporate native tree species</i></p> <p><i>Promote reforestation involving native tree species</i></p> <p><i>Engage local communities in</i></p>

⁹ Agro-ecosystems including grasslands and rangelands

	<i>funded through global mechanisms</i>	<i>GEF SGP database, project reports and monitoring visits</i> <i>SGP case studies</i>	<i>sustainable forest management</i> <i>Database collection of projects activities and impacts</i>
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SGP OP5 Immediate Objective 7: Reduce pressures at community level from competing land uses (in the wider landscapes)

Outcomes	Indicators	Means of verification	Activities
<i>7.1 Improved community-level actions and practices, and reduced negative impacts in land use frontiers of agro-ecosystems and forest ecosystems (rural/urban, agriculture/forest)</i>	<i>50,000 community members with improved actions and practices that reduce negative impacts on land uses</i> <i>Develop improved livelihood support activities that increase household income and reduce pressure on natural resources</i> <i>Promote integrated resource use in community lands involving local stakeholders</i>	<i>SGP projects promoting sustainable livelihoods at community level</i> <i>Resource use management plans adopted by local communities in resource use</i> <i>Collaborative resource use management committees established by local communities</i> <i>Local stakeholders around community lands undertaking joint planning meetings</i> <i>GEF SGP database, project reports and monitoring visits</i>	<i>Engage SGP projects in establishment of resources user groups and zoning plans for resource use in community lands</i> <i>SGP projects enabling development of resource use management plans at community level</i> <i>Promote and train local communities in establishment of collaborative management committees</i> <i>Promote sharing of responsibilities and benefits among stakeholders and resource users in community lands</i> <i>Database collection of projects activities and impacts</i>

SGP OP5 Immediate Objective 8: Support transboundary water body management with community-based initiatives

Outcomes	Indicators	Means of verification	Activities
<i>8.1 Effective and climate resilient community-based actions and</i>	<i>SGP projects promoting sustainable harvest of</i>	<i>Sustainable harvest of wildlife (fish and plants) promoted by SGP</i>	<i>SGP projects promoting sustainable management of riverine</i>

<p><i>practices supporting implementation of SAP regional priority actions demonstrated</i></p> <p><i>8.2 Synergistic partnerships developed between SGP stakeholders and transboundary water management institutions and structures supporting implementation of SAP regional priority actions</i></p>	<p><i>wildlife (fish and plants) in relevant rivers and lakes</i></p> <p><i>At least 3 (Niassa/Malawi, Zambezi and Limpopo) SAPs to which SGP is providing implementation support</i></p> <p><i>At least 3 regional transboundary water management processes (Niassa/Malawi, Zambezi and Limpopo) to which SGP is contributing good practices and lessons</i></p> <p><i>SGP projects promoting control measures to limit pollution of relevant rivers and lakes</i></p>	<p><i>projects in relevant rivers and lakes</i></p> <p><i>Local communities around Niassa/Malawi Lake, Zambezi River and Limpopo River engaged in water sustainable management practices</i></p> <p><i>SGP demonstration projects developed in marine/coastal sites involving local communities</i></p> <p><i>SGP projects promoting control of land-based pollution of waterbodies</i></p> <p><i>GEF SGP database, project reports and monitoring visits</i></p>	<p><i>and lacustrine wildlife (fish and plants) involving local communities</i></p> <p><i>Transboundary management of waterbodies and its wildlife promoted involving local communities from both sides of bordering countries</i></p> <p><i>At least 3 SAPs (Niassa/Malawi, Zambezi and Limpopo) for which SGP is supporting on the ground implementation of regional priority actions</i></p> <p><i>At least 3 regional transboundary water management processes (Niassa/Malawi, Zambezi and Limpopo) to which SGP is contributing good practices and lessons</i></p> <p><i>SGP projects involved in community awareness campaigns to control water pollution caused by farmers and illegal gold miners</i></p> <p><i>Database collection of projects activities and impacts</i></p>
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SGP OP5 Immediate Objective 9: Promote and support phase out of POPs and chemicals of global concern at community level

Outcomes	Indicators	Means of verification	Activities
<p><i>9.1 Improved community-level initiatives and actions to prevent, reduce and phase out POPs, harmful chemicals and other</i></p>	<p><i>1.8 tons of POPs waste avoided from burning</i></p> <p><i>1.2 tons of obsolete pesticides disposed of</i></p>	<p><i>SGP projects engaged in plastic wastes management to avoid contamination of air and soils</i></p>	<p><i>1.8 tons of POPs waste avoided from burning through adequate management of plastic wastes</i></p>

<p><i>pollutants, manage contaminated sites in an environmentally sound manner, and mitigate environmental contamination</i></p>	<p><i>appropriately</i></p> <p><i>Engage SGP projects to contribute to the implementation of national plans and policies to address POPs, harmful chemicals and other pollutants</i></p>	<p><i>Limit contamination of water from inadequate management of chemical fertilizers used by community farmers</i></p> <p><i>SGP projects engaged in limited use and phasing out of use of POPs and other hazardous chemicals</i></p> <p><i>GEF SGP database, project reports and monitoring visits</i></p>	<p><i>1.2 tons of obsolete pesticides disposed of appropriately from community farmers</i></p> <p><i>Through awareness campaigns engage SGP projects to contribute to the implementation of national plans and policies to address POPs, harmful chemicals and other pollutants</i></p> <p><i>Engage SGP projects in recycling of POPs and hazardous chemicals</i></p> <p><i>Database collection of projects activities and impacts</i></p>
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SGP OP5 Immediate Objective 10: Enhance and strengthen capacities of CSOs (particularly community-based organizations and those of indigenous peoples) to engage in consultative processes, apply knowledge management to ensure adequate information flows, implement convention guidelines, and monitor and evaluate environmental impacts and trends

Outcomes	Indicators	Means of verification	Activities
<p><i>10.1 Active participation of NSCs and NFGs in GEF focal areas at the national level</i></p> <p><i>10.2 Improved information flows to/from CBOs and CSOs in SGP countries regarding good practices and lessons learned, and application of such practices</i></p> <p><i>10.3 Increased public awareness and education at the community-level regarding global environmental issues</i></p> <p><i>10.4 Capacity of CBOs and CSOs strengthened to support implementation of global</i></p>	<p><i>Engage at least 7 SGP representatives participating in national GEF coordination meetings</i></p> <p><i>Undertake at least 11 SGP knowledge base seminars, and use of knowledge base backgrounds; at least 3 contributions to knowledge fairs, conferences, publications and research held involving relevant stakeholders</i></p> <p><i>CBOs and CSOs with increased knowledge for implementation of global conventions</i></p>	<p><i>NSCs and NFGs acting as advocates of SGP at various for a nationwide</i></p> <p><i>Projects site visits undertaken by third parties and SGP publications widely distributed</i></p> <p><i>Provincial seminars and national dialogues held</i></p> <p><i>CBOs and CSOs better organized and structured to execute projects that address GEF focal areas and local concerns</i></p> <p><i>Execution evaluation matrices adopted by</i></p>	<p><i>SGP National Steering Committee and National Focal Groups actively participating in GEF National coordination mechanisms involving various stakeholders</i></p> <p><i>Promote exchange visits and study tours among SGP projects and publicize lessons learned and best practices</i></p> <p><i>Provincial knowledge platforms established to share lessons learned among CBOs and CSOs across the area of geographic coverage</i></p> <p><i>Capacity of at least 15</i></p>

<p><i>conventions</i></p> <p><i>10.5 Increased application of community-based environmental monitoring</i></p> <p><i>10.6 Evaluation of SGP projects and programs against expected results strengthened, including increased capacity of CBOs and CSOs to apply relevant evaluation methodologies</i></p>	<p><i>and project cycle management</i></p> <p><i>At least three demonstrations and piloted examples of community-based environmental monitoring systems used in SGP projects (using landscape approach and qualitative and quantitative methods)</i></p> <p><i>At least one quantitative and qualitative evaluation report produced per project showing results, and unexpected effects</i></p> <p><i>At least 20 CBOs and CSOs demonstrating and understanding the role of evaluation through application of relevant evaluation methodologies</i></p>	<p><i>each project under execution</i></p> <p><i>Standard management systems widely adopted by each SGP project and local communities engaged in evaluation of monitoring system to measure changes and impacts from projects activities</i></p> <p><i>GEF SGP database, project reports and monitoring visits</i></p> <p><i>SGP case studies</i></p>	<p><i>CSOs and CBOs on each cluster of the area of geographic coverage strengthened through training in project design and project cycle management</i></p> <p><i>At least 85% of projects incorporate M&E activities in their design through adoption of execution evaluation matrices</i></p> <p><i>At least 70% of projects specify sufficient indicators which are covered in completion reports</i></p> <p><i>Database collection of projects activities and impacts</i></p>
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Cross-Cutting Results: Livelihoods and Gender			
Outcomes	Indicators	Means of verification	Activities
<p><i>Improved community livelihoods through local benefits derived from environmental projects</i></p> <p><i>Effective gender mainstreaming at community-level based on environmental initiatives</i></p> <p><i>Environmental benefits and sustainable development achieved through execution of SGP projects</i></p>	<p><i>Environmental and social benefits derived from livelihood support activities</i></p> <p><i>At least 75% of projects to include gender analysis or incorporate gender relevant elements in a positive manner</i></p> <p><i>At least 75% of projects with appropriate gender balance of participants and target beneficiaries</i></p>	<p><i>Incorporate livelihood support activities as part of projects activities</i></p> <p><i>SGP projects with balanced sharing of responsibilities and benefits between men and women</i></p> <p><i>Adoption of innovative technologies by community members through SGP projects</i></p> <p><i>Projects execution capacity increased and adoption of monitoring systems achieved</i></p>	<p><i>Continue to assist livelihoods support activities at community level towards diversifying resource use base, and promote increase of household income while generating environmental benefits</i></p> <p><i>Consider all projects to include gender analysis and incorporate gender relevant elements in a positive manner to promote equity in sharing of benefits</i></p> <p><i>At least 75% of projects</i></p>

	<p><i>At least 65% of projects to include socioeconomic analysis to derive increased environmental benefits</i></p> <p><i>At least 45,000 direct community members with sustained livelihood improvement resulting from SGP support, and further 135,000 non-directly impacted</i></p>	<p><i>through training at community level</i></p> <p><i>New and innovative national policies influenced and developed through execution of SGP projects</i></p> <p><i>Increased community awareness in implementation of global environmental Conventions involving relevant stakeholders</i></p> <p><i>GEF SGP database, project reports and monitoring visits</i></p> <p><i>SGP case studies</i></p>	<p><i>with appropriate gender balance of participants and target beneficiaries, considering division of labor, responsibilities and benefits among men, women and children</i></p> <p><i>At least 65% of projects to include socioeconomic analysis to derive increased environmental benefits</i></p> <p><i>At least 45,000 direct community members with sustained livelihood improvement resulting from SGP support, and further 135,000 non-directly impacted</i></p> <p><i>Database collection of projects activities and impacts</i></p>
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5. Monitoring & Evaluation plan

Monitoring and Evaluation is a process of overseeing and assessing the progress and accomplishments of projects and programmes. Monitoring and evaluation of the SGP country programme will be fundamental elements of Country Programme implementation and management; and the process will be participatory to allow projects to become learning processes that yield lessons that can be applied by project participants. Sound monitoring and evaluation systems will be upheld for maintenance of accountability, to achieve sustainability, to facilitate replicability and to provide opportunities for eliciting and communicating lessons learned.

Monitoring and evaluation for the SGP Country Programme will be carried out at three levels which are the project, Country Programme and global levels.

5.1 Project Level

The goal of participatory monitoring and evaluation is to assess progress in project implementation and achievement of results and at the same time promote community ownership of the SGP projects. Effort will be made to assist NGOs and CBOs to develop project clear and well designed projects that fit the GEF criteria as a basis for the monitoring and evaluation process. All SGP projects will incorporate participatory monitoring and assessment into their design and implementation. The process at project level will be undertaken to:

- Facilitate identification and resolution of problems
- Enhance project performance and ensure congruence with the GEF criteria
- Provide the basis for technical and financial accountability
- Build capacity to implement and management project successfully, and promote the identification and dissemination of lessons learned by participants themselves.

The SGP grant participants, the National Coordinator and the national Steering Committee will be responsible for project monitoring and evaluation. A monitoring and evaluation plan with appropriate indicators will be a requirement for each approved SGP project. For each project there shall be a monitoring record which will be used to collect information that will be analyzed to produce periodic progress reports and final reports to be submitted to the SGP Country Programme by the grantees. The periodic progress reports and site visits are basic sources of information for monitoring of projects by the National Coordinator. Each project will be concluded with: a final evaluation, a final financial report and a final progress report with an assessment of lessons learned.

Table 4: M&E Plan at the Project Level

SGP Individual Project Level		
M&E Activity	Responsible Parties	Timeframe
Participatory Project Monitoring	Grantees	Duration of project
Baseline Data Collection ¹⁰	Grantees, NC	At project concept planning and proposal stage
Two or Three Project Progress and Financial Reports (<i>depending on agreed disbursement schedule</i>)	Grantees, NC, PA	At each disbursement request
Project Workplans	Grantees, NC, PA	Duration of project
NC Project Proposal Site Visit (<i>as necessary / cost effective</i> ¹¹)	NC	Before project approval, as appropriate
NC Project Monitoring Site Visit (<i>as necessary / cost effective</i>)	NC	On average once per year, as appropriate
NC Project Evaluation Site Visit (<i>as necessary / cost effective</i>)	NC	At end of project, as appropriate
Project Final Report	Grantees	Following completion of project activities
Project Evaluation Report (<i>as necessary / cost effective</i>)	NC, NSC, External party	Following completion of project activities
Prepare project description to be incorporated into global project database	PA, NC	At start of project, and ongoing as appropriate

¹⁰ Capacity-development workshops and M&E trainings may be organized in relation to innovative techniques for community monitoring, including new technologies (i.e. GPS-enabled cameras, aerial photos, participatory GIS, etc.); as well as in response to guidelines for “climate proofing” of GEF focal area interventions; REDD+ standards; and/or other specific donor/co-financing requirements.

¹¹ To ensure cost-effectiveness, project level M&E activities, including project site visits, will be conducted on a discretionary basis, based on internally assessed criteria including (but not limited to) project size and complexity, potential and realized risks, and security parameters.

5.2 Local Stakeholders Participation

SGP at country level is progressively establishing a niche of its own but complementing efforts of other similar initiatives. Participatory planning involving several partners (government sectors, environmental agencies, donors, local administrative authorities, civil society organizations and local entrepreneurs) enables joining of efforts, addressing local needs and demands and complementing each party mandate.

Review of programme objectives and outputs will be carried out through meetings and communications, and follow-up reports provided. The country programme portfolio will aim to address national agendas and plans based on situation analysis, and this will be complemented with objectives defined in MEAs and Conventions signed.

Where feasible, joint implementation of local agendas will be sought and country programme dialogues will be the most adequate fora to evaluate, in a participatory manner, the programme performance. SGP is already taking part in various committees at country level, and this will continue to be a mechanism for knowledge sharing, policy influence and capitalization of financial and technical resources for programme success. It will further be used as a mechanism to publicize the programme.

5.3 Country Programme Level

Monitoring and evaluation of the Country Programme will be done through a number of means and processes that shall include the use of the following techniques and tools:

- The SGP database has been developed to help National Coordinators and the Central Programme Management Team to monitor and analyze project and programme progress. The database captures among other things: accounts on lessons learned, case studies, programme-level resource mobilization and overall projects performance; The National Coordinator will ensure that the required information is entered and maintained as appropriate;
- Financial reports capturing expenses incurred from the country operating budget;
- Performance and Review Assessment (PRA) System which captures technical and substantive project and programme progress on an annual basis. The Performance and Review Assessment will cover: the project selection process; NSC meetings and activities; project monitoring and evaluation; resources mobilization efforts; stakeholder workshops and other SGP sponsored events; and communication activities;
- Programme Review Report which is an overall assessment of Country Programme performance to be undertaken by the NSC with the help of the National Coordinator and participation of other stakeholders and grantees. The Programme Review Report will build upon the PRA reports, project progress and final reports, final financial and evaluation reports and assessment of lessons learned; The Programme Review Report is an opportunity to analyze the achievements and shortfalls of the Country Programme based on the Country Programme Strategy.

The Country Programme Strategy (CPS) is a living document and as such will be reviewed periodically and revised as necessary. The review will entail: the CPS and overall programme implementation in conjunction with the GEF-SGP Project Document Outputs and Benchmarks; project portfolio analysis and procedures and mechanisms.

Table 5: M&E Plan at the Programme Level

SGP Country Programme Level		
M&E Activity	Responsible Parties	Timeframe
Country Programme Strategy Review	NSC, NC, CPMT	Start of OP5
Strategic Country Portfolio Review	NSC, NC	Once during OP5
NSC Meetings	NSC, NC, UNDP CO	Minimum twice per year
Performance and Results Assessment (PRA) of NC Performance	NC, NSC, UNDP CO, CPMT, UNOPS	Once per year
Country Programme Review resulting in Annual Country Report ¹²	NC presenting to NSC and CPMT	Once per year
Financial 4-in-1 Report	NC/PA, UNOPS	Quarterly

5.4 Global Level

All the information generated in the form of progress reports, evaluation reports and performance assessment and reviews will be submitted to the CPMT and UNOPS as appropriate through existing mechanisms. The CPMT will use the information as the basis for Country Programme performance and identify implementation problems and intervene as appropriate and also identify successes that can enhance successful implementation of the SGP at country level. The CPMT will have the responsibility to report progress in the implementation of the SGP country achievements globally within existing channels.

The Programme will support NGOs and CBOs in undertaking monitoring and evaluation of projects. The following table summarizes the monitoring and evaluation process at the Project, Programme and global levels.

Table 6: Monitoring and Evaluation Framework

	MEETINGS	COMMUNICATION	FOLLOW-UPS	SITE VISITS	REPORTING

¹² The annual Country Programme Review exercise should be carried out in consultation with the national Rio Convention focal points and the associated reporting requirements.

PROJECT	<ul style="list-style-type: none"> - Periodic meetings - Annual meetings for project review - End of project review 	<ul style="list-style-type: none"> - Regular communication with Grantees through telephone and email where applicable and in meetings - Records of Project Committee meetings 	<ul style="list-style-type: none"> - Telephone - Meetings to address project implementation problems and to provide guidance 	<ul style="list-style-type: none"> - Pre-selection site visits by NC and NSC - Periodic site visits by NC and NSC 	<ul style="list-style-type: none"> - Periodic reports - Project terminal report and exit strategy - Financial reports
PROGRAMME	<ul style="list-style-type: none"> - Quarterly NSC meetings - Ad hoc NSC meetings when need arises - Annual NSC meetings for programme review and planning - Regular meetings of NC and UNDP CO Focal Point and the GEF Focal Point 	<ul style="list-style-type: none"> - Regular communication with the NSC members for updates and guidance; and with other NCs for information/experience sharing - Minutes of NSC meetings - Documentation of best practice and lessons learned and their dissemination - Regular communication with the CPMT for updates and guidance 	<ul style="list-style-type: none"> - Email and telephone to clarify, update and solicit inputs on specific tasks from NSC members as agreed in NSC meetings and as issues emerge 	<ul style="list-style-type: none"> - Pre-selection site visits - Periodic site visits by NC and NSC to check on progress - Mission reports - Site visit record sheets 	<ul style="list-style-type: none"> - Quarterly progress reports - Performance and review assessments - Programme Review Reports - Quarterly and annual financial reports - Annual financial audits

GLOBAL	- Annual visits By CPMT to Country Programme	- Regular communication for guidance and updates on emerging issues	- GEF/SGP Intranet	- To be undertaken in conjunction with visits to Country Programme	- Programme performance and results assessment report to GEF Council
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Indicators, which are critical elements of a monitoring and evaluation plan, are the basic tools used to measure and assess progress and results of a project. Different types of projects have different indicators and thus indicators are of necessity project and site specific. Each GEF-SGP grantee will be required to identify and construct indicators to facilitate the monitoring and evaluation process for projects.

The indicators should:

- Measure/assess the most important expected results of project activities and objectives
- Be based on accessible data that can be collected by grantees and project participants
- Be quantitative (in terms of numbers and percentages) or qualitative (easily described in words) or in combination of the two
- Be time-specific
- Be independent of the objective (should not be a repetition of the objective), and
- Be Cost-effective (the cost of collecting the data should not exceed the value of the information)

Baseline data on indicators should be provided at the start of each project. Should the data not be available at the start of the project, its collection and accompanying development of indicators should be included in the proposal as a preliminary project activity or as part of planning grant activities.

6 Knowledge Management Plan

Knowledge and learning are fundamental to building the capacity of the communities on the ground and the learning-by-doing approach of SGP will be instrumental in generating successful projects that will provide good models for the community-based projects. SGP will take advantage of its unique niche and position to capture, document and share the knowledge emerging from the communities it supports in order to promote and grow together.

In particular, the capacity development grants will be used for knowledge management to capture the lessons learned and knowledge at the portfolio level in areas where there is a critical mass to be analyzed and which can help enhance the capacities of communities to implement projects. For knowledge management at the individual project level, grantees should include these components in the budget for their project and use it for this purpose.

For capturing, sharing, and disseminating the lessons learned and good practices the country portfolio of SGP projects with civil society, government, and other relevant stakeholders involvement will strive to promote:

- Knowledge products;
- Knowledge fairs;
- Peer to peer exchanges;
- Demonstration sites; and
- Knowledge centers.

At the local level, SGP will continue to facilitate trainings and knowledge exchanges between CBOs, NGOs, development practitioners and the government. The NSC will facilitate linking between local practitioners and national policies as these can initiate and sustain the process so that local knowledge and lessons gained from SGP projects can provide input into national and sub-national policies.

To inform and influence policy at the local, regional and national levels the SGP country programme will use its knowledge portfolio to identify and develop key policy processes and relevant networks to increase the programme impact. Advocacy processes will enable links with policy makers to promote influence and be considered as a local community's spokes-voice to express their needs.

At the global level SGP will continue to capture and the lessons learned across all focal and crosscutting areas and share them at the national, regional and global level using a variety of mechanism including the SGP networks of grantees and NSC members, the SGP database, reporting to conventions, international events and conferences, publications, multimedia and social media.

To replicate and up-scale good practices and lessons learned from SGP projects, the SGP country programme will use such knowledge at project level throughout its area of geographic coverage, will promote collaboration mechanisms with other funds and similar initiatives so that they may replicate SGP projects and its approaches. For special projects that have multidimensional impacts, SGP will aim to up-scale these to strategic projects with higher funding, especially when they target adjacent communities of neighboring countries.

This approach will support the catalytic role of SGP by contributing to replication and upscaling of good practices. In addition, SGP grantee networks, local CSO networks, as well as thematically focused knowledge sharing networks or communities of practice will provide an appropriate platform to capitalize on this knowledge.

7 Resource Mobilization Plan

7.1. Resource mobilization plan

Programme impact will be achieved through increased mobilisation of CBOs and NGOs interest in sustainable natural resource management to address global environmental concerns from the grassroots level using available resources.

Resource mobilisation will also be essential to complement core funds. The SGP flexible mechanism allows resources to be mobilised through co-financing and parallel financing. Partnerships will be encouraged, as they allow joining of efforts and avoid programmes duplication of efforts.

Promotion of income generation activities for sustainable livelihoods will allow communities to extend the SGP programme impact by assuring their self-sufficiency. The use of local skills like teachers, nurses and literate community members will be essential in the process of building capacities at the local level to manage the projects locally.

Development of administrative and technical capacity at community level will enable establishment of long term community institutions, for long life of SGP projects. Involvement of key professional NGOs and CBOs in programme activities as information and knowledge providers will ensure long term sustainability and benefits.

The entire participation and ownership of impacted communities at all stages of project cycle will be a key element for ensuring the programme sustainability. Under livelihoods approach income generation opportunities offered by the projects and existence/creation of local private sector interests in proposed projects will be encouraged.

7.2. Strategic partnerships

Successful partnerships thrive on trust and well defined roles and benefits for all partners. The SGP through the National Coordinator, with support from the UNDP CO, the National GEF Focal Point, and the National Steering Committee will solicit support for establishment of partnerships for mobilization of financial and technical assistance with bilateral and multilateral development agencies, intergovernmental organizations, the private sector, NGOs, the academia and other organizations.

Consultative fora involving various stakeholders will facilitate building of partnerships and seek further technical and financial support in joining efforts to achieve similar goals among partners with similar interests. These efforts will be guided by the Global GEF/SGP Resource Mobilization Strategy. Regular updates on Programme implementation will ensure continuity and keep all parties interested and abreast with Programme achievements and challenges. This will ensure that the SGP is taken into consideration when assistance frameworks are drawn.

8 Communication Strategy

The Country Programme through the NC, assisted by the NSC, will develop a National Communications Strategy (NCS). The NCS shall draw up a yearly list of activities to be

incorporated into the annual work-plan. These activities will be derived from the GEF/SGP Global Communication Strategy and the SGP Project Document, adjusted to suit the local conditions and tailored to target various audiences.

Communications activities to be included in annual work-plans will include among others:

- Featuring articles in national newspapers and other media such as TV and Radio;
- Preparation of information pamphlet or brochure on the country programme;
- Preparation of “stories” on SGP projects;
- Site visits for key stakeholders to flagship projects;
- Documentation of lessons learned on projects in the form of best practices;
- Talks/presentations in high-profile events in support of resource mobilization;
- Compile materials and tools useful for community level advocacy and outreach, especially with focus on participatory techniques;
- Conduct workshops for key stakeholders on SGP; and
- Participation in commemoration of world environment days and national environment fairs.

Implementation of these activities will be monitored closely and evaluated to determine their appropriateness and effectiveness in contributing to the success of the Country Programme.

9 Annexes

Project Levels Indicator sets for OP5

SGP OP5 results indicators	
Biodiversity (BD)	
BD1	<ul style="list-style-type: none"> ○ Hectares of indigenous and community conserved areas (ICCAs) influenced ○ Hectares of protected areas influenced ○ Hectares of significant ecosystems with improved conservation status
BD2	<ul style="list-style-type: none"> ○ Hectares of production landscapes / seascapes applying sustainable use practices ○ Number of significant species with maintained or improved conservation status ○ Total value of biodiversity products/ecosystem services produced (US dollar equivalent)
Climate Change (CC)	
CCM1	<ul style="list-style-type: none"> ○ Tonnes of CO2 avoided by implementing low carbon technologies: <ul style="list-style-type: none"> ▪ Renewable energy measures (please specify) ▪ Energy efficiency measures (please specify) ▪ Other (please specify) ○ Number of community members demonstrating or deploying low-GHG technologies ○ Total value of energy or technology services provided (US dollar equivalent)
CCM4	<ul style="list-style-type: none"> ○ Tonnes of CO2 avoided by implementing low carbon technologies: <ul style="list-style-type: none"> ▪ Low carbon transport practices (please specify) ○ Total value of transport services provided (US dollar equivalent)
CCM5	<ul style="list-style-type: none"> ○ Hectares of land under improved land use and climate proofing practices ○ Tonnes of CO2 avoided through improved land use and climate proofing practices

SGP OP5 results indicators	
Land degradation (LD) & Sustainable Forest Management (SFM)	
LD1	<ul style="list-style-type: none"> ○ Hectares of land applying sustainable forest, agricultural and water management practices ○ Hectares of degraded land restored and rehabilitated
LD3	<ul style="list-style-type: none"> ○ Number of communities demonstrating sustainable land and forest management practices
International Waters (IW)	
IW	<ul style="list-style-type: none"> ○ Hectares of river/lake basins applying sustainable management practices and contributing to implementation of SAPs ○ Hectares of marine/coastal areas or fishing grounds managed sustainably ○ Tonnes of land-based pollution avoided
Persistent Organic Pollutants (POPs)	
POPS	<ul style="list-style-type: none"> ○ Tons of solid waste prevented from burning by alternative disposal ○ Kilograms of obsolete pesticides disposed of appropriately ○ Kilograms of harmful chemicals avoided from utilization or release
Community Based Adaptation (CBA)	
CBA	<ul style="list-style-type: none"> ○ Number of households, businesses engaged in vulnerability reduction or adaptive capacity development activities, as a proportion of households in the community or region targeted by the project. ○ Percent change in stakeholders' behaviors utilizing adjusted practices or resources for managing climate change risks. ○ Number of beneficiaries of project receiving training in implementation of specific adaptation measures or decision-support tools ○ Number of CBA "lessons learned" from the project
Capacity Development, Policy and Innovation (all focal areas)	
CD	<ul style="list-style-type: none"> ○ Number of consultative mechanisms established for Rio convention frameworks (please specify) ○ Number of community-based monitoring systems demonstrated (please specify) ○ Number of new technologies developed /applied (please specify) ○ Number of local or regional policies influenced (level of influence 0 – 1 – 2 – 3 – 4 – 5) ○ Number of national policies influenced (level of influence 0 – 1 – 2 – 3 – 4 – 5) ○ Number of people trained on: project development, monitoring, evaluation etc. (to be specified according to type of training)
Livelihoods, Sustainable Development, and Empowerment	
Cross-cutting	<p>Livelihoods & Sustainable Development:</p> <ul style="list-style-type: none"> ○ Number of participating community members (gender disaggregated) (Note: mandatory for all projects) ○ Number of days of food shortage reduced ○ Number of increased student days participating in schools ○ Number of households who get access to clean drinking water ○ Increase in purchasing power by reduced spending, increased income, and/or other means (US dollar equivalent) ○ Total value of investments (e.g. infrastructure, equipment, supplies) in US Dollars (Note: estimated economic impact of investments to be determined by multiplying infrastructure investments by 5, all others by 3). <p>Empowerment:</p> <ul style="list-style-type: none"> ○ Number of NGOs/CBOs formed or registered ○ Number of indigenous peoples directly supported ○ Number of women-led projects supported

SGP OP5 results indicators	
	<ul style="list-style-type: none">○ Number of quality standards/labels achieved or innovative financial mechanisms put in place

