



## Global Environment Facility

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August 9, 2007

Dear Council Member,

UNDP, as the Implementing Agency for the project, ***Global: Small Grants Programme, 4th Operational Phase***, has submitted the attached proposed project document for CEO endorsement prior to final approval of the project document in accordance with UNDP procedures.

The Secretariat has reviewed the project document. It is consistent with the proposal approved by the Council in June 2007, and the proposed project remains consistent with the Instrument and GEF policies and procedures. The attached explanation prepared by UNDP satisfactorily details how Council's comments and those of the STAP have been addressed. I am, therefore, endorsing the project document.

We have today posted the proposed project document on the GEF website at [www.theGEF.org](http://www.theGEF.org). If you do not have access to the Web, you may request the local field office of the World Bank or UNDP to download the document for you. Alternatively, you may request a copy of the document from the Secretariat. If you make such a request, please confirm for us your current mailing address.

Sincerely,

A handwritten signature in cursive script that reads "M. Barbut".

*Jr* Monique Barbut  
CEO and Chairperson

cc: Alternates, Implementing Agencies, STAP



# REQUEST FOR CEO ENDORSEMENT UNDER THE GEF Trust Fund

**GEFSEC PROJECT ID:** 2580  
**IA/ExA PROJECT ID:** 3952  
**COUNTRY:** Global  
**PROJECT TITLE:** 4th Operational Phase of the GEF Small Grants Programme  
**GEF IA/ExA:** UNDP  
**OTHER PROJECT EXECUTING AGENCY(IES):** UNOPS  
**DURATION:** 3 years  
**GEF FOCAL AREA:** Multi-focal Area/Others  
**GEF STRATEGIC OBJECTIVES:** All  
**GEF OPERATIONAL PROGRAM:** All  
**COUNCIL APPROVAL DATE:** 15 June 2007  
**COUNCIL APPROVED AMOUNT:** 123,646,591  
**CEO ENDORSEMENT AMOUNT\*\*:** 110,000,000  
**EXPECTED AGENCY APPROVAL DATE:** 31 August 2007  
**EXPECTED SUBMISSION DATE OF MID-TERM REPORT:** N/A  
**EXPECTED GRANT CLOSING DATE:** 2010  
**EXPECTED SUBMISSION DATE OF TERMINAL EVALUATION/ PROJECT COMPLETION REPORT:** N/A

FINANCING PLAN (\$)		
	PPG**	Project*
<b>GEF Total</b>		123,646,591*
<b>Co-financing</b>	(provide details in Section d): Co-financing)	
Cash		61,409,045
In-kind		85,590,955
<b>Co-financing Total</b>		147,000,000
<b>Total</b>		270,646,591
Financing for Associated Activities If Any:		

\* This figure plus the IA fee of USD 4,665,909 totals USD 128,312,500; this includes the USD 110 million core allocation to SGP, together with RAF country contributions for the first half of GEF4. Further funding to be budgeted from individual country RAF contributions is expected in Years 3-4 of GEF4 and shall be presented for approval as additional replenishment of SGP OP4 Yrs 2 and 3.

\*\* This request for endorsement is only for GEF-4 SGP core funds (USD 110 million) . RAF funds to SGP will be submitted for CEO endorsement when RAF utilization strategies and commitments, endorsed by the OFPs, are ready.

Approved on behalf of the *UNDP*. This proposal has been prepared in accordance with GEF policies and procedures and meets the standards of the GEF Project Review Criteria for CEO endorsement.

John Hough  
 Officer-in-Charge  
 Date: 26 July 2007

Delfin Ganapin  
 Project Contact Person

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1. **FINANCING** (for all the tables, expand or narrow table items as necessary)

**a) PROJECT COST**

Project Components/Outcomes	Co-financing (\$ million)	GEF (\$ million)	Total (\$ million)
1. Grants/Projects	147,000,000	85,760,250**	232,760,250
2. Programme mobilization, strategic guidance and M&E		3,735,713	3,735,713
3. Programme management		34,150,629	34,150,629
<b>Total project costs</b>	<b>147,000,000</b>	<b>123,646,591</b>	<b>270,646,591</b>

\* This item is an aggregate cost of project management; breakdown of this aggregate amount should be presented in the table b) below.

\*\* This figure does not include expected RAF contributions for the second half of GEF4 estimated at USD 54 million.

**b) PROJECT MANAGEMENT BUDGET/COST<sup>1</sup>**

Component	Estimated staff weeks	GEF(\$)	Other sources (\$)	Project total (\$)
Locally recruited personnel*	8,510	15,762,500	--	15,762,500
Internationally recruited consultants*	480	315,000	256,000	571,000
Office facilities, equipment, vehicles and communications		3,431,000		3,431,000
Travel		1,891,500	--	1,891,500
Miscellaneous		526,796		526,796
<b>Total</b>		<b>21,926,796</b>	<b>256,000</b>	<b>22,182,796</b>

\* Local and international consultants in this table are those who are hired for functions related to the management of project. For those consultants who are hired to do a special task, they would be referred to as consultants providing technical assistance. For these consultants, please provide details of their services in c) below:

**c) CONSULTANTS WORKING FOR TECHNICAL ASSISTANCE COMPONENTS:**

Component	Estimated staff weeks	GEF (\$)	Other sources (\$)	Project total (\$)
Personnel	368	3,863,646	1,339,200	5,202,846
Local consultants	836	315,250	521,136	836,386
International consultants	355	630,500	256,000	886,500
<b>Total</b>	<b>1,559</b>	<b>4,809,396</b>	<b>2,116,336</b>	<b>6,925,732</b>

**d) CO-FINANCING**

**GLOBAL LEVEL CO-FINANCING SECURED**

Global Level Partnership Cofinancing	GEF Donor type	In Cash
NZAid	Bilat. Agency	3,003,701
UNDP South-South Grant Facility	Impl. Agency	1,519,000
Global Mechanism	Multilat. Agency	250,000
NEPAD (UNEP/ Rwanda, Tanzania, Uganda)	Multilat. Agency	150,000
Development Bank of Southern Africa	Multilat. Agency	250,000
<b>Subtotal</b>		<b>5,172,701</b>

<sup>1</sup> For all consultants hired to manage project or provide technical assistance, please attach a description in terms of their staff weeks, roles and functions in the project, and their position titles in the organization, such as project officer, supervisor, assistants or secretaries.

**Global Level Administrative Cofinancing**

<i>Donor</i>	<i>Dononation Descr.</i>		
UNV	15 UNVs Sri Lanka, 30 UNVs	Multilat. Agency	418,500
UNF	Local Consultants	Multilat. Agency	190,000
NZAID	Local Consultants	Bilat. Agency	82,855
NZAID	International Consultants	Bilat. Agency	30,000
UNDP Human Rights	Local Consultants	Multilat. Agency	50,000
UNDP Human Rights	International Consultants	Multilat. Agency	50,000
Subtotal			821,355

**COUNTRY LEVEL CO-FINANCING SECURED**

<b>Type</b>	<b>Total</b>
Bilat. Agency	\$ 693,184
Foundation	\$ 710,000
Local Gov't	\$ 700,000
Multilat. Agency	\$5,226,863
Nat'l Gov't	\$ 820,000
NGO	\$ 921,756
Private Sector	\$ 850,000
Grand Total	\$9,921,803

**PROJECT LEVEL CO-FINANCING**

Estimates based on required project level co-financing and ratios of past donor contributions.

<b>Donor Type</b>	<b>GEF Donor type</b>	<b>Cash estimate</b>	<b>Kind estimate</b>
Bilateral Donor	Bilat. Agency	5,358,072	785,614
Foundation	Foundation	600,238	588,092
Grantee	Beneficiaries	6,800,831	25,771,589
International Charitable Organization	Foundation	561,795	1,209,644
International NGO	NGO	3,693,443	1,331,599
Local Government	Local Gov't	2,616,967	5,815,896
Multilateral Organization	Multilat. Agency	9,886,766	18,437,120
National Environmental Fund	Nat'l Gov't	4,352,835	96,680
National Government	Nat'l Gov't	4,434,800	18,797,566
National NGO	NGO	4,132,759	8,167,235
Private Sector	Private Sector	3,820,184	4,545,131
Transnational Corporation	Private Sector	55,852	44,790
Subtotal		46,314,541	85,590,955

## 2. RESPONSE TO REVIEWS

### a) COUNCIL

No Comments

### b) GEF SECRETARIAT

Comments to which response was 'expected at work programme inclusion' have been addressed in Annex C of the Project Executive Summary. The following addresses comments to which response is 'expected at CEO endorsement'. Please see Attachment '

<b>Response to GEF Secretariat</b> <b><u>Project Review 4-30-07</u></b>	
<b>Global – “GEF Small Grants Programme Operational Phase 4”</b>	
<i>EXPECTED AT <u>CEO ENDORSEMENT</u></i>	
<b>GEFSec comment</b>	<b>SGP – CPMT Response</b>
<b><u>COUNTRY OWNERSHIP</u></b>	
<p>1. Include all letters of requests from GEF focal points as well as proposed RAF allocation, where applicable.</p>	<p>62 countries have committed or are in the process of committing RAF fund to the SGP. The process of documenting and endorsing RAF commitments to the SGP is being handled separately from the Project Document, as agreed with GEF Sec, and according to guidance of the GEF SGP Steering Committee.</p> <p>In the December 11, 2006 meeting of the Steering Committee, it was decided that the GEF CEO will approve the SGP country programme strategy for the utilization of the RAF funds before that particular country programme can start using such funds.</p> <p>In the June 8, 2007 meeting of the Steering Committee, the process for CEO endorsement of RAF funds committed to SGP was agreed. OFP endorsed RAF utilization strategies and commitments to SGP will be submitted for CEO approval, before the RAF funds will be CEO endorsed and released.</p> <p>Furthermore, it was subsequently agreed with GEF Sec that SGP core funds (USD 110 million) will initially be submitted for CEO endorsement. RAF funds to SGP will be submitted for CEO endorsement when RAF utilization strategies and commitments, endorsed by the OFPs, are ready.</p>
<b><u>PROGRAM AND POLICY CONFORMITY</u></b>	
<p>2. Countries using RAF contributions need to provide SGP strategy/plan for CEO endorsement.</p>	<p>The proposed template for each Country Strategy for the Utilization of RAF Funds was presented at the GEF SGP Steering Committee Meeting of 8 June 2007, discussed briefly and approved.</p> <p>The process of review and approval of each country’s SGP RAF strategy was discussed. It was agreed that each strategy would be presented to the GEF Secretariat with a letter of endorsement by the corresponding GEF Operational Focal Point.</p> <p>Only those Country Strategies for the Utilization of RAF Funds that are fully</p>

	approved by the GEF Secretariat will receive SGP grant allocations. As each Country Strategy is approved, funding will be released for grant allocations for the corresponding Country Programme.
3. In regions, such as Pacific SIDS where GEF is discussing a programmatic approach, the project document needs to highlight the process for integrating its activities within the overall program.	SGP currently has a strong focus on Pacific SIDS and has mobilized significant non-GEF resources to work in the area. Discussions are ongoing regarding participation by SGP in the developing GEF strategic programme for the Pacific. SGP would be delighted to participate.
4. Provide criteria and process for competitive selection and renewing agreements with SGP national host institutions.	Please see Annex 1 of this response: <i>Criteria and process of competitive selection and renewal of SGP National Host Institution arrangements</i>
5. Please provide status of previously funded “strategic projects” and planned allocation in GEF4.	A report on the Strategic Projects window in Annex 2 of this response and details the status of Strategic Projects to date. There is no planned separate allocation for the Strategic Projects window for GEF4, given budget constraints.
6. An overall strategy to ensure sustainability of the SGP needs to be provided, which includes a graduation policy as well as defining the use of national and other resources in SGP.	Please see Objective 2 of the OP4 Project Document, <a href="#">paras 106-111</a> , starting on page 29.
7. Please include the reports from the portfolio review and ex-post studies and provide a list of planned studies.	A list of reports and publications from the portfolio review for biodiversity and climate change thematic areas are located in the “publications” section of the GEF SGP website at <a href="http://www.gef-sgp.org">www.gef-sgp.org</a> and under the specific GEF thematic areas. Please also see planning matrix, activities under Objective 5, knowledge management, for planned studies.
8. Detailed monitoring and evaluation plan for the SGP to be provided.  Please clarify who has access to the SGP database.	<p>Monitoring of the SGP takes place at various levels and involves a variety of actors. Projects are monitored systematically by the National Coordinator and National Steering Committee to ensure fulfillment of project activities and progress towards projected impacts. Monitoring reports will increasingly be archived on the SGP intranet. The timing and periodicity of project monitoring is defined in negotiation between NCs and grantees. Projects are evaluated after they end by the NC or NSC directly or through a commissioned consultant. A number of ex-post studies have been carried out three years after project termination to determine sustainability and strength of impacts.</p> <p>Country Programmes are monitored by UNOPS-CPMT Regional Teams. A series of Key Results Areas (KRAs) are identified and defined in detail in a Performance and Results Assessment (PRA), with corresponding indicators of success. These KRAs include a comprehensive assortment of elements critical to the overall success of a Country Programme in the areas of programming, operations, partnerships, etc. While the PRA is a formal annual assessment, KRAs are monitored on a fairly continuous basis through constant interactions with Country Programme teams. At the same time, informal assessments are often made of specific issues at different times throughout the year on a variety of topics e.g. upscaling experience, completion of knowledge management frameworks, etc. Country Programme impact studies will be carried out on a selective basis, time and resources permitting. Ten countries are audited every year as part of SGP’s standard practice. SGP Country Programmes are also monitored by the Country</p>

	<p>Offices of UNDP, who has formal management responsibility for SGP as GEF IA.</p> <p>At the global level, SGP will be monitored by the new SGP Steering Committee. CPMT will report to the SGP Steering Committee on a variety of strategic, programming and operational issues, as requested.</p> <p>Please see Annex 7 of the ProDoc for a comprehensive systems diagram of the SGP M&amp;E system.</p> <p>-----</p> <p>The GEF SGP project database is maintained by the country teams (National Coordinators and Programme Assistants), who input data as projects are approved and update the information on a regular basis until project completion. CPMT monitors project portfolios based on this data.</p> <p>The project database is closely integrated with the GEF SGP website at <a href="http://www.gef-sgp.org">http://www.gef-sgp.org</a>, and most data about the individual projects as well as basic "live" portfolio summaries can be viewed on the website. There are also several ways to browse and search in the portfolio.</p> <p>Custom reporting features, full project downloads and advance query tools are available through the SGP Intranet. SGP country teams have access to these features to monitor their respective project portfolios, while CPMT has access to monitor global, country, regional and thematic portfolios. Access to the intranet can be granted to other users such as researchers, and partners doing portfolio reviews. For example, the GEF Evaluation Office was provided access to prepare for the 4th Independent Evaluation of the SGP earlier this year.</p> <p>The SGP project database has during the past year undergone a series of new upgrades and improvements, including the new impact assessment system which enables targeted and quantitative monitoring of project impacts. Integration of a GPS coordinates on satellite imagery as well as synchronization with UNOPS financial system has also been added.</p>
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**FINANCING**

<p>9. Please provide break-down of the following budget items:</p> <p>Workshops \$1.8 million  Communication \$0.5 million  TA \$0.5 million  Travel \$2 million  CT's \$0.15 million  Lessons learnt \$0.6 million  Total \$5.5 million</p>	<p>Please see the explanation in Annex 3 to these responses of what the specific budget items include, as laid out in the ProDoc's budget section.</p>
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**INSTITUTIONAL COORDINATION AND SUPPORT**

<p>10. Provide further information where available on collaboration with IAs and EAs.</p>	<p>Details of direct collaborative partnerships are already provided in the Project Document as <u>Annex 3</u>.</p> <p>As a GEF corporate programme, SGP has collaborated with GEF Implementing and Executing agencies in a wide range of relevant activities. Staff of UNDP, UNEP and the World Bank are members of National Steering Committees (NSC) in specific SGP country programmes. Apart from NSC collaboration, collaborative partnerships include:</p> <ul style="list-style-type: none"> <li>• <b>UNDP</b> Energy and Environment Group and Columbia University collaborated with GEF SGP to produce knowledge management products based on the assessment of the contribution of community energy activities to MDGs with the aim of</li> </ul>
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	<p>identifying models or approaches for mainstreaming, up scaling or replicating globally. Replication, scaling up and mainstreaming is an important aspect in SGP as a tool for achieving global environmental benefits. SGP has collaborated with UNDP to document and publish climate change case studies based on the SGP portfolio review.</p> <ul style="list-style-type: none"> <li>• <b>UNDP</b> GEF jointly with SGP collaboratively developed the US\$ 5,000,000 full size project for the implementation of the community based adaptation programme under the GEF Strategic Priority on Adaptation (SPA)</li> <li>• <b>UNEP</b> Mediterranean Action Plan Strategic Partnership on Mediterranean Large Marine ecosystems is working with GEF SGP to conserve the Mediterranean large marine ecosystems. This strategic partnership lays the foundation for SGP countries bordering the Mediterranean Sea to link up with a larger international waters initiative, and provides the institutional and technical supporting for the GEF.</li> <li>• Nile Transboundary Environmental Action Programme – Micro Grant Programme (NTEAP-MGP) of the <b>World Bank</b>-GEF Nile River Project. This cooperation arrangement enhance the efficiency and cost-effectiveness of the GEF system, providing a model for other FSPs/MSPs to follow to save the administrative cost in implementing small sized community-based action by using existing SGP mechanisms as the delivery mechanism.</li> <li>• <b>UNEP</b> Micro grant Programme Regional project covering Uganda, Tanzania, Rwanda and Mozambique. SGP manage, implement and monitor the Micro-Grants Programme (MGP), component of UNEP project “Capacity Building to Alleviate Poverty through Synergetic Implementation of Rio Multilateral environmental Agreements (MEAs)” within the framework of the New Partnership for Africa’s Development (NEPAD).</li> <li>• <b>World Bank and UNDP</b> Reversing Land and Water Degradation Trends in the Niger River Basin (RLWD). SGP facilitate the implementation of the small grants component of the RLWD project. Partnership developed in March 2006 to provide opportunity for civil society stakeholders to engage in an exchange of lessons learned from the transfer of knowledge at the grass-roots level.</li> <li>• <b>UNEP</b> Global project with International Alliance of Indigenous and Tribal Peoples. A UNEP MSP approved to support international indigenous networks. GEF SGP will complement this project by being a member of its coordinating board and providing appropriate support at the country level through its country programmes.</li> <li>• <b>FAO</b> Globally Ingenious Agricultural Heritage Systems. SGP participated in project development discussions as part of the GIAHS Steering Committee and has established a partnership with FAO in regard to project implementation at the local level.</li> </ul> <p>See paragraph 19. The SGP Operational Group was upgraded to a Programme Steering Committee, which includes memberships from GEFSec, IAs and EAs, with the GEF CEO serving as the Chairperson, following the Fourth GEF Assembly. First meeting held in December 2006. Analysis made on how many full-sized projects with IAs and EAs have or could have GEF SGP components or use GEF SGP approaches and strategies.</p> <p>See Paragraphs 38-43. SGP has established strong collaboration and linkages with GEF FSPs and MSPs, in collaboration with GEF IAs.</p> <p>Detailed activities to involve IAs/EAs in GEF-4 can be found: para. 74; para. 79; para. 83; para. 86; para. 122; para. 87; para. 88; para. 90; para. 91; para. 92; para. 93.; para. 95; para. 114; para. 118; para. 121, para. 122; para. 142; para. 146.</p>
<p>11. Please provide separate lists of countries where SGP is ongoing from the new countries with expected date of entry.</p>	<p>Annex 1 of the ProDoc lists all countries that have SGP Country Programmes or where an SGP Country Programme is in the process of starting operations. The list of countries to be admitted to SGP can be found in the letter from the GEF CEO in Annex 2 of the ProDoc; in addition, two other countries have been added to the list of new entries: China and the Bahamas. According to the decision of the GEF SGP Steering Committee of 8 June, 2007, all countries on this list of countries to be admitted to SGP will enter</p>

	SGP before the last quarter of 2007.
<b>Summary recommendations</b>	
<b>Expected at CEO endorsement:</b>	
12. Include commitment letters from co-financiers.	Please see overview of co-financing in the Project Executive Summary. SGP has more than 6,000 cofinanciers. The vast majority of co-financing is raised by local project proposals and known only when such proposals are put forward. Furthermore, cofinancing is also raised as part of the implementation of these projects; therefore it is impossible to obtain letters ex ante. Larger donors' MOUs are available and are available at <a href="http://docs.gef-sgp.org/partnerships">http://docs.gef-sgp.org/partnerships</a> . The actual file containing these documents is greater than 35 Mb in size.
13. Provide a complete list of ongoing and new countries, their eligibility status, including endorsement letters from the GEF Focal points and proposed allocation from RAF, where applicable.	<p>The list of countries participating in OP4 is available in Annex 1 of the Project Document. All countries participating are eligible for GEF funding.</p> <p>New countries to enter during OP4 are available in Annex 2: Letter from CEO on participation of 21 New Countries. Note that two new countries have been added to this list by the GEF CEO: China and the Bahamas.</p> <p>An endorsement letter from the GEF Focal Point for participation in SGP is a formal requirement for start-up in the programme. RAF allocations are indicated in the table.</p>
14. Provide completion status of all small grants funded by SGP in the past, including expected time for completion. Indicate number of grants expected to be provided in GEF4.	<p>Data is available on the SGP database.</p> <p>As to the number of grants expected to be provided in GEF 4, only estimates can be made. As a demand-driven grant modality, proposals will come from communities and their CBO/NGO partners and could be anywhere from \$2,000 for planning grants, and from \$10,000 - \$50,000, with a global average of \$25,000 for small grants projects. As such, approximately 5,500 projects may be funded over the three years of OP4.</p>
15. Include list of countries that will graduate from SGP based on the agreed criteria and attach the format for countries to submit graduation plans on completion of the GEF-4 cycle.	<p>The GEF SGP Steering Committee, in its meeting of 11 December 2006, discussed the issue of mature Country Programmes and the transition to sustainability beyond GEF financing. This transition was termed "graduation" and a policy was agreed as follows: "Beginning in 2007, any country which has benefited from the SGP for more than 8 years will be required to present a plan to graduate from GEF funding (core and RAF resources) on completion of the GEF 4 cycle." Based on this policy, at least 40 countries will be affected by July 2010. Refer to Annex 1 of the ProDoc for dates of entry of countries to the programme.</p> <p>At the GEF Council meeting, June 12-15, 2007 the Council requested the Evaluation Office to include in its on-going evaluation of the Small Grants Programme (SGP), to be considered by the Council at its next meeting, an analysis of the graduation policy of the SGP, and in particular, the impact of the policy on LDCs and SIDS.</p> <p>The format for countries to submit graduation plans is part of the outputs of Objective 2 of Operational Phase 4.</p>
16. Submit detailed monitoring and evaluation plan for the SGP.	<p>Monitoring of the SGP takes place at various levels and involves a variety of actors. Projects are monitored systematically by the National Coordinator and National Steering Committee to ensure fulfillment of project activities and progress towards projected impacts. Monitoring reports will increasingly be archived on the SGP intranet. The timing and periodicity of project monitoring is defined in negotiation between NCs and grantees. Projects are evaluated after they end by the NC or NSC directly or through a commissioned consultant. Ex-post studies are carried out three years after project termination to determine sustainability and strength of impacts.</p> <p>Country Programmes are monitored by UNOPS-CPMT Regional Teams. A series of Key Results Areas (KRAs) are identified and defined in detail in a Performance and Results Assessment (PRA), with corresponding indicators of success. These KRAs include a</p>

	<p>comprehensive assortment of elements critical to the overall success of a Country Programme in the areas of programming, operations, partnerships, etc. While the PRA is a formal annual assessment, KRAs are monitored on a fairly continuous basis through constant interactions with Country Programme teams. At the same time, informal assessments are often made of specific issues at different times throughout the year on a variety of topics e.g. upscaling experience, completion of knowledge management frameworks, etc. Country Programme impact studies will be carried out on a selective basis, time and resources permitting. Ten countries are audited every year as part of SGP's standard practice. SGP Country Programmes are also monitored by the Country Offices of UNDP, who has formal management responsibility for SGP as GEF IA.</p> <p>At the global level, SGP will be monitored by the new SGP Steering Committee. CPMT will report to the SGP Steering Committee on a variety of strategic, programming and operational issues, as requested.</p> <p>A systems diagram of the SGP M&amp;E system is in Annex 7 of the Project Document.</p>
<p>17. Include a work plan and provide a schedule of introducing new countries within GEF4.</p>	<p>The work plan for OP4 is available in Annex 5 of the Project Document.</p> <p>According to the decision of the GEF SGP Steering Committee of 8 June, 2007, all countries on the list of countries to be admitted to SGP (23) will enter SGP before the last quarter of 2007.</p>

C) REVIEW BY EXPERT FROM STAP ROSTER (IF REQUIRED)  
N/A

**3. JUSTIFICATION FOR MAJOR CHANGES IN THE PROJECT, IF ANY<sup>2</sup>**  
No major changes made.

**4. REQUIRED ATTACHMENTS**

- a) Project Appraisal Document - *Attached*
- b) Report on the Use of Project Preparation Grant – *N/A*
- c) Confirmed letters of commitments from co-financiers (with English translations) –  
*See response to point 12 above.*
- d) Agency Notification Template on Major Project Amendment and provide details of  
the amendment, if applicable. *N/A*

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<sup>2</sup> Provide justifications for any major amendments in the project, including an increase of project amount exceeding 5% from the amount approved by the Council. Justification for such amendments and the project document will be circulated to the Council for a four-week review period. For procedures to the approval for major amendments, refer to the Council paper: [Project Cycle Update: Clarification of Policies and Procedures for Project Amendment and Drops/Cancellations. GEF/C.24/Inf.5](#)

**Project Document**

# **The GEF Small Grants Programme**

**Fourth Operational Phase (GEF-4)**

**July 2007 – June 2010**

**The GEF Small Grants Programme  
Fourth Operational Phase (GEF-4)**

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## Acronyms

CBA	Community Based Adaptation
CBD	Convention on Biological Diversity
CBOs	Community-based Organizations
CCA	Community Conserved Areas
CO	Country Office
COMPACT	SGP Community Management of Protected Areas Conservation Project
COP	Conference of Parties
CPMT	Central Programme Management Team
CPS	Country Programme Strategy
CSOs	Civil Society Organizations
EA	Executing Agency
FSPs	Full-sized projects
GEF	Global Environment Facility
GHG	Greenhouse Gas
IA	Implementing Agency
ISEAL	International Social and Environmental Accreditation and Labelling Alliance
IFC	International Finance Corporation
IUCN	World Conservation Union
LCBs	Local Consultative Bodies
LDCF	Least Developed Countries Fund
LDCs	Least Developed Countries
M&E	Monitoring and Evaluation
MDGs	Millennium Development Goals
MOA	Memorandum of Agreement
MSPs	Medium-sized projects
NFGs	National Focal Groups
NGOs	Non-government Organizations
NCs	National Coordinators
NHI	National Host Institution
NSC	National Steering Committee
NTEAP	GEF Nile Transboundary Environmental Action Project
NZAID	New Zealand's International Aid and Development Agency
OP2	Second Operational Phase of GEF SGP
OP3	Third Operational Phase of GEF SGP
OP4	Fourth Operational Phase of GEF SGP
OPs	Operational Programs
PAs	Protected Areas
PICS	Pacific Island Countries
POPs	Persistent Organic Pollutants
PTF	GEF SGP EU Promotion of Tropical Forests
RAF	Resource Allocation Framework
RSPB	Royal Society for the Protection of Birds
SAPs	Strategic Action Programmes
SBAA	Standard Basic Assistance Agreement
SCCF	Special Climate Change Fund
SGP	Small Grants Programme
SIDS	Small Island Developing States
SME	Small and Medium Enterprises
SPA	Strategic Priority on Adaptation
SPs	Strategic Priorities
STAP	Scientific and Technical Advisory Panel to the GEF
TILCEPA	Theme on Indigenous Local Communities, Equity, and Protected Areas
TORs	Terms of Reference
TRAC	Target for Resources Assignment from the Core
UNCDF	United Nations Capital Development Fund
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNCCD	United Nations Convention to Combat Desertification
UNESCO	United Nations Educational, Scientific, and Cultural Organization

UNEP	United Nations Environment Programme
UNF	United Nations Foundation
UNFCCC	United Nations Framework Convention on Climate Change
UNIFEM	United Nations Development Fund for Women
UNOPS	United Nations Office of Project Services
UNSO	UNDP Drylands Development Centre
WFP	World Food Programme
WHO	World Health Organization
WHS	World Heritage Site

## **SECTION 1. ELABORATION OF THE NARRATIVE**

### **PART 1. SITUATION ANALYSIS**

#### **Introduction**

1. The GEF Small Grants Programme (GEF SGP) is a global corporate programme implemented by UNDP on behalf of Implementing Agencies (IAs) and Executing Agencies (EAs) of the Global Environment Facility and executed by the United Nations Office for Project Services (UNOPS). Launched in 1992, GEF SGP is rooted in the belief that global environmental problems can best be addressed if local people are involved and direct community benefits and ownerships are generated.
2. GEF SGP is a decentralized and country-driven modality of the GEF. National Coordinators (NCs) facilitate its implementation in participating countries. Projects are reviewed and approved in line with Country Programme Strategies (CPS) developed by National Steering Committees (NSCs), or National Focal Groups (NFGs), in the case of small countries within GEF SGP Sub-regional Programmes). These national bodies are composed of national government representatives, including GEF Operational Focal Points, and civil society members representing non-governmental organizations (NGOs), community based organizations (CBOs), academia and the private sector. The CPS is developed on the basis of national environment and development priorities.
3. There are now 101 participating countries in GEF SGP in five world regions: Africa, Asia/Pacific, Arab States, Europe/CIS and Latin America/Caribbean (see Annex 1).
4. As of March 2007, GEF SGP has funded more than 8,190 projects worldwide. These projects have paid special attention to meeting GEF's environmental objectives while at the same time achieving poverty reduction and local empowerment objectives. Special concern is also given to local and indigenous communities as well as gender concerns. GEF SGP supports the larger sustainable development goals and the achievement of key components of the Millennium Development Goals.
5. The programme is now proceeding to an Operational Phase 4 (OP4) as per decision of the GEF SGP Steering Committee on 11 December 2006. This GEF SGP OP4 Project Document aligns the GEF SGP to the strategic priorities of GEF-4.
6. This project document was developed by reviewing the "compact" made between the GEF Council and GEF CEO at the GEF Council meeting on 5 December 2006. GEF-4 focal area strategic priorities were also reviewed to identify the niche or supporting role of GEF SGP followed by consultations with GEF Secretariat focal area team leaders and programme managers as well as UNDP GEF focal area technical advisors. Requests for inputs were also sent to GEF units of IAs and EAs. Finally, consultations with all SGP NCs were done regarding complementation with Country Programme Strategies and, where RAF contributions are involved, with the focus agreed with GEF Focal Points and RAF committees as regards the utilization of such contributions.
7. In line with GEF's five-point sustainability compact from the 5 December 2006 GEF Council meeting, the GEF SGP will be more focused by identifying GEF-4 strategic priorities in all focal areas in which GEF SGP has a comparative advantage. It will continue its goal of helping the most vulnerable by making sure that even small grants can create concrete results, not only for the global environment, but also for sustainable development. In taking a programmatic approach, GEF SGP country programmes will be leading particular thematic priorities. Furthermore, in mature countries,

projects and activities should now strive for higher level outcomes and stronger links to supporting global environmental benefits – thus the scaling up, replication, and mainstreaming efforts identified for GEF SGP OP4.

8. In support of financing innovative efforts, GEF SGP is guiding ‘mature’ country programmes to utilize new support mechanisms (i.e., market instruments) and initiate new partnerships with the business and finance sectors. One of GEF SGP’s priorities for OP4 will be to develop a strong global knowledge management platform that would be part of GEF’s knowledge network. SGP will strengthen collaboration with IAs and EAs. In the activities section, identification of opportunities where IAs and EAs can best participate has been made.

### **Contribution to the GEF mandate**

9. GEF SGP has generated unprecedented levels of grassroots awareness of global environmental issues. It has become the “public face” of the GEF. Direct implementation of projects by communities and NGOs, together with decision-making on grants by National Steering Committees has produced a “very high degree of national ownership of the GEF SGP.” Stakeholders, including government institutions, have expressed appreciation of the GEF SGP as a fast and effective delivery mechanism for GEF resources. There is also increasing utilization of the GEF SGP mechanisms and procedures in the microgrants components by some full-sized projects of the GEF as well as other donors.
10. The GEF SGP, with its focus on supporting local communities, builds capacity and initiates new actions for co-managing their natural resources. It exemplifies the implementation of GEF’s strategic priorities such as sustainable use activities both within protected areas and their buffer zones; conservation in productive landscapes and seascapes; productive uses of renewable energy, market mechanisms for energy efficiency and sustainable transport; innovative demonstrations and capacity building foundational work in international waters; implementation of innovative and indigenous sustainable land management practices, and targeted capacity building and demonstration of innovative and cost-effective approaches in the POPs focal area.

**Table 1. Summary Table of GEF SGP 1992 - 2006**

Phase	GEF Funding (million US\$)	Actual Cofinancing in cash (million US\$)	Actual Cofinancing in kind (*) (million US\$)	Number of Participating Countries	Number of Grants
Pilot Phase (1992-1996)	18.0	5.9	NA	42	563
Operational Phase I (1996-1998)	24.0	5.4	NA	53	896
Operational Phase II (1999 -2004)					
Year 1 & 2	31.6	24.3	7.3	58	785
Year 3	22.8	19.2	8.4	63	795
Year 4	20.7	4.5	6.4	64	878
Year 5	26.9	8.6	8.5	73	739
Year 6	31.2	23	17.3	82	1,124
Cumulative OP2	133.2	79.6	47.9	82	4,321
Operational Phase III (2005 – 2008)					
Year 1	47	<b>19.7</b>	<b>15.7</b>	92	1140
Year 2 (**)	60	<b>29.5</b>	<b>31.6</b>	101	1046
<b>Cumulative since 1992</b>	<b>282.2</b>	<b>140.1</b>	<b>95.2</b>	<b>101</b>	<b>7,939</b>

(\*) Information on in-kind co-financing is not available for the Pilot and First Operational Phases. SGP began recording in-kind co-financing from mid-1999 when the database was designed and made operational.

(\*\*) Est. as of March 2007

## Rationale for a new project document

- This new project document is intended to align the GEF SGP with the GEF4 strategic priorities and replenishment cycle, as agreed upon in the GEF SGP Steering Committee meeting in December 2006.
- The project document serves an important purpose of raising the level of outcomes, particularly in GEF SGP country programmes that have developed higher level of capabilities (also referred to as 'mature' countries). The primary objective of OP3 was to strengthen the internal capacity to deliver GEF's strategic priorities. With stronger internal structure and systems, GEF SGP is thus better prepared to meet and deliver on the GEF strategic priorities.

## Target partners

- Since its inception, GEF SGP grant-making has been directed principally towards vulnerable, disadvantaged, and poor communities. Grants are provided either directly to CBOs, or to communities assisted by local or national NGOs, who play a key role as a mentor, cofinancier, partner and who later form strong constituencies for environment and development concerns. The programme has operated on the premise that local people will be empowered to protect the environment when they are organized to take actions, have a measure of control over access to the natural resource base, can deploy the necessary information and knowledge, and believe that their social and economic well-being is dependent on sound long-term natural resource management. GEF SGP has provided experimentation, innovation, and demonstration of community-based solutions to global environmental problems, with local communities as an integral part of the process. Most country programmes have given priority to working with local and indigenous communities and have taken

gender equity into consideration in grant making. At the global program level, this concern for making GEF equitable is reflected in increasing programme extended to supporting more LDCs and SIDS.

14. The NSC has been a target of GEF SGP attention during the Third Operational Phase. One of the key roles that NSC members play is to link good practices and lessons learned to the larger policy making processes, as well as to global environmental governance.
15. GEF SGP's contributions extend far beyond providing grants in the GEF focal areas to NGOs and CBOs. By raising public awareness, building partnerships, and promoting policy dialogue, the GEF SGP seeks to promote an enabling environment within countries for achieving sustainable development and addressing global environmental issues. The GEF SGP has helped NGOs CBOs, in collaboration with other stakeholders, to support local, community-based initiatives while meeting national obligations and global commitments. Hence key stakeholders who benefit from GEF SGP activities in addition to local CBOs and NGOs include: national and international NGOs and NGO networks, research institutions, foundations, the private sector, donor and government agencies.

### **Country Programme structure and requirements of country teams**

16. In each participating country, GEF SGP will continue to operate in a highly decentralized and country-driven manner through a NC and a NSC, with support from the UNDP Country Office, as well as country offices and representatives of other IAs and EAs, and in some countries, from an NGO or National Host Institution (NHI). The membership of the voluntary NSC comes from NGOs and other civil society organizations, academic and scientific institutions, government, and the UNDP Country Office, with the majority from the non-governmental sector. NSCs have been encouraged to include members from the private sector who can advise on sustainability strategies, for example, micro-enterprises, sustainable marketing, and business plan development. The main purpose of the NSC is to provide overall guidance and direction to the country programme, in addition to selecting and approving projects for funding and helping access additional resources. The NSC provides for a decentralized structure of the GEF SGP that encourages maximum country and community level ownership and initiative, with decisions about country programme strategies and project approval taken at the country. Composed of key national leaders from government and civil society, the NSC also links GEF SGP to national policy-making and development planning. The Country Programme Strategy (CPS) is the instrument which will be used to articulate how the GEF SGP complements the national priorities and GEF's strategic priorities.
17. For SIDS, where a country programme would be comparatively small, and administrative costs would be relatively high, GEF SGP has pioneered a sub-regional implementation approach whereby several islands join together under one host institution and one coordinator for the sub-region. This has ensured that GEF SGP remains within its 25% non-grant cost ceiling supported by National Focal Groups (NFGs). NFGs which serve in lieu of NSCs in GEF SGP sub-regional programmes have been organized for most countries in the Pacific, and for some SIDS in the Caribbean.

## **GEF SGP during the Third Operational Phase (March 2005 – June 2007)**

18. The Third Operational Phase (OP3) was approved by the GEF Council in November 2004. At that time, a one-year replenishment of US\$47 million was granted as the initial installment of OP3, based on the agreement that the two subsequent annual “rolling” financial replenishments would be adopted to ensure continuity of activities. As per decision of the GEF SGP Steering Committee on December 11, 2006, the programme has developed a GEF SGP Operational Phase 4 (OP4) Project Document that aligns the GEF SGP to GEF 4 strategic priorities for submission to the June 2007 GEF Council meeting.
19. The six main outcomes of the OP3 are being accomplished. An expansion strategy that has brought in 20 new countries was implemented in accordance with established selection criteria and a focus on LDCs or SIDS. GEF SGP country programmes were further strengthened through internal expertise, systems improvements, human resources support, and links to external institutions for additional technical and logistical support which resulted in a higher level of performance and satisfaction. Number of projects, including the new focal areas, has increased with a strengthened knowledge management system which provides the ability to conduct impact assessments. Publications, including ex-post studies and cases were developed to improve the capacity of the key stakeholders and to communicate the lessons to improve global environmental benefits. Country Programmes encouraged project sustainability strategies incorporating innovative market mechanisms (including payment of environmental services, environmentally sustainable products, revolving funds). The SGP Operational Group was upgraded to a Programme Steering Committee, which includes the memberships from GEFSec, IAs and EAs, with the GEF CEO serving as the Chairperson, following the Fourth GEF Assembly. The first meeting was held in December 2006. Analysis was made on how many full-sized projects with IAs and EAs have or could have GEF SGP components or use GEF SGP approaches and strategies.

### ***Geographic expansion of the programme***

20. New country applications for participation in GEF SGP have been received and processed by the GEF SGP. The programme has taken a proactive approach to inform LDCs and SIDS on procedures to apply, and applications from these countries are expected to further increase.
21. During Year 1 and 2 of OP3, at least ten countries were brought in to participate in the programme, with priorities for LDCs and / or SIDS (See Table 2 for GEF SGP New Country Programme Entries during OP3).
22. For GEF SGP OP4, 21 countries have already been approved by the GEF SGP Steering Committee for entry into the programme (See Annex 2). Start-ups will be on a phased approach over the next three years of GEF-4.
23. A major criterion for the selection of a new participating country is that the country should be a party member to the Conventions for which the GEF is a financial mechanism. It is also important that there should be commitment between governmental and non-governmental stakeholders to work together. With the new RAF policy, the country’s readiness for resource mobilization and provision of additional RAF resources to GEF SGP also becomes an important criterion.

24. A strengthened system for appraisals and start-ups, as well as the training and backstopping of new country teams have been established and will be utilized for new countries in OP4. These new countries are being provided with strategic guidance for developing and tracking portfolio strategy and composition to ensure that all GEF focal areas are effectively covered. For all participating countries of GEF SGP, geographic and/or thematic focus, as well as complementation with RAF-related priorities will be further promoted to enhance portfolio and project impacts.
25. The entire Pacific region is now covered by GEF SGP. An umbrella partnership with NZAID was launched on World Environment Day to assist all 15 Pacific Island Countries (PICS) in the implementation of programmes financed by GEF SGP and NZAID regional Pacific Environment Fund (PEF). Through a region-wide umbrella approach, the partnership will provide capacity building assistance to PICS, national ownership, and reduced dependence on regional organizations and external agencies.

**Table 2**

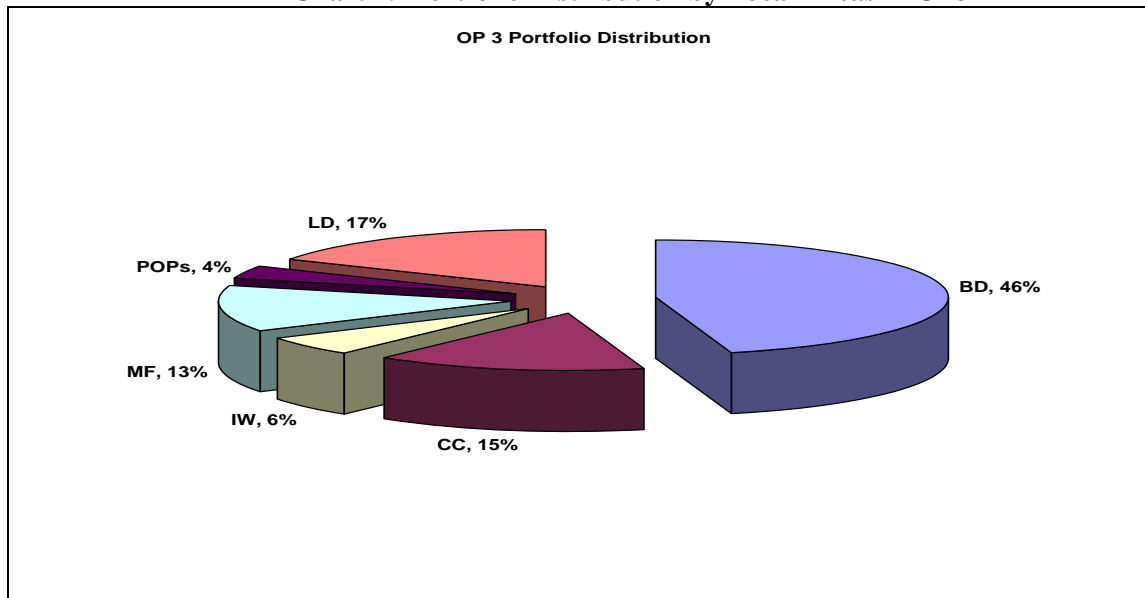
GEF SGP New Country Programme Entry during OP3

Year	New Countries	LDC	SIDS
2005	Argentina	No	No
	Benin	Yes	No
	Bulgaria	No	No
	Cameroon	Yes	No
	Chad	Yes	No
	Comoros	Yes	Yes
	Cook Islands	No	Yes
	Haiti	Yes	Yes
	Niue	No	Yes
	Panama	No	No
	Uruguay	No	No
	Vanuatu	Yes	Yes
2006	Lesotho	Yes	No
	Guinea	Yes	No
	Gambia	Yes	No
	Malawi	Yes	No
	Zambia	Yes	No
	Kiribati	Yes	Yes
	Nauru	No	Yes
	Solomon Islands	Yes	Yes
	Tonga	No	Yes
	Tuvalu	Yes	Yes

***Grants portfolio***

26. By March 2007, SGP's portfolio was comprised of 8,190 projects, of which 2,168 projects were approved during the OP3. In comparison with the focal area compositions of the GEF SGP portfolio in the OP2 in which biodiversity accounted for 65 percent of the entire portfolio, the portfolio of the OP3 has developed a more balanced focal area distribution, particularly with the introduction of two new focal areas, land degradation and POPs (see Chart 1). Land degradation, in particular, has seen a dramatic increase in its proportion of the overall portfolio.

**Chart 1. Portfolio Distribution by Focal Areas in OP3**



27. As of early 2007, GEF SGP had approved at least 993 biodiversity projects in OP3 amounting to over \$22 million in grants. In terms of Operational Programme breakdown, some 306 projects targeted forest ecosystems, 222 related to agriculture, 114 in arid and semi-arid ecosystems, 131 in mountains, and 202 in marine and freshwater ecosystems.
28. Since 2000, a strategic partnership with the United Nations Foundation (UNF) has developed a Community Management of Protected Area Conservation, or ‘COMPACT’, model for 8 World Heritage (WH) sites in different biophysical settings. Six functioning cost-effective Local Consultative Bodies (LCBs) are in place in natural WH sites; and a range of partnerships have been established with international NGOs (RSPB/Birdlife International, International Coral Reef Action Network), multilateral agencies such as UNESCO and the CBD Secretariat; as well as with biological corridor networks. However, at the policy level, most CCAs and indigenous areas are currently unrecognized in most GEF SGP countries.
29. During OP3, SGP supported 323 community climate change projects valued at US\$10.6 million in GEF funding. The projects included 168 renewable energy projects, 105 energy efficiency projects and 23 environmentally sustainable transport projects. A review of the GEF SGP portfolio of environmentally sustainable transport projects was initiated and completed in 2006. The results of the review and cases studies were documented in to a publication entitled “Environmentally Sustainable Transport and Climate Change: Experiences and lessons from community initiatives” published in November 2006. The publication was distributed to participants of the UNFCCC COP 12 in Nairobi in December 2006 and has been shared internationally through the UNDP energy and environment knowledge network. At the same period, UNDP GEF working jointly with GEF SGP prepared and submitted a Full-size Community Based Adaptation Project under the GEF Strategic Priority on Adaptation (SPA) that was approved by the GEF Council in August 2006. Implementation of activities will be carried out during the GEF 4 period.
30. In the international waters focal area, 126 projects were developed during OP3 with a total funding of about \$2.5 million, accounting for 6% of the entire portfolio. In comparison with previous operational phases, the IW focal area resources have been better targeted, focused, and channeled to certain transboundary waterbodies. GEF SGP piloted an approach to target resources towards

international waters where larger interventions of GEF have built the foundational capacity and established transboundary institutional mechanisms. GEF SGP has developed partnerships and directed resources towards addressing regionally identified priorities in the Nile Basin River and the East Asian Seas. The regional approach will be replicated in other international waterbodies in GEF-4.

31. During OP3, the land degradation focal area was the second largest focal area of the GEF SGP portfolio. The barriers for community-based land management are lower, in comparison with the IW focal area. In OP3, there were 367 LD projects approved with a funding of \$7.7 million, addressing various aspects of land degradation while promoting local livelihoods. GEF SGP further strengthened its strategic partnership with Global Mechanism of UNCCD which provided \$250,000 in funding to five country programmes to support community-based sustainable land management.
32. The POPs focal area was initiated during OP3. As of March 2007, 34 GEF SGP country programs developed 77 POPs projects, with approximately \$1.4 million funding. The geographical distribution of POPs projects by region is: Asia and the Pacific region (23), followed by Africa (17), Latin America and Caribbean (20), Europe and CIS (13) and Arab States (4). The portfolio contains the following main thematic focuses: integrated pest management, waste management, organic farming, awareness-raising and capacity building, stakeholder consultation, and applied study and research. The first three themes focus on activities on the ground, with an objective to search and apply models and demonstration at the community level to address POPs issues directly, while the other three themes emphasizes the process.
33. The multifocal area includes 282 projects (about \$6 million) that are comprised of elements of more than one focal area. GEF SGP has developed an indicator system that enables the focal area weights of each of the projects through a ranking system to assign primary, secondary, and tertiary focal areas to each project funded. Through this system, each multifocal area project captures the respective individual focal areas addressed in terms of importance. In OP3, multifocal area projects continued to make up a significant proportion of GEF SGP projects.

### *Project impacts and global benefits*

34. In all the focal areas, GEF SGP has continued to employ multiple approaches to expand the scope and capacity to effectively contribute to the achievement of both direct and indirect global environmental results and local benefits. The following combination of approaches has been used:
  - Forging partnerships with relevant stakeholders that creates a network that is global in scope
  - Focusing on globally important ecosystems, such as in the WH sites, biosphere reserves, Ramsar sites, and important bird areas, as well as on endangered species, such as those in the IUCN Red Data List
  - Knowledge management system that disseminates information across countries
  - Implementing demonstration projects in partnership with government agencies and the private sector for wider application
  - Designing innovative approaches for up-scaling, replication, or mainstreaming by international donors
  - Creating awareness and empowering communities to participate in global environmental concerns
  - Policy advocacy at national and global levels
35. In the **Biodiversity** focal area, GEF SGP has pioneered with a range of innovative community based approaches for conservation. In particular, the biodiversity portfolio has aggregated producer and NGO networks around a wide variety of GEF priority themes, including: migratory species, such as turtles and birds; pollinators, such as bees; agricultural biodiversity; as well as alternative livelihood

around protected areas. Since the beginning of GEF SGP, the programme has supported over 800 projects in Protected Area landscapes and buffer zones and at least 200 projects in Community Conserved Areas (CCAs) and indigenous areas towards fulfilling the biodiversity objectives. During OP3, GEF SGP expanded its partnership with United Nations Foundation (UNF) for the 'Community Management of Protected Areas Conservation' (COMPACT) programme working in and around global priority conservation areas. Consolidating achievements from the first phase (2000-2005) with the UNESCO World Heritage Centre, GEF SGP has included new partners, such as the CI 'Verde Ventures' investment programme, 'Conservation Measures Partnership', and International Coral Reef Action Network. During OP3, COMPACT focused efforts on sustainable productive supply chains, ecotourism promotion, transboundary protected areas, as well as geographic areas proposed for international protected area status.

36. Over the last 14 years, GEF SGP in the **climate change** focal area has developed models and approaches that have removed barriers to the promotion of renewable energy, energy efficiency and sustainable transport. The models and approaches have enhanced the promotion of renewable, energy efficiency and sustainable transport technologies and/or approaches. In specific mature GEF SGP country programmes, they have been mainstreamed, replicated, or scaled up expanding the impacts of the interventions at the national level. The following categories of models/approaches are currently applied : focused and targeted market mechanisms, innovative financing modalities, inclusive partnerships, leveraging social capital with financial and technical resources, and focused lobbying, awareness creation and capacity development.. Lessons are disseminated and applied to new and 'younger' Country programmes for replication, scaling up, or mainstreaming. For example, in the city of Pune, India, the environmentally sustainable, people centered urban transport project has contributed to the establishment of the first city-wide Bus Rapid Transit system.
37. Global environmental benefits have been achieved in **International Waters** through scaling up and transboundary replication, demonstration of innovative approaches, and joint launching of transboundary community-based activities among GEF SGP country programs. Project experience on the participatory management in watersheds has been shared and replicated between Thailand and Laos. For example, GEF SGP Iran has supported the invention of a new design of reef pyramids, making them smaller, less expensive, and easier to transport and install by communities. The project won the nominee for UNDP Administrator Award on Innovation and Creativity in 2006, and project experience is, hence, disseminated throughout the UNDP development network. GEF SGP country programs in Belize and Guatemala successfully launched joint transboundary community activities in addressing land-based pollution in Mopan River. A critical accomplishment of the GEF SGP-funded project has been to open up direct lines of communication across the political divide – principally in the form of shared community meetings between the border towns of Melchor and San José de Succotz.

#### *Links with full sized and medium sized GEF projects*

38. SGP has continued to support the creation and implementation of small grants components of large GEF projects. For example, GEF SGP has been integrally involved in the development of the GEF Nile supported Transboundary Environmental Action Project (NTEAP). GEF SGP's procedures and Operational Guidelines were adopted to set up a micro-grants programme in six Nile Basin countries. GEF SGP is responsible for overseeing the implementation of the NTEAP micro-grants programmes.
39. GEF SGP has also signed an MOU to help implement a small grants component within the GEF Niger River Basin project. SGP actively participated in the design of the GEF Niger River Basin project, and is assisting in the implementation of its micro-grants component of about \$5 million. Both of these efforts involve more than one GEF implementing agency (UNDP and the World Bank).

GEF SGP country programmes in Central America have also continued to work closely with the World Bank and UNDP GEF Mesoamerican Biological Corridor projects in promotion, capacity-building, planning, and project implementation at the local level.

40. Climate change activities have been mainstreamed in Governments, other UN agencies and NGOs in different ways. The lessons from the climate change portfolio, for example, have been integrated into that of the UNDP Energy and Environment Group (EEG), which includes that of UNDP GEF. This has ensured global reach in the circulation of GEF SGP lessons learned in the climate change focal area.
41. GEF SGP has worked with UNEP for the management, implementation and monitoring of the Micro-Grants Programme (MGP), component of a project “Capacity Building to Alleviate Poverty through Synergetic Implementation of Rio Multilateral environmental Agreements (MEAs)” within the framework of the New Partnership for Africa’s Development (NEPAD). As in the EU-supported Promotion of Tropical Forests (PTF) and in the GEF-supported NTEAP-MGP, GEF SGP National Coordinators and National Steering Committees review and approve proposals and are involved in their supervision and monitoring. This partnership is considered a pilot effort that can grow to cover more similar projects of UNEP.
42. The GEF SGP has been working to mainstream GEF SGP components into various private sector components of MSP and FSPs including the application by GEF SGP producers for biodiversity-friendly loans as part of the GEF-approved CAMBIO project which provides a partial risk guarantee to work with a Central American regional development bank; an approved FSP working on biodiversity-friendly coffee production and marketing with the Rainforest Alliance; as well as a UNDP Finance Cluster global review of the biodiversity standards of different certification agencies under the ISEAL umbrella organization. GEF SGP has been establishing a range of new partnerships during OP3 in order to prepare for a strategic shift towards innovative market mechanisms under OP4. In OP3, GEF SGP grantees have already deployed GEF seed grant funds to provide small-scale “revolving loan funds” (i.e. Egypt, Brazil) to organizations or groups of individuals
43. At the level of innovative financial instruments for MSP and FSPs, it has been recognized that there is a need to develop new instruments for the introduction of “partial risk guarantee” mechanisms in order to leverage private sector participation and incremental co-financing in GEF project activities. The World Bank and International Finance Corporation (IFC) have expressed interest to learn from GEF SGP on the experience of decentralized capacity-building support beneath \$250,000 to nascent Small and Medium Enterprises built up through the successful approach of GEF SGP’s gradual incremental funding to producer organizations. GEF SGP will also engage the EAs, including regional development banks, to develop and implement innovative market mechanisms.

### ***Internal Strengthening***

44. GEF SGP OP3 focused on internal strengthening efforts in preparation for targeting higher level outcomes in succeeding years. Below are the outputs resulting from these efforts:

Capacity building of GEF SGP country teams	<p>GEF SGP country teams further strengthened through internal expertise, systems improvements, human resources support, and links to external institutions for additional technical and logistical support which resulted in a higher level of performance and satisfaction, specifically:</p> <ul style="list-style-type: none"> <li>▪ Internal capacity building programme designed and implemented by CPMT, including Resource Mobilization toolkit, CPS based programme management, gender training, communications training, results based management (PRINCE2) certification (45 NCs), regional workshops, trainings, and learning visits</li> </ul>
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	<ul style="list-style-type: none"> <li>▪ New NCs oriented on programme functions through learning visits to mature country programmes</li> <li>▪ Capacity building for community based adaptation (CBA) programme implementation conducted in 3 countries</li> <li>▪ Increased overall efficiency of the programme through the ATLAS financial management training for NCs and the development of a financial tracking tool and streamlining of the grants disbursement by UNOPS led to</li> <li>▪ The National Coordinators Performance and Resource Assessment (PRA) refined to include quantitative parameters of project description quality, indicator sets for project baselines, integration with GEF corporate programme, etc.</li> <li>▪ Revised database with global indicators for all focal areas introduced to NCs to aggregate impacts (discussed with GEF evaluation unit and Secretariat)</li> <li>▪ Additional human resources support to cover workload of a growing project portfolio provided by: secondment of technical advisors from bilateral donors, UNVs, corporate volunteer placements, on-line volunteering (business plans for marketing and certification activities), interns, Junior Professional Officers, and partners</li> <li>▪ Project selection strengthened by expanding specialized expertise and network of NSC</li> <li>▪ NSC members strengthened through a listserv for exchanges and learning visits to other GEF SGP countries</li> </ul>
Lessons learned / knowledge management	<p>GEF SGP strengthened its knowledge management outreach, activities included (see Annex for Knowledge Management publications):</p> <ul style="list-style-type: none"> <li>▪ Database platform for Impact Assessment System enhanced, including new workspace for e-filing</li> <li>▪ New coordinate mapping function (through GoogleEarth) launched enabling the graphic depiction of country programme portfolios in 3-D terrain models</li> <li>▪ Categorization, analysis, and dissemination of 132 ex-post projects done resulting in series of knowledge products</li> <li>▪ Communications strategy implemented targeting print media, radio, and national TV</li> <li>▪ NSCs participated in National Dialogue Initiatives in different regions, as well as communicating with GEF focal points and policy makers</li> <li>▪ Portfolio review of biodiversity projects completed up until 2003 and an analysis of needs of GEF SGP marketing projects completed in 2005</li> <li>▪ Publication on expanding access to modern energy services highlighted the replication, scaling up and mainstreaming at the local level and was disseminated at CSD 14</li> <li>▪ A handbook for participatory video was presented</li> </ul>
Development of project sustainability strategies	<p>Country Programmes initiated the preparation of project sustainability strategies (including payment of environmental services, environmentally sustainable products, revolving funds)</p>

### ***Monitoring and Evaluation***

45. The programme's M&E framework has been upgraded to give importance to impact assessment and the development of global indicators. In OP4, country programme teams will assess further the projects they have supported and report on impacts. The global database now includes an "outcome/impacts" field and will be utilized to regularly review the portfolio with updates on trends, and progress on targeted impacts. In addition, the results of ex-post studies, started in 2004 will be inputted into a system for tracking the impacts and sustainability of initiated projects. Because of cost-cutting measures in OP4, the support from donors for ex-post studies will be solicited. Assessment of GEF SGP impacts will also be facilitated by the identification by GEF SGP country programmes of their geographic and/or thematic focus, which will allow better assessments of baselines and consequently better assessments of portfolio and project impacts. The programme's development of this M&E system will be linked to that of the larger GEF family.

## *Resource mobilization*

46. All grantees of GEF SGP are considered partners as they raise cash cofinancing, or at the very least, in-kind cofinancing. The amounts are as small as \$30 to \$1,000. Some can go higher and certain country programmes have succeeded in getting cofinancing from bilaterals and governments. The consolidation of these small contributions comprises 90 percent of cofinancing raised.
47. At the global level, some major cofinancing partnerships are in implementation. Since 2000, GEF SGP has cumulatively mobilized approximately \$7,000,000 from the United Nations Foundation (UNF) for the Community Management of Protected Areas Conservation programme (COMPACT), a landscape-level initiative for the protection for natural World Heritage Sites in Belize, Dominica, Mexico, Madagascar, Kenya, Philippines, Tanzania and Senegal. UNF have helped support the development of a common methodology for landscape-level clustering and synergy of SGP small grants and complementation with other donors and agencies. The partnership has resulted in a number of 'donor forums' to increase the financial sustainability and governance models for protected area management.
48. The New Zealand Aid for International Development (NZAID) has contributed NZ \$6,147,555 over 3 years for the SGP Pacific Environment Fund (SGP PEF), a regional umbrella project designed to assist 15 Pacific Island Countries (PICS) countries including: Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tokelau, Tonga, Tuvalu, and Vanuatu. The cost sharing project fully utilizes GEF SGP procedures and mechanisms, and is intended to provide expedited assistance to SIDS countries. The PEF allows for management of funds in-country, increasing national ownership and reducing dependence on regional organizations and external agencies evaluated by NZAID as the cause of failures of regional aid programs in the past. Added benefit to the GEF SGP has been a cost-sharing agreement whereby NZAID share administrative costs as well as grant activities, including in the provision of fielding technical advisers, top-up of honorariums for National Focal Persons, regional trainings, and participation in regional meetings.
49. In the energy and climate change sector, GEF SGP has received significant technical and cost-sharing inputs from the UNDP Environment and Energy Group (EEG), including focused resources for the West Africa Sahel regional. Similarly, the Regional Programme for the Promotion of Household and of Alternative Energies in the Sahel (PREDas) has provided US\$ 400,000 to jointly support activities on household energy projects in Burkina Faso, Mali, Senegal, Mauritania, and Niger.
50. The UNDP Special Unit for South-South Cooperation (SSC) has provided GEF SGP with \$1,519,000 for the promotion by the UN of innovative, small-scale projects to deal with emergencies for South-South support. The collaboration has supported community-based and natural resource based livelihood activities in Indonesia, Sri Lanka, Thailand and India, particularly in communities damaged by the 2005 tsunami which included SGP projects. At the height of the tsunami emergency, GEF SGP was able to rapidly mobilize its NGO/community networks. South-South Cooperation donors were in need of a fast delivery mechanism and the partnership with GEF SGP was formed. The success of the partnership demonstrates the value of existing GEF SGP structures and networks as a ready and fast mechanism available for dealing with emergencies.
51. The Global Mechanism (GM) has provided \$250,000 to GEF SGP in order to support the UNCCD implementation process (pre-investment). Joint programmes to combat land degradation and improve the livelihood of communities have been initiated in Mali, Burkina Faso, Ghana, Jordan, and Honduras. Support and capacity building for Sustainable Land Management has followed an

integrated approach to NAP/CCD implementation through resource mobilization and mainstreaming of drylands issues into national development planning frameworks and poverty reduction strategies

52. In terms of engagement of the private sector during OP3, BP Pakistan Exploration and Production, Inc. has provided \$1,200,000 in cost-sharing to the GEF SGP country programme in Pakistan. Other similar exploratory partnerships have been started with Coca Cola in Romania, Talisman Petroleum Trinidad in Trinidad and Tobago, and others. A full table of GEF SGP partnerships and resource mobilization is presented in Annex 3.
53. Table 3 shows the kinds of cofinancing partners of GEF SGP and the ratio of added resources that contribute to projects and country programmes.

**Table 3. Cofinancing Partners at project level**

<b>Donor Type</b>	<b>Cash Ratio</b>	<b>In-Kind Ratio</b>
Bilateral Donor	11.6%	1%
Foundation	1.3%	1%
Grantee	14.7%	30%
International Charitable Organization	1.2%	1%
International NGO	8.0%	2%
Local Government	5.7%	7%
Multilateral Organization	21.3%	22%
National Environmental Fund	9.4%	0%
National Government	9.6%	22%
National NGO	8.9%	10%
Private Sector	8.2%	5%
Transnational Corporation	0.1%	0%

## **PART 2. STRATEGY**

54. During OP4, GEF SGP will secure global environmental benefits and maintain the established networks of GEF SGP Country Programmes and projects, continue to share good practices at the global level, and build capacity at the grassroots level. Annex 4 shows in detail the strategic outcomes, outputs, activities, and indicators including geographic focus areas for implementing the strategy. Annex 5 includes a work plan to complete the activities during OP4. The list of outcomes, outputs and activities does not exclude initiatives outside the list. SGP is a country-driven programme that allows adaptation and flexibility in the implementation of the programme strategy, hence countries which are not listed under certain focal areas may continue their activities supporting the strategy of the focal area, in accordance to the relevant global environment conventions and country priorities. Certain resources will be made available for innovation and areas outside of a focused theme or region. SGP, as a GEF global corporate programme, will also take note of programmatic approaches of the GEF, such as that being developed for the Pacific SIDS where it could add value and provide support through its established country driven mechanisms. The process could be through consultation with SGP country programmes involved, IAs/EAs as well as through the GEF SGP Steering Committee.
55. Higher level outcomes mentioned in the OP4 strategy, such as influencing policy reform, will be targeted predominantly through the programme's more "mature" countries where the growth of a critical mass of synergistic projects, networks of NGOs, producer organizations and other partners sharing good practice models is in progress.
56. Global environmental benefits will also be secured from all GEF SGP countries, including in LDCs and SIDS, through the consolidation of a global network of country-based knowledge and practices, and the extension of a constituency of NGOs, CBOs, and CSOs with the capacity and motivation to effectively support GEF priorities. OP4 will oversee the institutionalization of multi-stakeholder NSCs to enhance positive partnerships between civil society and government for sustainability of country-based efforts and policy reform through mainstreaming into long term sustainable development goals.
57. Global indicators for the demonstration of global benefits will include policy reform, conservation of critical ecosystems, and replication of successful good practice models. Strategic results from GEF SGP-funded Country Programmes and projects will be monitored by progress on country programme sustainability (with a priority on "mature" programmes), resource mobilization, capacity development, knowledge management.
58. OP4 country programmes strategies will be constructed based on a minimum set of project indicators which appear in the GEF SGP global database, in combination with the global performance indicators in the OP4 strategy. The list of global indicators found in the OP4 strategy will be added to the current list of existing database indicators, in order to make country-level measurement of OP4 results possible. As a result, project-level indicators in the database will aggregate in a meaningful way towards results monitored at the global level.
59. The enhanced M&E system, including spatial and geographical data, will allow for tracking of both project-level indicators (already in the database and current CPS strategies), as well as the global OP4 outcome indicators, at different levels. Each country programme will be required to aggregate a group of up to five country-level programme outcomes through the database reporting. All OP4 global outcomes and indicators for the different GEF focal areas have been aligned in March 2007 with the current GEF4 strategic priorities.

**Goal of the Fourth Operational Phase: *Global environmental benefits secured in the GEF focal areas through community-based initiatives and actions***

**Objective 1. Focal Area Results: *Consolidate community-based interventions through focused GEF SGP country programme portfolios, in alignment with GEF-4 focal area strategic priorities***

**BIODIVERSITY**

**Outcome 1. *Sustainable community protected area governance approaches recognized, strengthened, and adopted by national partners, protected area systems, and multilateral processes***

60. The main objective of the biodiversity focal area in GEF4 will be to work with all GEF SGP country programs to promote community protected area governance approaches (community-based and collaborative management arrangements) for protected areas (PAs), as well as to extend the recognition, strengthening and adoption of Community Conserved Areas (CCAs), including indigenous areas. In particular, GEF SGP will prioritize efforts to engage the ‘Like-minded group of Megadiverse countries’ within GEF SGP to either initiate efforts or adopt steps to recognize community-based and collaborative approaches to PAs, indigenous areas and CCAs.
61. OP4 will build on the baseline figures from OP3 in order to consolidate GEF SGP activities around GEF priority areas and critical ecosystems. With a special emphasis on “mature” GEF SGP country programmes, GEF SGP will extend its community-based conservation at the landscape-level for priority areas such as natural World Heritage sites, Biosphere Reserves, biological corridors, hotspots, and important bird areas.

**Output 1.1: *Community protected area governance approaches integrated and implemented within GEF SGP country programme strategies, as appropriate***

62. Since most CCAs and indigenous areas are currently unrecognized at the policy level in most GEF SGP countries, OP4 will work towards the recognition of CCAs (indigenous territories in particular) as legitimate governance models and to incorporate them in legislation and policy, as appropriate to each context. This will be done with guidance from the CBD, which provides a mandate for the GEF SGP to develop good practice models in the area of engagement of local and indigenous peoples in conservation. GEF SGP will work in strategic alliance with the IUCN Theme on Indigenous, Local Peoples and Equity and Protected Areas.
63. In May 2007, IUCN will convene a protected areas categories summit in Almeria, Spain, which will provide an important policy forum for the advancement of the community protected area governance approach, including the possible inclusion of indigenous areas and CCAs in the World Protected Area Database of UNEP-WCMC. To this end, it is important to recognize that numerous recent studies have documented the extensive overlap between CCAs and areas of high globally significant biodiversity. GEF SGP country portfolios will therefore seek to influence PA landscape designations at the national level through replication, and up-scaling of successful demonstration projects to recognize and strengthen CCA and collaborative management approaches.
64. **Geographic areas:** ‘Natural World Heritage “COMPACT” demonstration sites’ will include the following countries: Belize, Cambodia, Dominica, Ethiopia, Jordan, Kenya, Mali, Mauritania,

Madagascar, Mexico, Mongolia, Philippines, Senegal, Tanzania, Yemen, and Zimbabwe. Community-conserved areas of the world will target assistance to countries to include: Bolivia, Brazil, Chile, India, Indonesia, Iran, Fiji, Ghana, Kenya, Madagascar, Mali, Namibia, Papua New Guinea, Rwanda, South Africa, Samoa, Uganda, Tanzania, and Vanuatu.

**Outcome 2. Sustainable use of biodiversity established in production landscapes / seascapes (including agriculture, forests, fisheries, and tourism) through community-based conservation, innovative approaches, and market mechanisms**

65. In 2005, GEF SGP completed a survey of the range of all the biodiversity-based products from production landscapes funded by the programme. Out of projects surveyed, at least 667 projects were identified as potentially marketable biodiversity products. The categories of biodiversity products inventoried from the research appear in the table below. During OP4, GEF SGP will work to consolidate supply chains by working with networks of producers in particular product categories, in particular through innovative approaches, such as the use of market mechanisms, blended grants and loans, biodiversity offsets, and payments for ecosystem services (PES). Table 4 presents a list of biodiversity-based products that have been produced by SGP projects.
66. A preliminary review of GEF SGP marketing projects was conducted in 2005. In July 2006, the GEF SGP organized a thematic workshop on ‘Product Development, Marketing and Certification’ in conjunction with the UNDP/GEF technical advisor for private sector strategies, in Panama city. The workshop brought together a range of certification agencies (organic, Fair Trade, FSC, Rainforest Alliance), private sector partners, biodiversity funds, international foundations, and GEF SGP National Coordinators. One output of the Panama workshop has been the preparation of a set of guiding principles for GEF SGP private sector engagement.

**Table 4**

**Biodiversity-Based Products in GEF SGP Project Database**

<b>CATEGORY</b>	<b>PRODUCT EXAMPLES</b>
Forest Products	Timber, Pulp/Paper Products, Palm Fiber Products
Non-timber Forest Products	Extracts, Resins, Fruits, Seeds, Nuts
Agricultural Products	Land Race/Native Crops, Indigenous Seeds, Major and Minor Crops, Roots, Shoots and Tubers, Fruits, Honey, Beeswax
Horticultural and Botanical Products	Ornamental Flowers, Medicinal Plants
Agroforestry Products	Coffee, Cocoa, Fruits
Handicrafts and Textiles	Baskets, Silk and Cotton Fabrics, Embroidered Clothing, Wood Carvings, Jewelry
Personal Care and Health Products	Makeup, Soaps, Essential Oils, Nutritional Supplements
Aquatic Products	Edible and Ornamental Fish, Shrimp, Oysters, Pearls, Sea Urchins, Sea Weed, Sea Moss
Livestock Products	Green Beef, Ewe, Native Livestock Species
Insect Products	Butterflies

67. GEF SGP will seek to respond to the mandate of the forthcoming CBD negotiations regarding provenance and ‘certificates of origin’ to be developed at COP8 and beyond. A major consideration for production landscapes and seascapes will be the extent to which market differentiation of value-added labels, such as formal certification, are sufficiently “scale-sensitive” to the needs of small

producers. Market volatility and business risks involved in product development for small producers will need to be carefully considered in developing the GEF SGP portfolio pipeline for OP4 for different sectors. Recent trends indicate that harmonization of biodiversity- friendly labeling standards will take place over GEF4 leading to a convergence in site level of monitoring protocols at the field level. LDCs and SIDS are recognized as especially marginalized from global and regional markets. As a result, many of the “new” GEF SGP countries (mainly LDCs and SIDS) will require additional capacity building to be able to access innovative market mechanisms.

**Output 2.1: Sustainable use and innovative approaches, including market mechanisms, reflected in all projects approved in the biodiversity focal area**

68. In addition to the core mandate of grantmaking, SGP will build on the preliminary work in OP2 and OP3 and will: (a) further develop existing pilot projects for the “blending” of grants with loan capital, and (b) explore private sector biodiversity “offsets” (from voluntary sources). GEF SGP will develop further business models for providing partial risk guarantees (in the form of support, expertise and other interventions) for loans to local communities from private international environmental sources (many of which have little knowledge of the capacity development needs of the community-based organizations that are candidates for loans).
69. Two GEF SGP strategic projects to support a GEF SGP producer network of Mexican organic honey, and a GEF SGP Costa Rica network of over 70 projects on community-based ecotourism have been approved by the inter-IA panel on strategic projects. Since July 2006, a further pipeline of strategic project on marketing and ecosystem service payments has been under preparation.
70. **Activities:** GEF SGP will prepare guidelines and toolkits for sustainable use, innovative approaches and market mechanisms at the global and country levels, and conduct thematic workshops on specific sustainable use and marketing clusters as appropriate. To the extent possible, GEF SGP country programmes will review NSC composition to ensure participation by marketing, business and sustainability experts in particular for biodiversity and climate change focal areas. Further development of the strategic project pipeline of GEF SGP will focus on the consolidation of supply chains and influencing local, national, and regional markets.
71. **Geographic areas:** A regional and geographic focus on Important agrobiodiversity hotspots of West Asia, South Asia, South-East Asia, and Arab States will target assistance to countries including: Bhutan, Cambodia, Egypt, India, Jordan, Lebanon, Malaysia, Morocco, Nepal, Philippines, Pakistan, Sri Lanka, Syria, Thailand, Tunisia, Vietnam, and Yemen. Central and South American semi-wild and domesticated production landscapes will prioritize efforts towards Argentina, Brazil, Bolivia, Chile, Costa Rica, Colombia, Ecuador, El Salvador, Guatemala, Honduras, Mexico, Nicaragua, Panama, Peru, and Uruguay. The Pacific SIDS threatened terrestrial and marine habitats initiative will work with all Pacific SIDS as part of the GEF Islands strategy under development by the GEF Secretariat including Cook Islands, Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu, and Vanuatu.

## CLIMATE CHANGE

**Outcome 3: Intensify the replication, scaling up, or mainstreaming of climate change mitigation barrier removal models that have been successfully tested and practically applied at the local level, in national development priorities and plans**

72. GEF SGP will intensify the replication, up scaling or mainstreaming of climate change mitigation barrier removal models or approaches. These models include: focused and targeted market mechanisms, innovative financing modalities, inclusive partnerships, leveraging of social capital with financial and technical resources and focused lobbying and capacity development. The models/approaches have been applied mainly in mature countries and the young SGP country programmes will continue to promote climate change activities with attributes that stimulate replication, up scaling or mainstreaming.
73. The models relate to removal of barriers for the promotion of renewable energy, energy efficiency and sustainable mobility. They relate to community livelihoods and development themes/activities such as: efficient or environmentally sustainable practices or use of renewable energies in housing sector, brick making, small and micro enterprises, cooking and lighting, energy for agricultural activities, solar drying, and sustainable transport.
74. SGP will initiate partnerships with GEF IAs, EAs, civil society, public, private sector and other development partners. Partnerships will be crucial for the achievement of this objective. For example, SGP will forge partnership with IAs and EAs to promote up-scaling, replication, or mainstreaming energy access approaches in West Africa SGP country programmes. It will also work with governments, development partners and the commercial sector to upscale, replicate or mainstream components of models in at least twenty (20) mature SGP country programmes while supporting all the new country programmes to implement projects with attributes that will stimulate up scaling, replication, or mainstreaming.
75. The number of GEF SGP country programmes incorporating components of innovative models for promotion of energy efficiency, renewable energy or sustainable transport in development activities at local level will increase during the GEF-4 period.
76. SGP will proactively link local level community climate change mitigation activities with financial institutions/ modalities or the private sector to create sustainable social entrepreneurs. Such linkages will stimulate non-traditional market mechanisms that will open up and expand markets for the promotion of renewable energy, energy efficiency and sustainable transport technologies/practices. The markets are currently not easily accessible for the promotion of clean energy technologies/practices.

***Output 3.1: Sustainable frameworks in place for implementing local climate change activities that are linked to market mechanisms, policy interventions or national development initiatives***

77. **Activities:** GEF SGP will support projects that have attributes that stimulates or lays the foundation for scaling up, replicating or mainstreaming renewable energy, energy efficiency and sustainable transport activities in specific regions or countries. GEF SGP will promote through the NSCs, projects or capacity building projects and activities that are implemented in partnerships or linked to market mechanisms, policy interventions, or larger national initiatives. GEF SGP will assess and document the socio-economic and development costs and benefits, to illustrate the incremental reduction of costs and expansion of benefits from initial pilots to replicated, up-scaled or mainstreamed models or approaches in mature GEF SGP countries.
78. **Geographic areas:** All SGP programme regions ( Asia and the pacific, Africa, Europe, Arab States and Latin America and the Caribbean) In these regions, GEF SGP will forge partnerships with GEF IAs and EAs, local authorities, the private sector and development partners to specifically promote environmentally sustainable transport as it relates to bicycles pathways, pedestrian walkways, Bus Rapid Transport (BRT), electric three wheelers, biofuels as it relates to transport policy building on

experiences in such countries as Nepal, Lithuania, Sri-lanka, Pakistan, Egypt, India, Chile, Kyrgyzstan, Cambodia, Egypt, India, Jordan, Jamaica, Pakistan, Sri Lanka, Iran, Thailand, Tunisia, Mozambique, Barbados, Papua New Guinea, Mali, Tanzania, Kenya, Ghana

79. West African LDC countries: GEF SGP will forge partnership with GEF Implementing and Executing Agencies to promote the mainstreaming, up scaling and replication of renewable energy and energy efficiency approaches and models for expanding energy access in such countries as Senegal, Mali, Burkina Faso, Benin, Chad, Mauritania, Cote D'ivoire, and Gambia
80. All GEF SGP country programmes, especially the mature country programmes, will seek partnerships with the private sector, local authorities, Governments and development partners to enhance the process of mainstreaming, up scaling, or replication of models/ approaches for expanding access to renewable energy, energy efficiency and environmentally sustainable transport. Country programmes that have existing models and /or approaches for scaling up, replication and mainstreaming includes:- Bolivia, Chile, India, Indonesia, Iran, Ghana, Kenya, Mali, Papua New Guinea, Uganda, Tanzania, Costa Rica, Dominican Republic, Ecuador, El Salvador, Guatemala, Honduras, Mexico, Nicaragua, Peru, Sri Lanka, Pakistan, Egypt, Vietnam, Jordan, Lithuania, Indonesia, Philippines, Malaysia, India, Bhutan, Nepal, Thailand, Mauritius, Zimbabwe, Botswana, Tunisia, Morocco, Guatemala, Trinidad and Tobago. New GEF SGP country programmes will continue to implement climate change activities that promote partnerships or have strong attributes to support mainstreaming, up scaling or replication. Most of these countries have young GEF SGP programmes.

***Outcome 4: Community-Based Adaptation (CBA) practices promoted and incorporated in national development priorities***

81. GEF SGP will contribute to helping communities improve their climate change adaptive capacity, reduce their vulnerability and contribute to improving the resilience of their ecosystems. GEF SGP will work in partnership with the UNDP GEF in the implementation of the Community Based Adaptation project (CBA) with resources from the Strategic Priority on Adaptation (SPA). The project will help the GEF SGP in particular, and GEF in general, to develop the necessary experience, tools and methods for effective implementation of adaptation projects at the local level.
82. During the GEF 4, GEF SGP, with SPA funds, will support projects in ten (10) countries and build the portfolio of countries incrementally. The GEF CBA project is expected to stimulate the implementation of CBA activities from non-GEF resources that will help expand the initiative beyond the ten initial countries. GEF SGP will seek the expansion of the number of countries that will be incorporating CBA activities using different financial resources (both non-GEF and GEF). GEF SGP's contribution to GEF and its partners is the development and testing of practical methodologies and approaches for implementation of CBA projects. For example, methodologies for implementing CBA activities in SIDS, mountain ecosystems, drought, and flood prone ecosystems. Apart from IAs and EAs, GEF SGP will forge partnerships with governments, development agencies and the civil society during the implementation of all CBA activities.
83. GEF SGP will explore opportunities with GEF IAs and EAs to implement community adaptation components of larger initiatives under the other new GEF adaptation funds mainly the LDCF<sup>1</sup>. The

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<sup>1</sup> Paragraph 37 of the LDCF GEF operational guidelines states that "countries wishing to support small-scale community-based adaptation projects may do so by setting aside resources .....to be allocated via the Small Grants Program (SGP) structure, or a similar mechanism in cases when the SGP is not in place. The proposals for those projects will have to specify: the size limit of the individual community-based project to be supported; the criteria that will be used to establish eligibility and select projects; and the composition of the Steering Committee that will make the decisions at the national level." [http://thegef.org/Documents/Council\\_Documents/GEF\\_C28/documents/C.28.18LDCTrustFund\\_000.pdf](http://thegef.org/Documents/Council_Documents/GEF_C28/documents/C.28.18LDCTrustFund_000.pdf).

potential involvement of GEF SGP will be dependent upon governments' recognition of the role of local communities in implementing adaptation initiatives within the framework of the new GEF funds.

84. The programme is ready to also actively implement community adaptation activities planned by GEF for regions comprised of LDCs and SIDS. The programme will also explore and take advantage of opportunities for building partnerships with bilateral, multilaterals and other development partners involved in supporting adaptation activities in the same priority regions. As a consequence, adaptation components will be treated in the same light as sustainable development components in regular GEF SGP projects where the partnership funds the non-GEF components. Such activities will be outside the SCCF and LDCF criteria and therefore will require adherence to the GEF Trust funds criteria of addressing one or more of GEF focal areas that lead to achievement of global environmental benefits. Partners' resources in such cases would be used for co-financing the non-global environmental benefits components and development baseline components.

**Output 4.1: *Strengthened involvement of local communities in national adaptation interventions increased***

85. **Activities:** GEF SGP will launch the CBA global programme jointly with UNDP GEF to initiate activities in the first 10 countries. The list of countries includes Bangladesh, Vietnam, Kazakhstan, Samoa, Niger, Morocco, Namibia, Jamaica, Guatemala, and Bolivia. It will engage Governments to promote the incorporation of CBA activities in national adaptation plans and priorities. It will support a portfolio of more than 80 CBA projects in the ten countries. Implementation of a portfolio of projects will include capacity building activities, information sharing and exchange in relevant international CBA networks. SGP will monitor and document focused lessons in ten countries that will lead to their publication, documentation and sharing globally
86. **Geographic areas:** Activities will target a broad representation of different ecosystems including: mountain ecosystems dry and flood prone areas and SIDS. Other country programmes in other ecosystems will be engaged through partnerships with IAs and EAs to implement components of LDCF projects (MSPs and FSPs). Second category of SGP country programmes that will be engaged with community based adaptation interventions include Pacific and Caribbean SIDS s, such as all Pacific SIDS, Barbados and OECS, Belize, Comoros Cuba, Dominica, Dominican Republic, Madagascar and Mauritius.

**INTERNATIONAL WATERS**

**Outcome 5: *Demonstration of community-based approaches for the implementation of SAPs, and models replicated, scaled up and mainstreamed***

87. GEF's IW objectives are "To foster international, multi-state cooperation on priority transboundary water concerns through more comprehensive, ecosystem-based approaches to management;" and "To play a catalytic role in addressing transboundary water concerns by assisting countries to utilize the full range of technical assistance, economic, financial, regulatory and institutional reforms that are needed, including active leveraging of co-financing."
88. GEF SGP IW will address priority issues identified by Transboundary Diagnostic Analysis and undertake actions to support the implementation of Strategic Action Programme (SAP) in OP4. GEF SGP fills in the gap of civil society involvement left by many full-sized projects that often focus on

working with national governments at the regional level due to sovereignty and politically sensitive issues. Realizing the vast coverage of a transboundary waterbody and the relatively small-size and local nature of GEF SGP actions, GEF SGP will undertake demonstrative and innovative community-based activities, build local capacity and foster regional NGOs and civil society network to support the implementation of regionally agreed “regulatory and institutional reforms,” (normally in the form of SAP) with a particular focus on water-related issues affecting community livelihoods, including fisheries and other resources. In certain countries where waterbodies (such as lakes, rivers, and aquifers) are critical to local livelihoods and basic needs, GEF SGP will also initiate support projects. GEF SGP will systematically link with regional mechanisms and projects to position itself as a demonstration mechanism of good models and practices for replication, upscaling, and mainstreaming at regional and global levels.

89. IW focal area aims to address the barriers and challenges for individual isolated communities in protecting international waters, by establishing systematic linkages with regional mechanisms and fostering inter-community learning through regional NGO networking in parallel with full-sized projects’ networking of government officials, scientists, experts and technical staff around a transboundary waterbody. GEF SGP’s experiences and lessons learnt will be channeled to regional mechanisms.
90. GEF SGP has a special and particularly important role in GEF IW focal area in OP4 to achieve concrete global environmental benefits in IW. GEF SGP’s niche lies in its well-established NGO and communities’ networking at the national level, and the flexibility of small-sized projects, in complementation to larger scale of demonstration sites usually undertaken by local governments under full-sized projects. The networking and institutional capacity provide mechanisms for carrying out the implementation of SAP on the ground.

**Output 5.1: *GEF SGP IW community-based projects are fully integrated into global IW activities***

91. **Activities:** GEF SGP will continue building on its existing strategic partnerships and develop new collaborative relationships with potential partners; implement a regional/subregional programmatic approach to addressing international waters issues based on agreed regional priorities; and encourage knowledge sharing at the regional and global level. To ensure long-term sustainability, GEF SGP will facilitate transboundary networking of NGOs and CBOs with interests in international water issues, and foster the formation of regional identity among communities sharing a waterbody.
92. **Geographic Focus:** During OP4, GEF SGP will upscale this regional/sub-regional approach, and focus on five regional seas, three river basins and one lake basin, particularly in regional seas/rivers where political conditions, institutional capacity, and regional networking allow for more effective interventions at the community level, particularly in the East Asian Seas/South China Sea, the Mediterranean Sea, and Nile River. In these regions, GEF SGP will work with regional projects/programs to foster regional networking of NGOs, and independently or jointly launch community-based demonstration sites to address transboundary water issues.
93. In other regions, GEF SGP will pilot community-based activities to support the implementation of SAP, and provide community-based experiences to larger IW initiatives in designing and implementing large demonstration site initiatives. SGP will fund projects in other waterbodies, including Black Sea/Danube, Senegal River, Lake Chad, Red Sea, Atlantic Ocean, Coco river, Limpopo river, Okavango River, SaveSava River, Sixaola River, Rift Valley Lakes, Volta Basin, Zambezi River, coastal zone of the Rio de la Plata and its Maritime Front, Guarani Aquifer.

## LAND DEGRADATION

### ***Outcome 6: Innovative and adaptive community-based approaches demonstrated, piloted, and integrated into global efforts to address unsustainable agricultural practices, rangeland and forestry management, while promoting local livelihood***

94. GEF LD focal area aims to achieve its goal of reducing and reversing the severity and impact of land degradation. This focal area is relatively new to the GEF SGP. Among all GEF focal area, land degradation is probably mostly related to the livelihood of communities, and the root causes of land degradation for the three productive systems of agriculture, rangeland, and forests can be effectively addressed with community efforts. Land degradation, low or declining agricultural productivity, and poverty are closely interrelated problems. GEF SGP's niche lies in its ability to reach the poorest and most distant communities in contributing to global environmental benefits as well as promoting local livelihoods.
95. GEF SGP positions itself as an adaptive testing mechanism for good models and practices of sustainable land management, and a knowledge/experience generator for global networking and mechanisms. It is expected that GEF SGP will serve as an on-the-ground adaptive mechanism. In collaboration with GEF IAs and EAs, efforts will be focused on producing good practices models along thematic areas (e.g., cropping patterns and land tenure issues), as well as along ecosystem types (e.g. drylands, tropical wetlands). Thus, GEF SGP in OP4 will provide practical experiences and feedback to global policy and practices in addressing land degradation.

### ***Output 6.1: Experiences and models on community-based sustainable land management are consolidated and shared among global networks***

96. **Activities:** GEF SGP will develop guidelines for community-based sustainable agriculture, rangeland, and forestry, including M&E indicators; establish partnerships with national and global networks to spread out GEF SGP models and experiences; conduct portfolio reviews to provide inputs for the updating of the guidelines on community-based sustainable agriculture, rangeland and forestry management; conduct thematic studies and identify good cases on community-based sustainable agricultural practices, rangeland management and forestry management; and support projects with collaboration and partnerships with governments, private sectors, and other stakeholders for replication, upscaling and mainstreaming of community-based land management experiences. GEF SGP will then consolidate the experiences/lessons learnt for sharing with various global networks.
97. **Geographical focus:** The GEF SGP will target its activities to create good practices on adaptive community-based land management addressing the degradation of agricultural land, rangeland, and forests in 87 countries of four regions, particularly in development and testing of cropping patterns, adaptation to climate change, sustainable forestry, and sustainable grazing practices.
98. **Sub Saharan States:** GEF SGP in Sub Saharan States will focus on sustainable lanagement, particularly with a special focus on sustainable use of rainwater, groundwater recharge and use of groundwater resources, sustainable rangeland management; sustainable forest and woodland management, and cross-cutting issues on land management to adapt climate change.
99. **South Asia, Southeast Asia/Greater Mekong:** GEF SGP country programs in this region will focus on sustainable tropical forest and woodland management, including agro-forestry, particularly on

deforestation and forest degradation. Partnerships will be strengthened with the European Commission on Promoting Tropical Forest.

100. Latin America & the Caribbean and the Pacific: GEF SGP country programs will focus on sustainable tropical forest and woodland management and sustainable agriculture, particularly on practices to improve soil fertility management as alternatives to shifting agriculture, and methods that have minimal impacts on soil structure and that improve soil and water conservation.
101. Central Asia and Arab States: GEF SGP country programs in this region will focus on sustainable grazing practices in temperate zones and dryland management to combat desertification.

## **PERSISTENT ORGANIC POLLUTANTS**

***Outcome 7: Community-based approaches demonstrated on waste management to prevent open burning and Persistent Organic Pollutants pesticide management related to health issues, with good experiences disseminated to support the National Implementation Plans***

102. GEF's overall objective in the POPs focal area is to assist countries to reduce and eliminate production, use, and releases of POPs in order to protect human health and the environment. GEF SGP will play a more strategic role in catalyzing actions to inform, influence, and change government policies and communities' perceptions and behaviors. GEF SGP positions itself in demonstrating, piloting and testing community-based models, with a view to providing inputs/lessons learnt/feedbacks to the improvement/updating of national implementation plans. GEF SGP has a unique advantage in that GEF SGP countries are in different stages in ratifying and implementing the Stockholm Convention. Lessons learned can be channeled through the GEF SGP global network and NSCs to LDCs, and improve policy-making, particularly the development of national implementation plans.

***Output 7.1: Enhanced capacity at the community level to implement the Stockholm Convention, with knowledge and good practices shared with global networks and non-party states and authorities of the Convention***

103. **Activities:** GEF SGP has identified two areas that are most appropriate for community-based intervention, community waste management to prevent waste burning and POPs pesticide management related to health issues. Recognizing the inadequate capacity at the community level to address POPs, GEF SGP will undertake capacity building and training among national coordinators and GEF SGP partners. GEF SGP will develop an online training module to strengthen the capacity of GEF SGP network and its stakeholders in addressing POPs; develop a guidelines on community waste management to prevent open burning and POPs pesticide alternatives, including M&E indicators; strengthen collaboration with IPEN and other POPs networks to reach out to NGOs and exchange information and knowledge; facilitate the transfer of knowledge and experiences in implementing the Stockholm Convention through GEF SGP network, from party states/authorities (Category I) to non-party states/authorities (Category II and III) through IPEN and other NGOs networks<sup>2</sup>; test and promote models to control malaria without the use of DDT; and alternatives to the

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<sup>2</sup> Countries/authorities participating in SGP can be grouped into three categories in accordance with their status in ratifying and implementing the Convention: party states/authorities (Category I), non-party signatory states (Category II), and non-party non-signatory states/authorities (Category III). The Convention requires countries to prepare NIPs to implement the Convention. The NIPs provide a framework for a country to develop and implement, in a systematic and participatory way, priority policy and regulatory reform, capacity building, and investment programs.

use of the POPs pesticides for controlling termites and ants; and test and promote models on community-based waste management, particularly to prevent waste burning.

104. **Geographical focus:** In OP4, GEF SGP will implement a staged focus approach through which countries in various stage of implementing the Stockholm Convention will play different roles in the GEF SGP POPs focal area, with an ultimate goal to strengthen local capacity in dealing with POPs issues, and influence global policy and practices in implementing the Stockholm Convention in a most cost-effective way. GEF SGP will target its limited resources on party states of the Convention, and ensure that experience/knowledge gained from advanced states will be transferred to less advanced states for better policy and practices in implementing the Convention.
105. In terms of countries' status in developing National Implementation Plans (NIPs), party states can be grouped into two sub-categories of countries. For Category I.A countries, the GEF SGP POPs strategic focus will center on the implementation of NIPs. Category I.B countries are in the process of developing NIPs; most of the countries will be finalizing the NIPs by the end of 2007 and move to Category I.A. GEF SGP will support activities to ensure the transparent, participatory, and community oriented approach in developing the NIPs. GEF SGP funding may pilot activities identified in the NIPs, demonstrate models, and test management modalities for the prevention, reduction, and elimination of POPs uses at the community level.

**Objective 2: Sustainability: *Ensure that the benefits of the long term investment of the GEF are sustained***

**Outcome 8: GEF SGP Country Programmes that have benefited from the GEF SGP for more than eight years beginning in 2007 are able to sustain their activities beyond GEF-4**

106. Over the past 15 years, the GEF has invested substantial financial resources in the development and implementation of the GEF SGP. At country level, this investment has resulted in extensive portfolios of community based projects yielding positive impacts on local livelihoods, the global environment, and the capacities of local organizations to constructively participate in sustainable development activities and policy dialogue. GEF SGP results and impacts have grown over the years in many countries thanks to the installed capacity of the GEF SGP Country Programmes. These Programmes are managed by dedicated National Coordinators with support from many partners. Unique to GEF SGP is the establishment of a voluntary National Steering Committee composed of governmental and non-governmental leaders in the field of environment and sustainable development.
107. The Country Programmes consist not only of their staff and basic infrastructure, but also the experience embodied therein, as well as the networks, partnerships and knowledge generated and maintained by the Programme and its stakeholders. For lasting global environmental impacts, it is critical that the GEF investment in each participating country not be diluted or lost, but rather maintained over the longer term. In the case of the GEF SGP Country Programmes, this would speak to the need to find a model for each Programme that would rely less on GEF resources while sustaining the Programme's approach and objectives, as well as the effectiveness and efficiency of its multi-stakeholder governance and financial management mechanisms.
108. The GEF SGP Steering Committee, in its meeting of 11 December 2006, discussed the issue of mature Country Programmes and the transition to sustainability beyond GEF financing. This transition was termed "graduation" and a policy was agreed as follows: "Beginning in 2007, any country which has benefited from the SGP for more than 8 years will be required to present a plan to

graduate from GEF funding (core and RAF resources) on completion of the GEF 4 cycle.”<sup>3</sup> Based on this policy, at least 40 countries will be affected by July 2010.

109. Country Programme sustainability poses the challenge of identifying and using other, non-GEF sources of funding to assist communities to continue to develop and implement sustainable development initiatives over time that produce global environmental benefits. The GEF SGP will work closely with each affected Country Programme and key partners to identify and implement an appropriate business model that will ensure a country driven, results-oriented programme of sustainable development at the community level that continues to produce global environmental benefits.
110. The GEF SGP, in its Fourth Operational Phase will carefully analyze what needs to be done to prepare the affected Country Programmes for sustainability after 2010. At best, these country programmes will still continue to be part of the SGP global family as “associated countries” despite the absence of GEF funding. The alternative to this would be the loss to the GEF of important community/CBO/NGO constituencies in those countries with the greatest built capacity as well as some of the most important biodiversity and climate change values. GEF SGP will consult with the National Steering Committee and National Coordinator of each Country Programme to assess and commitment to continue to fund small community based projects within a strategically focused Country Programme Strategy; identify potential partners and promising sources of financing; identify, develop, and test appropriate and viable business models for those Country Programmes wishing to continue to pursue country-driven strategic goals through funding of small projects; identify capacity requirements to ensure optimum implementation of the business models; develop and implement training and capacity development programmes for NCs, NSCs, local partners, and others; identify and implement institutionalization measures to ensure legal standing, financial accountability, and political guidance and support.
111. Key to the sustainability of Country Programmes is the identification and engagement of other non-GEF sources of financing to address sustainable development and global environmental priorities. GEF SGP will work with mature Country Programmes in GEF-4 to identify potential financial resources from a number of sources including fiscal and market mechanisms, foundations, multilateral funds and programmes, and others. GEF SGP will work closely with prospective partners to craft effective cooperation agreements and establish their operational modalities. At the same time, GEF SGP will assess its experience with the execution of small grants components of GEF-financed projects and explore future possibilities in this area with the GEF Implementing and Executing Agencies.
112. The transition process from GEF-supported Country Programmes to Programmes sustained by other sources of funding will of necessity start with approval of this OP4 proposal and continue on through 2010. Partnerships will be aggressively pursued that permit commitment to Country Programmes of new and additional funding to address sustainable development priorities and which permit reductions in administrative costs of the Country Programmes, such as rent for premises, equipment costs, and salaries of local staff. A fundamental input to this transition will be review and sharing of lessons learned from analyses of Country Programme implementation across the SGP with particular emphasis on the range of mature Country Programmes. Information and knowledge gained during the transition will be made readily available to Country Programmes to help build their planning and management capacities for the post-transition environment. At the same time, transition countries will

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<sup>3</sup> See the GEF CEO’s letter of 15 December 2006 to all GEF Operational Focal Points.

remain within the GEF SGP family as associates and participate in knowledge capture and dissemination for the benefit of the sustainable development and the global environment.

***Objective 3: Resource Mobilization: Enhance the catalytic role of GEF through strengthened partnerships and resource mobilization***

113. In OP4, GEF SGP will focus on the long-term sustainability of its Country Programmes, particularly on those ‘mature’ programmes that have developed capacities, knowledge, partnerships and financial and governance mechanisms that enable them to achieve ever greater impacts and results. New and ‘middle-term’ Country Programmes will continue to gain experience and knowledge of Programme management and planning for maximum impact – National Coordinators and National Steering Committees will receive training and technical assistance from CPMT, materials and information, access to the GEF SGP Global Knowledge Platform and database, and assistance with the development of strategic partnerships to progressively strengthen their approaches, procedures and business models.
114. ‘Mature’ countries will receive more concerted and focused support to assist them to make the transition at the end of GEF-4 to less reliance on GEF resources. This transition (“graduation”) will maintain the value of the GEF investment in terms of installed capacity and allow the generation of global environmental benefits and programme results to be produced indefinitely. GEF SGP assistance to Country Programmes in transition is described under Objective 2, above.
115. The strategic geographic and / or thematic focus of individual projects and the consolidation of their outcomes are critical to building the sustainability of GEF SGPs country programmes. Strategic clusters of projects will be further strengthened as country programmes link more closely to RAF related country priorities. GEF SGP also aims to broaden and strengthen its partnerships with GEF IAs and EAs through mainstreaming, scaling up and replication in their medium and full-size projects. The new GEF SGP Steering Committee will provide the institutional base for this. GEF SGP OP4 will build on a network of “supporters of GEF SGP” within the GEF family that would facilitate communication on opportunities for collaboration.
116. For GEF SGP, partnerships is a means to: increase flexibility in GEF SGP and allows the programme to support needed sustainable development components required in community-based projects, thus increasing the relevance, acceptability, and sustainability of projects; to foster greater country and local ownership of country programmes and projects; to provide needed critical resources (i.e., expertise); to increase the overall effectiveness and efficiency of GEF SGP by enabling the programme to act as a fast and cost-effective delivery mechanism for additional funding of community-based efforts, either by GEF IAs or by other donors; to strengthen link of GEF SGP to its goal of significantly supporting the creation of global environmental benefits through increases resources for expanded geographic or thematic focus and the utilization of regional and global network of partners for effective knowledge management and participation in global environmental governance.
117. Partnerships occur at many levels, for example, at the project level where CBOs provide cofinancing and at the NSC level where non-governmental and governmental stakeholders make decisions by consensus.
118. Payment of ecosystem services is an important aspect for leveraging financial resources of NGOs, CBOs and community members. SGP will pave the way for the engagement of NGOs, CBOs, and

community members to benefit from such ecosystem services payments to complement GEF activities for reducing the anthropogenic emission of GHGs. SGP will forge partnerships with non-GEF initiatives implemented by GEF Implementing and Executing agencies and those implemented by other partners.

119. In the climate change focal area, one main purpose of expanding resource mobilization is to spread and distribute the benefits emanating from the UNFCCC mandates and to take advantage of opportunities created by climate change including variability. The other purpose is to enhance sustainability of GEF SGP Country Programmes. Such initiatives include the promotion of the engagement of communities in the voluntary carbon market, energy access activities, local level social entrepreneurship based on energy market mechanisms, for example, the potential partnership with UNEP on the proposed Energy Access for Social Enterprise Project (EASE) project and public-private partnerships that promote use of renewable energy and energy efficient practices. The activities mentioned will be carried out in close consultation with the GEF private sector work. Most of the activities will be carried out in SGP mature country programmes while the younger countries gain the needed capacity.

***Outcome 9: Partnerships strengthened with bilateral and multilateral donors, government development programs, as well as with non-traditional funders, such as the business and financial sectors at the national and global levels***

120. GEF SGP 4 will continue to follow the GEF Council's decision on setting resource mobilization targets at the global programme level to generate global environmental benefits through community-based activities. GEF SGP's resource mobilization strategy will focus on:
- Identifying opportunities for partnerships and / or co-financing, in particular, increasing the participation of the private sector
  - Identifying opportunities in national government financing
  - Mainstreaming GEF SGP into larger projects of other donors
  - Strengthening links with local governments
  - Tracking co-financing as a measure of commitment and capacity for sustaining initiatives
121. GEF SGP will ensure a minimum co-financing to GEF ratio of 1:1 with the co-financing evenly divided between in-kind and cash. Systematic efforts will be made to identify and engage additional non-GEF sources of co-financing to offset budgetary pressures from the GEF SGP financial shortfall resulting from GEF4 replenishment. Prospective partners will be approached to increase their understanding of the cost-effectiveness of using GEF SGP's established country-level delivery mechanisms already in place. GEF IA/EAs will continue to be approached to use existing GEF SGP Country Programme mechanisms as a cost-effective method of executing small grant components of FSPs.
122. At the global level, GEF SGP is in discussion with UNEP to link their respective activities to leverage larger scale global benefits, including working in partnerships in focal areas and the use of knowledge management toolkits and distilling and documenting lessons.
123. GEF SGP Biodiversity focal area will develop partnerships with other GEF IAs (such as, the UNDP Growing Sustainable Business team and IFC colleagues), EAs (such as regional development banks), as well as UN partners to engage the private sector (such as, the UNCTAD BioTrade group, IFC, ISEAL); as well as to engage in policy fora including trade fairs, organic BioFach, and market-related meetings. Existing efforts to mainstream GEF SGP market-related MSP and FSP projects will be

extended to include the GEF private sector strategy under development. The United Nations Foundation has approved seed funding to SGP/COMPACT to develop a model for sustainability of product marketing through business incubation. The business incubation model is expected to be relevant both to protected area buffer zones (especially WH sites), as well as to the needs of individual producer projects. A GEF SGP partnership with Conservation International 'Verde Ventures' fund has developed a model for blended grants/loans to target product supply chains in SGP/COMPACT countries. GEF SGP will further pursue discussions with the UNCTAD Biotrade programme to develop mechanisms by which co-finance for a "parallel capacity building" track to formal certification standards for small producers could be combined with other similar BioTrade initiatives.

124. Payment of ecosystem services is an important aspect for leveraging financial resources of NGOs, CBOs and community members. SGP will pave the way for the engagement of NGOs, CBOs and community members to benefit from ecosystem services payments through community visioning and scenario planning at the local or ecosystem level. SGP will forge partnerships with non-GEF initiatives implemented by GEF implementing and executing agencies and those implemented by other partners. The main purpose of expanding resource mobilization is to diversify funding for biodiversity projects to include voluntary biodiversity offsets, ecosystem water purification services, tourism services, and public-private partnerships.
125. At the country level, programmes will implement a sustainability strategy for mature countries, and employ a phased approach for reducing dependence on GEF SGP core funds. Institutionally, support from UNDP will be strengthened through a "Friends of GEF SGP" network of UNDP Resident Representatives. The NSC will be reinforced by an increasing focus on sustainability and recruiting members from the private sector with capacity and expertise to fulfill the goals of the GEF SGP.
126. A geographic or thematic focus of a CPS encourages greater sustainability by creating sufficient critical mass of a particular set of small enterprises (both in terms of numbers and integration). This will result in a greater potential for marketing, investment, and economies of scale. The new CPS approach has placed greater emphasis on the results, including outcomes in terms of global environmental benefits, poverty alleviation, and good governance.
127. Country Programmes are also expected to prepare project sustainability strategies. Guidelines on developing co-financing partnerships with the private sector have been included in the revised Resource Mobilization Strategy. Project sustainability also depends on the presence of an enabling policy environment, including the identification of needed policy reforms to support community-based sustainable production, marketing, and investments. The NSC can serve as natural allies to help promote these reforms.
128. Cofinancing raised has allowed GEF SGP to increase the number, size, and impacts of its projects while continuing to pursue GEF objectives. It has also allowed GEF SGP projects to include income-generating or other livelihood project components that help build community acceptance and ownership. These components, depending on the maturity of the programme and projects, may include:
  - Payment for ecological services
  - Production of environmentally sustainable products
  - Creation of revolving funds
  - Integration of market mechanisms (in particular, for mature country programmes)
  - Utilization of microcredit services (in particular, for mature country programmes)
  - Conducting feasibility studies and managing projects in a business-oriented manner, i.e, focus on results (especially for mature country programmes)

**Objective 4: Capacity Building: Strengthen community and civil society constituencies for GEF priorities**

129. In the past, capacity building has largely concentrated on building the technical and experiential capacity of individual grantee communities and their CBO or NGO partners. Many mature GEF SGP country programmes have developed a critical mass of grantees and have organized grantee networks. Thus, while capacity building of community, CBO and NGO grantees continues on, there will be the added institutional capacity building directed at strengthening GEF SGP grantee networks as well as other civil society networks supporting GEF concerns. GEF SGP's capacity building effort therefore expands to build capacities to organize effective community and civil society constituencies that can support local and national government decisions and policy-making on GEF priorities and in cooperation with like-minded constituencies across countries be able to contribute in global environmental governance.

**Outcome 10: Strengthened capacity for implementing concrete actions and for networking on GEF priorities by communities, CBOs, NGOs, and other civil society**

130. All projects of GEF SGP can be considered as capacity-building. At the community-level the "learning by doing" approach is more effective than classroom training. By providing resources to try out concrete and innovative efforts directed at local sustainable development concerns, the programme creates the needed learning within its community, CBO and NGO stakeholders to implement solutions. This will continue on with the eventual networking of grantees as well as country programme partners.

**Output 10.1: More than 6,000 CBOs, NGOs, and other civil society groups made aware of GEF concerns, with concrete on-ground action and networked for active participation in national and global environmental governance**

131. During GEF SGP's OP4 (July 2007 – June 2010), there would more than 6,000 projects supported. Each would represent at least a partner CBO or NGO made more aware of GEF and its priorities and with the capacity to not just talk about, but more importantly to implement solutions.
132. As a corporate programme of the GEF, GEF SGP will continue to play its role in building the capacity of NGOs, CBOs, and civil society to expand the understanding of UNFCCC mandates. NGOs, CBOs, and community members are the main recipients of GEF SGP support and they work closely in partnership with other development partners. Of critical importance to UNFCCC is the development of indicators for improved capacity for civil society to implement activities under the UNFCCC. GEF SGP will document indications of the built-capacity among stakeholders involved in GEF SGP climate change activities. Capacity building activities in all the new GEF SGP country programmes will be strengthened.
133. Strategies and practices of GEF SGP grantees on gender issues will be collected at country levels leading to the creation of a strong network of women grantees. This peer-learning network aims at engaging and building the capacity of GEF SGP grantees by focusing on surfacing gender perspectives in environmental practices and local groups. It also aims at policy changes at local and national levels. At the global level, this initiative will build awareness of the interface between gender concerns and environmental issues. New NCs will take the online gender training offered by UNDP.

134. In the International Waters focal area, GEF SGP will request the assistance of GEF regional projects or programmes to provide technical assistance and expert advices to NGOs, CBOs, and GEF SGP partners in incorporating regional perspectives in local actions. Working with regional projects and programmes, GEF SGP will strengthen communities' understanding of the impacts of local actions in a transboundary waterbody, and enhance communities' common understanding on regional issues, fostering a regional identity and regional "consensual knowledge base" around a regional sea or along a river/lake basin. Depending on funding availability, *Ad hoc* regional workshops may be organized to facilitate the exchange and sharing of knowledge and good experiences of IW projects, in parallel with meetings of regional mechanisms and frameworks based on which IW projects are developed.
135. In the Land Degradation focal area, GEF SGP will identify lead country programs in three themes of sustainable land management, i.e. agriculture, grassland and forestry, and establish a mechanism for lead countries to provide advice and technical guidance in developing projects in respective themes. Guidelines will be developed to apply selected models/practices in local context, including the development of monitoring and evaluation indicators. GEF SGP will continue participating in significant international meetings such as UNCCD COP and CRIC meetings.
136. In the Persistent Organic Pollutants focal area, the technical aspects have remained the major barriers of communities to undertake necessary actions addressing POPs. Furthermore, NSC members and NCs of the GEF SGP lack adequate knowledge regarding this new focal area. NGOs and communities have relatively low capacity in developing and implementing community-based projects to reduce and eliminate POPs. During OP4, GEF SGP will organize systematic training and awareness-raising among GEF SGP stakeholders, including NGOs, CBOs, and GEF SGP national staff and NSC members. GEF SGP will conduct an on-line awareness module and general training for POPs among NCs, and develop and disseminate a guidelines on POPs pesticide management related to health issues and waste management to prevent open burning, proxy indicators to measure POPs reduction, and a list of criteria that will help in the review of incoming POPs project proposals.
137. In terms of institutional capacity building, the programme will enable its grantees in younger country programmes to form networks while also strengthening existing grantee networks in mature country programmes. These networks would then be supported in identifying the most effective role they could take.
138. At the national level, this involves building the capacity of country programmes to align their capacity building objectives to the results of GEF's National Capacity Self Assessment exercises and identifying proper support roles in the implementation of its recommendations. The capacity of these networks for mainstreaming, scaling up and replication will have to be strengthened.
139. At the global level, building the capacity of GEF SGP CBO/NGO grantees and their networks to establish wider linkages with the GEF NGO Network and with international NGOs and networks involved in active negotiations on GEF-related Conventions will be priorities. In this way, GEF SGP partner CBOs and NGOs would be able to provide stronger local links for lessons sharing, and help broaden grassroots representation in critical global discussions and negotiations. Capacity for South-South exchanges of knowledge and technology developed by GEF SGP will also be built by linking grantee networks between LDCs and SIDS.

**Outcome 11: *Enhanced country institutional capacity by strengthening positive government and civil society partnerships in GEF SGP National Steering Committees and through GEF SGP participation in country RAF planning and coordination bodies, as well as in other bodies concerned with environment and sustainable development matters***

**Output 11.1. *At least one hundred countries have strong multi-stakeholder mechanisms for coordinating community-based efforts on GEF focal areas as well as in planning and policy-making in sustainable development***

140. The design and incorporation of a multi-stakeholder National Steering Committee (NSC) or National Focal Group (NFG) in the management of GEF SGP country programmes has the objective of building a positive civil society and government working relationship. The programme has been successful in this as shown by the active participation of government officials in GEF SGP activities as well as in the increasing cofinancing coming from both national and local governments. NSC and NFG strengthening will thus continue particularly in bringing in new members that can help GEF SGP align with and implement GEF-4 and GEF SGP OP4 priorities. Representatives from the business and finance community to provide support to GEF SGP OP4 work with market mechanisms as well as good communicators to support the programme's knowledge management and networking priorities would have to be brought in. To enhance the GEF corporate nature of the programme, membership or greater opportunities for participation will also have to be opened up for GEF IAs and EAs with representation at country levels.
141. At present, many of the programme's NCs and NSC members are invited to participate in important national bodies involved in environment and sustainable development matters. This effort, however has to be made more organized and systematic. Thus, further strengthening the capacities of GEF SGP country programmes and the GEF SGP Country Team to be actively engaging members of key governmental bodies will be a priority effort. This would correspondingly strengthen the programme's capacity for mainstreaming, scaling up and replication and consequently its contribution to global environmental benefits. Important bodies for seeking membership or active participation will be RAF planning bodies as well as those related to GEF focal areas. Active participation in national sustainable development bodies will also be a priority.
142. Through GEF SGP support these bodies can be the venue for joint preparations between the government and non-government sectors in the country's participation in COPs of GEF-related Conventions as well as in other important global meetings such as that of the Commission on Sustainable Development. This would be supported by the creation of a GEF SGP Global Knowledge Management Platform which can also serve as a venue for active information and idea exchanges between government and civil society.

**Objective 5: *Knowledge Management: Codification and exchange of good practice from GEF SGP activities to inform and influence wider sustainable development policy and practice***

143. The objective of GEF SGP's knowledge management efforts is to leverage lessons learned from projects, to replicate its successes, and to inform and influence sustainable development policy and practice. GEF SGP seeks to leverage the power of knowledge to improve effectiveness and efficiency and to demonstrate the impact of the investments. It will be based on five pillars: development of information systems to monitor and evaluate the portfolio; analysis and codification of lessons learned through generation of knowledge products and services; knowledge dissemination in complementation with GEFSEC, GEF IA and EA mechanisms, as well as other development and environment communities of practice; knowledge uptake for application and improvement; and

feedback loop. Knowledge management will be an integral part of the GEF SGP programme to support the creation of global environmental benefits.

***Outcome 12: Enhanced enabling environment for community involvement in addressing GEF priorities in both policy and practice***

***Output 12.1. Good practice from GEF SGP projects codified and disseminated to policy makers and practitioners at global, national, and local levels***

144. GEF SGP will use more targeted and strategic approaches to reach decision makers in public policy. The extensive knowledge from GEF SGP best practices will be presented in a way to influence local and national policies. Successful GEF SGP lessons in dealing with the nexus between land degradation and tenure issues, for example, can feed into better policies on sustainable land management. Information materials relevant to country preparations and for global debate in Convention Conference of Parties and other important international meetings will also be packaged to better support informed discussions in these meetings.
145. For the private sector, knowledge products designed to show how business approaches and market mechanisms can also be innovatively designed to bring relevant commercial products and technologies even to vulnerable, disadvantaged and poor communities will be developed.
146. GEF SGP lessons learned will also be presented in such a way to enable larger projects and programs of government and other donor agencies to adopt or adapt GEF SGP approaches, principles and methodologies. Communities, CBOs, and NGOs would then have a wider base for accessing critical support in addition to GEF SGP.

***Outcome 13: Global Knowledge Platform for exchange, codification, and dissemination of community knowledge established***

***Output 13.1. Expanded access to GEF SGP knowledge networks and codified best practice***

147. GEF SGP will establish a Global Knowledge Platform to facilitate the exchange and codification of knowledge to enhance the constituency for community based development. This platform is an evidence-based learning system linked to GEF SGP's M&E system. The on-line component will include a repository of guidance materials, case studies, photos, and videos; a virtual community of practice; and facilitated discussions and interaction between members of the GEF SGP network and other partners and experts within countries and globally. It also includes a component for establishing a network of practitioners to advance the knowledge and influence public policy. GEF SGP will document and share widely illustrative good practice case studies for the promotion of replication, up-scaling or mainstreaming by development partners, governments and the private sector. It is assumed that the GEF IAs and EAs will collaborate actively with GEF SGP on good practice dissemination. GEF SGP Country Programmes, particularly its NSC, will promote the Global Knowledge Platform with partners such as, universities and research networks and donors, to provide enhanced support in documenting good practice. Linkages with UNEP's scientific bodies and with the GEF Scientific and Technical Advisory Panel (STAP) will also be established to enhance the scientific rigor of GEF SGP's knowledge products. Collaboration with the UNEP World Conservation Monitoring Centre (WCMC) will be established to share information regarding protected areas targeted and community conserved areas supported through the World Database on Protected Areas.

148. As regards to specific focal area knowledge management, for example in biodiversity, GEF SGP will document its contribution towards the dissemination of good practices considered a strategic priority of GEF. Specific case studies from identified country programme experiences will be used to demonstrate the processes of horizontal exchange of information using innovative technologies such as participatory video. A review of biodiversity activities in the programme and the documentation of knowledge generated by a portfolio of biodiversity activities will be continued. GEF SGP will prepare three sub-portfolio reviews of biodiversity portfolio; apply participatory video as an innovative and cost-effective means of sharing lessons learned in local and vernacular languages; and organize at least three trainings and workshops on participatory video in conjunction with UNDP Global Programme on Human Rights.
149. GEF SGP will document its direct and indirect contributions towards the reduction of GHGs. Specific case studies from identified country programme experiences will be used to demonstrate the processes of replication, up-scaling and mainstreaming. A review of climate change activities in the programme and the documentation of knowledge generated by a portfolio of climate change activities will be continued.
150. In IW focal area, SGP will serve as the learning nodes of community-based actions for the global GEF IW learning network. During OP4, experiences and good practices will be systematically collected and shared at the regional and global levels. Lessons learnt notes will be developed and shared not only within SGP network, but also with regional partners and larger GEF IW learning network.
151. At the regional level, SGP country programs sharing a waterbody will develop experiences and lessons notes for the implementation of Strategic Action Programmes to be shared with the regional projects/programs and regional NGO networks. At the global level, SGP will initiate a collaboration with GEF IW:LEARN ([www.iwlearn.net](http://www.iwlearn.net)) to provide information, lessons learnt, and good experiences to the GEF IW network. SGP will share its approaches, good cases, and experiences during GEF IW conference.
152. In LD focal area, good cases in each thematic area will be identified and advertised through SGP network. SGP will work with some major global LD knowledge networks to introduce good modes and practices for adaptive testing and piloting by SGP country programs. Portfolio review and thematic studies will be undertaken to collect experiences and good practices, and shared with global networks, including WISP, GM, UNFF, ICRAF, and CIFOR.
153. In POPs focal area, project experiences, lessons and good cases will be systematically collected and shared at the global level through the SGP network and its partners via the online knowledge platforms, and various global gathering, including the Stockholm Convention Conference of Parties. GEF SGP will further strengthen its collaboration with IPEN in ensuring good practices and knowledge gained to be disseminated and utilized by wider audiences. At the end of OP4, GEF SGP will undertake thematic studies on community-based waste management and POPs pesticide management.

### **PART 3. MANAGEMENT ARRANGEMENTS**

#### **Institutional Structure**

154. GEF SGP will continue to operate in a highly decentralized and country-driven manner through a National Coordinator (NC), Sub-regional Coordinator, or National Focal Person, and National

Steering Committees (NSC) or National Focal Groups (NFG) in each participating country, with support from the UNDP Country Office and in some countries, a National Host Institution (NHI) or host NGO. The GEF SGP CPMT and UNOPS will provide, as before, global guidance, coordination, support, and supervision.

155. A new GEF SGP Steering Committee has replaced the Operations Consultation group to tap the full potential of the GEF SGP as a GEF corporate program. With this, the participation of all IAs and EAs in providing strategic guidance to GEF SGP is strengthened. The first meeting of the GEF SGP Steering Committee, chaired by the GEF Secretariat and comprising representatives from the IAs and EAs and the Coordinator of the GEF NGO network was held on 11 December 2006. The committee complements GEF SGP's decentralized and country-driven operations and provides the programme with strategic guidance for ensuring coherence with GEF strategies, strengthen its resource mobilization efforts and its synergy with the initiatives and projects of IAs and EAs, as well as with other GEF programs for greater mainstreaming, scaling up, and replication. The Terms of Reference for the Program Steering Committee is included in Annex 6 to this document.
156. The UNDP/GEF Unit at UNDP Headquarters in New York manages all of its GEF activities, including GEF SGP. The UNDP/GEF Executive Coordinator and his/her Deputy are accountable, both to UNDP and to the GEF Secretariat and Council, for all UNDP GEF activities, including GEF SGP. Implementation services provided by UNDP at Headquarters, regional and country levels include the following: programme/project development and preparation (review, appraise and provide guidance on submissions, policy negotiations, etc.); global management oversight and support (resource mobilization support, recruitment and contractual policies, treasury and financial reporting, security, M&E, and technical backstopping from UNDP/GEF specialists, etc.); and country management oversight. UNDP charges a discounted rate of 4% for these services.
157. The GEF SGP Central Programme Management Team (CPMT), located within the UNDP GEF Unit, is composed of the: Global Manager, Deputy Global Manager, Climate Change Programme Specialist, Biodiversity Programme Specialist, Land Degradation/International Waters/POPs Programme Specialist, Knowledge Facilitator, Programme Associate, and Administrative Assistant. The CPMT is responsible for:
  - Providing overall programme management;
  - Providing operational guidance and support to the country programmes, including identification and establishment of the GEF SGP in new countries
  - Reporting to the GEF Council
  - Monitoring country programmes and coordinating the documentation and dissemination of lessons learned from the programme's community-based experiences through a global M&E framework and communications strategy
  - Supporting programme resource mobilization
  - Knowledge management at the global level
158. The UN Office of Project Services (UNOPS) following agreed procedures, policy and strategy with the CPMT will continue to be responsible for providing programme execution support services. UNOPS provides support in the following areas:
  - Personnel recruitment and contract administration for project staff and consultants;
  - Subcontracts for host institutions;
  - Budget administration, including authorization and monitoring of expenditures;
  - Training and guidance on the above to country-level staff;
  - Supporting the CPMT in the initiation of the programme in new countries.UNOPS support costs at a discounted rate of 6% will be maintained in this phase.

159. The UNDP Country Office following GEF SGP Operational Guidelines will continue to participate in providing overall management support to operations in each of the GEF SGP country programmes. The Resident Representative in each Country Office (CO) assigns a staff member to serve as the GEF SGP focal point, and the Resident Representative or the focal point as his/her delegate participates in the NSC. Each UNDP CO also contributes to monitoring programme activities – usually through broad oversight by the designated focal point as part of NSC responsibilities; facilitates interaction with the host government; and develops links with other in-country financial and technical resources. The CO is also responsible for providing financial and administrative services to the programme, and the Resident Representative signs the Memoranda of Agreement (MOA) with NGO/CBO grantees, on behalf of UNOPS. The Country Office administers the disbursement of grant payments in accordance with the terms of the MOA and as authorized by UNOPS. It also plays a fundamental role in launching a new GEF SGP programme and in the appointment of National Steering Committee members once ratified by the CPMT. As the programme has evolved, the UNDP Country Office is also expected to help develop the links between GEF SGP and the other GEF Implementing Agencies and Executing Agencies at country level as well as resource mobilization with other donors and through the UNDAF process.
160. In some countries, the GEF SGP is located in a National Host Institution (NHI), normally a national non-governmental organization (NGO) or national environment fund (see Table 5 for the list of NHIs). Programme hosting arrangements are normally considered during a new country appraisal mission. UNOPS administers a service contract with the host NGO that outlines the technical support and administrative services to be provided and an operating budget. The sub-contract contains rules of collaboration with the host organization as defined in the offer or terms of reference, both of which are integral parts of the sub-contract. This contract is supervised by UNOPS. All country programmes, whether based in the UNDP or in a host NGO, equally respond to the GEF SGP Strategic Framework, Operational Guidelines, and other global programme guidance.

**Table 5. List of National Host Institutions (NHIs)**

COUNTRY	NATIONAL HOST INSTITUTION
Brazil	Instituto Sociedade, População E Natureza (ISPN)
Cook Islands	CIANGO
Dominica	Dominica Save the Children Fund (hosts GEF SGP COMPACT)
Egypt	Arab Office for Youth and Environment (AOYE)
India	Centre for Environmental Education (CEE)
Indonesia	Yayasan bina Usha Lingkungan (YBUL)
Jordan	Jordan Royal Ecological Diving Society (JREDS)
Kiribati	Kiribati Association of NGOs (KANGO)
Madagascar	Tany Meva Foundation
Micronesia	Micronesia Conservation Trust (MCT)
Namibia	Namibia Nature Foundation
Palau	Palau Conservation Society (PCS)
Tonga	CSFT
Tunisia	Audit Environmental
Tuvalu	Tuvalu Association of NGOs (TANGO)
Vanuatu	VANGO
Zambia	Keepers Zambia Foundation (recommendation by panel to be confirmed by CPMT/UNOPS)

161. The National Steering Committee (NSC) is composed of voluntary members from NGOs, academic and scientific institutions, other CSOs, the UNDP Country Office, government, and donors, with a majority of members coming from the non-governmental sector. The technical capacity of the NSC is an important criterion in determining composition, and the NSC membership should include experts in the GEF focal areas. Members representing the private sector and international and national donors and foundations are also increasingly being invited to become members to support GEF SGP's resource mobilization efforts. The NSC's responsibilities, in collaboration with the NC, include:
- Providing overall guidance and direction to the country programme;
  - Contributing to developing and implementing strategies for country programme sustainability;
  - Developing the Country Programme Strategy (CPS) in accordance with the global Strategic Framework and national environmental priorities;
  - Overseeing the implementation of the CPS;
  - Selecting and approving projects, and ensuring their technical and substantive quality;
  - Participating in pre-selection project site visits and in project monitoring and evaluation (as appropriate);
  - Linking GEF SGP's lessons learned to development practice and policy.
162. The National Coordinator (NC) has lead responsibility for managing country programme implementation. The National Coordinator's responsibilities include:
- Promoting the programmes's objectives, procedures, and achievements among NGOs, CBOs, and other key stakeholders;
  - Developing and revising the Country Programme Strategy (CPS) in collaboration with the NSC and other stakeholders;
  - Implementing the CPS, and ensuring that that GEF SGP grants and projects meet the criteria of the CPS;
  - Assisting NGOs and CBOs in the formulation of project proposals, and ensuring their technical and substantive quality;
  - Serving as the NSC's secretariat, pre-screening project proposals, and otherwise supporting the work of the National Steering Committee;
  - Facilitating NGO and CBO access to technical support services;
  - Developing and implementing communications and information dissemination strategies, which will reach a wide range of target audiences;
  - Ensuring sound programme monitoring and evaluation, including periodic project site visits;
  - Mobilizing resources for cofinancing projects, in particular "baseline" activities;
  - Supervising other GEF SGP local staff; and
  - Reporting to the CPMT and UNOPS as required.

### **Reasons for assistance from UNDP**

163. UNDP has been managing the programme since its inception in 1992. Its comparative advantage lies in its global reach and highly decentralized structure that places 85% of its staff in the more than 170 countries and territories it supports. The system of Country Offices and Resident Representatives has supported the programme in many ways including the setting up of new programs in countries, day-to-day administrative and oversight support to the programme, providing valuable contacts and outreach, and assistance with media coverage. UNDP has contributed considerable funding to some country programmes, and has sponsored donor forums in others to promote GEF SGP co-financing efforts.

164. UNDP Country Offices typically have close working relations with the national government and Resident Representatives serve as Coordinators of the UN System as a whole. These features can greatly facilitate the building of partnerships with in-country programmes of the UN system, those of government agencies, and other international donors.
165. GEF SGP is a global corporate programme of the GEF. While it operates under the overall UNDP SBAA agreement, at the country level it is not considered a part of the CCF or UNDP core functions.

### **Acknowledgement of GEF funding**

166. In order to properly acknowledge GEF for providing funding, the GEF logo should appear on all relevant programme and project publications. Products and publications generated by GEF-funded GEF SGP grants and activities should carry the GEF logo. The UNDP logo should also appear separated from the GEF logo.

### **PART 4: MONITORING AND EVALUATION**

167. GEF SGP has an enhanced Monitoring and Evaluation (M&E) framework that links the systems and strategies at the project, country programme, and global levels. The M&E framework leads directly to the knowledge management system, including knowledge products that could produce global benefits. At the country programme level, M&E includes regular visits by country programme teams to projects, and annual Performance and Results Assessment (PRA) to the CPMT, and regular updates through an on-line and off-line database. M&E also includes financial and management audits, performance appraisals, and a risk management system to assess the readiness of a new country start-up. (A diagram showing the components and linkages of the GEF SGP's M&E system is included in Annex 7)
168. The SGP will continue to work closely with M&E units of GEF IAs and Secretariat to link SGP impact assessment with GEF family impact assessment. In addition, the programme shall be monitored and evaluated as per the identified specific indicators of performance for each output in the logical framework. Reporting on the achievement of programme deliverables to the GEF Council shall be done annually.

### **SECTION II. BUDGET**

169. The RAF policy provides the framework for GEF SGP budgeting in GEF 4. In the "Summary of Negotiations GEF-4 Replenishment", the GEF SGP was allocated "\$110 million from focal area allocations" as available core funds with "\$90 million additional estimated from country allocations of the RAF".
170. In a meeting 11 August 2006 between the GEF CEO, the UNDP/GEF Executive Coordinator, and the GEF SGP Global Manager it was decided that additional RAF contributions from countries be voluntary. In the first meeting of the GEF SGP Steering Committee of December 11, 2006 detailed guidelines were developed on how the programme can utilize core and RAF contributions. The guidelines are in Annex 8. These have been shared in a letter sent by the GEF CEO to all country GEF Focal Points.
171. The guidelines provide for caps on how much RAF funds can be contributed to SGP as well as how much of core funds can be accessed by participating countries. It should be noted that caps provide

for the maximum limits of GEF SGP funding for a country programme and are a function of projected optimum absorptive capacity and funds availability. The actual country programme allocations will depend on: (a) actual absorptive capacity as reflected in historical trends of grantmaking; (b) strategic need of the country programme or its projects such as building partnerships and accessing cofinancing; (c) adherence to the guidelines on use of core and/or RAF funds. Maximum allocation levels are thus not entitlements but are dependent on presence of good project pipelines.

172. The estimated total GEF-4 financing for SGP from core funds and RAF contributions (including those projected for the second half of GEF 4, shown in italics) is presented in budget Table 6. The total core funds budgeted for grants and basic non-grant costs is \$100 million which combined with the discounted IA fee of 4% and discounted UNOPS execution services of 6% amounts to \$110 million for the whole of GEF-4. This equals the core funds available to SGP for the whole of GEF-4. The available RAF funds contributed for the first half of GEF-4 which covers the July '07- June '08 SGP replenishment is much more than the needed RAF funds of \$17,646,591 plus the RAF share for IA and UNOPS execution fees. The total RAF funds needed for the periods Yr 2 and Yr 3 are estimates based on present trends of contributions and are definitely achievable. The total RAF amounts already committed and projected to be committed are still below the amount expected from RAF to support SGP as determined in the summary of negotiations of the GEF-4 replenishment. Thus, the proposed budget is well within expected SGP replenishment in GEF-4 and even allows for higher RAF contributions from many countries vis-à-vis their commitments in the first half of GEF-4.
173. Since SGP is starting late in GEF-4 and following principles of absorptive capacity, not all of the contributed RAF funds for a country, especially for those with high contributions, have been budgeted for the period July 2007 – June 2008. The unused balances, however, could then be used by such country programmes in later replenishments.
174. The proposed administrative and programme management budget for July 2007 – June 2008 is also shown in Table 6. This budget shows an increase in the staff item for country-level programme management given that five country teams will have to be set up in those countries started up late in SGP OP3 and five new countries will be started up in this new period. It should be noted that over the whole GEF-4 there will be an additional 21 new SGP country programmes. But to maintain SGP within its existing policy for cost efficiency vis-à-vis the overall budget, the programme has made cuts in all other items relative to the 2006 budget as shown in Annex 9, part 2. *The non-grant component of the GEF contribution to SGP OP4 is 24.0%. This is less than the 25% cap that has normally been approved by GEF Council in previous phases, despite the increasing number of countries participating in the programme.*
175. Specific budget cuts for the period July 2007 – June 2008 as compared to last year's budget, the reductions of which are then sustained throughout SGP OP4, include:
- a. Global Workshops (less by 100%)
  - b. Communication/Knowledge Management (less by 60%)
  - c. Lessons Learned/Impact Assessment (less by 83%)
  - d. Travel/M&E (less by 67%)
  - e. Country Team Strengthening (less by 50%)
  - f. Country-level programme equipment, operations and maintenance (less by 27%)
  - g. Country-level technical assistance (less by 26%)
  - h. Country-level outreach (less by 60%)
  - i. Country-level sundry (including support to National Steering Committee meetings (less by 40%)
  - j. Two posts at SGP CPMT to be unfilled

176. Critical activities that have been cut such as that related to knowledge management, communications, training, ex-post studies and other lessons learning work of the programme will therefore have to be sourced from other donors or the programme's quality and outputs will suffer. This need will increase in succeeding years as GEF SGP brings in more participating countries from the 21 approved for start up in the GEF-4 period.
177. As an additional cost-cutting measure, the SGP CPMT and SGP country teams will assess country situations vis-a-vis the programme and renegotiate its payment for office premises. This assessment shall take into consideration the matter of the SGP country programme office needing to provide for: (a) a strong character of programme impartiality or neutrality (actual and perceived) as well as ease of accessibility to grassroots NGOs and CBOs particularly in situations where government and civil society relations still need strengthening and also where there is strong inter-NGO competition; (b) good communications and internet accessibility given that the computer-based ATLAS financial management system used by the programme require fast and secure e-mail and internet connections; (c) security requirements as the programme is perceived as a repository of funds and with UNOPS and UNDP regulations requiring its staff and programmes to be located within office premises that meet basic security requirements. The assessment will look at options for free office space for the SGP country programmes in existing UNDP country offices (which saves on substantial relocation costs), in national NGO offices, within University premises, and in government offices with the aim of making transfers in the second year of SGP OP4 when existing rent agreements and leases end. At the very least, the target is to cut 50% of the budget for new countries to be started up in SGP, the criteria for start up shall also now include the willingness of country stakeholders to commit to providing free offices premises. As for new countries to be started up in SGP, the criteria for start up shall also now include the willingness of country stakeholders to commit to providing free office premises. The budget on premises for SGP OP4 2008-2009 and 2009-2010 shall then be refined to reflect the savings and needed shifts of savings to other critical programme activities for approval by the GEF SGP Steering Committee.
178. Following the rolling replenishment financial strategy for SGP, it is proposed that the programme's Operational Phase 4 Project Document and its budget that includes the full utilization of its \$110 million core funds for the whole of GEF-4 as well as the budgeted \$18.3 million of RAF funds that participating countries have committed as part of their first half of GEF-4 RAF allocation be approved. As additional RAF funds that participating countries can commit in the second half of GEF-4 are contributed to SGP within the guidelines set by the GEF SGP Steering Committee, then such funds as projected in budget Table 6 shall be added to the budget replenishment of SGP in its OP4 2<sup>nd</sup> Yr and 3<sup>rd</sup> Yr periods upon endorsement of the GEF SGP Steering Committee and approval of the GEF CEO. Likewise, refinements in country grant allocations and non-grant budget items would be reviewed on an annual basis by the GEF SGP Steering Committee and approved by the GEF CEO. SGP will submit through the GEF CEO its annual progress report to the GEF Council.

**Table 6: GEF SGP OP4 Budget**

<b>Budget details</b>	<b>OP3/Year 2 Mar'06 - Feb'07</b>	<b>OP4/Year 1 Jul'07 - Jun'08</b>	<b>OP4/Year 2* Jul'08 - Jun'09*</b>	<b>OP4/Year 3* Jul'09 - Jun'10*</b>	<b>OP4* TOTAL*</b>
<b>A. Grants</b>					
GEF Core funds	45,000,000	21,591,100	23,043,922	25,483,089	70,118,110
GEF RAF funds	-	16,647,727	17,646,591	19,411,250	53,705,568
Cash Co-financing	31,000,000	19,119,414	20,345,256	22,447,169	61,911,839
Sub-total:	76,000,000	57,358,241	61,035,769	67,341,508	185,735,517
<b>B. Programme mobilization, strategic guidance and M&amp;E</b>					
Global Workshop (Graduation Only)	400,000	0	150,000	0	150,000
Communication	200,000	10,000	10,500	11,025	31,525
Knowledge Management		70,000	73,500	77,175	220,675
Lessons Learned		40,000	42,000	44,100	126,100
Impact Assessment	300,000	10,000	10,500	11,025	31,525
Travel		85,000	89,250	93,713	267,963
Monitoring	300,000	15,000	15,750	16,538	47,288
Technical Assistance	50,000	50,000	52,500	55,125	157,625
Audits	40,000	0	50,000	52,500	102,500
Country Team Strengthening	50,000	25,000	26,250	27,563	78,813
Evaluation	100,000	0	0	0	-
Sub-total:	1,440,000	305,000	520,250	388,763	1,214,013
<b>C. Programme Management</b>					
<u>Country Level</u>					
Personnel	4,900,000	5,000,000	5,250,000	5,512,500	15,762,500
National Host Institutions (NHI) Progr. Operations	725,000	700,000	710,000	715,000	2,125,000
Premises	450,000	450,000	225,000	135,000	810,000
Equipment, operations and maintenance	1,100,000	800,000	840,000	882,000	2,522,000
Workshops	195,000	195,000	204,750	214,988	614,738
Field Monitoring/Travel	500,000	500,000	525,000	551,250	1,576,250
Technical assistance	135,000	100,000	105,000	110,250	315,250
Outreach	250,000	100,000	105,000	110,250	315,250
Sundry	250,000	125,000	131,250	137,813	394,063
Sub-total	8,505,000	7,970,000	8,096,000	8,369,050	24,435,050
<u>Global programme-level (HQ)</u>					
Global Manager	245,190	245,190	257,450	270,322	772,961
Deputy Global Manager (Programme)	210,150	210,150	220,658	231,690	662,498
Programme Specialist (Climate Change)	180,260	180,260	189,273	198,737	568,270
Programme Specialist (Biodiversity)	151,150	151,150	158,708	166,643	476,500
Programme Specialist (Int'l Waters/LD/POPS)	151,150	151,150	158,708	166,643	476,500
Programme Specialist (M&E)	151,150	0	0	0	
Programme Specialist (Partnerships/Special Prj)	151,150	0	0	0	
Knowledge Facilitator	127,135	127,135	133,492	140,166	400,793
Programme Associate	80,275	80,275	84,289	88,503	253,067
Programme Associate	80,275	80,275	84,289	88,503	253,067
Equipment	20,000	20,000	21,000	22,050	63,050
Premises	80,000	80,000	84,000	88,200	252,200
Sundry	30,900	17,333	18,027	18,561	53,921
Sub-total	1,658,785	1,342,918	1,409,891	1,480,018	4,232,827
<b>Total A+B+C</b>	<b>87,603,785</b>	<b>66,976,159</b>	<b>71,061,910</b>	<b>77,579,339</b>	<b>215,617,407</b>
<b>D. Administrative costs</b>					
UNOPS Support (6%)	3,396,215	2,871,405	3,042,999	3,307,930	9,222,334
<b>E. Total in Cash</b>	<b>87,603,785</b>	<b>66,976,159</b>	<b>71,061,910</b>	<b>77,579,339</b>	<b>215,617,407</b>
<b>F. In-Kind Resources</b>	<b>30,000,000</b>	<b>26,276,650</b>	<b>27,961,380</b>	<b>30,850,131</b>	<b>85,088,161</b>
<b>G. Grand Total (In cash and in kind):</b>	<b>117,603,785</b>	<b>93,252,809</b>	<b>99,023,289</b>	<b>108,429,470</b>	<b>300,705,568</b>
<b>H. Total GEF Financing</b>					
GEF SGP Core funds	60,000,000	33,081,559	35,054,266	37,864,175	106,000,000
GEF RAF Funds	0	17,646,591	18,705,386	20,575,925	56,927,902
<b>TOTAL</b>	<b>60,000,000</b>	<b>50,728,150</b>	<b>53,759,653</b>	<b>58,440,100</b>	<b>162,927,902</b>
<b>Non-Grant Proportion of GEF Funds</b>	<b>25.00%</b>	<b>24.62%</b>	<b>24.31%</b>	<b>23.18%</b>	<b>24.00%</b>
<b>Financing Plan for current Submission</b>					
SGP Core (All years)			106,000,000		
RAF (Year 1)			17,646,591		
IA Fee			4,665,909		
<b>Total Financing</b>			<b>128,312,500</b>		

\*) Budgets for Y2 and Y3 are projections as it will depend on availability of RAF funds during the second half of GEF4.

## **ANNEXES**

1. List of Countries
2. Letter for Participation of 21 New Countries
3. Partnership
4. Planning Matrix
5. Work Plan
6. Terms of Reference for Programme Steering Committee
7. Monitoring and Evaluation Diagram
8. Guidelines for Use of Core and RAF funds
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**ANNEX 1**  
**The GEF Small Grants Programme**  
**List of Countries**

<b>Country</b>	<b>Entry</b>	<b>LDC</b>	<b>SIDS</b>	<b>Country</b>	<b>Entry</b>	<b>LDC</b>	<b>SIDS</b>
Albania	1996			Madagascar	2004	LDC	
Antigua and Barbuda *	1994		SIDS	Malawi	2006	LDC	
Argentina	2005			Malaysia	1996		
Barbados *	1994		SIDS	Mali	1993	LDC	
Belarus	2004			Marshall Islands	2004		SIDS
Belize	1993		SIDS	Mauritania	2001	LDC	
Benin	2005	LDC		Mauritius	1995		SIDS
Bhutan	1996	LDC		Mexico	1994		
Bolivia	1992			Micronesia (FSM)	2004		SIDS
Botswana	1992			Mongolia	2002		
Brazil	1994			Morocco	1996		
Bulgaria	2005			Mozambique	2003	LDC	
Burkina Faso	1992	LDC		Namibia	2002		
Cambodia	2004	LDC		Nauru ****	2006		SIDS
Cameroon	2005			Nepal	1993	LDC	
Chad	2005	LDC		Nicaragua	2003		
Chile	1992			Niger	2002	LDC	
Colombia	2003			Niue ****	2006		SIDS
Comoros	2005	LDC	SIDS	Pakistan	1993		
Cook Islands *****	2004		SIDS	Palau	2004		SIDS
Costa Rica	1993			Palestinian Authority	1996		
Cote d'Ivoire	1993			Panama	2005		
Cuba	2004		SIDS	Papua New Guinea	1994		SIDS
Dominica	1994		SIDS	Peru	1996		
Dominican Republic	1993		SIDS	Philippines	1992		
Ecuador	1994			Romania	2004		
Egypt	1993			Rwanda	2003	LDC	

El Salvador	2001			Samoa	2003	LDC	SIDS
Ethiopia	2004	LDC		Senegal	1993	LDC	
Fiji	2003		SIDS	Solomon Islands	2006	LDC	SIDS
Gambia	2006	LDC		South Africa	2001		
Ghana	1993			Sri Lanka	1994		
Grenada *	1994		SIDS	St Kitts and Nevis *	1994		SIDS
Guatemala	1996			St Lucia *	1994		SIDS
Guinea	2006	LDC		St Vincent and Grenadines*	1994		SIDS
Haiti	2005	LDC	SIDS	Suriname	1995		SIDS
Honduras	2001			Syria	2004		
India	1995			Tanzania	1996	LDC	
Indonesia	1992			Thailand	1993		
Iran	2000			Tonga ****	2006		SIDS
Jamaica	2003		SIDS	Trinidad and Tobago	1995		SIDS
Jordan	1992			Tunisia	1993		
Kazakhstan	1996			Turkey	1993		
Kenya	1993			Tuvalu ***	2006	LDC	SIDS
Kiribati ***	2006	LDC	SIDS	Uganda	1996	LDC	
Kyrgyzstan	2001			Uruguay	2005		
Lebanon	2001			Vanuatu	2006	LDC	SIDS
Lesotho	2006	LDC		Vietnam	1996	LDC	
Lithuania	2000			Yemen	2003	LDC	
Macedonia	2004			Zambia	2006	LDC	
				Zimbabwe	1993		

\*) Part of the Barbados and OECS Subregional Programme

\*\*) Part of Micronesia I Subregional Programme (Coordinated by Federated States of Micronesia)

\*\*\*) Part of Micronesia II Subregional Programme (Fiji)

\*\*\*\*) Part of Polynesia Subregional Programme (Samoa)

## ANNEX 2

### GEF Small Grants Programme: Letter for participation of 21 New Countries



**Monique Barbut**  
*Chief Executive Officer  
and Chairperson*

#### Global Environment Facility

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December 15, 2006

Dear Focal Point:

I am pleased to announce, as promised at the recent GEF Council meeting, a new forward-looking approach to managing the GEF Small Grants Programme (SGP) that will be applied in GEF-4. Under this approach, the SGP will meet all pending requests from countries that want to join the program and will work towards enhancing its on-the-ground effectiveness while maintaining a country-based decision making process through the SGP National Steering Committees.

The first meeting of the GEF SGP Steering Committee, chaired by the GEF Secretariat and comprising representatives from the Implementing and Executing Agencies and the Coordinator of the GEF NGO network, was held on 11 December 2006. The Steering Committee agreed on procedures for allocating the resources available to the SGP, both through its GEF-4 core funding of US\$110 million and through resources from indicative country allocations under the RAF. Detailed guidelines explaining the procedures for countries to access financing from the SGP during GEF-4 were agreed upon by the GEF SGP Steering Committee. These guidelines, to be effective beginning in 2007, are attached to clarify any outstanding questions regarding the programming of resources through indicative country allocations for the SGP and the amounts available to countries from the core SGP funds.

The approach calls upon those countries that have developed significant capacity through the SGP to shift their source of funding from the program's core budget to their RAF indicative country allocations, thus freeing-up core funding from the SGP and providing resources for new countries that have been waiting for sometime to join the program.

I am delighted that the Steering Committee was able to agree on the inclusion of 21 countries that had applied to join the SGP, thus eliminating the waiting list. The following countries are now expected to join the SGP during GEF-4:

Algeria, Afghanistan, Armenia, Bangladesh, Burundi, Cape Verde, Central African Republic, Democratic Republic of Congo, Eritrea, Guinea Bissau, Laos, Liberia, Maldives, Nigeria, Paraguay, Seychelles, Tajikistan, Togo, Ukraine, Uzbekistan, Venezuela

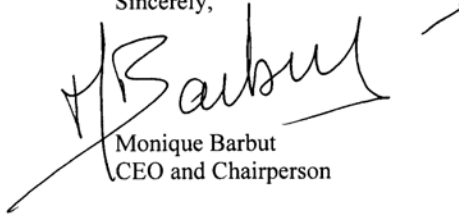
-2-

With the inclusion of these countries, the SGP will be active in 122 countries.

The Steering Committee also agreed on a SGP graduation policy (see guidelines) as called for by the Council in November 2004.

Please contact us should you need further clarifications. I look forward to seeing the continued good work of an expanded SGP during GEF-4.

Sincerely,

A handwritten signature in black ink, appearing to read 'M. Barbut', with a long horizontal stroke extending to the right.

Monique Barbut  
CEO and Chairperson

Attachment.

**ANNEX 3**  
**GEF Small Grants Programme: Partnerships**

**PART I. SELECTED GLOBAL LEVEL PARTNERSHIPS**

<b>PARTNERS</b>	<b>PARTNERSHIP THEMES</b>	<b>FUNDING</b>	<b>REMARKS</b>
<b>Biodiversity</b>			
European Union (EU)	Promotion of Tropical Forest Conservation in SE Asia and South Asia	Euros 15,132,500	Promoting tropical forest conservation in the Philippines, Cambodia, Thailand, Vietnam, Indonesia, Malaysia, Sri Lanka, and Pakistan. Adoption of GEF SGP procedures and use of SGP National Steering Committees for grant review and approval and SGP National Coordinators as project mentors. This partnership allowed SGP to provide more support to sustainable forestry and sustainable livelihood projects through joint or parallel funding. It also provides a good example of how the existing SGP mechanism can be utilized by other donors so that related programs can take off fast and with less cost.
United Nations Foundation (UNF)	Community Management of Protected Areas Conservation (COMPACT) --landscape-level protection for natural World Heritage Sites	\$7,000,000 approx cumulative total since 2000	Demonstrate how community-based initiatives can significantly increase the effectiveness of biodiversity conservation in 8 natural World Heritage Sites in Belize, Dominica, Mexico, Madagascar, Kenya, Philippines, Tanzania and Senegal. Common methodology for landscape-level clustering and synergy of SGP small grants and complementation with other donors and agencies for protected areas is being developed and implemented. This partnership is expected to provide models for geographic focusing of other SGP country programmes and enhancing SGP's overall impact-orientedness.
CBD Secretariat and UNESCO World Heritage Centre (WHC)	Reduce the current rate of biodiversity loss and contribution to CBD program of work on Protected Areas	In kind	This is linked to the COMPACT partnership program with UNF for the protection of natural World Heritage Sites and landscapes through community-based landscape approach. Through partnership with the CBD Secretariat, SGP is more able to share its lessons learned at the global level in CBD Conference of Parties. With UNESCO, the partnership aims to provide lessons learned in community and NGO involvement to help further develop the agency's global guidance in the inscription and management of natural World Heritage Sites.
Royal Society for the Protection of Birds (RSPB) & Birdlife International	Strategic focusing GEF SGP grant-making in endangered bird habitats and flyways	Parallel	Ensure synergies and facilitate exchange information as well as lessons learnt including methodologies such as common techniques of bird monitoring and indicators. Collaboration in selected countries and regions (i.e. Eastern Europe and West Africa) through RSPB projects and Birdlife International partner organizations. With RSPB support, SGP projects gain expert support and is more strongly linked to the protection of globally important bird species while RSPB is able to expand its local partners through SGP grantees.
International Coral Reef Action Network (ICRAN)	Targetting GEF SGP grants at globally significant coral reefs	\$300,000 UNF and In kind	Under this partnership, GEF SGP and ICRAN are undertaking activities in over 50% of the countries where coral reefs exist. The ICRAN works with GEF SGP National Steering Committees, in the identification of new projects,

PARTNERS	PARTNERSHIP THEMES	FUNDING	REMARKS
	(also with UNF support)		and the development of innovative funding opportunities for coral reefs. The partnership took off from the recognition of the importance of community-based approaches in coral reef protection that resulted from ICRAN's evaluation of its initial program. SGP and ICRAN are to help each other expand work with communities in coral reef protection.
International Plant Genetic Resources Institute (IPGRI) – now called 'Biodiversity International'	Protection of plant genetic resources and traditional knowledge for biodiversity	In kind	Support biodiversity conservation through the implementation of FAO's 'Global Plan of Action for the Conservation and Sustainable Utilization of Plant Genetic Resources for Food and Agriculture' (GPA). Both parties will support people-centered biodiversity conservation and sustainable livelihoods. Attention is given to working with NGOs, CBOs, women's groups and indigenous peoples as key actors. SGP is able to utilize IPGRI's research and scientific knowledge and network while IPGRI benefits from SGP's wide network of communities able to pilot IPGRI innovations.
<b>Climate Change</b>			
Regional Programme for the Promotion of Household and of Alternative Energies in the Sahel (PREDAS)	Jointly support activities on household energy projects in Burkina Faso, Mali, Senegal, Mauritania, and Niger.	Parallel cash (total available US\$ 400,000 depending on demand)	The Permanent Interstates Committee for Drought Control in the Sahel (Comité permanent Inter-Etats de Lutte contre la Sécheresse dans le Sahel - CILSS ), is a regional organization made up of nine countries: Burkina Faso, Cape Verde, Chad, The Gambia, Guinea Bissau, Mali, Mauritania, Niger and Senegal. SGP is working with PREDAS to assist CILSS member States, to design, adopt and implement household energy plans which also serve as national reference documents for overcoming fuel wood crisis. The partnership promotes use of energy efficient practices at the household level.
Columbia University and Energy programme, Energy and Environment Group, UNDP	Assess the contribution of community energy activities to MDGs with the aim of identifying models or approaches for mainstreaming, up scaling or replicating globally	Parallel/in-kind	The collaboration was run with Columbia University School of International Development to study three SGP country programmes of Nepal, Kenya and the Dominican Republic. The results were important for promoting community approaches and their potential for replication, up scaling and mainstreaming. The results were used to promote this theme during the commission on sustainable development session 14 and the production of a publication on replication, up-scaling and mainstreaming of community approaches at the local level.
Energy programme, Energy and Environment Group, UNDP	Documentation and publication of cases studies and production of knowledge products	US\$26,500	The SGP knowledge management framework gained from support to a review in identifying the bottlenecks to codifying knowledge. The collaboration led to production of information and recommendations for the review of the SGP data bases. As part of the outputs, a publication documenting 50 case studies was developed.
UNDP GEF joint development of the GEF Community Based Adaptation Project.	Jointly develop a programme for the implementation of the community component of the GEF Strategic Priority	US\$ 5,000,000 (GEF funds)	A full sized project was developed and approved by the GEF council in 2006. It will start activities in earnest in mid 2007. The collaboration will guide future community based adaptation activities of GEF.

<b>PARTNERS</b>	<b>PARTNERSHIP THEMES</b>	<b>FUNDING</b>	<b>REMARKS</b>
	on Adaptation (SPA)		
Global Village Energy Programme (GVEP)	Promotion of community energy projects	In -kind	Jointly share information and exchange of tools for knowledge products. GVEP website displays cases studies and publications from SGP climate change activities to share globally with GVEP partners.
International Forum for Rural Transport and Development (IFRTD)	Capacity building of NGOs in environmentally sustainable transport	In-kind, parallel	Jointly support capacity development of NGOs IFRTD countries. First output was the training of Tanzanian NGOs and parliamentarians on issues of non-motorized transport in 2003
<b>International Waters</b>			
Partnerships in Environmental Management for the Seas of East Asia (PEMSEA)	Support the implementation of the Sustainable Development Strategy for the Seas of East Asia (SDS-SEA).	Target \$1,000,000 (to come from PEMSEA local government and private sector partners)	GEF SGP has gained access to PEMSEA regional network of partners and governmental support and acquired technical assistance from its experts' network. Through this partnership SGP is able to better influence international waters management at a regional level. PEMSEA, on the other hand, is able to add a strong community component to what originally was designed as a program strong in municipal and national government involvement. The partnership will contribute directly to the implementation of the SDS-SEA through building community capacity and demonstrating community models in addressing common regional seas problems. GEF SGP participating countries: Cambodia, Indonesia, Malaysia, Philippines, Thailand, and Vietnam.
Mediterranean Action Plan	Strategic Partnership on Mediterranean Large Marine Ecosystems	GEF IA mainstreaming (UNEP)	GEF SGP and UNEP/MAP Mediterranean Strategy for Sustainable Development agreed to collaborate to conserve the Mediterranean large marine ecosystems. This strategic partnership lays the foundation for SGP countries bordering the Mediterranean Sea to link up with a larger international waters initiative, and provides the institutional and technical supporting for the GEF SGP to undertake community-based actions to support the implementation of the SAP.GEF SGP countries covered: Morocco, Tunisia, Egypt, Palestine, Lebanon, Syria, Turkey, and Albania.
Nile Transboundary Environmental Action Programme – Micro Grant Programme (NTEAP-MGP)	Micro-grant program of the World Bank-GEF Nile River Project.	GEF IA mainstreaming (World Bank)	This cooperation arrangement between two initiatives of the GEF enhance the efficiency and cost-effectiveness of the GEF system, providing a model for other FSPs/MSPs to follow to save the administrative cost in implementing small sized community-based action by using existing SGP mechanisms as the delivery mechanism. SGP National Coordinators mentor and guide the NTEAP Local Coordinators and SGP National Steering Committees review and approve NTEAP microgrants projects. As such, the MGP of the NTEAP was able to start up fast and in a very cost effective manner.
MWLE/UNEP Microgrant Programme	Regional project covering Uganda, Tanzania, Rwanda and Mozambique	GEF IA mainstreaming (UNEP)	Management, implementation and monitoring of the Micro-Grants Programme (MGP), component of UNEP project “Capacity Building to Alleviate Poverty through Synergetic Implementation of Rio Multilateral environmental Agreements (MEAs)” within the framework of the New Partnership for Africa’s Development (NEPAD). As in the EU-supported Promotion of Tropical Forests and in the GEF-supported NTEAP-MGP, SGP National

PARTNERS	PARTNERSHIP THEMES	FUNDING	REMARKS
			Coordinators and National Steering Committees review and approve proposals and are involved in their supervision and monitoring. This partnership is considered a pilot effort that can grow to cover more similar projects of UNEP.
Reversing Land and Water Degradation Trends in the Niger River Basin (RLWD)	Facilitate the implementation of the small grants component of the RLWD project.	GEF IA mainstreaming (World Bank and UNDP)	Partnership developed in March 2006 to provide opportunity for civil society stakeholders to engage in an exchange of lessons learned from the transfer of knowledge at the grass-roots level. Emphasis given to facilitate the identification of needs, constraints and opportunities to create an enabling environment for communities living in the degraded areas, and to facilitate the implementation of the small grants component of the RLWD project. SGP is used as the model and provides a mentoring role.
<b>Land Degradation</b>			
UNCCD Global Mechanism	Mobilize financial resources to support UNCCD implementation process (pre-investment)	\$250,000	Joint programmes to combat land degradation and improve the livelihood of communities in Mali, Burkina Faso , Ghana , Jordan , and Honduras. Support and capacity building for Sustainable Land Management. An integrated approach to NAP/CCD implementation through resource mobilization and mainstreaming of drylands issues into national development planning frameworks and poverty reduction strategies
<b>Persistent Organic Pollutants</b>			
International POPs Elimination Network (IPEN)	Awareness raising and capacity building for POPs elimination	In-kind	IPEN is an influential international NGO network on POPs comprised of six regional hubs. The partnership enables SGP to reach to NGOs that are dedicated to working on the POPs issues and provides a platform for collaboration between IPEN network and SGP partners network. With IPEN, SGP also has a strong global network for sharing of lessons learned on POPs related issues. IPEN-SGP partnership was launched at COP1 in Buenos Aires, Argentina, in 2005, followed by national and global consultations.
<b>Multi-Focal Areas</b>			
New Zealand Aid for International Development (NZ AID)	SGP Pacific Environment Fund (SGP PEF)	NZ \$6,147,555 over 3 years	Regional umbrella project designed to assist 15 Pacific Island Countries (PICS) in the implementation of the regional Pacific Environment Fund (PEF) funded by GEF SGP and NZ AID. Participating countries include: Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tokelau, Tonga, Tuvalu, and Vanuatu. This is a cost sharing project that fully utilizes SGP procedures and mechanisms. NZ AID is able to have its funds managed by a team and a structure that is in-country and on the ground, the absence of which was evaluated as the cause of failures of aid programs in the past. The project is intended to provide expedited assistance to countries and with the partnership reduce transaction costs of individual SGP country programmes in the region. Benefits include enabling country parties, including both civil society organizations, as well as participating governments, to improve access to sources of funding for local environmental initiatives and for the protection

PARTNERS	PARTNERSHIP THEMES	FUNDING	REMARKS
			of the global environment. Added benefit to SGP is the agreement with NZAID to share in administrative costs as well as fund certain activities, such as fielding technical advisers and trainings that in SGP are considered admin costs.
UNDP & Government of Luxembourg	Community Water Initiative	\$3,135,569	Through the partnership, GEF SGP combines GEF's environmental work with UNDP MDG development projects at the local level, providing assistance on water supply and sanitation in Guatemala, Kenya, Mauritania, Sri Lanka, Tanzania, and Uganda, while building local capacity for environmental protection. This partnership, by providing for a critical need, allows SGP to strengthen buy-in from communities for its services and environmental advocacy. This partnership is another example of SGP as an effective delivery mechanism.
UNDP Special Unit for South-South Cooperation (SSC)	Promotion by the UN of innovative, small-scale projects to deal with emergencies for South-South support.	\$1,519,000	Support community-based and natural resource based livelihood activities in Indonesia, Sri Lanka, Thailand and India particularly in communities damaged by the tsunami which included SGP projects. At the height of the emergency, SGP was able to mobilize its NGO/community networks fast. South-South Cooperation donors wanted a fast delivery mechanism and the partnership with SGP was formed. The success of work in this partnership shows the value of existing SGP structures and networks as a ready and fast mechanism available for dealing with emergencies.
UNEP	Global project with International Alliance of Indigenous and Tribal Peoples	GEF IA mainstreaming (UNEP)	UNEP MSP approved to support international indigenous networks. GEF SGP will complement this project by being a member of its coordinating board and providing appropriate support at the country level through its country programmes. The project is designed to build the capacity of indigenous peoples groups and organization to participate in global meetings and conferences such as the CBD COPs. Through the International Alliance of Indigenous and Tribal Peoples, SGP would be able to also influence global environmental governance in CBD issues that deal with biodiversity conservation and indigenous peoples.
Education for Sustainable Development (ESD) JAPAN	Knowledge management between Japan and South Asia region	In kind	ESD--Japan and India, Pakistan, Sri Lanka, Nepal and Bhutan formed a Hub to Hub NGO network to learn, share and exchange ideas and experiences. This partnership helps to establish a regional learning and knowledge sharing network in South Asia. This network would be a platform for more effective sharing of SGP information and lessons learned on a regional scale.
UNESCO Office for the Caribbean and ILO Sub-regional office for the Caribbean	Tripartite multilateral partnership	Parallel	3-way agreement to cooperate in the field of poverty alleviation, community natural and cultural heritage tourism and environmental sustainability in the region. The framework of cooperation is the GEF SGP Programme and UNESCO's Youth PATH project implemented in eight Caribbean countries, including Barbados, Belize, Dominica, Jamaica, St. Lucia, St. Vincent and the Grenadines, and Suriname. Partnership focus on Barbados, Dominica, St.

PARTNERS	PARTNERSHIP THEMES	FUNDING	REMARKS
			Lucia and St. Vincent & the Grenadines

## PART II. SELECTED NATIONAL LEVEL PARTNERSHIPS

PARTNERS	PARTNERSHIP THEMES	FUNDING	REMARKS
<b>Ensure Governmental Support of GEF SGP Countries</b>			
Government of Lithuania (Ministry of Agriculture, and Ministry of the Environment)	2 programme level co-financing agreements with Ministry of the Environment & the Ministry of Agriculture.	750,000 litas (\$280,000 for 2006)	Overall support to GEF SGP-Lithuania. This is the first time in Lithuania that such an agreement has been signed with the government, and for such a large amount. The agreements have facilitated a joint application process for NGOs with a single application form (the project proposal) which can be requested and sent to GEF SGP. The projects and procedures are fully compatible with GEF criteria and the GEF SGP guiding framework and philosophy.
Government of India	Core SGP support	\$100,000	Core support for GEF SGP in India provided by the 'Empowered Committee' for the environment of the Federal government. In previous years, Government of India has also decided to utilize UNDP TRAC funds to the tune of more than a million dollars to co-finance SGP projects. This has allowed SGP to integrate sustainable development components demanded by communities as part of the strictly GEF focal area priorities. Further continued government support for GEF SGP beyond the period of RAF commitments during GEF4, is under development and negotiation.
<b>Engage Private Sector</b>			
BP Pakistan Exploration and Production, Inc	Grant funding provided for the 2007 geographic focus region of Pakistan, covering Indus delta low-lying zone	\$1,200,000 in total \$200,000 Year 1	Support GEF SGP-Pakistan on a cost-sharing basis. The agreement was signed by a high level delegation of British Petroleum (BP) UK visited GEF SGP Pakistan in November 2006 composed of Mr. Richard Panaguan, Group Vice President (Africa, Middle East, Russia and the Caspian) British Petroleum plc, along with President BP Pakistan, Regional Advisor, Country Operations Manager and Communications Manager. This partnership is seen as one that will open the door for additional support from British Petroleum as well as other private sector entities.
BP Trinidad and Tobago LLC (bpTT)	Corporate Social Responsibility contribution (CSR)	\$74,409.24	MOU signed in January 2006 for cooperation in areas of mutual interest in advocacy, technical assistance, and social and community development. Partnership not only adds to SGP funds but allows flexibility to fund more development-oriented components to strengthen environmental efforts.
Coca Cola Company	Co-financing for two SGP Romania International Waters projects approved in July 2006	\$25,000	The most recent CSR report from Coca-Cola (2006) suggests that the company is committed to improving its environmental performance and the overall sustainability of its business operations. The pilot grant between SGP and Coca-Cola was the outcome of due diligence screening by Coca-Cola in view

<b>PARTNERS</b>	<b>PARTNERSHIP THEMES</b>	<b>FUNDING</b>	<b>REMARKS</b>
			of scaling up the partnership.
Talisman Petroleum Trinidad	Corporate Social Responsibility contribution	Parallel	Signed in Nov 2004 for collaboration on poverty alleviation, sustainable livelihoods, and environmental protection. Technical assistance provided to eligible organizations in Talisman's area of interest.
<b>Leverage Financial Support from Bilateral and Multilateral donor agencies</b>			
Netherlands Ministry for Dev. Cooperation	Biodiversity conservation	\$1,000,000	Country programme support to GEF SGP –Ecuador (for the period 2000 – 2005). Added funds and flexibility to the SGP country programme.
Government of Denmark	Community-based Actions for GEF focal areas	\$1,000,000	Global co-financing agreement negotiated as a top-up arrangement for all SGP countries and focal areas
NZAID Philippines	Community-based Actions for GEF focal areas	\$250,000	Jointly support community-based projects for the implementation of biodiversity and community-based natural resource management projects
European Union	Grants for NGOs and CBOs for West Tian Shan transboundary Biosphere Reserve	Euros 155,000	Support to SGP Kazakhstan for the Western Tian Shan Biodiversity Conservation Project -- joint protected area between Kazakhstan and Kyrgyzstan with an array of habitats including subtropical to mountain ecosystems
Government of Monaco	Convention of Partnership and financing between Monaco and SGP Tunisia	Euros 350,000	Country programme support to GEF SGP –Tunisia MoU signed in 2006 for the conservation of oasis ecosystems, improvement of livelihoods, development of activities linked to ecotourism, protection of natural resources, the stability of the ecosystem and sustainable development.
Royal Netherlands Embassy, Ethiopia	All GEF SGP focal areas	\$450,000	Country programme support to GEF SGP Ethiopia. The funds will add to SGP grantmaking for the period 2006 – 2009 to include additional amounts for admin purposes.
Royal Netherlands Embassy, Philippines	All GEF SGP focal areas	\$1,163,848	Support SGP-Philippines. Agreement to match 50% all SGP grants approved at the country level and to provide admin support. Allowed SGP Philippines to flexibly incorporate needed project components.
United Nations Volunteers (UNV)	Goal to increase the impact of both organizations through synergetic approaches and complementary resources (i.e. operational modality, volunteerism, and voluntary action)	Parallel In-Kind (agreement in principle, project document being finalized)	UNV will provide qualified volunteers (national, international, online, and potentially private sector volunteers) to support GEF SGP project partners at country and local level, as well as knowledge on the advocacy for and the integration of volunteerism into development programming. GEF SGP will offer the services of its established country programme framework for funds disbursement and implementation of community projects, as well as its network of NGOs /CBOs at local, national and global levels for the promotion of volunteerism.
<b>Seek Technical and Financial Assistance from International Organizations</b>			
Cooperative for Assistance and Relief Everywhere (CARE)	Water resource management	Euros 75,000	CARE and GEF SGP-Egypt committed to co-finance projects in water resource management. Both parties shared cost equally for projects of a total cost up to 150,000 Euros, till August 2007.
GEF PGIES Project, Senegal	Synergy and harmonization among	Additional GEF funding: \$770,000	The synergy is about avoiding duplication of action, harmonization of approaches of SGP in relation to sustainable livelihoods and PGIES in relation

PARTNERS	PARTNERSHIP THEMES	FUNDING	REMARKS
	GEF interventions at the national level		to sustainable use of natural resources around the protected areas of the “Terroirs Villageois”, which will benefit humans, livestock and the fauna. The total amount for joint activities is \$970,000. PGIES contributed \$770,000 (including admin cost) and GEF SGP \$200,000.
UNV, Sri Lanka	Recovery from Tsunami	\$522,691	Rehabilitate and restore the coastal environment and the livelihood activities of communities affected by the 2004 tsunami. This partnership demonstrates SGP’s ability to reach to the local communities in quickly delivering emergency services to meet communities’ needs, while rehabilitating and restoring coastal environment.
World Food Programme (WFP) Niger		\$573,250	WFP co-financing in kind for OP15 on sustainable land management and poverty reduction and training CBOs in GEF focal areas.
<b>Examples of select country-level technical cooperation partnerships (see SGP database)</b>			
PROLOCAL, Ecuador	Capacity strengthening in geographic focus areas	In-Kind	Capacity strengthening, improve the local services quality and increase the access to productive assets, with the end result of improving the well being of poor families in the selected micro-regions
Program of Coastal Resources Handling (PRMC), Ecuador	Joint programming for MDG 7 and MDG 1	Parallel	The purpose of this agreement is to establish support mechanisms between GEF SGP and PMRC in order to join efforts in handling and conserve the environment as a strategy that will allow the advancement of the MDGs: i.e. poverty reduction and guarantee environmental sustainability.
Wong Foundation	2015 MDG targets for environmental sustainability	Parallel	The purpose of this agreement is to establish support mechanisms between GEF SGP and the Wong Foundation, with the purpose of jointly reinforce the handling of local capacities and the conservation of the environment, as a strategy that will allow advance in line with the MDGs which are to reduce poverty and guarantee environmental sustainability.
Coordinadora Ecuatoriana de Agroecología (CEA), Ecuador	Agro-ecology	Parallel	CEA is a network of public and private institutions, groups and people working in natural resources. The MoC was signed in June 2003 to reinforce the local capacity of NGOs and CBOs in biodiversity management through agro-ecology.
EURASIA Foundation - Kazakhstan	Community-based ecotourism provision	Parallel	Improve quality services provided to tourists, development of respective educational ecological routes for tourists oriented at natural resources; better development of knowledge sharing
Fondo para la Protección del Agua (FONAG): Fund for Water Protection, Guatemala	Innovative demonstration projects in water management	Parallel	Cooperation in the protection of the environment focusing on water resources
Deutsche Gesellschaft for technische Zusammenarbeit (GTZ)	Technical advice on methane production and mitigation for waste management	Parallel	Support developing Waste Management Programme in four cities of India. All the partners jointly agreed to support the Waste Management Programme in Tirupati, Ujjain, Puri and Vrindavan. Signed with the Central Committee of the Ministry of the Environment and Forests, Government of India.

<b>PARTNERS</b>	<b>PARTNERSHIP THEMES</b>	<b>FUNDING</b>	<b>REMARKS</b>
Senegal River Development Organisation (Organisation pour la mise en valeur du fleuve Sénégal, OMVS)	Senegal River cooperation agreement	Parallel	Ensure synergy between GEF/BFS and GEF SGP to avoid duplicate of work in the thematic or geographic focus

### **PART III. SELECTED PARTNERSHIPS UNDER DEVELOPMENT**

<b>PARTNERS</b>	<b>PARTNERSHIP THEMES</b>	<b>FUNDING</b>	<b>REMARKS</b>
<b>Partnerships under development</b>			
Rainforest Alliance	Ecotourism standard-setting in Central and Latin America	Parallel/In-Kind	Ecotourism training in Costa Rica, Guatemala, Ecuador, Belize, Nicaragua, Peru, Honduras and Panama (building on successful Costa Rica model). Strategic project involvement for NTFP marketing of Maya/Ramon Nut with RA certification (under preparation); RA-certified cocoa; mapping possible future agro-biodiversity product categories for RA collaboration based on 2007 agro-BD review.
The Christensen Fund	Indigenous Peoples, adaptation to climate change and traditional knowledge	Parallel	Collaboration on individual country strategies (such as Ethiopia, Turkey, Kyrgyzstan). Focus on indigenous peoples (with a special focus on Participatory Video methodologies). Community-based adaptation to climate change based on traditional practices. Regional partnership for the Pacific with a special focus on Traditional Knowledge and Customary Law
IUCN Netherlands	Joint programming of small grants at the global level	Parallel	Information exchange and planning between respective project portfolios and grantee lists: sharing instruments and structures (such as NSCs), sequential co-financing, certain joint activities (such as joint training workshops for grantees, exchange visits among projects).
Fauna & Flora International	'Rapid Response Facility' for World Heritage sites	Parallel/In-Kind	Recognition for the need for a flexible facility to channel resources to WH sites under imminent threat and in need of urgent support at the local level.
UNDP Energy and Environment Group	Promotion of energy access poor countries mainly LDCs	Parallel/cost-sharing	This will be an important partnership especially as both SGP and UNDP energy and environment Group share common objectives of expanding modern energy services through renewables and energy efficiency. This partnership will enable SGP models and approaches to be up-scaled regionally.
UNEP's Energy Access Through Social Enterprise (EASE)	Support for increased access to energy services in rural areas in Ghana, Uganda and Mali	Parallel/cost-sharing	Under negotiation with UNEP EU funding: both UNEP and SGP are interested in promoting the use of cleaner energy for provision of modern energy services for both environmental benefits and sustainable development activities. If the project is approved, the partnership will build and promote best practices for a

PARTNERS	PARTNERSHIP THEMES	FUNDING	REMARKS
			social enterprise model for promotion of clean energy.
French GEF (FFEM)	Small grants joint programming for francophone countries	Parallel/cost-sharing	Discussion initiated in 2005 to assess civil society small grants scheme of FFEM in 5 African francophone countries: Algeria, Benin, Burkina Faso, Gabon and Madagascar. Possible replication of biodiversity projects through COMPACT landscape clustering approach.
Grassroots Organizations Operating Together in Sisterhood (GROOTS)	Women's role in environmental decision-making	In-Kind	Partnership to develop overlapping network linking leaders and groups in poor rural and urban areas in the South and the North. To nurture relationships of mutual support and solidarity among women engaged in redeveloping their communities; strengthen women's participation in the development of communities and the approaches to environmental problem solving; and focus international attention on grassroots women's needs and capabilities.
Earthwatch International	Volunteer support and capacity building in scientific monitoring procedures	Parallel/In-Kind	Discussions initiated in 2006 on communication with scientists about proposed research projects, recent findings, and research results; building networks of students and teachers; sharing program results with Earthwatch members; matching 4,000 volunteers from all over the world with SGP project activities.
ABN-AMRO Bank	Grant and loan co-financing to ABN-AMRO priority countries for commercial enterprise skills	Cost-sharing	Small grants for COMPACT and SGP-ICRAN coral reef small grants facility in ABN AMRO priority countries, tapping up to \$500,000 in ABN AMRO financing per country. Affordable loan financing at the global level investment through proposed financing mechanism under design between CI Verde Ventures, GEF SGP, and UNF. ABN AMRO's in-country banks to be deployed as the fiduciary intermediary for the proposed financing facility. Market-access program to engage ABN AMRO employees in advising SGP NCs and grantees, as well as training for local communities to access and utilize commercial loans.
Moore Foundation	Indigenous peoples, protected areas, and follow up to Millennium Ecosystem Assessment	Parallel/cost-sharing	Discussion initiated in mid-2006: global programmatic approach of SGP of interest to Moore, SGP could deliver on the ambitious scale that Moore requires over a 5-10 year time-span. Leading edge programmes in SGP, such as COMPACT and collaboration with indigenous peoples for protected area governance. Through its decentralized approach working with 1,000s of NGOs and CBOs, SGP would leverage experience in the realm of landscape level (product) certification, community-based adaptation to climate change, and conservation of landraces important for agriculture.
The Mountain Institute (TMI)	Strategic and complementary efforts in conservation of mountain ecosystems	Parallel/In-Kind	Information sharing about pipeline of projects in mountain ecosystems in Mongolia, Nepal, Peru, Tanzania, and other countries. Adaptation to climate change as measured by altitudinal shifts in settlements in high mountain environments.
Dutch Lottery (DOEN)	Business and biodiversity, product supply chains, and supporting entrepreneurs	Cost-sharing	Collaboration on NTFPs, 'Pure Oil Programme' (Palmoil & Soy) and our Biodiversity & Business Programme. DOEN support to blended grant/loans in SGP Brazil 'COMCERTA' strategic project on marketing of sustainably

PARTNERS	PARTNERSHIP THEMES	FUNDING	REMARKS
			produced biodiversity-based products.
Alliance on Religions and Conservation (ARC)	Working with faith-based development organizations for community-based conservation	Parallel/In-Kind	Develop long-lasting mechanisms to work with world religious leaders and faith-based groups to ensure cultural interface and commitment to environmental conservation. Pilot countries to be determined based on assessment in 2007.

For further information on SGP partnerships please visit <http://docs.gef-sgp.org/partnerships/>

**ANNEX 4**  
**The GEF Small Grants Programme Planning Matrix during GEF-4**

<b>GOAL</b>					
<b>Global environmental benefits secured through community-based initiatives and actions</b>					
Project Strategy	<i>Objectively verifiable indicators</i>			Sources of verification	Assumptions
	Indicator	Baseline	Target		
<b>Goal</b> Global environmental benefits secured in the GEF focal areas through community-based initiatives and actions.	Demonstration of global benefits (e.g. policy reform, conservation of critical ecosystems) and strategic programme results (sustainability, resource mobilization, capacity development, knowledge management,) resulting from GEF/SGP-funded Country Programmes and projects.	Global environmental benefits are secured and maintained through networks of SGP Country Programmes and projects, sharing of good practices, capacity development and policy reform, though predominantly from the programme's more mature countries. The growth of a critical mass of synergistic projects affecting critical ecosystems at landscape levels is in progress.	Global environmental benefits secured from all SGP countries including in LDCs and SIDS:  A global network of country-based knowledge and practices, in collaboration with IAs/EAs and other practitioners  NGOs, CBOs, CSOs increasingly form a constituency with the capacity and motivation to support GEF priorities effectively.  Institutionalization of multi-stakeholder NSC to enhance positive partnerships between civil society and government for sustainability of country-based efforts and policy reform through mainstreaming into long term development goals.	Consolidated reports on strategic results and global benefits from GEF/SGP projects.  Independent evaluation by the GEF Evaluation Office and other external evaluations of SGP benefits and contributions involving IAs and EAs, as appropriate	Continued commitment of SGP recipient country stakeholders and the GEF Council and donors, with guidance from the GEF SGP Steering Committee

## OBJECTIVE 1

**Consolidate community-based interventions through focused GEF SGP country programme portfolios in alignment with GEF IV focal area strategic priorities**

### BIODIVERSITY

Project Strategy	<i>Objectively Verifiable Indicators</i>			Sources of Verification	Assumptions
	Indicator	Baseline	Target		
<p><b>Outcome 1:</b> Sustainable community protected area governance approaches recognized, strengthened and adopted by national partners, protected area systems, and multilateral processes</p>	<p>Number of protected areas (PAs) strengthened by engaging local and indigenous communities</p> <p>Number of Community Conserved Areas (CCAs) and indigenous areas recognized and strengthened</p> <p>Number of Local Consultative Bodies (LCBs) set up in protected areas</p> <p>Number of countries that incorporate CCA governance in legislation and policy, as appropriate</p> <p>Number of GEF SGP projects consolidated in critical landscapes such as World Heritage sites, Biosphere Reserves, biological corridors, hotspots, important bird areas and flyways</p>	<p>Over 800 GEF SGP projects funded in PA landscapes and buffer zones, including UNF ‘COMPACT’ partnership for 8 WH sites</p> <p>Over 200 projects funded in CCAs and indigenous areas</p> <p>Cost-effective LCBs in place in 6 natural World Heritage sites</p> <p>CCAs currently unrecognized in most GEF SGP countries</p> <p>Existing complementation between GEF SGP and Meso-American Biological Corridor</p>	<p>All like-minded Megadiverse countries within GEF SGP either adopt or initiate efforts to recognize community protected area governance approaches</p> <p>Community projects consolidated to influence landscape-level conservation in all “mature” GEF SGP countries</p> <p>At least 50 PAs influenced, especially in “mature” countries</p> <p>At least 100 CCAs and indigenous areas influenced in all GEF SGP countries</p> <p>Community involvement in the conservation of at least 150 species of endangered flora and fauna</p>	<p>GEF SGP database, project reports and monitoring visits</p> <p>COMPACT planning framework for GEF SGP grant-making at landscape level</p> <p>GEF Tracking Tools for certain aspects of formal PA governance with multiple stakeholders</p> <p>IUCN and WH Committee State of Conservation reports on WH sites</p> <p>Partnership on bird monitoring indicators with RSPB/Birdlife International</p>	<p>Governments and international agencies commit to CBD obligations regarding local and indigenous populations</p>

<p><b>Outcome 2:</b></p> <p>Sustainable use of biodiversity established in production landscapes/seascapes, (including agriculture, forests, fisheries and tourism) through community-based conservation, innovative approaches, and market mechanisms</p>	<p>Number of GEF SGP projects contributing to the conservation of native crops, medicinal plants, NTFPs, and other biodiversity-based products</p> <p>Number of GEF SGP projects contributing to the conservation of fisheries</p> <p>Number of GEF SGP projects contributing to the promotion of biodiversity through ecotourism</p> <p>Number of GEF SGP projects contributing to sustainable use of biodiversity-based products through market value-added labels (FSC, organic, fair trade, etc.)</p>	<p>Over 1,500 projects in the production sectors of agriculture, forests, fisheries and tourism</p> <p>“Mature” country portfolios in place for particular supply chains (i.e. honey, agrobiodiversity products, ecotourism, NTFPs)</p> <p>Analysis of needs of GEF SGP marketing projects completed in 2005</p> <p>Thematic workshop on ‘Product Development, Marketing and Certification’ held in 2006</p>	<p>At least 600 projects on sustainable use and market labeling of BD-friendly products provide business models for market-based approaches (mainly in “mature” GEF SGP countries)</p> <p>Community-based conservation implemented in at least 400 projects for the protection of native crops, medicinal plants, NTFPs, and other biodiversity-based products</p> <p>GEF priority areas: ‘Important agrobiodiversity hotspots of West Asia, South Asia, South-East Asia, and Arab States’; as well as ‘Central and South American semi-wild and domesticated production landscapes’</p>	<p>GEF SGP database, project reports and monitoring visits</p> <p>Focused case studies on the development of business models, including reference to income indicators in GEF SGP database</p>	<p>Market differentiation of value-added labels sufficiently “scale-sensitive” to meet the needs of small producers</p>
<p><b>Outputs</b></p>	<p><b>Activities</b></p>				
<p>1.1 Community protected area governance approaches integrated and implemented within GEF SGP country programme strategies, as</p>	<ol style="list-style-type: none"> <li>1 Assess lessons from COMPACT and mature countries in OP3 for improvement of Country Programme Strategy focus on national system of protected areas, transboundary protected areas, corridors and community conserved areas (CCAs) (*priority for “mature” SGP countries)</li> <li>2 Work with IUCN and other partners in connection with global and national policy revision of protected area systems to recognize CCAs (and indigenous territories in particular) as legitimate governance types, and to incorporate them in legislation and policy, as appropriate to each context</li> <li>3 Collaborate with UNEP WCMC on inclusion of CCAs and indigenous areas in the World Database on Protected Areas (WDPA)</li> <li>4 Develop, implement and promote new methodologies for geographic and thematic “clustering” of projects for individual protected</li> </ol>				

<p>appropriate *</p>	<p>areas, corridors and CCAs</p> <ol style="list-style-type: none"> <li>5 Incorporate adaptive management techniques in at least 25 countries for landscape level conceptual models, site strategies and multi-stakeholder forums to bring together donors, PA managers/authorities, academia, and private sector active at the respective sites</li> <li>6 Work with Conservation Measures Partnership (CMP) and IUCN to improve glossary of terms and threats-based analysis for protected areas within GEF SGP project database</li> <li>7 Influence the mainstream legal and management practice for UNESCO World Heritage Sites and national protected areas through the institutional replication of Local Consultative Bodies</li> <li>8 Engage in follow-up to the policy findings of the sub-global assessments on indigenous peoples perceptions of “ecosystems” produced by the Millennium Ecosystem Assessment</li> </ol> <p>* Priority will be placed on individual BD RAF allocation countries and Megadiverse countries (RAF and non-RAF)  * Group allocation, LDCs and SIDs countries will be expected to incorporate lessons from mature countries by the end of GEF 4</p>
<p>1.2 Sustainable use and innovative approaches, including market mechanisms, reflected in all projects approved in the biodiversity focal area*</p>	<ol style="list-style-type: none"> <li>9 Prepare guidelines and toolkits for sustainable use, innovative approaches and market mechanisms at the global and country levels, preferably in local languages (*priority for “mature” SGP countries to share with new programmes).</li> <li>10 Conduct thematic workshops on specific sustainable use and marketing clusters; training in certification and labeling standards; consumer education; and other country-level activities to be determined as appropriate at national and regional levels.</li> <li>11 Review NSC composition, or NSC “sub-committees”, to ensure participation by marketing, business and sustainability experts in particular for biodiversity and climate change focal areas.</li> <li>12 Participate in international meetings (CBD COP, IUCN Congress) related to cutting edge programmes and thematic areas (i.e. COMPACT, revolving loans, blended grant/loan sustainability model).</li> <li>13 Develop the strategic projects pipeline of GEF SGP projects up to US\$150,000 with a particular focus on the consolidation of supply chains and influencing local, national and regional markets.</li> <li>14 Engage in policy fora including fair trade fairs, organic BioFach and other market-related meetings</li> <li>15 Develop partnerships with other private sector UN partners including UNCTAD BioTrade group, IFC, ISEAL, UNDP Growing Sustainable Business and others</li> <li>16 Mainstream GEF SGP in at least 3 market-related MSP and FSP projects (i.e. CAMBIO project working with regional development bank in Central America)</li> </ol> <p>*Priority will be placed on individual RAF and countries expected to “graduate” from dependence on GEF resources by the end of GEF 4 to implement measures linked to sustainability and market mechanisms</p>

*Geographic and Thematic Focus for GEF SGP Biodiversity portfolio for GEF-4*

<b>Geographic areas</b>	<b>Regional Mechanisms</b>	<b>Focused Thematic Areas</b>	<b>Participating Countries of SGP</b>
<i>Natural World Heritage “COMPACT” demonstration sites (global)</i>	Global strategic partnership with UNESCO World Heritage Centre, CBD Secretariat, and other global partners.	Landscape-level conservation efforts through community-based management of protected areas conservation (COMPACT) Blended grant-loan development around natural World Heritage sites.	Argentina, Belize, Cambodia, Dominica, Ethiopia, Fiji, Honduras, Jordan, Kenya, Mali, Mauritania, Madagascar, Mexico, Mongolia, Philippines, Senegal, South Africa, Sri Lanka, St Lucia, Tanzania, Yemen, Zimbabwe
<i>Threatened habitats and important bird areas of Eastern Europe and CIS, West and Sub-saharan Africa</i>	Strategic Partnership with RSPB/Birdlife International affiliate NGOs, and other partners.	Threatened habitats in dryland and mountain ecosystems Mangroves, wetlands, habitats and threatened sites important for conservation of migratory bird flyway networks	Albania, Belarus, Bulgaria, Kazakhstan, Kirghizstan, Lithuania, Macedonia, Romania, Turkey, Benin, Botswana, Burkina Faso, Cameroon, Chad, Cote d'Ivoire, Ethiopia, Guinea, Kenya, Lesotho, Mali, Morocco, Mozambique, Namibia, Niger, Senegal, Zambia
<i>Globally Important Coral Reefs (global)</i>	Strategic Partnership with International Coral Reef Action Network (ICRAN) for 50% of countries with coral reefs.	Coastal area management and biodiversity; marine protected areas; land-based sources of pollution; nutrients; habitats; fisheries; turtles.	Barbados and OECS, Belize, Comoros, Cuba, Dominica, Dominican Republic, Egypt, Guatemala, Haiti, Honduras, Indonesia, Iran, Jamaica, Jordan, Pacific SIDS, Madagascar, Malaysia, Mauritius, Mozambique, Mexico, Panama, Sri Lanka, Trinidad and Tobago, Vietnam
<i>Important agrobiodiversity hotspots of West Asia, South Asia, South-East Asia, and Arab States</i>	Biodiversity International (ex-IPGRI) support to Asian network of traditional knowledge protection.	Indigenous knowledge protection; landraces; vavilov centers; customary law; natural sacred sites; medicinal and aromatic plants.	Bhutan, Cambodia, Egypt, India, Jordan, Lebanon, Malaysia, Morocco, Nepal, Philippines, Pakistan, Sri Lanka, Syria, Thailand, Tunisia, Vietnam, Yemen
<i>Pacific SIDS threatened terrestrial and marine habitats</i>	Strategic Partnership with NZAID and other regional donors for strengthening traditional and customary management of natural resources.	Coastal area and integrated watershed management; climate change adaptation; invasive species; sustainable use of natural resources.	Cook Islands, Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu, Vanuatu
<i>Community-conserved areas of the world (global)</i>	Strategic Partnership with IUCN Theme on Indigenous, Local Peoples and Equity and Protected Areas (TILCEPA).	Inventorying, gazettelement, formalization and recognition of traditional knowledge and community-conserved areas (CCAs) as appropriate	Bolivia, Brazil, Chad, Chile, El Salvador, India, Indonesia, Iran, Fiji, Ghana, Kenya, Madagascar, Mali, Mozambique, Namibia, Papua New Guinea, Rwanda, South Africa, Samoa, Uganda, Tanzania, Vanuatu
<i>Central and South American semi-wild and domesticated production landscapes</i>	Strategic partnership with regional development banks, biodiversity investment schemes and other SME partners.	Enterprise development services, blended grant-loans, revolving loans, consolidation of supply chains for target biodiversity-based products.	Argentina, Brazil, Bolivia, Chile, Costa Rica, Colombia, Ecuador, El Salvador, Guatemala, Honduras, Mexico, Nicaragua, Panama, Peru, Uruguay

## CLIMATE CHANGE MITIGATION

Strategy	Objectively Verifiable Indicators			Means of Verification	Assumption
	Indicator	Baseline	Target		
<p><b>Outcome 3:</b></p> <p>Intensify the replication, up scaling or mainstreaming of climate change mitigation barrier removal models that have been successfully tested and practically applied at the local level, in national development priorities and plans</p>	<p>Number of countries incorporating components of innovative models/approaches at local levels, for promotion of energy efficiency, renewable energy or sustainable transport in national development</p>	<p>Existing models/approaches have been tested successfully by some SGP Country Programmes.</p>	<p>At least one region (West Africa) and at least 20 SGP mature countries have models or approaches<sup>4</sup> (or their components) for the promotion of energy efficiency, renewable energy or sustainable transport at the local level mainstreamed into policy, market mechanisms and national development programmes</p>	<p>Project reports, thematic portfolio review, country progress reviews reports</p>	<p>Progress will continue for complimentary initiatives by GEF and other development agencies to removing market barriers and improving energy access policies particularly at the local level.</p>
Outputs	Activities				
<p>3.1 Sustainable frameworks in place for implementing local climate change activities that are linked to market mechanisms, policy interventions or national development priorities</p>	<ol style="list-style-type: none"> <li>1 Strengthen and initiate partnerships with governments, IAs/EAs and other development partners for scaling up, replicating or mainstreaming RE, EE and sustainable transport activities in specific regions or countries.</li> <li>2 Promote and support projects that are implemented in partnerships or linked to commercial/market mechanisms, policy interventions or larger national initiatives</li> <li>3 Document share widely illustrative case studies for the promotion of replication, up-scaling or mainstreaming by development partners, Governments and the private sector.</li> <li>4 Support a portfolio of projects with innovative approaches for replication, up-scaling or mainstreaming.</li> <li>5 support capacity building projects/activities that are linked to processes for replication, mainstreaming, or up-scaling.</li> <li>6 In mature SGP country programmes, assess and document the socio-economic and development costs and benefits, to illustrate the incremental reduction of costs and expansion of benefits from initial pilots to replicated, up-scaled or mainstreamed models or approaches.</li> </ol>				

<sup>4</sup> The five models/ approaches relate to barrier removal activities for energy efficiency, renewable energy and environmentally sustainable transport on livelihoods and development themes such as: energy access through renewable energy, efficient or environmentally sustainable transport practices or use of renewable energy in housing and micro enterprise sector, energy efficiency in brick making, cooking and lighting, biofuel, solar drying and sustainable transport.

**Geographic and Thematic Focus of CC Mitigation Portfolio for GEF-4**

Geographic areas	Implementation mechanisms	Thematic Area focus	Participating Countries of SGP
<i>Asia, Africa, Europe, Latin America</i>	Partnerships with governments, local authorities, the private sector and development partners	Environmentally sustainable transport as it relates to bicycle pathways, pedestrian walkways, bus- rapid transport, electric three wheelers, biofuel as it relates to transport policy	Nepal, Lithuania, Sri Lanka, Pakistan, Egypt, India, Chile, Kyrgyzstan, Cambodia, Egypt, India, Jordan, , Pakistan, Sri Lanka, Iran, Thailand, Tunisia, Mozambique, Barbados, Papua New Guinea, Mali, Tanzania, Kenya, Ghana. All other SGP Country Programmes with interest in sustainable transport thematic area.
<i>West African LDC countries and SGP country programmes with group allocation of climate change RAF resources</i>	Partnership with GEF Implementing & Executing agencies and other development partners	Promoting the mainstreaming, up scaling and replication of renewable energy, energy efficiency approaches and models for expanding energy access	Senegal, Mali, Burkina Faso, Benin, Chad, Mauritania, Cote d'Ivoire, Gambia and SGP country programmes with group allocation of climate change RAF resources
<i>All mature SGP Country Programmes and SGP country programmes with individual allocation of climate change RAF resources</i>	Partnerships with the private sector, local authorities, Governments and development partners	Promoting of mainstreaming, up scaling, or replication of models/ approaches for expanding access to renewable energy, energy efficiency and environmentally sustainable transport.	SGP mature countries that includes:- Bolivia, Chile, India, Indonesia, Iran, , Ghana, Kenya, Mali, Papua New Guinea, Uganda, Tanzania, Costa Rica, Dominican Republic , Ecuador, El Salvador, Guatemala, Honduras, Mexico, Nicaragua, Peru, Sri Lanka, Pakistan, Egypt, Vietnam, Jordan, Lithuania, Indonesia, Philippines, Malaysia, India, Bhutan, Nepal, Thailand, Mauritius, Zimbabwe, Botswana, Tunisia, Morocco, Guatemala, Palestinian Authority, Trinidad and Tobago and all SGP Country Programmes with Individual allocation of climate change RAF resources.

## CLIMATE CHANGE ADAPTATION

Strategy	Indicator	Baseline	Target	Means of verification	Assumption
<b>Outcome 4:</b> Community-Based Adaptation (CBA) practices promoted and incorporated in national development priorities	Number of countries implementing Community Based Adaptation projects  Number of countries incorporating CBA activities using different financial resources	No tested community based adaptation methodology/approach at the GEF level	At least 10 countries using the universal methodology and/or approach developed for implementation of CBA activities representing SIDS, mountain areas, drought and flood prone ecosystems  New countries (over and above the ten initial CBA countries) implementing CBA activities from non-GEF resources	End of project report	The impact of climate change on the local community and the importance of their participation in adaptation activities is recognized
<b>Outputs</b>	<b>Activities</b>				
4.1 Strengthened involvement of local communities in national adaptation interventions.	<ol style="list-style-type: none"> <li>1 Launch the CBA global programme in partnership with UNDP GEF.</li> <li>2 Initiate activities in at least 10 countries (initially in Bangladesh, Vietnam, Kazakhstan, Samoa, Niger, Morocco, Namibia, Jamaica, Guatemala, Bolivia)</li> <li>3 Engage Governments to incorporate CBA activities in National Adaptation Plans</li> <li>4 Work with IAs/EAs and other development partners to incorporate community based approach in full-scale and medium sized adaptation projects and also in non-GEF projects.</li> <li>5 Support a portfolio of more than 80 CBA projects in at least ten countries</li> <li>6 Monitor and document focused lessons in ten countries</li> <li>7 Participate in capacity building activities, information exchange and sharing in at least one international CBA network</li> <li>8 Document and share lessons internationally</li> </ol>				
<i>Geographic and Thematic Focus of CC Mitigation Portfolio for GEF-4</i>					
<b>Geographic areas</b>	<b>Implementation mechanisms</b>	<b>Thematic Area focus</b>		<b>Participating Countries of SGP</b>	
Representation of mountain ecosystems, dry and flood prone areas and SIDS	Partnership between UNDP GEF & SGP Community based adaptation Project (CBA)	Adaptation under the Strategic Priority on Adaptation of GEF		Kazakhstan, Vietnam, Samoa, Bangladesh, Niger, Morocco, Namibia, Jamaica, Bolivia, Guatemala	
All other ecosystems including the above	Partnership with Implementing and Executing Agencies to implement components of LDCF supported projects or SCCF projects (MSPs & FSPs)	Community based adaptation interventions		LDC countries, Pacific SIDS, Barbados and OECS, Belize, Comoros Cuba, Dominica, Dominican Republic, Mauritius	

## INTERNATIONAL WATERS

Project Strategy	Objectively verifiable indicators			Sources of verification	Assumptions
	Indicator	Baseline	Target		
<b>Outcome 5:</b>  Demonstration of community-based approaches for the implementation of SAPs, and models replicated, upscaled and mainstreamed	<p>Number of NGOs and communities involved in SAP implementation, its governance structure and process</p> <p>Number of SGP country programs supporting the implementation of SAP priorities at the community level.</p>	<p>Partnerships initiated with PEMSEA, Mediterranean Sea Action Plan, and framework partnership with UNEP in possible collaboration with regional seas projects</p> <p>SGP assisting the implementation of Nile Basin Project, and Niger River project</p>	<p>At least three regional networks among NGOs established or strengthened in the East Asian Seas/South China Sea, the Mediterranean Sea, and Nile River.</p> <p>At least 68 countries undertaking actions to support the implementation of SAPs at the community level, with thematic focus outlined in the following table.</p>	<p>Project proposals developed</p> <p>Project progress reports</p> <p>Peer reviews by regional IW projects and programs</p> <p>IW Program Study</p>	<p>Mainstreaming of SGP into IW regional projects and programs fully supported by IAs and EAs.</p>
Outputs	Activities				
5.1 SGP IW community-based projects are fully integrated into global IW activities	<ol style="list-style-type: none"> <li>1 Establish and strengthen partnerships with identified regional and global initiatives and networks;</li> <li>2 Foster regional networks among NGOs with a shared interest in a transboundary waterbody, particularly in East Asian Seas/South China Sea, the Mediterranean Sea, the Wider Caribbean, and Nile River;</li> <li>3 Develop guidelines to undertake community-based actions to support the implementation of SAPs, including M&amp;E indicators;</li> <li>4 Promote community-based activities on fishery management, coastal habitat management, land-based pollution control, and water resource uses, in alignment with regional SAP priorities and GEF IV priorities ;</li> <li>5 In collaboration with UNDP Water Governance Team, conduct a study on the small grants components of GEF IW FSPs/MSPs, in comparison with SGP;</li> <li>6 Consolidate experiences and lessons learnt, and facilitate learning and exchanges on community-based IW projects, through global and regional networks, including the GEF IW: LEARN network, regional mechanisms/networks, and UNDP Waterwiki network.</li> </ol>				

**Geographic and Thematic Focus of SGP IW Portfolio during GEF-4**

<b>Geographic Areas</b>	<b>Regional Mechanisms</b>	<b>Focused Thematic Areas</b>	<b>Participating Countries of SGP<sup>5</sup></b>
<b>First Priority Groups</b>			
<i>Land-based pollution hotspots, critical habitats, and fishery spawning grounds in the East Asian Seas/South China Sea large marine ecosystem (LME)</i>	PEMSEA and UNEP-GEF South China Sea	Land-based pollution, coastal habitats (mangroves, coral reef, seagrass, and wetlands), and fisheries	Cambodia, Indonesia, Malaysia, Philippines, Thailand, Vietnam
<i>Biodiversity spots, degraded land areas, and water sources/use areas in the Nile River Basin</i>	World-Bank GEF Nile Basin Project	Conflicts on the uses of water resource, integrated watershed management and biodiversity	<i>Burundi, Democratic Republic of Congo, Egypt, Ethiopia, Kenya, Rwanda, Sudan, Tanzania, Uganda</i>
<i>Sources of nutrients, coastal habitats and fishing grounds in the Mediterranean Sea LME</i>	UNEP Regional Seas Programme/UNEP-GEF SAP projects	Nutrients, habitats, fisheries	<i>Algeria, Albania, Bulgaria<sup>6</sup>, Egypt, Lebanon, Morocco, Tunisia, Turkey</i>
<b>Second Priority Groups</b>			
<i>Critical wetlands, areas of unsustainable use of water, degraded land areas, water sources in Mekong River Basin</i>	Mekong River Commission and UNDP Transboundary Community Dialogue	Water uses, wetland biodiversity, fisheries, land degradation, integrated watershed management	Cambodia, Thailand, and Viet Nam
<i>Land and water degradation areas and biodiversity spots in the Niger River Basin</i>	World Bank-GEF Niger River Project	Land and water degradation and protection of globally important biodiversity	Benin, Guinea, Mali, Nigeria, Burkina Faso, Cameroon, Chad, Cote d'Ivoire, Niger
<i>Critical habitats, biodiversity spots, sources of chemicals, pesticides and toxic substances, areas of intensive uses of water in Lake Victoria Basin</i>	UNDP SAP Implementation Project in Lake Victoria	Fisheries, water uses, biodiversity, phosphorus, toxic substances, persistent chemicals, pesticide residues, blue-green algae, nitrogen, and land use	<i>Burundi, Kenya, Rwanda, Tanzania, and Uganda</i>
<i>Degraded coastal areas, sources of land-based pollution, and marine biodiversity areas in the Caribbean LME</i>	UNEP Wider Caribbean Regional Seas Programme and GEF projects in the region	Coastal area management and biodiversity; land based sources of pollution; climate change adaptation	Barbados, Belize, Costa Rica, Cuba, Dominica, Dominican Republic, Guatemala, Haiti, Honduras, Jamaica, Mexico, Nicaragua, Panama, Suriname, Trinidad and Tobago, <i>Venezuela</i>
<i>Sources of land-based pollution, fishery grounds and critical habitats in the Agulhas Somali Current LME</i>	Nairobi Convention/UNEP-GEF Wio-Lab Project and UNDP-GEF Agulhas and Somali Current Project	Land-based pollution, fisheries and habitats	Comoros, Kenya, Madagascar, Mauritius, Mozambique, <i>Seychelles</i> , South Africa, Tanzania
<i>Habitats, fishing grounds and sources of land-based pollution in the Pacific</i>	South Pacific Applied Geoscience Commission (SOPAC), SPREP, and SIDS IWCAM project.	Habitats, fisheries, and land-based pollution	Cook Islands, Micronesia, Fiji, Kiribati, Marshall Islands, Nauru, Niue, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu, Vanuatu

<sup>5</sup> Countries in italics are those to be included in SGP during GEF IV.

<sup>6</sup> Bulgaria is not bordering the Mediterranean Sea, but it has rivers draining into the Sea, and will focus on those river basins.

## LAND DEGRADATION

Project Strategy	Objectively Verifiable Indicators			Sources of Verification	Assumptions
	Indicator	Baseline	Target		
<p><b>Outcome 6:</b></p> <p>Innovative and adaptive community-based approaches demonstrated, piloted, and integrated into global efforts to address unsustainable agricultural practices, rangeland and forestry management, while promoting local livelihoods</p>	<p>Number of countries generating models and good practices for sustainable agricultural practices, rangeland and forestry management</p> <p>Number of national and global networks which knowledge and practices of SGP are transferred to.</p>	<p>Initial demonstrations in sustainable agriculture, rangeland and forestry management</p> <p>Partnership established with GM and WFP, and initial collaboration with GEF WISP.</p>	<p>Country programs outline in the following table having demonstrated and piloted community-based land management models targeting specific thematic areas.</p> <p>SGP knowledge, experiences, and best practices shared with national and global networks, including GM, UNFF, ICRAF, and CIFOR.</p>	<p>Project documents</p> <p>Thematic reviews</p> <p>Portfolio reviews</p>	<p>Partnerships at the global and local levels secured</p>
Output	Activities				
<p><b>Output 6.1</b> Experiences and models on community-based land management are consolidated and shared among global networks</p>	<ol style="list-style-type: none"> <li>1 Develop guidelines for community-based sustainable agriculture, rangeland, and forestry, including M&amp;E indicators;</li> <li>2 Establish partnerships with national and global networks to spread out SGP models and experiences;</li> <li>3 Conduct portfolio reviews to provide inputs for the updating of the guidelines on community-based sustainable agriculture, rangeland and forestry management;</li> <li>4 Conduct thematic studies and identify good cases on community-based sustainable agricultural practices, rangeland management and forestry management;</li> <li>5 Support projects with collaboration and partnerships with governments, private sectors, and other stakeholders for replication, upscaling and mainstreaming of community-based land management experiences;</li> <li>6 Support projects which incorporate traditional knowledge of land use practices and disseminate best practices in sustainable land management.</li> </ol>				

**Geographic and Thematic Focus of SGP LD Portfolio during GEF-4**

<b>Geographic areas</b>	<b>Focused Thematic Areas</b>	<b>Participating Countries of SGP<sup>7</sup></b>
<b><i>Sub Saharan States</i></b>	Sustainable agriculture with special focus on sustainable use of rainwater, groundwater recharge and strategic use of groundwater resources; Sustainable rangeland management; Sustainable forest and woodland management; Climate change adaptation.	Benin, Botswana, Burkina Faso, <i>Burundi</i> , Cameroon, <i>Cape Verde</i> , <i>Central African Republic</i> , Chad, Comoros, Cote d'Ivoire, <i>Eritrea</i> , Ethiopia, Ghana, Guinea, <i>Guinea-Bissau</i> , Kenya, Lesotho, <i>Liberia</i> , Madagascar, Malawi, Mali, Mauritania, Mauritius, Mozambique, Namibia, Niger, <i>Nigeria</i> , Rwanda, Senegal, <i>Seychelles</i> , South Africa, Tanzania, <i>Togo</i> , Uganda, Zambia, Zimbabwe
<b><i>South Asia, Southeast Asia/ Greater Mekong</i></b>	Sustainable tropical forest and woodland management, including agro-forestry, particularly on deforestation and forest degradation.	Bhutan, Cambodia, India, Indonesia, Iran, Malaysia, Nepal, Pakistan, Philippines, Sri Lanka, Thailand, and Vietnam
<b><i>Latin America &amp; the Caribbean and the Pacific</i></b>	Sustainable tropical forest and woodland management; Agroforestry Sustainable agriculture, with a focus on practices to improve soil fertility management as alternatives to shifting agriculture, and methods that have minimal impacts on soil structure and that improve soil and water conservation.	Argentina, Barbados, Belize, Bolivia, Brazil, Chile, Colombia, Costa Rica, Cuba, Dominica, Dominican Republic, Ecuador, El Salvador, Guatemala, Haiti, Honduras, Jamaica, Mexico, Nicaragua, Panama, Peru, Suriname, Trinidad and Tobago, and Uruguay  Fiji
<b><i>CIS &amp; Europe Countries, Central Asia and Arab States</i></b>	Sustainable grazing in temperate zones; Sustainable dryland management; Restoration and sustainable management of peatlands & wetlands; Sustainable agriculture/agroforestry	Belarus, Bulgaria, Lithuania, Mongolia, Kazakhstan, Kyrgyzstan, Egypt, Jordan, Lebanon, Morocco, Syria, Tunisia, and Yemen

<sup>7</sup> Countries in italics are those to be included in SGP during GEF IV.

## PERSISTENT ORGANIC POLLUTANTS

Project Strategy	Objectively verifiable indicators			Sources of verification	Assumptions
	Indicator	Baseline	Target		
<p><b>Outcome 7:</b></p> <p>Community-based approaches demonstrated on waste management to prevent open burning and POPs pesticide management related to health issues, with good experiences disseminated to support the implementation of National Implementation Plans (NIPs)</p>	<p>Number of SGP countries undertaking community-based activities to support the implementation of NIPs in regard to POPs pesticide and waste burning.</p>	<p>37 SGP country programs approved 77 POPs projects in OP3 focusing on awareness raising and capacity building activities, but lessons learned still to be systematically integrated in implementation of NIPs.</p>	<p>17 priority SGP countries implementing NIPs at the community level, on waste management (particularly preventing waste burning) and the reduction and control of POPs pesticide, focusing on POPs alternatives addressing health risks caused by POPs (Category I.A countries); selected piloting of prevention of waste burning and POPs pesticide management in countries of category I.B. (See the following table).</p>	<p>Project documents</p> <p>Thematic reviews</p> <p>Portfolio reviews</p>	<p>Community stakeholders' capacity and willingness to implement NIPs.</p> <p>NIPs are open for updates and improvements.</p>
Outputs	Activities				
<p>7.1 Enhanced capacity at the community level to implement the Stockholm Convention, with knowledge/good practices shared with global networks and non-party states/authorities of the Convention</p>	<ol style="list-style-type: none"> <li>1 Develop an online training module to strengthen the capacity of SGP network and its stakeholders in addressing POPs;</li> <li>2 Develop a guidelines on community waste management and POPs reduction, including M&amp;E indicators;</li> <li>3 Strengthen collaboration with IPEN and other POPs networks to reach out to NGOs and exchange information and knowledge;</li> <li>4 Facilitate the transfer of knowledge and experiences in implementing the Stockholm Convention through SGP network, from party states/authorities (Category I) to non-party states/authorities (Category II and III) through IPEN and other NGOs networks;</li> <li>5 Test and promote models to control malaria without the use of DDT; and alternatives to the use of the POPs pesticides – e.g. chlordane, mirex, dieldrin – for controlling termites and ants, in collaboration with GEF IAs and EAs;</li> <li>6 Test and promote models on community-based waste management, particularly to prevent waste burning;</li> <li>7 Develop and strengthen partnerships with public, private and civil society sectors to promote programs aimed at addressing proper storage and ultimate disposal of decommissioned POPs.</li> </ol>				

*The Status of the Ratification and Implementation of the Stockholm Convention by Participating Countries of SGP<sup>8</sup>*

Party States/Authorities (Category I)		Non-Party Signatory States/Authorities (Category II)	Non-Signatory Non-Party States/Authorities (Category III)
NIP Submitted (Category I.A)	NIP in Preparation (Category I.B)		
Bolivia, Bulgaria, Chad, Côte d'Ivoire, Ecuador, Egypt, Fiji, Lebanon, Mali, Mauritius, Morocco, Nicaragua, Niue, Romania, The Former Yugoslav Republic of Macedonia, Uruguay, and Viet Nam	Albania, Argentina, Barbados, Belarus, Benin, Botswana, Burkina Faso, Cambodia, Cameroon, Cook Islands, Dominica, Ethiopia, Ghana, Honduras, Jordan, Kenya, Kiribati, Kyrgyzstan, Lesotho, Lithuania, Marshall Islands, Mauritania, Micronesia, Mongolia, Mozambique, Namibia, Nauru, Niger, Panama, Papua New Guinea, Rwanda, Samoa, Senegal, Solomon Islands, Sri Lanka, Syria, Thailand, Trinidad and Tobago, Tunisia, Tuvalu, Uganda, Vanuatu, Yemen, Zambia	Belize, Colombia, Costa Rica, Cuba, El Salvador, Guatemala, Guinea, Haiti, Indonesia, Jamaica, Kazakhstan, Malawi, Malaysia, Nepal, Pakistan, Palau, Poland, Suriname, Tonga, Turkey, Zimbabwe	Bhutan, Dominican Republic, Tanzania

<sup>8</sup> RAF countries will not allocate funding for POPs focal area unless there is a strong demand at the country level for interventions addressing POPs. In this case, a country RAF strategy to use funding for POPs should be developed to establish a link with biodiversity focal area. Three RAF SGP countries belong to Category I.A: Chile, Ecuador, Philippines; and seven RAF SGP countries in Category I.B: Brazil, India, Iran, Madagascar, Mexico, Peru, and South Africa.

## OBJECTIVE 2

**Sustainability: Ensure that the benefits of the long term investment of the GEF are sustained**

Project Strategy	Objectively verifiable indicators			Sources of verification	Assumptions
	Indicator	Baseline	Target		
<p><b>Outcome 8:</b> GEF SGP Country Programmes that have benefited from the GEF SGP for more than 8 years beginning in 2007 are able to sustain their activities beyond GEF-4</p>	<p>Number of eligible SGP Country Programmes with feasible business models by June 2010.</p>	<p>Country Programmes are in initial stages of preparation of their programme sustainability plans</p>	<p>By June 2010, <b>all Country Programmes</b> that have benefited from GEF funding for more than 8 years beginning in 2007 have developed strong business models for sustainability</p>	<p>Assessment of business models by CPMT and country stakeholders.</p>	<p>GEF will support transition of Country Programmes, particularly in regard to resource mobilization.</p>
Outputs	Activities				
<p>8.1 An appropriate business model for each mature Country Programme</p>	<ol style="list-style-type: none"> <li>1. Consultations with NSCs and NCs regarding transition to post GEF SGP status.</li> <li>2. Consultations with IAs/EAs and other development partners re feasibility/desirability of and demand for services of Country Programme post GEF-4.</li> <li>3. SWOT analysis of each Country Programme</li> <li>4. Case study by the GEF Evaluation Office on the impact on the SGP of GEF funding phase out for mature country programmes.</li> <li>5. Identification and consolidation of non-GEF sources of funding (see activities below)</li> <li>6. Development of individual country business models using non-GEF financing</li> <li>7. Pilot projects to test business models</li> <li>8. Monitoring and evaluation of business model performance</li> </ol>				
<p>8.2. NC/NSC capacities developed to plan and manage Country Programmes for sustainability.</p>	<ol style="list-style-type: none"> <li>9. Capacity needs assessment for NSCs/NCs: planning, management, business development</li> <li>10. Training of Country Programme teams in planning, management, business development</li> <li>11. Technical assistance, as needed</li> </ol>				
<p>8.3 Financial resources available for programming and operations of each Country Programme post</p>	<ol style="list-style-type: none"> <li>12. Global and country level consultations with donors (bilaterals; multilaterals) and analysis of potential integration into UNDAF process</li> <li>13. Consultations with private sector to identify social responsibility opportunities, opportunities for payment of ecosystem services, long term thematic partnerships, etc.</li> <li>14. Consultations with foundations to identify collaborative arrangements</li> </ol>				

GEF-4	<ul style="list-style-type: none"> <li>15. Consultations with NGOs and other organizations at local and global levels to identify collaborative relationships</li> <li>16. Negotiations and agreements with donors, private sector, NGOs, foundations and/or others</li> </ul>
8.4 Institutional partnerships and mechanisms in place to support mature Country Programmes post GEF-4	<ul style="list-style-type: none"> <li>17. Analysis of potential institutional viability of transitioned Country Programmes</li> <li>18. Identification of institutionalization requirements – legal, financial, due diligence, governance, communications, etc.</li> <li>19. Institutionalization of Country Programmes – formal, legal establishment as independent entities or components of other institutions and organizations</li> <li>20. Identification of institutional partners: government, NGO, private sector, foundations</li> <li>21. Negotiations and agreements with institutional partners.</li> </ul>

### OBJECTIVE 3

#### Resource Mobilization: Enhance the catalytic role of GEF through strengthened partnerships and resource mobilization

Project Strategy	Objectively verifiable indicators			Sources of verification	Assumptions
	Indicator	Baseline	Target		
<p><b>Outcome 9:</b></p> <p>Strengthened partnerships with bilateral and multilateral donors, government development programs as well as non-traditional funders such as the business and financial sectors at national and global levels.</p>	<p>Number of MOUs and other forms of agreements signed with various partners.</p> <p>Amount of cash and in-kind resources raised</p>	<p>26 major partnerships at global levels; hundreds at national level and thousands at local levels</p> <p>SGP has always met its 1:1 cash and in-kind cofinancing targets mainly from bilateral and multilateral donors and grantee partners. Non-traditional partners such as the business and finance sectors have not yet been fully tapped. National government cofinancing also needs to be strengthened.</p>	<p>Increased partnership and cofinancing from both traditional and non-traditional sources to meet at least a 1:1 (half cash, half in-kind) cofinancing ratio vis-à-vis total GEF funds provided the programme in GEF 4.</p>	<p>CPMT compilation of agreements with major global, national and local partners.</p> <p>Annual reporting of cash and in-kind cofinancing from SGP country programmes through SGP database and Performance and Results Assessment.</p>	<p>Full support in SGP resource mobilization to be provided by the GEF SGP Steering Committee and its individual IA and EA members</p>

Outputs	Activities
9.1 At least \$77 million cash and \$77 million in-kind contributions raised	<ol style="list-style-type: none"> <li>1. Assessment of existing and potential partnerships with donors, government and the private sector implemented at country and global levels.</li> <li>2. Strengthening of NSCs/NFGs with additional members (e.g. private sector, representative of Ministries of Finance/Economic Development) and the organization of resource mobilization units in such NSCs/NFGs.</li> <li>3. Preparatory activities for new partnerships: development of tailor made portfolios, conduct of due diligence reviews and preparation of appropriate communication materials</li> <li>4. Conduct donor fora in all country programmes and at the global level with guidance from GEF SGP Steering Committee and support from IAs/EAs</li> <li>5. Training for and preparation of project portfolios designed to generate additional resources (e.g. savings-led financing, microfinance, blended loans, carbon finance, etc.)</li> <li>6. Intensified partnership activities focused on the business and finance sector.</li> <li>7. Participation in or organization of like-minded small grants networks as well as donor networks working on similar themes</li> <li>8. Intensification of resource mobilization efforts particularly in country programmes moving out of dependence on GEF grant funds with focused support from SGP CPMT and GEF SGP Steering Committee to be provided.</li> <li>9. Mainstreaming of SGP grant making with MDG and poverty reduction programs of LDCs/SIDS for expanded co-financing.</li> </ol>

## OBJECTIVE 4

### Capacity Building: Strengthen community and civil society constituencies for GEF priorities

Project Strategy	Objectively verifiable indicators			Sources of verification	Assumptions
	Indicator	Baseline	Target		
<p><b>Outcome 10:</b></p> <p>Strengthened capacity for implementing concrete actions and for networking on GEF priorities by communities, NGOs, CBOs and other civil society groups.</p>	<p>Number of additional communities, CBOs, and NGOs with successful SGP projects</p> <p>Number and size of NGO networks formed on GEF concerns at national and global levels.</p> <p>Number of CBOs, NGOs, and civil society groups actively participating in environment and sustainable development discourse, planning and policy-making at local, national and global levels.</p>	<p>Mature SGP country programmes have existing grantee networks. These networks need to be more active in sustainable development planning and policy-making in their countries. Direct links to discussions and negotiations in COPs and meetings of GEF-related conventions still weak.</p>	<p>A critical mass of communities, CBOs, and local NGOs, particularly those involved with the poor and vulnerable, capable of managing projects in GEF focal areas and advocating for their continued support and mainstreaming at both national and global levels.</p> <p>Active and capable network of grassroots constituencies organized in 121 countries working in collaboration with government counterparts in national multi-stakeholder environment and sustainable development bodies.</p>	<p>Annual reports of SGP country programmes.</p> <p>Identification of SGP networks involved in the preparation for and in discussions during GEF-related COPs and meetings.</p> <p>Identification of SGP networks or network members serving as members in national multi-stakeholder body involved with GEF and sustainable development matters.</p>	<p>Government policies allow non-governmental participation in key national policy/ decision-making on environment and development concerns.</p>
<b>Outputs</b>	<b>Activities</b>				
<p>10.1 More than 6,000 CBOs, NGOs, and civil society groups made aware of GEF concerns, with concrete on-ground action and networked for active participation in national and global</p>	<ol style="list-style-type: none"> <li>1 Align country programme capacity building objectives to NCSAs with focus on SGP's niche in capacity building of communities, CBOs, NGOs and other civil society groups.</li> <li>2 Develop guidance and support for Country Programmes for alignment of Country Programme Strategies with RAF country priorities</li> <li>3 Develop focused guidance and capacity-building activities related to mainstreaming, scaling-up and replication</li> <li>4 Identify and support projects that could serve as "learning laboratories" or "centers of excellence" to support training and site visits</li> <li>5 Set up a mentoring system for new country programmes</li> </ol>				

environmental governance.	<p>6 Strengthen existing grantee networks and organize new ones.</p> <p>7 Establish linkages of SGP grantee networks to: (a) local and national bodies involved in sustainable development planning and policy-making (b) the GEF NGO Network, and; (c) to NGOs involved in active discussions and negotiations on the Conventions for which GEF is a financial mechanism</p> <p>8 Conduct focused training programs on project sustainability particularly as related to business planning and marketing as well as working with the business and finance sectors.</p> <p>9 Recruitment, selection and training of capable NGOs that could adopt SGP as a programme or continue its approach particularly in SGP country programmes that would move out of dependence on GEF funds.</p> <p>10 Consolidate lessons learned in projects and in country programme operations from LDCs and SIDS for sharing and training purposes.</p>				
<b>Project Strategy</b>	<b>Objectively verifiable indicators</b>			<b>Sources of verification</b>	<b>Assumptions</b>
	<b>Indicator</b>	<b>Baseline</b>	<b>Target</b>		
<p><b>Outcome 11:</b></p> <p>Enhanced country institutional capacity by strengthening positive government and civil society partnership in SGP National Steering Committees and through SGP participation in country RAF planning and coordination bodies as well as other bodies concerned with environment and sustainable development matters.</p>	<p>Membership of SGP NC/NFP, NSC/NFG or non-governmental partners in RAF planning or coordination bodies</p> <p>Membership of SGP NC/NFP, NSC/NFG or non-governmental partners in other key national environment and sustainable development bodies</p> <p>Number of other multi-stakeholder bodies on environment and sustainable development with SGP participation.</p>	<p>The SGP NC/NSC have been invited to participate in RAF planning consultations in majority of SGP countries but not as a formal member of the bodies involved. This is the same with other environment and sustainable development bodies at national level.</p> <p>While there may already be bodies where government and non-government sectors meet on environment and sustainable development concerns, these need strengthening. In many countries, they still have to be organized.</p>	<p>SGP NC, NSC members, or non-governmental partners are providing constructive, value-added support as active members of RAF and other GEF related bodies in at least 100 countries</p>	<p>Membership roster and minutes of meetings of GEF related bodies.</p> <p>Testimonials from GEF Operational and Political Focal Points</p>	<p>There are no legal or political impediments to the active participation of SGP NCs, NSCs or non-governmental partners in national GEF related bodies; or at the very least, the government is open to discussions and negotiations on the matter</p>

<b>Outputs</b>	<b>Activities</b>
<p>At least one hundred countries have strong multi-stakeholder mechanisms for coordinating community-based efforts on GEF focal areas as well as in planning and policy-making in sustainable development.</p>	<ol style="list-style-type: none"> <li>1 Review and enhance NSC/NFG structure in consonance with SGP OP4 strategic priorities and also taking note of the need to align SGP activities to the country's RAF business plan and sustainable development strategies and priorities.</li> <li>2 Participation of the SGP country programme in the development and implementation of the country's RAF strategies and priorities as well as those related to sustainable development matters.</li> <li>3 Strengthen institutional links of SGP country programmes as well as select SGP CBOs/NGOs or networks to the country and global development aid community through the IA and EA members of the GEF SGP Steering Committee</li> <li>4 Enhance participation of government NSC members in SGP stakeholders' workshops, in site M&amp;E and visits, and other NGO activities supported by SGP.</li> <li>5 Support through the NSC, joint preparations between government and non-government sectors the country's preparation and participation in COPs of GEF-related conventions.</li> <li>6 Include GEF Focal Points and other key government officials in the Knowledge Management Platform of the programme.</li> </ol>

## OBJECTIVE 5

### Knowledge Management: Codification and exchange of good practice from SGP activities to inform and influence wider sustainable development policy and practice

Project Strategy	Objectively verifiable indicators			Sources of verification	Assumptions
	Indicator	Baseline	Target		
<p><b>Outcome 12:</b> Enhanced enabling environment for community involvement in addressing GEF priorities in both policy and practice.</p>	<p>Agreements for information exchange with Convention Secretariats, GEF IAs and EAs and relevant NGOs.</p>	<p>SGP informing GEF reports to Conventions and participating in side events to CoPs.</p>	<p>Systematic information flow with Convention Secretariats as well as NGO-networks involved in Convention negotiations established and in active operation.</p>	<p>Convention documents, agreements, Performance and Results Assessments from country programmes and references to SGP approaches in outcome and policy documents.</p>	<p>GEF IAs and EAs collaborate actively with GEF SGP on community-level good practice dissemination</p>
	<p>No. of projects and programmes using SGP knowledge for design and implementation.</p>	<p>SGP small grants approached utilized by programmes, i.e. the World Bank (NBI) UNF (COMPACT), UNDP (CWI).</p>	<p>GEF IAs and EAs, as well as other development donors accessing SGP good practices and knowledge for application by other programmes and projects</p>		
	<p>No. local and national policies informed.</p>	<p>SGP National Steering Committees have taken role to link SGP to national policy development</p>	<p>All SGP country programmes have established information exchange links with national policy making bodies involved with GEF priorities</p>		

Outputs	Activities				
<p>12.1 Good practice from SGP projects codified and disseminated to policy makers and practitioners at global, national and local levels.</p>	<ol style="list-style-type: none"> <li>1 Portfolio reviews and sub-portfolio studies with good practice case examples undertaken for all focal areas.</li> <li>2 Dissemination of studies and key findings to relevant practitioners and policy makers (GEF IAs and EAs, GEF-NGO network, Conventions and their secretariats and other partners)</li> <li>3 Articles, statements, fact sheets, videos and films emphasizing successful community based approaches produced and disseminated in conjunction with relevant events, conferences and initiatives at both country and global levels.</li> <li>4 Provide information about SGP activities and findings to convention secretariats (through GEF) and demonstrate SGP's contribution to and coherence with convention targets.</li> <li>5 Support and encourage participation of SGP NSC members, grantees and staff in national and regional policy dialogues and debates</li> </ol>				
Project Strategy	Objectively verifiable indicators			Sources of verification	Assumptions
	Indicator	Baseline	Target		
<p><b>Outcome 13:</b> Global Knowledge Platform for exchange, codification and dissemination of community knowledge established.</p>	<p>No. of established practice networks and network members linked to relevant GEF thematic development practice knowledge systems.</p>	<p>Some grantee networks at national levels, and regional and global level networks for SGP staff.</p>	<p>SGP practice networks formalized and meta-networked with relevant practice networks and knowledge system, particularly with GEF SEC and its IAs and EAs.</p>	<p>Network overviews, membership statistics, user profiles.</p>	<p>Interest from partner organizations and practice networks to meta-network knowledge. Willingness from SGP network members to contribute knowledge to other networks.</p>
	<p>No. of individuals and organizations accessing SGP knowledge products and networks.</p>	<p>SGP website and project database has 1880 visits per month, 8810 page views per month.</p>	<p>3000 visits per month, 15000 page views. At least 500 registered users on SGP knowledge platform.</p>	<p>User and download statistics from SGP website and knowledge platform. Surveys.</p>	
	<p>No. of contributions from SGP to research, publications conferences, workshops and knowledge fairs.</p>	<p>SGP contributing to knowledge fairs at both global and local level, UNDP practice networks, and publications.</p>	<p>SGP to contribute to relevant knowledge bases and fora for environment and community based development</p>	<p>Reports to conferences, websites of practice networks, Performance and Results Assessment, citations in publications.</p>	
<p>13.1 Expanded access to SGP knowledge networks</p>	<ol style="list-style-type: none"> <li>1. Establish systems for facilitation and codification SGP practitioners' knowledge exchange according to thematic and geographic topics, as part of the Global Knowledge Platform.</li> </ol>				

and codified best practice.	<ol style="list-style-type: none"><li>2. Link Global Knowledge Platform with other relevant thematic and geographic knowledge networks of GEFSEC, GEF IAs and EAs, GEF knowledge projects, and the wider development community and GEF-NGO network.</li><li>3. Make SGP project information and data, in particular impact indicators system, available to partner organizations and research bodies.</li><li>4. Disseminate project data to relevant partner knowledge databases at national and global levels.</li><li>5. Pilot global virtual knowledge fairs: Virtual exchange and codification of experiences and good practice on defined topic for a limited time period, which then is synthesized and fed to policy and practice forums.</li><li>6. Organize knowledge fairs with grantees in each SGP country, with participation of interested GEF IAs and EAs, members of GEF-NGO network, as well as other development partners as to share the experience from SGP's community work.</li><li>7. Encourage and support participation of SGP grantees in external relevant knowledge forums.</li></ol>
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## ANNEX 6

### GEF Small Grants Programme: GEF SGP Steering Committee Terms of Reference

#### Background

The GEF Small Grants Programme was launched in 1992 following the principle that global environmental solutions are usually only sustainable if local populations are actively involved and direct community benefits and ownership are generated. Starting with just 22 countries, SGP has – with the full support of the GEF Council and recipient countries - expanded to 105 participating countries by Year 2 of its Operational Phase 3 (2005 – 2007) making it truly a GEF global program.

The main objectives of the GEF Small Grants Programme are:

- Build the awareness and capacity of communities, community-based organizations, non-governmental organizations and other civil society groups to implement innovative and effective solutions that contribute to global environmental benefits.
- Promote a positive working relationship amongst various stakeholders, especially between civil society and government through its multisectoral decision-making mechanism as well as through its partnership-based projects.
- Develop and disseminate knowledge and effective implementation methodologies, particularly for community-based approaches, that can improve sustainable development practice and policy of both non-government organizations and government institutions, as well as other donors.

To achieve these objectives, SGP country programmes are managed in a highly decentralized and country-driven manner through multisectoral National Steering Committees (NSCs) that includes high level government representatives, NGO/CBO members, academe, the private sector, and other donors. The NSCs are in-charge of guiding the development and implementation of SGP Country Programme Strategies (CPS) and approval of grants for projects. National Coordinators and Programme Assistants facilitate and support the fully voluntary work of NSC members.

At the global level, UNDP implements SGP on behalf of the GEF partners with UNOPS as the Executing Agency. UNDP Country Offices provide administrative support on behalf of UNOPS and provide strategic support as a member of the National Steering Committee. The small SGP Central Programme Management Team (CPMT) in New York provides day-to-day global management.

SGP's status as a GEF Corporate Programme started during its second Operational Phase (1999-2004) and since then SGP reports to the GEF Council - through both the GEF Secretariat and UNDP - on its progress and plans through its annual replenishment proposals. In SGP Operational Phase 3, during 2005-2006, strategic guidance was provided through an Operational Consultations Group chaired by GEFSEC with UNDP, UNEP and the World Bank as members. Now, however, SGP will be strategically guided by a GEF SGP Steering Committee.

#### Role and Structure of the GEF SGP Steering Committee

The GEF SGP Steering Committee is chaired by the GEF CEO and its members comprise senior-level representatives of GEFSEC, UNDP, UNEP, the World Bank, African Development Bank (AfDB), Asian Development Bank (AsDB), Inter-American Development Bank (IADB), European Bank for Reconstruction and Development (EBRD), Food and Agriculture Organization of the United Nations

(FAO), International Fund for Agricultural Development (IFAD), United Nations Industrial Development Organization (UNIDO) and the GEF NGO Network and has the following responsibilities:

- Provide overall strategic direction to SGP
- Establish country participation policy to include appraisal and start up of new country programmes as well as graduation of existing ones
- Strongly support SGP's resource mobilization efforts
- Provide guidance in the utilization of additional RAF funds contributions to SGP
- Promote strengthened linkages of SGP with other GEF projects and programs of the IAs and EAs
- Comment on, strengthen and endorse the SGP Operational Phase Project Document and Annual Replenishment Proposals including its workplan
- Engage in periodic review of the SGP programme status

The GEF Secretariat will schedule a GEF SGP Steering Committee Meeting before each GEF Council Meeting. Formal meeting agendas are approved by the GEF Secretariat based on input provided by the Global Manager and the IAs as requested. A written record is kept of Steering Committee meetings. These meeting minutes are prepared by the SGP Global Manager who will be the Secretary of the Steering Committee, and the minutes will be reviewed and endorsed by all Committee members.

The Global Manager communicates regularly with the Members of the Committee by email and telephone to implement Steering Committee decisions or agreements. In case of need for critical decisions in-between meetings of the Steering Committee, the Global Manager will seek the guidance of the GEF CEO who is Chair of the Steering Committee.

### **Role and Structure of SGP Central Programme Management Team**

Based on strategic guidance provided by the GEF CEO and based upon decisions and agreements resulting from Steering Committee meetings, the SGP Central Programme Management Team (CPMT) based at UNDP/GEF in New York together with the UNOPS SGP Cluster is responsible for the day-to-day management of the programme on behalf of the programs' partners. CPMT operates as a team and is comprised of a Global Manager, a Deputy Global Manager, three Programme Officers (for Biodiversity, Climate Change, and IW/LD/POPs), a Knowledge Facilitator and two Programme Assistants. CPMT and the UNOPS Cluster staff are also organized into Regional Teams with selected Senior National Coordinators to provide fast response to routine requests and queries from country programmes.

**Reporting Arrangements:** The Global Manager reports directly to the CEO of the GEF Secretariat as a primary supervisor on substantive matters and to the UNDP/GEF Executive Coordinator as a secondary supervisor on administrative and financial matters. The rest of the CPMT staff and the Country Teams (presently comprising 81 National Coordinators/Subregional Coordinators and 81 Programme Assistants) report to the Global Manager.



## ANNEX 8

### GEF Small Grants Programme: Guidelines for Use of Core and RAF funds

#### Guidelines for access to the GEF Small Grants Programme

##### Financial Allocations

1. Country participants in the Small Grants Programme will have access to the SGP within the GEF-4 cycle as follows:
  - a) The **maximum amount** of the GEF contribution to the SGP per country should be a cumulative total of \$2.4 million for GEF-4 at an average of \$600,000 per year – regardless of whether it comes as a RAF allocation or a core SGP grant allocation.
  - b) Countries which belong to the **group in the RAF** have preferential access to SGP core funding. The allocation cap [maximum limit] for LDC/SIDS is \$600,000 per year and for non-LDC/SIDS is \$400,000 per year;
  - c) Countries which have indicative RAF country allocations **up to \$15 million in either the climate change or biodiversity focal area** in GEF-4 can draw up to \$300,000 from SGP's core budget each year with a matching amount expected from their RAF allocations;
  - d) Countries which have indicative RAF country allocations of **more than \$15 million in either the climate change or biodiversity focal area** in GEF-4 will no longer be able to access SGP's core funding and will need to finance their small grants program from their RAF allocations in order to sustain SGP operations in their countries.
  - e) A **new country** entering the SGP will be entitled to \$150,000 in core SGP funds for its first year in the program as an exception to the above rules. In this first year a country with an indicative country allocation can program a matching amount for its small grants program. For the second year of its program and thereafter, a country will follow the standard guidelines listed above.

##### Country strategy

2. Any country planning to utilize its indicative country allocation under the RAF should present for CEO endorsement a SGP country strategy demonstrating how the program will relate to the GEF's overall strategies and providing a set of indicators to measure results.

##### Graduation policy

3. Beginning in 2007, any country which has benefited from the GEF SGP for more than 8 years will be required to present a plan to graduate from GEF funding (core and RAF resources) on completion of the GEF-4 cycle.

**ANNEX 9: APPROVED BUDGETS FOR YEARS 1 AND 2 OF SGP OP3**

**(1) Approved Programme Budget for year 1 of the Third Operational Phase (OP3)**

	<b>Year 1</b>
<b>A. Grants</b>	
GEF	34,000,000
<b>B. Programme mobilization, strategic guidance and M&amp;E</b>	
Regional Workshop	120,000
Communication Strategy	190,000
LL/IA	255,000
Travel/M&E	240,000
Technical Assistance	55,000
Audits	30,000
CTs Strengthening	40,000
Evaluation	100,000
Global Workshop	400,000
<b>Sub-total:</b>	<b>1,430,000</b>
<b>C. Programme management</b>	
<u>Country-level</u>	
Personnel	3,500,000
NHI	700,000
Premises	410,000
Equipment, O&M	880,000
Workshops	385,000
FM/travel	730,000
Technical assistance	200,000
Outreach	280,000
Sundry	269,984
<b>Sub-total:</b>	<b>7,354,753</b>
<u>Global programme-level</u>	
Global Manager	242,970
Deputy Manager (Oper)	208,270
Deputy Manager (Progr)	208,270
Climate Change Officer	176,850
Biodiversity Officer	176,850
ILand Mgnt / Int'l Wat/POPs Officer	176,850
Knowledge Facilitator	113,810
Prog Assist	73,000
Admin Asst	73,000
Equipment	15,000
premises	75,000
Sundry	15,000
<b>Sub-total:</b>	<b>1,554,870</b>
<b>Total A, B, C,</b>	<b>44,339,623</b>
<b>D. Administrative costs</b>	
UNOPS Support	2,660,377
<b>E. GEF/SGP Total</b>	<b>47,000,000</b>
<b>F. CO-FINANCING:</b>	
a) In-kind resources from non-GEF sources for grant element:	17,000,000
b) Cash co-financing from non-GEF sources	17,000,000
<b>Sub-total:</b>	<b>34,000,000</b>
<b>G. GRAND TOTAL (E + F):</b>	<b>81,000,000</b>

## (2) Approved Programme Budget for year 2 of the Third Operational Phase (OP3)

<b>A. Grants</b>	
GEF	44,093,000
<b>B. Programme mobilization, strategic guidance and M&amp;E</b>	
Regional Workshop	600,000
Communication Strategy	250,000
LL/IA	350,000
Travel/M&E	350,000
Technical Assistance	125,000
Audits	40,000
CTs Strengthening	50,000
Evaluation	200,000
Global Workshop	0
<b>Sub-total:</b>	<b>1,965,000</b>
<b>C. Programme management</b>	
<u>Country-level</u>	
Personnel	4,300,000
NHI	750,000
Premises	490,000
Equipment, O&M	1,100,000
Workshops	450,000
FM/travel	840,000
Technical assistance	275,000
Outreach	330,000
Sundry	300,984
<b>Sub-total:</b>	<b>8,835,984</b>
<u>Global programme-level</u>	
<b>Personnel and Equipment</b>	<b>1,709,790</b>
<b>Total A+B+C:</b>	<b>56,603,774</b>
<b>D. Administrative costs</b>	
UNOPS Support	3,396,226
<b>E. GEF/SGP Total</b>	<b>60,000,000</b>
<b>F. CO-FINANCING:</b>	
a) In-kind resources from non-GEF sources for grant element:	31,000,000
b) Cash co-financing from non-GEF sources	31,000,000
<b>Sub-total:</b>	<b>62,000,000</b>
<b>G. GRAND TOTAL (E + F):</b>	<b>122,000,00</b>