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**REPORT TO THE GEF COUNCIL ON PROGRESS MADE  
IN IMPLEMENTING THE GEF SMALL GRANTS PROGRAMME  
IN YEAR 2 OF THE SECOND OPERATIONAL PHASE**

(Prepared by the United Nations Development Programme)

The Second Operational Phase of the GEF Small Grants Programme was approved by the GEF Council in October 1998. At that time, a programmatic approach was approved with an initial budget to cover the cost of running the program for two years. It was also agreed that the budget for subsequent years of the second operational phase would be replenished against achievement of key milestones and deliverables. The programme presented a report to the Council in May 2000 covering the first year of activities within the second operational phase, and subsequently, a budget to cover the cost of operation of the programme during year three of the second operational phase was approved by the Council.

The present report covers the programme's accomplishments against the benchmarks set for the second year of this phase's operations which ended on 28 February 2001. A request for replenishment of funds for the fourth year of the second operational phase will be submitted for consideration and approval by the Council at its meeting in December 2001. It is hoped that Council Members will, therefore, have ample opportunity to review this report as a basis for their decision on the replenishment for year four.

## **BACKGROUND**

1. The Global Environment Facility Small Grants Programme (GEF/SGP) has been in operation for eight years and currently supports activities in 54 countries managed from 46 country offices. It has funded over 2000 projects in Africa, the Middle-East, Asia, Europe, and Latin America and the Caribbean that link local, community-based activities to the GEF focal areas, specifically biodiversity conservation, mitigation of climate change, and protection of international waters. Land degradation issues are also addressed when related to the above focal areas.
2. The Second Operational Phase of the GEF/SGP was approved by the GEF Council in October 1998. A programmatic approach was adopted in which the budget would be replenished against achievement of key milestones and deliverables. An initial two-year replenishment of \$31.619 million was granted with agreement on a subsequent annual “rolling” financial modality to ensure continuity of programme activities.
3. The project document for the second operational phase was signed by UNDP and the United Nations Office for Project Services (UNOPS), the principal executing agency for the SGP, on 18 February 1999, which, in effect, became the date of replenishment. The project document established a number of benchmarks to be met in a three-year period and it further stipulated that reports were to be submitted to the GEF Council every year as a basis for decision on the budget replenishment.
4. The GEF/SGP presented a report to the Council in May 2000 covering the first year of activities within the second operational phase. Subsequently the GEF Council approved an amount of \$22.823 million for the operation of the programme during year three of the second operational phase starting in March 2001 and ending in February 2002.
5. The present document is the second report under the current operational phase and covers GEF/SGP’s accomplishments vis-à-vis the benchmarks established in the project document for year two (see SGP Workplan in annex 1). The information contained in this document is intended to facilitate a decision by the GEF Council in October 2001 when it will consider the replenishment for the operation of the GEF/SGP in year four of the second operational phase (March 2002 to February 2003). The relevant workplan and a budget will be presented in October to the Council for approval and inclusion in the GEF Work Programme.
6. The following report includes a narrative section highlighting the key results obtained during the period and a matrix that facilitates comparison between the agreed benchmarks and the actual outputs. In a number of cases reference is made to the activities undertaken in year one of the second operational phase as important contextual information and as a means to assess overall progress achieved. In reporting on the progress made during the second year under the programmatic approach it can be concluded that the ability of GEF/SGP to meet the challenges of achieving global environmental benefits through local action has been considerably enhanced. The programme is well advanced in addressing all recommendations of the Second Independent Evaluation of the GEF/SGP (June 8, 1998).

## **NARRATIVE REPORT**

### **Deliverable 1: GEF/SGP “fit” with GEF operational strategy and programmes. Implementation of Country Programme Strategies.**

7. As previously reported, SGP developed a Strategic Framework in March 1999, which provides overall guidance to country programmes on the GEF eligibility criteria and priorities. A Global Workshop in July 1999 brought together resource persons and the SGP National Coordinators to enhance their understanding of GEF technical issues and further explore ways of linking GEF objectives in the three focal areas to communities’ livelihood concerns. The process and methodology for developing Country Programme Strategies (CPS) was discussed during the workshop and an action plan for the implementation of the Second Operational Phase was agreed upon. Subsequently, National Coordinators had briefing sessions with SGP National Steering Committees (NSC) and the process for preparation of the CPS was launched. By the end of 1999 all participating countries had started implementation of their respective approved CPS.

8. It became clear that, in addition to the wide dissemination of the CPS among potential partners, special efforts would be required to build the capacities of communities and NGOs to develop project proposals in line with a strict application of GEF criteria and to draw on lessons learned in the earlier phases of the programme. More than 200 local and national workshops have been conducted to this end (see Matrix on page 15 for a summary on the status of achievement of deliverables). In addition, a modality was established whereby eligible project concepts may receive a planning grant of up to US\$2000 in order to allow project proponents to further develop their proposals to ensure fit with the GEF criteria; as well as to use participatory approaches in project design. By the end of year two of the second operational phase (28 February 2001) 795 projects, including 121 planning grants, had been approved for a total amount of US\$16,346,453.

9. Over the period, the projects approved have constituted less than 20% of the total number of concepts and proposals received. This is evidence of the thorough review and selectivity exercised by National Coordinators and National Steering Committees to ensure compliance with the GEF criteria and operational programmes. On the other hand it is also an indication of the difficulty in gaining an appreciation at the grassroots level of the relevance of these criteria to community priorities. Nevertheless there are strong indications from recent submissions that the intensive capacity-building process and dissemination of the CPS is making headway in helping NGOs and CBOs to better focus their projects to fit the GEF criteria. While fewer concepts are submitted to the National Coordinators, an increasing percentage are GEF eligible and of better quality.

10. Another modality that is proving to be highly effective is the establishment of links with existing integrated rural development and poverty eradication projects where initial community mobilization work has already been undertaken and communities are already actively engaged in problem-solving and development activities. In such cases it is proving possible to jointly identify activities which meet GEF criteria which can be built onto and complement the existing development action. In Pakistan the SGP has signed an agreement with the National Rural Support Programme Network, which is active in some 25,000 communities throughout the

country, to identify opportunities where there may be a fit between GEF and community objectives.

11. In respect to the GEF focal areas, the distribution of approved projects is as follows: 353 biodiversity conservation; 103 climate change mitigation; 67 international waters ; and 272 cross-cutting, including those addressing land degradation issues. The projects cover almost every GEF operational programme with the exception of OP 7 “reducing the long-term costs of low greenhouse gas emitting energy technologies” that was excluded from the SGP Strategic Framework because it was considered that small scale community based interventions would not address the OP objectives. So far only one project addressing sustainable transport (OP11) has been approved, but the number is expected to increase in the next period as NGOs become familiar with this new OP. On the other hand the largest number of projects fall within the OPs for “forest ecosystems” (129 projects) and “coastal, marine and freshwater ecosystems” (83 projects). National Coordinators and country programme stakeholders consider that OP12 provides a very appropriate framework to linking local and global environmental concerns and GEF/SGP is working towards developing programme-tailored guidance to develop a consistent project portfolio for OP12.

12. The CPS also addressed the need to focus programme interventions either geographically or thematically to increase SGP impact and facilitate monitoring and evaluation processes. The national progress reports indicate that this approach has strengthened effectiveness as ecosystems of global and national significance were targeted and clusters of interventions are promoting collaboration and exchange of experiences among grantees implementing projects within the same geographic areas or ecosystems.

13. In many countries calls for proposals are being shifted from general newspaper announcements to more focussed methods of project identification and design. For example, a pilot methodology was developed for the GEF/SGP-UNF project in Natural World Heritage Sites (see section on "Mobilization of non-GEF resources") in which baseline assessments, conceptual models and strategic plans are developed by stakeholders (e.g., communities, national park and local governments authorities) as a starting point for identifying strategic niches for SGP interventions which will impact conservation priorities and livelihood concerns. Among the advantages of this approach is the anticipation that the participatory planning process will lead to clusters of activities resulting in more visible impacts in the targeted area. However, this involves a costly and time-consuming process which does reduce the simplicity, flexibility and responsiveness which have been hallmarks of SGP success to date. This pilot programme will be evaluated in 2002 and it will then be assessed whether the increase in non-grant costs (currently covered by UNF) and the significant amount of time spent by National Coordinators and NSC members is indeed compensated by increased impact, so that wider adoption of the methodology in other GEF/SGP interventions should be considered.

**Deliverable 2: Mobilization of non-GEF resources for “baseline” activities (\$10 million in cash and \$10 million in kind in year 2 of the second operational phase)**

14. It will be recalled that this deliverable target was established based on the understanding that, in order to be perceived to be relevant at the grassroots level, SGP projects would certainly need to address baseline, particularly livelihood, issues which would not meet GEF funding

criteria. On the other hand, it was appreciated that it would not be realistic to require complex incremental cost calculations for such small operations. As informed in the last GEF Council report, a Global Resources Mobilization Strategy was completed and disseminated in April 2000. In the same report information was provided on the level of resources mobilized in year 1: \$6.6 million in cash and \$2.9 million in kind. In year 2 of the second operational phase, the programme was successful in mobilizing \$17.1 million in cash and \$12.5 million in kind, for a total of \$24.3 million in cash and \$15.4 million in kind for sgp-supported activities in the second operational phase. This greatly exceeds the cofinancing target of US\$ 15 million in cash and US\$ 15 million in kind set for the first two years of the second operational phase. The figure for in-kind contributions substantially increased in year 2 as compared with the previous year due to improvements in establishing a monetary value for in kind support and keeping track of the same.

15. The largest contributions were provided by the United Nations Foundation (UNF) and the European Commission (EC). UNF approved a \$3 million co-financing, aiming at providing small grants to NGOs and CBOs in and around 6 Natural World Heritage Sites (WHS) to demonstrate how community-based interventions which include provision for sustainable livelihood activities may reduce threats to protected areas of global importance. US\$932,000 was allocated for activities in the year 2000. The activities are being implemented in the following sites: the Sian Ka'an Biosphere Reserve in Mexico; the Morne Trois Pitons National Park in Dominica; the Belize Barrier Reef ; the Puerto Princesa Subterranean River National Park in Palawan, the Philippines; Mount Kenya National Park in Kenya; and Mount Kilimanjaro National Park in Tanzania.

16. In December 2000 UNDP signed an agreement with the EC for co-financing at the level of 15 million Euros over a four year period for a Tropical Forests Small Grants Programme in some 9 countries in Southeast and South Asia. This support will allow SGP grantees to undertake conservation and development activities related to tropical forests, including forest protection, regeneration and management as well as sustainable timber production and small scale enterprises for non-timber forest products. Both of these contributions represent an important complement to GEF/SGP resources because they can be used to finance sustainable livelihood activities that are a priority for local communities and are not currently eligible for GEF support.

17. While it has been possible to attract support from these two important financing sources on a global basis, co-financing of SGP programmes on terms which are fully compatible with existing SGP mechanisms has proven to be more accessible at the country level. Country programmes were very active in mobilizing resources both in kind and in cash. The sources of cash contributions at the national level include, among others, bilateral donors, multilateral organizations, international and national foundations, international NGOs, national and local governments, and national environmental funds. The Chile SGP programme raised project contributions to the level of \$615,000 in cash and \$450,000 in kind. The Government of the Netherlands is co-financing activities for \$1 million under the Ecuador SGP programme, as well as providing smaller amounts to co-finance several SGP projects in various countries. Other bilateral donors providing co-financing include the governments of Belgium, Canada, Germany, Japan, Spain, Switzerland, the United Kingdom, and the United States of America. In-kind contributions were provided mostly by SGP grantees, but universities and other research

institutions also made significant contributions in technical assistance, critical to ensure project success.

18. Particularly notable in this context is the fact that SGP National Steering Committee members contribute their work without remuneration. Their participation in the programme is a key feature of the programme's success. This involves not only project review, approval and strategic direction but also inputs to monitoring and evaluation activities, including field visits and technical support to grantees. The value of the in kind contribution of NSC members has been estimated at approximately \$660,000 per year. Their voluntary service will be formally recognized this year in observance of the International Year of the Volunteer at special ceremonies to be held in each SGP participating country on World Environment Day.

19. National Coordinators have also been exploring reaching out to the national and international private sector to attract contributions for the programme. The initial results are modest, \$27,000 in cash and \$406,000 in kind, but these may pave the way for larger contributions as experience is gained. The in kind support from the private sector has mainly consisted of equipment and tools (such as solar panels) but also of highly qualified technical assistance and training.

20. Resources mobilization activities contributed to raise the visibility of the programme among a wide range of local, national and international organizations and to foster cooperation and synergy with development projects.

21. SGP's success in mobilizing resources has, however, a negative side, i.e., the strain on SGP staff at the global and national levels who, in addition to the efforts which they are required to devote to fund-raising, are also responsible, as a result, for managing a project portfolio that is almost twice the GEF grant allocation for the period. While large co-financing contributions such as those provided by the EC or UNF include support costs in their respective budgets, it is often not possible to obtain agreement to obtain similar provision for smaller contributions. In a few cases NCs have been able to mobilize national volunteers or student interns from universities to assist them and in other cases they have been able to obtain support from UNV or UNDP TRAC resources. However in many cases NCs are now seriously overburdened and their ability to provide the desirable technical oversight and learning is the first to suffer. Over the next year the programme will need to give particular attention to identifying possible solutions to this problem.

### **Deliverable 3: Functional links with GEF-wide initiatives.**

22. Developing functional links with GEF-wide initiatives has been pursued through a variety of approaches. In many countries the GEF Operational or Political Focal Point in Government has been invited to become a member of the National Steering Committee. The GEF focal points in UNDP country offices have close working relations with SGP and in many cases they represent UNDP in the National Steering Committee meetings. Linkages have been achieved with a significant number of large GEF projects, ranging from exchange of experiences between SGP and large GEF projects to implementation by SGP of community based components of the larger projects. An example of the latter is the RECOSMO GEF project in Guatemala that has allocated \$200,000 from its Dutch contribution for expansion of SGP

activities to the geographic area where this project is active. The Mesoamerican Biological Corridor (MBC) project in Central America is another example of close cooperation. In Mexico, SGP is hosting the national focal point for the GEF MBC and has actively participated in the planning of the project. Costa Rica has incorporated the MBC priority areas in its Country Programme Strategy in order to fund NGO and CBO projects that help conserve biodiversity in the corridor areas, and in Guatemala the MBC technical officer is a member of the National Steering Committee.

23. National Coordinators have recently reported that SGP has direct linkages with more than 50 large GEF projects. For example, in Uganda, SGP has successfully collaborated with the UNDP/GEF East African Cross-Border Biodiversity Conservation project (UGA/97/G53) and the African-NGO Government Partnerships for Sustainable Biodiversity Action, implemented by Birdlife International. In Jordan, two SGP projects are linked with the Gulf of Aqaba Environmental Action Plan and they are contributing to the Aqaba Marine Park and public awareness raising components of the large project. Moreover, the NGOs implementing the two SGP projects have established a committee to enhance coordination among themselves and with the larger project. In several cases, such as in Dominican Republic, SGP has supported NGOs and CBOs to participate in GEF-funded enabling activities to ensure civil society concerns are addressed in the implementation of the conventions on climate change and biological diversity.

24. During the last two years SGP has actively promoted up-scaling of successful SGP interventions into GEF medium-size projects. National Coordinators have reported that 24 medium-sized proposals are at different stages of development. A good example is the SGP Katonga Wetland Conservation Project in Uganda, which had an important impact in raising awareness regarding the significance of wetlands as biodiversity hot-spots in semi-arid areas. As a result, SGP has joined IUCN, and a consortium of local NGOs and local government partners to replicate and up-scale the Katonga initiative. A PDF-A proposal has been developed and its approval is pending. On the other hand, as at the end of year two of the second operational phase only 1 medium-sized project had been submitted for Council consideration and subsequently approved: the “Integrated approach to wood waste combustion for heat production in Poland”. Also, the GEF approved a PDF-A in Poland that may lead to a full scale GEF project for the conservation and management of the Upper Narew Valley. A PDF-B proposal in Pakistan for “Conservation of habitats and species of global significance in arid and semi-arid ecosystems through community based management in Balochistan” was also approved with a view to develop a full sized GEF project in 2001. However, experience has revealed certain bottlenecks in the process, which will need to be addressed. In the meanwhile the agreed benchmark of at least 20 medium-sized project proposals resulting from up-scaling of SGP may need to be adjusted to a more realistic target per year.

25. SGP has also entered into dialogue with the recently approved Critical Ecosystems Partnership Fund implemented by the World Bank and executed by Conservation International. Instructions have been given to the relevant SGP National Coordinators to ensure close collaboration between the two projects at national level.

26. The SGP has also participated in other important GEF-related activities such as the Country Dialogue Workshops and the preparations for the Second Overall Performance Study (OPS2). Some discussions have recently taken place with GEF Secretariat staff to explore the

possibility of using the SGP mechanism for pilot activities in the area of climate change vulnerability and adaptation measures. SGP is also participating in brainstorming sessions with UNDP GEF concerning development of a project portfolio on Persistent Organic Pollutants (POPs).

#### **Deliverable 4: Outreach and Awareness.**

27. SGP circulated its Global Communications Strategy in January 2001 and its full version is attached to this report (see Annex 2). This is the last of a series of guidelines that form the SGP Handbook. (The other key documents prepared during the second operational phase and submitted previously for the information of Council members are: the SGP Strategic Framework, the Operational Guidelines, the Monitoring and Evaluation Framework and the Resources Mobilization Strategy.) The Global Communications Strategy identifies the messages, audiences, means and tools to communicate the unique features of SGP and provides guidance for its implementation at the national and global levels.

28. All participating countries are currently preparing national communication strategies but it should be noted that already during the reporting period, country programmes developed a large quantity of communications material and that the programme and related projects received substantive coverage by the media. Communications activities and results described in semi-annual progress reports include newspaper articles, radio programmes, TV coverage of project activities, videos, brochures, project profiles and fact-sheets, SGP presentation kits, and promotional items, to mention a few. SGP projects have been featured by UNDP magazines and newsletters including Choices, UNDP Flash and UNDP Newsfront. Altogether the benchmark established in the workplan of “at least 2 projects per country per year receiving favorable media coverage” was substantially surpassed, as more than 150 projects were featured by the national and international media in participating countries.

29. Many SGP projects received national awards over the past two years. During a ceremony organized by the Mauritius Council of Social Service (MACOSS) on the occasion of the International Volunteer Day, the Jeune Chambre Economique of Port Louis won the Most Outstanding NGO Award for 3 projects, one of which is the GEF/SGP project on "Building Environmental Citizenship Among Community Leaders". A Senegal project “Lutte contre une plante envahissante dans les eaux du fleuve Senegal et au parc des oiseaux du Djoudj” (Ramsar Site and World Heritage Site) received special mention by the Environment Advisor of the President of the Republic of Senegal for its contribution to eradicating the alien invasive species *Salvinia molesta* that is affecting critical aquatic ecosystems. In Poland, a project sponsored by SGP to protect the white stork received the Pronatura Award. Many more awards and special recognitions could be mentioned, in addition to project visibility resulting from positive environmental and development impacts. For example, an SGP project on renewable energy in Kenya attracted significant attention when it prompted discussions in Parliament regarding policy and regulations on power generation and distribution by private groups, including community-owned small-scale schemes. This SGP micro-hydro power project –executed by a community organization of Waanga village on the slopes of Mt. Kenya and supported by Intermediate Technology Development Group (ITDG Kenya) – is now being replicated with funding from the EC.

30. At the global level, the programme gained visibility through participation by National Coordinators in: a panel at the UNDP Human Development Report Forum held in Rio de Janeiro, Brazil in October 2000; an exhibit at the IUCN World Congress in Amman, Jordan in October 2000; the Global Biodiversity Forum (GBF) and the UNDP-GEF booth at the Conference of the Parties of the Convention on Biological Diversity in Nairobi, Kenya (May 2000); and the World Congress on Rural Sociology in Brazil. SGP involvement in the GEF Country Dialogue Workshops has also raised its visibility among national institutions not previously familiar with the programme. The SGP web site (<http://www.undp.org/sgp>) has been visited by hundreds of individuals and planning for its upgrading is in progress.

31. It should be highlighted that global communications events have been mostly carried out by National Coordinators and that this is an asset of SGP's decentralized operations. SGP's exhibits in Amman and Nairobi were organized by the respective NCs and these also involved the participation of the NCs from Uganda (CBD COP) and Egypt (IUCN Congress) and discussion papers were presented in the Human Development Report forum by the NCs of Albania, Brazil and Mexico. SGP was represented in the sociology congress by the NC of Guatemala who presented a relevant paper on the global SGP experience and that of his country.

#### **Deliverable 5: Progress on monitoring and evaluation strategy at project, country programme and global programme levels.**

32. As mentioned above, the SGP finalized, translated and disseminated its M&E Framework in January 2000. The reporting system has been fully harmonized in order to ensure that the programme would be able to participate in the GEF Project Implementation Review (PIR) and prepare the yearly report to the Council. In order to monitor progress on activities and benchmarks as well as assess achievement of results and impact, the following M&E processes were established: (a) financial quarterly reports; (b) semi annual progress reports that present quantitative and descriptive information on activities to meet the programme benchmarks; (c) Biennial Programme Reviews (BPR) which consist of a participatory assessment of implementation of the country programme strategies and a qualitative analysis of the country project portfolio; and (d) continuing up-date of the SGP project database.

33. The M&E Framework also provides guidance to National Coordinators on the monitoring and evaluation of SGP projects. All project proponents are requested to develop an M&E plan for their projects including relevant and cost-effective indicators and to ensure that any costs associated with this task are reflected in the project budgets. Project visits are undertaken regularly and the quality and timeliness of progress reports by grantees has improved. Capacity building to grantees in the area of M&E has been strengthened and a number of academic institutions have been assisting National Coordinators in refining their M&E methodologies and processes. Participatory evaluations of projects in the course of implementation and at the final stages have increased. However there is a need to identify means to facilitate external technical assistance to improve the quality of the final evaluations as a basis for compilation, analysis and dissemination of lessons learned. Significant progress has been made during the last year; however, further efforts are needed to ensure that grantees and programme staff will be able to document and demonstrate global environmental benefits resulting from SGP interventions.

34. In this connexion it should be noted that the experience of the pilot and operational phases of the programme has shown that there is a great diversity of goals, activities, and expectations among country programmes, rendering a global set of standards and performance indicators of little utility. The BPR provides a common framework for assessing programme results globally while allowing for flexibility to meet country-specific requirements. During the past few months, fifteen countries carried out the first BPR to assess progress and results in the implementation of the SGP Second Operational Phase. The analysis of the project portfolios also took into consideration some pilot phase projects and most projects funded under the First Operational Phase that have concluded or are about to complete implementation. The resulting BPR reports have been instrumental in identifying strengths and weaknesses of the programme and guiding future activities. These reports have also identified a number of SGP projects that are of special significance because of their impact and positive lessons (best practices) or because they exemplify complex or problematic interventions and/or negative experiences to be avoided. For example, Botswana highlighted the “Development of Khama Rhino Sanctuary” project as having achieved important biodiversity conservation benefits by raising awareness among communities on the importance and benefits of conserving the white rhino, and a breeding programme which resulted in a doubling of the initial population of rhinos at the site. On the other hand, Uganda chose to present a case study on the Bugwe Forest Conservation and ecotourism project, which experienced a number of difficulties in the course of implementation but brought out a number of lessons for future similar projects.

35. The BPR provides the foundation to enable the programme to enhance dissemination of lessons at the national and global levels and it will systematically provide case studies and examples for SGP communications activities. There is consensus that the BPR process has increased both programme understanding and visibility within the UNDP Country Offices, the NSC members, consultants, beneficiaries and partners due to its participatory nature. In particular, it has been an important occasion to raise awareness about the linkages between local small-scale activities and global environmental concerns. The attendance at certain of the BPR workshops by national journalists also brought the results of this exercise to the attention of the general public.

#### **Deliverable 6: Knowledge based management.**

36. This deliverable relates to the establishment of the SGP project database and its access by participating countries. The database has been operational since the end of 1999 but its design has been enhanced recently to include information on co-financing at both the programme and project levels. There are still minor technical improvements to be made to the database reporting system to expedite downloading and presentation of information. Some National Coordinators who do not have good Internet connections still experience difficulties inputting the information, as it takes a long time to upload and save the information. Solutions to this problem are being sought. The database is linked to the SGP web site and a search engine allows access by the general public to key project information by country. The web site will be improved during the course of implementation of the communications strategy. Seven country programmes have developed national SGP web sites that are linked to the global site. In addition to information on the country project pipeline, these sites provide detailed information on the national SGP project cycle and country-specific guidelines and formats for preparation of SGP proposals. The number of national websites is likely to increase in the course of this year.

37. The SGP also established an electronic exchange (sgp-xchange) among National Coordinators in order to promote horizontal dialogue and cooperation and to share information that is relevant to all programme staff such as the GEF Weekly Update on Program Management and global environmental conventions reports. National Coordinators use this facility for networking among themselves, to send inquiries to their colleagues about technical issues, to share experiences and to disseminate relevant documents, articles and best practices from SGP and other projects. The Indonesia National Coordinator reported that SGP has established a similar exchange among all country programme grantees that have e-mail access. This is expected to evolve into a more permanent network promoting the dissemination of lessons and enhancing collaboration among national environmental NGOs.

38. In order to further promote knowledge based management and networking, the SGP organized the first three sub-regional workshops. These involved National Coordinators in East and West Africa and South America, who gathered to share experiences on processes such as capacity-building, linkages, communications and monitoring and evaluation, as well as on substantive topics such as renewable energy, traditional plant-based medicines, sustainable livelihoods and ecotourism. The participants concluded that these small and well-focused meetings allow for in-depth discussions on lessons of experience and enable reaching detailed recommendations on technical and operational issues. They also enhance the learning network among NCs. The programme will therefore strive to hold similar workshops in other sub-regions within current budget constraints. Other means of strengthening country level access to relevant knowledge resources and networks will also be sought.

#### **Deliverable 7: Mainstreaming with UNDP**

39. The indicator initially identified for this deliverable was the participation of National Coordinators in relevant UNDP Project Appraisal Committees; however, the BPR reports and the experience of the past two years indicate that there is a wider range of activities that strengthen the functional links between the SGP and other UNDP projects and activities. For example, in Tanzania all UNDP small grants programmes and projects such as GEF/SGP, LIFE and the Africa 2000 Network operate under one Unit and share a National Steering Committee. This approach has resulted in greater cofinancing from UNDP TRAC resources (\$700,000) and strong collaboration between the various programme managers. In Egypt, the SGP National Coordinator is also in charge of the LIFE programme and in Senegal and Zimbabwe the SGP National Coordinator is also responsible for the Africa 2000 programme. Uganda reported in the BPR that SGP is an integral part of the recently approved Country Cooperation Framework (2001-2005). UNIFEM has contributed to support capacity building in gender-related issues in some country programmes and also co-financing for gender-focused SGP projects.

40. The support of the UNDP country offices has also been instrumental in facilitating resources mobilization at the national level. Resident Representatives have facilitated contacts with bilateral and multilateral donors as well as with national governmental institutions in almost every country. UNDP CO support has also been effective in bridging with other agencies of the UN system such as UNEP, UNESCO, ILO and Habitat. In the Caribbean region United Nations Volunteers has established a regional project which has assigned six national volunteers who will collaborate with the programme in their respective small island countries.

## **Deliverable 8: Expansion of programme**

41. During year 2000, SGP received a large number of country requests to participate. The countries were given the list of criteria to qualify for GEF/SGP support (see Annex 3) and were requested to submit substantial information detailing how the criteria were met. Countries that submitted a request with sufficient documentation by December 2000 were: Mauritania, Namibia, South Africa, Lebanon, Iran, Kyrgyzstan, Lithuania, Colombia, El Salvador, Honduras, Jamaica and Nicaragua. Considering that the GEF Council had approved expansion to a total of 10 countries during years 2 and 3 of the second operational phase, it was decided, in consultation with UNDP Regional Bureaux and UNDP/GEF regional advisors, that the programme would be expanded to 2 new countries in each region during the period 2000-2001. Countries initially selected based on information provided were Mauritania, South Africa, Lebanon, Iran, Kyrgyzstan, Lithuania, El Salvador and Honduras. Two additional candidatures will be considered during 2001. A number of additional expressions of interest have been received in the course of the year. However further expansion of the programme will depend on reinforcement of the GEF/SGP headquarters team.

42. The establishment of the programme in the selected countries is at different stages of implementation. Iran and Lithuania have already formed their National Steering Committees and have appointed National Coordinators. The preparation of Country Programme Strategies is underway and it is expected that both programmes will be fully operational by mid-year. Start-up missions have taken place in South Africa, Lebanon and Honduras and the recruitment of National Coordinators and establishment of NSCs is currently in process. Missions to El Salvador and Kyrgyzstan are planned to take place in April and Mauritania will follow. In order to ensure that new participants are able to build on lessons learned by the programme to date, twinning arrangements between experienced National Coordinators and the new countries have been established: Guatemala-Honduras, Pakistan-Iran, Poland-Lithuania, Brazil-South Africa and Jordan/Egypt-Lebanon. The serving National Coordinators visited the new countries to provide advice on all programmatic and operational matters and, once appointed, new NCs will visit the “twinning” partner country for a full familiarization with programme modes of operation and substantive experience.

## **Deliverable 9: Capacity building at country and community levels to ensure congruence with GEF criteria and OPs and to improve project implementation skills.**

43. Capacity-building has received considerable attention during the past year, as reflected in the more than 200 stakeholder workshops held during this period. However, capacity building is a process that cannot be achieved in discrete events but rather requires long-term commitment and effort and a diversified approach. Capacities of NGOs and CBOs greatly differ from country to country and in many it is still a major challenge. This is why every Country Programme Strategy devotes a section to capacity building goals, strategies and activities that address local needs. Country priorities include a broad range of capacity development objectives that are considered essential to raise the ability of local communities and civil society organizations to design and implement relevant and effective actions that would contribute to the conservation of the global environment. These range from overall raising of awareness and environmental education to identification of mutual benefits to be achieved for conservation and sustainable livelihoods to revival and valuation of traditional environmental knowledge and resources. They

include strengthening of organizational skills, political skills (policy, law, ability to interact with the local and national governments), management skills (e.g., project planning, accounting), fund-raising skills as well as technical knowledge and ability to access information, to mention just a few.

44. A number of mechanisms are currently in place to fill these needs as well as facilitate feedback for new proponents of lessons learned from experience to date. Thematic workshops cover a wide range of topics, particularly those associated with understanding the GEF criteria and operational programmes, and training in project design and management. The “planning grant” modality provides funding at the project development stage to enable proponents to secure technical advice in any relevant field; to perform a capacity needs assessment to ensure that the project will include necessary training or skills development in its plan of action and budget; or to undertake project design using participatory approaches. Funding of training and skills development activities is also provided within GEF/SGP projects. National rosters of experts; and grants to highly qualified NGOs to undertake capacity development projects in the GEF thematic areas are other modalities adopted. Among the most effective of all have been field visits to allow exchange of experiences and peer-learning among CBOs and NGOs implementing SGP projects.

45. Another important mechanism has been the establishment of partnerships with institutions possessing the experience and skills to support capacity building at the programme and project levels. Such expertise needs to be made available to NGOs and CBOs at the proposal development stage, during the course of project implementation and after completion of activities in order to enhance the sustainability of SGP’s interventions. Memoranda of Understanding have been signed with academic and research institutions such as the Faculty of Arts and Social Sciences (sustainable development group) of the Mohamed V. University in Morocco, the National University of Costa Rica, the Rajabhat Institute in Thailand and the Aqaba Scientific Marine Research Station in Jordan. The NC and NSC also facilitate linkages between grantees and institutions which provide their expertise as an in kind contribution to the projects.

## **CONCLUSION**

46. In summary, year two of the second operational phase of GEF/SGP has seen significant progress in achievement of all of the deliverables established in the project document, and in some cases have exceeded the benchmark indicators. Considerable advances have been made in ensuring better “Fit” with GEF criteria; resources mobilization for baseline activities has been particularly successful; functional links established with GEF-wide initiatives have increased significantly; creative strides are being taken in outreach and awareness, monitoring and evaluation has been systematized and is already showing good results; and incorporation of additional countries into full participation is well on its way. Expansion of efforts and achievements in the area of capacity-building are particularly notable.

47. The first Biennial Programme Reviews have demonstrated the effectiveness of this tool in assessing achievements of country programmes against established benchmarks and in a manner

which facilitates drawing lessons and conclusions for the SGP as a whole. Thus they have allowed us to identify benchmark areas which will need some additional attention in the coming months in addition to those already established for year 3 of the programme. One of these is functional linkages with GEF-wide initiatives, particularly scaling up to GEF medium-size projects. However, even if progress is made in eliminating the bottlenecks identified, it is clear that the benchmark established is not fully realistic and will need to be adjusted. In the area of monitoring and evaluation, some further work will be done on identifying realistic indicators for achievement of strategic benefits which are relevant to country-specific situations while also providing a basis for assessment of global environmental impact. Knowledge-based management will be expanded to cover strengthening of distillation, analysis and dissemination of lessons learned, as well as expanded networking and access to other external sources of relevant knowledge and experience.

48. It is also becoming clear that the increased management requirements arising from the expanded range and volume of SGP activities will require a full review over the next months in order to develop a systematic response, which will ensure the continued high quality of the programme.

## MATRIX

Deliverables in Year 2	Status of Achievement
<p><b>A. GEF/SGP "fit" with GEF Operational Strategy and Programs. Implementation of Country Programme Strategies (CPS).</b></p> <ul style="list-style-type: none"> <li>◆ Yearly country evaluation reports show that all new projects respond to revised country strategies and operational guidelines.</li> </ul> <p><b>B. Mobilization Of Non-GEF Resources For "Baseline Activities"</b></p> <ul style="list-style-type: none"> <li>◆ Co-financing and leveraging achieved in the range of \$10 million in cash and \$10 million in kind</li> </ul> <p><b>C. Functional links with GEF-wide Initiatives</b></p> <ul style="list-style-type: none"> <li>◆ Each established country programme will include at least 2 linkage demonstration projects with large GEF projects.</li> <li>◆ At least 20 medium-size project proposals result from a scaling-up of GEF/SGP projects</li> <li>◆ UNDP/GEF focal points included in NSC in at least 30 SGP countries</li> </ul>	<ul style="list-style-type: none"> <li>◆ All CPS approved and currently under implementation.</li> <li>◆ Semi-annual progress reports and Biennial Programme Reviews indicate that Second Operational Phase projects have been approved in line with GEF criteria and Ops.</li> <li>◆ Increased use of planning grants, stakeholder workshops and other capacity-building activities have raised the percentage of concepts that are GEF eligible.</li> </ul> <ul style="list-style-type: none"> <li>◆ SGP leveraged \$17.7 million in cash and \$12.5 in kind for a total of \$24.3 million in cash and \$15.4 million in kind for the second operational phase.</li> </ul> <ul style="list-style-type: none"> <li>◆ More than 50 SGP interventions have links with large GEF projects.</li> <li>◆ Proposals are under development for scaling up of 24 GEF/SGP projects to GEF medium-sized projects and two to large GEF projects.</li> <li>◆ A scaled-up project in Poland has been approved by the Council as a medium-sized project</li> <li>◆ A PDF-A proposal has been approved for another project in Poland</li> <li>◆ A PDF B proposal has been approved for Pakistan</li> <li>◆ Links have also been established with other GEF activities such as OPS2 and CDW.</li> <li>◆ UNDP representation in NSC in all countries normally includes UNDP/GEF focal point or UNDP ResRep.</li> </ul>

Deliverables in Year 2	Status of Achievement
<p><b>D. Outreach and awareness</b></p> <ul style="list-style-type: none"> <li>◆ SGP’s decentralized institutional structure increasingly providing a mechanism for broad-based awareness raising about global environmental concerns</li> <li>◆ Communications and outreach strategy and associated materials completed at global and country levels</li> <li>◆ At least 20 projects per country per year receive favourable media coverage</li> </ul> <p><b>E. Progress on monitoring and evaluation strategy at project, country programme and global levels</b></p> <ul style="list-style-type: none"> <li>◆ 2 new projects will have incorporated lessons learned from other projects</li> <li>◆ End of year evaluation with NSCs and stakeholders on implementation of Country Programme Strategy in each country</li> <li>◆ 3 case studies prepared on best practices and lessons learned</li> </ul>	<ul style="list-style-type: none"> <li>◆ Participation by relevant National Coordinators in global events affording communications opportunities included exhibits in Amman (IUCN Congress) and Nairobi (Biodiversity COP), and panel participations in Rio (HDR Forum and World Congress on Sociology).</li> <li>◆ The SGP Global Communications Strategy was developed and disseminated. Country programmes have developed a wide range of materials and carried out a significant number of communications and awareness raising activities.</li> <li>◆ More than 150 projects were featured by the national and international media in participating countries, as well as in UN radio and UNDP publications.</li> <li>◆ At least five projects received national awards.</li> <li>◆ Lessons learned transmitted to new proponents through a variety of means, including stakeholder workshops, peer site visits, etc.</li> <li>◆ The SGP M&amp;E Framework established the following processes: financial quarterly reports, semi-annual progress reports, and Biennial Programme Reviews consisting of a participatory assessment of implementation of the country programme strategies and a qualitative analysis of the country project portfolio. There is full compliance, albeit not always meeting exact deadlines.</li> <li>◆ <b>Botswana</b> - “Development of Kharma Rhino Sanctuary”</li> <li>◆ <b>Uganda</b> – Bugwe Forest Conservation project showed a number of lessons for future similar conservation and ecotourism projects</li> <li>◆ <b>Kenya</b> – Community Micro-hydropower Project</li> </ul>

<b>Deliverables in Year 2</b>	<b>Status of Achievement</b>
<p><b>F. Knowledge based management</b></p> <ul style="list-style-type: none"> <li>◆ Database of GEF/SGP projects can be accessed directly by all country programmes where technically possible and information on projects is up-to-date</li> </ul> <p><b>G. Mainstreaming within UNDP</b></p> <ul style="list-style-type: none"> <li>◆ NCs participate in relevant UNDP Project Appraisal Committees</li> </ul> <p><b>H. Expansion of programme</b></p> <ul style="list-style-type: none"> <li>◆ Five new countries added in accordance with established selection criteria</li> </ul>	<ul style="list-style-type: none"> <li>◆ All country programmes have access to the project database, however, due to problems with internet connection in some countries some countries still experience difficulties in inputting the information as it takes a long time to upload and save the information.</li> <li>◆ Despite these difficulties 70% of SGP countries have up-to-date project information including co-financing.</li> </ul> <ul style="list-style-type: none"> <li>◆ The BPR reports and experience of the past two years indicate that mainstreaming that strengthens the functional links between SGP and other UNDP projects and activities includes a much wider range of activities than simply participating in UNDP PACs.</li> <li>◆ In Tanzania all UNDP small grants programmes and projects such as GEF/SGP, LIFE and Africa 2000 Network operate under one Unit and share an NSC which has resulted in greater co-financing from UNDP TRAC resources (\$700,000).</li> <li>◆ UNDP GEF Focal Points actively participate in SGP NSC and contribute to various aspects of the project such as scaling up successful SGP interventions.</li> <li>◆ UNDP country office support has been effective in bridging with other UN Agencies such as UNEP, UNESCO, Habitat and UNV.</li> </ul> <ul style="list-style-type: none"> <li>◆ SGP has initiated operations in 8 new countries: Mauritania, South Africa, Lebanon, Iran, El Salvador, Honduras, Lithuania and Kyrgyzstan. Two more may be added in year 2001.</li> </ul>

<b>Deliverables in Year 2</b>	<b>Status of Achievement</b>
<p><b>I. Capacity-building at country and community levels to ensure congruence with GEF and to improve implementation skills</b></p>	<ul style="list-style-type: none"> <li>◆ More than 200 capacity-building stakeholder workshops held during this period.</li> <li>◆ Partnerships established with academic and research institutions to support capacity-building at the programme and project levels e.g., Mohamed V. University in Morocco, National University of Costa Rica, Rajabhat Institute in Thailand and the Aqaba Scientific Marine Research Station in Jordan</li> <li>◆ Thematic workshops and training in project design and management. “Planning grant” modality funding mong other, training and skills development activities, and grantee field visits for peer learning exchange.</li> </ul>

## ANNEX 1

### WORK PLAN AND DELIVERABLES FOR THE GEF/SGP FOR YEARS 2 AND 3 (FEBRUARY 2000 – FEBRUARY 2002)<sup>1</sup>

Year	<i>Report to GEF Council on achievement of specific deliverables</i>	Indicators
End of year 2 (Feb. 2001)	<p>Interim report with the following deliverables:</p> <ul style="list-style-type: none"> <li>• GEF/SGP “fit” with GEF Operational Strategy and Programs. Implementation of Country Programme Strategies.</li> <li>• Mobilization of non-GEF resources for “baseline” activities.</li> <li>• Functional links with GEF-wide initiatives.</li> <li>• Outreach and awareness</li> <li>• Progress on monitoring and evaluation strategy at project, country programme and global programme levels.</li> </ul>	<ul style="list-style-type: none"> <li>• Yearly country evaluation reports show that all new projects respond to revised country strategies and operational guidelines.</li> <li>• Co-financing and leveraging achieved in the range of 10 million in cash and 10 million in kind.</li> <li>• On an average each established country programme will include at least 2 linkage demonstration projects with large GEF projects.</li> <li>• At least 20 medium-size project proposals result from a scaling-up of GEF/SGP projects.</li> <li>• UNDP/GEF focal points included in NSC in at least 30 SGP countries.</li> <li>• SGP’s decentralized institutional structure increasingly providing a mechanism for broad-based awareness raising about global environmental concerns.</li> <li>• Communications and outreach strategy and associated materials completed at global and country levels.</li> <li>• At least 2 projects per country per year receive favorable media coverage.</li> <li>• By the end of the year, 2 new projects will have incorporated lessons learned from other projects.</li> <li>• End-of-year evaluation with NSCs and stakeholders on implementation of Country Programme Strategy in each country.</li> <li>• 3 Case studies prepared on best practices and lessons learned.</li> </ul>

<sup>1</sup> See also the Executive Summary of the Report on the Global Workshop of GEF/SGP Coordinators (19-23 July 1999, San Jose, Costa Rica) which includes a detailed Plan of Action for 2000-2001 as agreed with NCs.

Year	<i>Report to GEF Council on achievement of specific deliverables</i>	Indicators
	<ul style="list-style-type: none"> <li>• Knowledge base management.</li> <li>• Mainstreaming within UNDP.</li> <li>• Expansion of programme.</li> <li>• Capacity building at country and community levels to ensure congruence with GEF criteria and OPs and to improve project implementation skills.</li> <li>• Work plan for the next two years.</li> </ul>	<ul style="list-style-type: none"> <li>• Database of GEF/SGP projects can be accessed directly by all country programmes where technically possible and information on projects is up-to-date.</li> <li>• NCs participate in relevant UNDP Project Appraisal Committees.</li> <li>• Five new countries added in accordance with established selection criteria.</li> <li>• At least 1 stakeholder workshop held in all countries.</li> <li>• At least one visit by NCs to each approved project.</li> </ul>
End of year 3 (Feb. 2002)	<p>Interim report with the following deliverables:</p> <ul style="list-style-type: none"> <li>• Progress on achievement of strategic benefits and global environmental benefits and M&amp;E</li> <li>• Programme sustainability.</li> <li>• Expansion of programme to new countries.</li> </ul>	<ul style="list-style-type: none"> <li>• Results of technical review to assess strategic role of the GEF/SGP and achievement of global environmental benefits.</li> <li>• Report of global NCs workshop to assess progress in the implementation of the second operational phase, particularly on the application of the M&amp;E Framework.</li> <li>• Feedback to GEF M&amp;E Unit regarding programme overall performance and lessons learned, through participation in the UNDP/GEF-PIR exercise.</li> <li>• Preparation for conducting the Third Independent Evaluation of the programme in year 4, including development of evaluation TORs in consultation with UNDP-GEF M&amp;E unit.</li> <li>• At least 8 country programmes will be hosted by national NGOs.</li> <li>• At least 3 National Host Institutions will administer grant allocations as an initial step towards decentralizing the full operation of the programme through direct national execution.</li> <li>• Five additional countries included in GEF/SGP in accordance with established selection criteria. SGP will endeavor to identify National Host Institutions that would eventually be able to fully administer the programme (including the grant allocation</li> </ul>

<b>Year</b>	<b><i>Report to GEF Council on achievement of specific deliverables</i></b>	<b>Indicators</b>
	<ul style="list-style-type: none"> <li>• Capacity building efforts at country and community levels.</li> <li>• Mobilization of non-GEF resources for “baseline” activities.</li> <li>• Linkages with other non-GEF environment and development programmes/agencies.</li> <li>• Work plan for two years.</li> </ul>	<p>share) and to provide a significant counterpart financial contribution to SGP activities.</p> <ul style="list-style-type: none"> <li>• In order to expand the coverage of the programme while at the same time improving the ratio between administrative and programmatic costs at least 1 of the new SGP national operations will have a multi-country coverage. This will depend on the possibility of securing sufficient co-financing for grant allocations.</li> <li>• At least 2 stakeholder workshops held in all countries.</li> <li>• At least 10 national NGOs fully enabled to provide training on GEF/SGP matters to grantees.</li> <li>• At least 5 inter-country exchanges involving stakeholders and/or NCs take place.</li> <li>• Co-financing and leveraging achieved in the range of 12 million in cash and 12 million in kind.</li> <li>• On an average each GEF/SGP country programme will include at least 1 linkage demonstration project.</li> <li>• At least 5 other development environmental programmes/agencies are using GEF/SGP approaches.</li> <li>• Document.</li> </ul>

## ANNEX 2



# United Nations Development Programme

## GLOBAL ENVIRONMENT FACILITY

### Small Grants Programme



## GLOBAL COMMUNICATIONS STRATEGY

*“The SGP is a unique programme that contributes to solving some of the world’s most pressing environmental problems while ensuring sustainable livelihoods through a successful, country-driven, grassroots approach” (Second Independent Evaluation of GEF SGP)*

### **Purpose of the strategy**

The Global Communications Strategy provides a proactive and effective internal and external communications system for the GEF Small Grants Programme (GEF SGP). It forms part of the UNDP / GEF SGP Handbook and provides guidance for undertaking communications activities at the Central Programme Management Team (CPMT) and at national levels.

The Global Communications Strategy is one element of SGP’s response to the findings of the Second Independent Evaluation and recommendations formulated by the GEF Council on the future of the Second Operational Phase.

### **The Global Communications Strategy will address the following key objectives:**

- Raise awareness of the SGP’s mission, activities and impact among target audiences
- Heighten credibility of the SGP
  - Increase appreciation of SGP success in addressing global environmental concerns and sustainable livelihoods at the community level
- Improve effectiveness and impact of SGP
  - Enhance community-level understanding of linkages between global environmental concerns and community needs
  - Spread knowledge about economically, socially and culturally viable alternatives to environmentally destructive activities
  - Expand incorporation of SGP approaches and lessons learned across SGP countries, in environmental programmes of other actors, other countries and communities targeting similar issues
  - Sensitize decision-makers to policy measures required for an enabling environment
  - Enhance sharing of experiences and learning opportunities among target communities and other partners

- Meet resource mobilization targets
  - Raise appreciation among potential donors / partners of opportunities SGP offers for meeting their interests

## Opportunities

The keys to the success of the SGP are its decentralized structure and its non-governmental and demand-driven nature. In particular the SGP can build its future communications activities on the following strengths:

- Highly functioning country programmes with effective National Coordinators (NCs) and National Steering Committees (NSCs)
- Success in developing partnerships with Community-Based Organizations (CBOs), Non-Governmental Organizations (NGOs), and other local and national organizations
- Effective mechanisms and methodologies developed for the appraisal, monitoring and evaluation of projects
- Achievement in creating awareness of the link between conserving the environment and creating sustainable livelihoods
- Track record in working and negotiating with national and local governments
- Solid and positive reputation within countries
- Previous communications efforts of National Coordinators on which SGP can build
- Materials already developed at national level for community capacity building and advocacy
- Interest of NCs to share experiences among themselves and with outside organizations
- Potential benefit to UNDP and GEF of SGP success
- Success in securing co-financing agreements and building trust among donors

## Means

**The SGP can achieve these objectives by using specific communications means, which shall be built into the activities outlined further on. These are:**

- Develop and present consistent messages about the SGP
- Use a variety of communications tools
- Enhance the communications capacities of NCs, NSCs and CPMT
- Expand participation in networks
- Ensure all projects envisage communication activities as appropriate
- Make an adequate financial provision for communications activities

## **Audiences**

It is critical to identify the key audiences, who are most important to the SGP in implementing SGP programming, contributing resources, and advancing SGP communications goals.

Key internal audiences (those that operate within the SGP or a “parent” organization):

- National Coordinators
- National Steering Committees
- National Host Institutions
- Grantees and potential grantees
- UNDP Resident Representatives and their staff
- Central Programme Management Team
- UNDP / GEF Unit
- UNDP Surfs
- Wider UNDP
- GEF Implementing Agencies (IBRD and UNEP)
- GEF Secretariat
- GEF Council

Key external audiences (those operating outside the SGP and UNDP/GEF):

- National and local Governments
- Bilateral and multilateral donors
- Environmental convention secretariats and convention bodies (CBD, CCD, UNFCCC, Regional Seas Conventions, etc.)
- International and national NGOs
- Foundations
- Conservation community (scientific community, environmental academia, environmental institutions and movements, NGO networks and others)
- GEF country focal point
- Media
- Private sector

## **Messages**

The overriding message the SGP will convey through implementation of this strategy is:

- *The SGP is a unique programme that contributes to solve some of the world’s most pressing environmental problems while ensuring sustainable livelihoods through a successful, country-driven, grassroots approach.*

Other message templates supporting SGP’s programme objectives and capturing the appeal of the SGP to its target audiences include the following:

- SGP is having a concrete impact in improving people's lives while addressing global environmental concerns in the areas of biodiversity, climate change and international waters
- SGP uses its resources efficiently to achieve positive global impact
- SGP uses decentralized, demand-driven, participatory mechanisms to improve project effectiveness, ensuring local relevance
- SGP is building a global action-oriented environmental centre of excellence by facilitating exchanges, learning and networking among its constituencies
- SGP is an effective and efficient partner in the global environmental movement, seeking to build the capacity of local partners and cooperate fully with other organizations that have similar missions and goals
- SGP helps local communities to build on their traditional knowledge and practices and to access new information and technologies in order to improve livelihoods while conserving biodiversity, using renewable energy sources and mitigating pollution of international waters
- SGP brings together diverse groups and varied approaches adapted to specific local circumstances towards achieving environment related goals

## **Implementation**

### ➤ Responsibilities

At the Global Level the CPMT will coordinate the implementation of the Global Communications Strategy. The CPMT will be responsible for managing communications activities programme-wide and for enabling and encouraging NCs and NSCs to undertake communications activities in their own country. The CPMT will also identify particularly useful materials and activities for dissemination to others. Within the CPMT a Communications Focal Point will have responsibility for implementing these activities under the overall guidance and supervision of the Manager and Deputy Manager.

At the national level the NCs and NSCs are the cornerstone to building a strong communications structure and will be playing a critical role in experimenting with innovative tools and in carrying out visible and effective communications actions. Advocacy success will very much depend on in-country communications. NCs and NSCs may also consider the use of grants to NGOs and other SGP-eligible parties for coordinating and / or carrying out communications activities.

### ➤ Priority Activities

The activities shall be implemented over a three-year period. This will enable SGP to test a broad palette of communications tools during this process.

## Global Level

The SGP Central Program Management Team will initiate the following activities and gather feedback from the NCs.

- Clarify “Signature” of the SGP
  - ✓ Confirm Name of Program. *The Small Grants Programme should build an identity using one consistent name.*
  - ✓ *Modify “Tagline”.* A tagline is a clarifying phrase that helps explain the mission of an institution in the way in which it would like to be perceived. An example of a tagline: “Global challenges, local solutions”.
  - ✓ *Develop a Consistent Style Guide.* While the SGP shall continue to use the UNDP and GEF logos, the programme should develop a style guide that indicates how to use the “signature” consistently.
- Develop and disseminate various types of Publications
  - ✓ *Produce an updated SGP Brochure.* This brochure shall be produced in printed and electronic version (English, French, Spanish, and Arabic).
  - ✓ *Prepare a SGP poster.*
  - ✓ *Develop General SGP Background Briefing Pack.* Contents will include:
    - Fact sheet on the SGP (overview, funding statistics, website reference etc.) (English, French, Spanish, and Arabic).
    - SGP brochure
    - List of countries participating in the program with contact information
    - Selected case studies
    - Individual fact sheets geared towards various SGP audiences
  - ✓ *Establish a SGP Publications Series and disseminate its products.* The publication series shall be called “Acting-Learning-Acting” and will focus on lessons learned from SGP experience.
  - ✓ *Identify possibilities of joint publications or inclusion of lessons learned from SGP programmes in publications produced and / or edited by others*
  - ✓ *Maintain a bank of high quality materials produced at country level which can serve as examples / models for others*
  - ✓ *Develop a mobile exhibit on SGP for international meetings.* The SGP shall develop a diverse modular floor exhibit that can travel to numerous events and can be adapted to various events. For national meetings the NCs may want to adapt the global mobile exhibit.
- Review, update and enhance Electronic tools

- ✓ *PowerPoint Presentation about SGP.* A presentation on SGP developed to address several audiences has been circulated to all NCs.
  - ✓ *Web Site Review and Update.* Redesign the global website. Ensure a certain harmonization of SGP country programme websites and make links to the global SGP website as well as to those of other organizations such as environmental conventions, the UNDP and GEF.
  - ✓ *Continuous review and update of SGP database to improve its functioning.*
  - ✓ *Systematize the sgp-xchange to make it a useful reference.* SGP exchanges will be classified thematically so that previous correspondence by subject can be easily accessed.
  - ✓ *Develop a CD-Rom on Community Conservation Highlights.* The CD-Rom shall present the highlights of SGP projects with pictorial overviews, serving as a promotional tool of the programme.
- Networking and outreach
    - ✓ *Identify international and regional meetings and events may be key to reaching target audiences. Plan SGP inputs / participation.* Relevant conferences would include meetings of the Conference of Parties (COPs) of environmental conventions, UN System meetings, GEF Council meetings, NGO meetings, Global Biodiversity Forum (GBF), IUCN Assembly and Parks Congresses and other events through which significant numbers of target audiences could be reached. Decide on form of participation (special panel or sub-event, participation in panel organized by others, informal “show and tell” discussion group, exhibit, field visit for interested participants to SGP project, etc.).
    - ✓ *Develop a video.* A video with an overview of the program and highlighting key sites and country experiences could be an appropriate and effective tool for a variety of SGP external target audiences.
    - ✓ *Continue to support GEF Country Dialogue Workshops.* Presentation on SGP during these workshops.
    - ✓ *Compilation of a Communications Overview Module for National Coordinators.* This material will serve as hands-on training material and will draw on the programme’s realities and experiences. The CPMT shall coordinate its development in collaboration with interested NCs and communications specialists. The module will provide an overview on communications and will touch upon issues such as how to communicate effectively with the media, with potential donors and with local communities including grantees etc.
    - ✓ *Expand contact with the conservation community including International NGOs Foundations, and the private sector for purposes of collaboration.* A target list shall

be set up of priority organizations active in areas relevant to SGP and possible forms of collaboration.

- ✓ *Expand links to the UNDP SURF Networks and other relevant networks.*
- ✓ *Conduct media outreach and identify opportunities for featuring SGP in UNDP, GEF and other organizations' communications tools (at least two articles annually in the global press). These may include:*
  - GEF Secretariat publications and materials (at least two SGP projects cited in annual GEF reports)
  - Environmental magazines
  - UNDP Newsfront (at least one item per year)
  - UNDP Choices (at least one article per year)
  - Other UNDP System publications
  - News Magazines
  - Television Programmes e.g. Azimuths, Earth Matters, TVE, BBC, CNN
  - Radio, e.g. BBC, NPR (US).
- ✓ *Organize SGP Programme theme-related contests*

#### National level

Each NC and NSC will start by preparing a section about the National Communications Strategy, based on the Global Communications Strategy, to be incorporated into the SGP Country Programme Strategy. The GEF Council benchmark for SGP refers to country communications strategies in place. The National Communications Strategy shall draw up a yearly list of activities to be incorporated into the annual workplan in a section addressing Communications Activities.

The country programmes will approach the implementation of communications activities by prioritizing the activities according to local conditions. The means should be tailored to the target audience (s).

The following communications activities should be included in all workplans. It should be noted that most of these are designed to meet programme benchmarks established for SGP in the global project document. (Annex 1 provides a list of additional communications tools).

- ✓ *Feature articles in key national magazines, newspapers and other media such as TV, Radio etc. (at least two per year). Contact local representatives of international media to propose stories they might consider. The GEF Council benchmarks for SGP specifically refer to two projects every year featured by the media.*
- ✓ *Prepare an information pamphlet or brochure on the country programme*

- ✓ *Preparation of “stories” on SGP projects (at least two per year).* The projects would be selected because they exemplify elements of success, challenges and lessons learned, and particularly innovative activities.
- ✓ *Organize site visits for key stakeholders (donors, government officials etc.) to flagship projects.* The GEF Council benchmarks for SGP specifically call for at least two site visits per year.
- ✓ *Compile lessons learned on projects in the form of best practices.* The SGP benchmark specifically notes that all new projects will draw on and point to lessons learned from previous projects. The compilation of these lessons will be useful as ground material for the publication series.
- ✓ *Undertake or participate visibly in at least one other high-profile event per year in support of resource mobilization (at least two).* A specific activity could for example be the invitation of key stakeholders to grant project signing ceremonies and other activities such as those suggested in the toolbox.
- ✓ *Compile materials and tools useful for community level advocacy and outreach, especially with focus on participatory techniques*
- ✓ *Prepare an Electronic Newsletter.* One NC should be responsible for preparing this on a rotational basis each quarter. It would draw on material provided to the designated NC by other NCs and would be posted on the website. Volunteers are welcome.
- ✓ *Take pictures of the programme.* Pictures should aim to show project activities with beneficiaries involved in identifiable project activities. These pictures shall be used for the publication of the brochure, the poster, the panels of the mobile exhibit, the publication series, etc.
- ✓ *Conduct workshops for key stakeholders on SGP.* The GEF Council benchmarks for SGP refer to increasing understanding of global environmental issues in communities involved in SGP. Materials developed for workshops can also be used as a basis for other communications activities.

Please note that other communications activities are optional. NCs and NSCs may pick from among those in the Communications Toolbox in Annex 1 or undertake others that they may identify.

## **Monitoring and Evaluation**

Information on the status of implementation of the communications activities should be included in the SGP Semi-Annual Progress Reports under the Sections on “Project Media Coverage and Site Visits” and “Project and Programme Communication Materials and Events Produced” (refer to the SGP Monitoring and Evaluation Framework).

Evaluation of progress made, impact and challenges encountered should be included in the Biennial Programme Review Reports (refer to the SGP Monitoring and Evaluation Framework). When carrying out monitoring and evaluation, NCs and NSCs may wish to refer to the following indicators as appropriate:

- number of case studies being prepared
- number of site visits carried out for stakeholders
- amount of co-funding and other contributions mobilized
- number of articles in the press
- number of awards received
- number of national campaigns SGP associated with
- number of local communications activities carried out by SGP grantees
- number of communications activities undertaken in collaboration with the government and / or private agencies
- number of institutions and / or individuals reached

One would then also qualify these indicators i.e. quality of articles for example, and try to estimate their impact on the outside world in an informal manner.

At the end of the three years the SGP should solicit feedback from targeted parties involved in the implementation of the communications strategy to help evaluate it. This will serve the purpose of contributing to the development of a new action plan for the next operational phase.

## **Funding**

The implementation of the Global Communications Strategy requires financial resources. However, because of the limitations to maintain SGP administrative costs below 25% of the overall programme budget, implementation of communications activities will need to be achieved through various modalities. The following are suggested:

- NCs and NSCs will continue contributing time and skills in carrying out communications activities.
- Mobilize in-kind and in-cash support for carrying out communications activities. For example ask for support from the UNDP Public Affairs Officer.
- Each approved SGP project should include specific activities for dissemination of results and sharing of experiences and lessons learned and any other appropriate communications activities. Adequate provision to cover the costs of these activities should be included in project budgets. Materials produced may be used as inputs to more broad-based communications activities.
- Identify NGOs and other SGP eligible parties with capacity to design and implement communications activities and encourage them to present proposals for grants to implement components of the national communications strategy. (For example document visually the impact of a SGP biodiversity grant and write-up best practices used). These activities are eligible for grant funding as meeting awareness raising, information dissemination and / or capacity-building objectives of SGP.

- Where these means are not appropriate and bearing in mind limitations, charge communications costs to the operational budget (for example the printing of a publication).
- Certain costs, such as the hiring of communications consultants and equipment need to be fully justified in the National Communications Strategy and should be submitted to UNOPS copied to the CPMT for clearance on a case-by-case basis.

### **Other communications considerations**

When publishing or issuing communications materials at the global and at the national level, the following elements should be taken into consideration as appropriate:

When the publication is directly produced by UNDP / GEF SGP or by a publisher on behalf of the programme:

- Indicate copyrights and any required permits for reproduction (copyrights © shall be those of the United Nations Development Programme)
- Acknowledge funding sources for the publication (UNDP, GEF, UNF, EC or other donors) as well as any co-funding partner for the project referred to
- Acknowledge contributions by various parties e.g. editor, reviewers, overall comments, etc.
- Acknowledge author (s) of picture (s) and include caption (s) indicating country, project title and any other relevant information on the photograph (s)
- Acknowledge author (s) of other illustration (s) or drawing (s)
- Include UN standard disclaimer to indicate that views in the publication are those of the authors and do not necessarily reflect those of the Organization (s)
- Obtain and include ISBN number or any other national cataloguing reference
- Ensure the publication is dated
- Ensure consistent use of the SGP signature

NCs may wish to refer to UNIC for further advice on publications issues such as publisher agreements, how to obtain an ISBN, etc.

When a publication / material is produced by SGP grantees:

- Copyrights will be retained by the NGO / CBO unless the organization is producing materials on behalf of GEF SGP
- Ensure the UNDP / GEF SGP financial contribution and any co-funding source is acknowledged
- Secure the free right of GEF/SGP to reproduce in part or in whole the material for non-profit purposes related to GEF SGP activities
- Obtain sufficient copies of the materials / publications produced by the NGO / CBO (s) for direct SGP dissemination

It is suggested to include the above elements in the MOA for the grant.

## **Annex one: SGP Communications Toolbox**

The following list provides Communications Tools that SGP countries have developed and have been applying. The NCs and NSCs can pick from among those tools to test and measure their appropriateness and impact in the particular country context.

When selecting a tool, NCs and NSCs need to evaluate the appropriateness for the specific targeted audience.

### *Awards*

- Award

### *Media*

- Radio broadcast
- Rural Radio
- TV coverage
- Documentary
- Project video
- 30 second Public Service Announcement (PSA)
- Interviews

### *Publications*

- Booklet
- Articles
- Newsletter
- Brochure
- Poster
- Calendar
- Ecological site map
- Workshop materials

### *Events*

- Programme and / or Project launch
- Participation in Conference and / or Expositions
- Field demonstration of project activities
- Association with national campaign
- Environmental Fair
- School based art competition
- Photographic exhibit
- Theatrical sketch and puppets

### *Partnership development*

- Meetings between grassroots and influential leaders
- Knowledge based partnership with an in-country institution
- Designation of high-level mentors to promote the programme
- Partnership in Network

- Exchange visits among grantees of different SGP projects

*Promotional items*

- T-shirt
- Cap
- Cloth bag
- Pin
- Sticker
- Pen
- Banner
- Clock

*Best practices influencing others*

- Legislative Motion for adopting a SGP best practice at the national and /or district and / or local level

*Internet*

- Website
- Weblink
- PowerPoint presentation

*Other*

- Social organizer diary

## ANNEX 3



**United Nations Development Programme**  
**GLOBAL ENVIRONMENT FACILITY**  
**Small Grants Programme**



### CRITERIA FOR NEW COUNTRIES

#### PREREQUISITES

- **Ratification of Biological Diversity and Climate Change Conventions**
- **Government interest** in joining the programme and support for the programme's implementation modality. This includes establishment of a National Steering Committee to be composed of members from NGOs, civil society organizations, academe, government, UNDP and others, as appropriate, with a non-governmental majority.
- Presence and adequate implementation capacity of **local NGOs and CBOs** (Community-Based Organizations).
- **Resources mobilization potential:** willingness of UNDP/CO and government to co-finance and/or help attract other co-funding sources.

#### Preferred

- Existence of environmental threats and needs in GEF thematic areas.
- Existence of areas with significant global biodiversity
- Satisfactory Government-NGO relations.
- Positive enabling environment.
- Presence of other relevant donor programmes; presence (current or proposed) of a national environmental fund or other potential local funding sources (private or public sector).
- Presence of one or more regular GEF projects (related to SGP mainstreaming objective).
- Presence of other UNDP small grant programmes to promote sustainable development (Africa 2000 Network, LIFE).