



GLOBAL ENVIRONMENTAL FACILITY (GEF)

SMALL GRANT PROGRAMME (SGP)

FIFTH OPERATIONAL PHASE

2011-2014

Country Programme Strategy

ZAMBIA

Resources to be invested: US\$1,200,000¹



¹ The level of SGP OP5 resources is an estimated total of the GEF core grant allocation, anticipated STAR resources, as well as other sources of third party co-financing.

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ACRONYMS

AIDS	Acquired Immune Deficiency Syndrome
CBD	Convention on Biological Diversity
CBO	Community Based Organization
CCAs	Community Conserved Areas
CCD	Convention to Combat Desertification
CITES	Convention on International Trade of Endangered Species
CSO	Central Statistical Office
CPMT	Central Programme Management Team
CBNRM	Community Based Natural Resources Management
CEMP	Community Environment Management Programme
CPMT	Country Programme Management Team
CPs	Cooperating partners
CPS	Country Programme Strategy
CO	Country Office
CSS	Country Support Strategy
EE	Energy Efficiency
EEPA	Environmental Education and Public Awareness
EIA	Environmental Impact Assessment
EPPCA	Environmental Protection and Pollution Control Act
ESP	Environmental Support Programme
FAO	Food and Agriculture Organization
FBOs	Faith Based Organizations
GDP	Gross Domestic Product
GEF	Global Environment Facility
GM	Global Mechanism
GMAAs	Game Management Areas
GRZ	Government of the Republic of Zambia
HH	Household
HIV/AIDS	Human Immunodeficiency Virus
HQ	Headquarters
IFAD	International Fund for Agriculture Development
IUCN	International Union for Conservation of Nature
LD/SLM	Land Degradation/Sustainable Land Management
MDGs	Millennium Development Goals
MTENR	Ministry of Tourism, Environment and Natural Resources
M&E	Monitoring & Evaluation
NAPA	National Adaptation Programme of Action
NBSAP	National Biodiversity Strategy and Action Plan
NC	National Coordinator
NCS	National Conservation Strategy
NEAP	National Environmental Action Plan
NISIR	National Institute for Scientific and Industrial Research
NSC	National Steering Committee
NEPAD	New Partnership for Africa Development
NGO	Non-Governmental Organization

PRSP	Poverty Reduction Strategy Paper
PA	Programme Assistant
PAs	Protected Areas
POPs	Persistent Organic Pollutants
PRA	Participatory Rural Appraisal
RAF	Resource allocation Framework
RE	Renewable Energy
SGP	Small Grants Programme
SNDP	Sixth National Development Plan
UNCCD	United Nations Convention to Combat Desertification
UNDP	United Nations Development Programme
UNDAF	United Nations Development Assistance Framework
UNEP	United Nations Environmental Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNOPS	United Nations Office for Projects Services
UNZA	University of Zambia
WFP	World Food Programme
WHS	World Heritage Site
WSSD	World Summit on Sustainable Development
WWF	World Wide Fund for Nature
ZEMA	Zambia Environmental Management Agency
ZFAP	Zambia Forestry Action Programme
ZAWA	Zambia Wildlife Authority

1. SGP COUNTRY PROGRAMME - SUMMARY BACKGROUND

1.1 Introduction

Zambia is one of the countries that joined the Global Environment Facility Small Grants Programme (GEF SGP) during the third Operation Phase (OP3) (2002-2006) of the Programme. However, establishment of the SGP Country Programmes and its operations only started during the Operational Phase 4 (OP4) (2006-2010) in February 2008. The Small Grants programme in Zambia has therefore been active for a period of three years within the global SGP from 2008-2010/11 under OP4

SGP Zambia's GEF5 status category is under category 1 of the Global programme and through its first 3 years, SGP has provided small grants (maximum of US\$50,000 and on average size of between US\$25,000 and US\$30,000) to 16 projects of non-governmental or community-based organizations with a total budget of \$500,000 in funding, leveraging over \$371,184 in cash and in-kind co-financing.

The small amounts granted to the 16 CSOs, has demonstrated that even with small amounts of money, local communities can undertake activities that will make a significant difference in their lives and environment, contributing to global environment benefits at the same time. This is evidenced with the change in local people's lives brought about through implementing the environmental conservation projects which have impacted positively on their livelihoods and the environment. The GEF Small Grants Programme has proved that even with limited financial and human resources, it is possible to create significant impact at grassroots level.

Examples can be drawn from one of the projects SGP supported through the Nyimba District farmers Association (NDFA) were;

- i. Women are taking the lead in conservation farming to contribute to household food security. Through this project, 174 women have started practicing group approach to conservation farming by way of digging basins on a rotational basis.
- ii. Farmer's yields increased by 50%. NDFA has continued providing inputs to farmers even at the end of the project. This has continued to raise yields amongst farming households. Farmers who participated in the project in the valley areas are testifying of double increase in yields which translates into household food security. Farmers in other areas have attested to having at least 40 X 50Kg bags of maize surplus for sale. This means there is improved income flow at household level as a result of better yields.
- iii. 100% seed maize soft loan repayment. Farmers have appreciated the intervention by supporting the input scheme which has kept farmers to always use conservation farming method.
- iv. The forest spanning 14,000 hectares was under threat by charcoal burners and traditional bee keepers in Raphael village. Due to the intervention, charcoal burning in this specific area has reduced tremendously and its survival will greatly depend on sustaining the intervention with crop production and other activities such as modern bee keeping that have already began in the area.
- v. The project has recorded at least 1,611 male and 1,216 female community members as beneficiaries of the activities

The local communities 'capacity has been built in viable alternatives to economic and cultural practices that may endanger biodiversity, contribute to climate change, unsustainable land management practices, These alternatives include, for example substituting the use of a plentiful, renewable resource for reliance on an endangered species or creating alternative livelihood or income-generation possibilities that relieve the pressure on fragile or diminishing habitats and ecosystems, or

minimize the impact of climate change on vulnerable households by increasing their adaptive capacity to climate change, or providing access to more efficient energy sources.

1.2 Key baseline considerations

Environmental/natural resource management in Zambia faces several challenges, including land degradation; loss of biodiversity; unsafe waste management; water pollution and inadequate management of water resources, inadequate legal and policy frameworks; and inadequate enforcement of legislation. In the Copper belt area, also air pollution is an acute problem. Poor sanitation causes severe environment-related health risks. Even though Zambia has vast and internationally famous wildlife protection areas, their management is weak with persistent poaching in the protected areas. Climate change involves several threats to the environment, Zambian society, and the economy, especially in terms of agriculture and food security. Alongside the evident losses in the agriculture sector with threats to food security, the National Adaptation Programme of Action (NAPA) completed in mid 2007, has highlighted that the increase in temperature is slowing down the regeneration capacity of the Miombo forest (which comprise 70% of the Zambia forests), traditionally a resilient and balanced ecosystem. Other natural resource-based economic factors like hydropower production and wildlife-based tourism are at stake due to their climate sensitiveness. Further the NAPA indicates that climate change induced disasters will increase the burden on women who are already vulnerable and comprise 60% of small scale farmers. This will further, deepen their poverty

The National Climate Change Response Strategy (NCCRS) for Zambia provides a comprehensive framework for coordinated and harmonized response to climate change issues in the country. The objectives of the NCCRS are related to sectoral adaptation and mitigation actions needed to achieve the Strategy's vision of a Prosperous Climate Change Resilient Economy as well as the governance framework needed.

The Sixth National Development Plan (SNDP) emphasizes the government's intentions to further exploit the country's rich natural resources to ensure growth and prosperity for the nation. The theme of the SNDP is "*sustained economic growth and poverty reduction*". The focus for SNDP is to reverse deforestation, wildlife depletion, heritage sites degradation, and land degradation. Further the sector will enhance collaboration among players in natural resource management in order to ensure sustainable exploitation of resources.

1.3 Partnerships

Partnership is a critical aspect of the GEF/SGP operations. As an integral part of its decentralised system of national-level steering committees, SGP operates through a multi-stakeholder approach engaging Civil Society Organisations including NGOs, CBOs, the private sector, government, academia, bilateral donors and partners, and local communities. The delivery modality of the SGP has been put at the disposal of bilateral donors willing to cost share and co-finance projects with the GEF. Although SGP grants are targeted specifically at community-based and non-governmental organizations, a broad range of stakeholders from the Ministry of Environment and Natural Resources under the Forestry and environment department, Ministry of Agriculture and Local government are engaged as active partners during grant implementation, including *inter alia* research institutes, local and municipal governments, international NGOs, as well as national and international volunteers. With regard to local poor communities and marginalised populations, SGP follows a set of principles that advocate for a flexible, time sensitive, and simple project cycle in order to allow these "difficult to

reach" groups to access SGP support. The programme has pioneered numerous user-friendly modalities to work with poor and marginalized groups including alternative proposal formats such as participatory video, photo stories and community theatre are made for concept and project submission in local and vernacular languages. SGP also allows for flexible disbursement terms to cope with local communities, customs and seasonal movements. Other potential co-financers such as the Interim Environment Fund, the Civil Society Fund and embassies have also come on board as Partners

2. SGP COUNTRY PROGRAMME NICHE

2.1 In response to global conventions

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)	28 th May 1993
CBD National Biodiversity Strategy and Action Plan (NBSAP)	28 th May 1993
UN Framework Convention on Climate Change (UNFCCC)	28 May 1993
UNFCCC National Communications (1 st , 2 nd , 3 rd)	2006 2007
UNFCCC Nationally Appropriate Mitigation Actions (NAMA)	1994
UN Convention to Combat Desertification (UNCCD)	19 September 1996
UNCCD National Action Programmes (NAP)	2002
Stockholm Convention (SC)	7 th July 2006
SC National Implementation Plan (NIP)	5 th October 2006
World Bank Poverty Reduction Strategy Paper (PRSP)	May 2002
GEF National Capacity Self-Assessment (NCSA)	February 2006
GEF-5 National Portfolio Formulation Exercise (NPFE)	December 2010
Strategic Action Programmes (SAPs) for shared international water-bodies	12 June 2003
National/Regional plans or programmes	
Vision 2030	2006
Sixth National Development Plan (SNDP)	2011
National Climate Change Response Strategy (NCCRS)	2010
National Policy on Environment (NPE)	2005
United Nations Development Assistance Framework (UNDAF)	2011
National Environmental Action Plan (NEAP)	1994
Zambia Wildlife Policy	1998
Adaptation of the national conservation strategy	1985

Environmental Management Act	2011
Programme on Climate Resilience	2011
National Agriculture Policy	2004-2015
UN REDD	2010-2015

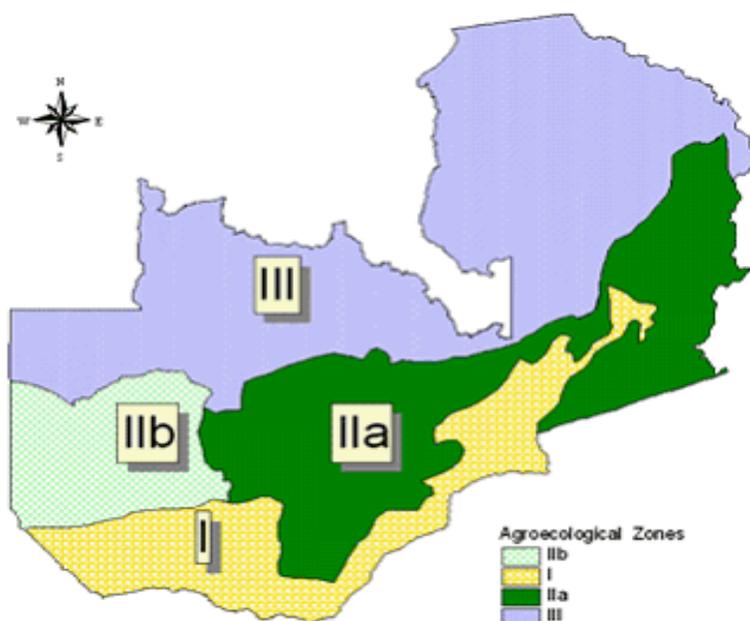
2.2 SGP country programme focus during OP5

SGP will use OP5 resources to support new projects and up scaling of projects that have already been implemented to ensure that there is continuity and reciprocating of activities already implemented. This will be in accordance with national priorities and will enable the Programme to contribute to resolving environment challenges relating to GEF5, by providing small-scale grants to community-based and non-governmental organizations for projects which are within the GEFs focal areas that seek to attain better livelihoods and at the same time address local environmental issues. These results will in turn contribute to sustainable environment and natural resources as well as poverty reduction in line with the strategic priorities and objectives of the GEF which are within the national priorities promulgated in the SNDP and various sectoral policies. The programme activities also aims at addressing environment challenges as a priority on environment issues of national significance within the global conventions.

2.3 Geographic focus.

GEF Small Grants Programme in Zambia will consider consolidating project activities in the same ecological zones as of the OP4 to ensure continuity and enhancement of developmental projects. These are the two of the three distinct agro-ecological regions (region I, and region II) as illustrated in figure 1. The two regions, comprising five provinces namely Central, Eastern, Southern, Western and Lusaka are areas of high environmental significance. The regions are facing extreme poverty levels, have inadequate resource use patterns, and areas of conservation value under threat. These areas are also vulnerable to natural disasters (floods and drought) and have recurrent food security problems

Figure 1: Zambia's agro-ecological zones



2.4 SGP niche for grant-making in relation to the national priorities

Table2. 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 and community conservation areas through community-based actions	<ul style="list-style-type: none"> Community-based approaches to the conservation of natural habitats and ecosystems in and around conservation areas, including protected areas 	Preserve the endangered and threatened species within their habitat.
<u>SGP OP5 Immediate Objective 2:</u> Mainstream biodiversity conservation and sustainable use into production landscapes, seascapes and sectors through community initiatives and actions	<ul style="list-style-type: none"> Capacity-building efforts that promote the preservation and application of traditional and indigenous knowledge and practices relevant to the conservation and sustainable use of biodiversity/agro biodiversity Promotion of sustainable production and use of non timber forest products Strategic interventions to rehabilitate degraded areas in and around the communities' e.g. restoration of native fodder species/ vegetative cover which are crucial to pastoral economies 	Conserve and promote the conservation of agro-biodiversity by local communities within the broader agricultural landscape.
<u>SGP OP5 Immediate Objective 3:</u> Promote the demonstration, development and transfer of low carbon technologies at the community level	<ul style="list-style-type: none"> Increased access to sustainable, climate-friendly energy technologies through removal of cultural institutional, technical and economic barriers Development, adaptation and dissemination of renewable energy technologies e.g. efficient energy stoves and biogas technologies 	Adaptation of effects of climate change through energy efficiency, promotion of improved agricultural farming techniques, assessing the possibilities to use renewable energy resources and promoting the use of alternative transport means especially in the urban areas.
<u>SGP OP5 Immediate Objective 4:</u> Promote and support energy efficient, low carbon transport at the community level	<ul style="list-style-type: none"> Promotion of increased collaboration between community and academic institutions in research and development in order to produce low-cost sustainable energy options Improved capacity of local communities and institutions to operate , manage and maintain renewable energy technologies Improved resilience of the agriculture sector in Zambia to climate change impacts through the development and promotion of improved agricultural farming techniques. 	
<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	<ul style="list-style-type: none"> Promote and improve the use of traditional knowledge on the management and utilization of land in accordance with specific local conditions, sharing the knowledge generated regionally and nationally. Promotion of the application of local and sustainable technologies. 	Combating land degradation using sustainable agricultural practices, forest and orchard re-introduction and management.
<u>SGP OP5 Immediate Objective 6:</u> Maintain or improve flow of agro-ecosystem and forest ecosystem services to sustain livelihoods of local communities	<ul style="list-style-type: none"> Improved management of degraded areas for environmental and livelihood benefits Adaptation of conservation farming practices 	

<p><u>SGP OP5 Immediate Objective 7:</u> Reduce pressures at community level from competing land uses (in the wider landscapes)</p>	<ul style="list-style-type: none"> • Increased land and water management practices • Increased investment in water and land productivity and conservation 	
<p><u>SGP OP5 Immediate Objective 8:</u> Support transboundary water body management with community-based initiatives</p>	<ul style="list-style-type: none"> • Improved sustainable, community based water and water resource management in order that groundwater resources is not over-extraction. • Promotion of the use of technology that has minor impacts on water and water resources to protect the unsustainable exploitation of fisheries and protection of fisheries habitats. • Promotion of research projects concerning indigenous knowledge on water and water resource management especially, ethnic groups. Sharing of the results is contributing to national water and water resource policy development process, which is underway 	<p>Reducing and/or mitigating the agricultural sources that pollute the aquatic bodies.</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>	<ul style="list-style-type: none"> • Increased use of alternative pest management system e.g integrated pest management in agric • Increased capacity for identifying and dealing with POPs contamination • Improved knowledge in handling, use of POPs and their disposal • Promotion of organic production and marketing of organic produce. • Development and promotion of the use of clean technology and clean products, organic products or chemical free products, goods and services that conform to high environmental quality standards. 	<p>Raising public awareness for non-usage of POPs and Initiating/demonstrating examples that do not use POPs.</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>	<ul style="list-style-type: none"> • Promotion of aligned project capacity building objectives with focus on SGP's niche in capacity building of communities, CBOs, NGOs and other civil society groups 	<p>Capacity building for Communities, CBOs, NGOs particularly those involved with the poor and vulnerable, capable of managing projects in the GEF focal areas and advocating for their continued support and mainstreaming at both national and global level</p>
<p><u>Cross-Cutting Results:</u> Poverty reduction, livelihoods and gender</p>	<ul style="list-style-type: none"> • Improved livelihoods through increasing local benefits generated from environmental resources, and mainstream gender considerations in community-based environmental initiatives. 	<p>Reducing poverty through local benefits generated from environmental resources, and mainstream gender considerations in community-based environmental initiatives.</p>

3. CAPACITY DEVELOPMENT, POVERTY REDUCTION AND GENDER RESULTS FOR SGP

Given SGP’s highly local and grassroots stakeholders, capacity-building is always an integrated component of its projects. The purpose of SGP capacity building is to contribute to creating significant positive change in the country’s response to the environment challenges for the achievement of both local and global environmental benefits through civil society in partnership with development partners.

SGP Zambia’s capacity building activities will include focused trainings and workshops with the projects eventually becoming a hands-on or learning-by-doing experience that encompasses the whole gamut of technical, socio-economic, political, and institutional skills needed to implement and sustain projects. It should be noted that beyond technical skills, SGP capacity building will focus on values formation and empowerment of involved communities.

SGP Zambia will work to develop sustainable livelihoods, including through the creation and support for small and medium enterprises at the community level that contribute to sustainable resource use, generate local benefits from environmental conservation measures, and promote innovative and entrepreneurial approaches to critical problems such as energy conservation and generation. Thus, where poverty once forced communities to take a short-term view and an exploitatively opportunistic approach to natural resource utilization, the realization of livelihoods and enterprises linked to natural resources will create a desire for a long term view and careful resource management.

In SGP local communities, sustainable livelihoods and enterprises will create the capacity and also provide additional resources for environmental protection. The key factor in the success of SGP projects is the linkage of the generation of socioeconomic benefits with the generation of global environmental benefits, which can be achieved in many different and creative ways depending on the specific issue targeted.

SGP Zambia understands the importance of gender equality and women’s empowerment as essential elements to achieve sustainable development and Global Environmental Benefits. In most communities, women have been identified as the key decision makers about the use of resources, and have a significant influence on behavioral patterns. Women can also be among the most affected by negative environmental impacts resulting from unsustainable resource use. Actors and actions for environmental management are increased and become more effective when both men and women are meaningfully involved. As such, gender will be mainstreamed throughout the SGP programme and its associated portfolio of projects. Gender is one of the mandatory cross-cutting requirements in the SGP grant-making criteria and is incorporated within the SGP project cycle. These capacities developed will be retained through;

- i. Training the communities and linking them to line ministries for sustainability of the activities
- ii. community forums- Learning from experiences through local participation and linkages
- iii. Value chain and change of mind from dependable community actions but also turn them into enterprise development projects

4. OP5 COUNTRY OUTCOMES, INDICATORS AND ACTIVITIES

Table3. Results Framework

SGP OP5 Immediate Objective 1: Improve sustainability of protected areas and indigenous and community conservation areas (ICCAs) through community-based actions			
Outcomes	Indicators	Means of verification	Activities

<p>SGP BD Outcome 1.1: Improved community-level actions and practices, and reduced negative impacts on biodiversity resources in and around protected areas, and indigenous and community conservation areas</p>	<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 	<p>GEF SGP database, project reports monitoring visits report and the annual country report</p>	<ol style="list-style-type: none"> 1.4 community and civil-society based projects supporting biodiversity conservation in indigenous and community conservation areas supported 2. Increase their recognition and support at the national level, 3. Improve their effectiveness in conserving biodiversity, and ensure the generation of local benefits 4. Develop communities' capacity to apply protected area approaches.
<p>SGP BD Outcome 1.2: Benefits generated at the community level from conservation of biodiversity in and around protected areas and indigenous and community conservation areas</p>	<p>Total value of biodiversity products/ecosystem services produced (US dollar equivalent)</p>	<p>GEF SGP database, project reports monitoring visits report and the annual country report</p>	<p>Support 4 projects to improve livelihoods related to benefits from ICCAs and Pas through SGP support</p>
<p>SGP OP5 Immediate Objective 2: Mainstream biodiversity conservation and sustainable use into production landscapes, seascapes and sectors through community initiatives and actions</p>			
<p>Outcomes</p>	<p>Indicators</p>	<p>Means of verification</p>	<p>Activities</p>
<p>SGP BD Outcome 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</p>	<p>Hectares of production landscapes/seascapes applying sustainable use practices</p>	<p>GEF SGP database, project reports monitoring visits report and the annual country report</p>	<p>5 community and civil-society based projects supporting biodiversity conservation through mainstreaming supported</p>
<p>SGP OP5 Immediate Objective 3: Promote the demonstration, development and transfer of low carbon technologies at the community level</p>			
<p>Outcomes</p>	<p>Indicators</p>	<p>Means of verification</p>	<p>Activities</p>
<p>SGP CC Outcome 3.1: Innovative low-GHG technologies deployed and successfully demonstrated at the community level</p>	<ul style="list-style-type: none"> • Number of community members demonstrating or deploying low-GHG technologies 	<p>GEF SGP database, project reports monitoring visits report and the annual country report</p>	<p>Support 3 community and civil-society based projects supporting the transfer of low-carbon technologies</p>
<p>SGP OP5 Immediate Objective 4: Promote and support energy efficient, low carbon transport at the community level</p>			
<p>Outcomes</p>	<p>Indicators</p>	<p>Means of verification</p>	<p>Activities</p>
<p>SGP CC Outcome 4.1: Low-GHG transport options demonstrated at the community level</p>	<p>Tonnes of CO2 avoided by implementing low carbon technologies:</p> <ul style="list-style-type: none"> - Low carbon transport practices (Bicycles) - Renewable energy measures (micro-solar, micro-hydro, biogas) 	<p>GEF SGP database, project reports monitoring visits report and the annual country report</p>	<p>Support 3 community and civil-society based projects promoting energy efficient, low carbon transport</p>
<p>SGP CC Outcome 4.2: Increased investment in community-level energy</p>			

efficient, low-GHG transport systems	and methane energy generation) - Energy efficiency measures (solar/fuel-efficient stoves).		
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
SGP CC Outcome 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	<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 	GEF SGP database, project reports monitoring visits report and the annual country report	Support 3 community and civil society based projects promoting the conservation and enhancement of carbon stocks through sustainable management and climate proofing of land use, land use change and forestry
SGP OP5 Immediate Objective 6: Maintain or improve flow of agro-ecosystem² and forest ecosystem services to sustain livelihoods of local communities			
Outcomes	Indicators	Means of verification	Activities
SGP LD Outcome 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	<ul style="list-style-type: none"> • Hectares of land applying sustainable forest, agricultural and water management practices • Hectares of degraded land restored and rehabilitated 	GEF SGP database, project reports monitoring visits report and the annual country report	Support 5 community and civil society driven initiatives such as community-forestry, and the restoration of degraded lands through afforestation and other measures
SGP OP5 Immediate Objective 7: Reduce pressures at community level from competing land uses (in the wider landscapes)			
Outcomes	Indicators	Means of verification	Activities
SGP LD Outcome 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)	Number of communities demonstrating sustainable land and forest management practices	GEF SGP database, project reports monitoring visits report and the annual country report	Support 5 community and civil-society based projects supporting reduction of pressures from competing land uses
SGP OP5 Immediate Objective 8: Support transboundary water body management with community-based initiatives			
Outcomes	Indicators	Means of verification	Activities
SGP IW Outcome 8.1: Effective and climate resilient community-based actions and practices supporting implementation of SAP regional priority actions demonstrated	<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 	GEF SGP database, project reports monitoring visits report and the annual country report	Support 2 community-based initiatives on fishery management, land based pollution control and water resource uses

² Agro-ecosystems including grasslands and rangelands

	pollution avoided		
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
SGP CH Outcome 9.1: Improved community-level initiatives and actions to prevent, reduce and phase out POPs, harmful chemicals and other pollutants, manage contaminated sites in an environmentally sound manner, and mitigate environmental contamination	<ul style="list-style-type: none"> • Tonnes 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 	GEF SGP database, project reports monitoring visits report and the annual country report	Support 3 community and civil-society based projects promoting and supporting phase out of POPs and chemicals of global concern at community level
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
SGP CD Outcome 10.1: Active participation of NSCs and NFGs in GEF focal areas at the national level	Number of community-based environmental monitoring systems demonstrated	GEF SGP database, project reports monitoring visits report and the annual country report	Support 30 community and civil-society based projects to enhance and strengthen capacity of communities and Civil Society to Address Global Environmental Challenges
SGP CD Outcome 10.2: Improved information flows to/from CBOs and CSOs in SGP countries regarding good practices and lessons learned, and application of such practices	Number of consultative mechanisms established for Rio convention frameworks		
SGP CD Outcome 10.3: Increased public awareness and education at the community-level regarding global environmental issues	Number of innovations Or new technologies Developed/applied		
Cross-Cutting Results: Livelihoods and Gender			
Outcomes	Indicators	Means of verification	Activities
SGP's Results Framework for OP5, as approved by the SGP Steering Committee, does not include specific objectives on livelihoods and gender. Nonetheless, SGP does produce positive results in these areas, which contribute to the overall achievement of Global Environmental Benefits through sustainable development. Generally, SGP	Livelihoods <ul style="list-style-type: none"> • Number of participating community members (gender disaggregated) • Number of days of food shortage period reduced • Number of increased student days participating in schools • Number of households who get access to clean drinking water 	GEF SGP database, project reports monitoring visits report and the annual country report	Support 30 community and civil-society based projects seeking to improve livelihoods through increasing local benefits generated from environmental resources, and mainstream gender considerations in community-based environmental initiatives.

<p>seeks to improve livelihoods through increasing local benefits generated from environmental resources, and mainstream gender considerations in community-based environmental initiatives.</p>	<ul style="list-style-type: none"> • Increase in purchasing power by reduced spending, increased income, and/or other means (US dollar equivalent) <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 directly supported • Number of quality standards/labels achieved or innovative financial mechanisms put in place 		
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5. MONITORING & EVALUATION PLAN

5.1 Monitoring & Evaluation

SGP Zambia will attempt to improve the already existing monitoring frameworks and will use baseline data that is sufficient enough to the programme to check if it conforms to the GEF objectives. Close monitoring is a key factor in ensuring the successful operations of the Small Grants Projects.

All parts involved in the programme implementation have responsibility in its monitoring and evaluation. The organization that receives and administers a GEF/SGP grant, like project beneficiaries, together with the National Coordinator, Programme Assistant and the designated members of the NSC, have responsibility for project M&E at all levels.

Below various instruments are considered for monitoring and evaluation, and will measure overall SGP impact including:

The Project Level:

Baseline data: each project should provide the necessary baseline data, that is, information about the state of relevant features of the community, usually focusing on the problem in the GEF focal area and corresponding operational program, before project activities begin.

Indicators: indicators for use in the M&E should be selected during the formulation stage of the projects when the objectives are being established; relevant questions should address objectives, target groups, results, and project success.

Work plans: the work plans are used as the basis for monitoring the progress of project implementation; each GEF/SGP should include a detailed work plan which indicates the critical milestones in implementation with the corresponding timetable, responsible actors, and

indicators; the plan should indicate how information will be collected and who will be responsible for it.

Site visits: the first site visits will take place once the project concept is found eligible for funding to help project proponents design the full project which adequately meets the GEF/SGP criteria; subsequent site visits after the approval of the project will allow the National Coordinator, the Programme Assistant, and the members of the NSC to observe the actual implementation of the project and to confirm the information contained in the NGO/CBO project progress reports; these site visits will also include meetings with relevant project stakeholders; a final site visit will be conducted upon receipt of the final project report.

Monitoring record: after each site visit the NC and the designated NSC member will prepare a Monitoring record indicating the objectives of the visit, observations, recommendations and actions to be taken and next steps; this report will be provided to the grantee NGO/CBO and all the members of the NSC.

Progress reports: depending on the nature of the project, each grantee will submit at least two progress reports during the lifetime of the project; the progress reports will be reviewed by the National Coordinator and the designated member of the NSC. The progress reports will be provided to all members of the NSC.

Final reports: upon completion of the project the grantee NGO will prepare a final report that focuses on the relevant geographic focus and thematic approach of the project, and performance of the project, the likelihood of its success, and lessons learned in terms of best and worst practices; the report should also contain recommendations for follow-up actions by appropriate institutions where appropriate; the final report will be provided to all relevant actors.

Report on Project Evaluation and Lessons Learned: after approving the final report, the NC and the designated NSC member will prepare a report on the project which will provide a review of the project implementation, lessons learned, potential for replication; the evaluation of the project is based on the results impact indicators established for the project, observations from the final site visit as well as the final report submitted by the NGO/CBO; this report will be provided to all relevant actors.

The Country Programme Level:

There will be a need for **M&E** at the programme level, where the National Coordinator, members of the NSC, UNDP CO, CPMT and UNOPS are the major actors involved in the monitoring and evaluation of the GEF/SGP at the programme level. As instruments for monitoring and evaluation at this level consideration is to:

Progress reports: the NC will report on the project and programme progress annually as well as on numerous other occasions as needed by the UNDP CO, CPMT and UNOPS; these progress reports will be accompanied by the Project Survey and Update.

Annual assessment: an annual assessment of the country programme performance will be conducted by the NC, NSC and UNDP CO; this exercise will involve major stakeholders as well.

Indicators: performance indicators will be developed for the annual assessment of the country programme performance; some of the criteria for developing performance indicators are the following:

- Implementation of the country strategy
- Portfolio compliance with GEF focal areas and operational programs
- Capacity building
- Documentation and information management and dissemination mechanisms
- Mainstreaming
- Networking
- Visibility
- Demonstrating global benefits

5.2 Local stakeholders' participation

The programme will allow Participatory project design, implementation, Monitoring & Evaluation with the stakeholders and progress will be documented through reports. All GEF/SGP projects should incorporate participatory monitoring and assessment into their design and implementation. This will further enhance the involvement of affected communities and stakeholders in GEF SGP projects, provide for better correction during implementation, and ensure that lessons are articulated and learned by the participants themselves. The involvement of key stakeholders contributes to community “ownership,” helps build consensus about the project’s approach, and promotes mutual understanding.

Participatory monitoring and assessment begins with project development. Key considerations in this phase include:

- early consultation with community members/ stakeholders about project design;
- participatory research to compile baseline information through;
 - i. Vision setting
 - ii. Transit walks
 - iii. Women and Youth farmers meetings
 - iv. Case Studies
 - v. Focus group discussions
 - vi. Mapping and designing
 - vii. Observation
 - viii. Exchange visits
- definition and agreement on project concept;
- consensus about project objectives and activities, and
- Establishment of a monitoring and evaluation plan for the project.

Community participation in evaluation process is very crucial. GEF SGP in Zambia would give priority to projects that (a) ensure community participation in all stages of the project, including evaluation process; (b) foresee cooperation with local NGO/CBOs; (c) pay attention to sustainable livelihoods of local communities; and (d) rely on local technical and scientific resources.

GEF SGP in Zambia would bring together on a yearly basis, different grantees to discuss their own evaluation in a workshop. They would not only exchange experiences, but also derive lessons learned and share best practices that could later be replicated. Views from the grassroots would be considered

yearly, by means of (a) GEF/SGP Stakeholders' workshop; (b) workshops with grantees at completion of each ten GEF/SGP funded projects; and (c) country strategy review. Informal talks would also contribute to this direction.

Table4. 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 ³	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> ⁴)	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

5.3 Strategy to aggregate results

Strategy, Results and Indicators

The overall strategy is directed towards a programme that will establish a niche within the environmental and sustainable development arena. Results and impacts are expected to be at the level of policy reform, establishment of community institutions that contribute to environmental protection, and improvement of livelihoods.

The GEF SGP M & E Framework define indicators as basic tools, which are used to measure or assess the progress and results of a project. There are two types of indicators at the project level: Activity Indicators, which measure project implementation activities and Results Indicators which measure project results at three levels: Output, Outcome and Impact. Monitoring is generally based on activity indicators and evaluation usually concentrates on results indicators.

³ 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.

⁴ 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.

In order to conduct monitoring and evaluation, the grantee organizations would be assisted by the NC, NSC members or National Consultants to identify and construct indicators. Since each project would be expected to develop indicators that will be useful for its constituency, it suffices here to mention that for indicators to be useful shall have the following characteristics:-

- quantitative (in terms of numbers and percentages),
- qualitative (should be easily described in words),
- Time-specific (until when?),
- independent of the objective (should not be a repetition of the objective), and
- Cost-effective (the cost of collecting the data should not exceed the value of the information).

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 ⁵	NC presenting to NSC and CPMT	Once per year
Financial 4-in-1 Report	NC/PA, UNOPS	Quarterly

6 KNOWLEDGE MANAGEMENT PLAN

6.1. Community level

Knowledge gained through projects will be captured through videos, human interest stories as well as photo stories (audio and visual) and they will be disseminated through;

(i) Mass media (ii) hand books / information packs(brochures),Posters (iii)how-to-booklets, (iv) case studies, (v) films and videos, website and exchange visits. This will then be disseminated through lessons learnt in meetings among stakeholders and practitioners so as to determine the good practices and strategies to compare the failures and achievements which will be shared as good practices. The expertise of a practitioner is not only technical, managerial and entrepreneurial; but it is cultural, behavioral and motivational. SGP Zambia will ask for continuous learning and knowledge sharing with other grantees (one possibility is being organized in ‘knowledge network’ among past and current

⁵ The annual Country Programme Review exercise should be carried out in consultation with the national Rio Convention focal points and the associated reporting requirements.

grantees). The information will be managed through database and a mini simple library of all information collected.

6.2 National level

- The Knowledge to inform and influence policy at local and national level will be disseminated through Advocacy for policies safeguarding the interest of the environment
- Engagement in Parliament select committees to shoe the gaps in the environmental laws by appearing to the respective committees.
- The programme will run Television series and use mass media to inform and influence policy
- Participating in Lobbying through grass root committees and groupings whose representation also includes SGP grantee beneficiaries
- The programme will use respective projects to use the networks to influence policy
- The SGP Zambia intends to formulate a communication, information and Knowledge management strategy plan.
- The NSC in GEF 5 intends to enhance understanding and importance by encouraging the community organizations to participate in local structures so as to be able to influence policy making
- Through lessons learnt in meetings/ workshops among stakeholders and practitioners so as to determine the good practices and strategies, SGP Zambia will be able to compare the failures and achievements which will then be shared as good practices on the UNDP/GOVERNMENT and GEF SGP websites, the information will be aired on radio programmes and also through Television documentaries by the government under the department of environment.
- Participatory project design, implementation and M&E which provides skills to grantees, fosters ownership to the community and ensures sustainability will be taken into consideration as one of the strategies to influence policy at local, regional and national levels.

6.3 Programme level

- Replication of the Knowledge will be done through shared information by inviting potential donors to grace and participate in the programmes events such as project appraisal and re-formulation missions, project launches where they would be allowed to also share their activities with others and share common ground for environmental programmes.

7 RESOURCE MOBILIZATION PLAN

- The resource mobilization plan will be done in such a way that it gives room for lobby from the government and UNDP Country Office and other international agencies to allocate a portion of the track resources for GEF/SGP activities through production of progress reports to show the success and also by formulating concept notes to show the different plans and ideas for community development and showing how SGP can be fitting in their environment management and livelihood sustainable programmes.SGP Zambia will also;
- Establish sustainability plans for the projects
- Making synergies with private sector
- Turning the project activities into enterprise development projects
- Solicit UNDP support in mobilizing resources from potential donor agencies and embassies

- Organize regular meetings with the private sector with a view of partnering with them on GEF/SGP programmes
- provide technical support to the grantees/NGOs and CBOs to develop GEF eligible project proposals which have resource mobilization components
- There are eminent possibilities to develop strategic partnership in identifying organizational objectives which share the common ground on conserving the environment whilst sustaining livelihoods and eradicate Poverty. This can be done by allowing the integration of similar activities.SGP which is a more effective mechanism to reach the lowest community members whose mandate involves conservation of the environment at the same time livelihood enhancement.

ANNEX 1: GEF SGP OP 5 PROJECT LEVEL INDICATORS

The following represent the core set of project level indicators for OP5:

Biodiversity (BD)

- Hectares of indigenous and community conserved areas (ICCAs) influenced
- Hectares of protected areas influenced
- Hectares of significant ecosystems with improved conservation status
- Hectares of production landscapes/seascapes applying sustainable use practices
- Total value of biodiversity products/ecosystem services produced (US dollar equivalent)

Climate Change (CC)

- Tonnes of CO2 avoided by implementing low carbon technologies
 - Renewable energy measures (*please specify*)
 - Low carbon transport practices (*please specify*)

- Energy efficiency measures (*please specify*)
- Other (*please specify*)
- Number of community members demonstrating or deploying low-GHG technologies
- Total value of energy, technology and transport services provided (US dollar equivalent)
- Hectares of land under improved land use and climate proofing practices
- Tonnes of CO2 avoided through improved land use and climate proofing practices

Land degradation (LD) & Sustainable Forest Management (SFM)

- Hectares of land applying sustainable forest, agricultural and water management practices
- Hectares of degraded land restored and rehabilitated
- Number of communities demonstrating sustainable land and forest management practices

International Waters (IW)

- 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)

- Tonnes 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

Policy Influence, Capacity Development & Innovations (all focal areas)

- Number of community-based environmental monitoring systems demonstrated

please specify (1 example per entry)

- Number of consultative mechanisms established for Rio convention frameworks

please specify (1 example per entry)

- Number of innovations or new technologies developed/applied

please specify (1 example per entry)

- Number of local or regional policies influenced (*level of influence 0 – 1 – 2 – 3 – 4*)

please specify (1 example per entry)

- Number of national policies influenced (*level of influence 0 – 1 – 2 – 3 – 4*)

please specify (1 example per entry)

Livelihoods & Sustainable Development (all projects)

- Number of participating community members (gender disaggregated) * *mandatory for all projects*
- Number of days of food shortage period 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)

Empowerment (all projects)

- Number of NGOs/CBOs formed or registered
- Number of indigenous peoples directly supported
- Number of women-led projects directly supported
- Number of quality standards/labels achieved or innovative financial mechanisms put in place