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**JOINT GEF/UNDP
SMALL GRANTS PROGRAMME EVALUATION**

FINAL REPORT

Unedited

(Prepared jointly by the GEF and UNDP Independent Evaluation Offices)

EXECUTIVE SUMMARY

1. The Global Environment Facility (GEF) created the Small Grants Programme (SGP) in 1992 with the explicit aim of developing community-led and community-owned strategies and technologies for reducing threats to the global environment whilst addressing livelihood challenges. The SGP is implemented by the United National Development Programme (UNDP), while the United Nations Office for Project Services (UNOPS) provides financial and administrative support services. A global Central Programme Management Team (CPMT) provides supervision and technical support to programme countries. Each participating country has an SGP National Coordinator, supported substantively by a National Steering Committee. Activities in each participating country are guided by a Country Programme Strategy (CPS).
2. The principal strategy of the SGP is to provide small grants – up to a maximum of \$50,000 – to needy communities in order to support the use of practices and technologies that benefit the global environment. Since start-up, the SGP has provided over eighteen thousand such grants to communities in over 125 countries. The SGP was not initially designed as a permanent programme, and the original intent was to ‘graduate’ country programmes after a period of time. However, the SGP is now considered a permanent modality of the GEF, and the concept of *graduation* has been redefined as *upgrading*, whereby ‘upgraded’ SGP country programmes are treated as GEF Full Size Projects (FSP).
3. The GEF/ UNDP) Evaluation of the SGP (hereafter called the Joint GEF/UNDP Evaluation) responds to a direct request from the GEF Council. The evaluation covers the period 2008 to the present, with a focus on the fifth SGP Operational Phase (OP5), which began in 2011. The evaluation is a joint effort of the GEF and the UNDP Independent Evaluation Offices.
4. The Joint GEF/UNDP Evaluation adopted a mixed-methods approach encompassing both quantitative and qualitative data gathering and analyses. Country studies were conducted through interviews, field visits and documentation review in twelve diverse countries, ranging from the longest running country programme to more recent ones, in the main geographical regions of the GEF. A global online survey was administered to national stakeholders, gathering responses from 124 countries. Other tools used include a general literature review; a meta-analysis of 50 evaluations related to SGP; an in-depth review of a sample of 30 SGP CPS documents; a portfolio review of detailed financial data – in the UNDP, CPMT and UNOPS databases; and, interviews with central level SGP stakeholders.
5. This report responds to key evaluations questions included in the Terms of Reference (Annex 1), covering four main areas: a) Current role and results of the SGP: effectiveness in achieving global environmental benefits while addressing livelihoods, poverty and gender; b) Broader adoption issues; c) SGP’s strategic positioning; and d) Efficiency issues, including Monitoring and Evaluation (M&E). Particular attention was given to the upgrading of SGP country programs and related policies.
6. The Joint GEF/UNDP Evaluation of the SGP has reached the following five conclusions:

- (a) SGP continues to support communities with projects that are effective, efficient and relevant in achieving global environmental benefits while addressing livelihoods and poverty, as well as promoting gender equality and empowering women. Replication, scaling up and mainstreaming are occurring.
- (b) The introduction of upgrading and related policies contributed to the evolution of the SGP by setting out expectations for country programmes and their development over time. The new policies have resulted in increased resources for the SGP. However, they have also brought challenges. The current criteria for selecting countries for upgrading to Full-Sized Projects are not optimal.
- (c) As a global programme, acting nationally and locally, and being grassroots driven, the SGP must align to GEF, UNDP, national and local priorities. Within this context, the SGP has successfully remained coherent whilst being flexible. However, different perspectives and changing contexts create tensions. The global or long-term vision of the SGP has not been updated.
- (d) The SGP governance and management structures have been adequate, but are increasingly strained by an ever rapidly changing context. The GEF corporate nature of the SGP and the role and value added of UNDP as the GEF Agency are not clearly articulated.
- (e) Despite important progress, M&E does not adequately support decision-making and remains too complex.

7. Based on the above conclusions, the Joint GEF/UNDP Evaluation formulated the following four recommendations, addressed to the respective recipient:

To the GEF

- (a) Revitalize the SGP Steering Committee to support high-level strategic thinking in developing a long term vision for the SGP, to foster dialogue between UNDP and the GEF, and to advise the Council as appropriate on strategic decision making.

To the GEF and UNDP

- (b) Continue upgrading, building on strengths while addressing the weaknesses identified. The criteria for selection of countries for upgrading should be revisited.

To UNDP

- (c) Ensure that the SGP is implemented under a single, coherent global programme framework.

To UNDP and CPMT

- (d) Continue efforts to improve M&E, designing more streamlined and useful M&E tools and activities that balance the need to measure with the need to provide support to local communities in tackling environmental issues.

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ABBREVIATIONS AND ACRONYMS

2008 Joint Evaluation	The joint UNDP/GEF evaluation of the SGP undertaken during 2007 and 2008
ACPER	Annual Country Portfolio Evaluation Report (GEF)
ADR	Assessments of Development Results
AMR	Annual Monitoring Report
CBA	Community-Based Adaptation
CBO	Community-Based Organization
CEO	Chief Executive Officer (of the GEF)
CO	Country Offices (UNDP)
COMDEKS	Community Development and Knowledge Management for the Satoyama Initiative
COMPACT	Community Management of Protected Areas for Conservation Initiative
CPAP	Country Programme Action Plan (UNDP)
CPD	Country Programme Document (UNDP)
CPMT	Central Programme Management Team of the SGP
CPS	Country Programme Strategy(SGP)
CSO	Civil Society Organization
FSP	Full-sized project (a modality under the GEF)
GEF	Global Environment Facility
GEF 4	Fourth Replenishment of the GEF
GEF 5	Fifth Replenishment of the GEF
GEF 6	Sixth Replenishment of the GEF
ICCA	Indigenous and Community Conservation Area
IEO	Independent Evaluation Office
LDCs	Least Developed Countries
M&E	Monitoring and evaluation
MAR	Management Action Record
MSP	Medium-sized project (a modality under the GEF)
NC	National Coordinator
NGO	Non-Governmental Organization
NSC	National Steering Committee
OFFP	Operational Focal Point (GEF)
OP	Operational Phase
OPS 4	Fourth Overall Performance Study of the GEF
OPS 5	Fifth Overall Performance Study of the GEF
PA	Programme Assistant
POPs	Persistent Organic Pollutants
RAF	Resource Allocation Framework
SGP	Small Grants Programme (of the GEF)
SGP OP3	The third operational phase of the SGP
SGP OP4	The fourth operational phase of the SGP
SGP OP5	The fifth operational phase of the SGP
SGP OP6	The sixth operational phase of the SGP
SIDS	Small Island Developing States
SMART	Specific, Measurable, Achievable, Realistic, Time-bound
STAP	Scientific and Technical Advisory Panel
STAR	System for Transparent Allocation of Resources

TOC	Theory of Change
ToR	Terms of Reference
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNDP/GEF	The unit in UNDP responsible for GEF programmes and projects
UNOPS	United Nations Office for Project Services

I. INTRODUCTION

1. The Global Environment Facility (GEF) created the Small Grants Programme (SGP) in 1992 with the explicit aim of developing community-led and community-owned strategies and technologies for reducing threats to the global environment – notably biodiversity loss, mitigating climate change and the protection of international waters – whilst addressing livelihood challenges.

2. The SGP was created as a Corporate GEF Programme and is implemented by the United Nations Development Programme (UNDP). The United Nations Office for Project Services (UNOPS) provides financial and administrative support services. A global Central Programme Management Team (CPMT) provides supervision and technical support to programme countries. Activities in each participating country are guided by a Country Programme Strategy (CPS), developed in line with a global template. Each participating country has an SGP National Coordinator, supported substantively by a National Steering Committee and operationally by a Programme Assistant (PA). Project ideas are generated at the community level.

3. The principal strategy of the SGP is to provide small grants – up to a maximum of \$50,000 – to needy communities in order to support the use of practices and technologies that benefit the global environment. Since start-up, the SGP has provided over eighteen thousand such grants to communities in over 125 countries. In addition to delivering these grants, in line with the overall GEF strategic approach, funds under the SGP are also used for related capacity development, monitoring and evaluation, knowledge management, scaling-up and replication, and project management.

4. The overall objective of the SGP during the fifth Operational Phase of the GEF (SGP OP5) is “*Global Environmental Benefits secured through community-based initiatives and actions*”. SGP OP5 formally covers a four year period starting in 2011. One aim during SGP OP5 was to expand coverage to 136 countries. The total GEF allocated funding is \$288.28 million, of which \$134.62 million is SGP Core funds (i.e. an allocation determined as part of the overall GEF replenishment discussions), and the remainder are funds that the concerned countries have chosen to allocate to the SGP out of their GEF country allocation through the System of Transparent Allocation of Resources (STAR). In addition to GEF funds, the total co-financing mobilized at the time of approval was \$345.24 million from diverse sources. SGP OP5 was designed to contribute to the following GEF Focal Areas: biodiversity; climate change; land degradation; international waters; chemicals; and cross-cutting capacity development. Annex 6 provides a more detailed overview of the Fifth SGP Operational Programme by focal area, SGP objective, and funding.

5. This Evaluation responds to a direct request from the GEF Council. It covers the period 2008 to the present with a focus on SGP OP5. It is a joint effort of the GEF and the UNDP Independent Evaluation Offices. The Evaluation execution structure includes a Steering Committee, a Management Team and an Evaluation Team, including independent evaluators, consultants and research assistants. The Terms of Reference (TORs) for the Evaluation are provided in Annex 1.

6. The Evaluation was conducted in four main steps: planning and design; data collection; analysis; report writing; and consultation. Data was gathered using the following tools:

- (a) Country studies in twelve diverse countries, ranging from the longest running country programmes to several more recently established programmes, and covering the main geographical regions of the GEF. Data was collected during the country visits through interviews, focus group meetings, documentation review and visits to grantees and project sites. In each country, ten to fifteen projects were visited in order to collect project specific data;
- (b) A global online survey of programme country stakeholders. The survey focused on evaluation questions related to SGP's strategy and niche, broader adoption, gender and poverty. The questionnaire was sent in total to 2,449 people and the overall response rate was 48 percent. Responses were received from 124 countries;
- (c) A literature review;
- (d) A meta-analysis of 50 evaluations related to SGP;
- (e) An in-depth review of a sample of 30 CPS documents;
- (f) A portfolio review of the data – including detailed financial data – in the UNDP, CPMT and UNOPS databases; and,
- (g) Interviews with global and central SGP stakeholders.

7. The vast amounts of data collected provide an extremely rich picture of the SGP and its operations during 2008 – 2014. However, as is always the case with a complex evaluation of this nature, the Evaluation did encounter some limitations, including the shortage of comprehensive quantitative data related to some aspects of the SGP, such as effectiveness at project and country level, and the fact that only a sample of SGP country programmes and projects could be directly assessed by the Evaluation Team. A complete account of the evaluation purpose, scope, methods and limitations is provided in Annex 2.

8. This report covers four main areas: a) Current role and results of the SGP: effectiveness in achieving global environmental benefits while addressing livelihoods, poverty and gender; b) Broader adoption issues; c) SGP's strategic positioning; and d) Efficiency issues, including M&E.

II SGP: CURRENT ROLE AND RESULTS

9. This chapter briefly presents SGP's current role, and then goes on to assess SGP's contributions to global environmental results. The chapter then looks at SGP's results in terms of livelihoods support to communities and in promoting gender equality and women's empowerment.

10. The SGP was originally set up as a program to support local initiatives to deal with environment and development issues of global relevance. The number of countries participating in 1992 was 33, and this had grown to 84 by 2007. Until 2007, all SGP country programmes were financed through the SGP Core funds. Previous evaluations of the SGP have indicated positive results. An evaluation of the SGP undertaken in the biennium 2006/8 – hereafter called the “2008 Joint Evaluation” – concluded that SGP was highly effective in generating global environmental benefits, through the combined effect of multiple small scale interventions.

11. The SGP was not initially designed as a permanent programme, and there were sunset provisions established for the duration of each country programme. The intent was to ‘graduate’ country programmes after a period of time, in order to create budget space for new countries, as well as to encourage partner governments to take greater initiative on their own to support the environmental protection efforts of local government and civil society organizations.¹ Conclusions and recommendations from the 2008 Joint Evaluation and of the GEF Fourth Operational Performance Study (OPS4) stimulated debate around the future of the SGP amongst GEF Council members and other stakeholders, culminating in major changes to the programme. As set out in Council Decision GEF/ME/C.32/2 and several subsequent policy documents, the SGP became a permanent modality of the GEF, and the concept of *graduation* was further defined in an *upgrading* policy.

12. The upgrading policy included several important funding and operational changes. First, references to sunset provisions for country programmes were curtailed. Second, ‘upgraded’ country programmes were to be treated as a GEF Full Size Project (FSP) – although the FSP modality was meant to be expedited in the case of SGP FSPs – and funded through the general GEF programme budget, e.g. using the Resource Allocation Framework (RAF) during GEF4, and then the STAR in GEF5. In addition, the ‘non-upgraded’ country programmes still managed by the CPMT, could utilize a mix of SGP Core funds and funding from country RAF/STAR allocations. Finally, financial limits were placed on all SGP country programmes to avoid squeezing out other GEF priorities. A more complete discussion of upgrading is included in Chapter IV of this report.

13. Prior to 2008, various decisions from the GEF Council requested an increase in the number of participating countries. As a modality under GEF, in principal, all GEF countries should be able to choose to participate in SGP. The 2008 Joint Evaluation notes a “*request from the GEF Secretariat to quickly expand the programme to 23 additional countries*”. As a result,

¹ In December 2006 the GEF Secretariat issued guidelines stating that “*beginning 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.*” GEF/C.33/5, pp. 13

since 2008 the number of countries participating in the SGP has increased considerably (Table 1). Most of this increase took place during 2008/2010.

Table 1: Growth in participating countries and number of grants issued

Data	1992- 2007*	2007 – 2014**
No. of countries	84	122
No. of grants	9182	9481
GEF delivered financing (US\$, million)	200.35	287.68

Source: SGP database as of 23 July 2014

*Data in this column include the Pilot Phase, OP1, OP2, and OP3

**Data in this column include OP4 and OP5 (noting that OP5 is still ongoing)

14. Importantly, the new countries include a high proportion of Small Island Developing States (SIDS), Least Developed Countries (LDCs) and countries with “fragile” or “conflict affected” situations² –where it is generally considered more difficult to establish SGP programmes. The proportion of these countries is much higher in the countries starting the SGP after mid-2007 (Table 2).

Table 2: Proportion of LDCs, SIDS and countries experiencing ‘fragile situations’

Countries	1992-2007*		2007 -2014**		New countries (since 2007)	
All SGP Countries	84		122		42***	
LDCs and/or SIDS and/or "Fragile Situation"	37	44%	63	52%	28	67%
LDCs	19	23%	37	30%	18	43%
SIDS	16	19%	28	23%	14	33%
"Fragile Situations"	11	13%	24	20%	13	31%

Source: SGP Database as of 30 June 2014

Note: Not all categories of countries are mutually exclusive, i.e., some countries may be categorized as LDCs, SIDS and as ‘fragile’, so figures do not add up to the total.

* Data in this column include the Pilot Phase, OP1, OP2 and OP3

** Data in this column include OP4 and OP5

*** 42 countries commenced their programmes starting with OP4; four countries did not continue with their programmes into OP4 and OP5

Results - Global Environment Benefits

15. The SGP OP5 overall objective is: “*global environmental benefits secured through community-based initiatives and actions.*” The SGP OP4 and OP5 identified specific objectives and targets for achieving global environmental benefits that conform to the overall GEF 4 and

² Source for LDCs: United Nations Office of the High Representative for the Least Developed Countries, Landlocked Developing Countries and the Small Island Developing States (UN-OHRLLS) <http://www.unohrlls.org/en/ldc/25/> (August 30, 2013).

Source for SIDS: UN-OHRLLS, <http://www.unohrlls.org/en/sids/44/> (August 30, 2013).

In order to provide an indicative measure of the changes in the type of countries SGP was and is working in, the Evaluation Team used the World Bank Harmonized list of Fragile Situations, <http://siteresources.worldbank.org/EXTLICUS/Resources/511777-1269623894864/HarmonizedlistoffragilestatesFY14.pdf> (August 30, 2013).

GEF 5 strategic priorities for each GEF focal area. This Section assesses the extent to which SGP’s results during the period 2008 – 2014 are commensurate with these objectives.

16. SGP has provided grants in all of the GEF focal areas. In terms of distribution across focal areas, the percentage of grants (in US\$) allocated to each focal area from start-up through SGP OP3 (1992 to 2007), SGP OP4 and SGP OP5 (Table 3) shows no major change in focal area coverage since the 2008 Joint Evaluation. Minor shifts include a reduction in the percentage of resources allocated to biodiversity projects (from 55 percent in the early phases, to 44 percent in OP4 and 38 percent in OP5 to date), and increases in cross-cutting capacity development (a new focal area), land degradation (from only 9 percent prior to 2007, to 21 percent in OP5), and climate change (from around 15 percent prior to OP4 to 25 percent in OP5). In short, SGP OP5 has continued coverage of the traditional focal areas whilst covering the new areas of adaptation to climate change and cross-cutting capacity development.

Table 3: Evolution of focal area coverage under the SGP

Focal Area	1992 – 2007*	SGP OP4	SGP OP5
	<i>(percent of grants, in US\$)</i>		
Biodiversity	55	44	38
Climate change adaptation	< 1	4	4
Climate change mitigation	15	24	25
Cross-cutting capacity development	< 1	< 1	4
International waters	5	5	3
Land degradation	9	14	21
Multi-focal area	14	6	< 1
POPs	2	3	3
Blank	0	< 1	< 1

Source: SGP Database as of 23 July, 2014

* Data in this column include the Pilot Phase, OP1, OP2 and OP3

17. With respect to results, evidence collected in the countries visited by the Evaluation Team indicates that SGP grants continue to support projects that have high levels of success in securing global environmental benefits in both mature and newer programme countries. As part of eleven of the country visits, a total of 144 grant projects were visited and assessed with respect to their relevance, effectiveness, and efficiency. These ratings were combined into an overall outcome rating (see Annex 3). Seventy-seven percent of the grants thus assessed were found to be in the ‘satisfactory’ range in terms of overall outcomes (Table 4). This average overall outcome rating is slightly inferior to the outcome ratings for 641 GEF projects, out of which 83 percent were in the satisfactory range.³ The SGP results are nevertheless impressive, given the high number of small scale projects, the emphasis on innovation and piloting, the wide variety of intended outcomes and the wide range of competencies of local project managers.

Table 4: Overall outcome ratings

Rating	% of projects
Highly Satisfactory	13%
Satisfactory	47%
Moderately Satisfactory	17%

³ GEF/ME/C.46/02, Annual Performance Report 2013: Main Findings and Recommendations, May 2014, p. 2.

Satisfactory Range	77%
Moderately Unsatisfactory	13%
Unsatisfactory	5%
Highly Unsatisfactory	1%
Unsatisfactory Range	19%
Unable to Assess	3%
Total	100%
<i>Total number of projects assessed</i>	<i>144</i>

Source: Country Studies (Annex 3)

18. Illustrative examples from the country visits of SGP support to the achievement of global environmental benefits in the different focal areas are provided in Box 1.

Box 1: Global Environmental Benefits – Illustrative Examples

Biodiversity. The SGP Evaluation Team visited a wide selection of grant projects in the biodiversity focal area. These projects included support to sustainable production; protection of vulnerable species and genetic variability; forest protection and restoration; protected areas and buffer zones; and to indigenous and community conservation areas and territories. In Peru, biodiversity projects were mainly located in important ecosystems such as *tundra*, *puna*, *dry forest* and *Amazonia* and focused on agro-ecology and/or maintenance of the genetic value of traditional products. Some interventions led to restoring populations that had been depleted due to their low economic value (e.g., color alpacas, native potatoes, native beans); overexploitation (*lisa* fish) or habitat destruction (river shrimp).

In Jordan, projects in this focal area emphasized sustainable agriculture. For example, two projects. ‘Sustainable Agriculture - Fifa Protected Area’ and ‘Organic Crops Production & Environmental Conservation’ led to establishment of Community Managed Special Conservation areas. In Mongolia, a community-based forest management project in Mandal Soum contributed to conservation of 3113 hectares of forest area, by protecting it from illegal logging and establishing a tree nursery. An endangered species conservation project in Panama contributed to conservation of Sea Turtles in Cambutal, Los Santos. The project carried out a conservation awareness campaign, established Sea Turtle Patrols that now keep guard on the beaches from 7.00 pm to 2.00 am (the arrival time for sea turtles), and built the facilities for egg nesting in select areas of the beach.

Climate Change. Most of the sampled climate change projects focused on mitigation, i.e. reducing greenhouse gas emission by using both well-established and innovative technologies, and by working on reducing deforestation or supporting reforestation efforts. In Jordan, SGP climate change projects emphasized renewable energy technologies, such as solar water heaters. One project installed a solar heater that serves 71 families, who no longer cut trees to heat water. SGP Senegal supported solar cooker projects, which reduced pressure on forest resources and gave women more time to carry out income generating activities. In Uganda, a project led to installation of solar systems in 199 homes in three villages. A project in Mongolia introduced the use of sand bags for construction instead of wood, and in the Peruvian community of Chirquiyacu, farmers committed to protecting parts of the forests on their private land in order to protect the water resources, thus adapting to climate change.

Land Degradation. In the countries visited, SGP support focused on limiting soil erosion, improving soil fertility, increasing and expanding plant cover, and introducing water conservation and management techniques. In Mongolia, communities in the Gobi desert were able to test appropriate techniques and practices to combat desertification, for example by creating a 20 hectare reserve pasture to recover perennial grasses and native shrubs that protect soil from wind erosion and degradation, and by planting endemic trees and berry tree seedlings to form wind breaks and provide seed for fodder crops. In Jordan, where desertification menaces livelihoods and food security, one of several rain harvesting projects focused on conserving the natural plant cover and installed 42 wells, while raising awareness on land degradation issues. In Peru, a project constructed a small dam and ditches for water infiltration, which contributed to the recovery of the *puna* vegetation cover in the area. Communities in Panama developed silvo-pastoral systems, combining native trees with pasture and natural regeneration in order to improve livestock production and

contribute to the restoration of soils. High densities of native trees and shrubs were planted in pastures, providing shade and dietary supplement, while protecting the soil from compacting and erosion. The land area under production had increased the vegetation cover and was under diversified production (sugar cane molasses), which provided a demonstration model on how to achieve economic benefits from sustainable natural resource use and avoid harmful agricultural techniques such as slash and burn.

International Waters. In Uganda, SGP helped sensitize the community of Kigungu on the shores of Lake Victoria to environmental issues, and helped establish a waste management system, including construction of ecological sanitation toilets, a waste recycling site and composting pits. That same project installed efficient fish smoking kilns, and conserved the lake-fringing wetlands by rehabilitating abandoned sand mining pits planting trees. As a result, 35 acres around the Kigungu landing now boast many established trees and flowering plants, and over 240 people have gained skills in solid waste sorting, management and disposal, leading to the formation of a municipality-wide community implementation committee that ensures that hygiene is improved throughout Entebbe Municipality.

Persistent Organic Pollutants (POPs). In Mozambique, an SGP project raised awareness on oil pollution, prepared a booklet on the uses and management of contaminated residual oils and lubricants, and helped develop a system for disposal/recycling. Awareness was raised at all levels in the Ministry for the Coordination of Environmental Affairs, contributing to the revision of the national Residues Management Regulation. In Peru, two successful initiatives contributed to improving the management of pesticide containers. Initially, one project encountered resistance from the local authorities, but once they were invited to participate and began to see results, they promoted a local law (*ordenanza municipal*) for the final disposal of the containers. The same project also stimulated the interest of the National Industry Union, which financed a machine to recycle the containers for use with agro-chemicals.

19. In addition to the large amount of solid primary evidence gathered by the evaluation, a sizeable amount of secondary evidence of the global environmental benefits generated by SGP projects is also found in reports from the GEF, UNDP and others, which provide a large number of success stories reported in case studies covering a large range of countries and all GEF focal areas. SGP projects received 59 national and/or international awards during the period January 2011 – June 2012, and 41 during the period July 2012 – June 2013.⁴ Broad perceptions of interviewed national and international stakeholders indicate that SGP is effectively making a difference to both the achievement of global environmental benefits and the improvement of livelihoods in communities across the world.

20. Evidence collected in-country also reveals that 61 percent of the 144 sampled projects face negligible or only moderate risks to sustainability (Table 5), and 37 percent face significant or severe risks. This is comparable to other GEF projects, for which sustainability ratings have been consistent over the last several years with around 60 percent of projects having sustainability ratings of moderately likely or higher.⁵ According to perceptions from SGP stakeholders interviewed during the country visits, validated by field observations during the projects site visits, it is difficult to achieve sustainability for SGP projects, due to the low capacity of the project participants and the limited time duration of the grants – typically less than 18 months. Another challenge is the difficulty grantees face in accessing additional funding to continue their efforts. However, site interviews also revealed that even years after a project has finished, community members and project participants are able to describe in detail the project interventions. Yet, often in projects assessed as facing high risk to sustainability, the

⁴ SGP Annual Monitoring Reports 2012 and 2013

⁵ Annual Performance Report 2013, GEF/ME/C.46/02

physical inputs of the projects cannot be found or have visibly deteriorated, in some cases even before the project completion.

Table 5: Risks to sustainability of project results

Rating	% of projects
Severe risk	10%
Significant risk	27%
High risk	37%
Moderate risk	40%
No or negligible risk	21%
Low risk	61%
Unable to Assess	3%
Total	100%
<i>Total number of projects rated</i>	<i>144</i>

Source: Country Studies (Annex 3)

21. In addition to having direct impacts through individual projects, the SGP can be seen to contribute to broader impacts at local, regional and country scales. Broader adoption occurs when SGP achievements are mainstreamed, up-scaled or otherwise replicated, and the associated costs are covered by another source. This is discussed in greater detail in Chapter III.

Results – Poverty and Livelihoods

22. SGP, according to its mission statement, seeks to embody the very essence of sustainable development by “*thinking globally & acting locally*”. As described in the introduction, the programme aims to do this by providing financial and technical support to projects that conserve and restore the environment while enhancing people’s well-being and livelihoods. SGP states that it “*has three ‘pillars’ in its comprehensive approach to sustainable human development: environmental protection, poverty reduction and community empowerment.*”⁶

23. The 2008 Joint GEF/UNDP Evaluation of SGP concluded that, “*the SGP has contributed to direct global environmental benefits while also addressing the livelihood needs of local populations*” and that “*The SGP has made significant progress in targeting its efforts to help the poor*”. Subsequently, in 2010, the UNDP Evaluation Office conducted an *Evaluation of UNDP’s Contribution to Environmental Management for Poverty Reduction: the Poverty-Environment Nexus*. The evaluation found that the one area of UNDP’s externally funded operations that tackles poverty-environment issues centrally is the SGP.

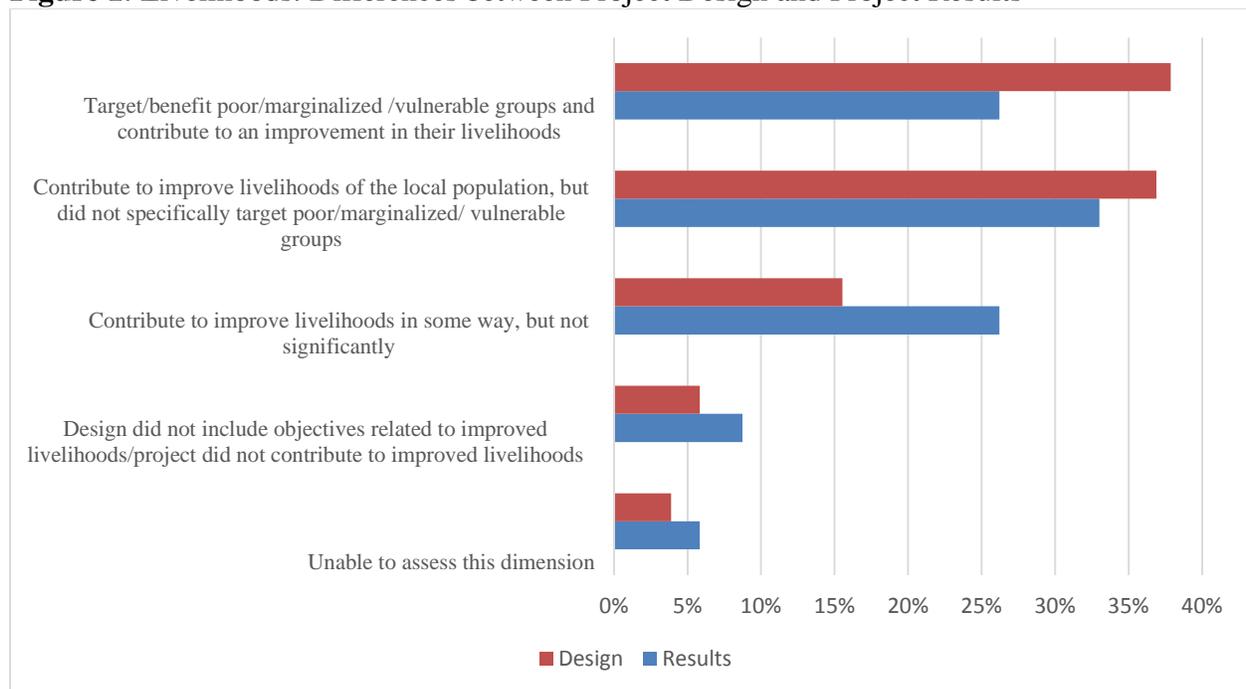
24. The SGP OP5 Project Document states that “*Local level sustainable development activities can, if properly focused and implemented and replicated at scale, produce decisive benefits to the global environment as well as community level benefits for the income and security of some of the poorest and most vulnerable populations of developing countries.*” The SGP OP5 document includes, in addition to objectives related to global environmental benefits, a

⁶ SGP website

specific objective related to livelihoods and gender: “SGP seeks to improve livelihoods through increasing local benefits generated from environmental resources, and mainstream gender considerations in community-based environmental initiatives.”

25. Evidence gathered suggests that the SGP has given significant attention to community level benefits and livelihoods, and that the attention is showing positive results. In eight countries, a total of 115 grant projects were examined first from the perspective of their design, and secondly from their actual results in terms of contribution to community livelihoods (Figure 1). With respect to design, 38 percent of these sampled projects explicitly sought to benefit poor, marginalized or vulnerable communities and contribute to improving their livelihoods. Another 37 percent of these projects aimed to contribute to livelihoods of the local population, without a specific focus on particular groups. In some projects (16 percent of the sample), references to livelihoods were included, but were not a significant element of the project design. Only a small percentage of the projects (6 percent of the sample) did not articulate any expected contribution to improved livelihoods.

Figure 1: Livelihoods: Differences between Project Design and Project Results



Source: Country studies (Annex 3)

26. In terms of results observed, 85 percent of the sampled projects had contributed in some, although not always significant, way to improving livelihoods. These results came about in different ways. In many cases, this occurred through simultaneous contribution to global environmental benefits and livelihoods, for example, where a solar cooker project, the stated objective of which was to regenerate vegetation, also served to reduce the time spent gathering wood and looking after a cooking fire, which allowed women time to pursue other income-generating activities.

27. Some projects included special livelihoods components such as a revolving micro-credit fund, while other projects generated short-term revenue for artisans engaged in project activities. Yet others sought to replace an environmentally harmful activity by another (for example in Senegal, women who were earning money by removing lead from unused car batteries and selling it to an industry used their grant to abandon this activity by investing in a new business processing cereals). It is noted that in most cases there was no quantitative evidence of increases in income or other benefits, and that these findings are based on qualitative accounts provided by community members during the site visits. Additional examples are provided further below (Box 2).

Box 2: Examples of approaches to livelihoods, poverty, inequality and exclusion from country visits

All of the sampled countries incorporate livelihoods elements into their programmes, with approaches adapted to the particular country context. For example, in Uganda, SGP seeks to address the needs of the poor so as to enhance their ability to conserve the environment. A key issue in Uganda is the extensive conversion of wetlands, especially for rice production, so several SGP projects are supporting communities to engage in sustainable land management and conservation agriculture to that they can simultaneously gain greater benefits from their upland farms and reduce their destruction of wetlands. Approaches to targeting the poor are also determined by local contexts.

In Mozambique, all projects were designed to target poor communities, and beneficiaries of almost all projects were natural resource dependent communities, primarily engaged in farming and fishing. In Cambodia, as in many programme countries, livelihoods improvement is a national priority, and all sampled projects were designed to contribute to livelihoods.

The extent to which programmes are designed to or able target the poorest or most vulnerable also varies. In Peru it was observed that the SGP seeks to and makes notable efforts to work with poor communities, for example by focusing on districts with higher poverty indices such as the central Andes. However, SGP does not always receive enough qualified proposals from these areas, although it does support groups with potential proposals with planning grants to more fully develop their projects. In addition, the poorest are often either not part of a community based organization, or their organizations have limited institutional structures, hence their inclusion is limited.

In Cambodia, stakeholders consider that SGP has a strong focus on poverty, but not on the poorest of the poor. These stakeholders pointed out that focusing on the latter would be much more challenging, or even impossible. At a minimum, doing so would require a revised strategy, different intervention mechanisms and revised targets. It was noted in the case of one project, that inclusion of the poorest of the poor was limited by their tendency to migrate in search of income generating activities to support their families. Focusing on the very poor would probably yield fewer results in terms of the global environment.

In Mozambique, the context is such that it is inappropriate to try to distinguish the poorest of the poor from the merely poor. For the sake of community stability and project implementation realities, beneficiary communities were regarded as a whole in the projects visited. In Panama, SGP specifically targets CBOs, most of which operate in rural areas and in indigenous *comarcas* which are amongst the poorest regions. However, at the individual project level, it was found the beneficiaries were not amongst the poorest of the poor.

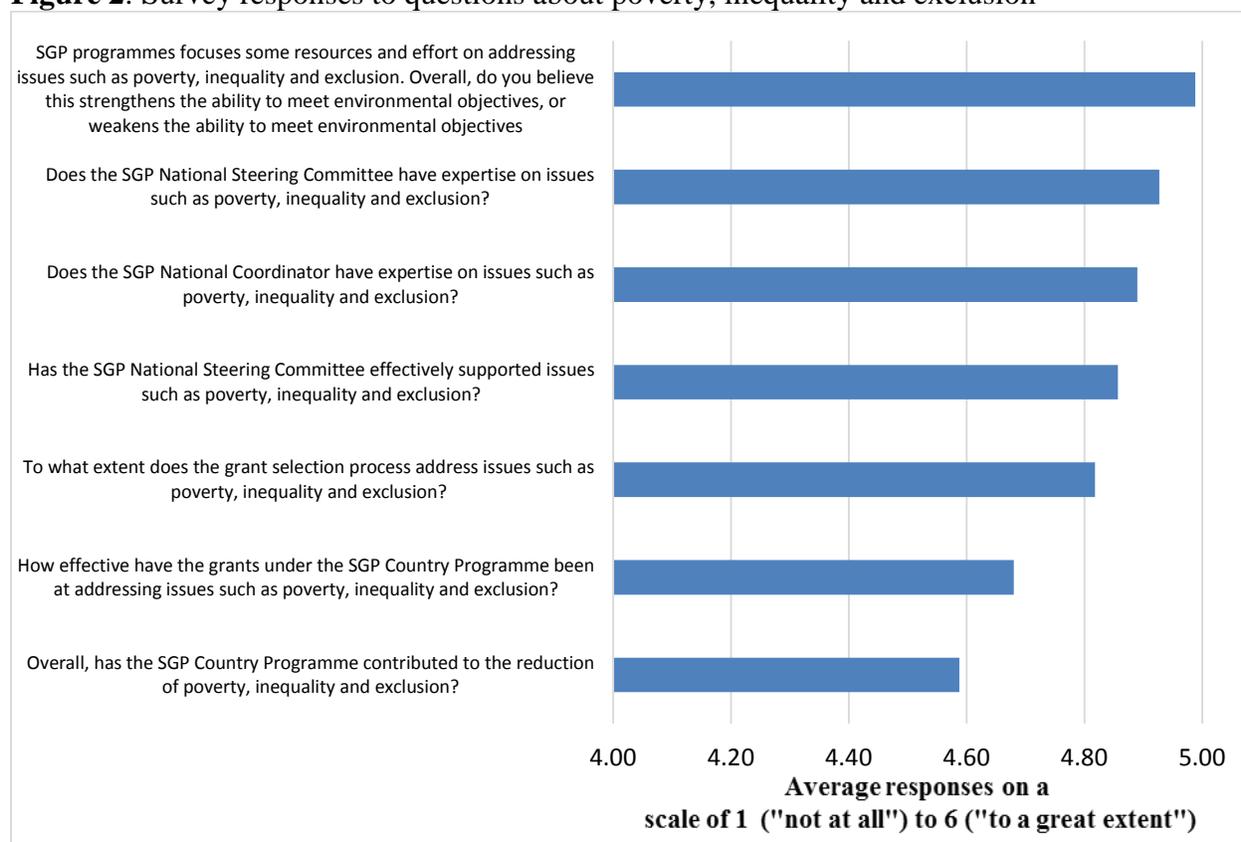
28. At the country programme level, a review of a sample of 30 SGP CPS revealed that all of the sampled countries integrate poverty and/or livelihoods into their CPS, although the extent of the discussion on and actual strategies to address these issues vary widely. Approximately half of the CPS emphasize issues related to poverty (e.g., the CPS include specific discussion of poverty alleviation, make reference to national poverty reduction strategies, and/or provide

poverty statistics); and the other half discuss more general issues related to sustainable livelihoods, such as income generation, community development activities, and improvement in the quality of life. Most of the CPSs adopt a geographic focus (25 out of 30). Of these, in seven the geographic focus is based on environmental considerations, whereas in 15 (half of the sample), poverty or livelihoods considerations are also taken into account in determining the geographic focus of the country programme.

29. The CPSs also differ in their approach to identifying target groups. Fourteen discussed specific categories of the population to be targeted, and of these, 12 refer specifically to indigenous people. Many of the documents use very broad categorizations such as the ‘poor’, the ‘vulnerable’, ‘the marginalized’. Seven CPS use specific terminology to distinguish the poorest sections of the society including ‘poorest of the poor’, ‘extreme poor’ or ‘ultra-poor’. One of the sampled CPS specifies that “...SGP is targeting the poor, but not specifically the poorest and the most marginal groups...”

30. National level respondents to the survey, including SGP managers and decision-makers, generally feel that the SGP’s efforts to address poverty, inequality and exclusion issues strengthen the programme’s ability to meet its environmental objectives. They suggest that the SGP – through its National Coordinator and National Steering Committee members – generally has the capacity and expertise to address many socio-economic objectives. They further agree the grant selection process is designed to help projects address poverty, inequality and exclusion. Responses are slightly less positive with respect to the effectiveness of grants and the SGP country programme in addressing these issues (Figure 2). Interviews at the country level confirmed that most national stakeholders feel the SGP is addressing livelihoods and poverty reduction. However, there was much less understanding and agreement as to whether SGP addresses the needs of the poorest, the vulnerable and the marginalized.

Figure 2: Survey responses to questions about poverty, inequality and exclusion⁷



Source: Global Online Survey (Annex 4)

31. At the global level, SGP planners and managers are committed to addressing socio-economic objectives within the SGP, and many senior CPMT and UNDP stakeholders believe that the SGP should make a special effort to target the poorest of the poor. Not surprisingly, there is a lack of consensus amongst key stakeholders on the extent that other socio-economic priorities should be addressed within the SGP. Stakeholder views documented during the evaluation largely support the contention that reducing poverty, and combatting inequality and social exclusion enhance efforts to protect the environment, and they note that the SGP has particular capabilities to reach the weakest and most marginalized community members. There are competing views as to how directly these issues should be addressed within the SGP. Some view that the incorporation of livelihoods components into SGP projects can be an end in itself. Others suggest that addressing livelihoods is a useful strategy for achieving global environmental benefits. A third view is that other mechanisms should be used for combatting poverty and injustice, and care should be taken not to dilute the SGP's primary mandate.

⁷ The question about the NC does not include the responses from NCs, and the questions about the NSC do not include NSC responses, to reduce possible positive biases from 'self-assessment'.

Results – Gender Equality and Women’s Empowerment

32. According to its Roadmap for Gender Equality, the GEF “*has a long history of investing in local actions geared toward social inclusion to achieve global environmental objectives. Mainstreaming gender through GEF programmes and projects presents opportunities for enhancing project value as well as advancing gender equality and women’s empowerment.*”⁸

UNDP policy also is to mainstream gender equality and women’s empowerment across its operations, “*not only as human rights, but also because they are a pathway to achieving the Millennium Development Goals and sustainable development.*”⁹ The 2008 Joint Evaluation highlighted the participation of women in SGP; however, there has otherwise not been an independent analysis of SGP work related to gender. This evaluation seeks to answer the question “to what extent does SGP contribute to gender equality and women’s empowerment?”

33. Since 2006, in line with the evolving GEF and UNDP policies, SGP has undertaken a range of steps to promote gender mainstreaming and women’s empowerment. The CPMT has a gender focal point and has provided guidance materials and training for national stakeholders. The CPMT has undertaken surveys, ensured that the CPS template includes gender concerns, and has requested all NSCs to have a gender specialist.

34. In response to this guidance, countries have systematically integrated gender in their CPS - although the quality, scope and extent of the approach vary from country to country. Two-thirds of the 30 CPS reviewed have a relatively strong approach to gender whereby they elaborate the concrete steps that should be taken, for example the inclusion of gender-specific measures in projects. The other one-third have a weaker approach, often simply stating the generic statement, “*gender as one of mandatory cross-cutting requirements in the SGP grant-making criteria is mainstreamed throughout the SGP portfolio of projects and incorporated within the project cycle.*”

35. The majority of the desk-reviewed CPSs mention practical steps to promote gender in SGP projects. Almost two-thirds (64 percent) refer to project selection: eight CPSs (27 percent) indicate that gender will be one of the criteria for project selection and approval, 11 CPSs (37 percent) note that projects that plan to address gender concerns will be prioritized. Twenty-four CPSs (80 percent) provided some evidence of their intent to include a gender perspective in project implementation, often in the form of a statement that the country programme would ensure equal participation of men and women in project implementation. Interestingly, Jamaica is the only country in the sample that explicitly noted a gender imbalance with respect to men. The CPSs noted that SGP would strive to introduce “... broad-based gender equality rather than merely increasing the number of female grantees.” As women currently play leading roles in SGP projects in Jamaica, this country’s efforts were to be focused on improving male participation in community-based activities.

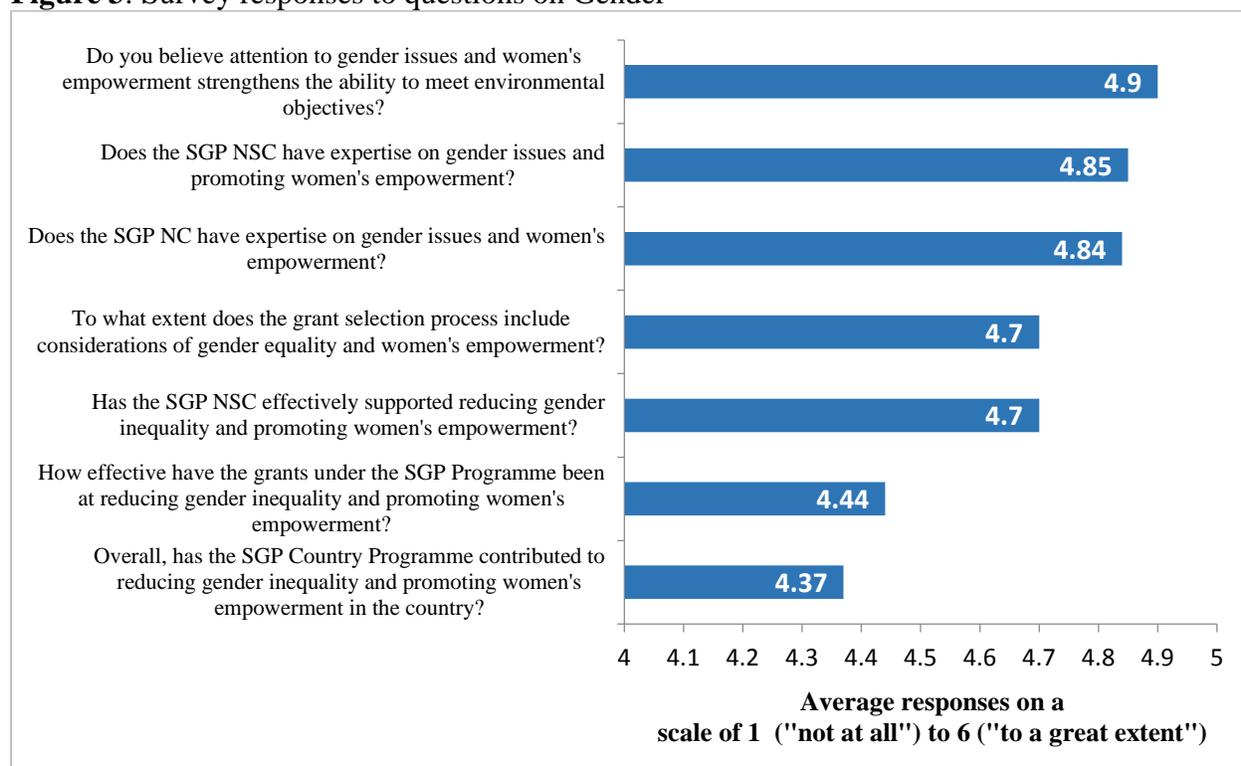
36. National SGP stakeholders generally believe that attention to gender and women’s empowerment strengthened the ability to meet environmental objectives, as survey results indicate (Figure 3). Nearly 60 percent of survey respondents find that the SGP grant selection process includes consideration of gender equality to a great extent (ratings 5 or 6 on a scale to 1

⁸ Roadmap for Gender Equality, pp. 3

⁹ <http://www.undp.org/content/undp/en/home/ourwork/womenempowerment/overview.html>

to 6), and 47 percent find that grants have effectively (rating 5 or 6) contributed to gender equality and women’s empowerment. National Coordinators and National Steering Committees are perceived to have some level of gender expertise. Nearly 60 percent of survey respondents find that the SGP grant selection process includes consideration of gender equality to a great extent (ratings 5 or 6 on a scale to 1 to 6), and 47 percent find that grants have effectively (rating 5 or 6) contributed to gender equality and women’s empowerment.

Figure 3: Survey responses to questions on Gender



Source: Global Online Survey (Annex 4)

37. Actual results, on the ground, in terms of promoting gender equality and contributing to gender empowerment are evident. Of the 103 grant projects that were assessed with respect to gender (Table 6), more than half were found to have benefitted women and men equally, or to have disproportionately benefitted women. Many other projects benefitted women, although not to the same extent as men. These benefits to women take different forms, for example, access to micro-credit, increases in income, greater livelihood security, and access to water and to energy, or time-savings from new technology. Sometimes benefits were indirect: for example, in one case in Mozambique, the drilling of boreholes for watering trees reduced the need for women to walk long distances to fetch water.

38. Women and men also mentioned increases in women’s empowerment, for example, sharing that women had taken on new leadership roles in projects and this then extended to greater participation in other community activities, including decision making. Finally, there was no evidence or belief that there is a trade-off between gender objectives and the SGP’s global environmental objectives.

Table 6: Gender assessments for 103 sampled projects

Criteria	# of projects	% of projects
Gender concerns were integrated throughout the project cycle and results disproportionately benefited women and/or brought about noticeable advances in gender equality and/or women's empowerment	19	18%
Gender concerns were integrated throughout the project cycle and results benefited women and men equally	35	34%
Gender concerns were integrated to some extent, and women participated/benefited to some extent, but not to the same extent as men	25	24%
The project did not integrate gender concerns or only to a limited extent, and did not bring about noticeable benefits for women, but could have done more, given the nature of the project (missed opportunity)	16	16%
The project design did not include any reference to gender concerns and generally the project was not expected to contribute noticeably to gender equality	3	3%
UA - Unable to Assess	5	5%
Total	103	100%

Source: Country Studies (Annex 3)

39. These findings for SGP – where 52 percent of the sampled projects can be considered to have successfully mainstreamed gender - can be compared with an analysis of 281 GEF projects, where 124 did not consider gender and were not expected to, and of the remaining 157 projects, only 55 projects or 35 percent successfully mainstreamed gender in their design and implementation. Another 35 percent of the GEF projects mentioned gender but did not incorporate it in their activities. The remaining 27 percent presented themselves as “gender not relevant” although their terminal evaluations provide evidence that gender was in fact relevant. In comparison, only 16 percent of the sampled SGP projects were considered to have “missed opportunities” to integrate gender.¹⁰

40. SGP's achievements in promoting gender equality and women's empowerment are inevitably accompanied by challenges. A range of factors influence results in this area. At the global level, extremely ambitious targets were set in the SGP OP5 project document. The first target is that “all SGP projects include gender analysis or incorporate gender relevant elements in a positive manner.” CPMT has provided guidance and tools, however there is little evidence of gender or social analysis being carried out either during CPS development or during project design. The second target is, “all projects ensure appropriate gender balance of participants and target beneficiaries,” and a related indicator is, “number of participating community members (gender disaggregated).” There is however limited use of sex-disaggregated data in project reporting, even for the simple indicator mentioned.

41. The CPMT reports that gender guidelines are not strictly enforced as SGP adopts a flexible approach given the multitude of contexts in which it works. As many grantees are entering the international arena for the first time, the CPMT tries not to burden them with too many restrictions. However, it is noted that by adopting unrealistic targets – e.g., requiring that ‘all’ projects should include a gender analysis - it becomes difficult to assess whether the programme is actually making the desired progress.

¹⁰ <http://www.thegef.org/gef/sites/thegef.org/files/documents/OPS5-Final-Report-EN.pdf>, pp. 61

42. The National Coordinator and the National Steering Committee play an important role in integrating gender into SGP projects, as they provide advice to potential grantees on how to develop their grant proposals. In addition, they determine the extent to which gender criteria are applied in project selection. The country visits suggest that in many countries NC and the NSCs are playing this role: in only one of the eight countries where the gender dimension was explored was it found that the SGP team had little knowledge of how to adopt a gender approach or how to incorporate gender into projects.

43. Local contexts and traditional roles of men and women also influence the extent to which women are involved in project activities. Project level visits revealed that, in some contexts, women's traditionally subordinate role to men and lower educational levels affect women's involvement in project activities. Gendered division of labour also plays a role: a number of the sampled projects focused on activities which are traditionally carried out by men, such as fishing or certain agricultural activities, and thus these projects involved more men than women. However, other projects were focused on activities traditionally led by women, such as the culture of mangroves and harvesting of shellfish in Senegal, and beekeeping in Mongolia. In many cases, the SGP projects thus reinforced existing gender roles.

III BROADER ADOPTION IN THE SGP

44. Chapter II assessed the outcomes of individual SGP grants in terms of environmental benefits and in terms of other important socio-economic and human rights objectives. As outlined in the GEF generic Theory of Change (TOC) Framework¹¹, in addition to those outcomes, the broader adoption of outcomes achieved by GEF projects (e.g. GEF support to strategies, techniques, technologies, approaches, knowledge management and institutional capacity) is critical if GEF is to achieve global environmental benefits in the long run. Due to its very nature and to the local scale of its operations, the SGP is different from other modalities of GEF support and as such is not to be held accountable for achieving global environmental benefits through broader adoption of grant level results. Having said that, the SGP is subject to expectations that it indeed should aim at higher-than-grant level effectiveness, and CPMT is doing its best to respond to those expectations, as shown further below.

45. This Chapter reviews the broader adoption of SGP outcomes at local and higher scales and explores the contributing factors. As this is the first time to assess broader adoption in SGP, the aim is not to provide evaluative judgments, but rather to provide a fuller understanding of whether and how broader adoption takes place, the mechanisms being used for broader adoption, to consider where and how change is taking place and under what conditions. The aim is to provide evidence in support of further discussions and clarification on expectations in this matter, and offer insights for future policy formulation.

Broader Adoption in the SGP Upgrading Policy and other official documents

46. Five transformational processes have been found to lead to broader adoption in GEF; these are *sustaining*, *mainstreaming*, *replication*, *scaling-up* and *market change*. Sustainability has a long-established history (both conceptually and in terms of data gathering) and can be quantitatively assessed for the SGP. Sustainability at local scale (i.e., individual project level) was assessed, and is discussed in Chapter II above.¹²

47. The other four processes – mainstreaming, replication, scaling-up and market change – are newer for the SGP, even in terms of understanding the expectations placed on the SGP country programmes, as well as the related monitoring and evaluation requirements. Nevertheless, some of these processes – notably mainstreaming, replication and scaling-up – have become subject to performance targets (Box 3).

Box 3: GEF Council performance targets for mature SGP country programmes

Council Paper C.36/4 categorizes country programmes as part of the “upgrading” process. Hence Category 1 includes all SIDS and LDCs SGP country programmes, as well as those that have been in operation for fewer than 5 years. Category 2 is all other SGP country programmes that have been in operation for more than 5 years

¹¹ For more information on the general framework for the GEF theory of change developed by the GEF IEO see the OPS5 study, section 7.3., available at: <http://www.thegef.org/gef/sites/thegef.org/files/documents/OPS5-Final-Report-EN.pdf>

¹² Sustainability in the GEF TOC Framework does not have the status that is normally given in the evaluation literature. The point of the GEF TOC Framework analysis is rather to assess transformation and change. Under this light, sustainability (which implies durability, i.e. with no change) is not always desirable as some technologies, enterprises or institutions will have to change under changing contexts. In fact, only on a few cases does sustainability become important.

and fewer than 15 years. Category 3 is all SGP country programmes that have been in operation for more than 15 years. This paper states that for each successive category, higher levels of performance will be required.

With regards to broader adoption, the paper states that “*Category II country programmes should be focusing on replication, scaling up, and mainstreaming of successful projects, as well as generating useful knowledge management products*”. It adds that these “*should have strong local networks of grantees and local NGOs that are influencing local and national development planning and policy making and with NSCs that are active in influencing policy and resource mobilization*”.

For Category III countries, Council Paper C.36/4 expects them to “*have a strong institutionalized collaboration between civil society and government; would be able provide leadership in relevant regional or global partnerships and networking and would have the capacity for knowledge sharing at the global level.*”

48. References to broader adoption processes are also found in the CEO Endorsement Request for SGP OP5 Core funds (2011). Section B2 states that “*replication and scaling-up will continue to be key tenets of the SGP approach to achieving incremental benefits, and the SGP will work with partners, such as the NGO Network ...*”. However, it is interesting to note that in Annex B to the same document, the Scientific and Technical Advisory Panel (STAP) reviewer states that national level mainstreaming should be considered unlikely. In response, the project proponents maintain that the SGP can influence policy and sectoral practices at the national level. This response adds that the NSC is a key mechanism for this.

49. The Global Results Framework (Annex A of the CEO Endorsement Request) is more specific. This framework defines specific outcomes for Category II countries¹³, and these are mostly types of broader adoption. For example, the Category II Step-up for Outcome 1.1 is “*good practices replicated and scaled up outside SGP supported areas, as appropriate*”. Each of these outcomes includes the qualifier ‘as appropriate’, reflecting the concern by CPMT¹⁴ that the outcomes are very ambitious. In addition, in this Framework, indicators related to broader adoption are provided for approximately half of the SGP global objectives. For example, with regards to SGP OP5 Immediate Objective 4 (“*promote and support energy efficient, low carbon transport at the community level*”), one of the indicators is “*at least 20 governments (local or national) having been influenced in policy development and implementation*”.

50. The emphasis on broader adoption is diminished in the “*GEF Small Grants Programme: implementation arrangements for GEF-6*” document (GEF/C.46/13), in which broader adoption processes are not specifically mentioned. There are just some references to elements of the SGP approach that can be seen to relate to mainstreaming, e.g. the key action “*to establish a network of capable communities and CSOs ... dialogue with ... planning and policy development*”.

Initial findings on Broader Adoption in the SGP

51. The emerging nature of broader adoption and the lack of indicators and baselines make it difficult to provide quantitative descriptions of the extent of mainstreaming, replication and up-scaling. Hence most evidence is secondary, perception-based or anecdotal. Having said that,

¹³ These are referred to as ‘Step-ups’. Category II countries are the more mature SGP programmes, and are listed in Annex I of the same document.

¹⁴ Interview with the SGP Global Manager in CPMT

initial findings suggest a lot has been achieved in terms of broader adoption. First of all, survey respondents from 114 countries, i.e., 92 percent of all countries represented, were aware of examples in their country of the SGP achieving some form of broader adoption. When requested to rate the achievements in their country with regards to mainstreaming, replication, scaling-up and market changes, along a scale from 1 (‘no achievements at all’) to 6 (‘excellent achievements’) respondents judged the achievements to be moderate to good, with average response ratings between 4 and 5 (Table 7). It is also worth noting that the achievements for ‘replication’ were rated highest and ‘market-change’ lowest.

Table 7: Four Mechanisms for Broader Adoption

Group/category	Rating			
	Mainstreaming	Replication	Scaling-up	Market-change
All	4.43	4.64	4.35	3.58
Government stakeholders	4.33	4.07	3.84	4.45
Multi-lateral stakeholders	4.18	4.24	4.27	2.9
NGO stakeholders	4.47	4.49	4.12	4.25
Academic stakeholders	4.45	4.73	4.33	3.24
Private Sector stakeholders	4.13	4.31	4.38	2.88
SGP Staff and NSC members	4.22	4.19	4.23	4.62
UNDP Resident Representatives	4.0	4.32	3.84	3.53
GEF Focal Points	4.32	4.32	4.23	3.86

Source: Global Online Survey (Annex 4)

52. The Evaluation Team verified several examples of broader adoption during the country visits (Box 4), and many achievements appear impressive. Most examples relate to replication and up-scaling, although there are examples of mainstreaming (including policy influence). There are very few examples of market change. There are only a few cases of up-scaling or replication through GEF FSPs or Medium Size Projects (MSPs). Finally, initial findings suggest that the more mature programmes are achieving more in terms of broader adoption, but not greatly more, than other countries.

Box 4: Examples of broader adoption from the country visits

Replication was often identified at the local scale, i.e. from neighbour to neighbour or from one village to the next. For example, in Senegal, the SGP’s work in the Delta of Saloum on the restoration of mangroves was replicated by other villages. In Peru, the results of the SGP project on Lisa fish aquaculture were replicated by two nearby farmers. In Cambodia, a technology to transport water to water- short areas using locally manufactured canals and pipes, introduced through SGP to one village, was copied by a neighbouring village.

There are also examples of SGP interventions being mainstreamed at the local scale. For example, grantees in Uganda worked with the local governments to introduce and implement waste management programmes that require a radical behavioural change in the communities who previously considered waste management to be the responsibility of government. This directly helped attract additional investment, including from the World Bank.

But broader adoption does occur at higher, even the national, level. In Jordan, stakeholders from the “Management of Land, Water and Energy Resources” project actively worked with the Ministry of Agriculture to organize the work of the government rangers, leading to the appointment of two rangers from the local community in coordination with the Environmental Police. The project was also able to influence the Ministry of Agriculture to issue pruning licenses in order to organize logging.

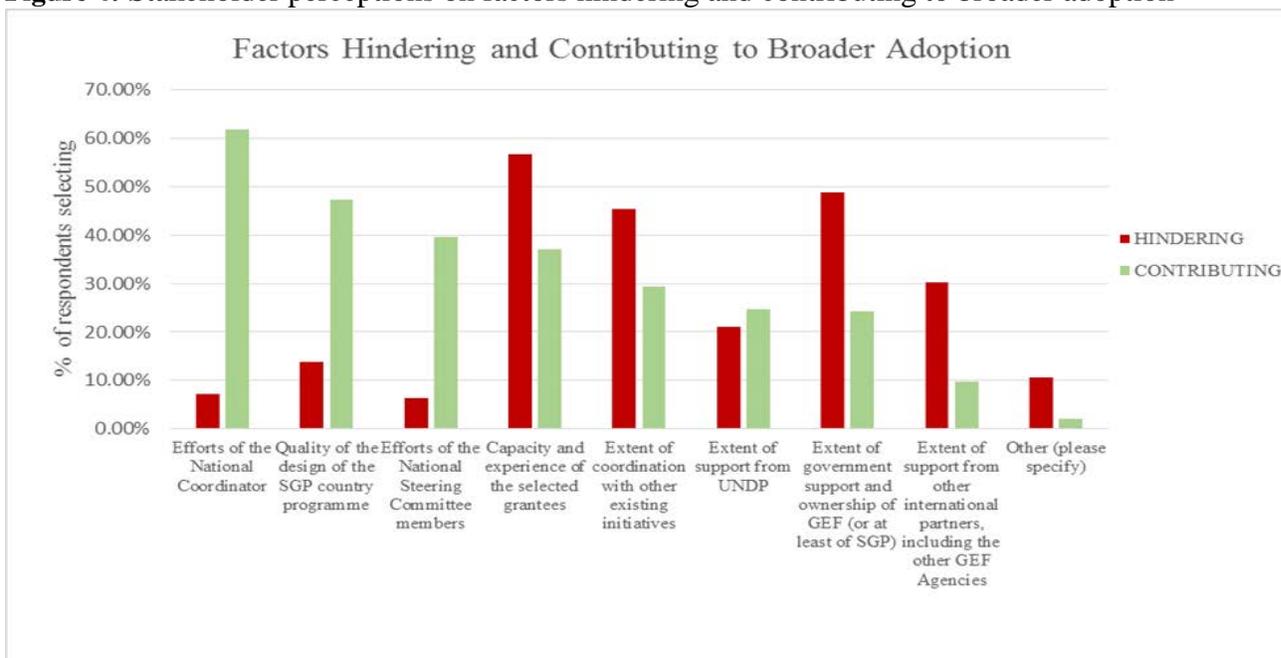
Finally, in Panama, the Inter-American Development Bank (IADB) is planning a larger, follow-up project to an SGP grant in the Darien region (Canglon village) that demonstrated the sustainable extraction of oil from coconuts. IADB intends to continue working with the communities involved in implementing the SGP grant.

53. The Annual Monitoring Report (AMR) 2013 reports positively on the achievements related to replication, up-scaling and policy influence (which the Evaluation Team could not independently field verify). This AMR provides 12 examples of these achievements: six of replication, four of mainstreaming and two of up-scaling. Of the 12 examples, seven are examples of the broader adoption of specific practices or technologies that were previously supported through an SGP grant; two are examples of the broader adoption of forms of community based natural resource management that are understood to have been introduced or developed through SGP grants; and one is an example of general support from SGP stakeholders to a national planning process. The type of innovation is not clear for two of the examples. In some cases, broader adoption achievements are over-stated in the AMR. For example, the 2012 AMR states that “*Improved energy efficient stoves are one example of a community technology successfully adapted and scaled up globally by GEF SGP*”. The evaluation did not find evidence of this global level of impact.

Factors hindering and contributing to Broader Adoption in the SGP

54. The evaluation also explored factors that promote or limit broader adoption. Survey respondents identified a range of factors that hinder broader adoption and a range of factors that contribute to broader adoption (Figure 4).

Figure 4: Stakeholder perceptions on factors hindering and contributing to broader adoption



Source: Global Online Survey (Annex 4)

55. Survey responses show appreciation for the efforts of the National Coordinator. The work of the NSCs is also appreciated, but less clearly. The capacity of selected grantees was identified as an important hindering factor by all respondent groups. As most grantees are community based, this is mostly likely to relate to replication to nearby sites, as it is difficult to see how grantees can be expected to be responsible for mainstreaming, up-scaling or market change. Notwithstanding, 37 percent of respondents also identified the capacity of selected grantee as a contributing factor, suggesting the situation may vary from grantee to grantee, or from country to country. The extent of government support and ownership was identified as a hindering factor. However, government respondents did not concur with this opinion, especially GEF Focal Points – half of them and 39 percent of all government stakeholders actually identified this is a contributing factor.

56. For the sake of validating the survey results, the aforementioned broader adoption factors were also explored during the country visits through desk review of country strategies and other key documents, as well as interviews, although not with a prevalence analysis approach (Table 8). The factors influencing the SGP grants likelihood to achieve broader adoption, and the mechanisms through which broader adoption occurs, vary from country to country, and from situation to situation. These factors can be categorized as either ‘contextual’, i.e. pertaining to the enabling environment and the external conditions and so beyond the influence of the SGP, or ‘programme-related’, i.e. due to the actions and efforts of the SGP stakeholders and SGP activities in the country. The roles of National Coordinator and National Steering Committee were confirmed to be key contributing factors. However, none of the visited SGP country programmes had a specific strategy for broader adoption. Most interviewed stakeholders were in favour of it happening, most felt it should happen, but most felt expectations should not be high.

Table 8: Factors influencing broader adoption

	Contextual	Programme-related
Contributing to broader adoption	<ul style="list-style-type: none"> • Conducive political support; • Overall support of the government for the GEF; • Support from high – level decision makers; • High- profile visit to the SGP project; • Possibility to establish partnerships with other development partners; • Presence of champions; • Cooperation with other actors and building on previous initiatives; • Ability to generate income. 	<ul style="list-style-type: none"> • The direct role of the NC. Although not initially recruited to undertake broader adoption, the role of the NC was significant in almost all examples of broader adoption; • The role of the NSC members. In some countries some NSC members have played a strong role in broader adoption, pushing adoption through their networks or sector. This includes both governmental and non-governmental NSC members; • The role of the CPMT. The CPMT has recently been very active in promoting broader adoption, encouraging national teams to seek broader adoption, and providing some guidance. . • The role of UNDP Country Offices (COs). In countries where there is active engagement between the UNDP CO and the SGP country programme team, there tends to be greater success in building broader adoption, for example through advocacy with government or by mobilizing development partners.
Hindering broader adoption	<ul style="list-style-type: none"> • Involvement of other GEF Agencies - this is currently extremely limited; • Lack of political support. 	<ul style="list-style-type: none"> • The role of the NSC members. In some countries, the NSC have not been involved in broader adoption, they focus their attention simply on the identification, selection and supporting the design of individual projects;

Contextual	Programme-related
	<ul style="list-style-type: none"> • The role of UNDP COs. Overall, many UNDP COs do not provide significant support to the SGP and are not ensuring that the SGP is appropriately integrated into UNDP at country level; and • Limited capacity of grantees; • Insufficient technological maintenance and support; • Broader adoption missing from project design; • Insufficient information dissemination activities; • Limited market orientation of community or product.

Source: Country Studies (Annex 3)

57. As seen, some expectations of the SGP achieving some form of broader adoption started to emerge since the introduction of the Upgrading Policy, and later more markedly in SGP OP5, with emphasis diminishing in the programming document of SGP OP6. Broader adoption certainly happens, particularly in the form of replication and up-scaling and at local scale, and the SGP deserves recognition for its contribution to results that extend beyond the project level.

IV SGP's STRATEGIC POSITIONING

58. Chapters II and III assessed the SGP's current role and results. This Chapter explores the strategic fit of the SGP within the GEF and UNDP, both substantively and institutionally. As described in Chapter II, the SGP was not initially designed as a permanent programme, and there were sunset provisions established for the duration of each country programme. The intent was to 'graduate' country programmes after some time to free up resources for other countries to join the programme. Conclusions and recommendations from the 2008 Joint Evaluation and of the GEF Fourth Overall Performance Study (OPS4) stimulated debate around the future of the SGP, resulting in the introduction of the SGP Upgrading Policy. Unsurprisingly, the introduction of this major policy change was not without problems. Given the critical nature of the Upgrading Policy to the SGP, the Chapter first describes in detail the historical background to the policy, its implementation and the lessons learnt. It then continues to describe the diverse expectations placed on the current SGP and the implications for the future. It ends with an assessment of SGP's governance structure – looking at whether and how it is adapted to the challenges, opportunities and the SGP future.

Historical background to the SGP Upgrading Policy and current status

59. At the time of the 2008 Joint Evaluation, the GEF SGP policy was that: "*beginning 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 on completion of the GEF-4 cycle*"¹⁵. With those criteria, this policy would have led to the graduation of more than 40 country programmes – meaning that those country programmes would no longer be eligible for any GEF SGP Core funds, and would stop participating in the overall global SGP process. According to the 2008 Joint Evaluation and GEF/ME/C.32/Inf.1, a graduation policy was necessary due to the funding limits placed on the SGP in GEF-4.

60. In addition to the graduation policy in 2006, and again in response to the funding limits placed on the SGP in GEF-4, the amount each country could access from SGP Core funds was capped. A complex formula established caps for several categories of country. In order to achieve overall economies of scale at the country level, SGP country programmes were expected to access RAF resources to complement the SGP Core funds.

61. The caps on the access to SGP Core funds and the expectation that countries access RAF to support their SGP country programmes, had led, de facto, to a series of demands and expectations on the more mature country programmes, even those not expected to graduate. These expectations include the need for increased co-financing, for increased capacity to negotiate with national governments and other partners, and for improved communications and knowledge management capacity. In effect, the greater the maturity of the country programme, the greater the demands placed on the country. This was a form of de facto stratification of SGP country programmes.

¹⁵ GEF, 'Joint Evaluation of the Small Grants Programme - Full Report', Information Document: GEF/ME/C.32/Inf.1, 16 October 2007, para. 76.

62. The 2008 Joint Evaluation assessed the graduation policy and the issue of accessing RAF. Consequently, Decision GEF/ME/C.32 included two important modifications:

- (a) As the graduation policy risked “*reducing the cost effectiveness of the overall GEF portfolio*”, it should be revised, especially with regard to SIDS and LDCs; and
- (b) “*the criteria for accessing SGP resources (including both Core and RAF) should be revised to maintain cost efficiency*”.

63. Since then, the policy of ‘graduating’ and the issue of capping access to GEF funds have both evolved further. The GEF Council GEF/C.36/4 “*Small Grants Programme: Execution Arrangements and Upgrading Policy for GEF-5*” established three categories of country programmes, based on age and total cumulative grant received.¹⁶ This Paper also established the following basic principle for GEF funding of SGP country programmes: as country programmes gradually move from Category I to III, the core funds made available diminish and it is expected that they increasingly utilize STAR funds, with no core funds being allocated once a country programme reaches Category III. Countries in Category III are considered ready to ‘upgrade’, i.e., ready to be financed through a separate, single-country, GEF FSP.

64. The situation in SGP OP5 can be summarized as follows:

- (a) Graduation has evolved to ‘upgrading’. This means an upgraded country does not necessarily stop participating in the overall SGP process;
- (b) Nine of the largest and most mature country programmes are now ‘upgraded’. Hence, each is financed through a separate, single-country, GEF FSP, with no Core funds. They are not supervised by CPMT. The GEF contribution is reportedly capped at \$5 million. These country programmes have individual results frameworks. A tenth country, Chile, decided to no longer apply key elements of the SGP operational guidelines and is no longer considered in the SGP;
- (c) All other country programmes are financed by SGP Core or STAR funds, or a mixture. These funds, in SGP OP5, were approved through in three packages through CEO Endorsement requests – the Core funds as per usual practice after the OP5 replenishment, and the STAR funds in two packages each requiring the endorsement of all concerned country GEF Focal Points;
- (d) Seventeen mature country programmes were no longer eligible for SGP Core funds in GEF5 and so are financed entirely by GEF STAR funds – the ‘pure STAR’ countries.¹⁷ The GEF contribution is managed through a single global

¹⁶ Category I countries include all SIDS and LDCs SGP country programmes and country programmes that have been in operation for fewer than 5 years. Category II countries include all country programmes that have been in operation between 5 and 15 years countries. The country programmes in this category were to be further subdivided into those in operation between 5 and 9 years; 9 and 12 years; and 12 and 15 years; this category also includes those in operation more than 15 years but with cumulative grants received of less than \$6 million before GEF. Category III all country programmes that have been in operation for more than 15 years and have been able to access a cumulative total of more than \$6 million in grants.

¹⁷ The SGP implementation arrangements for GEF-6 propose a simplified formula for access to STAR funds, and all countries within the SGP global programme will have access to some core funds.

project document, thereby facilitating approval and management.¹⁸ This includes several LDCs. The GEF STAR contribution for each country is capped, according to GEF/C.36/4, at either \$3.6 or \$2.4 million, depending on the country's overall STAR allocation; for the 'pure STAR' countries, the cap was in each case \$3.6 million. The CPMT continues to provide supervision and guidance. There are high expectations on these programmes in terms of achievements and helping less-mature countries. These countries are sometimes referred to as 'STAR 1' countries, as they are financed through the first STAR funded global project;

- (e) All the remaining country programmes are eligible for both SGP Core funds and GEF STAR funds – the 'mixed' countries. The maximum amount of Core funding that each country may access ranges from \$200,000 to \$1.2 million, depending on the maturity of the programme (primarily in terms of its length). As for the GEF STAR contribution, for these countries it is also capped at either \$3.6 or \$2.4 million, depending on the country's overall STAR allocation. The CPMT provides supervision and guidance.
- (f) From the mixed countries, 67 applied for and received a STAR allocation under SGP OP5 – these STAR allocations were approved and are managed according to a separate single global project document (sometimes referred to as the 'STAR 2' project);
- (g) Twenty-six of the mixed countries decided not to use STAR funds for SGP activities; hence their country programmes are financed entirely by SGP Core funds. This includes country programmes that applied for STAR resources that were not endorsed by the GEF Operational Focal Point (OFP). It also includes six SIDS that were originally part of sub-regional programmes and are now transitioning to a country programme modality. This sub-group also includes several countries that are new to the SGP;
- (h) In total 107 countries have an allocation of SGP Core funds – these funds are managed through a single global project (the 'SGP Core' project).

65. The seventeen pure STAR countries successfully applied on average for 69 percent of the maximum, capped STAR amount. Five of these countries requested the maximum amount (\$3.6 million). Collectively, for these 17 countries, this corresponds to an average of nine percent of the total GEF STAR allocation. This reflects strong national support from the GEF OFP and other stakeholders for the SGP in those countries.

66. Of the 100 'mixed' countries, 67 successfully applied for STAR funds. Six of these countries requested and received the maximum indicative STAR allocation. On average, these 67 countries obtained 44 percent of the maximum, capped STAR allocation. This is considerably less than the pure STAR countries. However, overall, for the 67 countries, this equates to an average 13 percent of their total STAR allocation, considerably higher than the pure STAR countries. These figures suggest that for the 67 countries there is, overall, good national support for the SGP. Thirty-three of the 100 'mixed' countries did not obtain any STAR funds. It is not

¹⁸ Vietnam is part of this group. However, Vietnam's STAR SGP resources are managed through the 'STAR 2' Project, as the GEF OFP endorsement came too late to be included in 'STAR 1.'

known to the Evaluation Team how many of these countries requested STAR funds but did not receive any, and how many, if any, simply did not request any STAR funds.

67. Interviews revealed a frequent perception that the driving force behind both the upgrading and STAR access policies was simply to reduce the overall scale of the SGP. However, in fact, Council Decision GEF/ME/C.32/2 not only led to a continuation of the SGP, it even, through the revision of the approaches to upgrading and access, has facilitated increases in the scale of the SGP – in terms of overall funding, number of countries and focal areas.

68. Overall, the upgrading policy has been actively implemented. Ten countries met the criteria for upgrading at the outset of SGP OP5. Nine of these elected to upgrade, the other one electing to leave the SGP altogether. Of the nine upgraded countries, eight started activities under SGP OP5 and have high delivery rates compared to non-upgraded countries (see later discussion in Section V). The other upgraded country has an approved FSP project document but had not yet started issuing grants (as of August 2014).

Strengths and weaknesses of the Upgrading Policy

69. The measures taken to implement the upgrading policy have had a series of direct and indirect consequences, and, in turn, these have affected the overall SGP effectiveness and efficiency in both positive and negative ways. The net effects vary between the upgraded, the pure STAR and the mixed STAR/Core countries¹⁹. Table 9 below maps out these consequences for the three categories of countries, based on interviews, meta-analysis of previous evaluations, country studies, the SGP database, the 2008 Evaluation report and information provided by UNDP/GEF and CPMT.

Table 9: Strengths and weaknesses in implementing the upgrading policy and access to GEF resources

Consequences	The nine upgraded country programmes	Pure STAR countries	The mixed countries
Consequences having a mostly positive effect on effectiveness and efficiency			
Access to STAR leads to increased amounts of GEF funds.	All impacted positively. Overall, these countries received \$18.06 million for grants in SGP 4. In SGP OP5, they were allocated a total of \$39.98 million, and although this includes non-grant and project management costs, it is clearly a major increase.	A comparison of the total RAF + Core grant in OP4 with the OP5 STAR allocation shows that all but 4 out of the 17 countries have a larger total grant amount in OP5. Collectively these countries had approximately \$27 million in OP4 and \$35 million in OP5.	STAR access led to higher funding overall, but with greater discrepancies between countries as compared to the pure STAR countries. 33 countries received no STAR funds. 18 countries have a total grant allocation under \$1million for the four year cycle.
Use of FSP modality leads to increased flexibility to	The findings from the country studies and stakeholder	Not applicable.	Not applicable.

¹⁹ For this purpose, the pure core countries are considered to be at the very start of the upgrading continuum, and so the impact of upgrading on them is not considered.

Consequences	The nine upgraded country programmes	Pure STAR countries	The mixed countries
introduce national approaches.	<p>perceptions suggest that many or most are impacted positively.</p> <p>Upgraded countries using FSP modality use area-based approaches and grant clustering more than the non-upgraded countries – although this may not be a result of the FSP modality.</p>		
Requirement to access STAR (and co-financing) leads to increased discussion and dialogue with partners, especially governmental.	<p>Most are impacted positively.</p> <p>The need to obtain STAR endorsement ensured the SGP country team interacted effectively with GEF OFP, and in many cases with other partners.</p>	By extrapolation, it is expected that most are impacted positively.	<p>By extrapolation, it is expected that some are impacted positively.</p> <p>However, for the many countries that were unable to obtain significant STAR, it is not certain they have an improved strengthened dialogue with GEF OFP.</p>
Requirement to access STAR (and co-financing) leads to the involvement of more partners, especially governmental, in programme design and implementation (this has both positive and negative consequences: see below under negative).	<p>There is evidence from country studies that some are impacted positively.</p> <p>This facilitates access to co-financing, and should later facilitate mainstreaming of findings and lessons nationally.</p>	No evidence collected by the Evaluation.	No evidence collected by the Evaluation.
The use of the FSP modality means that, once the FSP is approved, there is more predictability in funding for grants. In previous phases of the SGP, under the SGP global project modality, countries were approved an amount for grants <i>annually</i> . Under the FSP modality, the overall package for four years is approved, leading to more predictability in funds available for grants.	<p>Probably most or all impacted positively.</p> <p>From the country studies, Kenya and Ecuador reported this was an important factor.</p>	Not applicable.	Not applicable.
Consequences having a mostly negative effect on effectiveness and efficiency			
The complexity of accessing FSP and other STAR funds has led to increased delays and transaction costs in the design and start-up of the	<p>All impacted negatively.</p> <p>The FSP approval process has been lengthy and complicated. Two of the nine upgraded countries had not yet approved</p>	<p>Most impacted negatively.</p> <p>Both STAR 1 and STAR 2 experienced</p>	The mixed countries also experienced delays, but had the advantage of being able to start implementation using Core funds.

Consequences	The nine upgraded country programmes	Pure STAR countries	The mixed countries
<p>SGP program, and in the issuance of grant payments.</p> <p>GEF fund flow issues affected the approval of STAR funds. That is, the GEF could not approve all SGP and STAR early on due to unavailability of funds – it had to adopt a phased approach. The phased approach adopted was linked to the Core – STAR 1 – STAR 2 projects.</p>	<p>any grants as of August 2013. Delivery of grants was initially (as of August 2013) behind those of pure STAR countries (noting that pure STAR countries have also been impacted negatively in this regard). Implementation speeded up during the last year.</p>	<p>significant delays, especially STAR 2²⁰.</p> <p>Although \$200,000 was advanced to STAR 1 countries to act as a ‘bridge’, this is a small figure and had only a small mitigating effect.</p>	<p>However, for countries with low Core funds and high STAR funds, this was a significant challenge. It meant that in the early period they could only afford to cover operating costs and issue few grants. Then, when STAR funds became available, there was pressure to issue a large number of grants in a short period. These factors tend to undermine efficiency.</p>
<p>Under the FSP modality, the time to complete implementation of the country programme is short and fixed. As a consequence, there is a short and fixed time to complete individual projects.</p> <p>For non-upgraded countries, all country programmes benefit from the use of the ‘rolling modality’. In this rolling modality, unused funds from one cycle can be reallocated to later years.</p>	<p>It is too early to tell if this is a major problem, as most programmes are young. This is a risk.</p> <p>Initial concerns relate to:</p> <ul style="list-style-type: none"> • The reduced time and the pressure to reach end-points means there is less time for learning and adaptive management, at both project and country levels; • Some evidence is emerging that challenges are being faced <i>after</i> grants are approved, which could be due to a rushed grant development process; • Without timely planning and resources there might be gaps in transitioning from SGP OP5 to OP6. 	<p>Not applicable.</p>	<p>Not applicable.</p>
<p>Due to the requirement to use STAR funds that are linked to focal areas, there is less flexibility in addressing focal areas. Some focal areas (e.g. international waters) do not have a STAR allowance. However, 20</p>	<p>No observable impact.</p>	<p>There is no evidence of this being a major issue in terms of flexibility.</p> <p>However, there is some evidence that this may have caused</p>	<p>This is not applicable as these countries do have some core funds.</p>

²⁰ Part of the ‘delay’ is due to overall fund flow constraints in GEF, and GEF was unable to approve all SGP funds in one decision at the outset. Hence it was necessary to approve the SGP in tranches. However, the linking of these tranches to STAR 1/STAR 2 probably led to delays and confusion for some countries, and not others.

Consequences	The nine upgraded country programmes	Pure STAR countries	The mixed countries
<p>percent flexibility is allowed in terms of focal areas.</p> <p>Unlike STAR, for core funds, the allocation of core funding across focal areas is narrated in the CPS, which is developed by national teams, and approved by CPMT.</p>		<p>some confusion in some countries.</p>	
<p>Due to the centralized nature of country allocations, there is less flexibility to allocate funds to high-performing countries.</p> <p>In the past, CPMT could allocate funds to countries, based on many criteria, and could therefore respect each country's absorptive capacity. This is not possible with the use of STAR funds, which are approved for use in the given country.</p> <p>Moreover, in SGP OP5, the use of Core funds was also determined centrally and at the start of SGP OP5, by the GEF Secretariat in consultation with CPMT</p>	<p>Not applicable.</p>	<p>There is no evidence one way or the other, but it is possible that some countries are negatively impacted – it is possible that if CPMT had the discretion, it would have allocated more funds to the high performing countries.</p>	<p>Some countries are negatively impacted.</p> <p>High performing countries (e.g. Albania, Guatemala) now receive fewer funds, whereas some low capacity countries (e.g. Laos) have more funds allocated than they are able to use effectively.</p>
<p>Due to the need to obtain STAR funds, there is competition with other potential GEF stakeholders, and some resulting confusion and reduced collaboration.</p> <p>The need for GEF OFP endorsement of all STAR funds placed the SGP teams in direct competition with other GEF proponents. This includes in certain cases competition with other proponents supported by</p>	<p>The evidence suggests some countries were possibly impacted negatively. For example, in Kenya, frictions were reported and some stakeholders were unhappy. However, there will always be competition for GEF funds, so in itself this is not a bad thing.</p>	<p>Some countries were affected negatively.</p> <p>Evidence collected during the evaluation indicated that certain national SGP teams were quite aggressive in some countries in lobbying the OFP to endorse SGP. This, along with an often overall confusion with STAR at the country level, and with changes in the GEF OFPs, led to the need to retract or revise endorsements in a few countries.</p>	

Consequences	The nine upgraded country programmes	Pure STAR countries	The mixed countries
the UNDP Country Office, which may have suggestions for other uses of STAR funds.			
Requirement to access STAR (and co-financing) leads to the involvement of more partners, especially governmental, in programme design and implementation (see also above under positive impacts).	<p>The evidence suggests that some countries were negatively impacted.</p> <p>In Ecuador and Pakistan it was reported that this was a negative impact, leading to a weakening of civil society lead in the SGP country programme.</p>	Insufficient evidence.	Insufficient evidence.
In some circumstances, this can lead to a weakening of the civil society lead in an SGP country programme.			

Source: Interviews, Meta-analysis of previous evaluations, Country Studies, SGP Portfolio Database, 2008 Evaluation, and other information provided by UNDP and CPMT.

70. As can be seen from Table 9, some consequences affect all countries, whereas others only affect one category of country. Also, some consequences affected some countries within a category negatively, but affected others positively. Overall, the effects of the upgrading policy are mixed, and are often country specific. Many important effects only apply to a limited number of countries.

Understanding and Acceptance of Upgrading

71. At the global level, most interviewed stakeholders were broadly in favor of upgrading, recognizing the need for evolution and the need to ensure funds are distributed across GEF countries. However, UNDP and CPMT stakeholders also noted how delays and implementation issues had undermined the process with the first group of upgrading countries.

72. In the global survey, respondents were first asked whether they were aware of the GEF Policy on upgrading of SGP Country Programmes. Sixty-two percent responded affirmatively. The survey text then described the upgrading policy, and asked respondents, “*Are you in favor of, one day, the GEF SGP programme in your country to upgrade and be implemented as a Full-Size Project?*” The average overall response was 4.33 (on a scale of 1 to 6), suggesting that national level stakeholders ‘slightly favor’ the idea of the SGP programme upgrading and being implemented as an FSP. Interestingly, UNDP Resident Representatives are less in favor of upgrading than the overall respondents (3.75), while GEF focal points are more in favor than the overall respondents (4.49) and SGP staff and NCs are on the average overall response (4.32).

73. Interviews conducted in the country studies indicated that the level of understanding of upgrading to the FSP modality was low in non-upgraded countries. In many cases, the stakeholders familiar with upgrading perceive it as a threat in terms of funding cuts or increased administrative and other burdens, compromising the programme's flexibility and its ability to quickly reach out to communities. This emerged clearly from the Senegal and Uganda case studies, two countries that, as LDCs, are not to be upgraded according to current policy. Stakeholders in both Peru, to be upgraded for OP 6, and Jordan, which would be eligible, but with a newly added criteria of a minimum country STAR allocation of \$10 million will not, only mentioned negative aspects of upgrading, i.e. increased competition for funds, lack of specific guidance (including strategic guidance), and increased administrative burden.

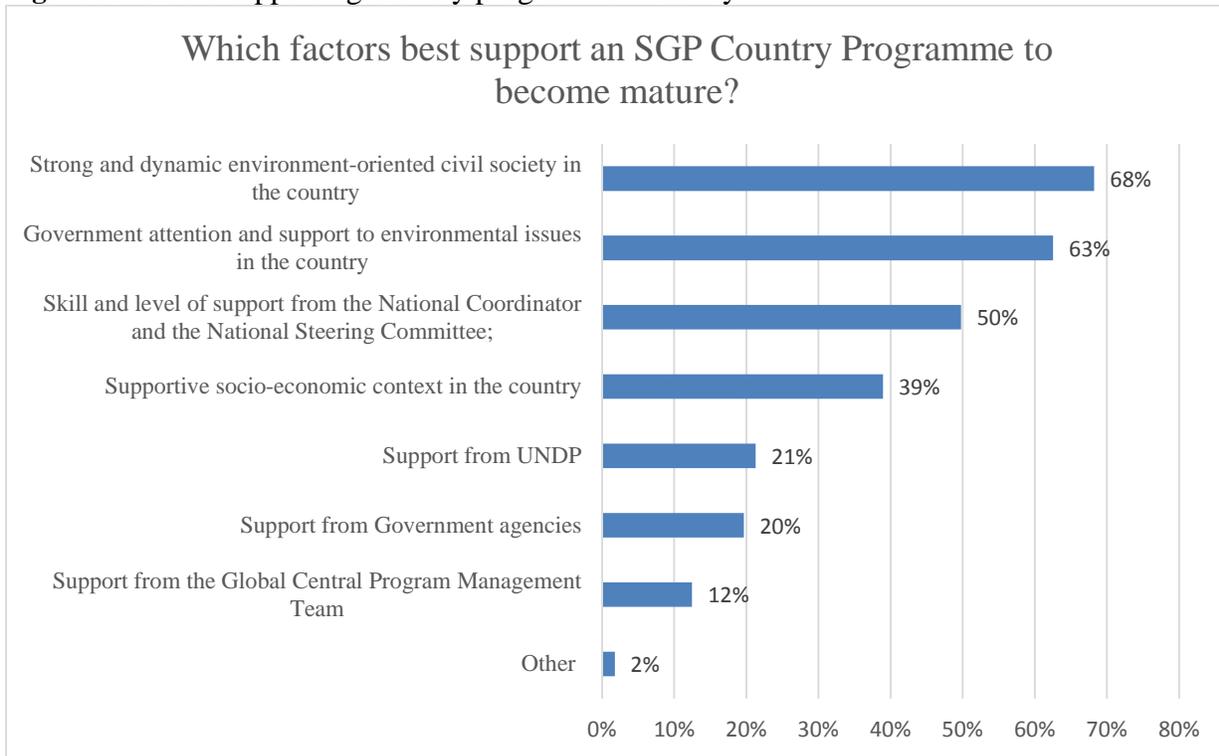
Criteria for Upgrading

74. The upgrading policy can be interpreted as the only policy document containing elements that describe how SGP country programmes are expected to evolve in the long term. In this framework, the choice of the criteria for selecting which countries are eligible to upgrade is crucial. As per current policy, countries are selected for upgrading based on two criteria: '*age of the programme in years*' and '*overall programme size (cumulative grants)*'. It is noted that GEF/C.46/13 introduces two new criteria for GEF-6: "*1) the country's STAR envelope i.e. if a country's STAR allocation is below USD 10.0 million, it would not be subjected to upgrading, and 2) government willingness to support a country programme with a civil society raison d'être requiring renewed written government commitment to follow the SGP Operational Guidelines.*"²¹

75. This evaluation sought to examine how SGP country programmes evolve. The global survey explored the factors determining whether a country programme can be considered mature. Asked to select from a list the factors that best support an SGP country programme to become mature (Figure 5), respondents considered a strong and dynamic environment-oriented civil society to be the most important factor. Notably, the first, second and fourth most commonly selected factors are all external to GEF and the SGP framework. Hence, there is a strong belief, at least at the country level, that the SGP programme development is more influenced by its context than by the GEF and SGP internal factors.

²¹ GEF/C.46/13, GEF Small Grants Programme: Implementation Arrangements for GEF-6, May 2014, p. 14.

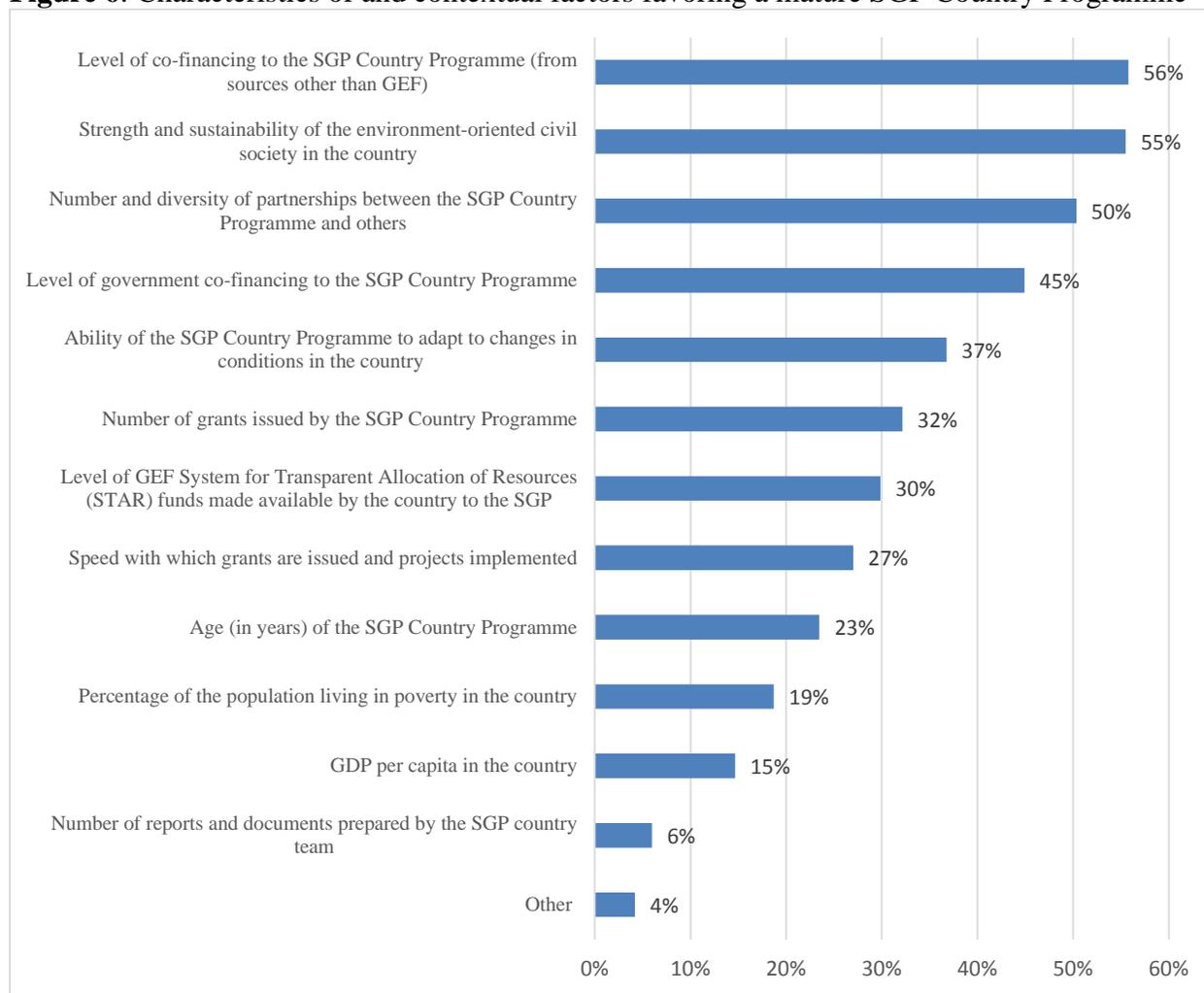
Figure 5: Factors supporting country programme maturity



Source: Global Online Survey (Annex 4)

76. When asked which characteristics best define the maturity of an SGP country programme, respondents to the global survey indicated the level of co-financing to the SGP Country Programme (from sources other than GEF) and again the strength and sustainability of the environment-oriented civil society in the country (Figure 6). These responses were broadly consistent across stakeholder groups. Responses from upgraded countries were not significantly different from the overall responses. Upgraded countries, did, however give greater importance than other countries to the ‘*ability of the SGP Country Programme to adapt to changes in the country*’ and assigned less importance to the level of government co-financing and the number and diversity of partnerships.

Figure 6: Characteristics of and contextual factors favoring a mature SGP Country Programme



Source: Global Online Survey (Annex 4)

77. These findings were validated through the interviews conducted in the country studies. National level interviewees stated that the development of SGP country programmes is influenced by many factors, most of which are external to the GEF and to the SGP. It appears that the two criteria presently used for selecting countries for upgrading are not considered adequate in defining country programme maturity.

Expectations and Vision for the SGP

78. The upgrading policy introduced new expectations for country programmes and their evolution. This chapter reviews other expectations of the SGP, beginning with a discussion of the priorities and policies that guide the SGP, and concluding with a description of the dynamic context in which the SGP has been operating since 2008, all of which have implications for the SGP long term vision and clarity of purpose.

79. At the global level, the policies and priorities to which the SGP is subject are those of the GEF, i.e. achieving global environmental benefits. To some extent, the policies and priorities of UNDP – as a GEF Agency – focusing on sustainable human development, come in to play as well. Evidence collected and analyzed in this evaluation shows that, at the global level, the balance between the focus on the environment and the focus on other aspects of development has shifted over time. Global interviews revealed differences of opinions regarding the SGP’s central role. Both the GEF Secretariat and UNDP believe that the SGP contributes to global environmental benefits through the aggregation of grant results. However, the GEF Secretariat is concerned that there may be a need to refocus the SGP on its original *raison d’être*, i.e., global environmental benefits, as there has been an increasing emphasis on livelihoods. Other central level stakeholders observed that the SGP focus in its early years was on providing communities with access to GEF funds, often in a dispersed manner, with an emphasis on the ‘means’ (i.e. how to reach and work with small, remote communities with little capacity on issues of global environmental concern). The role has since evolved to emphasize the ‘ends’, such as building partnerships and linkages in order to replicate, mainstream and upscale in order to achieve higher-level results.

80. Evidence of a shift away from environment is also found in the new UNDP Strategic Plan (2014-2017). The Plan does not have a strategic outcome specifically focused on the environment. Only two descriptive paragraphs in this document explicitly refer to the environment, in terms of “*strengthening skills and institutional capacity to design, monitor, coordinate and implement plans and associated policy reforms, including for ‘green’ economy policies,*” and “*Efforts here will assist with ways to engage citizens, especially women and youth, on sustainability issues; develop and/or harmonize local regulations and laws/by-laws on environmental management; identify options for addressing issues such as safeguards to reduce social and environmental impacts, benefit sharing from biodiversity, incentives to conserve and sustainably utilize biodiversity, and ways to develop and sustainably manage ecosystem services; and, more broadly, grow markets for sustainable products and services benefiting the poor.*”²²

81. The SGP OP5 Project Document and the CEO Endorsement clearly state the importance of, and that SGP’s objective is to contribute to, GEF global priorities and global environmental benefits. Hence a strong focus on global environmental benefits is clearly planned and built into the global design of the SGP. However, the global SGP planning and design documents also emphasize the importance of aligning to national socio-economic plans and on generating local socio-economic benefits, leaving the space open for the SGP country programmes and the individual grants to meet local socio-economic needs and to align to national development policies. The SGP OP5 overall objective is “*Global Environmental Benefits secured through community-based initiatives and actions*”.

82. National level planners and managers are also critical for implementation of SGP policy. Planners and managers at the national level have a more mixed set of priorities. There is more balanced distribution across the global environment, the local environment, community empowerment, poverty and livelihoods, and gender, as can be seen in the SGP CPS documents.

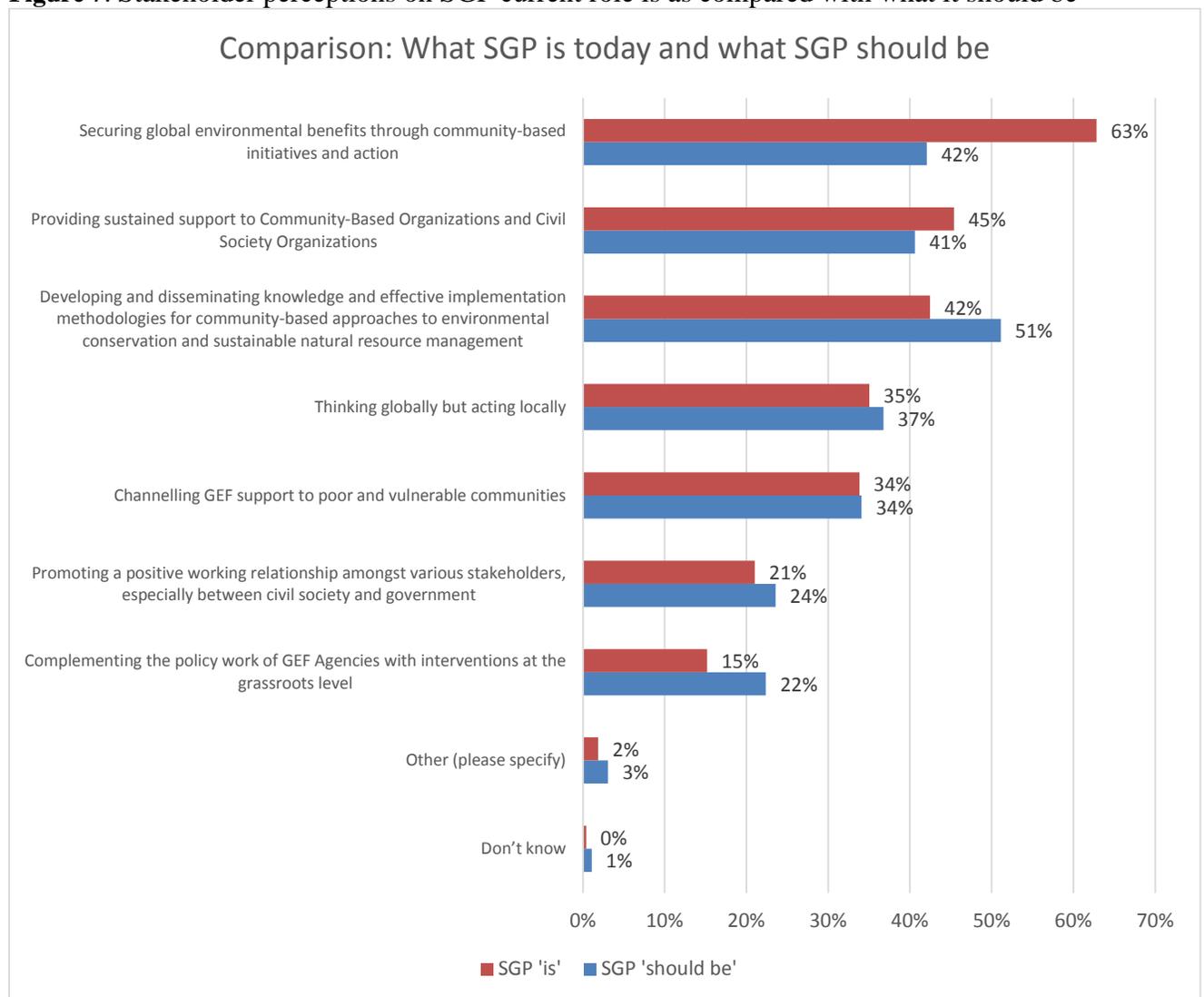
²² UNDP, ‘UNDP Strategic Plan, 2014-2017. Changing with the World’, DP/2013/40, 2 August 2013, para. 19.

Finally, at the grass roots level, for many stakeholders, the priority is more firmly on generating local benefits in terms of livelihoods, although the global environment does feature.

83. Interviews at country level highlighted the endeavors of the National Coordinators and National Steering Committees to bring the GEF's global goal and communities' local preoccupations together in the design and implementation of the SGP country programmes. During the country visits, many interviewed stakeholders, in particular NSC members, highlighted that the community's priority is not always the conservation of their environment, and that the SGP needs to offer tangible benefits for communities to help with environmental conservation and sustainable management in return. Moreover, for many stakeholders at local and grassroots level, the SGP grants are primarily about supporting local sustainable development, and global environment benefits are secondary. Overall, while countries seem to be receptive to the call coming from the GEF to focus on global environmental benefits, at the same time they unanimously see a strong role for SGP in promoting livelihoods, building communities and capacity at the community level and fostering government/Civil Society Organization (CSO) partnerships.

84. The perceptions of national level stakeholders on these issues were also assessed through the global survey. Respondents were first asked to select from a list of possible options what best describes SGP in their country as of now, and then what SGP should be (Figure 7). The most popular response describing SGP now, selected by 63% of respondents, was "*securing global environmental benefits through community-based initiatives and actions.*" The second most popular response (selected by 45%) was, "*providing sustained support to Community-based Organizations (CBOs) and CSOs*" and the third (42%) was "*developing and disseminating knowledge and effective implementation methodologies for community-based approaches to environmental conservation and sustainable natural resource management*". Clearly, the SGP role is multi-dimensional.

Figure 7: Stakeholder perceptions on SGP current role is as compared with what it should be



Source: Global Online Survey (Annex 4)

85. A comparison of the responses describing SGP today, versus what it should be shows that the emphasis on “*securing global environmental benefits through community-based initiatives and action*” decreases, from 63 percent to 42 percent. The focus on the SGP role in “*channeling support to the poor and vulnerable communities*” is consistent between what it is versus what it should be, at 34 percent. Respondents also think the SGP could do more on “*developing and disseminating implementation methodologies for community-based approaches to environmental conservation and sustainable natural resource management*” as well as better complement the policy work of GEF Agencies with interventions at the grassroots levels.

86. Hence, although generally the planners and decision-makers are committed to the SGP policies and priorities, the fact that the SGP is a global programme operating for more than 20 years and in more than 125 countries means that different planners and decision-makers at different levels have different expectations from the SGP, affecting its clarity of purpose. Furthermore, similarly to what the National Coordinators and National Steering Committees are

doing at the national level, CPMT plays an important role at central level in mediating between the different positions and policy interpretations. In summary, given SGP's unique position linking global environmental benefits and communities' development aspirations, there is an inherent mix of expectations for the programme, which results in a need to continually manage the different demands and tensions that arise.

87. Another example of differing expectations for the SGP was illustrated in Chapter III on broader adoption, where it was explained that on the one hand, the GEF Theory of Change Framework emphasizes the broader adoption of GEF strategies and techniques to achieve global environmental benefits in the long run, but on the other hand, the SGP, given its nature and local scale of operations, should not be expected to achieve broader adoption. Some of the SGP documents do refer to broader adoption processes and CPMT feels pressure to achieve broader adoption, and yet, many stakeholders emphasize that while broader adoption is happening, and is a positive outcome, high expectations in this regard should not be placed on the SGP.

88. Different expectations on the SGP's role and purpose are also reflected in different interpretations of the SGP's operational nature. Stakeholders question whether the SGP is simply a programme, or a GEF modality or a delivery mechanism. This has implications on issues such as funding and resource mobilization, and on what the SGP should ultimately aim to achieve. If the SGP is seen as a GEF project, it can be considered to have a rather substantial budget; however if the SGP is seen as a GEF funding modality, SGP Core funds represent only 5 percent of the total GEF funding, a rather small amount. In addition, if the SGP is a delivery mechanism, its substantive objectives are flexible and can adapt to potential sources of funding. However, if it is a programme, it should have clear, achievable, non-negotiable targets.

89. The context in which the SGP operates has changed considerably since the SGP was created in 1992, both globally and in most countries, and it continues to change. The GEF has changed. There are fewer civil society-led GEF projects – although a large number of FSPs and MSPs now include a considerable focus on communities. UNDP is sharpening its strategic focus on poverty reduction, sustainable human development, and reducing inequalities, with a parallel diminished emphasis on environmental conservation. The global financing situation has changed, in particular with regards to climate change, and there are many large sources of funds outside the GEF. Also, many of the traditional GEF donor countries have faced a prolonged budgetary crisis, meaning an overall tightening of budgets and scrutiny to development budgets. The internal situation in many of the SGP partner countries has changed, as many have made good economic progress and progress towards Millennium Development Goals. In response, the SGP has had to evolve. Furthermore, each SGP country programme has followed a unique, non-linear path, which at times includes set-backs due to external shocks.

90. As seen, the only policy document describing how SGP country programmes are to evolve in the long term is the Upgrading Policy. With its introduction, new expectations were placed on “mature” country programmes, and yet the expectations for certain categories of country programmes such as LDCs and SIDS are were not clarified, beyond the absence of a requirement to upgrade.

91. Many central stakeholders hold the view that there has been a lack of high level strategic discussions regarding the SGP evolution during the period 2008 onwards. For example, UNDP

stakeholders suggested that the SGP needs to have high level strategic guidance on issues such as evolution, upgrading and broader adoption. Civil society representatives lamented that too little strategic thought had been given to developing alternative, in-country delivery models.

92. Finally, the evaluation notes that GEF/C.46/13, which describes the SGP OP6 implementation strategy for the next phase, and GEF/R.6/20/Rev.04, which outlines GEF-6 programming directions and includes a section on SGP, do not set out a clear strategic role or function for the SGP for the longer term. The documents do not include reference to how the SGP could or should evolve or how country programmes may evolve. The latter document begins with a reference to empowering poor and vulnerable communities, but does not discuss how SGP should balance these issues while keeping the core focus on global environmental benefits. The programming directions document refers in general terms to scaling up impacts, for example so that “what starts at the local level eventually reaches global level discourse and action hence allowing the SGP to contribute more fully to global environmental benefits and to the safeguard of the global environment.” It is not clear from these documents how the SGP is to prioritize amongst the many expectations placed upon it.

The SGP Governance Structure

93. This section reviews the governance structure of the SGP, in light of the challenges and opportunities facing the SGP described above.

94. The SGP is implemented by UNDP, and executed by UNOPS. Within UNDP, SGP is a ‘project’, and operationally and legally, the CPMT is a ‘project management unit’. Yet, the scale and complexity of the SGP resemble that of a small United Nations agency or programme. Notwithstanding, until 2007, the CPMT played a role in all aspects of country programme development and implementation. However, its ability to do this was constrained by the growing complexity and scale of SGP. The 2008 Evaluation concluded that “*The current management model of the SGP has reached its limits and is not suitable for a new phase of growth.*” Accordingly, Decision GEF/ME/C.32 was for “*a process to make the SGP central management system suitable for the new phase of growth and address the risks of growing complexity needs to begin*”.

95. The SGP governance structure is presented in the GEF SGP Organizational Chart (Figure 8). According to this chart, the CPMT is linked to the global SGP Steering Committee. The relationship between CPMT and UNDP at the headquarters level is not clear from the chart. The SGP Steering Committee is chaired by the GEF CEO. Its members include all the GEF Agencies (including UNDP) and a representative of the GEF NGO network. The following paragraphs look specifically at the main actors in the GEF SGP Governance structure.

96. The GEF Council. The GEF Council is the ultimate policy decision-making body for all GEF issues. It debates high-level strategic issues and provides strategic guidance to the GEF as a whole, much of which is relevant to the SGP. It directly guides SGP through its programming documents. For example, the 2005 GEF-4 Revised Programming Document indicated the outcomes on which SGP should focus, including among others increasing its reach, implementing projects including new GEF focal areas and themes, and “*fuller realization of SGP’s potential as a GEF corporate program through closer working relationships with GEF Implementing Agencies.*”²³ The 2009 GEF-5 Programming Document however refers only to a few issues such as upgrading and strengthening NSCs, and then specifically states that, “*strategic advice will be provided by the existing inter-agency Steering Committee chaired by the GEF CEO.*”²⁴

97. In addition, during the period 2007-2010, the GEF Council reviewed five papers pertaining to the SGP – some for information purposes, others with decision points. This demonstrates the strong support and close attention of the Council to the SGP during that period, a positive aspect. However, it is observed that the Council has debated SGP operational and management issues, which would ideally be settled by lower bodies (e.g. on details of management costs, or on the percentage allocation to M&E). Post 2010, there is no evidence of the GEF Council providing specific guidance on the SGP.

98. The global GEF SGP Steering Committee was established in 2006. Chaired by the GEF CEO, membership consisted of the GEF Secretariat, the GEF Agencies and a representative of civil society. The Steering Committee was established to provide overall strategic guidance to the SGP and improve engagement across the GEF Agencies. However, the Steering Committee met only three times, with the most recent meeting in 2010, and focused in these meetings primarily on operational issues.

99. The GEF Secretariat reports directly to the GEF Council and Assembly, ensuring that their decisions are translated into effective actions. The Secretariat coordinates the formulation of projects included in the work programs, oversees their implementation, and makes certain that operational strategies and policies are followed. The GEF Secretariat recognized early that the SGP had grown beyond what was initially envisaged, and that the operating context had changed since 1992, and so design and operational changes were necessary to exploit opportunities, and improve strategic focus and operations. In response, the GEF Secretariat took early steps to facilitate the necessary changes – notably the creation of the global Steering Committee, the introduction of the need for upgrading, the strengthening of the focus on results, and measures to streamline the administration.

100. There is considerable evidence that the GEF Secretariat gave direction on operational issues (i.e. deciding that each country would have at most two staff; taking, for the first time, the decision on the amount of core funds allocated to each country; deciding - going back on an earlier decision - to cap FSP funds to at \$5 million/country). There is little evidence that the GEF

²³ Revised Programming Document GEF-4, GEF/R.4/9/Rev.1, September 23, 2005, para. 264, http://www.thegef.org/gef/sites/thegef.org/files/documents/R.4.9.Rev_.1.Programming.Paper_Final_.pdf

²⁴ GEF-5 Programming Document, GEF/R.5/19/Rev.1, September 21, 2009 para. 218, http://www.thegef.org/gef/sites/thegef.org/files/documents/GEF.R.5.19.Rev_.1.2009.pdf

Secretariat took steps to clarify and interpret the ‘corporate’ nature of SGP. As this corporate nature of the SGP has not been specified, it is open to interpretation (Box 5).

Box 5: Corporate Nature of the GEF Small Grants Programme

The SGP was established at its inception as a GEF corporate program. For GEF, initially, the principal advantage was SGP’s ability to deliver a GEF presence and visibility at the community level, delivering grants that address local environmental concerns of global relevance. And, by doing this, SGP contributes directly to the GEF corporate objective of achieving global environmental benefits.

However, developments over more than twenty years both in the GEF and with the SGP mean that the corporate nature of the SGP is no longer so straightforward. In addition to delivering the GEF presence and visibility, the SGP may directly contribute to other GEF corporate objectives. Other peculiarities that make the SGP different from other GEF projects and/or programmes include the nature of co-financing, which comes from so many different national as well as international partners to the SGP, and the nature of the partnership with UNDP.

Perhaps as a consequence of these developments, there appears to be a confusion regarding the essence of the corporate nature of the SGP even amongst core stakeholders. The following were each considered by at least one central stakeholder to be the defining aspect of the GEF SGP corporate nature:

- As a GEF corporate programme, the SGP should ensure that the GEF gets full credit for the programme, notably through the use of logos;
- The SGP’s corporate nature draws from the fact that it is directly included in the GEF replenishment discussions;
- As a GEF corporate programme, the SGP should involve more than one GEF Agency;
- As a GEF corporate programme, the SGP should benefit from the direct guidance and supervision of the GEF Secretariat.

101. UNDP has been the GEF Agency for SGP since 1992. As such it has a role to play in supervising the CPMT globally and in supporting the national teams, and mobilizing resources to SGP. As a GEF Agency, UNDP may also be expected to mainstream SGP objectives and approaches into UNDP policy, programming, dialogue and activities in its partner countries.

102. At the global level, this work is led by the GEF unit inside UNDP (UNDP/GEF). The evidence suggests that UNDP/GEF has been very actively supervising CPMT and supporting development of the SGP programme. Following upgrading and in direct response to Decision GEF/ME/C.32 related to the central management structure, UNDP modified its management of the SGP, so that, until the end of 2013, the Communities Cluster in UNDP/GEF was directly responsible for the development and implementation of all SGP FSPs in the upgraded countries, an arrangement similar to that for other UNDP GEF FSPs. Nominally, this Cluster was responsible for all SGP actions. However, on most issues, during much of the period under evaluation, the CPMT reported directly to the UNDP/GEF Executive Coordinator. This resulted in a dual management structure, where the management of the global programme was separate from that of the upgraded FSPs, with the CMPT playing a major role in supervising and technically supporting the global programme, and an advisor in the Communities Cluster doing the same for the upgraded countries FSPs, with the same SGP Operational Guidelines applying to all countries. Attempts were made to operate a single approach to knowledge management system, but encountered challenges. M&E of the global programme and the FSPs was also

separate. In the early phases of the evaluation it was observed that two separate practice groups were evolving. However, as upgrading has been limited to a small number of high capacity countries, these negative effects have been somewhat limited. From the end of 2013, new changes were made by UNDP, so that both CPMT and the Technical Advisor coordinating the SGP FSPs report to the GEF Principal Technical Advisor, in the GEF-UNDP team in UNDP's Bureau for Policy and Programme Support. In this overall management framework within UNDP, UNOPS provides financial and administrative support to all global projects, and also to FSPs²⁵ when invited.

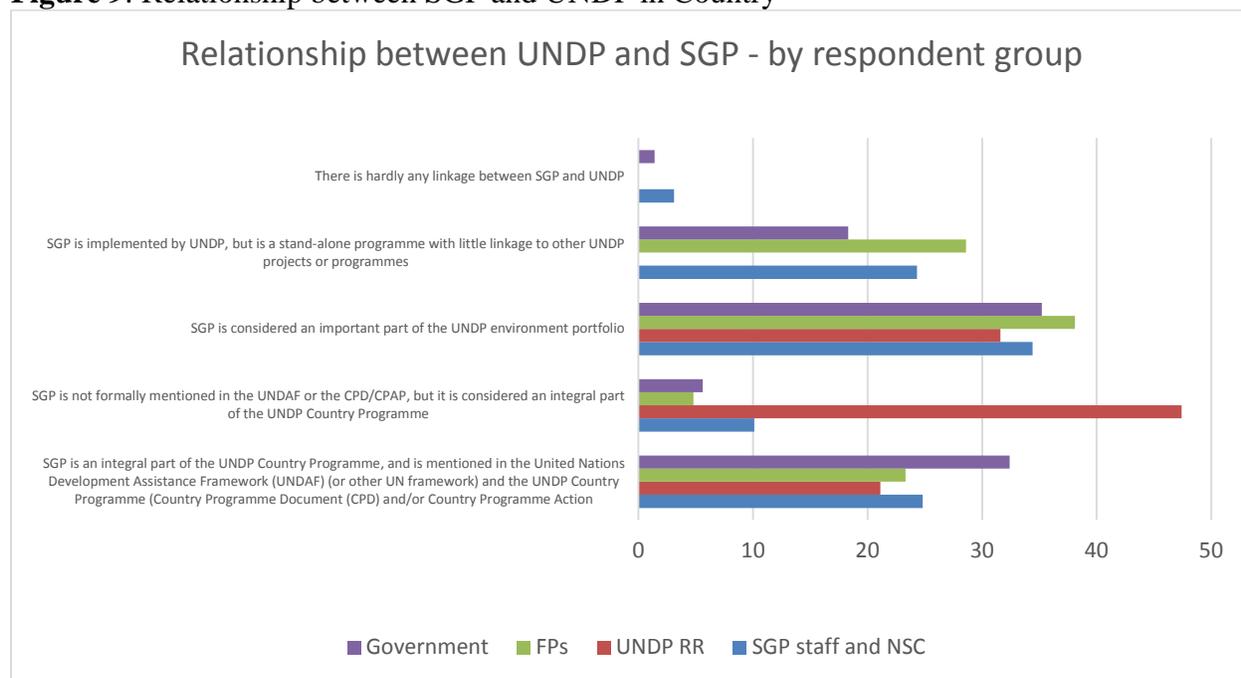
103. Although UNDP is legally responsible for SGP, much of the operational decision-making has been with the GEF Secretariat. Furthermore, there is little evidence of UNDP effectively mainstreaming SGP into its core programmes. For example, mainstreaming would be seen in terms of far more co-financing from UNDP core funds and other UNDP-managed funds through the SGP infrastructure. Also, within UNDP, many stakeholders still consider the SGP to be a 'GEF' initiative. It has not yet been possible to fully distinguish between the roles, responsibilities and, importantly, the costs, of UNDP, UNDP/GEF, UNOPS and CPMT.

104. UNDP also plays a role in each of the SGP programme countries, through the UNDP country offices. Overall, the relationship between SGP and the UNDP country office varies from country to country, but some aspects are common. Notably, the UNDP country offices do not consider SGP as part of their programme delivery, and do not consider SGP staff as part of their core staff. The country case studies revealed limited mainstreaming of SGP activities into overall UNDP activities. At the country level, except in some countries, UNDP has not been very successful in attracting other partners to invest in SGP – not even other GEF Agencies. Further, as with global level UNDP stakeholders, many local UNDP staff consider the SGP to be a 'GEF' global initiative and somehow separate from the rest of UNDP. Finally, in some countries tension is experienced between the UNDP country office and the SGP country programme.

105. The global survey further explored perceptions of the relationship between UNDP country programme and SGP. Overall, 34 percent of respondents consider the SGP to be an important part of the UNDP environment portfolio, and 26 percent consider that the SGP is an integral part of the UNDP Country Programme (and that it is mentioned in the United Nations Development Assistance Framework [UNDAF], the UNDP Country Programme Document [CPD] and the UNDP Country Programme Action Plan [CPAP]). However, when different stakeholder responses are analyzed, divergences of opinions appear (Figure 9). For example, 47 percent of UNDP Resident Representatives considered “*SGP is not formally mentioned in the UNDAF or the CPD/CPAP, but it is considered an integral part of the UNDP Country Programme*”, but only 5 percent of GEF OFPs held this opinion. 29 percent of the GEF OFPs consider that the “*SGP is implemented by UNDP but standing alone*”, whereas no UNDP Resident Representatives held this opinion.

²⁵ Six out of ten FSPs have elected UNOPS as executing agency.

Figure 9: Relationship between SGP and UNDP in Country



Source: Global Online Survey (Annex 4)

106. UNOPS plays an administrative and financial role as executing agency for the core programme and for six of the nine upgraded countries. This evaluation does not assess this role.

107. The CPMT supervises and provides technical support to all country programmes (except upgraded countries), as well as supporting the start-up of programmes in new countries. It plays a role in coordination and knowledge management with all countries. It plays a role in resource mobilization and advocacy at the global level. The CPMT is considered a key factor in the successes of the SGP. It is generally considered to be dedicated, hard-working and competent. Despite a small number of staff, the CPMT continues to have a good reputation for providing support, and the quality of its reports, products and databases are a testament to its skills and commitment. The CPMT has made progress on all fronts in line with recommendations from the 2008 Joint Evaluation. Finally, there is evidence of CPMT undertaking functions typically undertaken by UNDP or UNDP/GEF – this includes reporting, resource mobilization and oversight.

108. At the country level, except in upgraded countries, CPMT supports the establishment and operation of structures to operate the SGP country programmes – the National Coordinator and National Steering Committee. Although often physically in the UNDP premises, these structures operate somewhat outside the UNDP CO, reporting very much to either CPMT or UNOPS on most issues. This in part explains why the UNDP CO does not consider the SGP to be a core part of its programme, and they do not consider SGP staff as part of their core staff.

109. In summary, the SGP governance and management structure has evolved and has been overall effective. Some weaknesses emerged after 2008, as for example the dual management

structure for upgraded and non-upgraded country programmes within UNDP, and the absence of a mechanism for formal high level interactions between the GEF and UNDP, since the Steering Committee stopped functioning. Some aspects of the SGP governance and management structure may no longer be fully suited to adequately support the programme long term evolution.

V SGP EFFICIENCY

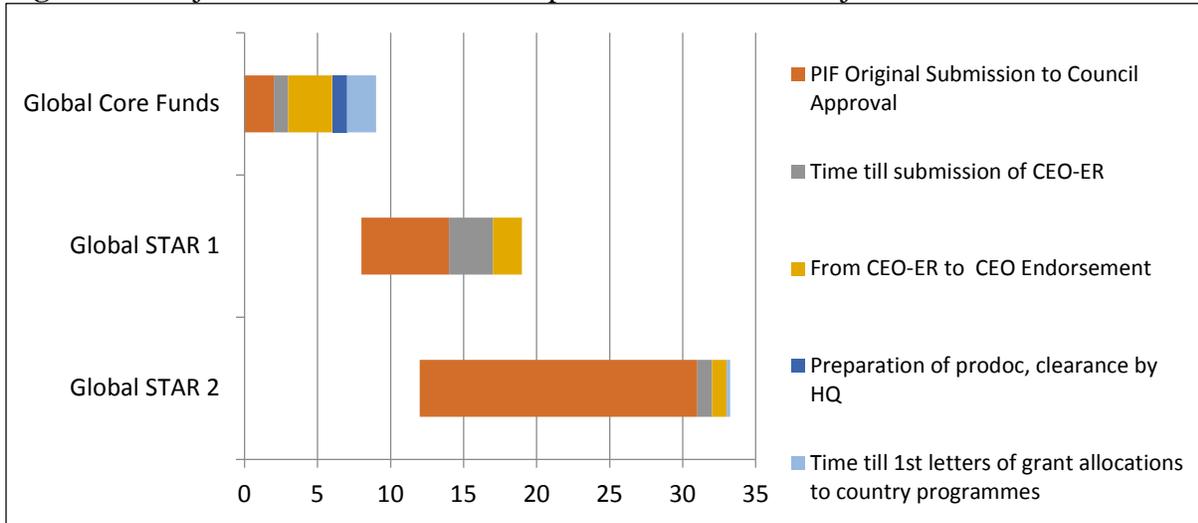
110. This Chapter reports on the extent to which the SGP has been efficiently implemented. First of all the efficiency of the grants provided to communities level is assessed. Next, a range of factors related to overall programme efficiency are reviewed: time efficiency of the programme cycle; delivery rates; programme management costs; and levels and types of co-financing. Where possible, the upgraded country programmes are considered separately and compared with the non-upgraded countries. The Chapter ends with a specific section on M&E.

111. The efficiency of SGP on the ground was assessed for the 144 sampled grants visited in eleven countries. The finding was that nearly 80 percent of the sampled grants were judged to be in the satisfactory range, in terms of time, costs and other efficiency aspects.

112. At the global programme level, a key efficiency aspect is the time required to develop a project document, to obtain approval, to begin implementation, and, in the case of SGP, to begin disbursing grants. For the Global Programme in SGP OP5, concerning SGP Core funds, the overall process took approximately ten months – very fast by GEF standards. However, for the STAR funds, the time taken was much longer. These funds were approved in two packages. For the first package, including only countries entirely funded by STAR, the overall time required was approximately 19 months. For the second package, for country programmes funded by a mixture of STAR funds and Core funds, the overall time required was approximately 33 months, with CEO endorsement received in May 2013. There are several reasons for this additional time for the STAR projects: (i) the requirement to get correct endorsement letters from each participating country; (ii) the time to obtain technical clearance from GEF Secretariat on the additional documents; and (iii) time for overall GEF funds to become available. The major reason for the delay for STAR 2 was due to cash flow problems in GEF rather than the STAR 2 approval process. The GEF had not received all its pledges and placed approvals on hold. Moreover, in such a situation, the GEF Secretariat is obliged to balance across regions and focal areas, further restricting its ability to approve projects that are technically sound. In the case of the SGP, these cash flow problems meant that full SGP funds were approved to some countries, but some other countries initially received limited funds.

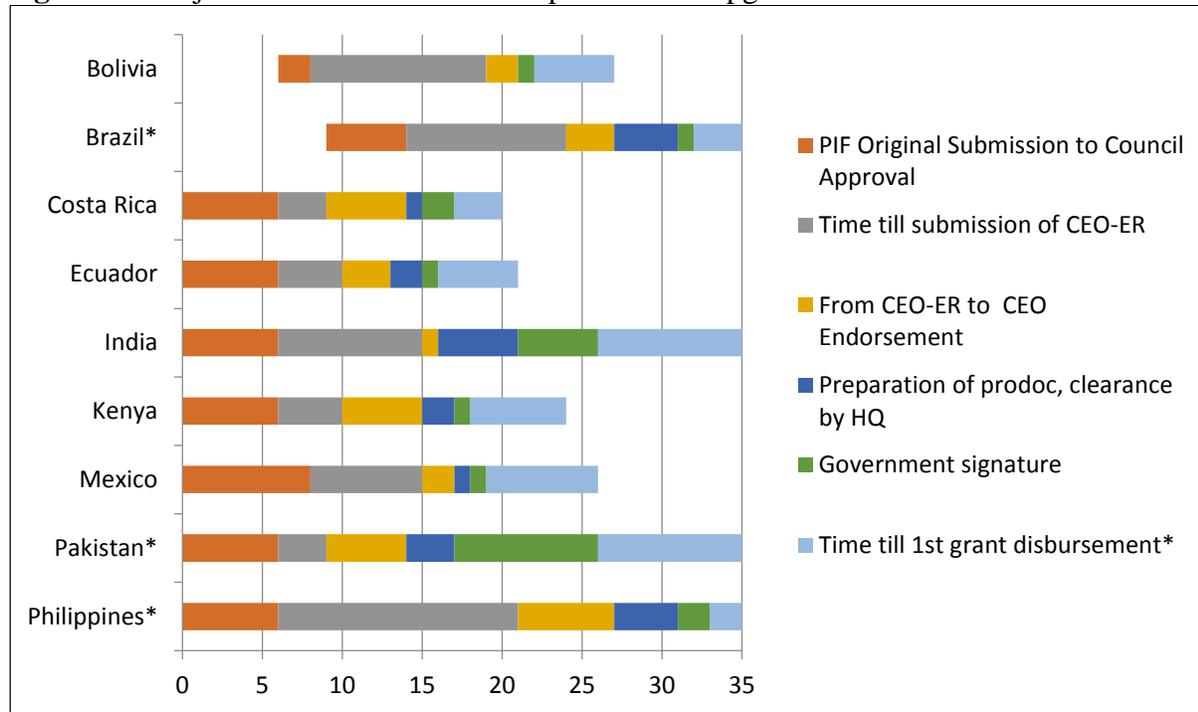
113. The nine upgraded country programmes were financed through the FSP modality, using the same process as all other GEF FSPs. The time to obtain approval and to start up these SGP FSPs ranged from approximately 20 months in one country to over 37 months in another, with one remaining country having yet to disburse any grants by mid-2014 (see Figure 10 and 11). These periods are broadly similar to the processing periods for all GEF FSPs – hence, there is no evidence that it is easier or more difficult to prepare and process an SGP project than a standard GEF project.

Figure 10: Major Milestones and Time Lapses for the Global Projects



Source: Project documents, information provided by CPMT
Number of months after September, 2010

Figure 11: Major Milestones and Time Lapses for the Upgraded Countries



Source: Project documents, information provided by CPMT
Number of months after September, 2010. *Pakistan did not release its first grant until November 2013, and as of August 2014, Philippines still had not disbursed any grants.

114. Another aspect of global programme level efficiency is delivery. The overall rate of delivery of GEF funding under OP3 and OP4 was high at 98 percent and 92 percent respectively. As of 30 June 2014, delivery under SGP OP5 was 55 percent for the non-upgraded countries and 66 percent for the six UNOPS-executed upgraded countries (Table 10). However it will only be meaningful to assess delivery for OP5 at the end of the operational phase.

Table 10: SGP Delivery Rates (as of 30 June 2014)

Operational Phase	SGP OP3	SGP OP4	SGP OP5 ⁱⁱⁱ (on-going)	Upgraded ^{iv}
Total GEF Allocation (US\$) <i>Budget</i> (Project Document) ⁱ	106,890,000	168,858,553	248,295,017	26,927,703
<i>Actual Delivery</i> ⁱⁱ (US\$)	105,016,644	155,912,734	136,995,823	17,646,471
<i>Delivery Rate</i>	98%	92%	55%	66%

Source: CPMT data and Evaluation Team calculations

Notes:

(i) Total GEF Allocation based on the budgeted figures (from Project Documents), includes grants, non-grants and UNOPS fee

(ii) Actual delivery figures (from Atlas), includes grants, non-grants and UNOPS fee – as of July 2014

(iii) It is noted that a fourth project is requested under SGP OP5, the “Global SGP STAR III”. The Project Identification Form (PIF) was submitted in March 2014 for \$6,965,151 and awaiting approval as of 30 June 2014. These funds are not included in the figures in this table.

(iv) These figures only cover the six upgraded country programmes executed by UNOPS as data was not available for the other countries.

115. The delivery of funds *allocated to grants* (i.e. excepting management funds) was also assessed. The assessment considered overall programme allocation to grants in the approval documents, the actual commitments to individual grants, and the actual delivery of grants. As of 30 June 2014, for the six FSPs considered, delivery of grants was 75 percent and commitments for grants was 93 percent of the amount budgeted for grants. For all other countries in the global programme, delivery was only 49 percent and commitments 69 percent. Hence, UNOPS-executed FSPs have significantly higher delivery of grants than non-upgraded countries. It is noted that the Global Programme includes many new countries, many fragile or LDCs, and delivery may be more challenging in these. It is further noted that the delays in approving the STAR 1 and STAR 2 projects and allocating funds have affected delivery in global programme countries.

116. Delivery was first analysed at the end of August 2013. At that time, the delivery rates were significantly lower for the FSPs than for the 16 STAR-only funded countries. This initial slow delivery in upgraded countries was explained by their later start dates, and to the time taken to develop new working practices within the SGP for executing FSPs. Between August 2013 and June 2014, at least for the six UNOPS-executed FSPs, both actual commitments to grants and actual delivery to grants caught up and overtook the Global Programme.

117. Another aspect of efficiency is the proportion of total funds that are required to cover non-grant activities, such as programme management and programme support. A technical assessment of ‘management costs’ undertaken as part of the 2008 Joint Evaluation concluded that: “*Preliminary data suggests that the SGP is in the upper middle range of programmes for which data could be reliably gathered. However, compared to other programmes the SGP provides more services for these costs.... Thus, the management costs incurred by the SGP seem to match well with the services that it provides.*” Since Decision GEF/ME/C.32/2 and through SGP OP5, the percentage of expenditure on non-grant activities (management costs) has remained largely flat as compared with the 2008 Joint Evaluation findings.

118. The evaluation also examined co-financing (Table 11). In terms of total co-financing, from SGP OP3 through to SGP OP5, both the GEF allocations to SGP and total SGP co-financing have increased. The total allocation by the GEF however has increased proportionally more than co-financing, resulting in a decline in the ratio of co-financing to GEF funding. Every \$1 of GEF funding was matched by \$1.26 of co-financing in OP3, by \$1.05 in OP4, and as of 30 June 2014 by \$0.80 in OP5. With respect to the latter figure, as OP5 is ongoing, this ratio may increase by the end of the phase, as new projects with project-level co-financing are initiated.

Table 11: SGP co-financing

Operational Phase	SGP OP3	SGP OP4	SGP OP5 ⁱⁱⁱ (Non-Upgraded) (on-going)
Total GEF Allocation (US\$) ⁱ	106,890,000	168,858,553	248,295,017
Total Co-financing (US\$) ⁱⁱ	134,823,141	177,828,230	198,524,708 ^{iv}
Co-financing per \$1 of GEF (US\$)	1.26	1.05	0.80

Source: CPMT data and Evaluation Team calculations

Notes:

(i) Total GEF Allocation based on the budgeted figures (from Project Documents); includes grants, non-grant activities and UNOPS fees

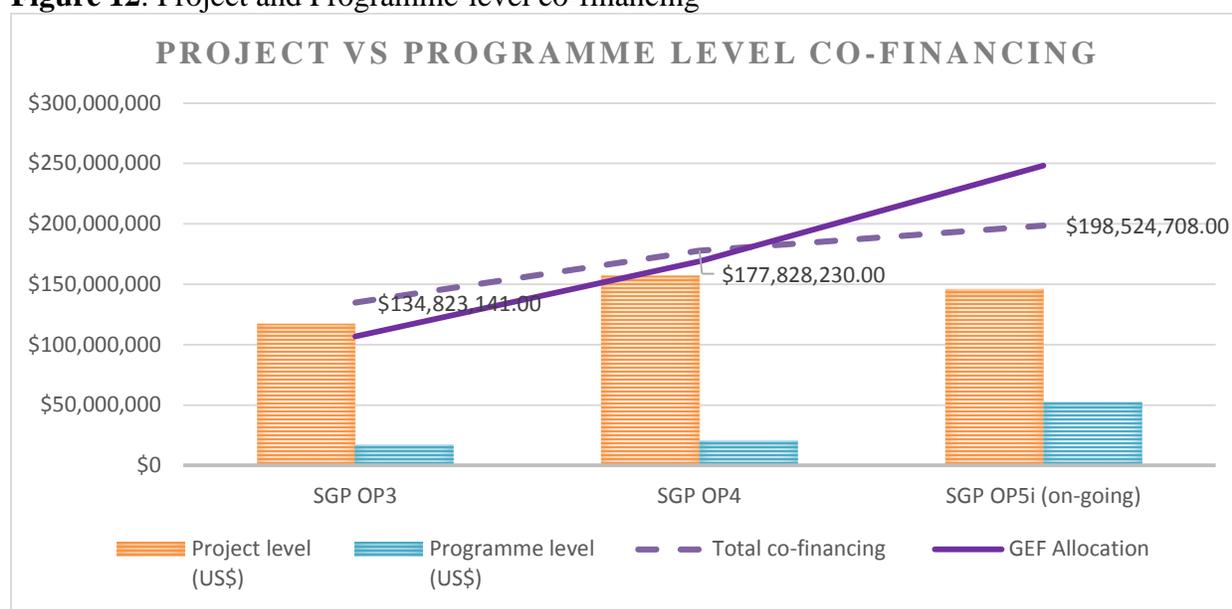
(ii) Total co-financing (for OP3, OP4 and OP5) includes programme and project level co-financing (grant and non-grant funding). Co-financing figures are based on committed amounts for the programme level co-financing; for the project level the figures are for co-financing raised at the level of each grant project, which includes in-kind and cash (from CPMT database). Data provided by CPMT

(iii) SGP OP5 amount excludes the Global SGP STAR III;

(iv) SGP OP5 co-financing- some projects will continue in OP6

119. Since the SGP started-up in 1992, ‘project-level’ co-financing (i.e. that mobilized in support of the individual community-based grants) has been much greater than programme level co-financing (i.e. that mobilized at the global or country programme level). Decision GEF/ME/C.32/2 requested that a greater proportion of SGP co-financing be programme level co-financing. This has been achieved: programme level co-financing grew steadily between SGP OP4 and SGP OP5, whereas project level co-financing remained relatively stable (Figure 12). It should be noted that figures for SGP OP5 will continue to evolve over the remainder of the cycle. Initial data analyzed in this Evaluation suggests that the upgraded countries generate far greater amounts of programme level co-financing than non-upgraded countries, in part due to co-financing from UNDP in several of the countries.

Figure 12: Project and Programme-level co-financing



Source: CPMT data as of 30 June 2014 and Evaluation Team calculations. Note: SGP OP5 is still ongoing, and co-financing can still increase.

Monitoring and Evaluation

120. The 2008 Joint Evaluation concluded that “*although monitoring and evaluation has improved significantly, there is scope for further improvements.*” Decision GEF/ME/C.32 therefore reiterated that “*monitoring and evaluation needs to be strengthened further*” and Council Paper GEF/C.33/5 outlined a series of specific measures to be taken, both at the country level and the global level.

121. Subsequently, additional resources and a great effort have been devoted to improving the M&E system. Progress has been made at the global level, for example in strengthening the results frameworks, improving on the excellent data base that provides basic data on more than 18,000 projects in an accessible and manageable manner, and production of two highly informative Annual Monitoring Reports.

122. At the project level, a great deal of monitoring activity has taken place, although coverage is not universal. Of the 144 projects reviewed, 92 percent included monitoring activities in the project design, and 89 percent had established at least some results indicators as part of the design. However, only 47 percent had established a baseline in the design phase. After completion, project completion reports were submitted for 85 percent of the projects, and of these more than half included an assessment of the extent to which all the project objectives had been achieved. However, as noted in the above section on gender, very few projects are reporting using sex-disaggregated data.

123. With respect to field visits, 88 percent of the projects sampled had benefitted from at least one monitoring visit by the National Coordinator or personnel deputed by him/her. This result is tempered by a comparison with the findings of the 2008 Joint Evaluation, where 96 percent of the projects sampled had received at least one such visit from the country programme teams.

One-third of the projects sampled for the present evaluation benefited from three or more visits, compared to more than half for the projects assessed by the previous evaluation. Interviews at the country level suggested that resource constraints, including no longer having a dedicated project vehicle and driver, were resulting in fewer field visits than in the past, although this was not examined in greater detail. Considering that total costs for programme management remained flat and the number of SGP country programmes increased, it is reasonable to derive that resources assigned to each country decreased, resulting in less supervision, which could possibly explain some of the difference in outcome ratings between the 2008 Joint Evaluation and the present one.

124. At the global level, other gaps remain in the M&E system. The overall strategy or framework for M&E has not been updated since SGP OP3. The CPMT does not have an M&E Officer, and M&E-related tasks are spread across the staff. The indicator and target frameworks in the design documents do not appear useful or appropriate (Box 6). There has been a limited emphasis on evaluation. The existing M&E framework describes evaluation at the level of the grant project, but gives little attention to evaluation at the country programme level, a level at which successes and lessons learned in replication, up-scaling and mainstreaming could be appropriately assessed. For the period under review, the Evaluation Team is aware of only two SGP country programme evaluations having been conducted (not-including the mid-term reviews that are being conducted of the upgraded country programme FSPs).

Box 6: Are the SGP indicators appropriate?

Given the SGP's nature and its challenges, the SGP Results Framework and indicators are unsurprisingly not fully satisfactory, and yet – it must be recognized - it is not easy to propose alternative indicators. Indicators for the first outcome in the SGP Project Results Framework are taken as an illustrative case, with some examples of how these indicators/targets have been used in SGP's 2013 AMR.

At the outset, there are challenges in developing a results framework given SGP's demand-driven approach. The first outcome 1.1 reads: *'Improved community-level actions and practices and reduced negative impacts on biodiversity resources in and around protected areas, and indigenous and community conservation areas.'* If it is not known in advance how many country programme strategies will approve grants aligned with this outcome, it is difficult to establish targets for the extent of expected improvement / reduced negative impacts. While generally it is held that it is necessary to set targets in order to assess later whether or not the results achieved matched the intentions, meeting or not meeting such a target in SGP may not be meaningful.

Secondly, while it may be possible to demonstrate that a project grant has led to improved community-level actions and reduced negative impacts in the project area, it is difficult to meaningfully aggregate such results at a global programme level. This leads to the choice of indicators such as *'Number and hectares of ICCAs and other PAs positively influenced through SGP support.'* This indicator however is problematic in that *'positively influenced'* is a subjective measure. What degree of influence or positive change needs to have occurred for a hectare in question to be counted? This is one of the indicators the SGP reports against in the 2013 AMR and examples from six countries illustrate what the figures mean in practice.

As SGP does not work in isolation, indicators such as *'number of significant species with maintained or improved conservation status'* do not help measure SGP's success or lack thereof. For example, improvements at the local level may be lost in an aggregate measure which shows a decline at the national or international level. In addition, data on conservation status of a species may not be available at a frequency necessary for monitoring and reporting on SGP's activities and results. The indicator and the target do not match: the target is *'465 significant species benefited.'* The 2013 AMR reports that 1018 species *'benefited as a result of SGP project interventions'*, but no data on *'conservation status'* is provided.

Other indicators and targets are problematic in other ways. For example, the target ‘254 significant ecosystems with conservation-aware communities resulting in their maintained or improved conservation status’ requires determining (i) that the eco-system benefits from a conservation-aware community (which would require indicators/means of verification to measure awareness); (ii) that the eco-system has maintained or improved conservation status (which requires indicators/means of verification to assess this status) and (iii) that there is a cause-effect relationship between the community awareness and the conservation status, which relation, if established, may not be immediately measurable, as awareness may precede changes in practices, which may take time to lead to measureable changes in conservation status of the overall eco-system. This is not one of the indicators used in the AMR 2013.

Tracking changes in livelihoods is a challenging task, and aggregating data across different contexts may be even more challenging. The indicators specifically related to livelihoods, ‘number of community members with improved livelihoods related to benefits from protected areas’ and ‘number of community members with sustained livelihood improvement resulting from SGP support’ if tracked at all more likely correspond to ‘number of projects reporting improved livelihoods of community members’, or, if there is more detailed reporting, ‘number of community members benefiting from SGP support that report improved livelihoods.’ The 2013 AMR does not report against this indicator.

The AMR 2013 reports against approximately nine of the thirty-plus indicators in the Project Results Framework (counting the indicators is difficult, as some are repeated under different objectives, and for some it is not clear if the targets are distinct or overlap.) Half of the objectives in the Results Framework have indicators that have been picked up in the AMR. Reporting against some of the indicators leads to questions as to their utility. For example, the AMR states that 38 chemicals projects were completed during the reporting period, and 37 countries are reported to be contributing to the implementation of national plans and policies to address POPs, harmful chemicals and other pollutants. It is in fact highly likely that any project in this portfolio will be contributing to the implementation of national plans and policies in some way, and thus the indicator tells us little more than would a count of the number of countries with projects in this area. The other indicator in this area is ‘tons of POPs waste avoided from burning’, the figures for which are provided by the SGP National Coordinators in response to a survey. It is not clear how the National Coordinators make these estimates, or how accurate they may be.

125. It is recognized that a number of SGP characteristics make it extremely challenging to develop an effective M&E system, i.e. one that is able to adequately track SGP’s contributions to environmental benefits and local livelihoods without burdening the programme. First, the SGP is intended to be demand-driven by the communities, making it difficult at the outset of the programme to articulate relevant national or long-term indicators baselines and targets (Box 6). Also, the unit of analysis is the project grant, of which there is a vast number, of many different types, with many different intended local level results. Each project may have multiple objectives, and developing indicators, baselines and tracking data against targets is beyond the capacity of many grantees.

126. The Results Framework in the CEO Endorsement Request includes indicators and requires the aggregation of the results of project grants across all countries. Clearly, this can only capture selected quantitative measures, which, even if tracked and reported on, would only provide a partial picture of SGP’s results. In addition, as has been described in earlier chapters, the SGP is achieving results in terms of replication, up-scaling and mainstreaming, but such successes are not achieved in isolation by SGP, occur beyond the project level, are difficult to categorize and quantify, and would need to be measured at different geographical scales. Furthermore, SGP pilots, innovates, and contributes to knowledge about what works and what

does not in different contexts. Seeking to measure only ‘results’ overlooks this and could even discourage`e innovations and risk-taking.

127. The Community Development and Knowledge Management for the Satoyama Initiative Programme (COMDEKS) 26 is piloting interesting work on M&E in a number of countries, where a simple set of 20 perception-based indicators to be collected at village level both at baseline and during implementation has been designed and is being tested. Not all the 20 indicators are collected in all cases, only a selection, depending on the grant typology. SGP could learn from this experience and explore the feasibility to apply lessons from the COMDEKS M&E system and indicators to collect village level M&E information to be used to fill in GEF tracking tools.²⁷

128. Most stakeholders agree that further progress is required on M&E. It is also generally accepted that the demands placed on the current M&E system are far too ambitious and unrealistic, and that there is a need to develop new, innovative, practical approaches.

²⁶ COMDEKS is funded by the Japanese Biodiversity Fund, implemented by UNDP in partnership with the Ministry of Environment of Japan, the Secretariat of the Convention on Biological Diversity, and the United Nations University Institute of Advanced Studies of Sustainability, and delivers grants through the SGP.

²⁷ UNU-IAS, Biodiversity International, IGES and UNDP (2014) Toolkit for the Indicators of Resilience in Socio-ecological Production Landscapes and Seascapes (SEPLS), <https://comdeksproject.files.wordpress.com/2014/11/toolkit-indicators-web.pdf>.

VI CONCLUSIONS AND RECOMMENDATIONS

Conclusions

Conclusion 1: SGP continues to support communities with projects that are effective, efficient and relevant in achieving global environmental benefits while addressing livelihoods and poverty, as well as promoting gender equality and empowering women. Replication, scaling up and mainstreaming are occurring.

129. SGP has successfully delivered grants to communities in more than 125 countries since start of operations in 1992. These grants are leading to a direct impact on biodiversity, climate change mitigation and adaptation, land and water resources and use of chemicals, while addressing livelihoods. The grants and the overall SGP are used efficiently and are relevant.

130. The SGP has established a structure and system that is committed not only to achieving global environmental benefits but also to addressing the socio-economic objectives of improving livelihoods, reducing poverty, promoting gender equality and empowering women. The structure and system includes skilled, competent and committed people and institutions at global, national and local level. This system ensures global policies are translated into action at the local level. The results at the local level are rather impressive, with high percentages of projects contributing to livelihoods, poverty reduction and gender issues, although many projects do not contribute to all the socio-economic objectives.

131. The achievements of SGP are being replicated at the local scale, up-scaled and mainstreamed into local and at times national development processes. This happens more frequently in the more mature countries. Broader adoption happens through a range of mechanisms – as indicated, essentially replication, scaling up and mainstreaming – which are country and site specific. In each case, many factors and stakeholders play a role. Of the many contributing factors, the single greatest factor is the activities of national stakeholders, notably the National Coordinators and the National Steering Committee members.

Conclusion 2: The introduction of upgrading and related policies contributed to the evolution of the SGP by setting out expectations for country programmes and their development over time. The new policies have resulted in increased resources for the SGP. However, they have also brought challenges. The current criteria for selecting countries for upgrading to Full-Sized Projects are not optimal.

132. Since 2008, the SGP Upgrading Policy and other GEF policies guiding SGP access to GEF resources have been actively implemented. This has not only enabled the SGP to continue, but has also contributed to its expansion in terms of total funding and number of countries. This has also led to other opportunities in terms of approach and partnerships.

133. However, the way these policies and measures were operationalized also had a number of negative effects, including increased delays and transaction costs and increased competition with other GEF project proponents, with the risk of the SGP being left unfunded. In addition, in the case of upgraded country programmes, additional challenges included reduced time and flexibility to complete country programmes and respond to local partners, and, possibly, an

overall more top-down approach with less community ownership over country programme design and management. Some of these effects can be interpreted as teething problems, and their occurrence is to be expected with the introduction and operationalization of major policies such as these. There is now an opportunity to build on the experienced strengths and address the weaknesses identified.

134. Currently, country programmes in upgraded countries are implemented through the FSP modality. This has the advantages of allowing more flexibility in-country and increasing available funds in some countries, but as seen it does have some associated negative aspects. Countries with low capacity may face even greater challenges in implementing through the FSP modality. Additionally, as it is presently structured, upgrading is neither suitable for countries with a low STAR allocation nor for countries with limited ability to prepare and implement FSPs.

135. Selection of countries for upgrading to FSPs is in OP5 based on two criteria that are not optimal and are too narrow, i.e., age of the programme in years and overall programme size (in terms of cumulative grants). A wide range of factors affect the maturity of a country programme, and progression does not always occur steadily over time. There is a widespread opinion among GEF stakeholders at all levels that programme maturity is not only, or not predominantly linked to programme age and number of grants issued. If selection criteria are inappropriate, there is a risk of either choosing countries where context and local capacity are not favourable to upgrading or not choosing countries where context and capacities for upgrading are optimal. As seen, two new criteria have been introduced already for OP6, which still do not change the substance of this conclusion.

Conclusion 3: As a global programme, acting nationally and locally, and being grassroots driven, the SGP must align to GEF, UNDP, national and local priorities. Within this context, the SGP has successfully remained coherent whilst being flexible. However, different perspectives and changing contexts create tensions. The global or long-term vision of the SGP has not been updated.

136. Not only does the SGP need to align to the GEF and UNDP policies and priorities, but it also has to adapt to multiple and diverse national and local policies and priorities that naturally vary from site to site and country to country. Notwithstanding, a high degree of relevance is found amongst the SGP priorities and programmes, encompassing a mixture of the global environment, the local environment, community empowerment, poverty and livelihoods and gender.

137. Yet, there are also differences of opinion amongst SGP stakeholders, including global and national planners and managers. Different stakeholders have different interpretations of the SGP, of its components and of how they are inter-related, which translate in different expectations on what the SGP should be and do as a global environment programme. Notably, different stakeholders have different views on how to balance the objectives of global environmental benefits and livelihoods, and on the extent to which there may be trade-offs between the two sets of objectives. The way and extent to which broader adoption should be pursued by the SGP is another example.

138. The overall context has changed since 1992. The policies and priorities driving SGP have evolved since its inception more than 20 years ago. Country programmes have each followed unique, non-linear paths. The SGP global vision has not been updated accordingly to adapt to these changes.

Conclusion 4: The SGP governance and management structures have been adequate, but are increasingly strained by an ever rapidly changing context. The GEF corporate nature of the SGP and the role and value added of UNDP as the GEF Agency are not clearly articulated.

139. The SGP governance and management structure have evolved with the SGP and have been on the whole effective in supporting the SGP. Some weaknesses have nevertheless emerged since 2008. The absence of a mechanism for high level interactions between the GEF and UNDP is affecting the programme's clarity of purpose. The upgrading process has led to tensions on the governance and management structure, and these may grow as the number of upgraded countries increases. Defining SGP as a 'corporate programme' or 'modality' has not yet contributed to the shaping of the vision or expectations for the SGP.

140. UNDP adds significant value to the SGP, such as providing a management framework, providing an implementation infrastructure, supporting substantive issues at the global level, and in many countries providing technical support on many issues such as the global environment, poverty, gender, capacity development, knowledge management, M&E and broader adoption. However, as a GEF Agency, UNDP's added value is not optimized. At the global level, the SGP is not mainstreamed into UNDP global programming, and the links between the SGP and UNDP's environment, governance, poverty and gender initiatives are not fully established. At the national level, in many countries, the SGP is not seen as a full part of the UNDP programme and country activities. Globally and nationally, UNDP's identity and role as the GEF Agency for a corporate programme have not been adequately explored and developed.

141. UNDP management of the upgraded countries has differed from that of the rest of the SGP. For most the period under review, the implementation of the SGP through two separate mechanisms (FSPs and CPMT) undermined knowledge management and complicated M&E. Recently, UNDP has introduced several important changes in the management arrangements at the central level, in an attempt to bring the two components together. As for the country level, as the number of upgraded countries is set to grow, this may become an increasingly important issue, and there remains a real danger of the SGP splitting de facto in two (or more) SGPs, potentially undermining effectiveness and efficiency.

Conclusion 5: Despite important progress, M&E does not adequately support decision-making and remains too complex.

142. Important progress has been made with the SGP M&E system since 2008, particularly at the global level. Yet, the challenging nature of the SGP means that weaknesses still remain related to monitoring and evaluating the impacts of the SGP. There are also important weaknesses at the national and project level. At present, the M&E system is unable to provide a clear picture of the impacts of the SGP on the global environment. Moreover, emerging important issues, such as addressing poverty, gender, broader adoption and trade-offs, place additional burdens on the M&E system.

143. The issue is not a lack of resources for M&E. Rather, there is a need for a sharper focus and better use of M&E resources and information. An opportunity exists for the GEF and SGP to continue developing innovative, simpler M&E tools and systems that are better adapted to the needs and resources of the SGP.

Recommendations

To the GEF

Recommendation 1: Revitalize the SGP Steering Committee to support high-level strategic thinking in developing a long term vision for the SGP, to foster dialogue between UNDP and the GEF, and to advise the Council as appropriate on strategic decision making.

144. The SGP has continued to be a relevant, effective and efficient programme; however, in some areas there is a lack of clarity as to expectations for the programme and its long term evolution. The revitalized global Steering Committee, which could include the GEF Secretariat, UNDP, UNOPS, a representative from the GEF-NGO network, and/or other members as appropriate, would provide a forum for clarification of the SGP's long-term vision, future approaches to upgrading (including upgrading criteria), articulation of the role for broader adoption in SGP, the balance between global environmental benefits and socio-economic objectives, and other issues as they may arise. The revived Steering Committee should assist in articulating the 'GEF corporate nature' of the SGP, help clarify the role and responsibilities of UNDP as a GEF Agency implementing a 'GEF corporate programme', and assist with the development of a strategy to optimize UNDP's value-added. Where policy decisions are required, the Steering Committee would provide advisory services to the GEF Council. At the final stakeholder consultation workshop on the draft evaluation, the evaluation team was informed that discussions are on-going on draft terms of reference for a revitalized Steering Committee, following the recommendation in OPS5 final report, which in turn was informed by the first phase report of this joint evaluation.

145. In addition, some of these issues could be discussed in a wider forum, for example, in an international workshop bringing in SGP decision makers, implementers, as well as other stakeholders and partners from selected programme countries. The proceedings of such high level forum could then be shared with the GEF Council for consideration.

To the GEF and UNDP

Recommendation 2: Continue upgrading, building on strengths while addressing the weaknesses identified. The criteria for selection of countries for upgrading should be revisited.

146. Upgrading is to be seen as a continual process, in which country programmes mature, acquire capacity, and are expected to evolve in terms of their partnerships, co-financing and degree of mainstreaming, and eventually reach an 'upgraded' status. Consolidation of the upgrading process should be sufficiently flexible to match the conditions prevailing in all participating countries, whilst maintaining an incentive to each and every country programme to evolve. The criteria for upgrading should be revisited and recommendation for revisions submitted to the GEF Council. This revision should be informed by the SGP Steering Committee and/or the proceedings from the international conference mentioned in Recommendation 1.

147. The FSP modality for upgraded countries should be modified in order to maximize the positive and minimize the negative effects. This could include the use of innovative procedures that:

- (a) allow FSPs to follow the ‘annual rolling modality’ of SGP rather than being limited to fixed time-frames;
- (b) ensure that civil society continues to be at the ‘wheel’ of the SGP – even when no longer alone in the driving seat;
- (c) allow groups of upgrading countries to implement their SGP country programme through a single, multi-country FSP, as was done for STAR I and STAR II non-upgraded countries; and
- (d) allow the most mature countries with small STAR allocations to be able to upgrade but still use SGP core funds – hopefully leading to a combination of the characteristics and benefits of the FSP modality with the use of SGP core funds.

148. Finally, although all countries should be able to adopt the upgraded status, this should be voluntary for LDCs and SIDS.

149. For non-upgraded countries, the process for accessing STAR funds through a global project should be modified in order to minimize delays and uncertainties, as well as to lessen the current competition for GEF funding amongst stakeholders at the country level.

To UNDP

Recommendation 3: Ensure that the SGP is implemented under a single, coherent global programme framework

150. All SGP country programmes, whether upgraded or not, should be implemented under a single, coherent, global programme framework. As country programmes mature from being purely funded by core funds to increasingly accessing GEF STAR resources and ultimately upgrading to be executed as FSPs, the type and level of support from UNDP and CPMT should evolve as a continuum within that single, coherent, global programme management framework.

151. In addition, in line with a strategy to optimize UNDP’s value-added as the implementing agency of SGP, as mentioned above under Recommendation 1, UNDP should provide guidance to SGP and to UNDP Resident Representatives to strengthen synergies between SGP and UNDP programming at the country level, recognizing at the same time the specificities of the SGP as a GEF ‘corporate programme’.

To UNDP and CPMT

Recommendation 4: Continue efforts to improve M&E, designing more streamlined and useful M&E tools and activities that balance the need to measure with the need to provide support to local communities in tackling environmental issues.

152. Under GEF Secretariat guidance, UNDP and CPMT should continue the process of strengthening and streamlining M&E. CPMT should move quickly to update its M&E Framework, with a focus on streamlining and aligning indicators and tools to track and validate

progress towards SGP strategic objectives, as appropriate at different levels (global, national and local). Here, an opportunity exists for developing and performing a more practical monitoring function by using simple but innovative M&E tools and systems that are adapted to the needs, resources and community focus of the SGP, and that achieve a financial and operational balance between the need to measure and the need to provide support to local communities in tackling environmental issues that are globally significant. A concrete possible source of inspiration on village level indicators is the ongoing SGP cooperation with the COMDEKS programme.

153. As a result of the revised M&E Framework, the monitoring demands on the National Coordinators and the grantees should be reduced overall, but should contribute to a clearer picture of project and national progress. CPMT should consider moving quickly to recruit a full-time, senior M&E officer whose main task should be to develop and implement the revised M&E Framework.

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Annex 1 – Terms of Reference

Joint GEF/UNDP SGP Evaluation: *Preparing for GEF-6*

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Introduction

1. The Small Grants Programme (SGP) of the Global Environment Facility (GEF) will be evaluated jointly by the independent evaluation offices of the GEF and the United Nations Development Programme (UNDP). The Joint GEF/UNDP SGP Evaluation will be conducted in two phases. The 1st Phase will be conducted from April to August of 2013. It will focus on an update of the Joint Evaluation of the SGP (GEF, UNDP, 2008)²⁸ and progress made to date on implementation of its recommendations. The findings of this 1st Phase will be included in the final report of the fifth GEF Overall Performance Study (OPS5).²⁹ The 2nd Phase will take place from September 2013 to March 2014 and will expand the analysis of the effectiveness of the SGP, looking at themes including the linking of poverty reduction and environment conservation at local level. The findings of the 2nd Phase will be presented to the UNDP Executive Board and the GEF Council in 2014.

2. The Joint GEF/UNDP SGP Evaluation (GEF/UNDP, 2008) was crucial in shaping the way forward for the SGP, and provided the foundation for the implementation of several important changes, some of which were essential for making the broadening of the programme to more countries possible. The Joint GEF/UNDP SGP will assess the extent to which the most important recommendations and related GEF Council decisions progress have been implemented, the factors that have affected their implementation and the extent to which recommendations and Council decisions remain pertinent in the light of current and future situations. The Joint GEF/UNDP SGP Evaluation, particularly in the first phase, will also look at trends concerning networking, management, monitoring and evaluation (M&E), focal area and capacity development, linking these to observed achievements on the ground.

3. The Joint GEF/UNDP SGP Evaluation is co-financed by the independent evaluation offices of GEF and UNDP, and by the SGP itself. The 1st Phase of the Joint GEF/UNDP SGP Evaluation will be considered the terminal evaluation for the current GEF SGP operational phase (Operational Phase 5 – OP5) and serve the purpose of informing the next SGP replenishment. The coinciding timing of the SGP replenishment and GEF replenishment in late 2013 make this arrangement possible. The overall budget for the study amounts at \$200,000.³⁰

²⁸ The report of this evaluation can be downloaded from: <http://www.thegef.org/gef/Program%20Evaluation%20-%20Joint%20Evaluation%20SGP>

²⁹ OPS5 will be conducted in two phases and produce two reports: a first report at the start of the replenishment process and a final report to be presented in the final phase of the replenishment in November 2013. The TORs and budget for OPS5 can be downloaded from: <http://www.thegef.org/gef/OPS5>

³⁰ GEF and UNDP evaluation offices will contribute 37.5% each, while the remaining 25% will come from SGP.

The GEF Small Grants Programme

4. The SGP is a GEF corporate programme implemented by UNDP. The United Nations Office for Project Services (UNOPS) provides financial and administration support services to the SGP at country and project level. Supervision and technical support is provided by a Central Programme Management Team (CPMT) based in New York.³¹ Each participating country has a SGP National Coordinator (NC). The NC is often associated and supported by the UNDP country office, or hosted in a Non-Governmental Organization (NGO) that acts as a National Host Institution (NHI). National Steering Committees (NSCs) provide major substantive contributions to and oversight of their respective SGP country programme. The NSC, members of which work voluntarily, typically comprises representatives from local NGOs, government, academia, UNDP and occasionally co-funding donors, indigenous peoples' organizations, the private sector and the media; a majority of members are non-government. Grants are awarded directly to Community-Based Organizations (CBOs) and Non-Governmental Organizations (NGOs). In OP5 the SGP has expanded its scope to include all Civil Society Organizations (CSOs). The use of local NGOs and/or CBOs as grantee-partners implies a built-in preference for projects requiring community involvement.

5. SGP's aim is to contribute to resolving global environment and sustainable development challenges by providing small grants to communities and CSOs for projects aligned with the strategic priorities of the GEF and within the framework of sustainable development. SGP targets community-level initiatives across the range of global environmental issues addressed by the GEF and seeks to integrate actions that lead to poverty reduction with a participatory approach.

Table 1: SGP distribution by GEF focal area³²

Focal Area	N. of Projects	%	Total Grant	Co-financing in Cash	Co-financing in Kind
Biodiversity	7,984	49.7	192.80	134.90	141.50
Climate Change and Adaptation	3,106	19.3	83.10	58.72	51.77
Land Degradation	1,923	12.0	50.70	22.90	30.30
Multifocal	1,611	10.0	35.70	16.70	18.10
International Waters	758	4.7	17.60	11.10	17.60
Persistent Organic Pollutants	341	2.1	9.29	4.80	4.60
Focal Area Not Mentioned	260	1.6	7.10	5.10	3.30
Capacity Development	81	0.5	2.35	0.81	0.71
Totals	16,064		398.64	255.03	267.88

6. To date, the SGP has provided about 16,064 small grants. A strategic preference has historically been given to biodiversity projects, which constitute the larger share of the global SGP portfolio. Climate change projects (including adaptation) come second after the biodiversity ones

³¹ CPMT comprises a Global Manager, a Deputy Global Manager, 4 Programme Advisors on the GEF focal areas, a Programme Specialist for knowledge management, and 2 Programme Associates. Together they provide global supervision and day-to-day programmatic and operational guidance to over 119 countries that are part of the SGP global programme. In the 9 upgraded countries CPMT is responsible for coordinating knowledge management activities as well as to matters pertaining to the SGP global Operational Guidelines.

³² Data is cumulative since 1992, and extracted from the SGP database, with February 5, 2013 as cut-off date.

and are followed by land degradation projects. These three SGP project typologies constitute the large majority of the global SGP portfolio, corresponding to 81% of the total number of projects, and to 82% of the total grant budget. The SGP is required to raise co-financing at a 1:1 ratio, half in-cash and half in-kind in recognition of the nature of its grantees which are poor and vulnerable communities and local CSOs that still have to develop capacity. The cash co-financing ratio is US\$1 grant to US\$0.64. In kind co-financing almost equals co-financing in cash. The maximum SGP grant size is US\$50,000, but grants are generally in the range of US\$20,000 to 25,000. In SGP OP5, “strategic projects” of up to \$150,000 can be proposed in accordance with the updated SGP Operational Guidelines and following a special call for proposals. Grants are disbursed against agreed financial and output-based reporting milestones.

7. The SGP is a tool for the GEF to achieve global environmental benefits while addressing the livelihood needs of local populations, paying a special attention to reaching the poor. Over the years a high demand for SGP country programmes is observed, where the SGP grew to 123 countries by the end of GEF4, with 14 more countries having expressed their interest to join during GEF5. The total number of countries reached by the GEF SGP global programme (including 9 upgraded programmes) as of 30 June 2012 stands at 128.^{33, 34}

8. The previous Joint Evaluation of the SGP (GEF/UNDP, 2008) highlighted that new challenges and opportunities will arise as the programme grows. That evaluation called for the SGP to reform its central management system to make it suitable for the new phase of growth and address the risks of growing programme complexities. These complexities relate to both the increased number of countries and to the SGP upgrading policy introduced in GEF5 (GEF/C.36/4), according to which mature SGP country programmes should function more independently and assume broader responsibilities. OPS4 recommended recognizing the SGP as a modality of the GEF that should be made available to all recipient countries (GEF Evaluation Office, 2009). Since the introduction of the SGP upgrading policy, mature SGP country programmes are being funded as GEF Full Size Projects (FSP) within an overall SGP programmatic framework, and are implemented continuing to follow the SGP operational guidelines. The upgrading of country programmes into a FSP modality is being conducted in GEF5 ensuring that the replenishment of country programmes funds is performance-based.³⁵

9. To date, 9 countries have been upgraded and are being implemented as FSPs. The upgraded SGP country programmes are funded from the GEF5 resources allocated through the System for Transparent Allocation of Resources (STAR), as opposed to all the other SGP country programmes that continue to be funded partly through the SGP core resources as well as additional STAR funds. The SGP countries upgraded to date include Brazil, Bolivia, Costa Rica, Ecuador, India, Kenya, Mexico, Pakistan and the Philippines.³⁶

³³ This number does not include Chile, Poland and Lithuania where SGP programmes have closed.

³⁴ GEF SGP Annual Monitoring Report – 1 January 2011 / 30 June 2012 (UNDP, 2012).

³⁵ In addition to the upgrading of mature SGP country programs in GEF-5 and seek funding through the GEF FSP modality, the “GEF-5 Programming Document” of August 2009 (GEF/r.5.14) states that such country programs are expected to seek larger amounts of funding from a variety of sources, while still remaining part of the overall SGP for knowledge management and communications.

³⁶ Chile, initially among the upgraded countries, decided to close its SGP country programme. It has developed a separate FSP with UNDP as the GEF agency and the Ministry of Environment as the national executing agency.

10. The Joint Evaluation of the SGP (2008) found that initial rules of access to GEF resources through the RAF in GEF4 were particularly complex and affected the efficiency of SGP. In light of this finding, the Joint GEF/UNDP SGP will assess the extent to which country endorsement of SGP access to STAR funds and OP5 tranching have affected implementation. The evaluation will also assess the effects of other measures such as the raising of the cap for access to SGP grant resources introduced in GEF4 allowing 5% to be used for capacity development, M&E and knowledge management.³⁷ The evaluation will also look into the extent to which the criteria for accessing GEF resources are sufficiently flexible and responsive to the willingness of countries to channel their STAR resources to their SGP country programme.

11. The growth of the programme during GEF5 has required SGP to undertake several actions to strengthen programme oversight and M&E. While SGP has put into place processes to meet most of the Joint Evaluation recommendations on M&E, SGP country programmes still face challenges. Access to GEF resources through the RAF in GEF4 and now STAR in GEF5 requires SGP country strategies to articulate grants to results relevant to the GEF focal areas, to allow for a better tracking of SGP's contributions to global environmental benefits in the context of the countries' sustainable development priorities.

1st Phase – scope and key questions

12. The first phase of the evaluation will provide an update to the previous Joint GEF/UNDP Evaluation, and assess progress made to date on the implementation of its recommendations, in order to respond to key question ten of the terms of reference for the OPS5 final report:

(10) To what extent is the GEF Small Grants Programme successful in broadening its scope to more countries while continuing to ensure success on the ground?

13. The 1st Phase of the Joint GEF/UNDP SGP Evaluation will assess the extent to which the SGP continues to contribute towards conservation of the global environment while addressing the challenges inherent to its ongoing growth. In this broad framework, the following key questions will be specifically addressed:

- i. What is the effectiveness and efficiency of the SGP at local and global level?
- ii. How have the changes introduced since 2008 affected the SGP central management system and in particular its cost structure?
- iii. What are the key factors affecting SGP results?
- iv. How did the introduction of the SGP upgrading policy affect countries' access to GEF resources and the effectiveness and efficiency of ongoing country programme operations?
- v. Are the M&E systems in SGP at central as well as local level adequately and appropriately tracking SGP's contributions to global environmental benefits as well as to local groups' livelihoods?

³⁷By agreeing to "other proposals outlined in the report" the Council implicitly agreed with paragraph 6 of the Joint Evaluation Follow-up working paper (GEF/C.33/5) which capped at 5% of the country portfolio grants for capacity building workshops, lessons learning and networking for poor communities, indigenous people, and groups in remote areas. In GEF 5, with the addition of Capacity Development as an additional "focal area" outcome in alignment with the GEF's set of strategic objectives, grant resources for capacity development, M&E, knowledge management, policy advocacy and networking increased to 10%.

- vi. Are these systems useful for learning and helping local groups to build confidence in the progress they make?

14. The changes in the SGP central management system to be looked at include the dual management structure introduced in GEF5 in which upgraded countries are coordinated through UNDP's Community Resilience and Sustainability Technical Team Cluster, a structure that functions in parallel to the CPMT in the management of the SGP.³⁸ The SGP management and administrative cost structure at the central as well as the national level will be a specific focus of the analysis. The nature, effectiveness and efficiency of the services provided by UNOPS at central as well as national levels will also be looked at during the 1st Phase.

15. The evaluation will also review implementation of the recommendation of the previous evaluation with respect to audits.

2nd Phase – scope and key questions

16. The 2nd Phase of the Joint GEF/UNDP Evaluation will expand the analysis of the effectiveness of the SGP. The areas of inquiry and key evaluation questions for this second phase of the evaluation will be informed by and refined during the first phase of the evaluation. This phase will also involve field work in a larger illustrative sample of countries. One key theme will be the linking of poverty reduction and environment conservation at local level and the relative effectiveness of the various win-win solutions being promoted in each GEF focal area by the SGP at local level. The following key questions can be formulated at this stage:

- i. What is the effectiveness of the SGP for successfully achieving environmental conservation and sustainable management while addressing livelihoods in communities, compared with SGP components of FSPs and MSPs, as well as other similar small grant mechanisms?³⁹
- ii. To what extent have SGP results been up-scaled, replicated or mainstreamed and what are the factors favoring or hindering this?
- iii. To what extent are the SGP M&E and knowledge management systems capturing up-scaling, replication and mainstreaming of SGP results?
- iv. To what extent has SGP contributed to national level changes to address global, national and local level issues, particularly in countries with an SGP programme at least 5 years old?
- v. To what extent has SGP, through its work with NGOs and CSOs, facilitated civic engagement in the local and/or national policy arena, especially in post-conflict and fragile states?

17. The evaluation scope in the 2nd Phase will include SGP country programmes, SGP components of GEF full-size and medium-size projects (FSPs and MSPs), and other UNDP programmes with similar small grants components. These UNDP programmes would not necessarily need to be specifically focused on the environment, and their focus could be on

³⁸ Since 2011, the SGP country programmes upgraded to FSPs are managed by this cluster within UNDP.

³⁹ This may include for example the support of national funds to support alternative livelihoods of local populations.

agriculture, poverty reduction or natural resource management. Criteria for selection of such programmes would focus on the comparability with the SGP, and may include;

- a. Addressing livelihood needs;
- b. Linking poverty and the environment;
- c. Delivery mechanisms based on demands from communities;
- d. Based on demands from grass-root organizations (not individuals);
- e. Asking some form of contribution from the grantee (either cash or in kind);
- f. Having an institutional setup at national level that is similar to the SGP (i.e. with a NSC for grants approval and overseeing responsibilities);
- g. Types of services and levels of supervision provided to grantees.

18. The second phase will also assess the role of SGP as a delivery mechanism for FSP such as in the case of the projects Reverting Environmental Degradation in the South China Sea and the Nile Transboundary Environmental Action Plan.

19. The 2nd Phase will also deepen the analysis of relevance, effectiveness and efficiency, and factors affecting results, drawing on the additional evidence gathered during the field visits. The nature, effectiveness and efficiency of existing synergies and coordination mechanisms between the SGP, as a corporate GEF program and projects implemented by other GEF Agencies will be also examined.

Methods and process

20. The previous Joint Evaluation of the SGP (GEF/UNDP, 2008) was a one year-long intense effort, to which as many as 25 evaluators contributed at different levels. The evaluation encompassed country case studies in 20 countries around the globe with field work involved in nine of these, during which more than 200 grants were visited and field verified. The methods and tools developed as well as the depth and thoroughness of the evaluative analysis and evidence collected in that evaluation are assets upon which this evaluation intends to build. An evaluation matrix containing the key evaluation questions, indicators, information sources, and evaluation tools and methods – derived and adapted from the ones used in the 2007 SGP evaluation – is under development.

21. The Joint GEF/UNDP SGP Evaluation will be conducted in two main phases:

- I. **April-August 2013** Updating the quantitative and qualitative data sets assembled in 2007 in the Joint Evaluation of the SGP (through meta- analysis of evaluations, desk-literature review and portfolio review and three country visits); and
- II. **September 2013-March 2014** Collection of new evaluative evidence through interviews and surveys at global, regional and country levels, and additional country visits.

1st Phase

22. The *meta-analysis* will extract information from all relevant and available evaluations produced within the GEF M&E partnership, by both the Office – including the ongoing Mid-term

Review of the STAR and the NPFE evaluations, and both ongoing and completed country level evaluations – and the independent evaluation units of the GEF Agencies. Available SGP programming and M&E reports are indicated in Annex 1.

23. The *desk and literature review* will be conducted on SGP country strategies, project documents, annual reports and country evaluations, SGP Steering Committee documents, and the GEF Council documents related to the SGP. This review will report on the consistency of SGP country strategies with GEF priorities and national priorities will assess overall results reported at the country level and factors affecting extent of progress towards results. Annex 1 presents a brief description of the available SGP programming and reporting documents.

24. The *portfolio review* will be based on the information contained in the central SGP database maintained by CPMT as well as knowledge products, case studies, and relevant publications. The review will provide an overall picture of the SGP operations and will address those effectiveness and efficiency issues that can be dealt with at the portfolio level. Specifically, the portfolio review will analyze the financial aspects of the SGP, including:

- i. country, region and focal area allocation and distributions;
- ii. average project grant size taking into account country, region and focal area differences;
- iii. levels, sources and types of co-financing per country⁴⁰; and
- iv. administration costs and other non-grant technical costs

25. Three *country visits* are proposed to be conducted in one country in each of the three main GEF geographical regions (Africa, Asia and the Pacific, and Latin America and the Caribbean – LAC), selected among the ones that were visited for the Joint Evaluation (Table 2). Two of these will be two upgraded and one not upgraded SGP country programme. Specific TORs, interview guides and review protocols aiming at capturing evaluative evidence in response to the main areas of inquiry will be developed for these visits.

Table 2: Countries for visit during the 1st Phase

Country	Region	Grant Amount (US\$ million)	Number of Projects	SGP Year start
Egypt	Africa	6.16	285	1994
Ghana	Africa	4.37	194	1993
Kenya *	Africa	9.00	309	1993
Pakistan*	Asia	8.64	231	1994
Philippines*	Asia	9.17	292	1992
Belize	LAC	5.16	196	1993
Ecuador *	LAC	7.98	252	1995
Guatemala	LAC	4.27	366	1997
Mexico*	LAC	11.91	523	1994

* Upgraded countries

26. *Interviews* will be conducted following an interview protocol that will be developed to that purpose and used with SGP involved staff and stakeholders at central level (SGP staff from both

⁴⁰ Including SGP's role as a delivery mechanism for other FSPs such as South China Sea, Nile Transboundary Environmental Action Project, SPA CBA, and other donor funded projects such as AusAid, NZAid, UNF, EU and Japan.

UNDP and UNOPS, and UNDP staff involved with GEF in New York; and GEF Secretariat staff in Washington DC). The focus of interviews is at the central level because of the institutional nature of the topics under inquiry in the 1st phase. Additional interviews will be conducted at country level as part of the case studies.

27. The 1st Phase will produce the information basis for refining the scope of the evaluation, identifying the tools and methods and developing the sampling needed to address the specific key questions that will emerge.

2nd Phase

28. *Interviews* will be conducted following an interview protocol that will be developed to that purpose, and used primarily with SGP involved staff and stakeholders at regional (mainly UNDP technical regional teams) and country level (SGP national coordinators and their programme assistants, and national steering committee members where possible). Subject to the availability, quality and reach-out potential of the SGP email addresses database, a stakeholder questionnaire will be developed and administered online through Survey Monkey or analogous web platform. The purpose will be to gather perceptions of the various stakeholders on the issues under study. Teleconferences will also be carried out as and when needed.

29. At least five *country visits* will be conducted in countries that were selected for field work during the Joint Evaluation in 2007, as these have a relatively mature SGP portfolio. Additional selection criteria include post-conflict and fragile states (see key question v., 2nd phase) as well as the possibility to gather information on existing umbrella programs that are similar to the SGP, for comparative analysis purposes. Table 3 contains a list of countries derived from the original sampling done for the Joint Evaluation in 2007, where countries were preselected for field visits based on both total GEF SGP grant and number of SGP projects, and programme maturity, expressed in terms of the first SGP project in that country having been implemented in/or before 1997. Final selection for country visits and topics of inquiry during visits will be determined on the basis of the findings of the first phase of the evaluation (see Annex 2, Table 6: Category III countries). The final selection will be done also based on the results of the 1st Phase.

Table 3: Possible countries for visits during the 2nd Phase

Country	Region	Grant Amount (US\$ million)	Number of Projects	SGP Year start
Ivory Coast	Africa	4.38	217	1993
Mali	Africa	8.85	336	1994
Senegal	Africa	8.05	242	1994
Tanzania	Africa	7.49	273	1997
Tunisia	Africa	4.69	150	1993
Zimbabwe	Africa	4.61	144	1994
India *	Asia	8.21	323	1996
Indonesia	Asia	7.91	426	1993
Jordan	Asia	6.00	184	1993
Sri Lanka	Asia	6.93	349	1994
Thailand	Asia	6.27	383	1994
Bolivia *	LAC	8.06	290	1997
Brazil *	LAC	8.07	317	1995
Chile **	LAC	7.07	260	1994

Country	Region	Grant Amount (US\$ million)	Number of Projects	SGP Year start
Costa Rica *	LAC	10.54	577	1993
Dominican Republic	LAC	7.9	369	1994
Kazakhstan	ECA	6.17	305	1997
Poland **	ECA	6.76	385	1994
Turkey	ECA	4.63	220	1993

* Upgraded countries

** No longer SGP

30. Additional country visits may eventually be conducted on an opportunistic basis when GEF Evaluation Office and/or UNDP Evaluation Office staff are traveling to (or from) neighboring countries for other purposes, in an effort to increase coverage. Specific data and information gathering tools will be developed for country visits that will be conducted during this 2nd Phase.

Opportunities for coordination with parallel evaluations

31. The SGP has been a main avenue for GEF engagement with NGO/CBOs. As indicated in paragraph 5, NGO/CBOs are the ultimate SGP grantee partners on the ground. In this sense, the Joint GEF/UNDP SGP Evaluation presents an opportunity to gather evaluative evidence on GEF engagement with CSOs that could feed into the parallel OPS5 sub-study on GEF engagement with CSOs. Aspects that could be looked at include NGO/CBOs' capacity to provide relevant M&E information for tracking contributions to global environmental benefits.

32. Similarly, the SGP is an important avenue for GEF to engage with women and indigenous peoples. Often the NGO/CBO is a women-run entity or cooperative (e.g. tree nurseries, bee keeping, handicrafts, etc.), and often it involves income-generating schemes and support to indigenous peoples organizations. The Joint GEF/UNDP SGP Evaluation also represents a good opportunity to gather evaluative evidence for contribution to the parallel OPS5 sub-study of the GEF gender strategy and can provide evidence on the forms in which GEF engages with indigenous peoples.

33. Synergies will be explored with the UNDP Evaluation Office between this Joint GEF/UNDP SGP Evaluation and the ongoing Joint GEF/UNDP Biodiversity Impact Evaluation.

34. Finally, the UNDP Evaluation Office is conducting Assessments of Development Results (ADRs) in six countries in 2013 (Afghanistan, Algeria, Iraq, Kenya, Lebanon, and Sierra Leone),⁴¹ and synergies will be explored between this Joint GEF/UNDP SGP Evaluation and these ADRs. Similarly, synergies will also be explored with ongoing GEF Evaluation Office's country-level evaluations in Africa (Tanzania, Eritrea and Sierra Leone) as well as in the MENA region.

⁴¹ In Sierra Leone UNDP and GEF are already coordinating in the conduct of parallel country portfolio evaluations. In Iraq there is no SGP country programme.

Evaluation management

35. As was the case in 2007, the Joint GEF/UNDP SGP Evaluation will be a joint effort by the GEF and the UNDP evaluation offices, as equal partners. The execution structure of the evaluation will be composed of three tiers:

- i. The Steering Committee, co-chaired by Mr. Indran Naidoo, Director of the UNDP Evaluation Office and Mr. Rob D. van den Berg, Director of the GEF Evaluation Office, and composed of Mr. Juha Uitto and Mrs. Heather Bryant from the UNDP Evaluation Office and Mr. Carlo Carugi and Mr. Aaron Zazueta from the GEF Evaluation Office. The Committee reviews and approves the Terms of Reference, the joint management arrangements, selection and hiring of consultants, and the evaluation report. It ensures that sufficient and timely resources (human and financial) are made available for the evaluation. The Committee will jointly chair a formal meeting with Agency representatives and stakeholders to discuss the emerging findings of the evaluation. This Committee will also function to review and resolve disputes if they arise.
- ii. The Management Team, formed by two task managers, Mrs. Heather Bryant from the UNDP Evaluation Office and Mr. Carlo Carugi from the GEF Evaluation Office, will be responsible for the over-all development and execution of the evaluation. These co-managers will be responsible for the identification, hiring and supervision of consultants in accordance to mutually agreed TORs and institutional procedures; coordination of evaluation activities carried out by both offices, quality control of products and processes; and the timely delivery of evaluation products.
- iii. The Evaluation Team, composed by one lead consultant, one national consultant per country study (total of 8), and research assistants from both UNDP and GEF evaluation offices assigned to the evaluation. Consultants will respond directly to the Management Team and conduct specific tasks as directed by the Management Team.

Annex 2 – Purpose, Scope, Methodology and Limitations

The Purpose and Scope of this Joint Evaluation

1. This Joint Evaluation provides an independent assessment of the effectiveness, efficiency and relevance of the GEF Small Grants Programme. It analyzes the key factors behind effectiveness, efficiency and relevance, and it draws lessons for the future of the SGP.

2. The evaluation was undertaken in two phases. Phase 1 was conducted in 2013 in order to contribute required information in a timely manner to the Fifth Overall Performance Study of the GEF (OPS 5). Notably, it was designed to respond to Question 10 of the OPS 5 report, i.e. “to what extent is the GEF Small Grants Programme successful in broadening its scope to more countries while continuing to ensure success on the ground?” Given the fundamental nature of Decision GEF/ME/C.32/2, Phase 1 also sought to assess the extent to which the Decision’s recommendations had been implemented, the factors that affected their implementation, and the consequences of implementing these recommendations.

3. Specifically, Phase 1 sought to answer the following questions (see the evaluation Terms of Reference in Annex 1):

- What is the effectiveness and efficiency of the SGP at local and global level?
- How have the changes introduced since 2008 affected the SGP central management system and in particular its cost structure?
- What are the key factors affecting SGP results?
- How did the introduction of the SGP upgrading policy affect countries’ access to GEF resources and the effectiveness and efficiency of ongoing country programme operations?
- Are the M&E systems in SGP at central as well as local level adequately and appropriately tracking SGP’s contributions to global environmental benefits as well as to local groups’ livelihoods?
- Are these systems useful for learning and helping local groups to build confidence in the progress they make?

4. The Phase 1 findings were incorporated into the Fifth Overall Performance Study of the GEF (OPS 5) (see OPS 5 Final Report: At the Crossroads for Higher Impact, GEF IEO, 2013). Also, the full report of Phase 1 of the evaluation was released and uploaded on the GEF IEO website in January 2014⁴² and a management response to the first phase report was prepared by the GEF Secretariat.⁴³

5. Phase 2 of the evaluation was undertaken in 2014. It explored in greater depth issues related to relevance, effectiveness, efficiency and risks to sustainability of the SGP. In addition, it examined the following issues that had emerged during Phase 1:

⁴² Phase I report is available at <http://www.thegef.org/gef/Program%20Evaluation%20-%20Joint%20Evaluation%20GEFEO-UNDP%20SGP>.

⁴³ Management response is available at <http://www.thegef.org/gef/sites/thegef.org/files/EO/Management-Response-Joint-Evaluation-SGP.pdf>.

- What is the niche of the SGP within the GEF in the current evolving context?
 - Are SGP country programmes fully embracing the ‘upgrading’ process, and what are the factors that favor or hinder progression along the continuum from start-up to ‘upgrade’?
 - To what extent have SGP results been up-scaled, replicated or mainstreamed and what are the factors favouring or hindering this? In particular, what is the role of UNDP and other GEF Agencies in this?
 - To what extent does SGP contribute to reducing gender inequality and promoting women’s empowerment?
 - To what extent does SGP address issues of poverty, inequality and exclusion?
6. This final evaluation report combines the findings of Phase 1 and Phase 2.
7. The scope of the evaluation was all SGP activities subsequent to July 2007 (the approximate date when the previous evaluation was completed) through mid-2014. The cut-off date for data collected in Phase 1 was 16 August 2013, and for data collected in Phase 2 was 30 June 2014.

Overview of the Evaluation Management Arrangements and Methodology

8. This Evaluation is a joint effort by the GEF and the UNDP IEOs, as equal partners. The execution structure of the Evaluation is composed of three tiers: (i) the Steering Committee, co-chaired by the Directors of the two IEOs and composed of senior evaluators; (ii) the Management Team, formed by one task manager from each of the IEOs; and (iii) an Evaluation Team composed of independent consultants and research assistants.

9. An Approach Paper to this Joint Evaluation was prepared jointly by the GEF and UNDP IEOs in early 2013. Further to consultation with the GEF Secretariat, UNDP and CPMT, the Approach Paper was finalized in April 2013. The Terms of Reference (ToR) for the Evaluation were subsequently developed and they were approved by the Directors of the GEF and UNDP IEOs in May 2013. Following Phase 1, the two IEOs reviewed the proposed evaluation questions for Phase 2 as articulated in the ToR and revised them to include a focus on key issues that had emerged during Phase 1.

10. Each phase of the evaluation consisted of four steps: planning and design; data collection; analysis, and; report writing and consultation. Although mostly sequential, there was some degree of overlap and back and forth between these steps. A detailed evaluation matrix was constructed in each phase to guide all data collection and analysis.

Evaluation Methods

Data Collection

11. Data was collected through several complementary tools: twelve country studies; a global online survey of programme country stakeholders; a literature review; a meta-analysis; a portfolio review; and, key stakeholder interviews. These tools generated a huge amount of both quantitative and qualitative data. Quantitative data (mostly from the portfolio review, but also from country

studies) was used primarily to establish observable facts across the SGP portfolio. The online survey provided qualitative information from programme countries. Other qualitative data (collected from all tools except the portfolio review) focused on identifying and understanding the factors affecting results.

12. Country studies. In Phase 1, given the focus on Decision GEF/ME/C.32/2 on upgrading, the data collection at the country level covered three upgraded country programmes and one country programme eligible for upgrading in the next operational phase. The country studies in Phase 1 were in Ecuador, Kenya, Pakistan (all upgraded) and Thailand (to be upgraded). To balance this, in Phase 2, country studies were undertaken in a range of countries including some with relatively recently established country programmes. The following eight countries were visited: Cambodia, Jordan, Mongolia, Mozambique, Panama, Peru, Senegal and Uganda. The process and criteria for country selection is described in Annex 3.

13. Data was collected during the country studies through interviews, focus group meetings, documentation review and visits to projects. Several tools were prepared to facilitate data collection and ensure that a consistent approach was undertaken in each country. These tools (see Annex 3) include:

- Individual TOR for each country visit;
- Country visit guidance note (only for Phase 2);
- Interview protocol (modified after Phase 1 in order to ensure adequate coverage of Phase 2 issues);
- Guide to selecting the projects to be visited;
- A project performance review template. This was based on the same tool used during the 2008 Evaluation, in order to enable comparison of project level data between the two evaluations. The template was modified after Phase 1 in order to gather information on two newly introduced topics - gender and poverty/livelihoods – and to remove sections that were not going to be included in the final analysis.

14. In each country⁴⁴, ten to fifteen projects were visited and project specific data collected. The structured process to selecting projects ensured that the projects visited were sufficiently representative and random - in order to avoid any bias (see Annex 3). Annex 3 also provides a summary of the findings from the projects visited. A total of 144 projects were visited.

15. Global online survey of programme country stakeholders. For Phase 2, an online survey questionnaire was developed in English covering the evaluation questions related to SGP's strategy and niche, broader adoption, gender and poverty (see Annex 4). The draft questionnaire was tested with a small group of SGP stakeholders (in Nepal) before being finalized and translated into French and Spanish. SGP staff, NSC members, GEF Operational and Political Focal Points, and UNDP Resident Representatives in 129 countries were directly invited to complete the questionnaire on line – each having the choice of responding in English, French or Spanish. In addition, the Evaluation Team requested the CPMT to identify other partners knowledgeable about SGP activities related to poverty, gender, higher-than-grant level effectiveness and broader adoption. Accordingly such partners from 95 countries were invited to complete the survey. The

⁴⁴ Except Pakistan as no OP5 projects had started at the time of the visit.

questionnaire was sent in total to of 2,449 people. The overall response rate was 45% (see Table 1). At least one response was received from each of 121 countries. Annex 4 provides a summary list of country/respondents.

Table 4 Online Survey Recipients and Respondents

	SGP Staff and NSC Members	GEF Operational and Political Focal Points	UNDP Resident Representatives	Other SGP Partners	Total
Total invited to complete the survey	1379	215	97	758	2449
Total responses received	635	38	27	392	1092
Response Rate	46%	18%	28%	52%	45%

Source: Global Survey

16. The results of the survey were analysed separately for different categories of respondents. These categories include: all respondents, SGP Staff and NSC members, GEF focal points, UNDP Resident Representatives, government stakeholders, NGO stakeholders, donor stakeholders and private sector.

17. Literature review. A comprehensive literature review was undertaken in Phase 1, covering: GEF Council and GEF Secretariat policy and operational guidance papers; SGP Steering Committee documents; SGP global knowledge management, communications and technical guidance products; SGP country programme strategies (CPS) and project documents; UNDP and CPMT planning documents; annual reports; and country evaluations.

18. During Phase 2, a special review of a random sample of 30 CPS was undertaken, as well as a review of the policy and planning documents produced after Phase 1. The special review of CPS focused on two issues: gender equality and women’s empowerment, and poverty and livelihoods. Annex 5 provides the sampling methodology used to select the CPS and provides the list of reviewed CPS. A full list of all the literature consulted is provided in Annex 7.

19. Meta-analysis. The meta-analysis was a review of previous evaluations related to the SGP in order to extract information on the SGP. This was primarily conducted in Phase 1. A total of 50 evaluations were reviewed. These included GEF IEO’s Annual Country Portfolio Evaluation Reports (ACPER), Country Portfolio Evaluations and Studies and the South China Sea Impact Evaluation; and UNDP IEO’s Thematic Evaluations and Assessments of Development Results; and UNDP environment outcome evaluations commissioned by UNDP Country Offices that refer to SGP. A small number of additional evaluations were reviewed in Phase 2 including the latest ACPER. The complete list of evaluations reviewed is provided in Annex 8.

20. Portfolio review. A comprehensive portfolio review was conducted in Phase 1, based on information contained in the central SGP database on projects and on the country portfolios, as well as on data provided separately by UNDP, CPMT and UNOPS. In particular, this allowed an analysis of the financial aspects of SGP and a consideration of: trends; focal areas; co-financing and management costs. This review covered all SGP countries, including nine upgraded countries.

An additional review was conducted in Phase 2. This included updated information provided by the CPMT.

21. Key stakeholder interviews and focus groups. As mentioned above, key stakeholder interviews and focus group meetings were a central part of the country studies. In addition, a comprehensive series of in-depth semi-structured interviews were held with central level stakeholders from the GEF Secretariat, UNDP, the CPMT, the GEF NGO Network, the global SGP Steering Committee, former SGP staff members, SGP partners and other stakeholders with a global perspective. Two members of the evaluation team also attended the SGP Global Workshop for Upgraded Countries in October 2013, in Merida, Mexico and conducted interviews and group discussions with members of SGP country teams from Bolivia, Brazil, Costa Rica, El Salvador, Ecuador, India, Kenya, Philippines, Uruguay, Venezuela and Mexico, and with programme officers from UNDP Country Offices in Ecuador, India and the Philippines. The National Coordinator in Malaysia was interviewed when an evaluation team member was in-country on a UNDP evaluation mission. Collectively, these interviews focused on deepening the understanding of the SGP and its achievements, and better understanding the challenges at both country and global levels. Annex 10 provides the list of interviews and group meetings.

Data Analysis

22. In both phases, the Management Team and the Evaluation Team undertook a thorough analysis of the data collected, both as individuals and through a series of interactive workshops. The analysis included a thorough triangulation and verification and gap analysis process. After Phase 1, the analysis led to the identification of a set of main findings, after which a set of conclusions and recommendations covering the Phase 1 issues were formulated. These were presented in the Phase 1 report. This process was repeated in Phase 2, although no separate Phase 2 report was issued. Instead, findings from both Phases were combined to prepare this final report.

Validation and Report Preparation Process

23. Both drafts (of the Phase 1 and this final report) were first reviewed by the Joint Evaluation Steering Committee. Subsequently, the draft reports were shared with the GEF Secretariat, UNDP and CPMT for review with particular attention to factual accuracy. A stakeholders' workshop was organized in New York to discuss a draft of this final report with representatives from the GEF Secretariat, UNDP and CPMT, and the draft report was shared with the GEF Civil Society Organisation Network. The feedback received was assessed, and an audit trail prepared that documented the evaluation team's responses to the written comments received. Taking into account the comments received, the final report was prepared for it to be submitted to the GEF Council and the UNDP Executive Board in 2015.

Limitations

24. Not surprisingly, given the diversity and scope of the SGP, the data collection steps produced vast amounts of data in diverse formats. Taken collectively, there is an important amount of evidence relating to the relevance, effectiveness and efficiency of the SGP during the review

period, as well as evidence regarding the factors behind relevance, effectiveness and efficiency. This represents an extremely rich picture of the SGP and operations during 2008 – 2014.

25. Notwithstanding, there were several limitations regarding the data collected. These include: the difficulty in obtaining comprehensive quantitative data with regards to effectiveness at both the project and country levels; very incomplete data on the formal SGP indicators and the associated baseline; and, the danger that in many cases the ultimate source of much data is the grant beneficiaries or grant managers at the grass-roots level - who may not be well placed to consider the national and global contexts.

26. Country studies were undertaken in 12 countries, i.e. approximately ten percent of the countries in which the SGP is currently active. Attention was given to select countries in order to constitute a regionally balanced, representative sample of up-graded and non-upgraded country programmes, to include both LDCs and non-LDCs, and to cover both mature and younger country programmes.

27. With the exception of Pakistan, each country study included the assessment of sample projects. To ensure coherence and facilitate aggregation, the same project performance review tool was used for all projects in all countries. In order to maximize consistency and comparability, where possible, the same evaluators conducted more than one country study. Hence, the evaluator who undertook the Kenya country study in the 2008 Evaluation undertook both the Kenyan and Uganda country studies for this evaluation. Also, the evaluator who undertook the Pakistan country study in the 2008 Evaluation undertook both the Pakistan and Thailand country studies for this evaluation. And, the same evaluator conducted country studies in both Ecuador and Peru. To further ensure comparability across countries, Skype conferences were regularly held amongst the evaluators to discuss the approach and tools. The project ratings were also collectively reviewed and discussed by the Evaluation Team.

28. Many of the sample projects selected were in remote areas with poor transport links. Due to limited time, only short visits could be made to these sites. Accordingly, the evaluators were able to meet only a small number of project participants, and in most cases the evaluators were only able to make rapid observations at one site per project.⁴⁵

29. During country studies, the overall outcomes, effectiveness, sustainability, efficiency and relevance of these reviewed projects were assessed. While the same assessment tools were used for these criteria as for the 2008 Evaluation, the sampling criteria and methodology to select the countries and the sites were different, which limits comparability between the 2008 and 2013-2014 data sets.⁴⁶ Nevertheless, this dataset is one important source of information among many in the discussion on impact and effectiveness of the SGP.

30. The global on-line survey was available in three languages: English, French and Spanish. It was recognized that this may have posed a barrier to respondents at the country level uncomfortable with these languages. Consideration was given to translating the survey into other

⁴⁵ Many projects have several sites, and, although often close in kilometres, time constraints and poor transport meant it was often impossible to visit more than one site.

⁴⁶ The differences between the sampling frameworks of the two evaluations are described in more detail in Annex 3.

languages, such as Chinese, Arabic, Russian or Portuguese. However, as the aim was to get a meaningful number of representative responses from each country rather than to get a universal response from each country, it was decided that the three languages would be sufficient. The high response rate and the fact that responses were received from almost every country suggest that this was indeed the case.

31. Many questions on the global on-line survey used Likert scales⁴⁷, with, for example, respondents being to assess the extent to which something is happening along a scale from 6 to 1, with 6 meaning 'to a great extent' and 1 meaning 'not at all.' The following three factors are likely to have caused some bias towards positive results: (i) research shows a tendency bias towards the response listed first (in the present survey, the positive end of the scale was presented first)⁴⁸; (ii) 'acquiescence bias', noted in many surveys, in which there is tendency to agree, rather than disagree, with a presented statement⁴⁹, and; (iii) as many respondents are closely linked to the SGP, they may naturally wish to see the programme evaluated in a positive light.

⁴⁷ Likert, R. (1932). A technique for the measurement of attitudes. *Archives of psychology*, 22 (140), 5-55.

⁴⁸ See for example, <http://www.measuringusability.com/blog/left-side-bias.php> and see Chan, J. C. (1991). Response-order effects in Likert-type scales. *Educational and Psychological Measurement*, 51, 531-540. It is noted that other research contests these findings.

⁴⁹ See, for example, Winkler, J. D., Kanouse, D. E., & Ware, J. E. (1982). Controlling for acquiescence response set in scale development. *Journal of Applied Psychology*, 67(5), 555. doi: [10.1037/0021-9010.67.5.555](https://doi.org/10.1037/0021-9010.67.5.555)

Annex 3 – Country Studies Methodology

Overview of the Country Visits

The Terms of Reference for the Joint Evaluation proposed to conduct country visits in two Phases:

1. In Phase 1, three country visits were anticipated to one country in each of the three main GEF geographical regions (Africa, Asia and the Pacific, and Latin America and the Caribbean). These were to be selected among the ones that had been visited for the 2008 Joint Evaluation in order to use the previous work as a baseline. Two of these were proposed to be upgraded countries and one to be a non-upgraded country; and
2. In Phase 2, at least five country visits were proposed to be conducted in countries that had been selected for field work during the Joint Evaluation in 2008, as these have a relatively mature SGP portfolio. Additionally, the final selection for country visits was to have been determined on the basis of the findings of Phase 1 of the Joint Evaluation.

Ultimately, the Joint Evaluation visited twelve countries over the course of the evaluation. Four country visits were undertaken under Phase 1, to three upgraded countries (Ecuador, Kenya and Pakistan) and to one country close to upgrading (Thailand). Eight country visits were undertaken during Phase 2. These were: Cambodia, Jordan, Mongolia, Mozambique, Panama, Peru, Senegal and Uganda.

The country visits were conducted either by a two-person team comprised of an Evaluation Team member and a national consultant (in Senegal, Cambodia and Panama) or by an independent evaluator (in the remaining countries) over the period of two to three weeks. Where possible, the independent evaluator who carried out work in the 2008 Evaluation was used, in order to increase coherence with 2008 methodologies.

The country visits were not an evaluation of the SGP activities in the country. They constituted the collection of country and project level data that contributed to the global evaluation. They did not cover all aspects of the country programme, and were not designed to lead to country level conclusions or recommendations.

Country Selection

In line with the focus of Phase 1 of this Evaluation on the Decision GEF/ME/C.32/2, the focus of data collection in Phase 1 was the more mature and upgraded countries. It was decided to undertake four country case studies, with at least three from among the ten upgraded countries and the fourth a country ready to be upgraded.⁵⁰ The choice of country studies also ensured a geographical representation, and included countries in which a country study had been completed as part of the

⁵⁰ Based on the Terms of Reference for the Joint Evaluation the country visits were to have been carried out in one upgraded country from each of the three regions, and to an additional country scheduled for upgrading in the next Operational Phase. As neither of the two upgraded countries in Asia had begun implementation under the new FSP modality, it was agreed to select the non-upgraded country from the Asia region.

2007 Evaluation (in order to provide a baseline). As a result, four country case studies were undertaken in Ecuador, Kenya, Pakistan and Thailand.

The overall aim of the country selection for Phase 2 was to identify eight countries that best collectively meet the following general criteria:

- Diversity: notably, including high performers, mature programmes, new programmes, large countries, LDCs and/or SIDS, and covering all regions;
- Generation of information pertinent to the Phase 2 evaluation questions;
- Where possible, countries visited during the 2008 Joint Evaluation, in order to facilitate comparative analysis and assess progress; and
- Cost-efficiency.

Accordingly, the first step was to remove all the following countries from consideration:

- Countries with less than 50 grant projects (as of August 2013);
- Country Programmes less than 5 years old (including countries that were part of a sub-regional programme, and have recently developed single country programme strategies);
- Countries covered in Phase 1;
- Upgraded countries (as three upgraded countries were chosen for Phase 1, and additional information from other upgraded countries obtained through the Merida workshop);
- Countries that are EU members, or candidates for the EU (given the emphasis on poverty issues in Phase 2, and thus the interest in choosing more ‘typical’ SGP countries as opposed to the most developed);
- Countries classified as “Very High Human Development” (similar to EU candidate countries);
- Countries undergoing an UNDP IEO ADR in 2014 (to avoid an excessive evaluation burden); and
- Countries which have recently undergone a GEF Country Portfolio Evaluation, which covers SGP.

This led to a long list of forty-nine countries. The next step was to filter out, or prioritize, countries from this list while paying specific attention to the Phase 2 evaluation questions, specifically as follows:

- Niche: so that the question of niche would be examined in a range of different types of countries, for example, non-LDCs and LDCs;
- Upgrading: so that some countries that were, according to present criteria, ready for upgrading would be included. Countries with different records in terms of STAR allocations were also included, as possible;
- Up-scaling, replication and mainstreaming: countries for which there are already reported examples of up-scaling, replication and mainstreaming were included;
- Poverty, inequality and exclusion: LDCs and non-LDCs included, as the poverty issues were expected to be different; and
- Gender: countries with specific reports of a strong attention to gender were considered.

Finally, the priority countries were cross-checked and the final eight countries selected in order to ensure the diversity criteria was met, and then the efficiency criteria as much as possible.

The final list of countries for Phase 2 was: Cambodia, Jordan, Mongolia, Mozambique, Panama, Peru, Senegal and Uganda.

In-country approach and site selection

Individual ToR and data collection tools were prepared for country visits. All of the country visits followed the following main steps:

- Preparation, background reading and document review;
- Scoping, planning and identification of sites to visit;
- Data collection and interviews. Interviews were to cover major donors, SGP staff, NSC members, government partners, UNDP and other GEF Agency officials, Non-Governmental Organizations, Community Based Organizations and communities;
- Field visits to a representative sample of projects;
- Analysis and report drafting; and
- Consultation and finalization of the report.

The project sites to be visited were selected by the country Evaluation Team in consultation with the Management Team and the country NC. The following guidelines and criteria were used:

- All projects to be visited should have started by 2010 or later and should have been operating for at least 10 months;
- The sample in each country was to include 10 - 15 projects, covering at least one from each concerned GEF focal area, and at least 3 from each of the focal areas with the largest number of grants;
- The sample had to include a mix of completed and on-going projects;
- While time and cost efficiencies were taken into account – notably allowing for easy access along same routes, at least two different eco-regions were to be covered; and
- Once all the above had been accounted for, an element of random sampling was used to avoid selection biases.

Table 1 below provides an overview of the countries visited and the number of projects sampled in each country.

Table 5 Countries Selected for Country Visits and the Number of Projects Sampled

Country Visited	Joint Evaluation Phase	Number of Projects Sampled
Ecuador	Phase 1	12
Kenya	Phase 1	14
Thailand	Phase 1	15
	Total Phase 1	41

Cambodia	Phase 2	15
Jordan	Phase 2	13
Mongolia	Phase 2	10
Mozambique	Phase 2	15
Panama	Phase 2	14
Peru	Phase 2	15
Senegal	Phase 2	14
Uganda	Phase 2	7
	Total Phase 2	103
	Total (both Phases)	144

Source: The Evaluation Team

In-country data collection techniques and tools

The country visit data collection tools included:

- SGP Country Visit Guidance Note – to guide overall approach, notably to interviews and project visits (Phase 2 only);
- SGP Country Visit Project Performance Review Template – a modified version of the 2008 Joint Evaluation, and further modified after Phase 1 (see below);
- SGP Country Visit Interview Protocol for guiding the interviews with national level stakeholders;
- Background note on gender mainstreaming in SGP (Phase 2 only).

The Project Performance Review Template was used in both Phases. This template was based on the same tool used during the 2008 Evaluation⁵¹, in order to enable comparison of project level data between the two evaluations. The template was modified after Phase 1 in order to gather information on two newly introduced topics - gender and poverty/livelihoods – and to remove sections that were not going to be included in the final analysis. Key modifications between Phase 1 and Phase 2 were:

- Addition of a section of questions on Gender;
- Addition of a section of questions on Poverty, Inequality and Exclusion; and
- Removal of sections of questions related to Project Learning, Interaction with other Stakeholders and Exit Strategy, as these were not a Phase 2 focus.

Project Performance Assessment

Performance of the sampled projects was assessed through document review, interviews with the National Coordinator, and site visits which included interviews with local stakeholders and

⁵¹ While the same assessment tools were used for these criteria as for the 2008 Evaluation, the sampling criteria and methodology to select the countries and the sites were different, which limits comparability between the 2008 and 2013-2014 data sets.

community members, and field observation. Using the same instrument for assessment as for the 2008 Evaluation evaluators assessed project relevance, effectiveness, efficiency, project learning (Phase 1 only), interaction with other stakeholders (Phase 1 only), risks to project results (sustainability), the quality of the exit strategy (Phase 1 only), gender (Phase 2 only) and poverty, inequality and exclusion (Phase 2 only). Table 2 provides the rating scale used for each aspect of the project performance.

Table 6 Ratings Used for Project Performance Assessment

Dimension of Project Assessed	Rating Scale Used
Relevance Effectiveness Efficiency Project learning Interaction with other stakeholders Quality of the exit strategy	Rating was based on a <u>six-point</u> scale: Highly Satisfactory (HS): The project had no shortcomings. Satisfactory (S): The project had minor shortcomings Moderately Satisfactory (MS): The project had moderate shortcomings Moderately Unsatisfactory (MU): The project had significant shortcomings. Unsatisfactory (U): The project had major shortcomings. Highly Unsatisfactory (HU): The project had severe shortcomings.
Risks to project results (including financial, socio-political, institutional framework and/or governance related, or environmental risks that would jeopardize the sustenance of project results)	Rating was based on a <u>four-point</u> scale: Likely (L): There are severe risks that affect sustainability of project results. Moderately Likely (ML): There are significant risks that affect sustainability of project results. Moderately Unlikely (MU): There are moderate risks that affect sustainability of project results. Unlikely (U): There are no or negligible risks affecting sustainability of project results.
Poverty, inequality and exclusion	Ratings for Project <u>Design</u> were based on a <u>four-point</u> scale: 3 - The project explicitly intended to target/benefit poor/marginalized /vulnerable groups and contribute to an improvement in their livelihoods 2- The project intended to contribute to improve livelihoods of the local population, but was not specifically targeted poor/marginalized/ vulnerable groups 1 - The project intended to contribute to improve livelihoods in some way, but not significantly 0 - The project design did not include objectives related to improved livelihoods UA - Unable to assess this dimension Ratings for Project <u>Results</u> were based on a <u>four-point</u> scale: 3 - The project successfully targeted / worked with poor/marginalized/vulnerable groups and contributed to an improvement in their livelihoods

Dimension of Project Assessed	Rating Scale Used
	<p>2 - The project contributed to improve livelihoods of the local population, but did not disproportionately benefit poor/marginalized/vulnerable groups</p> <p>1 - The project contributed to livelihoods in some way (e.g., benefiting only some members of the local population), but not significantly</p> <p>0 - The project did not contribute to improved livelihoods</p> <p>UA - Unable to assess this dimension</p> <p>Note: An SGP project is not necessarily required to target the poorest of the poor or to contribute to livelihoods, and therefore the ratings with respect to design are simply observations. The ratings for results are to be interpreted with respect to the original design (for example, if the project design did not include objectives related to livelihoods (rating 0) a rating of 0 is expected with respect to results (i.e. the project did not contribute to improved livelihoods)).</p>
<p>Gender Equality and Women's Empowerment</p>	<p>Rating was based on a <u>four-point</u> scale:</p> <p>4 - Gender concerns were integrated throughout the project cycle and results disproportionately benefited women and/or brought about noticeable advances in gender equality and/or women's empowerment</p> <p>3 - Gender concerns were integrated throughout the project cycle and results benefited women and men equally</p> <p>2 - Gender concerns were integrated to some extent, and women participated/benefited to some extent, but not to the same extent as men</p> <p>1 - The project did not integrate gender concerns or only to a limited extent, and did not bring about noticeable benefits for women, but could have done more, given the nature of the project (missed opportunity)</p> <p>0 - The project design did not include any reference to gender concerns and generally the project was not expected to contribute noticeably to gender equality</p> <p>UA - Unable to Assess</p>

A summary Outcome Rating was given to each project. The criteria used to assess the overall outcome included relevance, effectiveness, and efficiency. Relevance and effectiveness were considered as 'critical' criteria; i.e. the overall rating on achievement of outcomes is not higher than the lower rating attained on either or both of the critical criteria. The overall outcome rating was less than or equal to the lower rating on relevance and effectiveness, and/or average of the rating on the three criteria.⁵²

⁵² GEF/ME/C.32/Inf.1, p. 43

Country Visit Guidance Note

Guidance Note

for the Country Visits under the Joint GEF/UNDP SGP Evaluation: *Preparing for GEF-6* (Phase 2)

1. Introduction and Purpose

Phase 1 of the **Joint GEF/UNDP SGP Evaluation: *Preparing for GEF-6*** has been completed and the Phase 1 final report is available from:

<http://www.thegef.org/gef/Program%20Evaluation%20-%20Joint%20Evaluation%20GEFEO-UNDP%20SGP>.

The country visits (to eight countries) is one of several data collection and analytical tools to be used under Phase 2. The purpose of this note is to guide those country visits in order to ensure that the evaluators responsible for the country visits fully appreciate and understand the context to the visit, ensure that the 8 visits utilize a similar methodology, and that they lead to findings that are coherent and comparable across all 8 countries.

Phase 2 of the evaluation is to focus on seven specific questions. The country visits are designed to help answer the following six of these questions:

- What is the niche of the SGP within the GEF in the current evolving context?
- Are SGP country programmes fully embracing the ‘upgrading’ process? In particular, what are the factors that favor or hinder progression from start-up to ‘upgrade’?
- What effectiveness and sustainability is being achieved at the project level?
- To what extent have SGP results been up-scaled, replicated or mainstreamed and what are the factors favouring or hindering this? What is the role of UNDP and other GEF Agencies in this?
- To what extent does SGP contribute to reducing gender inequality and promoting women’s empowerment?
- To what extent does SGP address issues of poverty, inequality and exclusion?

It is important to note that the country visits are *not* an evaluation of the SGP activities in the country. They constitute the collection of country and project level data that will contribute to the global evaluation. Accordingly, no formal national reports will be issued.

Five of the country visits (Jordan, Mongolia, Mozambique, Peru and Uganda) are to be undertaken by a single national/regional evaluator. Three of the visits (Cambodia, Panama and

Senegal) are to be undertaken by one of the Evaluation Management Team⁵³ members (or the Lead Consultant) together with a national evaluator.

2. Main Steps

The country visits shall follow the following main steps:

- Preparation and background reading;
- Scoping and planning and identification of sites to visit;
- Data collection and interviews;
- Project/grant site visits;
- Analysis and report drafting;
- Consultation and finalization of the report.

(Step 1) Preparation and background reading;

This step consists mainly of background reading in order for the evaluators to familiarize with the GEF/UNDP SGP Evaluation. The documents to be covered include:

- *Terms of Reference for the Joint GEF/UNDP SGP Evaluation: Preparing for GEF-6* (May 2013);
- *Joint GEF/UNDP Small Grants Programme Evaluation: Preparing for GEF-6, Phase 1 Final Report* (January 2014);
- *Joint SGP Evaluation Phase 2 - Evaluation Matrix*;
- The most recent *SGP Country Programme Strategy* for the concerned country;
- This *Guidance Note* – including the interview protocol (in Annex 1), the Project Performance Review Tool (in Annex 2), and the background note on gender mainstreaming in SGP (Annex 4)

At this stage, following email introductions from the UNDP/GEF IEOs, the national/regional evaluators shall also make initial contact with the in-country SGP National Coordinator (NC).

Deliverable The national/regional evaluator shall prepare a one-page document outlining any concerns they have regarding scope and methodology and a proposed list of people to meet and of documents to review.

(Step 2) Scoping and planning and identification of project sites to visit;

The Management Team (or Lead Consultant) and national/regional evaluators shall discuss in detail the substantive and logistical approach to the country visit⁵⁴. This shall cover:

⁵³ The Management Team is formed by Ms. Heather Bryant from the UNDP Evaluation Office and Mr. Carlo Carugi from the GEF Evaluation Office.

⁵⁴ For the five countries with no participating Management Team member, these discussions shall be held by *skype* with at least one of the Management Team members and/or the Lead Consultant.

- Review of the deliverable from Step 1;
- Clarify the understanding of the six evaluation questions;
- Review the documentation to be read;
- Review the stakeholders to be met.
- Consider the possibility of focus group meetings and/or workshops;
- Clarify the approach to selecting projects to visit;
- Finalize the timetable.

Method for selecting project/grant sites to visit

The projects to be visited shall be selected by the Management Team in consultation with the national/regional evaluator. While inputs from SGP staff on practical considerations (such as the time required to reach the site) will be necessary, the final selection of grants to visit and assess is to be made by the evaluators.

Given resource constraints, it is not possible for the evaluation to assess a statistically representative number of SGP grant projects in each country. The intention is to visit an illustrative sample of project grants. In general, the sample should include projects from all of the GEF focal areas (unless in the concerned country a focal area has very few or no projects). Moreover, logistical and costs will be considered, and visiting clusters of projects is recommended – as the evaluator might only have time to reach a very small number of sites,

Therefore, a purposeful sample of projects will be established, using the following guidelines:

- The sample will be selected from grants started from the year 2008 onwards listed in the SGP projects list;
- In each country, the sample should include 15 projects (10 minimum), covering at least one from each GEF focal area (if there are project in all focal areas), and at least 3 from each of the focal areas with the largest number of grants (usually biodiversity, climate change and land degradation);
- The sample should include a mix of completed and on-going projects. ‘Ongoing’ projects to be visited include only projects which have had activities for at least one year. For completed projects, the key stakeholders should still be available for meetings;
- While time and cost efficiencies should be taken into account in order to achieve the target of 15 project grants, at least two different eco-regions will be covered in each country (unless projects are all found in the same eco-region);
- Where possible, an element of random sampling should be used to avoid selection biases. For example, if there are 10 biodiversity grants in one geographic area, 3 or 4 could be selected at random.

The sampling approach will be documented in the report.

Deliverables: (i) timetable and list of persons to be met; (ii) list of projects to visit and justification.

(Step 3) Data collection

- a) Semi-structured interviews, following the protocol in Annex 1, will be held with (i) all NSC members (ii) informed stakeholders (iii) key persons from other small grants programs in the country and (iv) senior UNDP management.
- b) If appropriate and possible, a focus group meeting with some of the above interviewees will be held to address and open up specific issues.
- c) If appropriate and possible, a focus group meeting, or short workshop, with a selection of grantees will be held. If this is to happen, care shall be taken to select an appropriate and representative group.
- d) Review of country specific documentation, including previous evaluations and products of the country programme.

Deliverables: see Step 5

(Step 4) Project site visits

At least 10 visits to project/grant sites will be undertaken. For Cambodia, Panama and Senegal, the first 2 to 4 will be visited by both the Management Team Member/Lead consultant and the national evaluator. Afterwards, the national evaluator will visit the others alone.

- a) Based on discussions with community members, on local observations and on informal interviews with project participants, the Project Performance Review, including Project M & E Tool (see Annex 2) will be completed for each visit.
- b) Where possible and appropriate, the questions in Annex 1 shall be asked.

It is noted that the site visits **are not** intended to evaluate the projects. They are intended to collect data on specific subjects. This data will be used to complete the national report, and to feed into the global report. Hence it is important that all the sections in Annex 2 are completed, but no overall evaluation or analysis of the project is required nor should be attempted.

Deliverables: 10-15 completed Project Performance Review forms.

(Step 5) Analysis and report drafting

The outline for the reports is provided in Annex 3.

It is noted that the report is for internal use amongst the evaluation team. It will not be circulated for review and comment or published. Hence (i) it is not necessary to finalize the editing and formatting and proofreading of the report, (ii) it is necessary to provide details and evidence and explanations inside the report. The report may be long.

a) The national evaluators shall prepare the draft report for Jordan, Mongolia, Mozambique, Peru and Uganda.

b) For Cambodia, Panama and Senegal, the Management Team member shall draft the report.

(Step 6) Consultation and finalization of the report

The reports will be reviewed by the Evaluation Management Team members (together with the Lead Consultant) and the concerned national evaluators, then finalized.

Country Visit Interview Protocol

Appendix 1 – Interview Protocol

This Annex guides the interviews to be conducted in the country visits under Phase 2 of the Joint GEF/UNDP SGP evaluation. This applies *mostly* to interviews held with national level stakeholders - the Government (GEF Operational Focal Point, other officers involved with SGP), UNDP (Country Office) and SGP staffs (National Coordinators, National Steering Committee members, others). It *may* also be used during project visits with grantees, although it is not expected that many grantees would be sufficiently familiar with the SGP context in order to be able to reply to the questions in an informed manner.

This Annex consists of a list of issues/questions to which answers should be found. However, it is *not necessary* to ask each question in each interview. In fact, a general discussion with the interviewee may reveal the response to these questions – rather than asking the questions directly. Some questions will not be relevant to some interviews and should not be asked. Hence, the evaluator should determine (i) which questions to ask in each interview and (ii) how to formulate the question in the context of each interview. In some cases, the evaluator may have to provide introduction/explanation before the interviewee is able to provide a response.

These questions are drawn from the interview guide used in Phase 1, the evaluation matrix, and questions asked in the Global Survey being undertaken⁵⁵. Numbers in brackets refer to the numbers used in the Global Survey.

Introduction

The interview should begin with a general introduction and brief discussion on the SGP. Pertinent questions include:

- How long have you been involved with the SGP?;
- What was/is the history of the SGP in your country?;

SGP ‘niche’ and how this may have evolved

(2.1) How would you describe the overall role or niche of the SGP in your country? How do you see the niche of the SGP within GEF? Could you describe the key elements of the current SGP national country strategy, its objectives, vision or logic behind it or main assumptions behind the strategy?

Has the SGP role in your country evolved over the years? Has the Country Programme Strategy changed over time? How has the role or the Strategy changed? What has fostered these changes?

⁵⁵ Number in brackets refers to the equivalent question number on the global survey.

(2.3) What most influences the SGP in your country? **Or**, what are the key positive or negative factors (political, social, cultural, environmental, economic, SGP-related, other) affecting SGP results in your country?

(2.6/2.8) What do you think should be the long-term nature of the SGP Country Programme in your country? Are you in favour of, one day, the GEF SGP programme in your country upgrading and being implemented as a Full-Sized Project?

Effectiveness

Environmental benefits and livelihoods

How effective is the SGP in your country in achieving environmental conservation and sustainable management while addressing livelihoods in communities? What are some of the key results of the SGP programme in your country (examples)?

Does the SGP have targeting strategies? (Probe to assess to what extent SGP targets or is perceived to target the poorest or most vulnerable or marginalized)

(4.13/4.14) Overall, has the SGP Country Programme contributed to the reduction of poverty, inequality and exclusion (e.g. through grants)?

4.9/4.10/4.11) How are issues such as poverty, inequality and exclusion integrated into the country programme/projects (is it the task of the National Coordinator or NSC)?

Do you believe that by devoting some SGP resources to livelihoods and poverty reduction, this strengthens the ability of SGP to meet environmental objectives, or weakens the ability to meet environmental objectives? Can you provide examples?

Results beyond the project level (broader adoption)

UNDP and GEF support the introduction of innovative measures, practices, technologies, systems and behaviours. In addition to supporting these innovations at a particular site, they aim to achieve 'broader adoption' of these innovations. This 'broader adoption' comes through four strategies 'mainstreaming' (e.g. lessons or results are incorporated in laws, policies, regulations and or programs); or 'replication' (where initiatives are reproduced or adopted in another geographic area or region) or 'upscaling' (initiatives are implemented at a larger geographic scale); or 'market change' (where initiatives lead to a change in supply and/or demand for goods and services that contribute to global environmental benefits).

(3.1/3.2) Are you aware of examples in your country of the GEF SGP achieving 'broader adoption'? How do you rate the achievements of the GEF SGP in your country regarding broader adoption?

(3.3/3.4) What factors most help/hinder broader adoption of the SGP?

(3.5/3.6) What is the relationship between SGP and the UNDP Country Programme in your country? Has UNDP supported replication, mainstreaming and/or scaling-up of SGP initiatives in your country?

Gender Equality and Women's Empowerment

(4.5/4.6) Has the SGP Country Programme contributed to reducing gender inequality and promoting women's empowerment in the country (e.g. through the grants?).

(4.5/4.6) Overall, has the SGP Country Programme contributed to advancing gender equality and promoting women's empowerment in the country (e.g. through the grants)? Please provide an example.

Has SGP's Central Programme Management Team (CPMT) provided guidance on mainstreaming gender in the SGP? Has this guidance been adequate?

How are gender/women's empowerment issues integrated into country programme/projects (is it the task of the National Coordinator or NSC)?

(4.8). Do you think that devoting resources and effort to gender issues and women's empowerment **strengthens** the ability of the SGP to meet environmental objectives, or **weakens** the ability to meet environmental objectives? Can you provide examples?

Sustainability

How do you see the sustainability of SGP's initiatives? What sustainability is being achieved at the project level?

Last Questions

What would be your recommendations for improving the implementation of the SGP in your country?

Is there anything else you would like to add?

Country Visit Project Performance Review Template

Appendix 2 – Project Performance Review Tool

Joint GEF/UNDP Evaluation of the SGP 2014

Instrument for Assessment of SGP Projects

Note: This form will provide information on various aspects of grant project planning, implementation, and monitoring and evaluation. Ratings provided in this forms will be aggregated across the sample of projects to provide an estimate of the overall portfolio situation. To facilitate future text analyses, evaluators are requested to provide clear and full, yet succinct, explanations. The information provided should be verified, through direct review of documents, interviews with stakeholders representing different perspectives and field visits. Guidance notes on the rating scales and further explanatory notes are provided at the end of the form.

When a question is not applicable to the project kindly indicate "Not Applicable" with explanation.

An excel version of this form will be provided with drop down menus for the ratings, etc., to simplify aggregation later. It will be preferable to use the excel sheet to record and submit your project reviews.

1. Project Data

*Note: if you visit a group that has implemented two SGP grant projects, e.g., an original OP3 or OP4 project, plus an on-going follow-on or second phase in OP5, list both Project Numbers. Provide **ratings** for the completed project, but provide comments on both the completed project and the new, on-going project (distinguishing between the two). If both projects are already completed, provide ratings for the more recent project.*

Project number (s)	e.g., MOZ/SGP/OP5/Y1/CORE/BD/12/08
If more than one project, which project is rated?	
Project Name	
Country	
Project Grantee	
Type of Project Grantee (NGO, CBO, cooperative/business interest, other)	
Co-financiers (if any)	
Beneficiaries (list or description)	
GEF Focal Area	

Project Dates

Project start (date of first disbursement)	
Proposed closing	
Actual closing	

	Approval Amount (US \$) (for ongoing projects)	Closing (US \$) (for completed projects)
GEF-SGP Planning Grant		
GEF-SGP financing		
Co-financing cash		
Co-financing in kind (US \$ value)		
Total Project Cost		

Grantee Contact	
------------------------	--

If this is a follow-up full grant, indicate the previous grants related to this project

Grant Number	GEF-SGP Financing (closing)	Co-financing (closing)

Existing Project Ratings	Project progress report	Project completion report	Other source, e.g. grant project evaluation (specify)
Implementation Progress			
Outcome			

2. Project Objectives and Components as proposed and any changes during implementation

Project Objectives as stated in the project document	
---	--

3.1 Relevance

Overall Relevance Rating (on a six point scale):
--

Describe the project relevance to GEF objectives and focal areas.	
--	--

Describe the project relevance to the country's priorities (if appropriate, refer to National policies, environmental laws or country commitments to international environmental conventions)	
---	--

3.2 Project Effectiveness

Note: this refers primarily to environmental effectiveness (gender and livelihoods will be assessed separately)

Overall Project Effectiveness Rating (on a six point scale):
--

3.2.1 OVERALL ENVIRONMENTAL ACHIEVEMENTS AS OF TODAY	DESCRIPTION
Outputs	
Outcomes	

3.2.2 CAPACITY DEVELOPMENT ACHIEVEMENTS TO DATE	DESCRIPTION
What organizations, institutions and communities are targeted?	
What capacities has the project developed or is likely to develop in the CBO or NGO to address Global Environmental issues?	
To what extent has the project influenced policy to address Global Environmental issues?	
What lessons or approaches were developed or will be developed to incorporate the local populations to addressing global environmental concerns that fall within the GEF's mission?	
Has the project taken any steps that might lead to the adoption of the approaches it is developing by other communities, institutions, GEF FSPs or MSPs or other donors? Is it likely that these approaches will be replicated or scaled up?	

OTHER PROJECT RESULTS	Description of findings
------------------------------	--------------------------------

Describe other important project results, positive or negative, intended or unintended	
---	--

FACTORS INFLUENCING RESULTS (not part of rating)	Description of findings
What factors have influenced project results (positively or negatively)	

3.3. Gender equality and women’s empowerment

Note: The rating for gender equality and women’s empowerment is separate from the overall project effectiveness rating (which refers to environmental effectiveness). See also Annex 4 for information on SGP’s approach to Gender.

Overall rating for gender equality and women’s empowerment:
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Rating	Description
4	Gender concerns were integrated throughout the project cycle and results disproportionately benefited women and/or brought about noticeable advances in gender equality and/or women’s empowerment
3	Gender concerns were integrated throughout the project cycle and results benefited women and men equally
2	Gender concerns were integrated to some extent, and women participated/benefited to some extent, but not to the same extent as men
1	The project did not integrate gender concerns or only to a limited extent, and did not bring about noticeable benefits for women, but could have done more, given the nature of the project (missed opportunity)
0	The project design did not include any reference to gender concerns and generally the project was not expected to contribute noticeably to gender equality
UA	Unable to assess this dimension

	DESCRIPTION
Was a needs assessment done, and did it define the roles of men and women in the project?	<i>Note: it is expected that this information would be found in the project proposal itself</i>
To what extent has the project used sex-disaggregated data to document participation rates and results for men and women?	<i>See the project proposal or (final) project report(s)</i>
Did both women and men participate in the project activities and capacity building opportunities?	
Have women in the project area seen an improvement in their	

income, health and/or access to resources?	
Are women participating (more) in decision-making related to natural resources management and conservation?	
Have there been any other intended or unintended (positive or negative) results of the project with respect to gender equality and/or women's empowerment?	

FACTORS INFLUENCING RESULTS (not part of rating)	Description of findings
What factors influenced project results with respect to gender equality and/or women's empowerment (positively or negatively)	

3.4 Poverty, Inequality and Exclusion

Note: The ratings on the poverty, inequality and exclusion section are separate from the overall effectiveness rating above (which refers to environmental effectiveness).

An SGP project is not necessarily required to target the poorest of the poor or to contribute to livelihoods, and therefore the ratings with respect to design are simply observations. The ratings for results will be interpreted with respect to the original design (for example, if the project design did not include objectives related to livelihoods (rating 0) a rating of 0 is expected with respect to results (i.e. the project did not contribute to improved livelihoods). If however the design rating is 2 or 3, but you find that the project did not contribute to improved livelihoods (rating 0), it would be interesting to explore the factors explaining this.

Overall rating for design:
Overall rating for results:

Rating	Design	Results
3	The project explicitly intended to target/benefit poor/marginalized /vulnerable groups and contribute to an improvement in their livelihoods	The project successfully targeted / worked with poor/marginalized/vulnerable groups and contributed to an improvement in their livelihoods
2	The project intended to contribute to improve livelihoods of the local population, but was not specifically targeted poor/marginalized/ vulnerable groups	The project contributed to improve livelihoods of the local population, but did not disproportionately benefit poor/marginalized/vulnerable groups

1	The project intended to contribute to improve livelihoods in some way, but not significantly	The project contributed to livelihoods in some way (e.g., benefiting only some members of the local population), but not significantly
0	The project design did not include objectives related to improved livelihoods	The project did not contribute to improved livelihoods
UA	Unable to assess this dimension	Unable to assess this dimension

	Description of findings
Does the project <i>explicitly</i> target poor, vulnerable or marginalized groups?	
Did the project design address concerns of the poorest/most vulnerable groups?	
Has the project contributed to an improvement in the local population's livelihoods (I.e., do the project grantee groups report changes in livelihoods?)	
If so, have the improvements in livelihoods benefited the poorest or most vulnerable groups in the local population? (Has the project contributed to a reduction in inequality, or has it reinforced inequalities?)	
Has emphasis on livelihoods and/or reducing poverty and exclusion <u>strengthened or weakened the project's the ability</u> to meet environmental objectives?	

4. Efficiency

Project Efficiency Rating (on a six point scale)

Cost of project (\$, human resources, time)	Description of findings
Are the costs of the project reasonable considering the outputs and outcomes that are likely? Explain.	
Describe to what extent the project has identified and operationalized win-win issues for the local communities and for the GEF (generating global environmental benefits in the context of the GEF focal areas)?*	
Are there any trade-offs between benefits to local people (development benefits) and global environmental benefits? Assess the extent to which these trade-offs are reasonable in terms of the GEF objectives.*	

* Please see explanatory notes at the end

7. Risks to the sustainability of project results

Risk to Project Results Rating (on a four point scale):

Risk to project results	Description of findings
Are there any financial risks that will jeopardize the sustenance of project results?	
Are there any socio-political risks that will jeopardize the sustenance of project results?	
Are there any institutional framework and/or governance related risks that will jeopardize the sustenance of project results?	
Are there any environmental risks that will jeopardize the sustenance of project results?	

8. Monitoring and Evaluation

Parameters	Response and Raw Score
Quality of M&E arrangements at Entry	
1. Did the project include monitoring activities?	Yes [] No [] Other (explain)
2. Are / were there results indicators identified for the project / objectives of the project?	Yes mostly [] Yes, but only partially or else only some were relevant [] No []
2a. Were the indicators 'SMART'?	
3. What indicators relevant to project objectives have been identified (include output, outcome, environmental indicators)? Do these track contributions to global environment benefits? Contributions to local environmental benefits or local livelihoods?	
4. Was a baseline established?	Yes [] No []

Quality of M&E during Implementation	
5. Who is/was responsible for monitoring the project?	Community [<input type="checkbox"/>] NGO [<input type="checkbox"/>] CBO [<input type="checkbox"/>] Other (Specify)
6. Was the project visited by the NC, and consultants or personnel deputed by the NC so far?	Yes [<input type="checkbox"/>] No [<input type="checkbox"/>]
7. How many times has the project been visited by NC or others deputed by NC so far?	
8. If the project is closed, is the Project Completion Report available?	Yes [<input type="checkbox"/>] No [<input type="checkbox"/>] Not applicable, project has not yet been closed [<input type="checkbox"/>]
9. Does the Project Completion Report assess the extent to which all project objectives were attained?	Not applicable, project not closed [<input type="checkbox"/>] Yes, mostly [<input type="checkbox"/>] Yes, but only for some objectives [<input type="checkbox"/>] No [<input type="checkbox"/>]
10. M&E and Learning	
Have the M&E system and activities (e.g. monitoring against indicators) been useful for the local community? Has this helped them build confidence in the progress they are making? Is there evidence of 'adaptive management' at the community level?	

9. Other Comments

Are there any other notable features of this project, its design, implementation, M & E, or other aspects?

Combined Summary of Findings for Country Visits – Project Ratings

A total of 144 project sites were visited and reviewed during the Joint Evaluation⁵⁶. Table 3 (please see next page) provides the list of the projects visited along with a selection of ratings, namely for project: relevance, effectiveness, efficiency, outcome, gender, poverty (design and results) and risk rating.

⁵⁶ During Phase 1, projects were not reviewed in Pakistan, as the implementation of grants under OP5 had not yet started at the time of evaluation.

Table 7 List of Projects with Selected Ratings

Project Number(s)	Country	Relevance	Effectiveness	Efficiency	Outcome	Gender	Poverty - Design	Poverty - Results	Risk to Project Results
UGA/07/83 and UGA/SGP/OP4/Y2/RAF/09/03	Uganda	6	5	5	5	3	3	3	MU
UGA/SGP/OP4/Y2/RAF/08/01	Uganda	6	5	5	5	4	3	3	MU
UGA/06/61 and UGA/SGP/OP4/CORE/08/08	Uganda	5	5	5	5	1	2	2	MU
UGA/SGP/OP5/STAR/CC/13/11	Uganda	6	5	5	5	4	3	3	MU
UGA/06/71, UGA/SGP/OP4/Y2/RAF/09/05 & UGA/SGP/OP5/CORE/IW/12/04	Uganda	5	5	5	5	4	3	3	MU
UGA/SGP/OP5/STAR/CC/13/28	Uganda	5	5	5	5	4	3	3	MU
UGA/SGP/OP5/STAR/LD/13/04	Uganda	5	5	6	5	4	3	3	U
Sen/SGP/OP5/Y1/CORE/CC/11/03	Senegal	5	5	5	5	4	1	2	U
SEN/COMPACT/OP4/CORE/08/02/03	Senegal	6	5	5	5	2	2	1	ML
SEN/COMPACT/OP4/CORE/08/2/02 SEN/COMPACT/OP5/YA/CORE/BD/11/04	Senegal	6	5	5	5	3	1	1	ML
SEN/COMPACT/OP5/CORE/MF/11/02	Senegal	4	3	3	3	1	0	0	ML
sen/compact/op4/core/3/09/01	Senegal	5	4	4	4	3	2	2	L
Sen/compact/OP5/y1/CORE/BD/11/01	Senegal	5	3	UA	3	1	2	1	ML
SEN/COMPACT/OP4/CORE3/09/04 SEN/SGP/OP5/Y3/STAR/CC/13/16	Senegal	5	5	5	5	2	2	1	MU
SEN/SGP/OP4/CORE/3/09/03	Senegal	5	5	4	5	4	0	0	U
SEN/SGP/OP4/CORE/2/08/01	Senegal	5	3	4	3	3	2	2	ML
SEN/SGP/OP4/CORE/3/09/10	Senegal	6	5	5	5	3	1	3	MU
SEN/SGP/OP5/CORE/BD/Y2/12/10	Senegal	5	5	5	5	4	2	2	MU
SEN/SGP/OP4/CORE/2/08/03	Senegal	5	2	2	2	2	2	1	L
SEN/SGP/OP5/y2/CORE/POPs/12/08	Senegal	6	5	4	5	4	3	2	MU
SEN/SGP/OP5/CORE CD/2012/09	Senegal	5	4	5	4	2	UA	UA	U
JOR/OP4/Y3/CORE/09/16 , JOR/03/04	Jordan	6	6	6	6	2	2	2	U
JOR/OP4/Y2/CORE/09/01, JOR/OP3/Y2/06/04	Jordan	5	5	5	5	2	2	1	ML

Project Number(s)	Country	Relevance	Effectiveness	Efficiency	Outcome	Gender	Poverty - Design	Poverty - Results	Risk to Project Results
JOR/SGP/OP5/CORE/BD/12/08, JOR/OP4/Y2/CORE/09/07, JOR/OP3/Y2/07/03	Jordan	6	6	6	6	1	0	0	U
JOR/SGP/OP5/CORE/PP/12/04	Jordan	6	6	6	6	4	2	2	U
JOR/SGP/OP5/CORE/CC/12/11	Jordan	6	6	6	6	2	2	2	U
JOR/SGP/OP5/CORE/CC/12/10	Jordan	6	6	6	6	2	2	2	U
JOR/03/09, JOR/OP4/Y2/CORE/09/02	Jordan	5	5	5	5	4	3	3	ML
JOR/SGP/OP5/CORE/BD/12/03	Jordan	6	6	6	6	3	3	3	U
JOR/SGP/OP4/CORE/08/07	Jordan	5	5	4	5	1	1	1	L
JOR/SGP/OP4/CORE/08/06	Jordan	6	6	6	6	2	2	2	U
JOR/OP4/Y2/CORE/09/04	Jordan	6	6	6	6	3	2	2	U
JOR/SGP/OP5/CORE/LD/12/05	Jordan	6	4	5	4	1	1	1	U
JOR/OP4/Y2/CORE/09/06, JOR/SGP/OP5/Y1/CORE/LD/12/09, JOR/OP3/Y2/07/02	Jordan	6	6	6	6	2	2	2	U
KHM/SGP/OP5/CORE/IW/11/03	Cambodia	6	4	5	4	3	3	3	MU
KHM/SGP/OP5/Y3/CORE/IW/2013/07	Cambodia	6	UA	5	UA	3	3	UA	MU
KHM/SGP/OP5/Y2/CORE/CC/2012/05	Cambodia	6	5	5	5	3	2	2	ML
KHM/SGP/OP5/CORE/CC/12/06	Cambodia	6	3	5	3	3	2	1	U
KHM/SGP/OP5/CORE/2009/05	Cambodia	6	4	4	4	3	3	2	ML
KHM/SGP/OP5/CORE/IW/11/01	Cambodia	6	5	5	5	3	2	2	MU
KHM/SGP/OP5/Y3/CORE/BD/2013/10	Cambodia	6	5	5	5	3	3	3	MU
KHM/SGP/OP5/CORE/BD/12/07	Cambodia	6	4	5	4	3	3	2	MU
KHM/SGP/OP5/Y2/CORE/LD/2013/02	Cambodia	6	5	4	5	4	3	3	MU
KHM/SPG/OP441Y3/CORE/2010/02	Cambodia	6	4	4	4	3	2	2	MU
KHM/SPG/OP5/Y3/CORE/BD/2013/03	Cambodia	6	5	5	5	3	3	2	MU
KHM/SPG/OP5/Y2/CORE/CC/2012/03	Cambodia	6	5	5	5	3	2	2	U
KHM/SGP/OP4/RAF/08/50	Cambodia	5	2	2	2	3	2	1	L
KHM/SGP/OP5/Y2/CORE/CH/2012/01	Cambodia	6	5	4	5	3	3	2	U

Project Number(s)	Country	Relevance	Effectiveness	Efficiency	Outcome	Gender	Poverty - Design	Poverty - Results	Risk to Project Results
KHM/SGP/OP4/RAF/08/51	Cambodia	6	5	5	5	3	2	1	U
MOZ/SGP/OP4/Y3/CORE/2009/03	Mozambique	5	5	5	5	0	0	0	MU
MOZ/SGP/OP5/Y2/CORE/MF/2013/14	Mozambique	5	5	5	5	1	2	2	ML
MOZ/SGP/OP4/Y3/CORE/2009/04	Mozambique	3	1	1	1	1	1	0	L
MOZ/SGP/OP5/Y2/CORE/LD/2013/16	Mozambique	2	2	3	2	1	3	2	ML
MOZ/SGP/OP5/Y1/CORE/MF/2012/16	Mozambique	5	5	3	5	1	2	2	MU
MOZ/SGP/OP5/Y1/COREL/2012/11	Mozambique	3	3	1	3	1	0	0	L
MOZ/SGP/OP5/Y1/CORE/BD/2012/02	Mozambique	3	3	3	3	1	1	1	MU
MOZ/SGP/OP4/RAF/08/07	Mozambique	5	5	5	5	2	3	3	MU
MOZ/SGP/OP5/Y2/CORE/CC/2013/08	Mozambique	4	4	3	4	3	3	2	MU
MOZ/SGP/OP4/CORE/08/06	Mozambique	4	3	1	3	1	3	0	ML
MOZ/SGP/OP5/Y1/CORE/CC/2012/01	Mozambique	5	5	5	5	2	3	3	MU
MOZ/SGP/OP5/Y1/CORE/CC/12/06	Mozambique	5	5	5	5	2	2	2	MU
MOZ/SGP/OP5/Y2/CORE/CC/2013/09	Mozambique	5	UA	UA	UA	UA	UA	UA	UA
MOZ/SGP/OP5/CORE/LD/2013/11	Mozambique	5	UA	UA	UA	UA	UA	UA	UA
MOZ/SGP/OP4/Y3/RAF/2009/03	Mozambique	5	UA	UA	UA	UA	UA	UA	UA
PAN/SGP/OP5/CORE/LD/11/12	Panama	6	5	4	5	2	1	1	ML
PAN/SGP/OP4/Y2/RAF/09/09	Panama	6	4	4	4	3	3	1	ML
PAN/SGP/OP5/CORE/BD/11/02	Panama	6	4	3	4	4	3	1	ML
PAN/SGP/OP5/Y1/CORE/CC/12/01	Panama	6	6	6	6	3	3	3	U
PAN/OP5/Y2/CORE/BD/12/16	Panama	6	2	2	2	1	3	1	ML
PAN/SGP/OP5/CORE/BD/11/06	Panama	6	5	5	5	2	2	1	MU
PAN/SGP/OP5/CORE/BD/11/09	Panama	5	5	4	5	2	2	1	ML
PAN/SGP/OP5/CORE/LD/11/13	Panama	6	5	5	5	2	3	3	MU
PAN/SGP/OP4/Y2/RAF/99/14	Panama	6	5	5	5	0	1	1	MU
PAN/SGP/OP4/Y3/RAF/09/12	Panama	6	4	3	4	0	0	0	ML
PAN/SGP/OP4/Y2/CORE/10/18	Panama	6	4	4	4	1	1	1	ML
PAN/SGP/OP4/Y3/CORE/10/17	Panama	6	5	6	5	2	3	3	MU

Project Number(s)	Country	Relevance	Effectiveness	Efficiency	Outcome	Gender	Poverty - Design	Poverty - Results	Risk to Project Results
PAN/SGP/OP4/CORE/10/27 and PAN/SGP/OP4/Y1/CORE/08/03	Panama	6	5	6	5	2	2	2	MU
PAN/SGP/OP5/Y2/CORE/BD/12/10	Panama	6	5	3	5	2	1	1	ML
MON/SGP/OP4/Y3/CORE/10/04	Mongolia	6	5	6	5	2	1	2	ML
MON/SGP/OP4/Y3/CORE/11/03	Mongolia	5	5	5	5	3	1	3	ML
MON/SGP/OP5/CORE/BD/12/05	Mongolia	6	6	6	6	4	1	1	ML
MON/SGP/OP5/CORE/BD/12/04	Mongolia	5	5	6	5	4	2	2	ML
MON/SGP/OP5/CORE/BD/10/02	Mongolia	6	6	5	6	4	3	3	MU
MON/SGP/OP4/Y3/Core/10/09	Mongolia	5	6	6	5	3	2	2	MU
MON/SGP/OP5/CORE/BD/12/10	Mongolia	6	5	6	5	4	2	3	ML
MON/SGP/OP5/CORE/BD/12/15	Mongolia	5	6	6	5	3	1	1	ML
MON/SGP/OP5/CORE/BD/11/03	Mongolia	6	5	6	5	3	2	2	ML
MON/SGP/OP5/CORE/LD/12/14	Mongolia	4	4	4	4	3	2	0	MU
OP4/RAF/Y3/10/03	Peru	6	4	4	4	2	2	1	L
PER/OP4/RAF/09/06	Peru	5	3	3	3	1	3	1	ML
PER/50/SGP/OP5//Y2/STAR/BD/12/19	Peru	6	5	6	5	2	2	UA	MU
OP4/3/10/09	Peru	5	5	5	5	3	3	3	MU
OP5/STAR/BD/42/2012/17	Peru	4	UA	UA	UA	UA	3	2	U
PER50/SGP/OP5/STAR/BD/Y1/12/01	Peru	5	5	6	5	4	3	3	MU
OP4/RAF/08/37	Peru	5	5	4	5	4	3	3	MU
OP5/STAR/12/07	Peru	4	5	5	4	UA	3	1	MU
OP4/RAF/07/15	Peru	2	3	5	2	3	2	2	MU
OP4/RAF/Y3/09/12	Peru	3	1	4	1	3	1	1	ML
OP5/STAR/12/08	Peru	4	5	5	4	3	3	3	MU
OP4/RAF/Y3/10/04	Peru	6	6	5	6	2	3	3	MU
OP5/STAR/BD/12/04	Peru	6	5	5	5	2	3	3	MU
OP5/STAR/CC/12/03	Peru	3	4	4	3	3	2	2	MU
OP4/RAF/08/34	Peru	6	5	5	5	3	3	3	ML

Project Number(s)	Country	Relevance	Effectiveness	Efficiency	Outcome	Gender	Poverty - Design	Poverty - Results	Risk to Project Results
ECU/OP3/1/06/012 and ECU/SGP/FSP/OP5/BD/13/39	Ecuador	4	4	6	4	* ⁵⁷	*	*	MU
ECU/OP3/1/06/013 and ECU/SGP/FSP/OP5/BD/13/38	Ecuador	5	3	5	3	*	*	*	MU
ECU/OP3/1/06/017 and ECU/SGP/FSP/OP5/BD/13/31	Ecuador	5	4	4	4	*	*	*	MU
ECU/OP3/2/07/014 and ECU/SGP/FSP/OP5/BD/13/19	Ecuador	4	3	3	3	*	*	*	ML
ECU/op3/2/07/015 and ECU/SGP/FSP/OP5/BD/13/12	Ecuador	3	4	4	3	*	*	*	ML
ECU/SGP/OP4/RAF/07/09 and OP5 ECU/SGP/FSP/OP5/BD/13/35	Ecuador	6	5	4	5	*	*	*	MU
ECU/SGP/OP4/RAF/07/10	Ecuador	3	3	3	3	*	*	*	L
ECU/SGP/OP4/YEAR2/RAF/2008/009	Ecuador	4	4	4	4	*	*	*	L
ECU/SGP/OP4/YEAR3/RAF/2009/007 and ECU/SGP/FSP/OP5/BD/23	Ecuador	4	3	3	3	*	*	*	MU
ECU/SGP/OP4/YEAR3/RAF/2009/011 and ECU/SGP/FSP/OP5/BD/13/26	Ecuador	4	4	4	4	*	*	*	MU
ECU/SGP/OP4/YEAR3/RAF/2009/012	Ecuador	4	4	5	4	*	*	*	MU
ECU/SPG/OP2/TOP-UP/08/01 and ECU/SGP/FSP/OP5/BD/13/22	Ecuador	5	3	3	3	*	*	*	UA
KEN/COMPACT/OP4/CORE/08/02	Kenya	4	3	5	3	*	*	*	ML
KEN/COMPACT/OP4/YR2 CORE/09/01	Kenya	6	5	5	5	*	*	*	U
KEN/COMPACT/OP4/YR2/RAF/08/02	Kenya	6	5	5	5	*	*	*	U
KEN/COMPACT2/OP2- TOP-UP/08/02	Kenya	5	5	5	5	*	*	*	U
KEN/SGP/OP4/RAF/08/03	Kenya	6	4	3	4	*	*	*	L
KEN/SGP/OP4/YR2/CORE/09/02	Kenya	6	5	5	5	*	*	*	U
KEN/SGP/OP4/YR2/RAF/09/02	Kenya	6	2	2	2	*	*	*	L

⁵⁷ Not Rated in Phase 1

Project Number(s)	Country	Relevance	Effectiveness	Efficiency	Outcome	Gender	Poverty - Design	Poverty - Results	Risk to Project Results
KEN/SGP/OP4/YR2/RAF/09/03:	Kenya	6	5	5	5	*	*	*	MU
KEN/SGP/OP4/YR3/RAF09/07	Kenya	6	5	5	5	*	*	*	L
KEN/SGP/OP5/FSP/ LD/12/07	Kenya	5	4	5	4	*	*	*	MU
KEN/SGP/OP5/FSP/BD/12/015	Kenya	5	5	4	5	*	*	*	MU
KEN/SGP/OP5/FSP/BD/12/021	Kenya	6	5	5	5	*	*	*	U
KEN/SGP/OP5/FSP/BD/12/024	Kenya	5	5	3	5	*	*	*	MU
KEN/SGP/OP5/FSP/CC/12/020	Kenya	6	5	6	5	*	*	*	U
THA/SGP/OP4/Y3/CORE/09/01	Thailand	6	6	6	6	*	*	*	ML
THA/SGP/OP4/Y3/CORE/10/01	Thailand	6	3	3	3	*	*	*	ML
THA/SGP/OP4/Y3/CORE/10/02	Thailand	6	4	5	4	*	*	*	ML
THA/SGP/OP4/Y3/CORE/10/06	Thailand	6	6	5	6	*	*	*	U
THA/SGP/OP4/Y3/RAF/09/03	Thailand	6	3	3	3	*	*	*	ML
THA/SGP/OP4/Y3/RAF/09/05	Thailand	6	4	4	4	*	*	*	ML
THA/SGP/OP4/Y3/RAF/09/06	Thailand	6	2	3	2	*	*	*	L
THA/SGP/OP4/Y3/RAF/09/07	Thailand	6	5	5	5	*	*	*	U
THA/SGP/OP4/Y3/RAF/09/09	Thailand	6	6	5	6	*	*	*	ML
THA/SGP/OP4/Y3/RAF/10/01	Thailand	6	6	5	6	*	*	*	MU
THA/SGP/OP4/Y3/RAF/10/02	Thailand	6	6	5	6	*	*	*	MU
THA/SGP/OP4/Y3/RAF/10/03	Thailand	6	5	5	5	*	*	*	MU
THA/SGP/OP5/Y1/STAR/CC/12/01	Thailand	6	6	5	6	*	*	*	U
THA/SGP/OP5/Y1/STAR/CC/12/02	Thailand	6	3	3	3	*	*	*	L
THA-SGP/OP4/Y3/RAF/10/04	Thailand	6	5	5	5	*	*	*	U

Note: In the cases where a completed project and a new, OP5 follow-up project were reviewed together, the ratings are for the completed project

Annex 4 – Global Online Survey Background and Methodology

Phase 1 data collection covered three countries in depth and included a large range of global level stakeholders. In order to collect data and inputs from a large number of national level stakeholders, and since visits to each country were not feasible, Phase 2 included a global online survey. The aim of the survey was to solicit responses from each country participating in the SGP as well as from a range of stakeholders: NCs, NSC members, government, UNDP management, and other partners (such as NGO, development partners, and private sector).

The online survey questionnaire was developed in English covering the evaluation questions related to SGP's strategy and niche, broader adoption, gender and poverty. The draft questionnaire was tested with a small group of SGP stakeholders (in Nepal) before being finalized and translated into French and Spanish.

SGP staff, NSC members, GEF Operational and Political Focal Points, and UNDP Resident Representatives in 130 countries were directly invited to complete the questionnaire on line – each having the choice of responding in English, French or Spanish. In addition, the Evaluation Team requested the CPMT to identify other partners knowledgeable about SGP activities related to poverty, gender, higher-than-grant level effectiveness and broader adoption. Accordingly such partners from 95 countries were invited to complete the survey.

The results of the survey were analysed separately for different categories of respondents. These categories include: all respondents, SGP Staff and NSC members, GEF focal points, UNDP Resident Representatives, government stakeholders, NGO stakeholders, donor stakeholders and private sector. Note these categories are not all mutually exclusive, for example a respondent could be both an NSC member and an NGO stakeholder.

Survey Questionnaire

The survey questionnaire was circulated using 'Survey Monkey'. The questions were as follows:

A. General Information

1. Please select in which country you were involved with the SGP.
2. What best describes the institution where you work?
 - Academic
 - Government
 - Multilateral organization (UN, etc)
 - NGO
 - Private Sector
3. Are you male or female?
 - Male
 - Female
4. How many years have you been familiar with SGP?
 - Less than 2 years
 - 2-5 years
 - 5-10 years
 - More than 10 years

5. What best describes your role in or involvement with SGP? (select 1)

- GEF Focal Point (Government)
- UNDP Country Office senior manager (Resident representative, Country Director, Deputy Country Director, or Deputy Resident Representative)
- Other UNDP Country Office staff member
- SGP National Steering Committee Member
- SGP National Coordinator
- SGP Management Office Staff Member
- UN Convention Focal Point (Government)
- Other GEF Agency Staff member
- Grantee
- Partner – Government
- Partner – Academic
- Partner – NGO
- Partner – Multilateral organization
- Partner – Private sector
- Other (please specify)_____

B. SGP Strategy and Niche

1. Which of the following best describe the SGP in your country as of now? (Select up to 3):

- Thinking globally but acting locally
- Securing global environmental benefits through community-based initiatives and action
- Providing sustained support to Community-Based Organizations and Civil Society Organizations
- Channelling GEF support to poor and vulnerable communities
- Complementing the policy work of GEF Agencies with interventions at the grassroots level
- Promoting a positive working relationship amongst various stakeholders, especially between civil society and government
- Developing and disseminating knowledge and effective implementation methodologies for community-based approaches to environmental conservation and sustainable natural resource management
- Other (please specify)_____
- Don't know

2. Which of the following best describe what you think the SGP should be in your country? (Select up to 3):

- Thinking globally but acting locally
- Securing global environmental benefits through community-based initiatives and action
- Providing sustained support to Community-Based Organizations and Civil Society Organizations
- Channelling GEF support to poor and vulnerable communities
- Complementing the policy work of GEF Agencies with interventions at the grassroots level
- Promoting a positive working relationship amongst various stakeholders, especially between civil society and government
- Developing and disseminating knowledge and effective implementation methodologies for community-based approaches to environmental conservation and sustainable natural resource management
- Other (please specify)_____
- Don't know

3. Which of the following factors most influence the success of SGP in your country? (Select up to 3)

- Overall developments related to international cooperation at the global level
- The socio-economic or political situation in the country
- Decisions of GEF Council or GEF Secretariat
- The guidance from the Central Programme Management Team
- UNDP decisions at country level

- UNDP decisions at global level
- Individuals in the planning and decision-making hierarchy
- Other (please specify)_____
- Don't know

4. In general, it is considered that 'advanced' or 'mature' Country Programmes should have more responsibilities and less access to GEF SGP core funds. In your opinion, which of the following would best define an advanced or mature SGP Country Programme? (Select up to 5):

- The age (in years) of the SGP Country Programme
- The number of grants issued by the SGP Country Programme
- The speed with which grants are issued and projects implemented
- Level of co-financing to the SGP Country Programme (from sources other than GEF)
- Level of government co-financing to the SGP Country Programme
- Level of GEF System for Transparent Allocation of Resources (STAR) funds made available by the country to the SGP
- The number and diversity of partnerships between the SGP Country Programme and others
- The GDP per capita in the country
- The number of reports and documents prepared by the SGP country team
- The strength and sustainability of the environment-oriented civil society in the country
- The ability of the SGP Country Programme to adapt to changes in conditions in the country
- The percentage of the population living in poverty in the country
- Other (please specify)_____

5. In your opinion, which of the following factors best support an SGP Country Programme to become mature? (Select up to 3)

- A supportive socio-economic context in the country
- Government attention and support to environmental issues in the country
- A strong and dynamic environment-oriented civil society in the country
- The skill and level of support from the National Coordinator and the National Steering Committee
- The support from UNDP
- The support from the Global Central Program Management Team
- Support from Government agencies
- Other (please specify)_____

6. In your opinion, which of the following would be the best long-term evolution of SGP Country Programmes?

- From start-up, the GEF SGP Country Programmes should evolve, taking on increasing challenges, and ultimately becoming an effective programme independent of GEF
- At all times, all GEF SGP country programmes should continuously evolve. Country Programmes should continuously take on new challenges and adapt
- At some point in time, if conditions allow, all GEF SGP programmes should become independent of GEF SGP funds (but continue to access GEF STAR)
- At some point in time, if conditions allow, all GEF SGP programmes should become independent of all GEF funds, including independent of GEF STAR
- Other (Please specify)_____

7. Are you aware of the GEF Policy on upgrading of SGP Country Programmes?

- Yes
- No

In 2007 the GEF introduced the concept of 'upgrading' of SGP Country Programmes. The initial policy focused on the most mature SGP Country Programmes and requested them to function more independently

and assume broader responsibilities. One consequence is that some of the most mature programmes are no longer entitled to GEF SGP core funds: they have to compete for traditional GEF STAR funds and implement their activities as a GEF Full-Size Project.

However, the first Phase of this evaluation found that ‘upgrading’ is in fact a continual process rather than a distinct event. All SGP Country Programmes evolve after start-up. And, as countries progressively become more mature in SGP terms, they are required to utilize a growing proportion of GEF STAR funds, and greater demands are placed on their country programme.

8. The current GEF SGP Upgrading Policy is for SGP Country Programmes, if conditions allow, to ultimately become independent of GEF SGP funds but to continue to be eligible to access GEF STAR funds through standard GEF modalities (i.e. through a Full-Sized Project). Are you in favor of, one day, the GEF SGP programme in your country to upgrade and be implemented as a Full-Size Project?

- 6 Completely favour
- 5 Mostly favour
- 4 Slightly favour
- 3 Slightly do not favour
- 2 Mostly do not favour
- 1 Completely do not favour
- No opinion

C. SGP Effectiveness – Broader Adoption

GEF supports innovative measures, practices, technologies and behaviour. In addition to supporting such innovations at a site, GEF aims to achieve broader adoption of these innovations. This broader adoption comes through four strategies: mainstreaming; replication; scaling and market-change.

Mainstreaming: Information, lessons, or specific results of GEF are incorporated into broader stakeholder mandates and initiatives such as laws, policies, regulations, programs This may occur through governments and/or through development organizations and other sectors.

Replication: GEF-supported initiatives are reproduced or adopted at a comparable administrative or ecological scale, often in another geographical area or region.

Scaling-up: GEF-supported initiatives are implemented at larger geographical scale, often expanded to include new aspects or concerns that may be political, administrative or ecological in nature.

Market change: GEF-supported initiatives catalyze market transformation by influencing the supply of and/or demand for goods and services that contribute to global environmental benefits. This may encompass technological changes, policy and regulatory reforms, and financial instruments.

1. Are you aware of examples in your country of the GEF SGP achieving broader adoption?

- Yes (continue with section C)
- No (skip to section D)

2. How do you rate the achievements of the GEF SGP in your country regarding broader adoption?

- Mainstreaming: 6 (excellent achievements) to 1 (no results at all), no opinion
- Replication: 6 (excellent achievements) to 1 (no results at all), no opinion
- Scaling-up: 6 (excellent achievements) to 1 (no results at all), no opinion
- Market change: 6 (excellent achievements) to 1 (no results at all), no opinion

3. In your country, what have been the main factors hindering broader adoption? (Select up to 3):

- Quality of the design of the SGP country programme
- Capacity and experience of the selected grantees
- Extent of government support and ownership of GEF (or at least of SGP)
- Extent of coordination with other existing initiatives

- Efforts of the National Coordinator
- Efforts of the National Steering Committee members
- Extent of support from UNDP
- Extent of support from other international partners, including the other GEF Agencies
- Other (please specify) _____

4. In your country, what have been the main factors contributing to broader adoption? (Select up to 3):

- Quality of the design of the SGP country programme
- Capacity and experience of the selected grantees
- Extent of government support and ownership of GEF (or at least of SGP)
- Extent of coordination with other existing initiatives
- Efforts of the National Coordinator
- Efforts of the National Steering Committee members
- Extent of support from UNDP
- Extent of support from other international partners, including the other GEF Agencies
- Other (please specify) _____

5. Which of the following best describes the relationship between SGP and the UNDP Country Programme in your country (select 1)?

- SGP is an integral part of the UNDP Country Programme, and is mentioned in the United Nations Development Assistance Framework (UNDAF) (or other UN framework) and the UNDP Country Programme (Country Programme Document (CPD) and/or Country Programme Action Plan (CPAP))
- SGP is not formally mentioned in the UNDAF or the CPD/CPAP, but it is considered an integral part of the UNDP Country Programme
- SGP is considered an important part of the UNDP environment portfolio
- SGP is implemented by UNDP, but is a stand-alone programme with little linkage to other UNDP projects or programmes
- There is hardly any linkage between SGP and UNDP
- No opinion

6. To what extent has UNDP supported replication, mainstreaming and/or scaling-up of SGP initiatives in your country?

- 6 Very large extent
- 5, 4, 3, 2;
- 1 Not at all
- No opinion.

7. If UNDP has supported replication, mainstreaming and/or scaling-up of SGP initiatives, how has it done so (you may select more than 1 answer):

- Advocacy with Government or other partners
- Organizing field visits for potential partners to SGP project sites
- Supporting development and dissemination of knowledge products
- Replicating or scaling-up an SGP approach or initiative in a GEF Medium Sized Project or Full Sized Project
- Replicating or scaling-up an SGP approach or initiative in another UNDP-supported project
- Other (please specify) _____

8. Can you provide a specific example of how UNDP supported replication, mainstreaming or scaling-up of an SGP initiative?

D. SGP Contribution to Sustainable Development and to MDGs (Millennium Development Goals), including to gender, governance and poverty issues

1. Does the SGP National Coordinator have expertise on gender issues and women's empowerment?
 - 6 Excellent expertise
 - 5, 4, 3, 2;
 - 1 Not at all
 - No opinion

2. Does the SGP National Steering Committee have expertise on gender and promoting women's empowerment?
 - 6 Excellent expertise
 - 5, 4, 3, 2;
 - 1 Not at all
 - No opinion

3. Has the SGP National Steering Committee effectively supported reducing gender inequality and promoting women's empowerment?
 - 6 Extremely effective
 - 5, 4, 3, 2;
 - 1 Not at all
 - No opinion

4. To what extent does the grant selection process include considerations of gender equality and women's empowerment?
 - 6 Very large extent
 - 5, 4, 3, 2;
 - 1 Not at all
 - No opinion

5. How effective have the grants under the SGP Programme been at reducing gender inequality and promoting women's empowerment?
 - 6 Extremely effective
 - 5, 4, 3, 2
 - 1 Not at all
 - No opinion

6. Overall, has the SGP Country Programme contributed to reducing gender inequality and promoting women's empowerment in the country?
 - 6 Very large extent
 - 5, 4, 3, 2
 - 1 Not at all
 - No opinion.

7. SGP programmes focuses some resources and effort on gender issues and women's empowerment. Overall, do you believe this strengthens the ability to meet environmental objective, or weakens the ability to meet environmental objectives?
 - 6 Completely strengthens
 - 5 Mostly strengthens
 - 4 Slightly strengthens
 - 3 Slightly weakens
 - 2 Mostly weakens

- 1 Completely weakens
 - No opinion
8. Can you provide specific examples of where making an effort to address gender concerns made it more difficult or easier for the SGP to meet environmental objectives?
9. Does the SGP National Coordinator have expertise on issues such as poverty, inequality and exclusion?
- 6 Excellent expertise
 - 5, 4, 3, 2;
 - 1 Not at all
 - No opinion
10. Does the SGP National Steering Committee have expertise on issues such as poverty, inequality and exclusion?
- 6 Excellent expertise
 - 5, 4, 3, 2
 - 1 Not at all
 - No opinion
11. Has the SGP National Steering Committee effectively supported issues such as poverty, inequality and exclusion?
- 6 Extremely effective
 - 5, 4, 3, 2;
 - 1 Not at all
 - No opinion
12. To what extent does the grant selection process address issues such as poverty, inequality and exclusion?
- 6 Very large extent
 - 5, 4, 3, 2
 - 1 Not at all
 - No opinion
13. How effective have the grants under the SGP Country Programme been at addressing issues such as poverty, inequality and exclusion?
- 6 Extremely effective
 - 5, 4, 3, 2
 - 1 Not at all
 - No opinion
14. Overall, has the SGP Country Programme contributed to the reduction of poverty, inequality and exclusion?
- 6 Very large extent
 - 5, 4, 3, 2
 - 1 Not at all
 - No opinion
15. SGP programmes focuses some resources and effort on addressing issues such as poverty, inequality and exclusion. Overall, do you believe this strengthens the ability to meet environmental objectives, or weakens the ability to meet environmental objectives?

- 6 Completely strengthens
- 5 Mostly strengthens
- 4 Slightly strengthens
- 3 Slightly weakens
- 2 Mostly weakens
- 1 Completely weakens
- No opinion

16. Can you provide specific examples of where making an effort to address issues of poverty, inequality and exclusion made it more difficult or easier for the SGP to meet environmental objectives?

Summary list of country/respondents

The questionnaire was sent to 2449 people. 1170 responded, an overall response rate of 48%. Responses were received from 124 countries.

The number and category of invited participants from each country is listed in the left hand columns of the following table. The number and percentage responding for each country is listed in the right hand columns of the following table.

Country	Staff and NSC Members	Additional Partners	GEF OFPs and PFPs	UNDP RRs	Total	Total Completed Responses	Response Rate	Total English	Total French	Total Spanish
Afghanistan	12	9	2	1	24	17	71%	17	0	0
Albania	8	4	2	0	14	7	50%	7	0	0
Algeria	0	0	2	1	3	1	33%	0	1	0
Antigua and Barbuda	12	0	1	0	13	5	38%	5	0	0
Argentina	11	2	2	1	16	6	38%	1	0	5
Armenia	13	7	1	1	22	14	64%	13	1	0
Bahamas	9	3	2	0	14	6	43%	5	0	1
Barbados	12	3	2	1	18	6	33%	6	0	0
Belarus	9	4	1	1	15	7	47%	7	0	0
Belize	14	9	2	0	25	11	44%	11	0	0
Benin	15	9	2	1	27	19	70%	0	19	0
Bhutan	11	7	2	1	21	16	76%	16	0	0
Bolivia	8	0	2	0	10	6	60%	1	0	5
Botswana	17	11	2	1	31	13	42%	13	0	0
Brazil	21	0	2	1	24	6	25%	5	0	1
Bulgaria	2	0	2	0	4	3	75%	3	0	0
Burkina Faso	17	3	1	1	22	13	59%	0	13	0
Burundi	9	6	1	1	17	10	59%	0	9	1
Cambodia	15	10	2	1	28	15	54%	15	0	0

Country	Staff and NSC Members	Additional Partners	GEF OFPs and PFPs Numbers invited	UNDP RRs	Total	Total Completed Responses	Response Rate	Numbers/percentages responding		
								Total English	Total French	Total Spanish
Cameroon	12	5	2	1	20	8	40%	3	5	0
Cape Verde	10	5	0	1	16	11	69%	6	3	2
Central African Republic	8	0	1	1	10	4	40%	0	4	0
Chad	12	0	1	1	14	3	21%	0	3	0
Chile	2	0	2	1	5	3	60%	0	0	3
China	11	2	2	1	16	4	25%	4	0	0
Comoros	12	11	2	1	26	13	50%	1	12	0
Congo DR	11	2	2	1	16	7	44%	0	7	0
Cook Islands	0	0	2	0	2	1	50%	1	0	0
Costa Rica	15	0	2	1	18	9	50%	1	0	8
Cote d'Ivoire	11	1	2	1	15	5	33%	0	5	0
Cuba	11	13	1	1	26	6	23%	0	0	6
Djibouti	1	0	2	1	4	1	25%	1	0	0
Dominica	12	25	1	0	38	16	42%	16	0	0
Dominican Republic	10	13	2	1	26	10	38%	2	0	8
Ecuador	12	0	2	1	15	7	47%	0	0	7
Egypt	5	4	2	1	12	4	33%	4	0	0
El Salvador	5	1	1	1	8	7	88%	0	0	7
Eritrea	10	6	1	0	17	6	35%	6	0	0
Ethiopia	11	10	1	1	23	11	48%	11	0	0
Fiji	12	4	2	1	19	8	42%	8	0	0
Gambia	9	3	1	1	14	7	50%	7	0	0
Georgia	13	0	2	1	16	9	56%	9	0	0
Ghana	10	13	2	1	26	11	42%	11	0	0
Grenada	0	0	2	0	2	0	0%	0	0	0
Guatemala	8	6	2	0	16	10	63%	3	0	7
Guinea	18	13	2	1	34	21	62%	1	20	0
Guinea-Bissau	9	0	2	1	12	5	42%	2	3	0
Guyana	12	3	2	1	18	7	39%	7	0	0
Haiti	11	7	1	0	19	7	37%	0	7	0
Honduras	9	6	2	1	18	10	56%	0	0	10
India	13	0	2	1	16	7	44%	7	0	0
Indonesia	16	10	2	1	29	18	62%	18	0	0
Iran	15	33	1	1	50	32	64%	32	0	0
Jamaica	12	10	2	1	25	10	40%	10	0	0

Country	Staff and NSC Members	Additional Partners	GEF OFPs and PFPs Numbers invited	UNDP RRs	Total	Numbers/percentages responding				
						Total Completed Responses	Response Rate	Total English	Total French	Total Spanish
Jordan	10	12	2	1	25	12	48%	12	0	0
Kazakhstan	12	8	1	1	22	14	64%	14	0	0
Kenya	13	0	2	1	16	11	69%	11	0	0
Kiribati	0	0	2	0	2	0	0%	0	0	0
Kyrgyzstan	12	11	1	1	25	19	76%	18	0	1
Lao	8	0	2	1	11	5	45%	5	0	0
Lebenon	11	0	1	0	12	6	50%	5	1	0
Lesotho	15	10	2	1	28	18	64%	18	0	0
Liberia	9	6	2	1	18	7	39%	7	0	0
Lithuania	1	0	1	0	2	1	50%	1	0	0
Macedonia	18	7	2	1	28	19	68%	19	0	0
Madagascar	9	13	2	1	25	18	72%	0	18	0
Malawi	12	11	2	1	26	13	50%	13	0	0
Malaysia	13	6	1	1	21	13	62%	13	0	0
Maldives	11	2	2	1	16	3	19%	3	0	0
Mali	14	3	1	2	20	6	30%	0	6	0
Marshall Islands	10	8	1	0	19	6	32%	6	0	0
Mauritania	9	15	1	1	26	12	46%	1	11	0
Mauritius	10	9	2	1	22	17	77%	16	1	0
Mexico	13	0	1	1	15	9	60%	1	0	8
Micronesia	10	12	2	0	24	8	33%	8	0	0
Moldova	9	6	1	1	17	9	53%	8	1	0
Mongolia	13	15	2	1	31	10	32%	10	0	0
Morocco	13	12	2	1	28	12	43%	3	9	0
Mozambique	12	22	2	1	37	11	30%	9	0	2
Namibia	10	6	1	1	18	10	56%	10	0	0
Nauru	0	0	2	0	2	0	0%	0	0	0
Nepal	9	6	2	1	18	8	44%	8	0	0
Nicaragua	12	6	2	1	21	8	38%	1	0	7
Niger	20	8	1	1	30	15	50%	0	15	0
Nigeria	11	9	2	1	23	10	43%	9	1	0
Niue	0	0	2	0	2	0	0%	0	0	0
Pakistan	13	0	1	1	15	6	40%	6	0	0
Palau	10	2	2	0	14	7	50%	7	0	0
Palestinian Authority	7	5	2	0	14	9	64%	9	0	0
Panama	16	13	2	1	32	16	50%	4	0	12

Country	Staff and NSC Members	Additional Partners	GEF OFPs and PFPs Numbers invited	UNDP RRs	Total	Total Completed Responses	Response Rate	Numbers/percentages responding		
								Total English	Total French	Total Spanish
Papua New Guinea	12	8	2	1	23	7	30%	7	0	0
Paraguay	7	2	2	1	12	1	8%	0	0	1
Peru	14	19	2	1	36	18	50%	3	0	15
Philippines	10	0	3	1	14	5	36%	5	0	0
Poland	1	0	0	0	1	0	0%	0	0	0
Romania	1	0	1	0	2	1	50%	1	0	0
Rwanda	12	11	1	1	25	19	76%	12	7	0
Saint Kitts and Nevis	12	0	2	0	14	6	43%	6	0	0
Saint Lucia	13	2	2	0	17	11	65%	11	0	0
Saint Vincent and Grendines	12	1	2	0	15	4	27%	4	0	0
Samoa	16	3	1	1	21	10	48%	10	0	0
Senegal	19	24	1	1	45	26	58%	0	26	0
Seychelles	10	1	2	0	13	3	23%	3	0	0
Sierra Leone	3	0	2	1	6	2	33%	2	0	0
Slovak Republic	9	4	1	0	14	6	43%	6	0	0
Solomon Islands	10	4	1	0	15	7	47%	7	0	0
South Africa	12	5	2	1	20	7	35%	7	0	0
Sri Lanka	17	6	2	1	26	10	38%	10	0	0
Suriname	12	3	2	0	17	6	35%	6	0	0
Syrian Arab Republic	16	0	2	1	19	5	26%	4	1	0
Tajikistan	8	4	1	1	14	9	64%	9	0	0
Tanzania	20	4	2	0	26	14	54%	14	0	0
Thailand	14	17	2	1	34	13	38%	13	0	0
Timor Leste	9	0	2	1	12	4	33%	4	0	0
Togo	12	6	2	1	21	9	43%	0	9	0
Tonga	0	0	1	0	1	1	100%	1	0	0
Trinidad and Tobago	10	2	2	1	15	9	60%	9	0	0
Tunisia	13	5	2	1	21	9	43%	0	9	0
Turkey	14	16	2	1	33	14	42%	14	0	0
Tuvalu	0	0	2	0	2	0	0%	0	0	0
Uganda	14	10	1	1	26	16	62%	16	0	0
Ukraine	19	12	1	1	33	17	52%	17	0	0

Country	Staff and NSC Members	Additional Partners	GEF OFPs and PFPs	UNDP RRs	Total	Total Completed Responses	Response Rate	Total English	Total French	Total Spanish
Uruguay	10	6	1	1	18	13	72%	0	0	13
Uzbekistan	11	9	2	1	23	7	30%	7	0	0
Vanuatu	14	8	2	0	24	9	38%	9	0	0
Venezuela	8	8	1	1	18	11	61%	0	0	11
Vietnam	11	4	2	1	18	9	50%	9	0	0
Yemen	10	4	2	1	17	5	29%	5	0	0
Zambia	11	7	1	1	20	5	25%	5	0	0
Zimbabwe	15	7	1	1	24	13	54%	13	0	0
Other*	0	0	0	0	0	2		1	0	1
Total	1379	758	215	97	2449	1170	48%	801	227	142

(*) Two stakeholders did not chose a country; instead they indetified themselves as being a Regional and/or Global stakholder

Annex 5 – Desk Review of Country Programme Strategies

Objective

The aim of the desk review was to analyze a sample of 30 Country Programme Strategies (CPS) in order to assess the extent to which the CPS address the issues of: (a) gender equality and women's empowerment; and (2) poverty, livelihoods, inequality and exclusion.

The review was guided by two main questions, outlined in the Evaluation Matrix for Phase II of the Joint Evaluation, as follows:

- “To what extent does SGP address issues of poverty, inequality and exclusion?”; and
- “Is SGP contributing to reducing gender inequality and promoting women's empowerment?”

Methodology for Selecting CPS

The review carried out an in-depth analysis of 30 Country Programme Strategies prepared for the GEF SGP's Fifth Operational Phase and available on the SGP website. The SGP website lists a total of 125 countries. Seventeen countries were removed from this population (n=125) as they were either 'upgraded', and hence had no CPS, or they had no CPS uploaded to the website. This left a total population of 108 countries.

Following this initial sort, these 108 countries were divided into two strata, using a stratified sampling approach, to ensure that countries categorized as the Least Developed Countries (LDCs) and Small Island Developing States (SIDS) and those categorized as non LDCs/SIDS are included in the sample. This resulted in: (1) 52 countries (~48% of the total) being classified as LCD/SIDS and (2) 56 countries (~52% of the total) being categorized as non LDC/SIDS.

Random sampling was then applied independently within each stratum based on proportional allocation (the size of the sample in each stratum was taken in proportion to the size of the stratum). The final sample of 30 CPS was therefore comprised of: 16 countries randomly selected from the non LDC/SIDSs stratum and 14 countries from the LDC/SIDS stratum.

The selected countries are as follows:

- LDC/SIDS: (1) Cape Verde; (2) Mauritania; (3) Zambia; 4 (Lao); (5) Belize; (6) Nepal; (7) Niger; (8) Bhutan; (9) Suriname; (10) Eritrea; (11) Guinea-Bissau; (12) Jamaica; (13) Dominica; and (14) Cuba
- Non LDC/SIDS: (1) Egypt; (2) Ghana; (2) Tajikistan; (4) Malaysia; (5) Sierra Leone; (6) Zimbabwe; (7) Argentina; (8) Jordan; (9) Guyana; (10) Belarus; (11) El Salvador; (12) Albania; (13) Guatemala; (14) Paraguay; (15) Namibia; and (16) Kyrgyzstan.

The strategies of all 30 countries were reviewed in-depth with information collected through a semi-structured check-list. This information was then used to produce a brief report on both poverty and gender issues that was used by the evaluation team as one of the analytical inputs into the final analysis.

The List of the Reviewed Country Programme Strategies

- GEF SGP, 'SGP Country Programme Strategy for utilization of OP5 grant funds, Cape Verde', no date.
- GEF SGP, 'Strategie Nationale pour l'utilisation des fonds de microfinancements au cours de la phase operationnelle V (PO5), Mauritanie', 2011.
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- GEF SGP, 'Stratégie du Programme National PMF/FEM pour l'utilisation des Fonds de Micro Financements pour la 5ème Phase Opérationnelle (OP5), Niger', no date.
- GEF SGP, 'SGP Country Programme Strategy for utilization of OP5 grant funds, Bhutan', no date.
- GEF SGP, 'SGP Country Programme Strategy for utilization of OP5 grant funds, Suriname Country Programme Strategy 2011-2014, Suriname', no date.
- GEF SGP, 'The Global Environment Facility – Small Grants Programme GEF / SGP, Eritrea', no date.
- GEF SGP, 'Stratégie Nationale du Programme de Micro financement du FEM pour l'utilisation des fonds de la Phase Opérationnelle 5 (OP5), Guinée-Bissau', no date.
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- GEF SGP, 'Country Programme Strategy for Utilization of OP5 Grant Funds, Malaysia', no date.
- GEF SGP, 'Country Programme Strategy (CPS) for Utilization of OP5 Grant Funds, Sierra Leone', no date.
- GEF SGP, 'Country Programme Strategy for Utilization of OP5 Grant Funds, Zimbabwe', no date.
- GEF SGP, 'Marco Estratégico Nacional Fase Operativa 5 (OP5), Argentina', March 2013.
- GEF SGP, 'SGP Country Programme Strategy for Utilization of OP5 Grant Funds, Jordan', no date.
- GEF SGP, 'Country Programme Strategy (CPS) for Utilization of OP5 Grant Funds, Guyana', no date.
- GEF SGP, 'SGP Country Programme Strategy for Utilization of OP5 Grant Funds, Belarus', no date.
- GEF SGP, 'Marco Estratégico de País 2011-2014, Programa de Pequeñas Donaciones del Fondo para el Medio Ambiente Mundial GEF SGP, El Salvador', March 2012.

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GEF SGP, 'Estrategia Nacional del PPD del GEF Guatemala para la Utilización de los fondos de donaciones en la OP5, Guatemala', no date.

GEF SGP, 'Estrategia del Programa País del PPD para el Uso de Fondos de Donación OP5 (2011 – 2014), Paraguay', no date.

GEF SGP, 'Small Grant Programme Country Programme Strategy for utilization of OP5 grant funds, Namibia', no date.

GEF SGP, 'GEF/SGP Kyrgyzstan Programme Strategy for GEF OP5, Kyrgyzstan', no date

Annex 6 – Overview of the Fifth SGP Operational Phase

GEF Focal Area Objective ⁵⁸	SGP Core Contribution (US\$ mn)	STAR 1 Contribution (US\$ mn)	STAR 2 Contribution (US\$ mn)	Contribution from the nine FSPs (US\$ mn)	Total GEF Contribution (US\$ mn)	SGP Indicators ⁵⁹
BD–1: Improve the Sustainability of Protected Area Systems	23.992	5.658	9.272	1.64	40.562	<p>Number and hectares of ICCAs and other PAs positively influenced through SGP support</p> <p>Number of community members with improved livelihoods related to benefits from protected areas</p> <p>Number of significant species with maintained or improved conservation status</p> <p>Number and hectares of significant ecosystems with maintained or improved conservation status</p>
BD–2: Mainstream Biodiversity Conservation and Sustainable Use into Production Landscapes, Seascapes and Sectors	23.992	5.658	9.272	14.686	53.608	<p>Hectares of production landscapes / seascapes under improved sustainable use practices, leading, where possible, to certification through recognized environmental standards that incorporate biodiversity considerations (supported by SGP)</p> <p>Number of significant species with maintained or improved conservation status</p> <p>Number and hectares of significant ecosystems with maintained or improved conservation status</p>
CCM–1: Promote the demonstration,	10.07	2.962	5.350	0	18.382	Number of countries with demonstrations addressing community-level barriers to deployment of low-GHG technologies

⁵⁸ The GEF Focal Areas addressed in the Fifth SGP Operational Phase include: Biodiversity (BD), Climate Change Mitigation (CCM), Land Degradation (LD), International Waters (IW), Chemicals (CHEM) and Capacity Development (CD).

⁵⁹ These indicators are taken from the SGP core approval document.

GEF Focal Area Objective ⁵⁸	SGP Core Contribution (US\$ mn)	STAR 1 Contribution (US\$ mn)	STAR 2 Contribution (US\$ mn)	Contribution from the nine FSPs (US\$ mn)	Total GEF Contribution (US\$ mn)	SGP Indicators ⁵⁹
deployment, and transfer of innovative low-carbon Technologies						Number of national or international partners or agencies are aware of SGP practices and lessons
CCM-4: Promote energy efficient, low-carbon transport and urban systems	10.07	2.962	5.350	3.418	21.8	Number of countries where community-level low-GHG transport options have been demonstrations At least 20 governments (local or national) having been influenced in policy development and implementation
CCM-5: Promote conservation and enhancement of carbon stocks through sustainable management of land use, land-use change, and forestry	10.07	2.962	5.350	5.969	24.351	Hectares under improved sustainable land management and climate proofing practices Hectares of forests and non-forest lands with restoration and enhancement initiated
LD-1: Agriculture and Rangeland Systems: Maintain or improve flow of agro-ecosystem services sustaining the livelihoods of local communities	10.759	2.801	5.730	5.687	24.977	Hectares under improved agricultural, land and water management practices (by management practice) Number of national and international agencies or partners are aware of successful SGP demonstrations and innovative approaches Number of national/local governments or international policy making processes with SGP influence
LD-3: Integrated Landscapes: Reduce pressures on natural resources from competing land uses in the wider landscape	10.759	2.801	5.726	0	19.286	Number of community members with improved actions and practices that reduce negative impacts on land uses

GEF Focal Area Objective ⁵⁸	SGP Core Contribution (US\$ mn)	STAR 1 Contribution (US\$ mn)	STAR 2 Contribution (US\$ mn)	Contribution from the nine FSPs (US\$ mn)	Total GEF Contribution (US\$ mn)	SGP Indicators ⁵⁹
IW-1: Catalyze multi-state cooperation to balance conflicting water uses in transboundary surface and groundwater basins while considering climatic variability and change.	2.369	1.843	3.289	0	7.501	
IW-2: Catalyze multistate cooperation to rebuild marine fisheries and reduce pollution of coasts and Large Marine Ecosystems (LMEs) while considering climatic variability and change	2.369	1.843	3.289	0	7.501	Number of SAPs to which SGP is providing implementation support Number of regional transboundary water management processes to which SGP is contributing good practices and lessons
IW-3: Support foundational capacity building, portfolio learning, and targeted research needs for joint, ecosystem-based Management of trans-boundary water systems	2.369	0	0	0	2.369	
CHEM-1: Phase out POPs and reduce POPs releases	2.961	3.686	6.578	0	13.225	Tons of POPs waste avoided from burning Tons of obsolete pesticides disposed of appropriately Number of countries where SGP is contributing to the implementation of national plans and policies to address POPs, harmful chemicals and other pollutants
CHEM-3: Pilot sound chemicals management and mercury reduction	2.961	0	0	0	2.961	
CD-1: Enhance capacities of stakeholders for	2.107	1.843	0	2.935	6.885	Number of SGP representatives participating in national GEF coordination meetings

GEF Focal Area Objective ⁵⁸	SGP Core Contribution (US\$ mn)	STAR 1 Contribution (US\$ mn)	STAR 2 Contribution (US\$ mn)	Contribution from the nine FSPs (US\$ mn)	Total GEF Contribution (US\$ mn)	SGP Indicators ⁵⁹
engagement through consultative process						Quantity and quality of SGP knowledge base, and use of knowledge base; Quantity and quality of contributions to knowledge fairs, conferences, publications and research.
CD-2: Generate, access and use of information and knowledge	2.107	0	3.289	0	5.396	
CD-4: Strengthened capacities for management and implementation on convention guidelines	2.107	0	0	0	2.107	Number of demonstrations and piloted examples of community-based environmental monitoring systems used in SGP projects
CD-5: Capacities enhanced to monitor and evaluate environmental impacts and trends	2.107	1.843	3.289	0	7.175	Quantity and quality of evaluation documentation of expected project results, and unexpected effects Number of CBOs and CSOs demonstrating understanding of the role of evaluation through application of relevant evaluation methodologies
Monitoring and Evaluation	Across all above focal areas	Across all above focal areas	Across all above focal areas	2.025	2.025	Not relevant
Project Management	13.440	3.960	7.066	3.622	28.088	Not relevant
TOTALS	134.615	40.828	72.851	39.986	288.28	--

annex 7 – Bibliography and References

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Annex 9 – List of Stakeholders Interviewed – at Global, National and Local Levels

GEF SGP Central Programme Management Team (CPMT) Members

Akhtar, Tehmina, Deputy Global Manager

Chen, Sulan, Programme Advisor on International Water and Chemicals, and, Regional focal point for SGP countries in Europe & CIS and Asia regions

Currea, Ana Maria, Specialist on Knowledge Management and Communications (and gender focal point)

Ekomba Modelo, Maria Jose, Programme Associate, Operations and Partnerships

Ganapin, Delfin, Global Manager

Hay-Edie, Terence, Programme Advisor on Biodiversity, and, Regional focal point for SGP countries in Francophone Africa and Pacific regions

Nyandiga, Charles, Programme Advisor on Land Degradation and Sustainable Forest Management, and Regional focal point for SGP countries in Anglophone Africa region and Arab States regions

Shamerina, Angelica, Programme Advisor on Climate change, and, Regional focal point for SGP countries in Latin America and Caribbean region

United Nations Development Programme (UNDP)

Bennet, Nancy, Results Management and Evaluation Advisor, UNDP-GEF

Dinu, Adriana, Deputy Executive Coordinator and OIC, UNDP-GEF

Fukuoka, Fumiko, Senior Technical Advisor, Communities, Livelihoods and Markets Cluster, UNDP-GEF (and former Deputy Global Manager for SGP)

Glemarec, Yannick, Executive Coordinator, UNDP-GEF (until February 2013)

Gold, Stephen– Principal Policy and Technical Advisor and Head of Green LECRDS Team

Hudson, Andrew, Principal Technical Advisor, Water and Oceans, UNDP-GEF

Iftikhar, Usman, Policy Advisory, BDP/Poverty Reduction Group

McNeill, Charles, Senior Policy Advisor, Environment and Energy Group, BDP

Remple, Nick, SGP Upgraded Country Programmes Manager, Communities, Livelihoods and Markets Cluster, UNDP-GEF (and former Deputy Global Manager for SGP)

Sekhran, Nikhil, Principal Technical Advisor, Ecosystems and Biodiversity, UNDP-GEF

Vandeweerd, Veerle, Director, Environment and Energy Group, BDP

Wanjiru, Lucy, Programme Specialist, Gender, Environment and Climate Change, UNDP

Global Environment Facility (GEF) Secretariat

Barrera, Maria Del Pilar, Operations Officer - Civil Society/Capacity Development

Ehlers, William, Team Leader, External Affairs

Salazar, Henry, Senior Country Relations Officer, External Affairs

Watanabe, Yoko, Program Manager, Sr. Biodiversity Specialist, Natural Resources

Other Stakeholders

Gorman, Steve, Former World Bank Representative on SGP Steering Committee

Kennedy, William, Senior Programme Officer, United Nations Office for Partnerships

Lauranson, Catherine, European Commission (Responsible for the UNDP-EU project "Strengthening Environmental Governance by Building the Capacities of Non-Governmental Organizations in 13 countries of the EU Neighborhood")
Parish, Faizal, Director, Global Environment Centre (Central Focal Point of the GEF NGO Network)
Qayum, Seemin, Consultant, SGP CPMT (Upgraded Countries)
Tavara, Carmen, Consultant, SGP CPMT (Upgraded Countries)
Tokle, Siv, Sr. Operations Officer, Deputy GEF Coordinator, World Bank

Persons Met During Country Visits

Cambodia Country Visit

Bat, Phalla, First Deputy Commune Chief, DKK, Smonh Village, Phan Nheum Commune, Staung District, Kampong Thom Province
Bou, Bun, 1st deputy chief of commune, Andaung Trang Village, Sramor commune, Cheung Prey District, Kampong Cham Province
By, Kim Oeurn, DKK Executive Director, DKK, Kampong Thom Province
Chairatt, RS Project Field Staff, RS, Siem Reap province
Chea, Lim, Member of Committee, Por Village, Por Commune, Kampong Leng District, Kg. Chnang Province
Chea, Ratha, KIPD Executive Director, KIPD Choam Ksan village, commune and District, Preah Vihea Province
Cheng, Kim Sun, Delegate of Royal Government and Head of the Forestry Administration Forestry Administration
Cheng, Mom, CD Vision Staff, Andaung Trang Village, Sramor commune, Cheung Prey District, Kampong Cham Province
Chieng, Men, Sre Village Chief of KIPD target area Rumdoh Sre Commune, Choam Ksan District, Preah Vihear Province
Chheng, Vibolrith, Deputy Director/NSC member, Department of International Relation, MAFF, Phnom Penh, Cambodia
Chhun, Kim San, Member of Committee, Por Village, Por Commune, Kampong Leng District, Kg. Chnang Province
Chhun, Sovanny, NSC member, UNDP, Phnom Penh
Chun, Sophat, Program Officer in M&E, UNDP Country Office
Chum, Kray, Village Chief, Por Village, Por Commune, Kampong Leng District, Kg. Chnang Province
Chhit, Sam Ath, Director/NSC member, WWF, Phnom Penh
Chuop, Chea, Deputy Chair of Committee, Por Village, Por Commune, Kampong Leng District, Kg. Chnang Province
Chuop, Monorom, CDI Executive Director, Kean Svay District, Kandal Province
Chuch, Sokha, Deputy Village Chief of PDI target area, PDI, Prek Daung Village, Kampong Svay Commune, Kien Svay District, Kandal province
Em, Sam Ol, Project staff of CSARO, Phnom Penh
In, Sunnary, Village Chief of PDI Target area, PDI, Prek Daung Village, Kampong Svay Commune, Kien Svay District, Kandal province
Heangseang, Bunnary, Executive Director, Cheung Prey District, Kampong Cham Province
Heng, Yon Kora, Executive Director of CSARO, Phnom Penh
Huot, DKK Technical adviser, DKK, Kampong Thom Province
Jensen, Meoko Saito, REDD's Adviser, UNDP Country Office
Kat, Bun Heng, Former CTO Director, CTO, Siem Reap Province
Kim, Socheata, SGP Program Assistant, UNDP Country Office
Keo, Kalyan, Program Analyst, UNDP Country Office

Keo, Kheang, Director/NSC member, Hiefer International, Phnom Penh

Khat, Yuth, Commune Chief DKK, Smonh Village, Phan Nheum Commune, Staung District, Kampong Thom Province

Kim, Sreu, Project Officer, CCD Local NGO, Kampong Chang Province

Koem, Ratana, Project Coordinator, Koh Sralao CPA, Koh Kong Province

Kong, Pharith, Executive Director, LOCAB local NGO, Kampong Chnang Province

Lay, Khim, Regional Program Manager (environment linkage), Oxfam America, Phnom Penh

Long, Rithirak, GEF Political Focal Point and Deputy Director General, Ministry of Environment

Ly, Vuthy, Deputy Director of Department of Community Fisheries, Fishery Administration

Ly, Sam Lon, Member of Committee Por Village, Por Commune, Kampong Leng District, Kg. Chnang Province

Ly, Pheara, Executive Director, AHRDE Local NGO, Sre Pring Village, Sangkat Kampong Chhnang, Kampong Chhnang City, Kampong Chhnang Province

Mach, Sophearith, Finance Officer, PDI, Prek Daung Village, Kampong Svay Commune, Kien Svay District, Kandal province

Mam, Sambath, Director/NSC Member, PDA, Phnom Penh

Meas, Chroeun, Chief of Community Committee, Torb Cheang CFo, Preah Ang Keo Village, Dang Peng Commune, Sre Ambel District, Koh Kong Province

Dr Men, Sarom, Vice Rector/NSC member, The Royal University of Agriculture, Phnom Penh

Men, Phallyka, RS Finance Officer, RS, Siem Reap province Nhean, Phoung Maly, RS Executive Director, RS, Siem Reap Province

Ngin, Navirak, SGP National Coordinator, UNDP Country Office

Nhem, Chiep, 1st Deputy Commune Chief of CSARO project areas, Tuol Ampil Commune, Boseth District, Kampong speu province

Oeur, Seng Hong, Commune Chief, Por Commune, Kampong Leng District, Kg. Chnang Province

Pheun, Phalla, Okrasa Cfi Project Assistant, Okrasa CFi, Kep Province

Ouch, Son, DKK, Project Manager, DKK, Kampong Thom Province

Phon, Choeun, 2nd Chief of Commune of KIPD target area Kok Village, Rumdoh Sre Commune, Choam Ksan District, Preah Vihear Province

Pich, Kan, Chair of Committee, Por Village, Por Commune, Kampong Leng District, Kg. Chnang Province

Pok, Sun, 2nd Deputy Chief of Commune, Tuol Ampil Commune, Boseth District, Kampong speu province

Prum, CTO Project officer, CTO, Siem Reap Province

Pum, Sapon, Thmar Rolum Village Chief of KIPD project area, Rumdoh Sre Commune, Choam Ksan District, Preah Vihear Province

HE Dr. Tin, Ponlok, Deputy General Director, Ministry of Environment

Sam, Lim, Member of Committee, Por Village, Por Commune, Kampong Leng District, Kg. Chnang Province

Sam, Ol, Commune Chief of RS Target area, Trapeang Trom Village, Popeal Khe Commune, Sotr Nikum District, Siem Reap province

Sar, Kosal, NSC member on mainstreaming, Ministry of Interior

Seng, Ly, Project Coordinator, Torb Cheang CFo, Preah Ang Keo Village, Dang Peng Commune, Sre Ambel District, Koh Kong Province

Sing, Ngam, Village Chief of Kok Village of KIPD target area, Rumdoh Sre Commune, Choam Ksan District, Preah Vihear Province

Sok, Nang, CD Vision Project Staff, Andaung Trang Village, Sramor commune, Cheung Prey District, Kampong Cham Province

Sok, Keat, Commune Chief of CSARO Project target area, Tuol Ampil Commune, Boseth District, Kampong speu province

Sokundara, Pok, Director/NSC member, National League of Commune Council, Phnom Penh

Son, Sath, 2nd Deputy Commune Chief, DKK, Smonh Village, Phan Nheum Commune, Staung District, Kampong Thom Province
Soma, Dor, Program Manager, SIDA, Embassy of Sweden in Phnom Penh
Tep, Boony, Director/NSC Member, SCW, Phnom Penh, Cambodia
Thlok, Chea, Accountant, Por Village, Por Commune, Kampong Leng District, Kg. Chnang Province
U, Sirit, MAFF adviser/NSC Member, FA, MAFF, Phnom Penh, Cambodia
Ung Dara Rat Moni, UNDP's Adviser, MAFF, Project Support Unit (PSU), Phnom Penh
Van de Vaeren, Claire, UN Resident Coordinator, UNDP Country Office
Voen, Seila, Angkol Cfi Project Coordinator, Angkol Cfi, Kampot Province
Yamazaki, Setsuko, UNDP Country Director, UNDP Country Office

Additional Stakeholders in Cambodia

15 RS community members and 6 commune Council Member attended, Trapeang Trom Village, Popeal Khe Commune, Sotr Nikum District, Siem Reap province
20 community members of CCD in the target village - Kampong Basrov Village, Chulsa Commune, Chum Kiri District, Kampong Chnang Province
18 community members of CDVIsion target communities, Andaung Trang Village, Sramor commune, Cheung Prey District, Kampong Cham Province
21 (6 women) community members Of Torb Cheang CFo including a commune chief, Village Chief, and two FoA staff. Preah Ang Keo Village, Dang Peng Commune, Sre Ambel District, Koh Kong Province
30 (10 women) Community members included deputy chief of commune council participated, Koh Sralao Village, Koh Kapi Commune, Koh Kong district, Koh Kong province
40 (26 women) DKK Community members, DKK, Smonh Village, Phan Nheum Commune, Staung District, Kampong Thom Province
Eight representatives from commune council, Cfi members and beneficiaries, Angkol Cfi, Kampot Province
Five PDI community members, PDI, Prek Daung Village, Kampong Svay Commune, Kien Svay District, Kandal province
Focus group meeting with 12 grant managers
Meeting with communities of AHRDE with 28 community members - Trapeang Sbov Village, Sre Thmey Commune, Rolea Pa-ir District, Kampong Chnang Province
Provincial Department of Environment (PDE) Director, Chief of CPA, and two staff of PDE. Provincial Department of Environment, Koh Kong Province
Seven Community members of CTO, Krapeu Village, Balank Commune, Prasat Bakong District, Siem Reap Province
Seven Community members of CDI target areas, Kean Svay District, Kandal Province
Seven Representatives from commune council, community Fisheries, Okrasa Cfi, Kep Province
Ten Commune members of KIPD, Rumdoh Sre Commune, Choam Ksan District, Preah Vihear Province
Ten Community members (6 women) rice production and 9 compost making and souvenir making of CSARO, Phnom Penh

Ecuador Country Visit

Alpaquero, Jesus Yupa, Member, Asociacion Pakarinian Sunicorral Culebrillas
Andrade, Maria, Member representing Indigenous Peoples, SGP National Steering Committee
Aucay, Livia, Member, Comite Promejoras Huasipamba
Aucay, Lubina, Member, Comite Promejoras Huasipamba
Aucay, Lucia, Member, Comite Promejoras Huasipamba
Aucay, Orfelino, Member, Comite Promejoras Huasipamba

Avol, Jorge, Project Coordinator, Asociación de Trabajadores Autónomos “Atapo Quichilán”
 Barriga, Pablo, Assistant, SGP
 Bermeo, Dolores, Member, Comité Promejoras Huasipamba
 Caguana, Francisco, Former President of Community, UCOIT
 Caguana, Miguel, Former Secretary, UCOIT
 Cardenas, Manuel, President of community, Tierra Verde NGO
 Carrera, Marcelo, Technical assistant of Sinchipura and future coordinator of a new SGP project
 Cerda, Lidia Berta, President, Sinchipura
 Cermen, Maria, Member, Maca Atapulo community
 Cevallos, Alfonso, President of Community, Comité Promejoras Huasipamba, and former President of UNOCSI
 Cevallos, Manue, Member, Comité Promejoras Huasipamba
 Chavez, Byron, Member, Comité Promejoras Huasipamba
 Chimbulema, Filipa, Member, Asociación de Trabajadores Autónomos “Atapo Quichilán”
 Chuquimarca, Luis, Member, Asociación de Trabajadores Autónomos “Atapo Quichilán”
 Cislema, Ambrosio, Member, Asociación de Trabajadores Autónomos “Atapo Quichilán”
 Cislema, Armando, Member, Asociación de Trabajadores Autónomos “Atapo Quichilán”
 Cislema, Martina, Member, Asociación de Trabajadores Autónomos “Atapo Quichilán”
 Cislema, Maria Elena, Member, Asociación de Trabajadores Autónomos “Atapo Quichilán”
 Cislema, Maria Piedad, Member, Asociación de Trabajadores Autónomos “Atapo Quichilán”
 Cislema, Naracizo, Member, Asociación de Trabajadores Autónomos “Atapo Quichilán”
 Correa, Edison Gerardo, Former coordinator, Tierra Verde NGO
 Etxarri, Koldo, San Alfonso Community, Savia Roja
 Guaman, Eduardo, Member, Asociación de Trabajadores Autónomos “Atapo Quichilán”
 Guaman, Euralia, Member, Asociación Pakarinian Sunicorral Culebrillas
 Guaman, Gerardina, Member, Comité Promejoras Huasipamba
 Guaman, Juan, Project Coordinator, UCOIT
 Guaman, Juliana, Member, Asociación de Trabajadores Autónomos “Atapo Quichilán”
 Guaman, Zoila, Former President, Corporación de mujeres artesanas de Nizag
 Guaraca Ronndan, Jose, Member, Asociación de Trabajadores Autónomos “Atapo Quichilán”
 Guatatoca, Erica, Member, Sinchipura
 Grefa, Francisco Alvarado, Member, Sinchipura
 Grefa, Juana, Member, Sinchipura
 Hidalgo, Monica, Vice-Minister, Ministry of Environment
 Huerta, Francisco, President of community, Asociación Pakarinian Sunicorral Culebrillas
 Ibarra, Alejandro, M&E Assistant, SGP
 Illescas, Manuel, Environmental promoter, Municipality of Santa Isabel Patricio Ochoa
 Laines, Pedro, Junta Administradora del Sistema Regional de Agua Potable de Valdivia
 Lucero, Carmelina, Member, Comité Promejoras Huasipamba
 Machado, Carmaen, Technical assistant of Naturama phase of Sinchipura
 Medina, Isabel, Member, Comité Promejoras Huasipamba
 Mejia Ana Media, Humberto, Member, Asociación de Trabajadores Autónomos “Atapo Quichilán”
 Mejia Rondan, Jose, Member, Asociación de Trabajadores Autónomos “Atapo Quichilán”
 Mendoza, Fabian, President, Amanecer Campesino
 Mendoza, Maria Antonia, Member, Corporación de mujeres artesanas de Nizag
 Mendoza, Maria Catalina Tapay, Member, Corporación de mujeres artesanas de Nizag
 Mendoza, Maria Martina, Member, Corporación de mujeres artesanas de Nizag
 Merchan, Eva, Member, Comité Promejoras Huasipamba
 Merchan, Humberto, President, UNOCSI

Nivelo, Zoila, President of community, UCOIT
 Orellana, Angel, Former member, SGP National Steering Committee, SCS- CEDENMA
 Paca, Rosa, Teacher, Maca Atapulo community
 Reino, Raquel, SGP Project Coordinator, Amanecer Campesino, and representative for Napo Province
 and secretary of the National Association for the Protection of Gourmet Aromatic Cocoa
 Rendon, Manuel, Field Technician, Amanecer Campesino
 Rivadeneira, Guadalupe, Project Coordinator, Junta Administradora del Sistema Regional de Agua
 Potable de Valdivia
 Rodriguez, Maria, Member, Comité Promejoras Huasipamba
 Rodriguez, Maria Valvina, Member, Comité Promejoras Huasipamba
 Rodriguez, Nestor, Member, Comité Promejoras Huasipamba
 Roldan, Daniel, Member, Asociación de Trabajadores Autónomos “Atapo Quichilán”
 Roldan, Hurelio, Member, Asociación de Trabajadores Autónomos “Atapo Quichilán”
 Rondan, Carmen Rosa, Member, Asociación de Trabajadores Autónomos “Atapo Quichilán”
 Rondan, Elario, Member, Asociación de Trabajadores Autónomos “Atapo Quichilán”
 Rondan, Virgilio, Member, Asociación de Trabajadores Autónomos “Atapo Quichilán”
 Sanchez, Ampartio, Member, Comité Promejoras Huasipamba
 Tanguira, Maria, Member, Sinchipura
 Tapaycela, Felipa Tapay, Member, Corporacion de mujeres artesanas de Nizag
 Tapuy, Maruja, Member, Sinchipura
 Tenenpaguay, Dianita, Member, Asociacion Pakarinian Sunicorral Culebrillas
 Troya, José Vicente, Former UNDP Ecuador
 Vacacela, Maria Presentacion, Member, Corporacion de mujeres artesanas de Nizag
 Valdivieso, Ricardo, GEF Operational Focal Point, Ministry of Environment
 Varea, Ana Maria, National Coordinator, SGP
 Velepucha, Florencia, Member, Comité Promejoras Huasipamba
 Yumbo, Sergio, President, UNIKISPU
 Yunga, Maria Loja Agustina, Member, Asociacion Pakarinian Sunicorral Culebrillas

Jordan Country Visit

Abu Eid, Omar, NSC indigenous people focal person, EU Commission - Jordan
 Abulhawa, Tariq, Project Manager, Integrated Management of Jordan Rift Valley (Full size GEF)
 Al-Adgham, Munir,
 Alatoom, Moh'd, UNDP Jordan
 Ali-Ahmad, Zena, UNDP Country Director
 Al-Kharabsheh, Saleh, OFP, Ministry of Planning & International Cooperation
 Almoumani, Zeinab, President, Specific Union of Women Farmers
 Al-Shudiefat, Mustafa, Researcher, Badia Development Center and Royal Botanic Gardens
 Al Zoubi, Rania, Chief of Party, MercyCorps: Water Demand Management Project. USAID funded
 project
 Ayesha, Mohd, Project Manager, Jordan Royal Botanic Garden
 Fayyad, Khawla, NSC gender focal person, Freelance
 Khaled, Yehya, Royal Society for the Conservation of Nature
 Qudah, Ghaleb, General Manager, Jordan River Foundation
 Shahin, Walid, National Energy Research Center
 Shamoun, Basem, Project Manager, Jordan Hashemite Fund for Human Development JOHUD
 Smady, Jaleeleh, NSC gender focal person, Jordanian Women's Union / Jarash Governorate

Wardam, Batir, "Enabling Activities for the Preparation of Jordan's Third National Communication Report to the UNFCCC" Project - Project Manager
Zawahreh, Adnan, Ministry of Environment

Additional stakeholders were interviewed during each of the field visit to the sampled projects.

Kenya Country Visit

Abdi, Dhahabu Adan, Laikipia Central Community Development Organization (LAICCODO),
Administrative Assistant
Abraham, Wangila, Eco-Ethics International-Kenya, Program's Officer
Ahmed, Abubakar Mohamed, Wasini Beach Management Unit, Chairman
Ali, Amina, Gazi Women Group, Secretary
Ali, Sanura, Wasini Beach Management Unit, Committee Member
Averbeck, Carolin, UNDP, Team Leader, Inclusive Economic Growth & Social Development Unit
Bashir, Sofia Omar, BICODE Community Development, Member
Chege, Florence, SGP NSC, Former Chair
Chege, Nancy, SGP, National Coordinator
County, Keogora, Wasini Beach Management Unit, Fisheries Officer
Daepf, David Daepf, UNOPS, Associate Portfolio Manager, Small Grants Cluster
Fondo, Lucas, Mombasa Kilindini Community Forestry Association (MOKIFA CFA), Chairman
Gakahu, Christopher, UNDP, Head of Unit, Environment and Sustainability
Gathuya, John, UNDP Operations Manager
Gitau, Ayub, SGP NSC Member (University of Nairobi)
Githaiga, David, SGP NSC Member (UNDP)
Gitong, Joseph, Laikipia Central Community Development Organization (LAICCODO), Programme
Officer
Juma, John Bosco, Mombasa Kilindini Community Forestry Association (MOKIFA CFA), Committee
Member
Juma, Omar Abdalla, Wasini Beach Management Unit, Project Manager
Kamau, Bernard, Kijabe Environment Volunteers (Kenvo), Member
Kamau, Stephen Kijabe Environment Volunteers (Kenvo), Member
Kamau, Zipporah M., Kijabe Environment Volunteers (Kenvo), Finance Officer
Kanene, Anthony, Sagana Fish and Bee-Keeping Women Group, Fisheries Officer
Karanja, Alice, Laikipia Central Community Development Organization (LAICCODO), Karanja,
Recipient of Biogas Unit
Karanja, John, United Disability Empowerment Group (UDEK), Project Officer
Karanja, Nicasius, Laikipia Central Community Development Organization (LAICCODO), Recipient of
Biogas Unit
Kariuki, Samson, Laikipia Central Community Development Organization (LAICCODO), Board Secretary
and Technical Advisor on Biogas
Keating, Maria-Threse, UNDP Country Director
Kimani, Jedidah, United Disability Empowerment Group (UDEK), Accountant
Kimata, Salome, United Disability Empowerment Group (UDEK), CEO
Kinyaga, Samson, Ngare Ndare Forest Trust, Accountant
Kinyua, Joshua, Ngare Ndare Forest Trust, Assistant Manager-Field
Kiruguti, Evans, Sales Manager, Elims Food Processors and Distributors
Kiruingi, Margaret, Laikipia Central Community Development Organization (LAICCODO), Board Chair
Kithinji, Dan, SGP NSC, Representing Ms. Agnes Yobterik, MEWNR
Majani, Alice, SGP NSC, Chair
Manyera, James K., Kijabe Environment Volunteers (Kenvo), Environment Education Officer
Masha, Teddy, BICODE Community Development, Member

Matiku, Paul, Nature Kenya, Executive Director
 Mbaabu, Mary, SGP, Program Assistant
 Mbaru, Noel N., Project Coordinator, Mikoko Pamoja, KEMFRI
 Mbugua, Francis, United Disability Empowerment Group (UDEK), Solar Kit Recipient (via telephone)
 Mithamo, Charles, SGP, Driver
 Mohammed, Omondi, Eco-Ethics International-Kenya, Office Administrator
 Muchemi, Julius, ERMIS Africa, Executive Director
 Muiruri, Margaret, Kijabe Environment Volunteers (Kenvo), Intern
 Mukiri, Jackson, UNDP, Program Associate, Program Oversight Management Unit
 Mukowa, Japhet, BICODE Community Development, Member
 Munga, Kitsao C., BICODE Community Development, Machine Operator
 Mungori, Solomon, Ngare Ndare Forest Trust, Senior Warden, KWS
 Muragem Peter, Mt. Kenya Organic Farming (MOOF), Director
 Murigu, John, Sagana Fish and Bee-Keeping Women Group, Manager
 Musa, Muhidin, Wasini Beach Management Unit, Secretary
 Mutimba, Stephen, SGP NSC Member (CAMCO)
 Mwakombe, Daniel, BICODE Community Development, Secretary
 Mwangi, Leah W., Kijabe Environment Volunteers (Kenvo), Project Manager
 Mwaniki, Joel, Kijabe Environment Volunteers (Kenvo), Project Officer
 Nandwa, Douglas, Mombasa Kilindini Community Forestry Association (MOKIFA CFA), Secretary
 Ndegwa, Penninah, Sanitation Activities Fostering Infrastructure (SAFI), Office Assistant
 Nene, Gutum, United Disability Empowerment Group (UDEK), Solar Kit Recipient (via telephone)
 Ngure, Doris , Kilimo Talii Meru South, Regional Coordinator, KENFAP and Manager
 Njuguna, John, Wasini Beach Management Unit, Fisheries officer
 Nyaga, John Mutegi, Kilimo Talii Meru South, Superintendent of Works
 Nyingi, Wanja Dorothy, SGP NSC Member (National Museums of Kenya)
 Otieno, Kenneth, Eco-Ethics International-Kenya, Intern
 Pabari, Mine, SGP NSC Member (IUCN)
 Parsitau, David Phaniel, Sanitation Activities Fostering Infrastructure (SAFI), Project Officer
 Sheikh, Said, Wasini Beach Management Unit, KWS, Kisite
 Tauhida, , Gazi Women Group Chairlady (by telephone)
 Wachira, Simon, SGP NSC Member (Local Coordinator, Mt. Kenya COMPACT Initiative)
 Walubengo, Dominic, Forest Action Network (FAN), Executive Director
 Wambugu, Elizabeth, SGP NSC Member (Kenya Forest Service)
 Wangari, Nelly, Kijabe Environment Volunteers (Kenvo), Member
 Wanjohi, , Ngare Ndare Forest Trust, Driver
 Wanyonyi, Edwin, SGP NSC Member (KWS)
 Wasao, Samson, SGP NSC Member (UNDP/UNEP Poverty and Env. Initiative)
 Yobterik, Agnes, SGP NSC Member (MEWNR)
 , Auntie Mary, Gazi Women Group, Treasurer

Mongolia Country Visit

Bandi, Ganbaatar, SGP Staff
 Battur, Private sector
 Belendalai, Local entrepreneur who replicated good practices in Bayangol
 Chimeg, J, UNDP representative to NSC
 Eriksson, Thomas, UNDP Deputy Resident Representative
 Enkhbat, A., Operational Focal Point
 Munkhchuluun, B, NSC member
 Myadagmaa, GEF/SGP network “Partnership for development” coordinator
 Nasanjargal, Association of national seabuckthron growers
 Tuya, Association of beekeepers in UB

Zundui, Local entrepreneur who replicated good practices in Mandal

Additional stakeholders were interviewed during each of the field visit to the sampled projects.

Mozambique Country Visit

Benhe, Eugenio, ADECH - Associação para o Desenvolvimento Comunitário de Chitondo
Boane, Paula, SGP – Project Assistant
Bombi, Gloria, Associação Janet Mondlane; President
Chichava, Ana, Vice-Minister for the Coordination of Environmental Action - National GEF Political Focal Point
Correia, Augusto, SGP (Ex.officio) NSC youth focal member
Prof. Cuamba, Boaventura, UEM
Dixon, Richard, IUCN Mozambique
Janeiro, Avelino, UNDP
Maibaze, Ivete, MICOA (Ministry of Environmental Affairs) – Direcção Nacional de Promoção Ambiental; National Director
Manjate, Telma, GEF Technical OFP, MICOA (Ministry of Environmental Affairs); Head Cooperation Department
Mulhovo, Felisberto, Sociedade Aberta (Maputo Province NGOs Forum); Coordinator
Ntumi, Cornelio, Academy – UEM
Pereira, Pedro, NSC focal point on indigenous issues
Romão, Paulo, NSC Chairman
Saide, Zuleika, NSC gender focal member
Sousa, Paulo, GAPI SA (Sociedade de Apoio ao Investimento); Programme Officer
Vaz, Nádía, UNDP

Additional stakeholders were interviewed during each of the field visit to the sampled projects.

Pakistan Country Visit

Akhtar, Rubina, Member National Steering Committee, SGP, (Principal Scientific Officer, National Herbarium, NARC, Government of Pakistan)
Bukhari, Syed Nadeem, NSC Member, SGP (National Programme Officer, Inter Cooperation)
Hayat, Muhammad Fawad, Programme Coordinator, GEF, GEF Cell, Ministry of Climate Change
Jamy, Gul Najam, Assistant Country Director/Chief, Environment and Climate Change Unit, UNDP
Lohar, Masood, National Coordinator, SGP
Mansoor, Aadil, Chief, Strategic Management Unit, UNDP
Mahesar, Aijaz, GEF Board member, Ex-PD PHC (current Project Director, Community Development Programme, Government of Sindh)
Raza, Ghazala, Senior Programme Officer, GEF, GEF Cell, Ministry of Climate Change
Ullah, Saleem, Programme Officer, Environment and Climate Change Unit, UNDP
Viennings, Tracy, Deputy Country Director (DCD), Programme, UNDP

Panama Country Visit

Bejarano, Gloria, SGP National Steering Committee
Ben, Franklin Kwai, Science Director from ARAP
Bovarnick, Andrew, UNDP Global Head – Green Commodities Facility & Lead Natural Resource Economist
Britton, Elvin, CATIE

Cambra, Gina, IABD (telephone conference)
 Castro, Guillermo, Fundación Ciudad del Saber
 Didier, Gisele, UNDP Environment and Poverty Officer
 Dominici, Arturo, Executive Director, RAMSAR Regional Center for Training and Research on Wetlands
 in the Western Hemisphere
 Endara, Mirei, Former NSC member and designated Ministry of Environment
 Fernández, Maria, UNDP Gender Officer
 Herrera, Abraham, Director, ANAM, current GEF Operational Focal Point
 Herrera, Francisco, SGP National Steering Committee
 Hiraldo, Fernando, UNDP Deputy Resident Representative
 Lee, Duly, Founder and Director of Festival Abierto
 Lozano, Lourdes, SGP National Steering Committee
 Maté, Juan, SGP National Steering Committee
 Montañez, Rosa, Executive Director, Fundación Natura
 Paz, Clea, Regional Technical Advisor, UN-REDD+ Programme, Panama
 Pérez, José Manuel, UNDP Programme Officer and UNDP NSC Member (ex SGP National Coordinator)
 Pinedo, Raúl Director, ANAM, previous GEF Operational Focal Point and current GEF Council member
 for the GEF Central America Constituency
 Pinzón, Zuleika, SGP National Steering Committee; Designated ANAM Protected Area National Director
 Santiago, Martin, UNDP Resident Representative for Panama
 Santos, José Arturo, Regional Technical Specialist in Stakeholder Engagement
 Schmidt, Beatriz, SGP National Coordinator
 Sousa, Valia, SGP National Steering Committee
 Valdez, Carla, SGP Programme Assistant
 Young, Annie, Director of ECO Circuitos Panama

Additional stakeholders were interviewed during each of the field visits to the sampled projects.

Peru Country Visit

Álvarez, Yerik , Member of CBO, OCB Asociacion Marjawl de Sigwas
 Amachi, Hilarya Rosa Medina, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)
 Amasifuen, Adeli Sangama, OCB member, Non-Governmental Rural Assosiation Choba Choba
 Amasifuen, Efrain Sangama President of project committee in Narjanjal, Non-Governmental Rural
 Assosiation Choba Choba
 Amasifuen, Juoiy Sangama, OCB member, Non-Governmental Rural Assosiation Choba Choba
 Amasifuen, Margarita Salas, OCB member, Non-Governmental Rural Assosiation Choba Choba
 Amasifuen, Maria Jesus Salas , OCB member, Non-Governmental Rural Assosiation Choba Choba
 Amasifuen, Maria Milagros Sangama, OCB member, Non-Governmental Rural Assosiation Choba Choba
 Amasifuen, Narcisa Sangama, OCB member, Non-Governmental Rural Assosiation Choba Choba
 Amasifuen, Segundo Guerra, OCB member, Non-Governmental Rural Assosiation Choba Choba
 Ames, Ema, Ex- member of MUTUA (OCB Mujeres Trabajadoras de agricultura urbana agroecologica
 de los CPRs Curva, Zapata, San Juan y Puente Machay - MUTAUA), now leader of new OCB
 AFFEVAP
 Amesquita, Agripina Miranda, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)
 Amesquita, Erminia Miranda, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)
 Amsquita, Juana Miranda, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)
 Amesquita, Maria Miranda, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)
 Anagua, Silvestre, Member of CBO / fisherman, OCB Asociacion de pescadores artesanales "Virgen de
 Chapi" Los Palos – Tacna
 Aquino, Benegno Mayta, Member of OCB peasant Yauli - Jauja - Junin
 Aquino, Donato V. Aquino, Member of OCB peasant Yauli - Jauja - Junin

Aquino, Cesario Aquino, Member of OCB peasant Yauli - Jauja - Junin
 Aquino, Cliserio Rupay, Member of OCB peasant Yauli - Jauja - Junin
 Aquino, Eulalia Limache, Member of OCB peasant Yauli - Jauja - Junin
 Aquino, Fabián Rupay, Member of OCB peasant Yauli - Jauja - Junin
 Aquino, Flavio Rafael , Member of OCB peasant Yauli - Jauja - Junin
 Aquino, Heraclea Limache, Member of OCB peasant Yauli - Jauja - Junin
 Aquino, Isaías Aquino, Member of OCB peasant Yauli - Jauja - Junin
 Aquino, Juan, Mayor - El Juli
 Aquino, Julián Hilario, Member of OCB peasant Yauli - Jauja - Junin
 Aquino, Leoncio Aquino, Member of OCB peasant Yauli - Jauja - Junin
 Aquino, Marleni Maita, Member of OCB peasant Yauli - Jauja - Junin
 Aquino, Olimpia Aquino, Member of OCB peasant Yauli - Jauja - Junin
 Aquino, Oracio Aquino, Member of OCB peasant Yauli - Jauja - Junin
 Aquino, Oracio Bullón, Member of OCB peasant Yauli - Jauja - Junin
 Aquino, Reyda Rojas, Member of OCB peasant Yauli - Jauja - Junin
 Aquino, Rosana Escobar, Member of OCB peasant Yauli - Jauja - Junin
 Aquino, Tolomeo Rojas, Member of OCB peasant Yauli - Jauja - Junin
 Aquino, Urbano Rojas, Member of OCB peasant Yauli - Jauja - Junin
 Aquino, Wilder Rupay, Member of OCB peasant Yauli - Jauja - Junin
 Aquino, Walter García, Member of OCB peasant Yauli - Jauja - Junin
 Aquino, Wilton Aquino, Member of OCB peasant Yauli - Jauja - Junin
 Aguilar, Domingo, Member of OCB peasant Yauli - Jauja - Junin
 Arevalo, Arturo, Tecnico del Proyecto, Non-Governmental Rural Assosiation Choba Choba
 Arias, Hugo, OCB member, OCB Comunidad campesina de Paltarumi
 Arias, Ninfa, AETSH member (OCB Asociacion Ecologica y turistica Sol de Huaycan)
 Arias, Rebeca, Peru UNDP representative
 Arias, Susi, AETSH member (OCB Asociacion Ecologica y turistica Sol de Huaycan)
 Arias, Telmo, AETSH member (OCB Asociacion Ecologica y turistica Sol de Huaycan)
 Arroyo, Rupay Fernando, Member of OCB peasant Yauli - Jauja - Junin
 Atencio, Cirila Alberto, President ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos - ASARCUK)
 Aylas, Julián Quito, Member of OCB peasant Yauli - Jauja - Junin Apaza, Felipita Cama, OCB President, OCB Asociacion de mujeres Musuq Illari
 Barja, Antonio Escobar, Member of OCB peasant Yauli - Jauja - Junin
 Barja, Celestino León, Member of OCB peasant Yauli - Jauja - Junin
 Barja, Daniel Pérez, Member of OCB peasant Yauli - Jauja - Junin
 Barja, Maximiliana Aquino, Member of OCB peasant Yauli - Jauja - Junin
 de Barja, Francisca Rosales, Member of OCB peasant Yauli - Jauja - Junin
 Bustamante, Emilia, SGP Coordinator
 Bullon, Felidor, Member of OCB peasant Yauli - Jauja - Junin
 Beekeepers Committee, Asociacion Comunitaria de Gestion Turistica
 Cáceres, Julio Barrios, Project Coordinator, OCB Asociacion Marjawl de Sigwas
 Cáceres, Laura Deysi Barrios Member of CBO, OCB Asociacion Marjawl de Sigwas
 Cáceres, Carmen Cáceres, Member of CBO, OCB Asociacion Marjawl de Sigwas
 Cacifique, Mauro Sangama, OCB member, Non-Governmental Rural Assosiation Choba Choba
 Cachique, Natividad Sangama, OCB member, Non-Governmental Rural Assosiation Choba Choba
 Cachique, Prudencio Guerra, President of project committee in Inoyaco, Non-Governmental Rural Assosiation Choba Choba
 Cachique, Percy Tapullima, OCB member, Non-Governmental Rural Assosiation Choba Choba
 Caja, María Casimiro, Member of OCB peasant Yauli - Jauja - Junin
 Canchi, Aguida, Member involved in bio orchards activities, NGO IMAGEN
 Caovique, Lisbeth Caovique, OCB member, Non-Governmental Rural Assosiation Choba Choba

Casimiro, Paolo Espinosa, Member of OCB peasant Yauli - Jauja - Junin
 Casimiro, Silvino Aquino, Member of OCB peasant Yauli - Jauja - Junin
 Carbajal, Rosa Mamani, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)
 Carbajal, Erminia Merma, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)
 Carbajal, Vilma Merma, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)
 Catacora, Lessi, Project technical coordinator, OCB Asociacion Marjawl de Sigwas
 Catacora, Lessi, Project technical coordinator, OCB Asociacion de pescadores artesanales "Virgen de Chapi" Los Palos – Tacna
 Casimiro, Enrique Aquino, Member of OCB peasant Yauli - Jauja - Junin
 Casimiro, Rolanda, Member of OCB peasant Yauli - Jauja - Junin
 Casimiro, Nasaria Uscovilca, Member of OCB peasant Yauli - Jauja - Junin
 Castelo, Maria , Director of NGO IMAGENCastro, Virginia Mamanchura, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)
 Ccopa, Jacinta Miranda, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)
 Ccopa, Julia Huaracho, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)
 Ccopa, Sofia Miranda, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)
 Chavarria, Basilia, AETSH member (OCB Asociacion Ecologica y turistica Sol de Huaycan)
 Chipania, Francisca, AETSH member (OCB Asociacion Ecologica y turistica Sol de Huaycan)
 Checalla, Fermina Ranos, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)
 Chura, Rocio, Project coordinator -technical assistace, OCB Asociacion de mujeres Musuq Illari
 Choque, Fredy, OCB member, OCB Comunidad campesina de Paltarumi
 Club of Bio-Horchards, Asociacion Comunitaria de Gestion Turistica
 Condori, Elias Huallpa, Member of CBO / fisherman, OCB Asociacion de pescadores artesanales "Virgen de Chapi" Los Palos – Tacna
 Condori, Margarita Huamán, Member involved in bio orchards activities, NGO IMAGEN
 Cunyas, Emiliana, Treasurer of community mosses enterprise, OCB Comunidad campesina de Paltarumi
 Cunyas, Donato, President OCB, Comunidad campesina de PaltarumiCollachahua, Betty Aquino, Member of OCB peasant Yauli - Jauja - Junin
 De Laurente, Ana María Loayza, NCS member / OBS - civil society
 Delgado, Jaime, Congressman. Consumer rights representative
 Director, AIFUCO (Asociacion Indigena Fuerza y Coraje" para el desarrollo de nuestras comunidades)
 Enriquez, Porfirio, Strategic Alpaca Projects, Strategic Projects Coordinator
 Escapa, Arturo Arenas, Member of CBO / fisherman, OCB Asociacion de pescadores artesanales "Virgen de Chapi" Los Palos – Tacna
 Escapa, Samuel Arenas, Member of CBO / fisherman, OCB Asociacion de pescadores artesanales "Virgen de Chapi" Los Palos – Tacna
 Ensiro, Emeliana Mamanchura, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)
 Escobar Jesús, García, Member of OCB peasant Yauli - Jauja - Junin
 Escobar, Rubén Lira, Member of OCB peasant Yauli - Jauja - Junin
 Ferrando, Maria Elena, Ex - NCS member NGO representative
 Flores, Bonifacio, OCB director and project coordinator OCB Asociacion Ecologica y turistica Sol de Huaycan – AETSH
 Flores, Digna Aruhanca, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)
 Flores, Ferrer, AETSH member (OCB Asociacion Ecologica y turistica Sol de Huaycan)
 Flores, Janeth Huaracha, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)
 Garcia, Alfonso, Tecnico del Proyecto, Non-Governmental Rural Assosiation Choba Choba
 Garcia, José Aquino, Member of OCB peasant Yauli - Jauja - Junin
 García, Margarita Huánuco, Member of OCB peasant Yauli - Jauja - Junin
 Gomez, Edith, OCB member, OCB Comunidad campesina de Paltarumi
 Gomez, Jose, Member of CBO / fisherman, OCB Asociacion de Camaron Jose Olaya
 Gomez, Junior , Member of CBO / fisherman, OCB Asociacion de Camaron Jose Olaya
 Gonzalez, Cecilia, COGETUR (Asociacion Comunitaria de Gestion Turistica) President

González, José Antonio, NCS member -GEF OPF - Vice Minister of Environment (International Cooperation)

Guevara, Juan Torres, NCS member/ (Dry Ecosystems)

Guaman, Edwin, OCB member, OCB Comunidad campesina de Paltarumi
de Guaman, Francisca, OCB member, OCB Comunidad campesina de Paltarumi

Guerra, Dolores Amasifuen, OCB member, Non-Governmental Rural Association Choba Choba

Hermenio, Condori, Member of CBO / fisherman, OCB Asociacion de pescadores artesanales "Virgen de Chapi" Los Palos - Tacna

Herrera, Maday, Member of Guide Committee, Asociacion Comunitaria de Gestion Turistica

Huaccho, Donato Rafael, Member of OCB peasant Yauli - Jauja - Junin

Huamán, Carmen Quelca, Member involved in Alpacas activities, NGO IMAGEN

Huaman, Inés Anglas, Member of OCB peasant Yauli - Jauja - Junin

Huamán, Miguel, Member of OCB peasant Yauli - Jauja - Junin

Huamán, Rosalvina Aquino, Member of OCB peasant Yauli - Jauja - Junin

Huaraya, Adriana Checalla, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)

Huarcaya, Delfina, OCB member, OCB Comunidad campesina de Paltarumi

Huarcaya, Gisela, OCB member, OCB Comunidad campesina de Paltarumi

Huarcaya, Lucas, OCB member, OCB Comunidad campesina de Paltarumi

Huarcaya, Marcelino, Treasurer OCB, Comunidad campesina de Paltarumi

Huarcaya, Remata, OCB member, OCB Comunidad campesina de Paltarumi

Huarcaya, Silvia, OCB member, OCB Comunidad campesina de Paltarumi

Huilca, Eduardo Condori, Member involved in native potatoes activities, NGO IMAGEN

Jorge, Dina Rodrigues, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)

Jorge, Nola Rodriguez, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)

Juárez, Edwin Cueva, Project Coordinator -Technical assistant, OCB Asociacion Marjawl de Sigwas
Instituto Para El Desarrollo y la Paz Amazonica, Members of OCBs

Julcarima, Alina Casimiro, Member of OCB peasant Yauli - Jauja - Junin

Julcarima, Nela Casimiro, Member of OCB peasant Yauli - Jauja - Junin

Julcarima, Damián, Member of OCB peasant Yauli - Jauja - Junin

Julcarima, Nela Casimiro, Member of OCB peasant Yauli - Jauja - Junin

Laureaceo, Pedro, NGO director and project coordinator, OCB Instituto de Educacion Rural (IER), Juli, Puno

Lay, Roberto, Project Coordinator - TA, Instituto Para El Desarrollo y la Paz Amazonica

León, Leiber López, Member of OCB peasant Yauli - Jauja - Junin

Leslie, James, UNDP technical advisor for the official of Environment and Energy

Limache, Fermín, Member of OCB peasant Yauli - Jauja - Junin

Lodging Committee, Asociacion Comunitaria de Gestion Turistica

Lopez, Vicio, AETSH member (OCB Asociacion Ecologica y turistica Sol de Huaycan)

Mamani, Antonia Project coordinator -technical assistace. OCB Asociacion de Artesanos Cuna de Kajelos - ASARCUK

Mamani, Cirila Ramos, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)

Mamani, Edwin, Member of CBO / fisherman, OCB Asociacion de Camaron Jose Olaya

Mamani, Edilberto, Member of CBO / fisherman, OCB Asociacion de Camaron Jose Olaya

Mamani, Elber, Secretary of board of directors, OCB Asociacion de Camaron Jose Olaya

Mamani, Guillermo Pucho, Mayor of Sigwas District, OCB Asociacion Marjawl de Sigwas

Mamani, Ignacio, Member of CBO / fisherman, OCB Asociacion de Camaron Jose Olaya

Mamani, Marcos Rojo, Member involved in Alpacas activities, NGO IMAGEN

Mamani, Walter, Vicepresident of CBO, OCB Asociacion de Camaron Jose Olaya

Mamanti, Natalia, Member of Board of Directors, OCB Asociacion de Camaron Jose Olaya

Manzano, Carmen Alberto, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)

Martinez, Genovesa, Member of MUTUA (OCB Mujeres Trabajadoras de agricultura urbana agroecologica de los CPRs Curva, Zapata, San Juan y Puente Machay)

Mayor of Lagunillas
 Mayta, German, President of community mosses enterprise, OCB Comunidad campesina de Paltarumi
 Mayor of San Martin, Peru
 Medina, Patricia, Ex - coordinator comercialization SGP OCB APREPOECO and ex-coordinator of SGP project in Motupe
 Meiss, Louis Masson, NCS member/ (NGO ONAREN)
 Merma, Sabina Jorge, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)
 Miranda, Antonia Samalloa, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)
 Montalvo, Clímaco Huamán, Member of OCB peasant Yauli - Jauja - Junin
 Ñaupari, Walter Marcos, Member of OCB peasant Yauli - Jauja - Junin
 OCB Asociacion de mujeres Musuq Illari – Other members of CBO
 OCB Instituto de Educacion Rural (IER), Juli, Puno - Members of CBO
 Osorio, Luis Gomero, Strategic Potatoes and aquaculture projects - ex NCS member - Director of Organic Agriculture network RAAA, Strategic Projects Coordinator
 Palomino, Edilberto Aquino, Member of OCB peasant Yauli - Jauja - Junin
 Panduro, Rider, NGO Director - Project coordinator - TA, Non-Governmental Rural Association Choba Choba
 Parra, Fabiola, Strategic Dry Ecosystem Projects, Strategic Projects Coordinator
 Paucar, Nicolás Aquino, Member of OCB peasant Yauli - Jauja - Junin
 Paye, Teodora, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)
 Perca, Faustin, President of CBO, OCB Asociacion de Camaron Jose Olaya
 Pérez, Josefa Rojas, NCS member/ (Gender)
 Pérez, Jaqueline Yarihuaman, Member of OCB peasant Yauli - Jauja - Junin
 Pilco, Calixto Quishpe, Project technical coordinator, OCB Asociacion de Camaron Jose Olaya
 Pino, Euangelina Espinoza, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)
 Pinto, Emilia, Member of OCB peasant Yauli - Jauja - Junin
 Pinto, Elvira, Member of OCB peasant Yauli - Jauja - Junin
 Pizarro, Marcelo, Project coordinator - TA contracted by AIFUCO (Asociacion Indigena Fuerza y Coraje" para el desarrollo de nuestras comunidades)
 Poma, Jorge Luis, Vice-president of CBO, OCB Asociacion de pescadores artesanales "Virgen de Chapi" Los Palos - Tacna
 Ponce, Rodrigo, Project Coordinator - TA, Asociacion Comunitaria de Gestion Turistica
 President Club de madres campesinas, Asociacion Comunitaria de Gestion Turistica
 Quijandría, Gabriel, GEF PFP - Vice Minister or Environment (NNRR and Sustainable Development)
 Quispe, Elvis Condori, Member involved in native potatoes activities, NGO IMAGEN
 Quispe, Elizabeth, Member involved in bio orchards activities, NGO IMAGEN
 Quispe, Narcisa Huamán, Member involved in bio orchards activities, NGO IMAGEN
 Quito, Inocenta, Member of OCB peasant Yauli - Jauja - Junin
 Quito, Herminio, Member of OCB peasant Yauli - Jauja - Junin
 Quito, Nilton, Member of OCB peasant Yauli - Jauja - Junin
 Quspes, Norma Blanca Paredes, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)
 Rafael, A. Gerardo, Member of OCB peasant Yauli - Jauja - Junin
 Rafael, Clever, Member of OCB peasant Yauli - Jauja - Junin
 Rafael, Dany Aquino, Member of OCB peasant Yauli - Jauja - Junin
 Rafael, Guilber, Member of CBO / fisherman, OCB Asociacion de pescadores artesanales "Virgen de Chapi" Los Palos – Tacna
 Ramos, Violeta Alberto, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)
 Ramos, Maria Valentina, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)
 de Ramos, Prodenia Salina, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)
 Ramos, Tomasa Ticona, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)
 Ramirez, Meguelina Gonzales, Member of OCB peasant Yauli - Jauja - Junin
 Regional Director of Tourism of San Martin, Peru

Rivera, Margarita, OCB member, OCB Comunidad campesina de Paltarumi
Rojas, Rosa Luz Mesa , Member of OCB peasant Yauli - Jauja - Junin
Rojo, Fortunato Espinoza, Member involved in native potatoes activities, NGO IMAGEN
Rojo, Hilario Condori, Member involved in Alpacas activities, NGO IMAGEN
Rojo, Toribio Huamán, Member involved in Alpacas activities, NGO IMAGEN
Rodrigues, Asunta Ramos, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)
Romero, Lorenza Rafael, Member of OCB peasant Yauli - Jauja - Junin
Romero, Fabio Aquino, Member of OCB peasant Yauli - Jauja - Junin
Ronceros, Geovana, Secretary of OCB MUTUA (OCB Mujeres Trabajadoras de agricultura urbana agroecologica de los CPRs Curva, Zapata, San Juan y Puente Machay)
Rosales, Alex Lira, Member of OCB peasant Yauli - Jauja - Junin
Rosales, Nilton Lira, Member of OCB peasant Yauli - Jauja - Junin
Rosales, Pedro león, Member of OCB peasant Yauli - Jauja - Junin
Rosales, Sayuri Mayta, Member of OCB peasant Yauli - Jauja - Junin
Rossell. Luis Cuba, Member of CBO, OCB Asociacion Marjawl de Sigwas
Rupay, Gelmer Yarihuaman, Member of OCB peasant Yauli - Jauja - Junin
Rupay, Nicolás Rafael, Member of OCB peasant Yauli - Jauja - Junin
Rupay, Pablo Rafael, Member of OCB peasant Yauli - Jauja - Junin
Rupay, Rolanda Casimiro, Member of OCB peasant Yauli - Jauja - Junin
Rupay, Sabino Vargas, Member of OCB peasant Yauli - Jauja - Junin
Rupay, Walter Romero, Member of OCB peasant Yauli - Jauja - Junin
Salanocca, Santos, Member involved in Alpacas activities, NGO IMAGEN
Salas, Carlos Amasfuen, OCB member, Non-Governmental Rural Assosiation Choba Choba
Salas, Eluina Sangama, OCB member, Non-Governmental Rural Assosiation Choba Choba
Salas, Mauro, President of project committee in Solo, Non-Governmental Rural Assosiation Choba Choba
Sinarahua, Norma Ishuiza, OCB member, Non-Governmental Rural Assosiation Choba Choba
Salinas, Julia Ramos, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)
Salinas Primitiva, Ramos, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)
Salvador, Milagros, Member of MUTUA (OCB Mujeres Trabajadoras de agricultura urbana agroecologica de los CPRs Curva, Zapata, San Juan y Puente Machay)
Sambrano, Silvia Ramirez, Member of OCB peasant Yauli - Jauja - Junin
Sanchez, Jose, Treasurer Board of directors, OCB Asociacion de Camaron Jose Olaya
Sanchez, Rosa, OCB member, OCB Comunidad campesina de Paltarumi
Sangama, Aneldo Sangama, President of project committee in alto Cumbaza, Non-Governmental Rural Assosiation Choba Choba
Sangama, Angel, President of project committee in Aviacion, Non-Governmental Rural Assosiation Choba Choba
Sangama, Adilia Amasifuen, OCB member, Non-Governmental Rural Assosiation Choba Choba
Sangama, Alcides Sangama, OCB member, Non-Governmental Rural Assosiation Choba Choba
Sangama, Gunter Sangama, OCB member, Non-Governmental Rural Assosiation Choba Choba
Sangama, Hilter Sangama, OCB member, Non-Governmental Rural Assosiation Choba Choba
Sangama, Marceni Pashanasi, OCB member, Non-Governmental Rural Assosiation Choba Choba
Sangama, Margarita Tapullima, OCB member, Non-Governmental Rural Assosiation Choba Choba
Sangama, Natividad Sangama, OCB member, Non-Governmental Rural Assosiation Choba Choba
Sangama, Nelson Sangama, OCB member, Non-Governmental Rural Assosiation Choba Choba
Sangama, Vidauro Sinarahua, OCB member, Non-Governmental Rural Assosiation Choba Choba
Sardon, Doris Medina, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)
Sazas, Maruja Ramos, Member ASARCUK (OCB Asociacion de Artesanos Cuna de Kajelos)
Silva, Teresa Gianella NCS member/Organic Agriculture and Sustainable Development
Sotomayor, Jhulino, SGP Technical Assistant
Tapullima, Celinda angama, OCB member, Non-Governmental Rural Assosiation Choba Choba

Tapullima, Humberto Tapullima, OCB member, Non-Governmental Rural Association Choba Choba
 Tapullima, Jenny Cachique, OCB member, Non-Governmental Rural Association Choba Choba
 Tapullima, Pedro Sangama, President of project committee in Bajo Pucallpa, Non-Governmental Rural
 Association Choba Choba
 Ticona, Agustina, Fiscal of Board of Directors (fisherwoman), OCB Asociacion de Camaron Jose Olaya
 Torres, Cleto, Project coordinator - TA from IMAGEN
 Torres, Linda, President Committee Food San Roque, Asociacion Comunitaria de Gestion Turistica
 Torres, Sr. Ex-Mayor of Tacna
 Treboucq, Didier, Peru UNDP Deputy Director
 Uscuvilca, Yesenia Medina, Member of OCB peasant Yauli - Jauja - Junin
 Uscubilca R, Eustaqui , Member of OCB peasant Yauli - Jauja - Junin
 Vaca, Alejandro, President of AFFEVAP
 Vaca, Jose, Member of AFFEVAP
 Vega, Julio, Army Captain, OCB Asociacion Marjawl de Sigwas
 Vélez, Basilia, Member of OCB peasant Yauli - Jauja - Junin
 Ventura, Olga Abad, Member of OCB peasant Yauli - Jauja - Junin
 Yanquebilca, Rogelio, Member of CBO / fisherman, OCB Asociacion de pescadores artesanales "Virgen
 de Chapi" Los Palos - Tacna
 Yarihuaman, Teófilo Aquino, Member of OCB peasant Yauli - Jauja - Junin
 Yarihuaman, Alejandro, Member of OCB peasant Yauli - Jauja - Junin
 Yarihuaman, Gaytano Rupay, Member of OCB peasant Yauli - Jauja - Junin
 Yarihuaman, Máximo Rupay, Member of OCB peasant Yauli - Jauja - Junin
 Yaringaño, Felimon Aquino, Member of OCB peasant Yauli - Jauja - Junin
 Yaringaño, Faustino García, Member of OCB peasant Yauli - Jauja - Junin
 Yartihuaman, Clodualdo, Member of OCB peasant Yauli - Jauja - Junin
 Zacarias, Isaías Pizarro, Member of OCB peasant Yauli - Jauja - Junin
 Zacarias, Reyna Simeón, Member of OCB peasant Yauli - Jauja - Junin
 Zavaleta, Cristina, Member involved in bio orchards activities, NGO IMAGEN
 Zuñiga, Dominga, Project coordinator -technical assistace. OCB Comunidad campesina de Paltarumi

Senegal Country Visit

Ba, Colonel Demba Mamadou, Director General, Agence nationale des Ecovillages
 Ba, Abdoulaye, Member, Association Réveil de Dagana
 Basse, Famara, President, Association for the Development of the District of Fimela (119 villages)
 Boye, Yarame, GIE Borom Daradj de Ndiaye
 Camara, Maimouna, GIE Mbella Gorum (Dassilamé Sérère)
 Cheikh Wade: Président, Comité intervillageois du Lac Tamna
 Cissé, Capitaine Bafodé, Warden, Palmarin Community Natural Reserve (former Warden of the Saint
 Louis Marine Protected Area)
 Cissé, Diamé, President, Inter-Village Committee, Projet de développement de l'écotourisme dans la
 réserve de Biosphère sud du Delta du Saloum, Missirah
 Cor, Amy, GIE Mbella Gorum (Dassilamé Sérère)
 Core, Fatou, GIE Mbella Gorum (Dassilamé Sérère) Ciss, Babacar, Member of National Steering
 Committee
 Demba, Aissatou, GIE Mbella Gorum (Dassilamé Sérère)
 Dia, Aminata, GIE Mbella Gorum (Dassilamé Sérère)
 Diakham, Ndoné, GIE Mbella Gorum (Dassilamé Sérère)
 Dial, Pape Abdoulaye, Treasurer, Association Réveil de Dagana
 Dial, Samba Aby, President, Monitoring Committee, Association Réveil de Dagana
 Diallo, Awa, GIE Mbella Gorum (Dassilamé Sérère)
 Diallo, Asreth, President, Monitoring committee, GIE Borom Daradj de Ndiaye

Diallo, Abdoulaye, Chief, Village of Goumel
 Diallo, Cheikh Amadou, Assistant Warden, Langue de Barbarie National Park
 Diallo, Djiby, member, Association Réveil de Dagana
 Diallo, Ismael, Director, Global Eco-village Network, Senegal (GEN/SEN)
 Diallo, Mairame, Inter-Village Association of the Ndiaël (AIV-Ndiaël)
 Diagne, Amadou Lamine, Director, Green Financing and Partnerships, Ministry of the Environment and Sustainable Development
 Diagne, Seynabou, eco-guard Langue de Barbarie National Park
 Diagne, Niaja, GIE Takku Liggey
 Diamé, Amina, GIE Mbella Gorum (Dassilamé Sérère)
 Diamé, Awa, GIE Mbella Gorum (Dassilamé Sérère)
 Diamé, Khady, GIE Mbella Gorum (Dassilamé Sérère)
 Diamé, Mba Kady, GIE Mbella Gorum (Dassilamé Sérère)
 Diamé, Satou, GIE Mbella Gorum (Dassilamé Sérère)
 Dianké, Aida, GIE Mbella Gorum (Dassilamé Sérère)
 Dianko, Dialika, GIE Mbella Gorum (Dassilamé Sérère)
 Diara, Mariline, Director, Direction of Environment and Classified Establishments, Ministry of Environment and Sustainable Development, and GEF Operational Focal Point
 Diass, Yacine, GIE Borom Daradj de Ndiaye
 Diassy, Bineta, GIE Mbella Gorum (Dassilamé Sérère)
 Diatta, Maimouna, GIE Mbella Gorum (Dassilamé Sérère)
 Diatta, Mariama, GIE Mbella Gorum (Dassilamé Sérère)
 Diatta, Seynabou, GIE Mbella Gorum (Dassilamé Sérère)
 Dieng, Birama, Regional Inspector, Waters and Forests
 Dieng, Maty Diama, GIE Takku Liggey
 Dieye, Dial, GIE Takku Liggey
 Diémé, Seydou, President, NGO ADT GERT
 Diakhaté, Magatte, President, GIE Aly Thiaba (solar cooker project), Pire Gourèye
 Diaw, Magatte, President of RENPEM (Réseau Nord pour la Protection de l'Environnement Mondial)
 Diaw, Maguette, GIE Suxali AMP/Saint Louis
 Dieng, Malick, GIE Suxali AMP/Saint Louis
 Diol, Thiauwda, GIE Borom Daradj de Ndiaye
 Diop, Babacar, Secretary, Association Réveil de Dagana
 Diop, Colonel Abdoulaye, Director, Direction of Protected Community Marine Areas
 Diop, Diary, GIE Borom Daradj de Ndiaye
 Diop, Khady, GIE Takku Liggey
 Diop, Lamine, Member, Association Réveil de Dagana
 Diop, Macoumba, Facilitator, Gie des femmes de Thiaroye
 Diop, Mamadou Yero, Member, Association Réveil de Dagana
 Diop, M. Manager, Savings and Credit Mutuel, Community Natural Reserve, Gandon
 Diop, Ndeye Salla, GIE Takku Liggey
 Diop, Ndioke, eco-guard Langue de Barbarie National Park
 Diop, Yabe, GIE Borom Daradj de Ndiaye
 Diouck, Anta, eco-guard Langue de Barbarie National Park
 Diouf, Amadou Matar, Programme Coordinator, IUCN
 Diouf, Banna, Treasurer, GIE Mbella Gorum (Dassilamé Sérère)
 Diouf, Moussa, Coordinator, Agence Nationale des Ecovillages (ANEV)
 Diouf, Fatou, GIE Mbella Gorum (Dassilamé Sérère)
 Diouf, Gnima, GIE Mbella Gorum (Dassilamé Sérère)
 Diouf, Khady, GIE Mbella Gorum (Dassilamé Sérère)
 Diouf, Maïmouna, Secretary, GIE Suxali AMP/Saint Louis
 Diouf, Madelaine, ROPEM: Projets de documentation et de suivi des projets PMF/FEM, Fimela

Dramé, Baba, Technical Advisor, Direction of Environment and Classified Establishments, Ministry of Environment and Sustainable Development

Fall, Amina, GIE Borom Daradj de Ndiaye

Fall, Arona, eco-guard Langue de Barbarie National Park

Fall, Arona, Former Programme Officer, UNDP

Fall, Bara, Municipal Councillor, Gae, Association Réveil de Dagana

Fall, Fatou, GIE Mbella Gorum (Dassilamé Sérère)

Fall, M., Inter-Village Association of the Ndiaël (AIV-Ndiaël)

Fall, Magatte, GIE Takku Liggey

Fall, Rokhayatou, Programme Officer, European Union (former SGP Programme Assistant and gender focal point)

Fall, Sidy, Technical Director, Office of the Guiers Lake

Faye, Mame Abdou, Project Coordinator (wetlands policy), National Park Directorate, Ministry of Environment and Sustainable Development

Faye, Seynabou, GIE Mbella Gorum (Dassilamé Sérère)

Gaye, Awa, President of the association GIE Borom Daradj de Ndiaye

Gaye, Fatou, President, Gie des femmes de Thiaroye

Gaye, Ndeye, Inter-Village Association of the Ndiaël (AIV-Ndiaël)

Gaye, Tacko, GIE Borom Daradj de Ndiaye

Gaye, Thiarda, GIE Borom Daradj de Ndiaye

GIE Aly Thiaba (solar cooker project), Pire Gourèye – several other community members

Gora Gueye: secretaire, Comité intervillageois du Lac Tamna

Goudiaby, Assane, Member of National Steering Committee

Guèye, Aissitou, GIE Borom Daradj de Ndiaye

Guèye, Anta Ngoma, GIE Borom Daradj de Ndiaye

Guèye, Arame, GIE Borom Daradj de Ndiaye

Guèye, Ibrahima, President, Projet de renforcement des capacités des OSC locales partenaire du PMF et autres Acteurs intervenant dans l'environnement

Guèye, Marame, GIE Borom Daradj de Ndiaye

Guèye, Natogo, GIE Borom Daradj de Ndiaye

Guèye, Ndèye Awa, GIE Borom Daradj de Ndiaye

Guèye, Ndèye Khady, GIE Borom Daradj de Ndiaye

Guèye, Seyssabou, GIE Borom Daradj de Ndiaye

James, Francis, Deputy Country Director, Programme, UNDP

Ka, Abdoul, GIE Borom Daradj de Ndiaye

Ka, Alassane, Inter-Village Association of the Ndiaël (AIV-Ndiaël)

Ka, Ousmane, National Coordinator, Program for the Reinforcement of Local Dynamics and Socio-Economic Development, Ministry of Women, Family and Children, and Member of National Steering Committee

Kakhayoko, Awa, GIE Mbella Gorum (Dassilamé Sérère)

Kaéré, Alioune Badara, Climate Change Specialist, UNDP

Kane, Abibatou, GIE Borom Daradj de Ndiaye

Khol, Fatou, eco-guard Langue de Barbarie National Park

Khol, Ouleymatou, GIE Takku Liggey

Lo, Marame Lèye, Programme Associate and Gender Focal Point, UNDP

Ly, Adama, Programme Specialist, UNDP

Ly, Aminta, GIE Borom Daradj de Ndiaye

Mané, Amy, GIE Mbella Gorum (Dassilamé Sérère)

Mané, Khady, GIE Mbella Gorum (Dassilamé Sérère)

Mané, Seynabou, GIE Mbella Gorum (Dassilamé Sérère)

Mbaye, Diary, GIE Takku Liggey

Mbaye, Fasmata, GIE Borom Daradj de Ndiaye

Mbaye, Khatary, Former Local Coordinator, SGP/COMPACT
 Mbaye, Yacine Kane, GIE Takku Liggey
 Mbaye, Rayna, GIE Borom Daradj de Ndiaye
 Mbodj, Fatou, GIE Borom Daradj de Ndiaye
 Mbodj, Fatou Binta, GIE Borom Daradj de Ndiaye
 Mboup, Astou, Treasurer, GIE Aly Thiaba (solar cooker project), Pire Gourèye
 Mboup, Saliou, Voluntary Community facilitator, GIE Aly Thiaba (solar cooker project), Pire Gourèye
 Ndiaye, Abdou Aziz Sy, Warden, Langue de Barbarie National Park
 Ndiaye, Diamé, Chief, Centre for fisheries monitoring, Saint Louis; Gandon
 Ndiaye, Ibhahima, Project Coordinator, GIE Mbella Gorum (Dassilamé Sérère)
 Ndiaye, Fene, GIE Suxali AMP/Saint Louis
 Ndiaye, Maodo Malick, President, Association Réveil de Dagana
 Ndiaye, Sallo, GIE Takku Liggey
 Ndong, Mariama, GIE Mbella Gorum (Dassilamé Sérère)
 Ndong, Ndeye Marème, GIE Mbella Gorum (Dassilamé Sérère)
 Ndour, Alimatou, GIE Mbella Gorum (Dassilamé Sérère)
 Ndour, Khady, GIE Mbella Gorum (Dassilamé Sérère)
 Ndour, Moussa, Deputy Warden, Saint Louis Protected Marine Area
 Ngom, Aminta, GIE Borom Daradj de Ndiaye
 Niang, Moussa, President, eco-guards Langue de Barbarie National Park
 Ousmane Ndiaye: Président des Producteurs agricoles, Comité intervillageois du Lac Tamna
 Sall, Alousseyame, Inter-Village Association of the Ndiaël (AIV-Ndiaël)
 Sall, Ameth Moussa, Inter-Village Association of the Ndiaël (AIV-Ndiaël)
 Sall, Haimar, Inter-Village Association of the Ndiaël (AIV-Ndiaël)
 Sall, Ndondy, GIE Borom Daradj de Ndiaye
 Sakho, Mane Awa, General Secretary, GIE Aly Thiaba (solar cooker project), Pire Gourèye
 Sarr, Diahère, GIE Mbella Gorum (Dassilamé Sérère)
 Sarr, Khar, President, GIE Mbella Gorum (Dassilamé Sérère)
 Sarr, Mamadou, ROPEM: Projets de documentation et de suivi des projets PMF/FEM, Fimela
 Sarr, Mamadou, Eco-guard, Missirah
 Seck, Arame, GIE Suxali AMP/Saint Louis
 Seck, Fatou, GIE Takku Liggey
 Seck, Gnagna, GIE Suxali AMP/Saint Louis
 Seck, Voré Gana, Director, Green-Senegal, Member of National Steering Committee
 Seck, Youmarré, GIE Suxali AMP/Saint Louis
 Sène, Bara, President, GIE Suxali AMP/Saint Louis
 Sène, Dieube, GIE Borom Daradj de Ndiaye
 Sène, Khady, eco-guard Langue de Barbarie National Park
 Sène, Yacine, GIE Suxali AMP/Saint Louis
 Senghor Aissatou, GIE Mbella Gorum (Dassilamé Sérère)
 Senghor, Dialang, GIE Mbella Gorum (Dassilamé Sérère)
 Senghor, Fatou, GIE Mbella Gorum (Dassilamé Sérère)
 Senghor, Mariama, GIE Mbella Gorum (Dassilamé Sérère)
 Suetens, Katelijne, Representative, Brocderlijk Delen (Belgian NGO)
 Seydi, Landing, Representative of the village chief, GIE Mbella Gorum (Dassilamé Sérère)
 Seydi, Maimouna, GIE Mbella Gorum (Dassilamé Sérère)
 Seydi, Mariama, Peace Corps volunteer, GIE Mbella Gorum (Dassilamé Sérère)
 Seydi, Mariama, GIE Mbella Gorum (Dassilamé Sérère)
 Seydi, Nding, GIE Mbella Gorum (Dassilamé Sérère)
 Seydi, Soda, GIE Mbella Gorum (Dassilamé Sérère)
 Seydou Diémé, Président ADT GERT
 Sow, Amina, GIE Takku Liggey

Sow, Amadou, President, Inter-Village Association of the Ndiaël (AIV-Ndiaël)
 Sow, Moussa, Inter-Village Association of the Ndiaël (AIV-Ndiaël)
 Sow, Meba, Member, Association Réveil de Dagana
 Sy, Karalan, Coordinator, PASA-PAD (Spanish INGO), Inter-Village Association of the Ndiaël (AIV-Ndiaël)
 Thior, Mariama, GIE Mbella Gorum (Dassilamé Sérère)
 Thior, Maimouna, GIE Mbella Gorum (Dassilamé Sérère)
 Touré, Abdoulaye, Chief, Office of Solar Cookers, Ministry of Higher Education and Research
 Wane, Aïssatou Dia, Programme Officer, ADEPME, and Former Coordinator of a GEF Full-Sized Project with the Senegal River Basin Development Authority
 Wane, Oumar, National Coordinator, SGP
 Yarame Samb, Ndeye, GIE Borom Daradj de Ndiaye
 __, Mariama, Student, Langue de Barbarie National Park

Thailand Country Visit

Anucha, __, Member, Song Kwae Pattana village, Muang (town), sub-district Mae Yao, Chiang Rai
 Arpee, __, Project Leader, Song Kwae Pattana village, Muang (town), sub-district Mae Yao, Chiang Rai
 Aryi, __, Project Leader, Wa Wee, Mae Suai, Chaing Rai
 Bangglang, Yuwadee, Community member, Ton San Community, Chonburi
 Boonsin, __, Project Leader/PETNET, Non Chart village, Petchabun
 Chutirat, Samran, Community member, Ton San Community, Chonburi
 Damrongphol, Pattama, Office of Environmental Fund, Office of Natural Resources and Environmental Policy and Planning, Ministry of Natural Resources and Planning
 Ditsri, Chalong, Thailand Rural Reconstruction Movement
 Inn, __, Project leader, Nong Sa Nhow, Sam-Ngarm, Pichit
 Inpanich, Phirat, Ministry of Energy
 Jack, __, CBO staff/member, Pak-Toke, Muang, Phusanulok
 Keawna, __, Vice-President, CBO, Baan Giw village, Mae Tha, Lampang
 Keawwan, Rattanaport, President, Association, Luang Nue, Ngao, Lampang
 Laksana, __, School director, Baan Lak Dan, Petchabun
 Luengthada, Thadthana, Programme Assistant, WPP/MFF SGP
 Maiman, Samia, Secretary/member, Luang Nue, Ngao, Lampang
 Meetieng, Chuen, Village chief/project leader, Phuthai Pattana
 Meetieng, Taweesak, Assistant to project leader, Phuthai Pattana
 Nomlertnalin, Chatmongkhol, Project Leader, Ton San Community, Chonburi
 Pattanakorn, __, Community Leader, Baan Pho Ngarm and Baan Klong Saket, Darn Larn Hoi, Wang Nam Khao, Sukothai
 Perm, __, Network president/community member, Baan Wang Yang village, Loei
 Pragtong, Komon, Ecological Expert, Department of National Parks, Wildlife and Plants Conservation,
 Prayhad, __, Vice-president/member, Luang Nue, Ngao, Lampang
 Punyawattoe, Chumnum, The Energy and Environmental Engineering Centre , Kasetsart University
 Rung, __, Member, Baan Giw village, Mae Tha, Lampang
 Sakhorn, __, Project Leader, Pak-Toke, Muang, Phusanulok
 Samai, __, President, Financial institute, Nong Sa Nhow, Sam-Ngarm, Pichit
 Samyot, __, School director, Ban Huay Lat, Petchabun
 Satiensakorn, Niran, Project leader/activist/teacher, Bangsaray community, Chonburi
 Sereepaowong, Suwimol, Programme Assistant, WPP/MFF SGP
 Sittichodak, Aa-too Krai Sith, Project Leader, Saenjai Pattana village, sub-district Mae Salong Nai, Chaing Mai
 Sodawat, Jeerawan, Project Leader, Baan Giw village, Mae Tha, Lampang

Sopakayoung, Nonglak, Office of International Cooperation, Ministry of Natural Resources and Environment,
 Sreesangkom, Poonsin, SGP National Coordinator
 Sukjaimitr, Kanchit, Executive Director, Thai Fund Foundation
 Sutabutr, Twarath, Deputy Director General, Department of Alternative Energy Development and Efficiency, Ministry of Energy
 Theeranuch, _, Project Leader, Baan Pho Ngarm and Baan Klong Saket, Darn Larn Hoi, Wang Nam Khao, Sukothai
 Thien, _, Member, Luang Nue, Ngao, Lampang Timmontham, Promnarin, Office of International Cooperation, Ministry of Natural Resources and Environment
 Tor, _, CBO staff/member, Pak-Toke, Muang, Phusanulok
 Veerapol, _, Project leader/coordinator, Baan Wang Yang village, Loei
 Veerasak, _, Network president, ACDEP, Non Chart village, Petchabun
 Walters, Marina, Deputy Country Director, UNDP
 _, Ad, Community Member, Thai Samukhee
 _, Chart, Community Member, Thai Samukhee
 _, Kajbandit, Project Leader, Baan E Mieng village, Loei
 _, Kitti, Community Member, Baan E Mieng village, Loei
 _, Nhugain, Community/member, NGO representative, Baan e Mieng village, Loei
 _, Samboon, Project Leader, Thai Samukhee
 _, Samjit, Community Member, Thai Samukhee
 _, Thanyarat, Community Member, Thai Samukhee

Uganda Country Visit

Aburu, Juliette Receptionist, Chef and Sky Captain, Mabira Forest Integrated Community Organization
 Adeke, Evaline, Member, Center for Integrated Development
 Ajarova, Lilly, Executive Director, Chimpanzee Sanctuary and Wildlife Conservation Trust
 Airadisi, Nyamihanda, Nteko, United Organization for Batwa Development in Uganda
 Aisu, Moses, Member, Fruits and Tubers Farmers' Group
 Akidi, Pauline, Principal Economist/Head, Multilateral Section Aid Liaison Department, Ministry of Finance, Planning and Economic Development
 Aketch, Margaret, Member, Kirewa Women's Forum (KFW) Barefoot Women Solar Project
 Akoth, Lucy, Member, Kirewa Women's Forum (KFW) Barefoot Women Solar Project
 Alidri, Patience, Assistant Country Director
 Alex, Kasajja, Programme Officer, Center for Integrated Development
 Allan, Katwesigye, NFA, Mabira Forest Integrated Community Organization
 Arnold, Wasiwa Ayazika, Director, Environmental Monitoring and Compliance, National Environment Management Authority
 Asili, Mary, Member, Kirewa Women's Forum (KFW) Barefoot Women Solar Project
 Babirye, Harriet, Ass. Programmes Coordinator, Youth Environment Service
 Baganda, Robert Tumwesigye, Executive Director, Pro-Biodiversity Conservationists in Uganda
 Bakiika, Robert, GEF CSO Forum
 Banzira, Chahi, United Organization for Batwa Development in Uganda
 Barufahare, Vanamili, NFA-Echuya, United Organization for Batwa Development in Uganda
 Bidondole, Muramiru, Health Inspector, Northern Division, Iganga
 Birungi, Ojiambo Godfrey, Chairman, Central Steering Committee, Mabira Forest Integrated Community Organization
 Blanchard, Aaron, Peace Corps Volunteer, Mabira Forest Integrated Community Organization
 Budala, Okedi, Member, Fruits and Tubers Farmers' Group
 Buginyo, Cornelius, reasurer, Center for Integrated Development
 Bulyaba, Scovia, Member, Center for Integrated Development
 Dadulla (RT), Member, Fruits and Tubers Farmers' Group
 Denis, Wangira Okhikha, Programme Officer, Youth Environment Service

Four women tree nursery workers, African Partnership on Climate Change
 Gasigwa, Simon, Chairperson, Amajembere Iwachu
 Gebru, Almaz, Director, UNDP Uganda Country Office
 Genade, Angie, Executive Director, Ziwa Rhino Sanctuary
 George, Lukwago, Executive Director, USEP, Uganda Association for Socio-Economic Progress
 Getrude, Mpanga, Member, Center for Integrated Development
 Hussein, Kato, Tour Guide, Mabira Forest Integrated Community Organization
 Ichodu, Lucian, Field Officer, Youth Environment Service
 Iddi, Ismael Manani, Chairman, Busia Cargo Handlers & Transporters Agents, Youth Environment Service
 Inidi, Kabibi, Nteko, United Organization for Batwa Development in Uganda
 Isa, Tengwa, In charge of vegetable growing, Bugweri Integrated Development Agency
 Isabirye, Paul, Assistant Commissioner, Data Processing and Applied Meteorology, Dept. of Meteorology (CC Focal Point), Ministry of Water and Environment
 Kabalugura, Godfrey, Member, Center for Integrated Development
 Kabuye, Frederick Musisi, Former NSC member, SGP NSC
 Kabogumya, Cecily, RECABIP, SGP NSC
 Kaddu, John Baptist, Makerere University, SGP NSC
 Kafuba, James Buyinza, Fisheries Officer/Inspector, Uganda Association for Socio-Economic Progress
 Kalimera, Alfred, Asst. Chief Administrative Officer, Bufumbira County
 Kalibbala, Joseph, Oldery (Bakadde), Center for Integrated Development
 Kamani, Festo, International Coordinator, MCDO, Amajembere Iwachu
 Karekeho, Alexandra, Programme Officer, Division of Regional Cooperation, UNEP (formerly with UNDP Uganda Country Office)
 Katasira, Anton, Member, Center for Integrated Development
 Kate, Namumbia, In charge of tree nursery (also PWD), Bugweri Integrated Development Agency
 Katono, Siragi, His Worship the Mayor, Iganga Municipality
 Kazoora, Cornelius, Sustainable Development Centre, SGP NSC
 Kazungu, Allen, Kanyabukungu, United Organization for Batwa Development in Uganda
 Kaweda, Alimansi, Member and LC1 Chairman, Fruits and Tubers Farmers' Group
 Kawombe, Patrick, Member, Center for Integrated Development
 Kawanguzi, Juma, Rural and Urban Development Foundation
 Kharono, Caroline, Coordinator, MIFUMI, Kirewa Women's Forum (KFW) Barefoot Women Solar Project
 Kirunda, Sadati, Executive Director, Bugweri Integrated Development Agency
 Kisakye, Jane, Former NTEAP Coordinator, SGP NSC
 Kiyingi, Gertrude, Board Member, Mabira Forest Integrated Community Organization
 Kiyimba, Rajab, Executive Director, Mabira Forest Integrated Community Organization
 Kodongole, William, Chairperson LCI Ssenyi, Uganda Association for Socio-Economic Progress
 Krunda, Henry, Member, Fruits and Tubers Farmers' Group
 Kubugo, Gregory, Sky Commander, Mabira Forest Integrated Community Organization
 Kungujje, Robert, Board Secretary, Mabira Forest Integrated Community Organization
 Lutalo, Evelyn, District Support Officer, National Environment Management Authority
 Lutalo, Godfrey, Head Ranger, Ziwa Rhino Sanctuary
 Mafabi, Paul, Director Environmental Affairs, Ministry of Water and Environment
 Magorane, N., Chalui, United Organization for Batwa Development in Uganda
 Maikut, Chebet, Deputy Coordinator/DNA Focal Point, Climate Change Unit (Focal Point for CC Mitigation), Ministry of Water and Environment
 Majjuma, Sarah, District Environment Officer
 Maimuna, Mugambe, Member, Center for Integrated Development
 Martey, Michelle W., Project Officer, African Partnership on Climate Change
 Mayobyoy, Musa, General Secretary Ssenyi BMU, Uganda Association for Socio-Economic Progress

Mohammed, Waiswa, Member, Fruits and Tubers Farmers' Group
 Mohamed, Lori, Supervisor/Human Resource Manager BCHTA, Youth Environment Service
 Mugamoli, Paul, Secretary, Fruits and Tubers Farmers' Group
 Mugambe, Edirisa, Mobilizer, Center for Integrated Development
 Mugerwa, Judith, Programme Coordinator, Center for Integrated Development
 Mugoya, Mebra, Rural and Urban Development Foundation
 Mugoya, Juma, Programme Coordinator, Bugweri Integrated Development Agency
 Muhwezi, Onesimus, Team Leader, Energy and Environment Unit
 Muinra, James, Member and Accountant, Fruits and Tubers Farmers' Group
 Mukandinda, Wilfred, Cleaner, United Organization for Batwa Development in Uganda
 Mukeshimana, Teopista, Craft Attendant, United Organization for Batwa Development in Uganda
 Munaaba, Edward, Executive Director, African Partnership on Climate Change
 Mutoto, Member, Fruits and Tubers Farmers' Group
 Musabyi, Allen, Kanyabokungu, United Organization for Batwa Development in Uganda
 Musisi, Nakazibwe, Member – trained technician, Kirewa Women's Forum (KFW) Barefoot Women
 Solar Project
 Mutezimana, Joyless, Committee Member, Amajembere Iwachu
 Muwaya, Stephen, Land Degradation Focal Point, Ministry of Agriculture
 Mwambu, Paul, Programme Manager, Sustainable Land Management Programme (double for Land
 Degradation Focal Point on the NSC), Ministry of Agriculture
 Mwangisa, Olivier, Staff Member, Amajembere Iwachu
 Nalongo, Mosese, Member, Center for Integrated Development
 Nakayanja, Njirani, Member, Center for Integrated Development
 Nakanyike, Millie, Micro-finance administrator, Bukunja Rural Women and Youth Services
 Nakafu, Victoria, Project Field Supervisor, Youth Environment Service
 Namara, Agrippinah, Consultant, Joint GEF/UNDP Evaluation
 Nambarwa, Fiona, Project Officer, Bukunja Rural Women and Youth Services
 Namusoke, Margaret, Member, Center for Integrated Development
 Namusaanya, Josephine, Programme Officer, Center for Integrated Development
 Nantumbwe, Zula, Member, Center for Integrated Development
 Naseffi, Peninah, License and Permits officer, Center for Integrated Development
 Nera, Henry, Capacity Building Officer, United Organization for Batwa Development in Uganda
 Ngobi, Dalausi, Member, Center for Integrated Development
 Ngondwe, Lubega, Chairperson CFM, Center for Integrated Development
 Nirazayire, Mau, Kanyabukungu, United Organization for Batwa Development in Uganda
 Ninsiima, Sharon, Programme Officer, Environment Women Association– currently Entebbe Women in
 Action for Development
 Nkumbuye, Gawudencia, Chalui, United Organization for Batwa Development in Uganda
 Nmshoba, Charlotte, Education Officer, United Organization for Batwa Development in Uganda
 Nsengiyumua, Emmanuel, Vice Secretary, Amajembere Iwachu
 Nsubuga, Peter, Tour Guide, Mabira Forest Integrated Community Organization
 Nteko, Jemimah, United Organization for Batwa Development in Uganda
 Nuukula, Joseph, Member, Center for Integrated Development
 Nyazala, Josephine, Member, Center for Integrated Development
 Nyamwenge, Aglance, Member, Kirewa Women's Forum (KFW) Barefoot Women Solar Project
 Nyiragicyecye, Judith Rutare, United Organization for Batwa Development in Uganda
 Nyiramugisha, Jenipher, Chalui, United Organization for Batwa Development in Uganda
 Nyamihanda, Alice, Tourism Officer, United Organization for Batwa Development in Uganda
 Nyiamaromba, D., United Organization for Batwa Development in Uganda
 Nyirabakunzi, Janet, Butobo, United Organization for Batwa Development in Uganda
 Nyiransenga, Aisha, Busaro, United Organization for Batwa Development in Uganda Nyakacye,
 Nyirasuku, Kanyabukungu, United Organization for Batwa Development in Uganda

Nyirakanze, Demitera, Nteko, United Organization for Batwa Development in Uganda
 Obbo, Wilberforce, Member, Kirewa Women's Forum (KFW) Barefoot Women Solar Project
 Obua, Joseph, Regional Coordinator, Lake Victoria Research Programme; East African Community, Inter-University Council for East Africa
 Ogunda, Alfred, Member, Kirewa Women's Forum (KFW) Barefoot Women Solar Project
 Okecho, Rhoda, Member – trained technician, Kirewa Women's Forum (KFW) Barefoot Women Solar Project
 Okello, Pascal Onegiu, Project Manager, Strengthening Climate Information and Early Warning Systems Project (GEF-LDC Fund)
 Okiria, John, Project Manager, WWF country office
 Okonera, Vincent, ED, Happy Childhood Foundation; YES Board member, Youth Environment Service
 Okoth, Fredeica, Member, Kirewa Women's Forum (KFW) Barefoot Women Solar Project
 Okuta, John Stephen, PA, SGP
 Oloka, Charles, Member, Kirewa Women's Forum (KFW) Barefoot Women Solar Project
 Omodo-McMondo, Daniel, Programme Analyst (Energy and Environment)
 Ondeda, Dyllis, Field Officer, Youth Environment Service
 Ongatai, Amosiah, Executive Director, Youth Environment Service
 Opunya, Nagutau, Member, Fruits and Tubers Farmers' Group
 Opui, Daniel, Member, Fruits and Tubers Farmers' Group
 Ouro-Doni, Safiou Ezzo, Deputy Country Director (Operations)
 Owere, Judith, Member (also has nursery and primary school), Kirewa Women's Forum (KFW) Barefoot Women Solar Project
 Patton, Felix, Technical and Security Adviser, Ziwa Rhino Sanctuary
 Petra, Lubega, Member, Center for Integrated Development
 Peter, Kiwummulo Kabala, Head/Director of Programmes, Uganda Association for Socio-Economic Progress
 Pontian, Muhwezi, Country Programme Officer, IFAD
 Rose, Mugabi Jane, Chairperson, Kirewa Women's Forum (KFW) Barefoot Women Solar Project
 Rusper, Mathius, Member, Center for Integrated Development
 Rwabaka, John, United Organization for Batwa Development in Uganda
 Rwirera, George, Driver, United Organization for Batwa Development in Uganda
 Sawula, Gerald Musoke, Deputy Executive Director, National Environment Management Authority
 Seburiguri, Silveru, Field Officer, United Organization for Batwa Development in Uganda
 Sebagenzi, Philip, Manager, Amajembere Iwachu
 Senabulya, Betty, Administration/Finance Officer, Center for Integrated Development
 Senfuma, Ibrahim, Resource Management, Mabira Forest Integrated Community Organization
 Senfuma, Musoke, Coordinator, Bukunja Rural Women and Youth Services
 Serina, United Organization for Batwa Development in Uganda
 Ssendawula, John, Project Manager, Capacity Building to Alleviate Poverty through Synergistic Implementation of Rio-MEAs, Ministry of Water and Environment
 Teddy, Aketch, Member (PWD), Kirewa Women's Forum (KFW) Barefoot Women Solar Project
 Tukahirwa, Joy M. B., Former Chairperson of the NSC, SGP NSC
 Tuhumwire, Margaret, Executive Director, Environment Women Association– currently Entebbe Women in Action for Development
 Twinomugusha, Deusdedi, Ass. Community Conservation Warden, MGNP, UWA, Amajembere Iwachu
 Two Christian University Interns, African Partnership on Climate Change
 Two volunteers from USA universities, Ziwa Rhino Sanctuary
 Uwimana, Florence, Kanyabukungu, United Organization for Batwa Development in Uganda
 Waako, John Patrick, Headmaster, Magulu Primary School
 Wamala, Joseph, Member, Center for Integrated Development
 Wandera, Abu-baker, National Coordinator SGP
 Wanume, Gloria, Member, Fruits and Tubers Farmers' Group
 Wanume, Moses Muganwa, Chairman, Fruits and Tubers Farmers' Group

William, Kyeswa, Sky Captain, Mabira Forest Integrated Community Organization
Zinanka, Penninah, Coordinator, United Organization for Batwa Development in Uganda

SGP National Coordinators

(in addition to those met during country visits)

Bazzani, Sandra, Uruguay
Benedetti Figueredo, Isabel, Brazil
Chain, Rocio, Bolivia
Guzman, Juan Rene, El Salvador
Lee, David, Malaysia
Mata, Eduardo, Costa Rica
Murguia, Raúl, Mexico
Petit, Ricardo, Venezuela
Prabhjot, Sodhi, India
Quicho, Rodolfo Ferdinand, Philippines.