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Independent Evaluation Office

JOINT GEF-UNDP
EVALUATION
OF THE SMALL GRANTS
PROGRAMME

JOINT GEF-UNDP EVALUATION OF THE SMALL GRANTS PROGRAMME

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FOREWORD

In 2008, the Small Grants Programme (SGP) of the Global Environment Facility (GEF) was jointly evaluated by the independent evaluation offices of the GEF and the United Nations Development Programme (UNDP). That evaluation was crucial in shaping the way forward for the SGP.

The terms of reference for the Fifth Overall Performance Study of the GEF (OPS5), approved by the GEF Council in June 2012, included a key question about the extent to which the SGP had been successful in broadening its scope to more countries while continuing to ensure success on the ground, following on several reforms introduced as a result of the 2008 joint SGP evaluation. The SGP's fifth operational phase was also coming to an end in mid-2014, requiring an independent terminal evaluation. It was thus appropriate for the GEF and UNDP independent evaluation offices to join efforts once again to evaluate the SGP.

The purpose of this second joint evaluation of the SGP was to assess the extent to which the most important recommendations and related GEF Council decisions emerging from the 2008 evaluation have been implemented, the factors that have affected their implementation, and the extent to which these recommendations and Council decisions remain pertinent in light of current and future circumstances. The evaluation also looked at the SGP's current role and results in terms of effectiveness in achieving global environmental benefits while addressing livelihoods, poverty, and gender equality; broader adoption of grant-level results; the SGP's strategic positioning; and monitoring and evaluation. Initial

findings of the evaluation contributed to the OPS5 chapter on the SGP.

The evaluation, conducted between February 2013 and February 2015, adopted a mixed-methods approach. It covered the period since the previous joint evaluation to July 2014. It included 12 country studies encompassing extensive interviews, field visits to grant project sites and documentation review; a global online survey gathering responses from 124 countries; a meta-analysis of 50 evaluations referring to the SGP; an in-depth review of a sample of 30 SGP country program strategy documents; a portfolio review of detailed financial data; and interviews with central-level SGP stakeholders.

In December 2014, a draft joint evaluation report was discussed in depth with major central-level GEF and UNDP stakeholders at UNDP's offices in New York. The feedback gathered at this workshop was extremely useful in the finalization of the report. A joint GEF-UNDP management response was provided in May 2015 and is included as annex B of this report. The report and management response were discussed at the GEF Council meeting in June 2015, and will be submitted to the UNDP Executive Board at its September 2015 meeting.



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This report is the result of a collective effort with several layers of collaboration. A Joint Steering Committee was established to provide overall guidance to the evaluation; it was co-chaired by the Directors of the Global Environment Facility (GEF) and United Nations Development Programme (UNDP) independent evaluation offices, Rob D. van den Berg and Indran Naidoo, respectively. Juha Uitto, previously Deputy Director of the UNDP Independent Evaluation Office and a Joint Steering Committee member, took over the co-chairmanship responsibility from Rob D. van den Berg in September 2014 upon his appointment as the new Director of the GEF Independent Evaluation Office. Alan Fox, Evaluation Adviser, UNDP, and Aaron Zazueta, Chief Evaluation Officer, GEF, were also members of the Joint Steering Committee.

The report was written by Heather Bryant, UNDP Evaluation Specialist; Carlo Carugi, GEF Senior Evaluation Officer; and Dennis Fenton, Lead Consultant. Heather Bryant and Carlo Carugi also served as co-task managers for the evaluation. Several international and national consultants contributed to the evaluation: Amjad Attar (Jordan country study), Batkhisig Baival (Mongolia country study), Marcia Brewster (Gender Specialist), Rebecca Frischkorn (Survey Analyst), Mahe Nau Haider (Pakistan and Thailand country studies), Violet Matiru (Kenya and

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ABBREVIATIONS

CBO	community-based organization
CEO	Chief Executive Officer
COMDEKS	Community Development and Knowledge Management for the Satoyama Initiative
CPMT	Central Programme Management Team
CPS	country program strategy
CSO	civil society organization
FSP	full-size project
GEF	Global Environment Facility
LDC	least developed country
M&E	monitoring and evaluation
MSP	medium-size project
NGO	nongovernmental organization
OFP	operational focal point
OP	operational phase
OPS4	Fourth Overall Performance Study of the GEF
OPS5	Fifth Overall Performance Study of the GEF
RAF	Resource Allocation Framework
SGP	Small Grants Programme
SIDS	small island developing states
STAR	System for Transparent Allocation of Resources
UNDP	United Nations Development Programme
UNOPS	United Nations Office for Project Services

All dollar amounts are U.S. dollars unless otherwise indicated.

EXECUTIVE SUMMARY

The Global Environment Facility (GEF) created the Small Grants Programme (SGP) in 1992 with the explicit aim of developing community-led and -owned strategies and technologies for reducing threats to the global environment while addressing livelihood challenges. The SGP is implemented by the United Nations Development Programme (UNDP), while the United Nations Office for Project Services provides financial and administrative support. A global Central Programme Management Team provides supervision and technical support to program countries. Each participating country has an SGP national coordinator, supported by a national steering committee. Activities in each participating country are guided by a country program strategy.

The SGP awards small grants—up to a maximum of \$50,000—to needy communities to support the use of practices and technologies that benefit the global environment. Since start-up, the SGP has provided over 18,000 such grants to communities in more than 125 countries. The SGP was not initially designed as a permanent program; the original intent was to graduate country programs 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 programs are treated as GEF full-size projects.

The joint GEF-UNDP evaluation of the SGP 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, which began in 2011. The evaluation is a joint effort of the GEF and UNDP independent evaluation offices.

The joint GEF-UNDP evaluation adopted a mixed-methods approach encompassing both quantitative and qualitative data gathering and analysis. Country studies were conducted through interviews, field visits, and documentation review in 12 diverse countries, ranging from the longest running country

program to more recent ones, in the GEF’s main geographical regions. A global online survey was administered to national stakeholders, gathering responses from 124 countries. Other tools used included a general literature review; a meta-analysis of 50 evaluations related to the SGP; an in-depth review of a sample of 30 SGP country program strategy documents; a portfolio review of detailed financial data in the UNDP, Central Programme Management Team, and United Nations Office for Project Services databases; and interviews with central-level SGP stakeholders.

This report responds to key evaluation questions included in the terms of reference (annex A) and covering four main areas: (1) current role and results of the SGP: effectiveness in achieving global environmental benefits while addressing livelihoods, poverty, and gender; (2) broader adoption issues; (3) the SGP’s strategic positioning; and (4) efficiency issues, including monitoring and evaluation (M&E). Particular attention was given to the upgrading of SGP country programs and related policies.

The joint GEF-UNDP evaluation of the SGP reached the following five conclusions:

1. The 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.
2. The introduction of upgrading and related policies contributed to the evolution of the SGP by setting out expectations for country programs and their development over time. The new policies have resulted in increased resources for the SGP, but have also brought challenges. The current criteria for selecting countries to upgrade to full-size projects are not optimal.

3. As a global program that acts nationally and locally and is grassroots driven, the SGP must align to GEF, UNDP, national, and local priorities. Within this context, the SGP has remained coherent while staying flexible. However, different perspectives and changing contexts create tensions. The global or long-term vision of the SGP has not been updated.
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.
5. Despite important progress, M&E does not adequately support decision making and remains too complex.

Based on the above conclusions, the joint GEF-UNDP evaluation formulated the following four recommendations, addressed to the respective recipients:

To the GEF

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.

To the GEF and UNDP

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

To UNDP

3. Ensure that the SGP is implemented under a single, coherent global program framework.

To UNDP and the Central Programme Management Team

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.

1 INTRODUCTION

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

The SGP was created as a corporate GEF program and is implemented by the United Nations Development Programme (UNDP). The United Nations Office for Project Services (UNOPS) provides financial and administrative support to the program, and a global Central Programme Management Team (CPMT) provides supervision and technical support to program countries. Activities in each participating country are guided by a country program 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 program assistant. Project ideas are generated at the community level.

The principal strategy of the SGP is to provide small grants—up to a maximum of \$50,000—to needy communities to support the use of practices and technologies that benefit the global environment. Since start-up, the SGP has provided over 18,000 such grants to communities in more than 125 countries. In line with the overall GEF strategic approach, funds under the SGP are also used for related capacity development, monitoring and evaluation (M&E), knowledge management, scaling-up and replication, and project management.

The overall objective of the SGP during its fifth operational phase (OP5, 2011–14) was to secure global environmental benefits through community-based initiatives and actions. An aim during OP5 was to expand coverage to 136 countries.

The total GEF funding allocated to the SGP 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). The remainder represents funds designated to the SGP by countries out of their GEF System of Transparent Allocation of Resources (STAR) country allocation. Beyond GEF funds, total SGP cofinancing mobilized at the time of grant approval was \$345.24 million from diverse sources. 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 G provides a more detailed overview of OP5 by focal area, objective, and funding.

This evaluation responds to a direct request from the GEF Council. It covers the period 2008 to the present, with a focus on OP5. It is a joint effort of the GEF and UNDP independent evaluation offices. The evaluation's execution structure included a steering committee, a management team, and an evaluation team; this last included independent evaluators, consultants, and research assistants. Annex A presents the evaluation's terms of reference.

The evaluation was conducted in four main steps: planning and design, data collection, analysis, and report writing and consultation. Several tools were used to gather data:

- Country studies in 12 diverse countries, ranging from the longest running country programs to several more recently established programs, and covering the main geographical regions of the GEF; data were collected during the country visits through interviews, focus group meetings, documentation review, and visits to grantees and 10–15 project sites
- A global online survey sent to 2,449 program country stakeholders, focusing on the SGP's strategy and niche, broader adoption, gender, and

poverty; the overall response rate was 48 percent, and responses were received from participants in 124 countries

- A literature review
- A meta-analysis of 50 evaluations related to the SGP
- An in-depth review of a sample of 30 CPS documents
- A portfolio review of the data—including detailed financial data—in the UNDP, CPMT, and UNOPS databases
- Interviews with global and central-level SGP stakeholders

The vast amounts of data collected provide an extremely rich picture of the SGP and its operations during 2008–14. However, as is always the case with a complex evaluation of this nature, some limitations were encountered. These limitations included a shortage of comprehensive quantitative data related

to some aspects of the SGP, such as effectiveness at the project and country levels; also, only a sample of SGP country programs and projects could be directly assessed by the evaluation team. A complete description of the evaluation purpose, scope, methods, and limitations is provided in annex C.

This report covers four main areas:

- Current role and results of the SGP, including effectiveness in achieving global environmental benefits while addressing livelihoods, poverty, and gender (chapter 2)
- Broader adoption issues (chapter 3)
- The SGP’s strategic positioning (chapter 4)
- Efficiency issues, including M&E (chapter 5)

Chapter 6 presents the evaluation’s main conclusions and recommendations based on the findings presented in the preceding chapters.

2 SGP: CURRENT ROLE AND RESULTS

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

2.1 SGP ROLE

The SGP was originally set up as a program to support local initiatives dealing with the environment and development issues of global relevance. The number of countries participating in the program at its start-up in 1992 was 33; by 2007, this number had grown to 84. Until 2007, all SGP country programs were financed through SGP core funds. Previous evaluations of the SGP have indicated positive results. Notably, an evaluation of the SGP undertaken by the independent evaluation offices of the GEF and UNDP—the 2008 joint evaluation (GEF EO and UNDP EO 2008)—concluded that the SGP was highly effective in generating global environmental benefits through the combined effect of multiple small-scale interventions.

The SGP was not initially designed to be permanent, and there were sunset provisions established for the duration of each country program. The intent was to graduate country programs 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 (CSOs).¹ Conclusions and recommendations of the 2008 joint evaluation

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 [Resource Allocation Framework] resources) on completion of the GEF-4 cycle” (GEF 2008, 13).

and of the GEF Fourth Overall Performance Study (OPS4; GEF EO 2010) stimulated debate around the future of the SGP among GEF Council members and other stakeholders, culminating in major changes to the program. As set out in the Council decision on the joint evaluation (contained in GEF EO 2007a) 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.

This upgrading policy included several important funding and operational changes. First, references to sunset provisions for country programs were curtailed. Second, an upgraded country program was to be treated as a GEF full-size project (FSP) (albeit expedited) and funded through the general GEF program budget—for example, using the Resource Allocation Framework (RAF) during GEF-4 (2006–10), and then the STAR in GEF-5 (2010–14). In addition, the non-upgraded country programs 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 programs to avoid squeezing out other GEF priorities. A more complete discussion of upgrading is included in chapter 4 of this report.

Prior to 2008, various decisions from the GEF Council requested an increase in the number of countries participating in the SGP. As a modality under the GEF, all GEF countries should, in principal, be able to choose to participate in the SGP. The 2008 joint evaluation notes a “request from the GEF Secretariat to quickly expand the program to 23 additional countries” (GEF EO and UNDP EO 2008, 14). As a result, the number of countries participating in the SGP has increased considerably since 2008 (table 2.1). Most of this increase took place from 2008 to 2010.

Importantly, the new countries include a high proportion of small island developing states (SIDS), least developed countries (LDCs), and countries in fragile

or conflict-affected situations — places in which it is generally considered more difficult to establish SGP programs. The proportion of such countries is much higher among countries beginning to participate in the SGP after mid-2007 (table 2.2).

2.2 RESULTS: GLOBAL ENVIRONMENTAL BENEFITS

The SGP's overall objective for OP5 is to secure global environmental benefits through community-based initiatives and actions. Specific objectives and targets for achieving global environmental benefits were identified for OP4 and OP5 that conform to the overall GEF-4 and GEF-5 strategic priorities for each GEF focal area. This section assesses the extent to

which the SGP's results during the period 2008–14 are commensurate with these objectives.

The SGP has provided grants in all of the GEF focal areas. In terms of distribution across focal areas, the percentage of grant funding allocated to each focal area from start-up through OP3 (1992–2007) to OP4 and OP5 shows no major change in focal area coverage since the 2008 joint evaluation (table 2.3). 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

TABLE 2.1 SGP GROWTH: PARTICIPATING COUNTRIES AND GRANTS AWARDED

Item	1992–2007 (Pilot, OP1, OP2, OP3)	2007–14 (OP4, OP5 [ongoing])
Number of countries	84	122
Number of grants	9,182	9,481
GEF funding (million \$)	200.35	287.68

SOURCE: SGP database as of July 23, 2014.

TABLE 2.2 GROWTH IN SGP PARTICIPATION BY COUNTRIES IN SPECIAL CIRCUMSTANCES

Country category	1992–2007 (Pilot, OP1, OP2, OP3)	2007–14 (OP4, OP5 [ongoing])	New countries (since 2007)
All SGP countries	84	122	42 ^a
Countries in special circumstances	37 (44)	63 (52)	28 (67)
LDCs	19 (23)	37 (30)	18 (43)
SIDS	16 (19)	28 (23)	14 (33)
Fragile or conflict-affected situation	11 (13)	24 (20)	13 (31)

SOURCE: SGP database as of June 30, 2014. LDCs and SIDS are determined from the United Nations Office of the High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States as of August 30, 2013. Fragile and conflict-affected countries are determined from the World Bank Harmonized List of Fragile Situations for fiscal year 2014 (<http://siteresources.worldbank.org/EXTLICUS/Resources/511777-1269623894864/HarmonizedlistoffragilestatesFY14.pdf>, accessed August 30, 2013).

NOTE: Country categories are not mutually exclusive, so details do not sum to totals. Percentages are indicated in parentheses.

a. Forty-two countries commenced their programs starting with OP4; four countries did not continue with their programs into OP4 and OP5.

TABLE 2.3 PERCENTAGE OF SGP GRANT FUNDING BY FOCAL AREA OVER TIME

Focal area	Pilot, OP1, OP2, OP3	OP4	OP5 (ongoing)
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
Multifocal area	14	6	< 1
Persistent organic pollutants	2	3	3
Unknown	0	< 1	< 1

SOURCE: SGP database as of July 23, 2014.

in OP5). In short, OP5 has continued coverage of traditional focal areas while covering the new areas of adaptation to climate change and cross-cutting capacity development.

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 program countries. A total of 144 grant projects in 11 countries were visited and assessed with respect to their relevance, effectiveness, and efficiency. These ratings were combined into an overall outcome rating (see annex D). Seventy-seven percent of the grants thus assessed were found to be in the satisfactory range in terms of overall outcomes (table 2.4). This average overall outcome rating is slightly lower than the outcome ratings reported for 641 GEF projects in the most recent GEF annual performance report (GEF EO 2014a), of which 83 percent were in the satisfactory range. 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. Box 2.1 presents examples drawn from the country visits of SGP support to the achievement of global environmental benefits in the various focal areas.

TABLE 2.4 OVERALL OUTCOME RATINGS OF SAMPLED SGP PROJECTS

Rating	% of projects
Highly satisfactory	13
Satisfactory	47
Moderately satisfactory	17
Satisfactory range	77
Moderately unsatisfactory	13
Unsatisfactory	5
Highly unsatisfactory	1
Unsatisfactory range	19
Unable to assess	3
Total	100
Total number of projects assessed	144

SOURCE: See annex D.

Supplementing the large amount of solid primary evidence gathered by the evaluation, much secondary evidence of global environmental benefits generated by SGP projects is found in reports from the GEF, UNDP, and others. These reports provide numerous success stories from case studies covering a large range of countries and all GEF focal areas. Moreover,

BOX 2.1 ILLUSTRATIVE EXAMPLES OF GLOBAL ENVIRONMENTAL BENEFITS

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 indigenous and community conservation areas and territories. In Peru, biodiversity projects were mainly located in key ecosystems such as tundra, puna, dry forest, and Amazon and focused on agro-ecology and/or maintaining the genetic value of traditional products. Some interventions led to the restoration of populations that had been depleted due to their low economic value (e.g., color alpacas, native potatoes, native beans), overexploitation (*Liza* fish), or habitat destruction (river shrimp). In Jordan, projects in this focal area emphasized sustainable agriculture. For example, the two projects Sustainable Agriculture and Fifa Protected Area and Organic Crops Production and Environmental Conservation led to the establishment of community-managed special conservation areas. In Mongolia, a community-based forest management project in Mandal Soum helped conserve 3,113 hectares of forest area by protecting it from illegal logging and establishing a tree nursery. An endangered species conservation project in Panama contributed to the conservation of sea turtles in Cambutal, Los Santos. The project carried out a conservation awareness campaign, established patrols that guard the beaches during sea turtle arrival hours, and built facilities for egg nesting in selected beach areas.

Climate change. 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, which no longer have to cut down trees to heat water. SGP Senegal supported solar cooker projects which have reduced pressure on forest resources and given women more time to engage in income-generating activities. In Uganda, an SGP project led to the 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 land in order to protect the water resources, thus adapting to climate change.

Land degradation. In the countries visited, SGP support in the land degradation area 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 tested appropriate techniques and practices to combat desertification through an SGP project. For example, a 20-hectare reserve pasture was created to recover perennial grasses and native shrubs that protect soil from wind erosion and degradation;

(CONTINUED)

SGP projects received 59 national and/or international awards during the period January 2011–June 2012, and 41 from July 2012 to June 2013 (GEF SGP 2012, 2013). National and international stakeholders report that the SGP is effectively making a difference in both the achievement of global environmental benefits and the improvement of livelihoods in communities across the world.

Evidence collected in country also reveals that 61 percent of the 144 sampled projects face negligible or

only moderate risks to sustainability; 37 percent face significant or severe risks (table 2.5). These findings are comparable to sustainability ratings for other GEF projects: over the last several years, around 60 percent of GEF projects have received ratings of moderately likely or higher as to the sustainability of their outcomes (GEF EO 2014b). According to perceptions from SGP stakeholders interviewed during the country visits—which were validated by field observations during the project site visits—it is difficult to sustain the outcomes of SGP projects,

BOX 2.1 ILLUSTRATIVE EXAMPLES OF GLOBAL ENVIRONMENTAL BENEFITS (CONTINUED)

also, endemic trees and berry tree seedlings were planted to form wind breaks and provide seed for fodder crops. In Jordan, where desertification threatens livelihoods and food security, one of several SGP rain harvesting projects focused on conserving natural plant cover. It installed 42 wells, while raising awareness on land degradation issues. An SGP project in Peru constructed a small dam and ditches for water infiltration that 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 to improve livestock production and contribute to soil restoration. 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 vegetative 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, the SGP helped sensitize the Kigungu community on the shores of Lake Victoria to environmental issues; it also helped establish a waste management system, including construction of ecological sanitation toilets, a waste recycling site, and composting pits. The project installed efficient fish smoking kilns, and conserved the lake-fringing wetlands by rehabilitating abandoned sand mining pits and planting trees. As a result, 35 acres around the Kigungu landing now boast many established trees and flowering plants. Also, over 240 people have gained skills in solid waste sorting, management, and disposal, leading to the formation of a community implementation committee that ensures hygiene is improved throughout the Entebbe municipality.

Persistent organic pollutants. In Mozambique, an SGP project raised awareness of oil pollution, prepared a booklet on the uses and management of contaminated residual oils and lubricants, and helped develop a system for disposal and 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. While one project initially encountered resistance from the local authorities, once these individuals were invited to participate and began to see results, they promoted a local law (*ordenanza municipal*) to dispose of the containers. The same project also attracted the interest of the National Industry Union, which financed a machine to recycle the pesticide containers for use with agro-chemicals.

due to the low capacity of project participants and the limited time duration of the grants (typically less than 18 months). Another challenge is the difficulty of grantees accessing additional funding to continue their efforts. And for projects whose sustainability of outcomes has been rated as high risk, the physical inputs of the projects often cannot be found or have visibly deteriorated—in some cases, even before project completion. On the other hand, site interviews revealed that, even years after a project has finished, community members and project

participants are able to describe the project interventions in detail.

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 covered by another source. Broader adoption of SGP achievements is discussed in greater detail in chapter 3.

TABLE 2.5 OVERALL SUSTAINABILITY RATINGS OF SAMPLED SGP PROJECTS

Rating	% of projects
Severe risk to sustainability	10
Significant risk to sustainability	27
High risk to sustainability range	37
Moderate risk to sustainability	40
No or negligible risk to sustainability	21
Low risk to sustainability range	61
Unable to assess	3
Total	100
Total number of projects rated	144

SOURCE: See annex D.

2.3 RESULTS: POVERTY AND LIVELIHOODS

According to the mission statement on the [SGP website](#), the SGP seeks to embody the very essence of sustainable development by “thinking globally acting locally.” As described in chapter 1, the program 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. The SGP “has three ‘pillars’ in its comprehensive approach to sustainable human development: environmental protection, poverty reduction and community empowerment.”²

The 2008 joint GEF-UNDP evaluation of the 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” (GEF EO and UNDP EO 2008, 84). Subsequently, in 2010, the UNDP Evaluation Office evaluated UNDP’s contribution to environmental management for poverty reduction, i.e.,

the poverty-environment nexus (UNDP EO 2010). The evaluation found that the one area of UNDP’s externally funded operations that tackles poverty-environment issues centrally is the SGP.

The OP5 project document states that

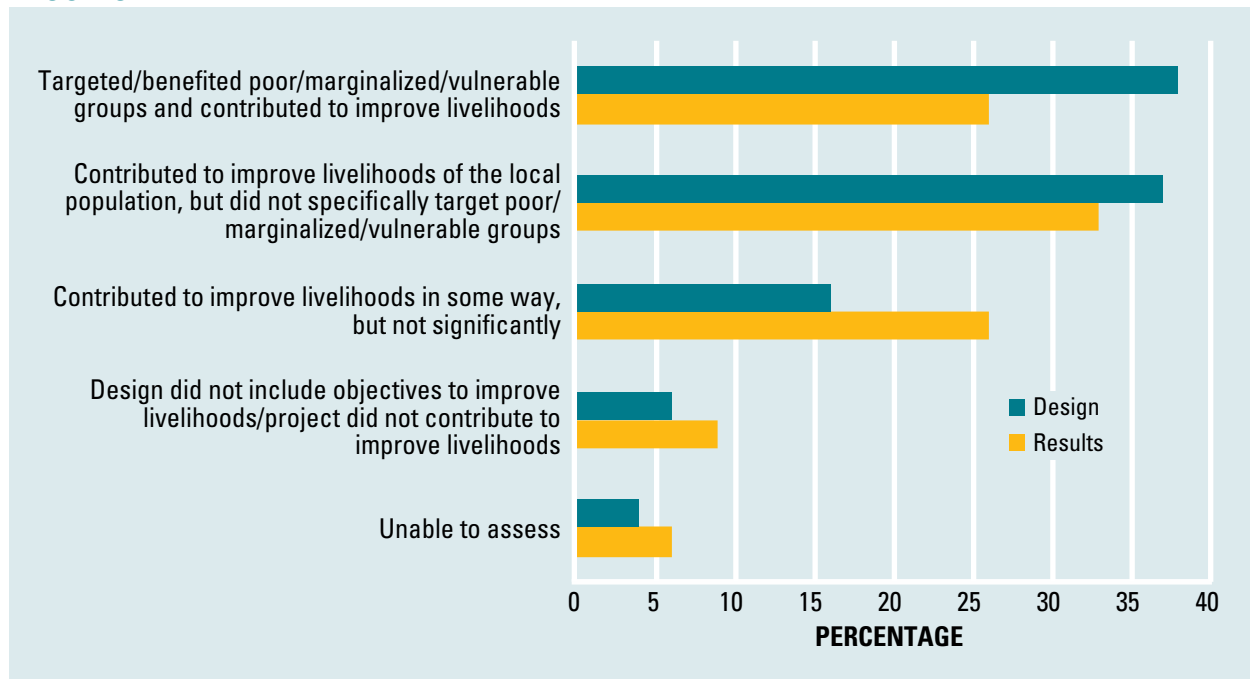
Local level sustainable development activities can, if properly focused and implemented and replicated at scale, produce decisive benefits to the global environment as well as community level benefits for the income and security of some of the poorest and most vulnerable populations of developing countries. (UNDP 2011, 5)

The OP5 document includes, in addition to objectives related to global environmental benefits, a 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” (UNDP 2011, 21).

Evidence gathered suggests that the SGP has given significant attention to community-level benefits and livelihoods, and that this attention is yielding positive results. The design and actual results of 115 grant projects conducted in eight countries were examined in terms of their contribution to community livelihoods (figure 2.1). With respect to design, 38 percent of the sampled projects explicitly sought to benefit poor, marginalized, or vulnerable communities and to contribute to improving their livelihoods. Another 37 percent aimed to contribute to the livelihoods of the local population, without focusing on particular groups. Some projects (16 percent of the sample) included references to livelihoods, but this element was not a significant part of the project design. Only a small percentage (6 percent) did not articulate any expected contribution to improved livelihoods.

In terms of results observed, 85 percent of the sampled projects had contributed in some, although not always significant, way to improve livelihoods. In many cases, this contribution to livelihoods was in parallel with a contribution to global environmental benefits—for example, a solar cooker project, whose stated objective was to regenerate vegetation, also helped reduce the time spent gathering wood and

2 SGP website, https://sgp.undp.org/index.php?option=com_content&view=article&id=112&Itemid=182#VV9-qYmzRA, accessed May 19, 2015.

FIGURE 2.1 LIVELIHOODS: DIFFERENCE BETWEEN SGP PROJECT DESIGN AND PROJECT RESULTS

SOURCE: See annex D.

NOTE: $n = 115$ projects.

tending a cooking fire, thus allowing women time to pursue other income-generating activities.

Some projects included special livelihood components such as a revolving microcredit fund; others generated short-term revenue for artisans engaged in project activities. Still others sought to replace an environmentally harmful activity with a more positive one. For example, in Senegal, women who were removing and selling lead from unused car batteries used their grant to instead invest in a new business of processing cereals. Note that, for most projects, there was no quantitative evidence of increased 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 in box 2.2.

A review of 30 SGP CPSs 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 varies widely. Approximately half of the CPSs emphasize issues related to poverty (e.g., the CPS includes specific discussion of poverty alleviation, makes reference to national poverty reduction strategies, and/or provides poverty statistics); the other half discusses 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 7 the geographic focus is based on environmental considerations; in 15, poverty or livelihood considerations are also taken into account in determining the geographic focus of the country program.

The CPSs also differ in their approach to identifying target groups. Fourteen discussed specific population categories to be targeted; of these, 12 refer specifically to indigenous people. Many of the documents use very broad categorizations such as “the poor,” “the vulnerable,” and “the marginalized.” Seven CPSs use specific terminology to distinguish

BOX 2.2 EXAMPLES OF SGP PROJECT APPROACHES TO TARGETING LIVELIHOODS, POVERTY, INEQUALITY, AND EXCLUSION

All of the eight sampled countries incorporate livelihood elements into their programs, with approaches adapted to the particular country context. For example, in Uganda, the SGP seeks to address the needs of the poor in order 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 support communities in engaging in sustainable land management and conservation agriculture so they can simultaneously gain greater benefits from their upland farms and reduce wetlands destruction.

Approaches to targeting the poor are also determined by local contexts. In Mozambique, all projects were designed to target poor communities, and the beneficiaries of almost all the SGP projects there were communities dependent on natural resources, primarily engaged in farming and fishing. In Cambodia, as in many program countries, livelihood improvement is a national priority, and all sampled projects were designed to contribute to livelihoods.

The extent to which programs are designed or able to target the poorest or most vulnerable varies. In Peru, the SGP makes notable efforts to work with poor communities, for example, by focusing on districts with higher poverty indexes such as the central Andes. However, it 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. Also, the poorest are often either not part of a community-based organization, or their organizations have limited institutional structures, thus affecting their participation with the SGP.

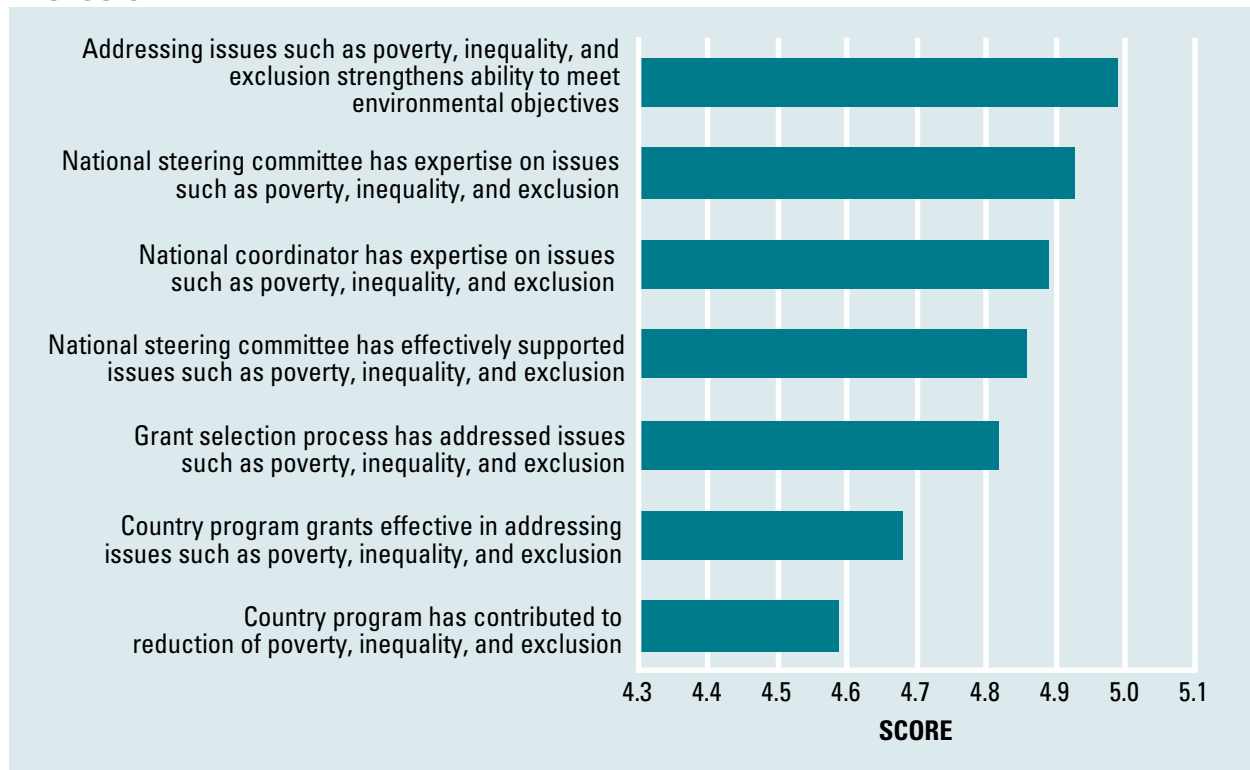
In Cambodia, stakeholders feel that the SGP has a strong focus on poverty, but not on the poorest of the poor. These stakeholders pointed out that focusing on the latter would be much more challenging, or even impossible. At a minimum, doing so would require a revised strategy, different intervention mechanisms, and revised targets. In the case of one project, 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, 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, the SGP specifically targets community-based organizations, most of which operate in rural areas and in indigenous *comarcas* which are among the poorest regions. However, at the individual project level, it was found that the beneficiaries were not among the poorest of the poor.

the poorest sections of society including “poorest of the poor,” “extreme poor,” or “ultra-poor.” One of the sampled CPSs specifies that the “SGP is targeting the poor, but not specifically the poorest and the most marginal groups.”

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 program’s ability to meet its environmental objectives. They suggest that the country SGP program—through its national coordinator and national steering committee members—generally has the capacity and expertise to address many socioeconomic objectives. They further note that the in-country grant selection

FIGURE 2.2 SURVEY RESPONSES TO QUESTIONS ABOUT POVERTY, INEQUALITY, AND EXCLUSION

SOURCE: See annex E.

NOTE: Data are for average responses on a scale of 1 (not at all) to 6 (to a great extent). To reduce possible positive bias from self-assessment, the question about the national coordinator does not include responses from national coordinators and the questions about the national steering committee do not include national steering committee responses.

process is designed to help projects address poverty, inequality, and exclusion. Stakeholder responses are slightly less positive with respect to the effectiveness of grants and the SGP country program in addressing these issues (figure 2.2). Interviews at the country level confirmed that most national stakeholders feel the SGP is addressing livelihoods and poverty reduction, but that there is much less agreement as to whether the SGP addresses the needs of the poorest, the vulnerable, and the marginalized.

At the global level, SGP planners and managers are committed to addressing socioeconomic 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 among

key stakeholders on the extent that other socioeconomic priorities should be addressed within the SGP. Stakeholder views documented during the evaluation largely support the contention that reducing poverty and combating inequality and social exclusion enhance efforts to protect the environment; 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 the incorporation of livelihood components into SGP projects as 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 combating poverty and injustice, and care should be taken not to dilute the SGP's primary mandate.

2.4 RESULTS: GENDER EQUALITY AND WOMEN'S EMPOWERMENT

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” (GEF, n.d., 3). 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.”³ The 2008 joint evaluation highlighted the participation of women in the 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 the SGP contribute to gender equality and women’s empowerment?

Since 2006, in line with evolving GEF and UNDP policies, the SGP has undertaken several 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. It has undertaken surveys, ensured that the CPS template includes gender concerns, and requested that all national steering committees have a gender specialist.

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 CPSs reviewed have a relatively strong approach to gender, in that they elaborate the concrete steps that should be taken, such as the inclusion of gender-specific measures in projects. The remaining one-third takes a weaker approach, often simply noting the generic statement, “gender as one of the mandatory cross-cutting requirements in the SGP grant-making

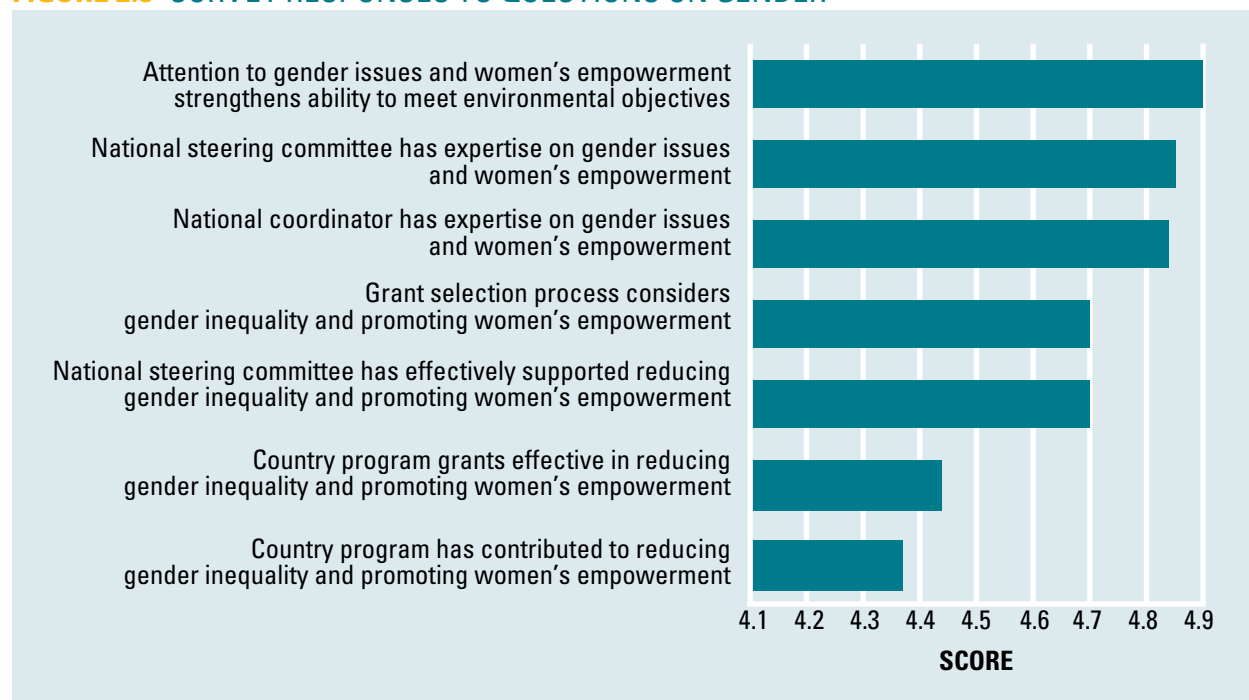
criteria is mainstreamed throughout the SGP portfolio of projects and incorporated within the project cycle.”

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: 8 CPSs (27 percent) indicate that gender is one of the criteria for project selection and approval, 11 (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 program 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. Its CPS noted that the 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.

National SGP stakeholders generally believe that attention to gender and women’s empowerment has strengthened the country’s ability to meet environmental objectives (figure 2.3). Nearly 60 percent of survey respondents find that the SGP grant selection process includes consideration of gender equality to a great extent (rating 5 or 6 on a scale of 1–6), and 47 percent find that grants have effectively (rating of 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.

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 2.6), more than half were found to have benefited women and men equally, or to have disproportionately benefited women. Many other projects benefited women, although not to the same extent as men. These benefits to women take different forms—for example, access to microcredit, increases in income, greater livelihood security, access to water and energy, or

3 UNDP website, <http://www.undp.org/content/undp/en/home/ourwork/womenempowerment/overview.html>, accessed May 19, 2015.

FIGURE 2.3 SURVEY RESPONSES TO QUESTIONS ON GENDER

SOURCE: See annex E.

NOTE: Data are for average responses on a scale of 1 (not at all) to 6 (to a great extent). To reduce possible positive bias from self-assessment, the question about the national coordinator does not include responses from national coordinators and the questions about the national steering committee do not include national steering committee responses.

TABLE 2.6 GENDER ASSESSMENT OF SAMPLED SGP PROJECTS

Criterion	Number of projects	Percentage 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 did so 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
Unable to assess	5	5
Total	103	100

SOURCE: See annex D.

time savings from a new technology. Sometimes benefits were indirect. In one case in Mozambique, the drilling of boreholes for watering trees reduced the need for women to walk long distances to fetch water.

Women and men also mentioned increases in women's empowerment. Several noted that women had taken on new leadership roles in projects, which had subsequently extended to their greater participation in other community activities, including decision making. There was no evidence or perception of a trade-off between the SGP's gender and global environmental objectives.

Comparing these findings for the SGP—that 52 percent of the sampled projects can be considered as having successfully mainstreamed gender considerations—against a recent analysis of 281 GEF projects evaluated for the Fifth Overall Performance Study (OPS5) reveals interesting results. In the GEF-wide sample, 124 projects did not consider gender and were not expected to; of the remaining 157 projects, only 55 (35 percent) successfully mainstreamed gender in their design and implementation. Another 35 percent mentioned gender but did not incorporate it in their activities. The remaining 27 percent indicated that gender was not relevant in the project, although their terminal evaluations provided evidence to the contrary (GEF EO 2014b). In comparison, only 16 percent of the sampled SGP projects were considered to have missed opportunities to integrate gender.

The SGP's achievements in promoting gender equality and women's empowerment are inevitably accompanied by challenges. A range of factors influences results in this regard. At the global level, extremely ambitious targets were set in the OP5 project document; notably, the first target is that "all SGP projects include gender analysis or incorporate gender relevant elements in a positive manner." Even though the CPMT has provided the SGP countries with guidance and tools, there is little evidence of gender or social analysis being carried out either during CPS development or during project design. Similarly, despite the OP5 target that "all projects ensure appropriate gender balance of participants

and target beneficiaries" with a related indicator being "number of participating community members (gender disaggregated)," there is limited use of sex-disaggregated data in project reporting, even for the simple indicator mentioned.

The CPMT reports that gender guidelines are not strictly enforced, as the SGP adopts a flexible approach given the multitude of contexts in which it works. Because many grantees are entering the international arena for the first time, the CPMT tries not to burden them with too many restrictions. However, adopting unrealistic targets—such as requiring that all projects include a gender analysis—makes it difficult to assess whether the program is making the desired progress.

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 evaluation's country visits suggest that the national coordinator and national steering committees are playing this role in many countries: in only one of the eight countries in which gender 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.

Local contexts and the 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 their involvement in project activities. Gendered division of labor also plays a role: a number of the sampled projects focused on activities that are traditionally carried out by men, such as fishing or certain agricultural activities; 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, SGP projects have thus reinforced existing gender roles.

3 BROADER ADOPTION IN THE SGP

Chapter 2 assessed the outcomes of individual SGP grants in terms of both environmental benefits and other important socioeconomic and human rights objectives. As outlined in the GEF theory of change framework, broader adoption of the outcomes achieved by GEF projects (e.g., through GEF support to strategies, techniques, technologies, approaches, knowledge management, and institutional capacity) is critical if the GEF is to achieve long-term global environmental benefits.¹ Due to its very nature as a small grants modality and to the local scale of its operations, the SGP cannot be held accountable for achieving global environmental benefits through broader adoption of grant-level results. Nonetheless, the SGP is expected to aim for effectiveness that goes beyond the individual grant level, and the CPMT is doing its best to respond to those expectations, as detailed below.

This chapter reviews the broader adoption of SGP outcomes at the local scale and above, and explores the factors contributing to broader adoption. As this is the first assessment of broader adoption in the SGP, the aim is not to provide evaluative judgments, but rather to provide a fuller understanding of whether and how broader adoption takes place and the mechanisms being used for broader adoption; and to consider where and how change is taking place and under what conditions. The objective is to provide evidence to support further discussions and clarification of expectations in this area, and to offer insights for future policy formulation.

1 For more information on the GEF generic theory of change framework developed by the GEF Independent Evaluation Office, see section 7.3 of the OPS5 study (GEF EO 2014b).

3.1 BROADER ADOPTION IN THE SGP UPGRADING POLICY AND OTHER OFFICIAL DOCUMENTS

Five transformational processes have been found to lead to broader adoption in the 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 the local scale (i.e., at the individual project level) was assessed in this evaluation, and discussed in chapter 2.²

Mainstreaming, replication, scaling-up, and market change are newer concepts in the SGP context, including in terms of understanding the expectations they place on the SGP country programs and the related M&E requirements. Performance targets have been developed for some of these processes— notably mainstreaming, replication, and scaling-up (box 3.1).

References to broader adoption processes are also found in the 2011 Chief Executive Officer (CEO) Endorsement Request for OP5 core funds. Section B2 of this internal document 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 [non-governmental organization] Network” It is interesting to note that in Annex B to the same document, the GEF Scientific and Technical Advisory Panel reviewer states that national-level mainstreaming should be

2 Because the GEF generic theory of change framework assesses transformation and change, sustainability is not accorded the same status as it normally receives in the evaluation literature. In the context of the GEF theory of change, sustainability (which implies durability, i.e., no change) is not always desirable, as some technologies, enterprises, or institutions will have to change with changing contexts.

BOX 3.1 GEF COUNCIL PERFORMANCE TARGETS FOR MATURE SGP COUNTRY PROGRAMS

To upgrade country SGP programs in GEF-5, the GEF developed categories based on program maturity (GEF 2009b):

- Category I includes all SIDS and LDC SGP country programs, as well as those that have been in operation for less than five years.
- Category II comprises all SGP country programs that have been in operation for more than 5 years and less than 15 years.
- Category III covers all SGP country programs that have been in operation for more than 15 years.

For each successive category, higher levels of performance are required.

With regard to broader adoption, “Category II country programmes should be focusing on replication, scaling up, and mainstreaming of successful projects, as well as generating useful knowledge management products” (GEF 2009b, 14). These programs “should have strong local networks of grantees and local NGOs [nongovernmental organizations] that are influencing local and national development planning and policy making and with national steering committees that are active in influencing policy and resource mobilization.”

Category III countries are expected 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” (GEF 2009b, 14).

considered unlikely. In response, the project proponents maintain that the SGP can influence policy and sectoral practices at the national level, noting that the national steering committee is a key mechanism for such influence.

The global results framework (Annex A of the CEO Endorsement Request) is more detailed, in that it defines specific outcomes for Category II countries (i.e., those in operation for more than 5 years and less than 15 years, and referred to in the document as “step-ups”), mostly in terms of 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 a concern, as noted in an interview with the CPMT Global Manager, that the outcomes are very ambitious. Additionally, in this

framework, indicators related to broader adoption are provided for approximately half of the SGP global objectives. For example, with regard to 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.”

A later document, “GEF Small Grants Programme: Implementation Arrangements for GEF-6” (GEF 2014b), de-emphasizes broader adoption; in fact, it does not specifically mention broader adoption processes at all. Rather, there are some references to elements of the SGP approach that can be seen to relate to mainstreaming; for example, the key action “to establish a network of capable communities and CSOs...dialogue with...planning and policy development” (GEF 2014b, 6).

3.2 INITIAL FINDINGS ON BROADER ADOPTION IN THE SGP

The GEF Independent Evaluation Office only recently introduced the concept of broader adoption that is now beginning to be adopted within the GEF as a whole. Consequently, indicators and baselines are lacking, making it difficult to generate quantitative descriptions of the extent of mainstreaming, replication, and scaling-up of SGP projects. Most evidence is secondary, perception based, or anecdotal. Initial findings suggest that much has been achieved in terms of broader adoption. First of all, survey respondents from 114 countries (92 percent of all countries represented) were aware of examples in their country of the SGP achieving some form of broader adoption. When asked to rate achievements in their country with regard to mainstreaming, replication, scaling-up, and market change on a scale from 1 (no achievements at all) to 6 (excellent achievements), respondents judged achievements to be moderate to good, with average response ratings between 4 and 5 (table 3.1). It is also worth noting that the achievements for replication were rated highest and those for market change lowest.

The evaluation team verified several examples of broader adoption during the country visits (box 3.2);

many achievements appear impressive. Most examples relate to replication and scaling-up, although there are also examples of mainstreaming, including policy influence. There are very few examples of market change, and only a few cases of scaling-up or replication through GEF FSPs or medium-size projects (MSPs). Initial findings suggest that the more mature programs are achieving somewhat more in terms of broader adoption than other countries.

The GEF SGP 2013 Annual Monitoring Report cites positive achievements related to replication, scaling-up, and policy influence (GEF SGP 2013), which the evaluation team could not independently field verify. The report provides 12 examples of these achievements: 6 of replication, 4 of mainstreaming, and 2 of scaling-up. Of the 12 examples, 7 show broader adoption of specific practices or technologies that were previously supported through an SGP grant, 2 show broader adoption of forms of community-based natural resource management that are understood to have been introduced or developed through SGP grants, and 1 demonstrates general support of 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 overstated. For example, the 2012 Annual Monitoring Report states that “Improved energy efficient stoves are one example of a

TABLE 3.1 RATINGS OF BROADER ADOPTION OF SGP PROJECTS

Respondent category	Mainstreaming	Replication	Scaling-up	Market change
All	4.43	4.64	4.35	3.58
Government stakeholder	4.33	4.07	3.84	4.45
Multilateral stakeholder	4.18	4.24	4.27	2.90
NGO stakeholder	4.47	4.49	4.12	4.25
Academic stakeholder	4.45	4.73	4.33	3.24
Private sector stakeholder	4.13	4.31	4.38	2.88
SGP staff/national steering committee member	4.22	4.19	4.23	4.62
UNDP resident representative	4.00	4.32	3.84	3.53
GEF focal point	4.32	4.32	4.23	3.86

SOURCE: See annex E.

BOX 3.2 EXAMPLES OF SGP PROJECT BROADER ADOPTION

During the country visits, **replication** was often identified at the local scale—that is, from neighbor to neighbor or from one village to the next. 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 in *Lisa* fish aquaculture were replicated by two nearby farmers. And in Cambodia, a technology to transport water to water-short areas using locally manufactured canals and pipes, introduced through the SGP to one village, was copied by a neighboring 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 programs that require a radical behavioral change in communities that previously considered waste management to be a government responsibility. This collaboration directly helped attract additional investment, including from the World Bank.

Broader adoption also occurs at higher levels, including 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.

In Panama, the Inter-American Development Bank is planning a larger, follow-up project to an SGP grant in the Darien region that demonstrated sustainable coconut oil extraction. It intends to continue working with the communities involved in implementing the SGP grant.

community technology successfully adapted and scaled up globally by GEF SGP” (GEF SGP 2012, 31). The evaluation did not find evidence of this global level of impact.

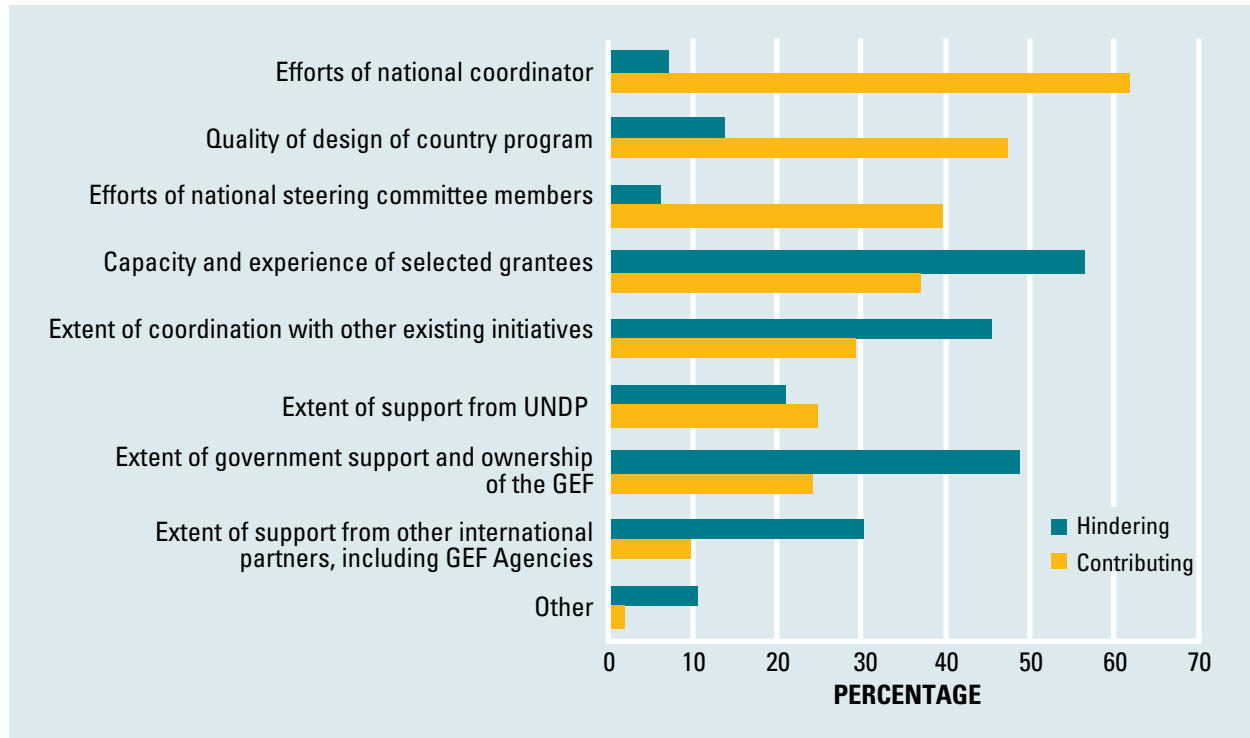
3.3 FACTORS INFLUENCING BROADER ADOPTION IN THE SGP

The evaluation explored factors that promote or limit broader adoption. Survey respondents identified several factors that hinder broader adoption and a range of factors that contribute to broader adoption (figure 3.1).

Survey responses show appreciation for the efforts of the national coordinator. The work of the national steering committees is also appreciated, but less emphatically. The capacity of selected grantees was identified as an important hindering factor by

all respondent groups. As most grantees are community based, this factor mostly likely will relate to replication at nearby sites, as it is difficult to see how grantees can be expected to be responsible for mainstreaming, scaling-up, or market change. More than a third of the respondents (37 percent) also identified the capacity of a selected grantee as a contributing factor, suggesting that 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. Government respondents did not concur with this opinion, especially GEF focal points—half of them and 39 percent of all government stakeholders identified government support and ownership as a contributing factor.

For the sake of validating the survey results, these broader adoption factors were also explored during the country visits through desk review of the CPSs and other key documents, as well as interviews

FIGURE 3.1 STAKEHOLDER PERCEPTIONS OF FACTORS HINDERING AND CONTRIBUTING TO BROADER ADOPTION

SOURCE: See annex E.

(table 3.2). The analysis recognized that the factors influencing the likelihood of an SGP project to achieve broader adoption—and the mechanisms through which broader adoption occurs—vary from country to country and situation to situation. These factors can be categorized as either “contextual” (pertaining to the enabling environment, external conditions, and thus beyond the influence of the SGP) or “program-related” (due to the actions and efforts of SGP stakeholders and SGP activities in the country). As the table shows, the roles of the national coordinator and national steering committee were confirmed as key contributing factors. None of the visited SGP country programs had a specific strategy for broader

adoption. Most interviewed stakeholders were in favor of broader adoption occurring and believed that it should happen; however, most felt expectations for broader adoption should not be high.

In summary, expectations of the SGP achieving some form of broader adoption began to emerge with the introduction of the upgrading policy, grew in OP5, and diminished with the programming document of OP6. Nonetheless, broader adoption certainly occurs, particularly in the form of replication and scaling-up and at a local scale; and the SGP deserves recognition for its contribution to results that extend beyond the project level.

TABLE 3.2 FACTORS IDENTIFIED IN COUNTRY VISITS AS INFLUENCING BROADER ADOPTION OF SGP PROJECTS

	Contextual	Program related
Contributing to broader adoption	<ul style="list-style-type: none"> ● Conducive political support ● Overall government support for the GEF ● Support from high-level decision makers ● High-profile visit to the SGP project ● Possibility to establish partnerships with other development entities ● Presence of champions ● Cooperation with other actors and building on previous initiatives ● Ability to generate income 	<ul style="list-style-type: none"> ● The role of the national coordinator: although not initially recruited to undertake broader adoption, the role of the national coordinator was significant in almost all examples of broader adoption ● The role of national steering committee members: in some countries, some committee members—both governmental and nongovernmental—have played a strong role in broader adoption, pushing for adoption through their networks or sector ● 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 guidance in this regard ● The role of UNDP country offices: in countries where there is active engagement between the country office and the SGP country program team, there tends to be greater success in building broader adoption—e.g., 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 national steering committee members: in some countries, the committee has not been involved in broader adoption, focusing its attention on identifying, selecting, and supporting the design of individual projects ● The role of UNDP country offices: overall, many country offices do not provide significant support to the SGP and do not ensure that the SGP is appropriately integrated into UNDP at the country level ● 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: See annex D.

4 SGP'S STRATEGIC POSITIONING

Chapters 2 and 3 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 2, the SGP was not initially designed as a permanent program, and there were sunset provisions established for the duration of each country program. The intent was to graduate country programs after some time to free up resources for other countries to join the program. Conclusions and recommendations of the 2008 joint evaluation and 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 SGP upgrading policy, this chapter first details its historical background, its implementation, and the lessons learned. The chapter then describes the diverse expectations placed on the current SGP and implications for the future. It ends with an assessment of the SGP governance structure—looking at whether and how it has adapted to the challenges, opportunities, and future.

4.1 BACKGROUND AND CURRENT STATUS OF THE SGP UPGRADING POLICY

Funding limits placed on the SGP in GEF-4 necessitated the introduction of a graduation policy. In 2006, a policy was put in place 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” (GEF EO 2007b, para. 76). This policy would have led to the graduation of more than 40 country programs—meaning that those country programs would no longer be eligible for any GEF SGP core funds and would stop participating in the overall global SGP process. Further, the amount each country could access from SGP core funds was capped in accordance with a complex formula based

on country categories. In order to achieve overall economies of scale at the country level, SGP country programs were expected to access RAF resources to complement SGP core funds.

These funding restrictions on access to SGP core funds, and the expectation that countries access the RAF to support their SGP country programs, essentially placed new demands on the more mature country programs—even those not expected to graduate. These programs needed increased cofinancing, increased capacity to negotiate with national governments and other partners, improved communications, and increased knowledge management capacity. In effect, the greater the maturity of the country program, the greater the demands placed on the country. This was a form of de facto stratification of SGP country programs.

The 2008 joint evaluation assessed the graduation policy and the issue of accessing RAF resources. Based on this evaluation, the Council decided on two important modifications:

- 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.
- Also, “the criteria for accessing SGP resources (including both core and RAF) should be revised to maintain cost efficiency” (GEF EO 2007a).

The graduation policy and issue of capping access to GEF funds have since evolved still further. The “Small Grants Programme: Execution Arrangements and Upgrading Policy for GEF-5” established three categories of country programs, based on age and total cumulative grant received (GEF 2009b).¹ This

¹ Category I countries include all SIDS and LDC SGP country programs and country programs that have

document also established a basic principle for GEF funding of SGP country programs: namely, that core funds diminish and ultimately end as country programs gradually move from Category I to III, with the countries increasingly utilizing STAR funds instead. Category III countries are considered ready to upgrade—that is, ready to be financed through a separate, single-country GEF FSP.

As of OP5, the following situation pertains:

- Graduation has evolved to upgrading; an upgraded country does not necessarily stop participating in the overall SGP.
- Nine of the largest and most mature country programs are now upgraded. Each is financed through a separate, single-country GEF FSP, with no core funds. These programs are not supervised by the CPMT. The GEF contribution is reportedly capped at \$5 million. The country programs have individual results frameworks. A 10th country, Chile, decided to no longer apply key elements of the SGP operational guidelines; consequently, it is no longer considered as participating in the SGP.
- All other country programs are financed by SGP core or STAR funds, or a mixture thereof. In OP5, these funds were approved 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.
- Seventeen mature country programs, including several LDCs, were no longer eligible for SGP core

funds in GEF-5 and so are financed entirely by GEF STAR funds—the “pure STAR” countries.² The GEF contribution is managed through a single global project document, thereby facilitating approval and management. The GEF STAR contribution for each country is capped (as per GEF 2009b) at either \$3.6 or \$2.4 million, depending on the country’s overall STAR allocation; in the case of these 17 countries, the cap was \$3.6 million. The CPMT continues to provide supervision and guidance. There are high expectations placed on these programs in terms of achievements and in helping less mature countries.³

- All the remaining country programs 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 program (primarily in terms of its length). The GEF STAR contribution for these countries is capped at either \$3.6 or \$2.4 million, depending on the country’s overall STAR allocation. The CPMT provides supervision and guidance.
- Of the mixed countries, 67 applied for and received a STAR allocation under OP5. These STAR allocations were approved and are managed according to a separate single global project document (the STAR 2 project).
- Twenty-six of the mixed countries decided not to use STAR funds for SGP activities; their country programs are thus financed entirely by SGP core funds. This subgroup includes country programs that applied for STAR resources that were not endorsed by the GEF operational focal point (OFF).

been in operation for fewer than 5 years. Category II countries include all country programs that have been in operation between 5 and 15 years. The country programs 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. Category III consists of all country programs 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.

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

3 These countries are sometimes referred to as STAR 1 countries, as they are financed through the first STAR-funded global project. Although Vietnam is part of this group, its STAR SGP resources are managed through the STAR 2 project, as the GEF official focal point endorsement was received too late to be included in STAR 1.

It also includes six SIDS that were originally part of subregional programs and are now transitioning to a country program modality. The subgroup also includes several countries new to the SGP.

- In total, 107 countries have an allocation of SGP core funds; these funds are managed through a single global project (the SGP core project).

On average, the 17 pure STAR countries successfully applied for 69 percent of the maximum capped STAR amount. Five of these countries requested the maximum amount of \$3.6 million. Collectively, for these 17 countries, this amount corresponds to an average of 9 percent of the total GEF STAR allocation, reflecting strong national support from the GEF OPF and other stakeholders for the SGP in those countries.

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 level is considerably less than for 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 known how many of these countries requested STAR funds but did not receive any, or how many did not request any STAR funds.

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. In fact, the Council decision on the joint evaluation not only led to a continuation of the SGP, it also has facilitated increases in the program's scale in terms of overall funding, and number of countries and focal areas.

Overall, the upgrading policy has been actively implemented. Ten countries met the criteria for upgrading at the outset of OP5. Nine of these elected to upgrade; the 10th elected to leave the SGP altogether. Of the nine upgraded countries, eight began activities under OP5 and have high delivery rates

compared to non-upgraded countries (see chapter 5). The other upgraded country has an approved FSP project document but had not yet started issuing grants as of August 2014.

4.2 STRENGTHS AND WEAKNESSES OF THE UPGRADING POLICY

The measures taken to implement the upgrading policy have had a series of direct and indirect consequences, which have in turn affected 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 countries.⁴ Table 4.1 maps out the 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, the GEF, and the CPMT.

As can be seen from the table, some consequences affect all countries, whereas others only affect one category of country. Also, some consequences affect some countries within a category negatively, but others positively. Overall, the effects of the upgrading policy have been mixed, and are often country specific. Many important effects only apply to specific countries, making it difficult to identify common trends.

4.3 STAKEHOLDER UNDERSTANDING AND ACCEPTANCE OF UPGRADING

At the central level, most interviewed stakeholders were broadly in favor of upgrading, recognizing the need for the evolution of SGP country programs 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.

⁴ For the purposes of this discussion, the pure core countries are seen as being at the very start of the upgrading continuum, and so the impact of upgrading on them is not considered.

TABLE 4.1 CONSEQUENCES OF UPGRADING POLICY AND CHANGES IN ACCESS TO GEF RESOURCES ACROSS COUNTRY PROGRAMS

Consequence	Upgraded country programs	Pure STAR countries	Mixed countries
Mostly positive effects on effectiveness and efficiency			
Access to STAR leads to increased amounts of GEF funds	Overall, these countries received \$18.06 million for grants in OP4. In OP5, they were allocated a total of \$39.98 million. Even though this includes nongrant and project management costs, it is clearly a major increase.	Comparing total RAF and core grants in OP4 with the OP5 STAR allocation shows that 13 of the 17 countries have larger total grant amounts in OP5. Collectively, the STAR countries received 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. Among the mixed countries, 33 received no STAR funds; 18 have a total grant allocation of less than \$1 million for the four-year cycle.
Use of FSP modality leads to increased flexibility to introduce national approaches	Many/most affected positively. Upgraded countries use area-based approaches and grant clustering more than non-upgraded countries; however, this may not be a result of using the FSP modality.	n.a.	n.a.
Requirement to access STAR (and cofinancing) leads to increased discussion and dialogue with partners, especially government partners	Most affected positively. The need to obtain STAR endorsement ensured the SGP country team interacted effectively with the GEF OFP and, in many cases, with other partners.	Most expected to be affected positively.	Some expected to be affected positively. Not certain if dialogue with the GEF OFP has been strengthened for the many countries that were unable to obtain a significant STAR allocation.
Requirement to access STAR allocation (and cofinancing) leads to the involvement of more partners, especially government partners, in program design and implementation ^a	Some affected positively. This requirement facilitates access to cofinancing, and should later facilitate mainstreaming of findings and lessons nationally.		
Use of FSP modality means that, once the FSP is approved, there is more predictability in funding for grants ^b	Most or all probably affected positively. Kenya and Ecuador cited the importance of this predictability.	n.a.	n.a.

(CONTINUED)

TABLE 4.1 CONSEQUENCES OF UPGRADING POLICY AND CHANGES IN ACCESS TO GEF RESOURCES ACROSS COUNTRY PROGRAMS (CONTINUED)

Consequence	Upgraded country programs	Pure STAR countries	Mixed countries
Mostly negative effects on effectiveness and efficiency			
Complexity of accessing FSP and other STAR funds has led to increased delays and transaction costs in SGP program design and start-up, and in issuance of grant payments ^c	All affected negatively. The FSP approval process has been lengthy and complicated. Two of the nine upgraded countries had not yet approved 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 affected negatively in this regard). Implementation sped up during the last year.	Most affected negatively. Both STAR 1 and, especially, STAR 2 experienced significant delays. ^d Although \$200,000 was advanced to STAR 1 countries to act as a bridge, this is a small figure and had only a slight mitigating effect.	The mixed countries also experienced delays, but had the advantage of being able to start implementation using core funds. Countries with low core funds and high STAR funds faced a significant challenge undermining efficiency, in that, early on, they could only afford to cover operating costs and issue a few grants. When STAR funds became available, there was pressure to issue a large number of grants in a short period.
Under the FSP modality, time to complete country program implementation is short and fixed, making the time to complete individual projects similarly short and fixed ^e	Too early to tell if this is a major problem. Initial concerns relate to the following: <ul style="list-style-type: none"> ● The reduced time and pressure to reach end points mean there is less time for learning and adaptive management, at both the project and country levels. ● Evidence is emerging that challenges are being faced after 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 OP5 to OP6. 	n.a.	n.a.
The requirement to use STAR funds linked to focal areas makes for less flexibility in addressing focal areas ^f	No observable impact.	While there is no evidence of this being a major issue in terms of flexibility, there is some evidence that this may have caused confusion in some countries.	n.a.
Due to the centralized nature of country allocations, there is less flexibility to allocate funds to high-performing countries ^g	n.a.	It is possible that some countries have been negatively affected and that the CPMT would have allocated more funds to high-performing countries if it was able to do so.	Some countries negatively affected. High-performing countries (e.g., Albania, Guatemala) now receive less funding, while some low-capacity countries (e.g., Lao PDR) have more funds allocated to them than they are able to use effectively.

(CONTINUED)

TABLE 4.1 CONSEQUENCES OF UPGRADING POLICY AND CHANGES IN ACCESS TO GEF RESOURCES ACROSS COUNTRY PROGRAMS (CONTINUED)

Consequence	Upgraded country programs	Pure STAR countries	Mixed countries
The need to obtain STAR funds creates competition with other potential GEF stakeholders, resulting in some confusion and reduced collaboration ^h	Some countries possibly affected negatively. In Kenya, frictions were reported, and some stakeholders were unhappy. However, there will always be competition for GEF funds given their limited nature.	Some countries affected negatively. The national SGP teams were quite aggressive in some countries in lobbying the OFP. This, along with overall confusion about the STAR at the country level and turnover in GEF OFPs, led to the need to retract or revise endorsements in a few countries.	
Requirement to access STAR allocation (and cofinancing) leads to the involvement of more partners, especially government partners, in program design and implementation ^a	In Ecuador and Pakistan, this requirement was reported as having a negative impact, leading to a weakening of civil society's lead in the respective SGP country program.		

SOURCE: Interviews, meta-analysis of previous evaluations, country studies, SGP portfolio database, 2008 evaluation, and other information provided by UNDP and the CPMT.

NOTE: n.a. = not applicable. Blank cells indicate either insufficient or no evidence collected by the evaluation to support a finding.

- a. This requirement has both positive and negative consequences, and is thus listed in both sections of the table.
- b. In previous SGP phases, countries in the global program were approved an annual grant. Under the FSP modality, an overall package for four years is approved, leading to more predictability in funds available for grants.
- c. GEF fund flow issues affected the approval of STAR funds. That is, the GEF could not approve all SGP and STAR allocation requests early on due to unavailability of funds. The GEF thus had to adopt a phased approach linked to core, STAR 1, and STAR 2 projects.
- d. Part of the delay is due to overall fund flow constraints in the GEF, and the fact that the GEF was unable to approve all SGP funds in one decision at the outset, making it necessary to approve the SGP in tranches. However, the linking of these tranches to STAR 1 and STAR 2 probably led to delays and confusion for some countries.
- e. For non-upgraded countries, all country programs benefit from the use of the “rolling modality.” In this rolling modality, unused funds from one cycle can be reallocated to later years.
- f. Some focal areas (e.g., international waters) do not have a STAR allowance. However, 20 percent flexibility is allowed in terms of focal area allocation. In contrast to STAR funding, the allocation of core funding across focal areas is set out in the CPS, which is developed by national teams and approved by the CPMT.
- g. In the past, the 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. Moreover, in OP5, the use of core funds was also determined centrally by the GEF Secretariat in consultation with the CPMT.
- h. The need for GEF OFP endorsement of all STAR funds places the SGP teams in direct competition with other GEF proponents—including proponents supported by the UNDP country office, which may have suggestions for other uses of STAR funds.

In the global survey, respondents were first asked whether they were aware of the GEF policy on upgrading SGP country programs. Sixty-two percent responded affirmatively. The survey text then described the upgrading policy, and asked respondents if they were in favor of the SGP program in their country one day being upgraded and implemented as an FSP. The average overall response was 4.33 (on a scale of 1 to 6), suggesting that national-level stakeholders slightly favor this idea. Interestingly, UNDP resident representatives are less in favor of upgrading than are respondents overall (3.75), while GEF focal points are more in favor than respondents overall (4.49); SGP staff and national coordinators reflect the average response (4.32).

Interviews conducted in the country studies indicated that the level of understanding of upgrading to the FSP modality is 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 program's flexibility and its ability to quickly reach out to communities. This perspective was clearly evident in Senegal and Uganda—neither of which country would, as an LDC, be subject to the current upgrading policy. Stakeholders in both Peru—which is slated to be upgraded for OP6—and Jordan—which would be eligible for upgrading except for a newly added criterion of a minimum country STAR allocation of \$10 million—only mentioned negative aspects of upgrading, such as increased competition for funds, lack of specific guidance (including strategic guidance), and an increased administrative burden.

4.4 CRITERIA FOR UPGRADING

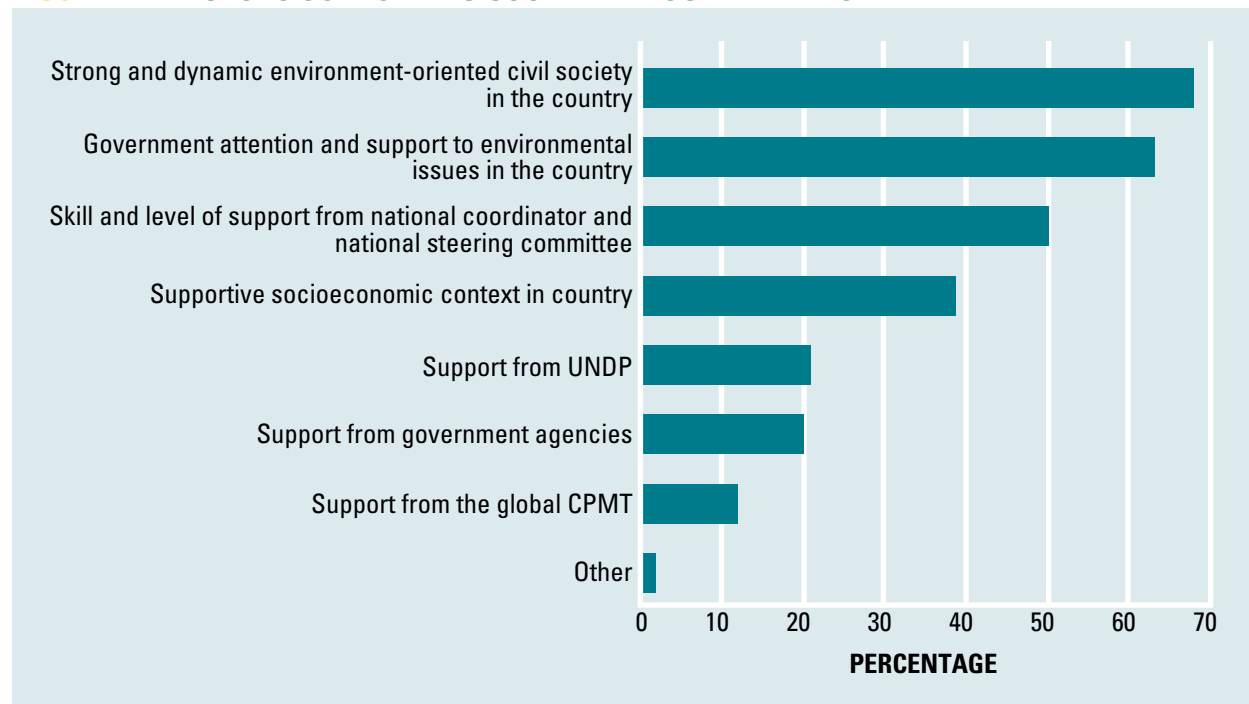
The upgrading policy can be interpreted as the only policy document containing elements that describe how SGP country programs are expected to evolve in the long term. In this framework, the choice of the criteria for selecting which countries are eligible to upgrade is crucial. As per current policy, countries are selected for upgrading based on two criteria: program age and program size in terms of cumulative grants. In GEF-6, two additional criteria will be

introduced: “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” (GEF 2014b, 14).

To better understand the context in which upgrading occurs, the evaluation sought to examine how SGP country programs evolve. The global survey asked respondents to select factors that best support the maturation of an SGP country program (figure 4.1). Respondents considered a strong and dynamic environment-oriented civil society to be the most important factor in this regard. Notably, the first, second, and fourth most commonly selected factors are all external to the GEF and the SGP framework. This indicates a strong belief, at least at the country level, that SGP program development is more influenced by its context than by GEF and internal SGP factors.

When asked the characteristics best exemplifying a mature SGP country program, survey respondents indicated level of cofinancing to the SGP country program (from sources other than the GEF) and the strength and sustainability of the country's environment-oriented civil society (figure 4.2). These responses were broadly consistent across all 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 program to adapt to changes in country conditions and assigned less importance to the level of government cofinancing and the number and diversity of partnerships.

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

FIGURE 4.1 FACTORS SUPPORTING COUNTRY PROGRAM MATURITY

SOURCE: See annex E.

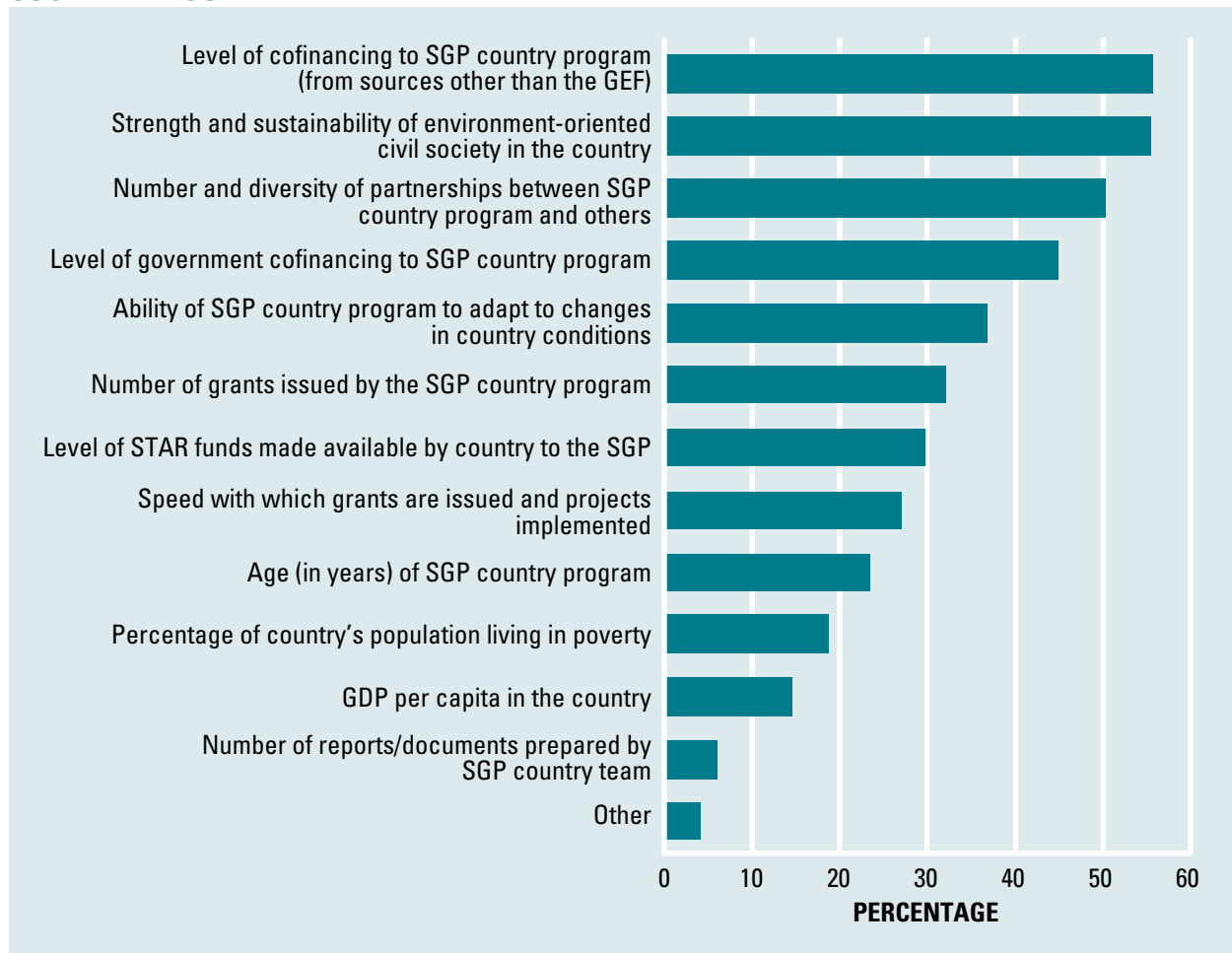
4.5 EXPECTATIONS AND VISION FOR THE SGP

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

At the global level, the policies and priorities to which the SGP is subject are the same as those of the GEF—to achieve global environmental benefits. To some extent, the policies and priorities of UNDP as a GEF Agency focusing on sustainable human development come into play as well. Evidence collected and analyzed in this evaluation shows that, at the global level, the balance between a focus on the environment and a focus on other aspects of development has shifted over time. For example, global interviews revealed

differences of opinion 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* (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 for issues of global environmental concern). The SGP role has since evolved to emphasize the “ends,” such as building partnerships and linkages in order to replicate, mainstream, and scale-up to achieve higher-level results.

Evidence of a shift away from the environment is found in the new UNDP Strategic Plan (2014–2017; UNDP 2013). The plan does not have a strategic outcome specifically focused on the environment. Only two descriptive paragraphs in the document

FIGURE 4.2 CHARACTERISTICS OF AND CONTEXTUAL FACTORS FAVORING A MATURE SGP COUNTRY PROGRAM

SOURCE: See annex E.

NOTE: GDP = gross domestic product.

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” (UNDP 2013, para. 13), 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. (UNDP 2013, para. 13)

The OP5 project document and the CEO endorsement clearly state the importance of GEF global priorities and global environmental benefits, and that the SGP’s objective is to contribute to these. Thus, a strong focus on global environmental benefits is unquestionably planned and built into the SGP global design. However, the global SGP planning and design documents also emphasize the importance of aligning to national socioeconomic plans and generating local socioeconomic benefits, leaving space for

SGP country programs and individual grants to meet local socioeconomic needs and align to national development policies. The OP5 overall objective is for global environmental benefits to be secured through community-based initiatives and actions.

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

Interviews at the 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 programs. During the country visits, many of the interviewed stakeholders—in particular national steering committee members—highlighted that the community's priority is not always the conservation of its 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 the grassroots level, the SGP grants are primarily about supporting local sustainable development, with global environmental benefits being secondary. While countries seem to be receptive to the GEF's focus on global environmental benefits, they also unanimously see a strong role for the SGP in promoting livelihoods, building communities and capacity at the community level, and fostering government-CSO partnerships.

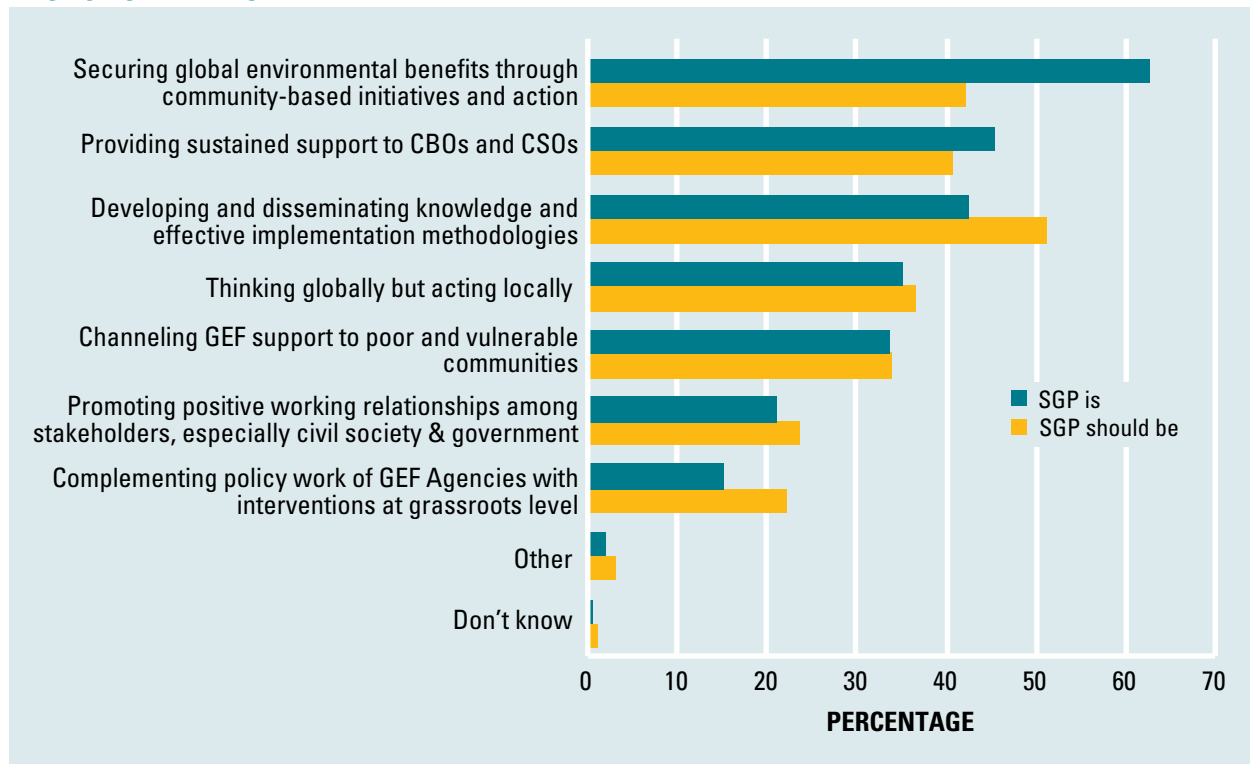
The perceptions of national-level stakeholders on these issues were assessed through the global survey. Respondents were asked to select from a list of possible responsibilities those that best describe the SGP in their country as it is now, and as it should be (figure 4.3). The most popular response describing the SGP as it now exists was securing global environmental benefits through community-based initiatives

and actions; this was indicated by 63 percent of the respondents. The second most popular response (selected by 45 percent) was providing sustained support to community-based organizations (CBOs) and CSOs, and the third (selected by 42 percent) 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 multidimensional.

Comparing actual to envisioned SGP responsibilities shows that respondents believe the SGP is doing what it should, but that the relative emphases should be adjusted. The emphasis on securing global environmental benefits through community-based initiatives and action decreased, from 63 percent to 42 percent. The focus on the SGP role in channeling support to the poor and vulnerable communities remains consistent, 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 level.

Although planners and decision makers are generally committed to SGP policies and priorities, the fact that the SGP has been 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 the clarity of its purpose. And, like the national coordinators and national steering committees at the country level, the CPMT plays an important role at the central level in mediating between these various positions and policy interpretations. Given the SGP's unique position linking global environmental benefits and community development aspirations, there is an inherent mix of expectations for the program, which results in having to continually manage the demands and tensions that arise.

Another example of differing expectations for the SGP was illustrated in chapter 3 regarding broader adoption. As discussed there, on the one hand, the GEF theory of change framework emphasizes

FIGURE 4.3 STAKEHOLDER PERCEPTIONS OF SGP ACTUAL AND ENVISIONED RESPONSIBILITIES

SOURCE: See annex E.

broader adoption of GEF strategies and techniques to achieve global environmental benefits in the long run; while on the other, 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 the CPMT feels pressure to achieve broader adoption. Yet many stakeholders emphasize that, while broader adoption is occurring, and that is a positive outcome, high expectations in this regard should not be placed on the SGP.

Different expectations on the SGP's role and purpose are reflected in different interpretations of the SGP's operational nature. Stakeholders question whether the SGP is a program, a GEF modality, or a delivery mechanism. This perception 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 it is seen as a GEF funding modality, SGP core funds represent only 5 percent of total GEF funding—a rather small amount. If the SGP is a delivery mechanism, its substantive objectives are flexible and can adapt to potential sources of funding. If it is a program, it should have clear, achievable, non-negotiable targets.

The context in which the SGP operates has changed considerably since the program's creation in 1992; this is true both globally and in most countries, and the context continues to change. The GEF too 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, while lessening its emphasis on environmental conservation. The global financing situation has changed, in particular with regard to climate change, as there are now 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 of development budgets. The internal situation in many of the SGP partner countries has changed, as many have made good economic progress and progress toward the Millennium Development Goals. In response, the SGP has had to evolve. Furthermore, each SGP country program has followed a unique, nonlinear path, which at times includes setbacks due to external shocks.

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

Many central stakeholders maintain that there has been a lack of high-level strategic discussions regarding the SGP evolution from 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 noted that too little strategic thought had been given to developing alternative, in-country delivery models.

Finally, the evaluation notes that the OP6 implementation strategy for the next phase and the GEF-6 programming directions which include a section on the SGP (respectively, GEF 2014b and 2014a) do not set out a clear strategic role or function for the SGP for the longer term. The documents do not include a reference as to how the SGP could or should evolve or how country programs may evolve. The latter document begins with a reference to empowering poor and vulnerable communities, but does not discuss how the SGP should balance these issues while keeping the core focus on global environmental benefits. The programming directions refer 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” (GEF 2014a, 8). It is not clear from these documents how the SGP is to prioritize the many expectations placed upon it.

4.6 SGP GOVERNANCE STRUCTURE

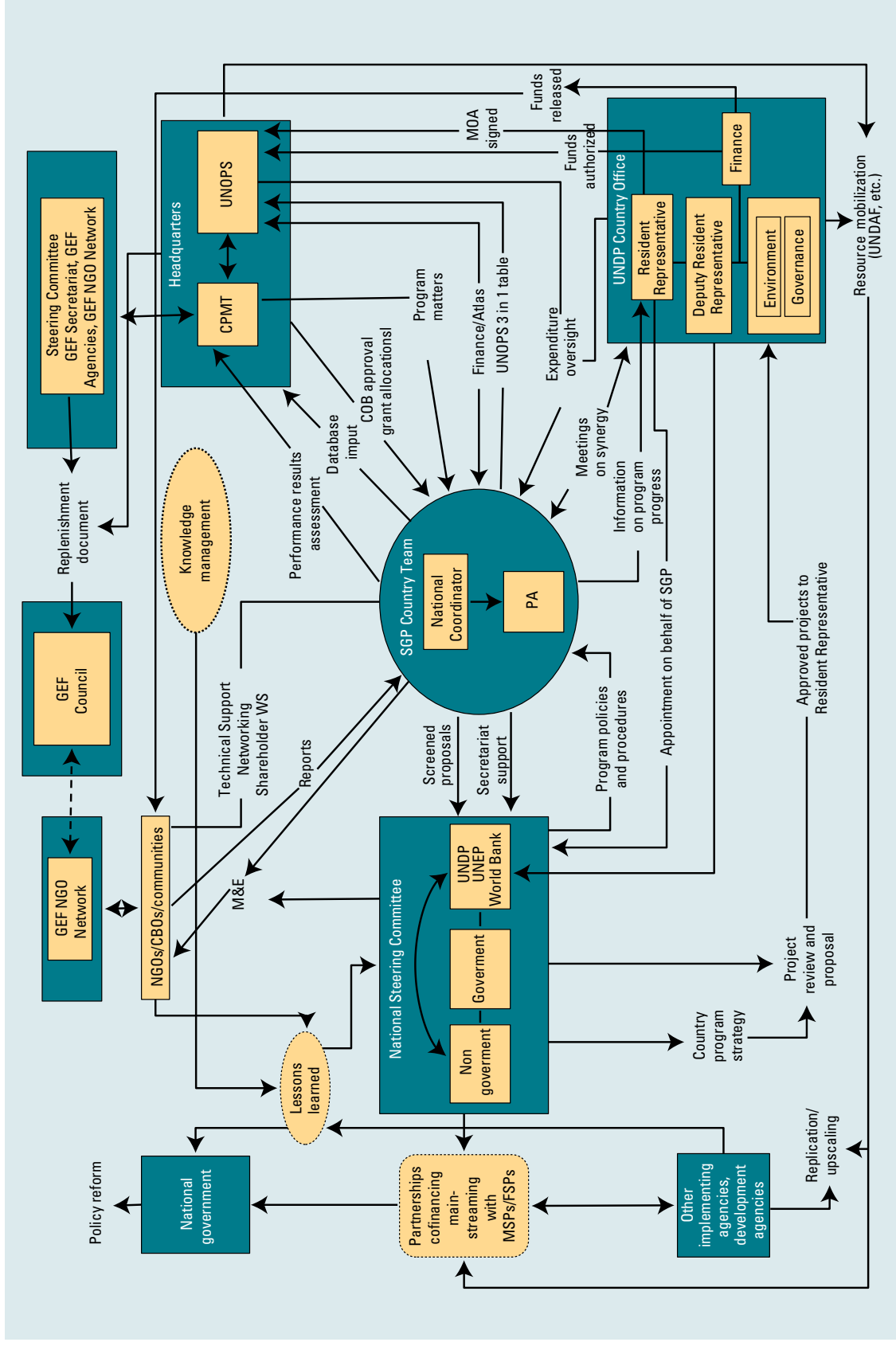
This section reviews the governance structure of the SGP, in light of the above-described challenges and opportunities facing the program.

The SGP is implemented by UNDP, and executed by UNOPS. Within UNDP, the SGP is a “project”; 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 program. Until 2007, the CPMT played a role in all aspects of country program development and implementation, even though its ability to do so was constrained by the program’s growing complexity and scale. The 2008 joint evaluation concluded that “The current management model of the SGP has reached its limits and is not suitable for a new phase of growth” (GEF EO and UNDP EO 2008, 14). Accordingly, the Council decision made on the basis of the joint evaluation called 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.”

The SGP governance structure is presented in figure 4.4. According to this figure, the CPMT is linked to the global SGP Steering Committee; the relationship between the CPMT and UNDP at the headquarters level is not clearly delineated. 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.

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. Through its programming documents, the Council provides direct guidance to the SGP. For example, the GEF-4 revised programming document indicated the outcomes on which the SGP

FIGURE 4.4 SGP ORGANIZATIONAL CHART AS OF AUGUST 2013



SOURCE: CPMT.

NOTE: The lines and arrows between the various entities in the diagram represent linkages, not reporting lines.

should focus, including increasing its reach, implementing projects to incorporate 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” (GEF 2005, 52). The GEF-5 programming document refers only to a few issues such as upgrading and strengthening national steering committees, and specifically states that, “strategic advice will be provided by the existing inter-agency Steering Committee chaired by the GEF CEO” (GEF 2009a).

During the period 2007–10, 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 frequently debated SGP operational and management issues that would ideally be settled by lower bodies (e.g., details of management costs, or the percentage allocation to M&E). After 2010, there is no evidence of the GEF Council providing specific guidance on the SGP.

The **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 committee was established to provide overall strategic guidance to the SGP and improve engagement across the GEF Agencies. However, it met only three times, with the most recent meeting in 2010; its focus in these meetings was primarily on operational issues.

The **GEF Secretariat** reports directly to the GEF Council and GEF 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 its initial conceptualization, and that the operating context had changed since 1992, thus necessitating design and operational changes to exploit opportunities, and improve strategic focus and operations. The Secretariat took early steps to facilitate the necessary changes—notably the creation of the global Steering

Committee, introduction of the need for upgrading, strengthening of the focus on results, and measures to streamline program administration.

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 members; deciding on the initial amount of core funds to be allocated to each country; revisiting this earlier decision by capping FSP funds to \$5 million per country). There is little evidence that the Secretariat took steps to clarify and interpret the corporate nature of the SGP. As this corporate nature has not been specified, it is open to interpretation (box 4.1).

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

At the global level, UNDP’s work is led by a GEF unit inside the Agency, UNDP GEF. The evidence suggests that UNDP GEF has been very active in its supervision of the CPMT and in supporting development of the SGP. Following upgrading and in direct response to the Council’s decision related to the SGP’s central management structure, UNDP modified its management of the SGP. Under this modification, the Communities Cluster in UNDP GEF was directly responsible for the development and implementation of all SGP FSPs in the upgraded countries until the end of 2013; this was 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, whereby management of the global program was separate from that of the upgraded FSPs. Specifically, the CPMT supervised and provided technical support to the global program, and an adviser in the Communities Cluster did the same for the upgraded country FSPs, with the same SGP operational guidelines applying to all countries. Attempts were made to implement a single approach to the SGP knowledge management

BOX 4.1 CORPORATE NATURE OF THE GEF SGP

The SGP was established at its inception as a GEF corporate program. For the GEF, the SGP's principal initial advantage was its ability to create a GEF presence and visibility at the community level, delivering grants that address local environmental concerns of global relevance. In this way, the SGP contributes directly to the GEF corporate objective of achieving global environmental benefits. Developments over the past 20-plus years both in the GEF and the SGP mean that the program's corporate nature is no longer so straightforward. Beyond establishing a GEF presence and visibility, the SGP may directly contribute to other GEF corporate objectives as well. Also setting the SGP apart from other GEF projects and programs is the nature of SGP cofinancing, which comes from so many different national and international partners to the SGP, and the nature of the program's partnership with UNDP.

These circumstances appear to have created a certain confusion regarding the essence of the corporate nature of the SGP even among core stakeholders. The following were each considered by at least one central stakeholder to be the defining aspect of the SGP's corporate nature:

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

system, but these encountered challenges. M&E of the global program and of the FSPs was, like their management, separate. In the early phases of the evaluation, it was observed that two distinct practice groups were evolving. Because upgrading has been limited to a small number of high-capacity countries, these negative effects have thus far been somewhat limited. At the end of 2013, new changes were made by UNDP, so that both the CPMT and the Technical Adviser coordinating the SGP FSPs report to the GEF Principal Technical Adviser, in the UNDP GEF 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 FSPs when invited.⁵

Although UNDP is legally responsible for the SGP, much of the operational decision making is performed by the GEF Secretariat. Furthermore, there is little evidence of UNDP effectively mainstreaming the SGP into its core programs. For example, mainstreaming would be seen in terms of far more cofinancing 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 the CPMT.

UNDP also plays a role in each of the SGP program countries through the UNDP country offices. Overall, the relationship between the SGP and the UNDP country office varies from country to country, but there are some common aspects. Notably, the UNDP country offices do not consider the SGP to be part of their program delivery, and do not consider SGP staff to be part of their core staff. The country case studies revealed limited mainstreaming of SGP activities into overall UNDP activities. Except in some countries, UNDP has not been very successful in attracting other partners to invest in the 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 somehow separate

⁵ Six out of 10 FSPs have elected UNOPS as their executing agency.

from the rest of UNDP. In some countries, there is tension between the UNDP country office and the SGP country program.

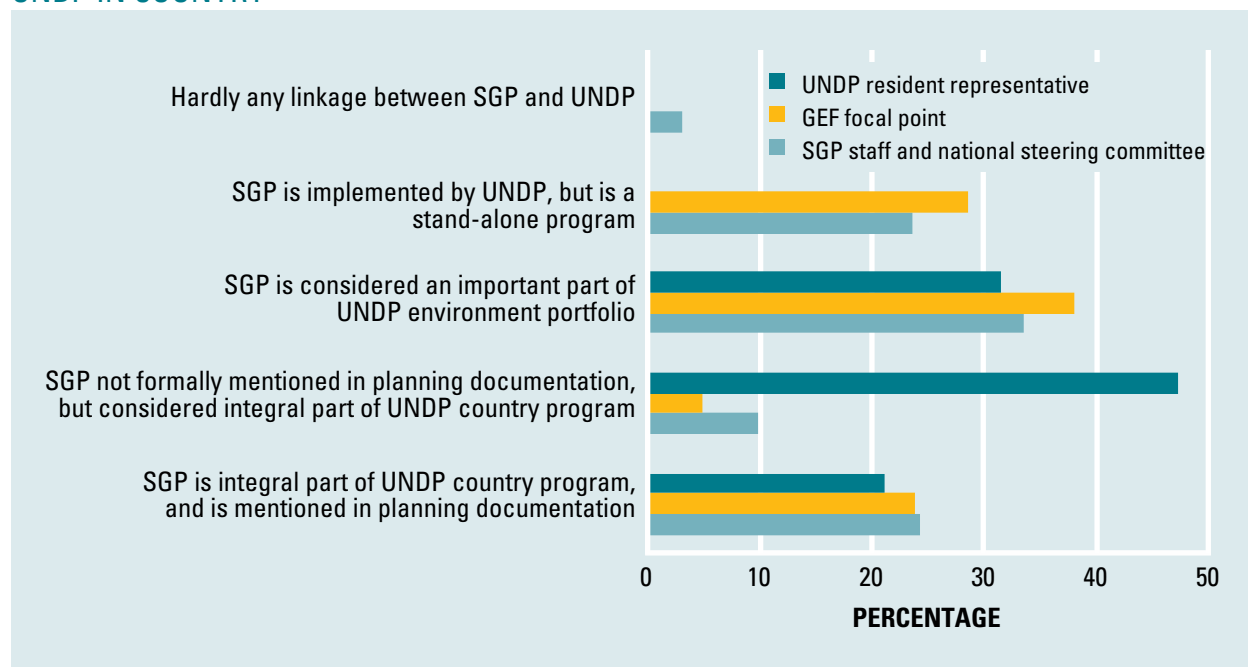
The global survey explored perceptions of the relationship between UNDP country programs and the SGP. Overall, 34 percent of the respondents consider the SGP to be an important part of the UNDP environment portfolio, and 26 percent believe that the SGP is an integral part of the UNDP country program (and that it is mentioned in the United Nations Development Assistance Framework and the UNDP country program document/country program action plan). However, when different stakeholder responses are analyzed, divergent opinions appear (figure 4.5). For example, 47 percent of UNDP resident representatives acknowledge that even if the SGP is not formally mentioned in the United Nations Development Assistance Framework or the country program document/country program action plan, it is still considered an integral part of the UNDP country program; however, only 5 percent of GEF OFPs held this opinion. On the

other hand, 29 percent of the GEF OFPs maintain that the SGP is implemented by UNDP but stands alone, whereas no UNDP resident representatives shared this opinion.

UNOPS plays an administrative and financial role as the executing agency for the core program and for six of the nine upgraded countries. The evaluation did not assess this role.

The **CPMT** supervises and provides technical support to all country programs (except upgraded countries), as well as supporting the start-up of programs in new countries. It plays a role in coordination and knowledge management with all countries, and has a role in resource mobilization and advocacy at the global level. The CPMT is considered a key factor in the SGP's success. It is generally considered to be dedicated, hard working, and competent. Despite a small number of staff, the CPMT has a good reputation in providing support; and the quality of its reports, products, and databases are evidence of its skills and

FIGURE 4.5 STAKEHOLDER PERCEPTIONS OF THE RELATIONSHIP BETWEEN THE SGP AND UNDP IN COUNTRY



SOURCE: See annex E.

NOTE: Planning documentation refers to the United Nations Development Assistance Framework (or other UN framework) and the UNDP country program document and/or country program action plan.

commitment. The CPMT has made progress on all fronts in line with recommendations from the 2008 joint evaluation. Finally, there is evidence that the CPMT has undertaken certain functions of UNDP or UNDP GEF; these include reporting, resource mobilization, and oversight.

Except in upgraded countries, the CPMT supports the establishment and operation of structures to operate the SGP country programs—that is, the national coordinator and national steering committee. Although often physically located within UNDP premises, these structures operate somewhat outside the UNDP country office, reporting either to the CPMT or UNOPS on most issues. This situation partially

explains why the UNDP country office does not consider the SGP to be a core part of its program, nor SGP staff to be part of its core staff.

In summary, the SGP governance and management structure has evolved and has been effective overall. Some weaknesses emerged after 2008, such as the dual management structure for upgraded and non-upgraded country programs 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 supporting the program's long-term evolution.

5 SGP EFFICIENCY

This chapter reports on the extent to which the SGP has been efficiently implemented. It reviews several factors related to overall program efficiency: timing of the program cycle, funding delivery rates, program management costs, and levels and types of cofinancing. Where possible, upgraded country programs are considered separately from and compared to non-upgraded country programs. The chapter ends with a discussion of M&E.

The efficiency of the SGP on the ground was assessed for 144 sampled grants in 11 countries. The overall 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.

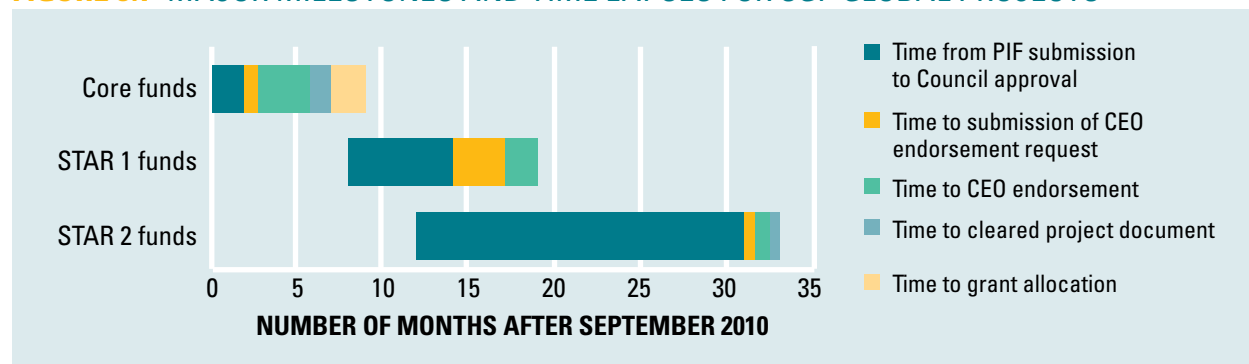
5.1 TIMING OF THE PROGRAM CYCLE

A key efficiency aspect for the SGP is the time required to develop a project document, obtain approval, begin implementation, and begin disbursing grants. For the global program in OP5, the overall process involving SGP core funds took approximately 10 months—which is very fast by GEF standards. However, the time taken for STAR funds

was much longer. These funds were approved in two packages. The process from development to disbursement for the first package, which went to those countries entirely funded by STAR funds, took approximately 19 months. For the second package, delivered to country programs funded by a mixture of STAR and core funds, the overall time required was approximately 33 months, with CEO endorsement received in May 2013 (figure 5.1).

Several reasons underlie the additional time required for the STAR funding: obtaining proper endorsement letters from each participating country, obtaining technical clearance from the GEF Secretariat on the additional documents required, and waiting for GEF funds to become available. The major reason for the delay in STAR 2 was cash flow problems in the GEF, rather than any hold-up in the STAR 2 approval process. Specifically, the GEF had not received all its pledges and thus placed approvals on hold. The GEF Secretariat was thus obliged to balance funding requests across regions and focal areas, further restricting its ability to approve projects on technical merits alone. These cash flow problems meant that full SGP funds were approved for some countries, but that others initially received limited funds.

FIGURE 5.1 MAJOR MILESTONES AND TIME LAPSES FOR SGP GLOBAL PROJECTS



SOURCES: Project documents; information provided by the CPMT.

NOTE: PIF = project identification form.

The nine upgraded country programs 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; one country has yet to disburse any grants as of mid-2014 (figure 5.2). These periods are broadly similar to the processing periods for all GEF FSPs—meaning that there is no evidence that it is easier or more difficult to prepare and process an SGP project than a standard GEF project.

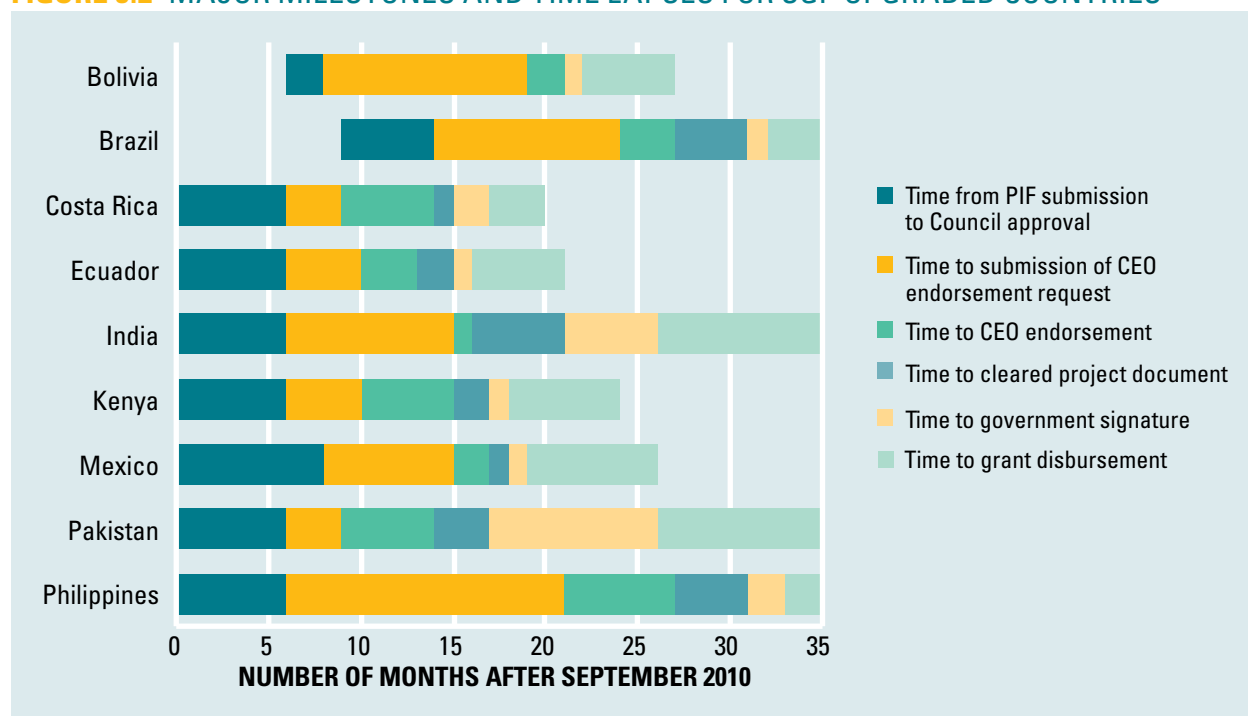
5.2 DELIVERY RATES OF GEF FUNDING

Another aspect of global program-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 June 30, 2014, delivery

under OP5 was 55 percent for the non-upgraded countries and 66 percent for the six UNOPS-executed upgraded countries (table 5.1). However it will only be meaningful to assess delivery for OP5 at the end of the operational phase.

The delivery of funds **allocated to grants** (i.e., excluding management funds) was also assessed. The assessment considered overall program allocation to grants in the approval documents, actual commitments to individual grants, and actual delivery of grants. As of June 30, 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 program, delivery was only 49 percent and commitments 69 percent. Hence, UNOPS-executed FSPs have a significantly higher delivery of grants than non-upgraded countries. It should be noted that the global program includes many fragile countries

FIGURE 5.2 MAJOR MILESTONES AND TIME LAPSES FOR SGP UPGRADED COUNTRIES



SOURCES: Project documents; information provided by the CPMT.

NOTE: PIF = project identification form.

a. Pakistan did not release its first grant until November 2013; as of August 2014, the Philippines still had not disbursed any grants.

TABLE 5.1 SGP DELIVERY RATES OF GEF FUNDING

Item	OP3	OP4	OP5 (ongoing) ^a	
			Global	Upgraded ^b
Total GEF allocation (\$)°	106,890,000	168,858,553	248,295,017	26,927,703
Actual delivery ^d (\$)	105,016,644	155,912,734	136,995,823	17,646,471
Delivery rate (%)	98	92	55	66

SOURCE: CPMT data as of June 30, 2014.

- a. A fourth project, for STAR 3, has been requested under OP5 and, as of this writing, is still awaiting approval. The funds for this project are not included here.
- b. These figures cover only the six upgraded country programs executed by UNOPS as data were not available for the other countries.
- c. Based on budgeted figures from the project documents; includes grants, nongrants, and UNOPS fee.
- d. Actual delivery figures from UNDP management information system (Atlas); includes grants, nongrants, and UNOPS fee.

and LDCs, and delivery may be more challenging in these settings. Also, delays in approving the STAR 1 and STAR 2 projects and in allocating funds have affected delivery in all global program countries.

Delivery was first analyzed at the end of August 2013. At that time, delivery rates were significantly lower for FSPs than for the 16 STAR-funded countries. This initial slow delivery in upgraded countries was explained by their later start dates, and 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 of grants caught up with and overtook the global program.

5.3 PROGRAM MANAGEMENT COSTS

Another aspect of efficiency is the proportion of total funds that are required to cover nongrant activities such as program management and program 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. (GEF EO 2007c, 1)

Since the Council decision on the SGP taken on the basis of the joint evaluation and through OP5, the percentage of total expenditure on nongrant activities (management costs) has remained fairly flat as compared with the 2008 joint evaluation findings.

5.4 COFINANCING

From OP3 through OP5, both GEF allocations to the SGP and total SGP cofinancing have increased (table 5.2). Proportionally, however, the total GEF allocation has increased more than has cofinancing, resulting in a decline in the ratio of cofinancing to GEF funding. Every \$1 of GEF funding was matched by \$1.26 in cofinancing in OP3, by \$1.05 in OP4, and—as of June 30, 2014—by \$0.80 in OP5. As OP5 is ongoing, this ratio may increase by the end of the phase, as new projects with project-level cofinancing are initiated.

Since the SGP started up in 1992, project-level cofinancing (i.e., that mobilized in support of individual community-based grants) has been much greater than program-level cofinancing (i.e., that

TABLE 5.2 SGP FUNDING AND COFINANCING (DOLLARS)

Item	OP3	OP4	OP5 (ongoing) ^a
Total GEF allocation ^b	106,890,000	168,858,553	248,295,017
Total cofinancing ^c	134,823,141	177,828,230	198,524,708 ^d
Cofinancing per \$1 of GEF	1.26	1.05	0.80

SOURCES: CPMT data and evaluation team calculations.

a. Data for OP5 are for non-upgraded programs only and exclude the global SGP STAR 3.

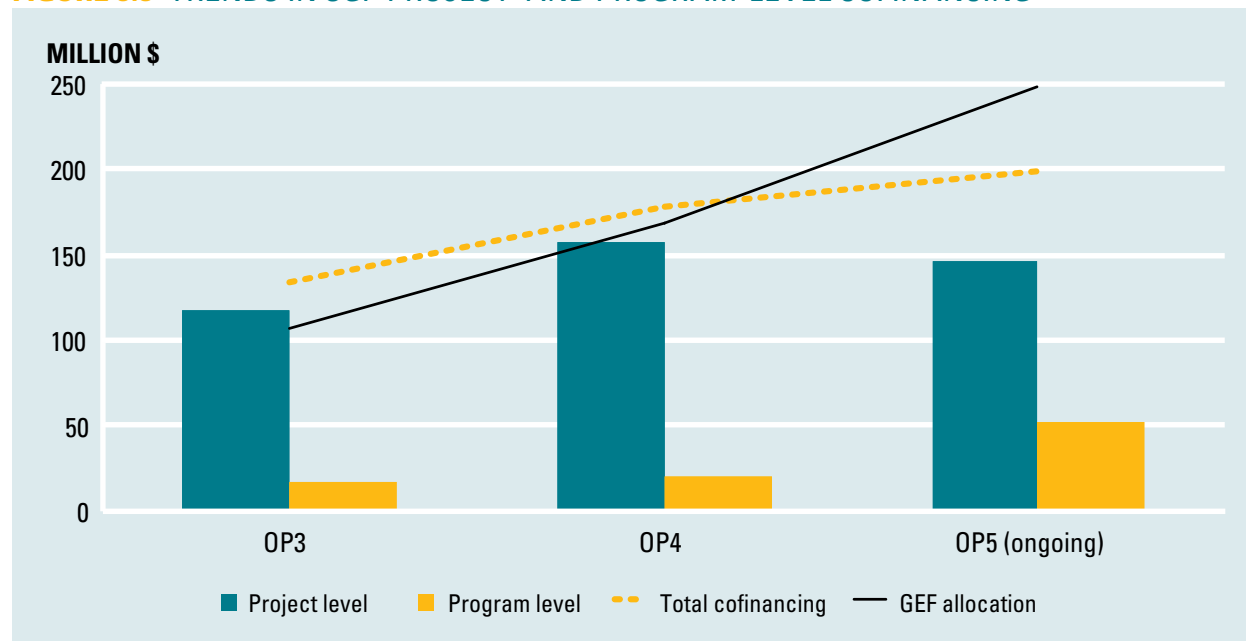
b. The total GEF allocation is based on the budgeted figures from project documents and includes grants, nongrant activities, and UNOPS fees.

c. Total cofinancing includes program- and project-level cofinancing (grant and nongrant funding). Program-level cofinancing figures are based on committed amounts; for the project level, the figures are for cofinancing raised at the level of each grant project, which includes in-kind and cash contributions.

d. Note that some OP5 projects will continue in OP6.

mobilized at the global or country program level). The Council decision taken on the joint evaluation requested that a greater proportion of SGP cofinancing be program-level cofinancing. This has been achieved: program-level cofinancing grew steadily between OP4 and OP5, while growth in project-level cofinancing remained relatively stable

(figure 5.3). It should be noted that figures for OP5 will continue to evolve over the remainder of the cycle. Initial data analyzed in this evaluation suggest that the upgraded countries generate far greater amounts of program-level cofinancing than non-upgraded countries; this is partially due to cofinancing from UNDP in several of the countries.

FIGURE 5.3 TRENDS IN SGP PROJECT- AND PROGRAM-LEVEL COFINANCING

SOURCE: CPMT data as of June 30, 2014 and evaluation team calculations.

NOTE: Because OP5 is still ongoing, cofinancing for this phase could increase.

5.5 MONITORING AND EVALUATION

The 2008 joint evaluation concluded that “although monitoring and evaluation has improved significantly, there is scope for further improvements” (GEF EO and UNDP EO 2008, 11). The subsequent Council decision therefore reiterated that “monitoring and evaluation needs to be strengthened further,” and the GEF outlined a series of specific measures to be taken at both the country and global levels (GEF 2008).

Significant resources and efforts have since been devoted to improving the SGP’s M&E system. Progress has been made at the global level, for example, in strengthening the results framework, improving on the excellent database that provides basic data on more than 18,000 projects in an accessible and easy-to-use manner, and the production of two highly informative annual monitoring reports.

At the project level, a great deal of monitoring activity has taken place, although coverage is not universal. Of the 144 projects reviewed for this evaluation, 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 project closure, completion reports were submitted for 85 percent of the projects; of these, more than half included an assessment of the extent to which all project objectives had been achieved. However, as noted in chapter 2, very few projects report using sex-disaggregated data.

A large percentage (88 percent) of the sampled projects had received at least one monitoring visit from the national coordinator or a designee. However, the 2008 joint evaluation found that 96 percent of the projects it sampled had received at least one such visit from the country program teams. One-third of the projects sampled for the present evaluation benefited from three or more visits, compared to more than half of the projects assessed in the previous evaluation. Interviews at the country level suggest that resource constraints—including no longer having a dedicated project vehicle and driver—have resulted in fewer field visits than in the past. Although this contention was not examined in greater detail, it is

reasonable to assume that, as total costs for program management have remained flat and the number of SGP country programs has increased, the resources assigned to each country have decreased, resulting in less supervision. This circumstance could explain some of the difference in outcome ratings between the 2008 joint evaluation and the present one.

Other gaps remain in the M&E system at the global program level. The overall strategy or framework for M&E has not been updated since 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 seem to be useful or appropriate (box 5.1). 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 program level—the level at which successes and lessons learned in replication, scaling-up, and mainstreaming could be appropriately assessed. For the period under review, the evaluation team is aware of only two SGP country program evaluations having been conducted (not including the midterm reviews administered for upgraded country program FSPs).

A number of SGP characteristics make it extremely challenging to develop an effective M&E system that is able to efficiently and adequately track the SGP’s contributions to environmental benefits and local livelihoods. First, the SGP is intended to be demand driven by communities, making it difficult at the outset of a country program to articulate relevant national or long-term indicators, baselines, and targets. Also, the unit of analysis is the project grant, of which there is a vast number, of many different types, and with many different intended local-level results. Each project may have multiple objectives; and developing indicators and baselines, and tracking data against targets, is beyond the capacity of many grantees.

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

BOX 5.1 ARE THE SGP INDICATORS APPROPRIATE?

Not surprisingly, given the SGP's nature and challenges, the SGP results framework and indicators are not fully satisfactory. Yet 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 the SGP 2013 Annual Monitoring Report (AMR 2013) (GEF SGP 2013).

To begin with, there are challenges in developing a results framework given the SGP's demand-driven approach. 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" (UNDP 2011). If it is not known in advance how many country program strategies will approve grants aligned with this outcome, it is difficult to establish targets for the extent of expected improvement/reduced negative impacts. While it is generally held that it is necessary to set targets in order to assess later whether the results achieved matched the intentions, meeting targets may not be meaningful given the SGP context. Further, although 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 aggregate such results meaningfully at the global program level.

AMR 2013 reports on approximately 9 of the 30-plus indicators in the SGP 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); these cover half of the objectives in the results framework. Reporting against some of the indicators leads to questions as to their utility. For example, for the above-described outcome, an indicator such as "number and hectares of indigenous and community conservation areas and other protected areas positively influenced through SGP support" 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 AMR 2013 and examples from six countries illustrate what the figures mean in practice.

Regarding another indicator presented in the report, "number of significant species with maintained or improved conservation status" does not help measure its success, or lack thereof, because the SGP does not work in isolation. For example, improvements at the local level may be lost in an aggregate measure showing a decline at the national or international level. Also, data on conservation status of a species may

(CONTINUED)

of the SGP's results. In addition, as discussed elsewhere, while the SGP is achieving results in terms of replication, scaling-up, and mainstreaming, such successes are not achieved by the SGP alone, occur beyond the project level, are difficult to categorize and quantify, and would need to be measured at different geographical scales. Furthermore, the SGP pilots, innovates, and contributes to knowledge about what works and what does not in different contexts. Seeking to measure only results overlooks

this characteristic—and could even discourage innovation and risk taking.

The Community Development and Knowledge Management for the Satoyama Initiative Programme (COMDEKS) is piloting interesting work on M&E in a number of countries, where a selection from a simple set of 20 perception-based indicators of resilience in socioecological production landscapes and seascapes to be collected at the village level at baseline

BOX 5.1 ARE THE SGP INDICATORS APPROPRIATE? (CONTINUED)

not be available at a frequency necessary for monitoring and reporting on SGP activities and results. The indicator and the target do not match: the target is “465 significant species benefited.” AMR 2013 notes that 1,018 species “benefited as a result of SGP project interventions,” but no data on conservation status are provided (GEF SGP 2013, 20).

As another example, AMR 2013 states that 38 chemicals projects were completed during the reporting period; 37 countries are cited as contributing to the implementation of national plans and policies to address persistent organic pollutants, harmful chemicals, and other pollutants. It is in fact highly likely that any project in this portfolio will contribute to the implementation of national plans and policies in some way. Thus, the indicator says 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 persistent organic pollutant 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.

Other SGP indicators and targets are problematic in other ways, and have not been reported on in AMR 2013. For example, the target “254 significant ecosystems with conservation-aware communities resulting in their maintained or improved conservation status” requires determining (1) that the ecosystem benefits from a conservation-aware community (which would require indicators/means of verification to measure awareness); (2) that the ecosystem has maintained or improved conservation status (which requires indicators/means of verification to assess this status); and (3) that there is a causal relationship between the community awareness and the conservation status—a relationship that, if established, might not be immediately measurable, as awareness may precede changes in practices, which may take time to lead to measurable changes in conservation status of the overall ecosystem. This is not one of the indicators used in 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.” AMR 2013 does not report against this indicator.

and during implementation has been designed and is being tested.¹ The SGP could learn from this experience and explore the feasibility of applying lessons

from the COMDEKS M&E system and indicators (UNU-IAS et al. 2014) to collect village-level M&E information to be used to fill in GEF tracking tools.

¹ 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.

Most stakeholders agree that further progress is required on M&E of the SGP. It is generally accepted that the demands placed on the current M&E system are far too ambitious and unrealistic, and that new, innovative, and practical approaches need to be developed.

6 CONCLUSIONS AND RECOMMENDATIONS

The evidence and findings presented in the previous chapters allowed the evaluation to reach the following five conclusions and formulate four recommendations.

6.1 CONCLUSIONS

Conclusion 1: The 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.

The SGP has successfully delivered grants to communities in more than 125 countries since its 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—all while addressing livelihoods. The grants and the overall SGP are used efficiently and are relevant.

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

The achievements of the SGP are being replicated at the local scale, up-scaled and mainstreamed into

local and, at times, national development processes. This replication occurs more frequently in the countries with more mature programs. Broader adoption occurs through a range of mechanisms—mostly replication, scaling-up, and mainstreaming—which are country and site specific. In each case of broader adoption, many factors and stakeholders play a role. The single most important factor in broader adoption is the activities of national stakeholders, notably of the national coordinators and 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 programs and their development over time. The new policies have resulted in increased resources for the SGP, but have also brought challenges. The current criteria for selecting countries to upgrade to full-size projects are not optimal.

Since 2008, the SGP upgrading policy and other GEF policies guiding SGP access to GEF resources have been actively implemented. This implementation has not only enabled the SGP to continue, but has also contributed to its expansion in terms of total funding and number of countries as well as to other opportunities vis-à-vis approaches and partnerships.

However, the way these policies and measures have been operationalized has 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. For upgraded country programs, additional challenges have included reduced time and flexibility to complete country programs and respond to local partners and, possibly, an overall more top-down approach with less community ownership over country program design and management. Some of these effects can be seen as teething problems, whose occurrence is to be expected with the introduction and operationalization of such

major policies. An opportunity exists to build on the strengths demonstrated and address the weaknesses identified.

Currently, country programs in upgraded countries are implemented through the FSP modality. While this practice enables more in-country flexibility and increases the available funds in some countries, it has some negative aspects. Countries with low capacity may face even greater challenges in implementing the FSP modality. Additionally, as presently structured, upgrading is neither suitable for countries with a low STAR allocation nor for countries with limited ability to prepare and implement FSPs.

In OP5, selecting countries for upgrading to FSPs is based on two criteria that are not optimal and that are too narrow: the age of the program and the overall program size in terms of cumulative grants. A wide range of factors affect the maturity of a country program, and progression does not always occur steadily over time. There is a widespread belief among GEF stakeholders at all levels that program maturity is not only, or not predominantly, linked to program age and the number of grants issued. If the selection criteria are inappropriate, there is a risk of either choosing countries where the context and local capacity are not favorable to upgrading or not choosing countries whose context and capacities for upgrading are optimal. As discussed, although two new criteria have been introduced for OP6, they do not change the substance of this conclusion.

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

Not only does the SGP need to align to GEF and UNDP policies and priorities, but it also has to adapt to multiple and diverse national and local policies and priorities which naturally vary from site to site and country to country. Notwithstanding, a high degree of relevance is found among the SGP priorities and programs, encompassing a mix of the global

environment, the local environment, community empowerment, poverty and livelihoods, and gender.

Differences of opinion exist among SGP stakeholders, including global and national planners and managers, regarding the SGP and its components and their interrelationships; these translate into different expectations of what the SGP should be and do as a global environmental program. 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 these two sets of objectives. The manner that and extent to which broader adoption should be pursued by the SGP is another source of diverging opinion.

The SGP's overall context has changed since 1992. The policies and priorities that drive the program have evolved since its inception more than 20 years ago. Country programs have each followed unique, nonlinear paths. The SGP global vision has not been updated 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.

The SGP governance and management structure has evolved with the SGP and has 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 affects the program's clarity of purpose. The upgrading process has led to stresses on the governance and management structure, and these may grow as the number of upgraded countries increases. Defining the SGP as a corporate program or modality has not yet contributed to shaping a vision or expectations for the SGP.

UNDP adds significant value to the SGP, such as providing a management framework and an implementation infrastructure; supporting substantive issues at the global level; and, in many countries, providing technical support on 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. 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 program and country activities. Globally and nationally, UNDP's identity and role as the GEF Agency for a corporate program have not been adequately explored and developed.

UNDP management of the upgraded countries has differed from that of the rest of the SGP. For most of the period under review, implementation of the SGP through two separate mechanisms (as FSPs and under the CPMT) undermined knowledge management and complicated M&E. Recently, UNDP has introduced several important changes in program management arrangements at the central level, in an attempt to bring the two mechanisms together. As the number of upgraded countries grows, this managerial disparity may become an increasingly important issue, with a real danger of the program splitting into two (or more) SGPs, potentially undermining its effectiveness and efficiency.

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

Important progress has been made in the SGP M&E system since 2008, particularly at the global level. Yet the challenging nature of the SGP means that weaknesses remain related to monitoring and evaluating the program's impacts. There are also significant weaknesses at the national and project levels. 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 issues such as addressing poverty, gender, broader adoption, and trade-offs place additional burdens on the M&E system.

The issue is not a lack of resources. 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 the SGP to continue developing innovative, simpler M&E tools and systems that are better adapted to the program's needs and resources.

6.2 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.

The SGP has continued to be a relevant, effective, and efficient program; however, in some areas there is a lack of clarity as to program expectations and its long-term evolution. A 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 of broader adoption in the SGP, the balance between global environmental benefits and socioeconomic objectives, and other issues that might arise. The revived committee could assist in articulating the GEF corporate nature of the SGP, clarifying the role and responsibilities of UNDP as a GEF Agency implementing a GEF corporate program, and developing 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 ongoing on draft terms of reference for a revitalized Steering Committee, following the recommendation in the OPS5 final report, which in turn was informed by the first phase report of this joint evaluation.

Some of these issues could be discussed in a wider forum as well—for example, in an international workshop bringing in SGP decision makers and implementers, as well as other stakeholders and partners from selected program countries. The proceedings

of such a 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 selecting countries for upgrading should be revisited.

Upgrading should be seen as a continual process, in which country programs mature; acquire capacity; and evolve in terms of their partnerships, cofinancing, and degree of mainstreaming; and eventually reach an upgraded status. Consolidation of the process should be sufficiently flexible to match the conditions prevailing in all participating countries, while maintaining an incentive to each and every country program to evolve. The criteria for upgrading should be revisited, and recommendations 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.

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

- allow FSPs to follow the “annual rolling modality” of the SGP rather than being limited to fixed time-frames;
- ensure that civil society continues to be at the wheel of the SGP—even when it is no longer alone in the driver’s seat;
- allow groups of upgrading countries to implement their SGP country programs through a single, multicountry FSP, as was done for STAR 1 and STAR 2 non-upgraded countries; and
- 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.

Although all countries should be able to adopt the upgraded status, upgrading should be voluntary for LDCs and SIDS.

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

To UNDP

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

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

In addition, in line with a strategy to optimize UNDP’s value added as the implementing Agency of the SGP, as mentioned under Recommendation 1, UNDP should provide guidance to the SGP and to UNDP resident representatives to strengthen synergies between SGP and UNDP programming at the country level, while recognizing the peculiarities of the SGP as a GEF corporate program.

To UNDP and the 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.

With guidance from the GEF Secretariat, UNDP and the CPMT should continue to strengthen and streamline M&E. The 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 toward SGP strategic objectives, as appropriate at different levels (global, national, and local). 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 of global significance. A possible source of inspiration for village-level indicators is the ongoing SGP cooperation with the COMDEKS program.

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

ANNEXES

A TERMS OF REFERENCE

This annex has been edited for stylistic consistency.

A.1 INTRODUCTION

The Small Grants Programme of the Global Environment Facility will be evaluated jointly by the independent evaluation offices of the GEF and the United Nations Development Programme. The Joint GEF-UNDP SGP Evaluation will be conducted in two phases. The first phase will be conducted from April to August of 2013. It will focus on an update of the joint evaluation of the SGP (GEF EO and UNDP EO 2008) and progress made to date on implementation of its recommendations. The findings of this first phase will be included in the final report of the Fifth GEF Overall Performance Study.¹ The second 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 environmental conservation at the local level. The findings of the second phase will be presented to the UNDP Executive Board and the GEF Council in 2014.

The 2008 joint GEF-UNDP SGP evaluation 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 broadening of the program to more countries possible. The Joint GEF-UNDP SGP Evaluation will assess the extent to which the most important recommendations and related GEF Council decisions have been implemented, the factors that have affected their implementation, and the extent to which the recommendations and Council decisions

1 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 terms of reference and budget for OPS5 can be downloaded at <http://www.thegef.org/gef/OPS5>.

remain pertinent in 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, focal areas, and capacity development, linking these to observed achievements on the ground.

The Joint GEF-UNDP SGP Evaluation is cofinanced by the independent evaluation offices of the GEF and UNDP, and by the SGP itself. The first phase will be considered the terminal evaluation for the current GEF SGP operational phase (OP5) and serve the purpose of informing the next SGP replenishment. The coinciding timing of the SGP replenishment and the GEF replenishment in late 2013 make this arrangement possible. The overall budget for the study is \$200,000.²

A.2 THE GEF SMALL GRANTS PROGRAMME

The SGP is a GEF corporate program implemented by UNDP. The United Nations Office for Project Services provides financial and administrative support services to the SGP at the country and project levels. Supervision and technical support are provided by a Central Programme Management Team based in New York.³ Each participating country has an SGP

2 The GEF and UNDP evaluation offices will contribute 37.5 percent each, and the remaining 25 percent will come from the SGP.

3 The CPMT consists of a global manager, a deputy global manager, four program advisers on the GEF focal areas, a program specialist for knowledge management, and two program associates. Together, they provide global supervision and day-to-day programmatic and operational guidance to the over 119 countries that are part of the SGP global program. In the 9 upgraded countries, the CPMT is responsible for coordinating knowledge management activities as well as for matters pertaining to the SGP global operational guidelines.

national coordinator. The national coordinator is often associated with and supported by the UNDP country office, or hosted in a nongovernmental organization (NGO) that acts as a national host institution. National steering committees provide major substantive contributions to and oversight of their respective SGP country program. The national steering committee, whose members are volunteers, typically comprises representatives from local NGOs, government, academia, UNDP and occasionally cofunding donors, indigenous peoples' organizations, the private sector, and the media; a majority of members are nongovernment. Grants are awarded directly to community-based organizations and NGOs. In OP5 the SGP has expanded its scope to include all civil society organizations. The use of local NGOs and/or CBOs as grantee partners implies a built-in preference for projects requiring community involvement.

The SGP's aim is to contribute to resolving global environmental 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. The 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 A.1).

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 and are followed by land degradation projects. These three SGP project areas constitute the large majority of the global SGP portfolio, corresponding to 81 percent of the total number of projects, and 82 percent of the total grant budget. The SGP is required to raise cofinancing 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 cofinancing ratio is \$1 grant to \$0.64. In-kind cofinancing almost equals in-cash cofinancing. The maximum SGP grant size is \$50,000, but grants are generally in the range of \$20,000–\$25,000. In 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

TABLE A.1 SGP DISTRIBUTION BY GEF FOCAL AREA

Focal area	Projects		Total grant	Cofinancing in cash	Cofinancing in kind
	Number	%			
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
Total	16,064	100.0	398.64	255.03	267.88

SOURCE: SGP database.

NOTE: Data are cumulative since 1992, with February 5, 2013, as the cut-off date.

against agreed-upon financial and output-based reporting milestones.

The SGP is a tool for the GEF to achieve global environmental benefits while addressing the livelihood needs of local populations, paying special attention to reaching the poor. Over the years, a high demand for SGP country programs has been observed, with the SGP growing to 123 countries by the end of GEF-4, and 14 more countries having expressed an interest in joining during GEF-5. The total number of countries reached by the GEF SGP global program (including 9 upgraded programs) as of June 30, 2012, stands at 128 (GEF SGP 2012).⁴

The previous joint evaluation of the SGP highlighted the fact that new challenges and opportunities will arise as the program 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 program complexities. These complexities relate to both the increased number of countries and to the SGP upgrading policy introduced in GEF-5 (GEF 2009b), according to which mature SGP country programs 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 EO 2010). Since the introduction of the SGP upgrading policy, mature SGP country programs are being funded as GEF full-size projects within an overall SGP programmatic framework, and are implemented in accordance with SGP operational guidelines. The upgrading of country programs into an FSP modality is being conducted in GEF-5, ensuring that the replenishment of country program funds is performance based.⁵

4 This number does not include Chile, Lithuania, and Poland, whose SGP programs have closed.

5 In addition to upgrading mature SGP country programs in GEF-5 and their seeking funding through the GEF FSP modality, the GEF-5 programming document of August 2009 (GEF 2009a) 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 communication.

To date, nine countries have been upgraded and are being implemented as FSPs. The upgraded SGP country programs are funded from GEF-5 resources allocated through the System for Transparent Allocation of Resources, as opposed to all the other SGP country programs, which continue to be funded partly through SGP core resources as well as additional STAR funds. The SGP countries upgraded to date are Brazil, Bolivia, Costa Rica, Ecuador, India, Kenya, Mexico, Pakistan, and the Philippines.⁶

The 2008 joint evaluation of the SGP found that initial rules of access to GEF resources through the Resource Allocation Framework in GEF-4 were particularly complex and affected the efficiency of the SGP. In light of this finding, the Joint GEF-UNDP SGP Evaluation 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 GEF-4 allowing 5 percent to be used for capacity development, M&E, and knowledge management.⁷ The evaluation will also look at 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 program.

The growth of the program during GEF-5 has required the SGP to undertake several actions to strengthen program oversight and M&E. While the SGP has put in place processes to meet most of the joint evaluation recommendations on M&E, SGP

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

7 By agreeing to "other proposals outlined in the report," the Council implicitly agreed with paragraph 6 of the joint evaluation follow-up working paper (GEF 2008), which capped at 5 percent the country portfolio grants for capacity-building workshops, lesson learning, and networking for poor communities, indigenous peoples, and groups in remote areas. In GEF-5, with the addition of capacity development as a "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 percent.

country programs still face challenges. Access to GEF resources through the RAF in GEF-4 and now the STAR in GEF-5 requires SGP country strategies to articulate grants to results relevant to the GEF focal areas to allow for better tracking of SGP contributions to global environmental benefits in the context of countries' sustainable development priorities.

A.3 FIRST PHASE: SCOPE AND KEY QUESTIONS

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 10 of the terms of reference for the OPS5 final report:

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?

The first phase of the Joint GEF-UNDP SGP Evaluation will assess the extent to which the SGP continues to contribute toward 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:

- What is the effectiveness and efficiency of the SGP at the local and global levels?
- 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 program operations?
- Are the M&E systems in the SGP at the central as well as at the local level adequately and appropriately tracking the SGP's contributions to global environmental benefits as well as to local groups' livelihoods?

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

The changes in the SGP central management system to be looked at include the dual management structure introduced in GEF-5 by 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.⁸ 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 the central and national levels will also be looked at during the first phase.

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

A.4 SECOND PHASE: SCOPE AND KEY QUESTIONS

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

- What is the effectiveness of the SGP for successfully achieving environmental conservation and sustainable management while addressing livelihoods in communities, compared with SGP

⁸ Since 2011, the SGP country programs upgraded to FSPs have been managed by this cluster within UNDP.

components of FSPs and MSPs, as well as other similar small grant mechanisms?⁹

- To what extent have SGP results been up-scaled, replicated, or mainstreamed; and what are the factors favoring or hindering this?
- To what extent are the SGP M&E and knowledge management systems capturing scaling-up, replication, and mainstreaming of SGP results?
- To what extent has the SGP contributed to national-level changes to address global-, national-, and local-level issues, particularly in countries with an SGP program at least five years old?
- To what extent has the SGP, through its work with NGOs and CSOs, facilitated civic engagement in the local and/or national policy arena, especially in postconflict and fragile states?

The evaluation scope in the second phase will include SGP country programs, SGP components of GEF FSPs and MSPs, and other UNDP programs with similar small grants components. These UNDP programs would not necessarily need to be specifically focused on the environment; their focus could be on agriculture, poverty reduction, or natural resource management. Criteria for selection of such programs would focus on the comparability with the SGP, and may include the following:

- Addressing livelihood needs
- Linking poverty and the environment
- Delivery mechanisms based on demands from communities
- Based on demands from grassroots organizations (not individuals)
- Asking some form of contribution from the grantee (either cash or in kind)
- Having an institutional set-up at the national level that is similar to the SGP (i.e., with a national steering committee for grants approval and oversight responsibilities)

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

- Types of services and levels of supervision provided to grantees

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

The second 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 also be examined.

A.5 METHODS AND PROCESS

The previous joint evaluation of the SGP 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 fieldwork in 9 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 those used in the previous SGP evaluation—is under development.

The Joint GEF-UNDP SGP Evaluation will be conducted in two main phases:

- **April–August 2013:** updating the quantitative and qualitative data sets assembled in the previous joint evaluation of the SGP (through meta-analysis of evaluations, desk literature review and portfolio review, and three country visits)
- **September 2013–March 2014:** collection of new evaluative evidence through interviews and surveys at the global, regional, and country levels, and additional country visits

First Phase

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 midterm reviews of the STAR and National Portfolio Formulation Exercise (NPFE) evaluations, and both ongoing and completed country-level evaluations—and the independent evaluation units of the GEF Agencies.

The **desk and literature review** will be conducted on SGP country strategies, project documents, annual reports and country evaluations, SGP Steering Committee documents, and GEF Council documents related to the SGP. This review will report on the consistency of SGP country strategies with GEF priorities and national priorities, and will assess overall results reported at the country level and factors affecting extent of progress toward results.

The **portfolio review** will be based on the information contained in the central SGP database maintained by the CPMT as well as knowledge products, case studies, and relevant publications. The review will provide an overall picture of 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 the following:

- Country, regional, and focal area allocations and distributions
- Average project grant size taking into account country, regional, and focal area differences
- Levels, sources, and types of cofinancing per country¹⁰
- Administrative costs and other nongrant technical costs

10 Including the SGP's role as a delivery mechanism for other FSPs such as the Reverting Environmental Degradation in the South China Sea, Nile Transboundary Environmental Action Project, Strategic Protection on Adaptation Community-Based Adaptation, and other donor-funded projects such as by AusAid, NZAid, the UN Foundation, the European Union, and Japan.

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), to be selected from among those visited for the 2008 joint evaluation (table A.2). Two of these will be upgraded programs. Specific terms of reference, interview guides, and review protocols aimed at capturing evaluative evidence in response to the main areas of inquiry will be developed for these visits.

Interviews will be conducted following an interview protocol that will be developed for that purpose and used with SGP-involved staff and stakeholders at the central level (SGP staff from both UNDP and UNOPS, and UNDP staff involved with the GEF in New York, and GEF Secretariat staff in Washington, D.C.). The focus of the interviews is at the central level because of the institutional nature of the topics under inquiry in the first phase. Additional interviews will be conducted at the country level as part of the case studies.

The first phase will produce the information base 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.

Second Phase

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

At least five **country visits** will be conducted in countries that were selected for fieldwork during the previous joint evaluation, as these have a relatively

TABLE A.2 POSSIBLE COUNTRIES TO BE VISITED DURING FIRST PHASE

Country	Region	Grant amount (million \$)	Number of projects	SGP start year
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

NOTE: * = upgraded country.

mature SGP portfolio. Additional selection criteria include postconflict and fragile states as well as the opportunity to gather information on existing umbrella programs that are similar to the SGP for comparative analysis purposes. Table A.3 contains a list of countries derived from the original sampling for the previous joint evaluation, where countries were preselected for field visits based on both total GEF SGP grants and number of SGP projects, and program 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.

Additional country visits may eventually be conducted on an opportunistic basis when GEF Independent Evaluation Office and/or UNDP Independent 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 second phase.

A.6 OPPORTUNITIES FOR COORDINATION WITH PARALLEL EVALUATIONS

The SGP has been a main avenue for GEF engagement with NGOs/CBOs. As indicated above, NGOs/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 substudy on GEF engagement with CSOs. Aspects that could be looked at include NGO/CBO capacity to provide relevant M&E information for tracking contributions to global environmental benefits.

Similarly, the SGP is an important avenue for the GEF to engage with women and indigenous peoples. Often, the NGO/CBO is a women-run entity or cooperative (e.g., tree nurseries, beekeeping, handicrafts), 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

TABLE A.3 POSSIBLE COUNTRIES TO BE VISITED DURING SECOND PHASE

Country	Region	Grant amount (million \$)	Number of projects	SGP start year
Côte d'Ivoire	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 ^a	LAC	7.07	260	1994
Costa Rica*	LAC	10.54	577	1993
Dominican Republic	LAC	7.9	369	1994
Kazakhstan	ECA	6.17	305	1997
Poland ^a	ECA	6.76	385	1994
Turkey	ECA	4.63	220	1993

NOTE: * = upgraded country.

a. No longer has an SGP program.

for contribution to the parallel OPS5 substudy of the GEF gender strategy and can provide evidence on the forms in which the GEF engages with indigenous peoples.

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

Finally, the UNDP Independent Evaluation Office is conducting assessments of development results in six countries in 2013 (Afghanistan, Algeria, Iraq,

Kenya, Lebanon, and Sierra Leone),¹¹ and synergies will be explored between this Joint GEF-UNDP SGP Evaluation and these assessments. Similarly, synergies will be explored with ongoing GEF Independent Evaluation Office country-level evaluations in Africa (Eritrea, Sierra Leone, and United Republic of Tanzania) as well as in the Middle East and North Africa region.

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

A.7 EVALUATION MANAGEMENT

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

- The **Steering Committee**, co-chaired by Indran A. Naidoo, Director of the UNDP Independent Evaluation Office, and Rob D. van den Berg, Director of the GEF Independent Evaluation Office; and composed of Juha Uitto and Heather Bryant from the UNDP Independent Evaluation Office, and Carlo Carugi and Aaron Zazueta from the GEF Independent 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 review and resolve disputes if they arise.
- The **management team**, formed by two task managers, Heather Bryant from the UNDP Independent Evaluation Office and Carlo Carugi from the GEF Independent Evaluation Office, will be responsible for the overall development and execution of the evaluation. These co-managers will be responsible for the identification, hiring, and supervision of consultants in accordance with mutually agreed-upon terms of reference 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.
- The **evaluation team** will be composed of one lead consultant, one national consultant per country study (total of eight), and research assistants from both the 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.

B MANAGEMENT RESPONSE

This annex has been edited for stylistic consistency.

This is the management response to the final report of the Joint GEF-UNDP Small Grants Programme Evaluation, prepared jointly by the GEF Independent Evaluation Office and the UNDP Independent Evaluation Office, prepared jointly by the GEF Secretariat and the UNDP GEF unit in the Bureau for Policy and Programme Support.

The GEF Secretariat and UNDP would like to thank the GEF Independent Evaluation Office and the UNDP Independent Evaluation Office for conducting this evaluation in a transparent and cooperative fashion.

UNDP and the GEF Secretariat agree with many of the recommendations outlined in the evaluation report, some of which we have already begun implementing, as well as with some of the conclusions of the report.

B.1 EVALUATION CONCLUSIONS

Conclusion 1: The 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.

UNDP and the GEF Secretariat appreciate the conclusion that the SGP has remained relevant, effective, and efficient and will encourage the program to continue on this track. We are very encouraged to see that the program has remained highly relevant in terms of both addressing global environmental problems and supporting local communities in achieving co-benefits of sustainable livelihoods and inclusive development, and continues to have an impact on the ground with communities across the globe.

Where feasible, the work of national coordinators and national steering committee members on replication, scaling-up, and mainstreaming will be further encouraged by the SGP's Central Programme Management Team and upgrading country program coordination through, among other things, direct support for the formulation and use of strategic project funding. In addition, strengthened synergy of the program with GEF activities as well as with other larger non-GEF projects and programs of government and development agencies will be promoted, where feasible, to extend SGP lessons learned and best practices more widely and leverage greater impacts at the community level.

Conclusion 2: The introduction of upgrading and related policies contributed to the evolution of the SGP by setting out expectations for country programs and their development over time. The new policies have resulted in increased resources for the SGP, but have also brought challenges. The current criteria for selecting countries to upgrade to full-size projects are not optimal.

We acknowledge this conclusion and will review the lessons learned and experience with management of the upgrading country program project cycle to define improved upgrading criteria, project preparation processes, and other elements for Council consideration in GEF-7.

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

The SGP's strategic directions and vision have been discussed and presented in several recent Council papers. In particular, the GEF-6 programming

directions paper for the replenishment negotiations includes a section on the SGP, and a dedicated Council paper on implementation arrangements in GEF-6 was presented and approved by Council in May 2014, followed by the GEF-6 PIF submission for the SGP in October 2014. These papers have laid out strategic directions of the SGP in alignment with the GEF-6 Vision 2020 and the UNDP Strategic Plan (2014–2018). At present, the SGP is conducting regional workshops to provide its country program teams with clear guidance on these strategic directions for further sharing with various country stakeholders. The SGP Steering Committee will discuss these strategic directions in 2017 to lay out a clear vision for the SGP in GEF-7 and beyond.

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.

While we acknowledge that written documentation and communication of the GEF corporate nature of the SGP needs more work, it is widely accepted that the GEF SGP possesses characteristics setting it apart from standard GEF-financed projects. The GEF has funded the SGP on a continuous basis for over 20 years as a civil society window for easy access at the country level by local community organizations. Implementation of the SGP has enjoyed the support and technical assistance of many of the GEF Agencies, and the SGP has supported GEF Agency FSPs in different locations around the world. Visits to SGP projects during convention conferences of the parties are a common occurrence to demonstrate the GEF's support to concrete activities on the ground. The SGP country programs follow the SGP operational guidelines approved by the GEF Council, and the Steering Committee for the SGP is chaired by the GEF Secretariat at the global level. Furthermore, there is special consideration for the SGP in the GEF global core fund allotment, and the program follows clear GEF corporate branding practices.

As the evaluation noted, "UNDP adds significant value to the SGP." While perhaps not articulated formally in SGP or GEF documentation, a great deal

of UNDP's value added is provided through membership and participation of the UNDP resident representative/resident coordinator or delegated representative on the national steering committee in each of the 128 country programs, fiduciary supervision over grant making at the country level and provision of technical support, use of UNDP facilities and equipment for meetings and events, promotion of lessons learned and best practices with ministries and multilateral and bilateral donors, dissemination of knowledge products, and assistance with resource mobilization. UNDP has linked SGP country programs with other environmental and sustainable development projects and has supported scaling-up of successful initiatives. For the upgraded country programs financed under the FSP modality, UNDP GEF provides the services of an experienced global coordinator, who provides technical assistance, strategic advice, and resource mobilization support. We acknowledge the need to further explore, detail, and document the value added of UNDP as the GEF Agency for a GEF corporate program with the aim of further strengthening the synergies and complementarity between the SGP and UNDP at both the country and global levels. At the global level, it should be noted that the SGP is fully integrated into the Sustainable Development Cluster of the newly established UNDP Bureau for Policy and Programme Support and acknowledged as a valuable contributor to several outputs of the new strategic plan (2014–18).

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

The list of indicators of the SGP in past operational phases was aligned with the higher-level impact and results framework developed for MSPs and FSPs rather than reflecting the demand-driven and community-based nature of the program. We appreciate the evaluation's recognition of the challenging nature of the SGP, much more so now with the program's increasing involvement in addressing issues such as poverty, gender, broader adoption, and governance. It is also important to consider the SGP's grassroots stakeholders and their monitoring capacities and the more complex and long-term process by which small grants and community-level efforts support the achievement of global environmental benefits.

We agree that the GEF and the SGP should continue to develop innovative and simpler-to-use M&E tools and systems that are better adapted to the needs and resources of the SGP.

B.2 EVALUATION 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.

We support the recommendation of the evaluation report and have begun the process of revitalizing the SGP Steering Committee. New terms of reference have been discussed that clearly define the role of the committee as a forum for clarification of the SGP's long-term vision as well as other strategic issues.

We concur that the SGP Steering Committee will oversee an updating of the SGP's corporate vision and long-term strategy. The SGP Steering Committee may organize, as needed, wider forums on key strategic issues to bring other key stakeholders and partners into the discussion. Inputs from these consultations will feed into the committee's strategic guidance on the SGP as well as in the preparation of Council papers, as appropriate.

To the GEF and UNDP

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

UNDP and the CPMT, in consultation with the GEF Secretariat, will continue to refine operationalization of the upgrading policy. We welcome the four suggestions listed under this recommendation and will work with the GEF Secretariat to design and execute these recommended changes in GEF-7, in particular

to ensure all-around compliance with the SGP operational guidelines.

We agree with the recommendation that upgrading remains voluntary for LDCs and SIDS and that changes to the process for accessing STAR funds by non-upgraded countries through the global project should be clear and agreed upon.

To UNDP

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

We concur with the recommendation that the SGP Steering Committee oversee how the SGP could be implemented under a single, coherent global program framework. This process has already commenced with both the SGP non-upgraded and upgrading country programs supervised under a single unit in UNDP GEF as of January 2014. The policy that upgrading country programs continue to follow the SGP operational guidelines has also been sustained. The SGP OP6 regional workshops for orienting country programs on the strategic directions, priorities, expected outcomes, and targets for GEF-6 include both non-upgraded and upgrading country programs. UNDP will send appropriate communications to UNDP country offices to strengthen synergies between SGP and UNDP programming at the country level while recognizing the specificities of the SGP as a GEF corporate program.

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.

The CPMT, together with the UNDP GEF global coordinator of the upgrading country programs, has held a series of technical meetings aimed at designing and instituting a more effective M&E system. Much progress has been made toward developing a more practical monitoring function adapted to the needs, resources, and community focus of the SGP. A process of simplifying the program's M&E functions by creating a nested system with appropriate indicators

identified at the global, country, and grant project levels is currently under way and will be finalized, after suitable testing and adaptation, by early 2016. Within OP6, M&E will be more impact oriented, as well as contributing to adaptive management at different levels. More focused M&E resources and tools at the community, country, and global levels will be developed by the CPMT and the upgrading country program global coordination team.

The SGP's design for OP6, as articulated in the recently approved SGP OP6 PIF, builds on this framework with the aim of (1) focusing SGP grant making around clear strategic initiatives based on country and global priorities and where strategic impact can

be achieved; (2) focusing SGP grant making within defined landscape and seascape areas, where baselines and indicators can be more appropriately selected and monitored to show impact over time; and (3) reducing the spread of SGP grant making from six focal areas spanning 10 immediate objectives to only four priority themes that promote multifocal area strategies on the landscapes and seascapes selected in country. CPMT management planning for OP6 includes adding an M&E specialist to the team to lead development and implementation of an improved M&E framework for the program. This will be done in close collaboration with the UNDP GEF results management and evaluation adviser and UNDP's Development Impact Group.

C EVALUATION PURPOSE, SCOPE, METHODOLOGY, AND LIMITATIONS

C.1 PURPOSE AND SCOPE

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.

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. Notably, it was designed to respond to Question 10 of the OPS5 report: “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 the Council decision on the joint evaluation (contained in GEF EO 2007a), 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.

Specifically, Phase 1 sought to answer the following questions (see the evaluation terms of reference in annex A):

- What is the effectiveness and efficiency of the SGP at the local and global levels?
 - 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 program operations?
- Are the M&E systems in the SGP at the central as well as at the local level adequately and appropriately tracking the SGP’s contributions to global environmental benefits as well as to local groups’ livelihoods?
 - Are these systems useful for learning and helping local groups build confidence in the progress they make?

The Phase 1 findings were incorporated into OPS5 (GEF EO 2014b). Also, the full report of Phase 1 of the evaluation was released and uploaded on the GEF Independent Evaluation Office website in January 2014, and a management response to the first phase report was prepared by the GEF Secretariat.¹

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:

- What is the niche of the SGP within the GEF in the current evolving context?
- Are SGP country programs 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 favoring or hindering this? In particular,

¹ The Phase I report is available at <http://www.thegef.org/gef/Program%20Evaluation%20-%20Joint%20Evaluation%20GEFEO-UNDP%20SGP>. The management response is available at <http://www.thegef.org/gef/sites/thegef.org/files/EO/Management-Response-Joint-Evaluation-SGP.pdf>.

what is the role of UNDP and other GEF Agencies in this?

- To what extent does the SGP contribute to reducing gender inequality and promoting women's empowerment?
- To what extent does the SGP address issues of poverty, inequality, and exclusion?

This final evaluation report combines the findings of Phase 1 and Phase 2.

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 August 16, 2013; for data collected in Phase 2, it was June 30, 2014.

C.2 OVERVIEW OF EVALUATION MANAGEMENT ARRANGEMENTS AND METHODOLOGY

This evaluation is a joint effort by the GEF and the UNDP evaluation offices, as equal partners. The execution structure of the evaluation has three tiers: the Steering Committee, co-chaired by the directors of the two evaluation offices and composed of senior evaluators; the management team, consisting of one task manager from each of the evaluation offices; and an evaluation team composed of independent consultants and research assistants.

An approach paper to this joint evaluation was prepared jointly by the GEF and UNDP evaluation offices in early 2013. After consultation with the GEF Secretariat, UNDP, and the CPMT, the approach paper was finalized in April 2013. The terms of reference for the evaluation were subsequently developed; they were approved by the directors of the GEF and UNDP evaluation offices in May 2013. Following Phase 1, the two evaluation offices reviewed the proposed evaluation questions for Phase 2 as articulated in the terms of reference and revised them to include a focus on key issues that had emerged during Phase 1.

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.

Data Collection

Data were collected through several complementary tools: 12 country studies, a global online survey of program 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 the country studies) were used primarily to establish observable facts across the SGP portfolio. The online survey provided qualitative information from program countries. Other qualitative data (collected from all tools except the portfolio review) focused on identifying and understanding the factors affecting results.

Country studies. In Phase 1, given the Council decision's focus (contained in GEF EO 2007a) on upgrading, the data collection at the country level covered three upgraded country programs and one country program eligible for upgrading in the next operational phase. The country studies in Phase 1 were 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 programs. The following eight countries were visited: Cambodia, Jordan, Mongolia, Mozambique, Panama, Peru, Senegal, and Uganda. The process and criteria for country selection are described in annex D.

Data were 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 a consistent approach was undertaken in each country. These tools (see annex D) include the following:

- Individual terms of reference for each country visit
- Country visit guidance note (only for Phase 2)
- Interview protocol (modified after Phase 1 to ensure adequate coverage of Phase 2 issues)
- Guide to selecting the projects to be visited
- A project performance review template

This last was based on the same tool used during the 2008 evaluation, 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.

In each country, 10–15 projects were visited and project-specific data collected.² The structured process to selecting projects ensured that the projects visited were sufficiently representative and random in order to avoid any bias (see annex D, which also provides a summary of the findings from the projects visited). A total of 144 projects were visited.

Global online survey of program country stakeholders. For Phase 2, an online survey questionnaire was developed in English covering the evaluation questions related to the SGP’s strategy and niche, broader adoption, gender, and poverty (see annex E). 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, national steering committee members, GEF operational and political focal points, and UNDP resident representatives in 129 countries were directly invited to complete the questionnaire online, with 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, partners from 95 countries were invited to complete the survey. The questionnaire was sent to 2,449 people. The overall response rate was 48 percent. At least one response was received

from each of 124 countries. Annex E provides a summary of countries/respondents.

The results of the survey were analyzed separately for different categories of respondents. These categories include SGP staff and national steering committee members, GEF focal points, UNDP resident representatives, government stakeholders, NGO stakeholders, donor stakeholders, and the private sector.

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 CPSs and project documents; UNDP and CPMT planning documents; annual reports; and country evaluations.

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

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 the GEF Independent Evaluation Office’s annual country portfolio evaluation reports, country portfolio evaluations and studies, and the South China Sea impact evaluation; and the UNDP Independent Evaluation Office’s thematic evaluations and assessments of development results, and the UNDP environmental outcome evaluations commissioned by UNDP country offices that refer to the SGP. A small number of additional evaluations were reviewed in Phase 2 including the latest annual country portfolio evaluation report. The complete list of evaluations reviewed is provided in annex H.

Portfolio review. A comprehensive portfolio review was conducted in Phase 1, based on information

² Except in Pakistan, as no OP5 projects had started at the time of the visit.

contained in the central SGP database on projects and on the country portfolios, as well as on data provided separately by UNDP, the CPMT, and UNOPS. In particular, this allowed an analysis of the financial aspects of the SGP and a consideration of trends, focal areas, cofinancing, and management costs. This review covered all SGP countries, including the nine upgraded countries. An additional review was conducted in Phase 2. This included updated information provided by the CPMT.

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 semistructured 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, Ecuador, El Salvador, India, Kenya, Mexico, the Philippines, Uruguay, and República Bolivariana de Venezuela, and with program 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 on better understanding the challenges at both the country and global levels. Annex I provides the list of interviews and group meetings.

Data Analysis

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 was formulated. These

conclusions were presented in the Phase 1 report. The 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

Both draft reports (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 the CPMT for review with particular attention to factual accuracy. A stakeholder workshop was organized in New York to discuss a draft of this final report with representatives from the GEF Secretariat, UNDP, and the CPMT; the draft report was shared with the GEF Civil Society Organization 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 submission to the GEF Council and the UNDP Executive Board in 2015.

C.3 LIMITATIONS

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 its operations during 2008–14.

Notwithstanding, there were several limitations regarding the data collected. These include the difficulty in obtaining comprehensive quantitative data with regard 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 grassroots level, who may not be well placed to consider the national and global contexts.

Country studies were undertaken in 12 countries—approximately 10 percent of the countries in which the SGP is currently active. Attention was given to select countries to constitute a regionally balanced, representative sample of upgraded and non-upgraded country programs, to include both LDCs and non-LDCs, and to cover both mature and younger country programs.

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 Kenya 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 among the evaluators to discuss the approach and tools. The project ratings were collectively reviewed and discussed by the evaluation team.

Many of the sample projects selected were in remote areas with poor transportation 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.³

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

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

were different, which limits comparability between the 2008 and 2013–14 data sets.⁴ Nevertheless, this data set is an important source of information among many in the discussion on the impact and effectiveness of the SGP.

The global online 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 languages, such as Chinese, Arabic, Russian, and Portuguese. However, as the aim was to get a meaningful number of representative responses from each country rather than 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.

Many questions on the global online survey used Likert scales (Likert 1932), with, for example, respondents being asked 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 toward positive results: (1) research shows a tendency of bias toward the response listed first (in the present survey, the positive end of the scale was presented first);⁵ (2) “acquiescence bias,” noted in many surveys, in which there is tendency to agree, rather than disagree, with a presented statement;⁶ and (3) as many respondents are closely linked to the SGP, they may naturally wish to see the program evaluated in a positive light.

4 The differences between the sampling frameworks of the two evaluations are described in more detail in annex D.

5 See for example, <http://www.measuringusability.com/blog/left-side-bias.php> and Chan (1991). It is noted that other research contests these findings.

6 See, for example, Winkler, Kanouse, and Ware (1982).

D COUNTRY STUDIES METHODOLOGY

D.1 OVERVIEW OF THE COUNTRY VISITS

The terms of reference for the joint evaluation proposed conducting the country visits in two phases:

- 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 from among those countries 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 a non-upgraded country.
- In **Phase 2**, at least five country visits were proposed to be conducted in countries that had been selected for fieldwork during the joint evaluation in 2008, as these have a relatively mature SGP portfolio. 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 evaluation visited 12 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 to 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 Cambodia, Panama, and Senegal) 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 SGP activities in the country. They instead consisted of collection of country- and project-level data that contributed to the global evaluation. They did not cover all aspects of the country program, and were not designed to lead to country-level conclusions or recommendations.

D.2 COUNTRY SELECTION

The focus of data collection in Phase 1 was on the more mature and upgraded countries. It was decided to undertake 4 country case studies, with at least 3 from among the 10 upgraded countries and the fourth a country ready to be upgraded.¹ The choice of country studies also ensured geographical representation and included countries in which a country study had been completed as part of the previous 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 met the following general criteria:

- Diversity—notably, including high performers, mature programs, new programs, 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
- Cost-efficiency

¹ 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.

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 programs less than five years old (including countries that were part of a sub-regional program and that had recently developed single-country program strategies)
- Countries covered in Phase 1
- Upgraded countries (as three upgraded countries were chosen for Phase 1 and additional information from other upgraded countries was obtained through the Merida workshop)
- Countries that are European Union members, or candidates for the European Union (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 European Union candidate countries)
- Countries undergoing a UNDP Independent Evaluation Office assessment of development results in 2014 (to avoid an excessive evaluation burden)
- Countries that had recently undergone a GEF country portfolio evaluation, which covers the SGP

This led to a long list of 49 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
- **Scaling-up, replication, and mainstreaming:** countries for which there are already reported examples of scaling-up, replication, and mainstreaming
- **Poverty, inequality, and exclusion:** LDCs and non-LDCs included, as the poverty issues were expected to be different
- **Gender:** countries with specific reports of a strong attention to gender

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

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

D.3 IN-COUNTRY APPROACH AND SITE SELECTION

Individual terms of reference 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, with interviews to cover major donors, SGP staff, national steering committee members, government partners, UNDP and other GEF Agency officials, NGOs, CBOs, and communities
- Field visits to a representative sample of projects
- Analysis and report drafting
- 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 national coordinator. 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 1 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 ongoing projects.
- While time and cost efficiencies were taken into account—notably allowing for easy access along

the same routes—at least two different ecoregions were to be covered.

Once the above had been accounted for, an element of random sampling was used to avoid selection biases.

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

TABLE D.1 COUNTRIES VISITED AND NUMBER OF PROJECTS SAMPLED

Country	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

D.4 IN-COUNTRY DATA COLLECTION TECHNIQUES AND TOOLS

The country visit data collection tools included the following:

- SGP Country Visit Guidance Note to guide overall approach, notably to interviews and project visits (used in Phase 2 only) (appendix D.1)
- SGP Country Visit Interview Protocol to guide interviews with national-level stakeholders (appendix D.2)

- SGP Country Visit Project Performance Review Template (used in both phases) (appendix D.3)
- Background note on gender mainstreaming in the SGP (used in Phase 2 only)

The Project Performance Review Template was used in both phases. The template was based on the tool used during the 2008 evaluation in order to enable comparison of project-level data between the two evaluations.² 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 as follows:

- Addition of a section of questions on gender
- Addition of a section of questions on poverty, inequality, and exclusion
- Removal of sections of questions related to project learning, interaction with other stakeholders, and exit strategy, as these were not a Phase 2 focus

D.5 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 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); quality of the exit strategy (Phase 1 only); gender (Phase 2 only); and poverty, inequality, and exclusion (Phase 2 only). Table D.2 provides the rating scale used for each aspect of project performance.

² 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 2013–14 data sets.

TABLE D.2 RATINGS USED FOR PROJECT PERFORMANCE ASSESSMENT

Dimension of project assessed	Rating scale used
<ul style="list-style-type: none"> ● Relevance ● Effectiveness ● Efficiency ● Project learning ● Interaction with other stakeholders ● Quality of the exit strategy 	<p><i>Six-point scale:</i></p> <p>Highly satisfactory: The project had no shortcomings</p> <p>Satisfactory: The project had minor shortcomings</p> <p>Moderately satisfactory: The project had moderate shortcomings</p> <p>Moderately unsatisfactory: The project had significant shortcomings</p> <p>Unsatisfactory: The project had major shortcomings</p> <p>Highly unsatisfactory: The project had severe shortcomings</p>
Risks to project results (including financial, sociopolitical, institutional framework and/or governance related, or environmental risks that would jeopardize the sustainability of project results)	<p><i>Four-point scale:</i></p> <p>Likely: There are no or negligible risks affecting sustainability of project results</p> <p>Moderately likely: There are moderate risks that affect sustainability of project results</p> <p>Moderately unlikely: There are significant risks that affect sustainability of project results</p> <p>Unlikely: There are severe risks that affect sustainability of project results</p>
Poverty, inequality, and exclusion ^a	<p><i>Four-point scale for project design:</i></p> <p>3: The project explicitly intended to target/benefit poor/marginalized/vulnerable groups and contribute to an improvement in their livelihoods</p> <p>2: The project intended to contribute to improve livelihoods of the local population, but was not specifically targeted to poor/marginalized/vulnerable groups</p> <p>1: The project intended to contribute to improve livelihoods in some way, but not significantly</p> <p>0: The project design did not include objectives related to improve livelihoods</p> <p>UA: Unable to assess</p> <p><i>Four-point scale for project results:</i></p> <p>3: The project successfully targeted/worked with poor/marginalized/vulnerable groups and contributed to an improvement in their livelihoods</p> <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 improve livelihoods</p> <p>UA: Unable to assess</p>

(CONTINUED)

TABLE D.2 RATINGS USED FOR PROJECT PERFORMANCE ASSESSMENT (CONTINUED)

Dimension of project assessed	Rating scale used
Gender equality and women's empowerment	<p><i>Five-point scale:</i></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. This dimension was assessed in terms of both project design and project results. 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 improve livelihoods)

A summary outcome rating was given to each project (appendix D.4). The criteria used to assess overall outcome included relevance, effectiveness, and efficiency. Relevance and effectiveness were considered critical criteria; that is, the overall rating on achievement of

outcome 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 an average of the rating of the three criteria (GEF EO 2007b).

APPENDIX D.1 COUNTRY VISIT GUIDANCE NOTE

This material has been edited for stylistic consistency.

Introduction and Purpose

The country visits (to eight countries) are 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 to ensure that the evaluators responsible for them fully appreciate and understand the context of the visit, and ensure that the visits utilize a similar methodology and lead to findings that are coherent and comparable across all eight countries.

Phase 2 of the evaluation focuses 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 programs 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 are being achieved at the project level?
- To what extent have SGP results been up-scaled, replicated, or mainstreamed, and what are the factors favoring or hindering this? What is the role of UNDP and other GEF Agencies in this?
- To what extent does the SGP contribute to reducing gender inequality and promoting women's empowerment?
- To what extent does the 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 are being conducted to collect 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 team members (or the lead consultant) together with a national evaluator.

Main Steps

The country visits shall follow the following main steps:

- Preparation and background reading
- Scoping, planning, and identification of sites to visit
- Data collection and interviews
- Project/grant site visits
- Analysis and report drafting
- Consultation on 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 themselves with the GEF-UNDP SGP evaluation. The documents to be covered include the following:

- Terms of Reference for the Joint GEF-UNDP SGP Evaluation
- Phase 1 final report
- Phase 2 evaluation matrix
- The most recent SGP CPS for the relevant country
- This guidance note, the interview protocol (appendix D.2), the Project Performance Review Tool (appendix D.3), and the background note on gender mainstreaming in the SGP

At this stage, following email introductions from the UNDP and GEF evaluation offices, the national/

regional evaluators shall also make initial contact with the in-country SGP national coordinator.

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

Step 2: Scoping, 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 visit.¹ This shall cover the following:

- Review 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). Logistics and costs will be considered, and visiting clusters of projects is recommended, as the

¹ 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.

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 project list.
- In each country, the sample should include 15 projects (10 at minimum), covering at least 1 from each GEF focal area (if there are projects 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 ongoing projects. Ongoing projects to be visited include only projects that 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 ecoregions will be covered in each country (unless projects are all found in the same ecoregion).
- 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: Timetable and list of persons to be met; list of projects to visit and justification.

Step 3: Data Collection

Semistructured interviews, following the protocol in appendix D.2, will be held with all national steering committee members, informed stakeholders, key persons from other small grants programs in the country, and senior UNDP management.

If appropriate and possible, a focus group meeting with some of the above interviewees will be held to address and open up specific issues.

If appropriate and possible, a focus group meeting, or short workshop, with a selection of grantees will be held. If this should happen, care should be taken to select an appropriate and representative group.

Review country-specific documentation, including previous evaluations and products of the country program.

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 two to four will be visited by both the management team member/lead consultant and the national evaluator. Afterwards, the national evaluator will visit the others alone.

Based on discussions with community members, local observations, and informal interviews with project participants, the Project Performance Review, including the project M&E tool (see appendix D.3) will be completed for each visit.

Where possible and appropriate, the questions in the appendix 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. These data will be used to complete the national report and to feed into the global report. Hence, it is important that all sections in appendix D.3 be completed, but no overall evaluation or analysis of the project is required, nor should it be attempted.

Deliverables: 10–15 completed Project Performance Review forms.

Step 5: Analysis and Report Drafting

It is noted that the report is for internal use among the evaluation team. It will not be circulated for review and comment or published. Hence, (1) it is not necessary to finalize the editing and formatting and proofreading of the report; (2) it is necessary to provide details and evidence and explanations in the report. The report may be long.

The national evaluators shall prepare the draft reports for Jordan, Mongolia, Mozambique, Peru, and Uganda. For Cambodia, Panama, and Senegal, the management team member shall draft the report.

Step 6: Consultation on and Finalization of the Report

The reports will be reviewed by the evaluation management team members (together with the lead consultant) and the relevant national evaluators, then finalized.

APPENDIX D.2 COUNTRY VISIT INTERVIEW PROTOCOL

This material has been edited for stylistic consistency.

This appendix 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 OFP, other officials involved with the SGP), UNDP (country office), and SGP staff (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 appendix 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 responses 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 (1) which questions to ask in each interview, and (2) how to formulate the question in the context of each interview. In some cases, the evaluator may have to provide an 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. Numbers in brackets refer to the numbers used in the global survey.

Introduction

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

- 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 the GEF? Could you describe the key elements of the current SGP national country strategy, its objectives, vision, or the logic behind it or main assumptions behind the strategy?

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

(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 program in your country? Are you in favor of, one day, the GEF SGP program in your country upgrading and being implemented as a full-size 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 program 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 program 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 country program/projects (is it the task of the national coordinator or national steering committee)?

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

Results beyond the Project Level (Broader Adoption)

UNDP and the GEF support the introduction of innovative measures, practices, technologies, systems, and behaviors. 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); *replication* (initiatives are reproduced or adopted in another geographic area or region), *scaling-up* (initiatives are implemented at a larger geographic scale), or *market change* (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 the SGP and the UNDP country program 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 program 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 program 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 provided guidance on mainstreaming gender in the SGP? Has this guidance been adequate?

How are gender/women's empowerment issues integrated into the country program/projects (is it the task of the national coordinator or national steering committee)?

(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 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?

APPENDIX D.3 COUNTRY VISIT PROJECT PERFORMANCE REVIEW TEMPLATE

This material has been edited for stylistic consistency.

Note: This form provides information on various aspects of grant project planning, implementation, and monitoring and evaluation. Ratings provided on this form 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, indicate “Not applicable” with an 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 ongoing follow-on or second phase project in OP5), list both project numbers. Provide ratings for the completed project, but provide comments on both the completed project and the new, ongoing 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)	
Cofinanciers (if any)	
Beneficiaries (list or description)	
GEF focal area	
Project start date (date of first disbursement)	
Proposed closing date	
Actual closing date	

	Approval amount (\$) (for ongoing projects)	Closing (\$) (for completed projects)
GEF SGP planning grant		
GEF SGP financing		
Cofinancing cash		
Cofinancing in kind (\$ 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)	Cofinancing (closing)

Existing project rating	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 project relevance to GEF objectives and focal areas

Describe project relevance to country priorities (if appropriate, refer to national policies, environmental laws, or country commitments to international environmental conventions)

3.2. Effectiveness

Overall effectiveness rating (on a six-point scale):

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

Overall environmental achievements as of today

Description

Outputs

Outcomes

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

Factors influencing results (not part of rating)	Description
What factors have influenced project results (positively or negatively)?	

3.3. Gender Equality and Women's Empowerment

Overall rating for 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).

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

	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 resource 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
What factors influenced project results with respect to gender equality and/or women's empowerment (positively or negatively)?	

3.4. Poverty, Inequality, and Exclusion

Overall rating for design:

Overall rating for results:

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.

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 to 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 improve livelihoods	The project did not contribute to improve livelihoods
UA	Unable to assess	Unable to assess
		Description
	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 <i>strengthened or weakened the project's ability</i> to meet environmental objectives?	

4. Efficiency

Project efficiency rating (on a six-point scale):	
Cost of project (\$, human resources, time)	Description
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 GEF objectives.	

5. Risks to the Sustainability of Project Results

Risk to project results rating (on a four-point scale):	
	Description
Are there any financial risks that will jeopardize the sustainability of project results?	
Are there any sociopolitical risks that will jeopardize the sustainability of project results?	
Are there any institutional framework and/or governance-related risks that will jeopardize the sustainability of project results?	
Are there any environmental risks that will jeopardize the sustainability of project results?	

6. Monitoring and Evaluation

Parameter	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 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" (specific, measurable, achievable, realistic, time-bound)?	
3. What indicators relevant to project objectives have been identified (include output, outcome, environmental indicators)? Do these track contributions to global environmental 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 [] NGO [] CBO [] Other (specify)
6. Was the project visited by the national coordinator and consultants or personnel as assigned by the national coordinator so far?	Yes [] No []
7. How many times has the project been visited by the national coordinator or others assigned by the national coordinator so far?	
8. If the project is closed, is the project completion report available?	Yes [] No []
9. Does the project completion report assess the extent to which all project objectives were attained?	Not applicable, project not closed [] Yes, mostly [] Yes, but only for some objectives [] No []
M&E and learning	
10. 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?	

7. Other Comments

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

APPENDIX D.4 COMBINED SUMMARY OF FINDINGS FOR COUNTRY VISITS: PROJECT RATINGS

A total of 144 project sites were visited and reviewed during the joint evaluation. (During Phase 1, projects were not reviewed in Pakistan, as the implementation of grants under OP5 had not yet started at the time

of the evaluation.) Table D.3 lists the projects visited along with a selection of ratings for project relevance, effectiveness, efficiency, outcome, gender, poverty (design and results), and risk.

TABLE D.3 SUMMARY OF PROJECT RATINGS

Project number(s)	Country	Relevance	Effectiveness	Efficiency	Outcome	Gender	Poverty: design	Poverty: results	Risk to project results
UGA/07/83, 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, 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
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

(CONTINUED)

TABLE D.3 SUMMARY OF PROJECT RATINGS (CONTINUED)

Project number(s)	Country	Relevance	Effectiveness	Efficiency	Outcome	Gender	Poverty: design	Poverty: results	Risk to project results
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/SGP/OP441Y3/CORE/2010/02	Cambodia	6	4	4	4	3	2	2	MU
KHM/SGP/OP5/Y3/CORE/BD/2013/03	Cambodia	6	5	5	5	3	3	2	MU
KHM/SGP/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
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/CORE/LD/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

(CONTINUED)

TABLE D.3 SUMMARY OF PROJECT RATINGS (CONTINUED)

Project number(s)	Country	Relevance	Effectiveness	Efficiency	Outcome	Gender	Poverty: design	Poverty: results	Risk to project results
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
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

(CONTINUED)

TABLE D.3 SUMMARY OF PROJECT RATINGS (CONTINUED)

Project number(s)	Country	Relevance	Effectiveness	Efficiency	Outcome	Gender	Poverty: design	Poverty: results	Risk to project results
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
ECU/OP3/1/06/012, ECU/SGP/FSP/OP5/BD/13/39	Ecuador	4	4	6	4	*	*	*	MU
ECU/OP3/1/06/013, ECU/SGP/FSP/OP5/BD/13/38	Ecuador	5	3	5	3	*	*	*	MU
ECU/OP3/1/06/017, ECU/SGP/FSP/OP5/BD/13/31	Ecuador	5	4	4	4	*	*	*	MU
ECU/OP3/2/07/014, ECU/SGP/FSP/OP5/BD/13/19	Ecuador	4	3	3	3	*	*	*	ML
ECU/OP3/2/07/015, ECU/SGP/FSP/OP5/BD/13/12	Ecuador	3	4	4	3	*	*	*	ML
ECU/SGP/OP4/RAF/07/09, 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, 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, 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
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

(CONTINUED)

TABLE D.3 SUMMARY OF PROJECT RATINGS (CONTINUED)

Project number(s)	Country	Relevance	Effectiveness	Efficiency	Outcome	Gender	Poverty: design	Poverty: results	Risk to project results
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: * = not rated in Phase 1; L = moderately likely; ML = moderately likely. MU = moderately unlikely; U = unlikely; UA = unable to assess. In cases where a completed project and a new, OP5 follow-up project were reviewed together, the ratings are for the completed project.

E GLOBAL ONLINE SURVEY

E.1 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: national coordinators, national steering committee members, government, UNDP management, and other partners (such as NGOs, development partners, and the private sector).

The online survey questionnaire was developed in English covering evaluation questions related to the 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, national steering committee members, GEF operational and political focal points, and UNDP resident representatives in 130 countries were directly invited to complete the questionnaire online, and were given 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, partners from 95 countries were invited to complete the survey.

The results of the survey were analyzed separately for different categories of respondents. These categories included SGP staff, national steering committee members, GEF focal points, UNDP resident representatives, government stakeholders, NGO stakeholders, donor stakeholders, and the private

sector. These categories are not necessarily mutually exclusive; for example, a respondent could be both a national steering committee member and an NGO stakeholder.

E.2 SURVEY QUESTIONNAIRE

The survey questionnaire was circulated using SurveyMonkey. The questions were as follows:¹

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 the 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 the SGP? (select 1)
 - GEF focal point (government)
 - UNDP country office senior manager (resident representative, country director, deputy

¹ The survey has been edited for stylistic consistency.

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 describes 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
 - Channeling 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 among 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 describes 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
 - Channeling 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 among 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 the SGP in your country? (select up to 3)
 - Overall developments related to international cooperation at the global level
 - The socioeconomic or political situation in the country
 - Decisions of the GEF Council or the GEF Secretariat
 - Guidance from the Central Programme Management Team
 - UNDP decisions at the country level
 - UNDP decisions at the 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 programs 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 program? (select up to 5)
 - The age (in years) of the SGP country program
 - The number of grants issued by the SGP country program
 - The speed with which grants are issued and projects implemented
 - Level of cofinancing to the SGP country program (from sources other than the GEF)

- Level of government cofinancing to the SGP country program
 - Level of GEF STAR funds made available by the country to the SGP
 - The number and diversity of partnerships between the SGP country program 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 program to adapt to changes in country conditions
 - 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 program to *mature*? (select up to 3)
- A supportive socioeconomic 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
 - Support from UNDP
 - Support from the Global Central Programme 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 programs?
- From start-up, the GEF SGP country programs should evolve, taking on increasing challenges, and ultimately becoming an effective program independent of the GEF
 - At all times, all GEF SGP country programs should continuously evolve; country programs should continuously take on new challenges and adapt
 - At some point in time, if conditions allow, all GEF SGP programs should become independent of GEF SGP funds (but continue to access the GEF STAR)

- At some point in time, if conditions allow, all GEF SGP programs should become independent of all GEF funds, including the GEF STAR
- Other (please specify)

7. Are you aware of the *GEF policy on upgrading* SGP country programs?

- Yes
- No

In 2007 the GEF introduced the concept of upgrading SGP country programs. The initial policy focused on the most mature SGP country programs and requested them to function more independently and assume broader responsibilities. One consequence is that some of the most mature programs 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 programs 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 program.

8. The current GEF SGP upgrading policy is for SGP country programs, 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-size project). Are you in favor of, one day, the GEF SGP program in your country *upgrading to be implemented as a full-size project*?

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

C. SGP Effectiveness—Broader Adoption

The GEF supports innovative measures, practices, technologies, and behavior. In addition to supporting such innovations at a site, the GEF aims to

achieve broader adoption of these innovations. This broader adoption comes through four strategies: mainstreaming, replication, scaling-up, and market change.

- **Mainstreaming:** Information, lessons, or specific results of the GEF are incorporated into broader stakeholder mandates and initiatives such as laws, policies, regulations, and programs. This may occur through governments and/or 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 a 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 program

- Capacity and experience of the selected grantees
- Extent of government support and ownership of the GEF (or at least of the 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 program
 - Capacity and experience of the selected grantees
 - Extent of government support and ownership of the GEF (or at least of the 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 the SGP and the UNDP* country program in your country? (select 1)
 - The SGP is an integral part of the UNDP country program, and is mentioned in the United Nations Development Assistance Framework (UNDAF) (or other UN framework) and the UNDP country program document and/or country program action plan
 - The SGP is not formally mentioned in the UNDAF or the country program document/country program action plan, but it is considered an integral part of the UNDP country program
 - The SGP is considered an important part of the UNDP environment portfolio

- The SGP is implemented by UNDP, but is a stand-alone program with little linkage to other UNDP projects or programs
 - There is hardly any linkage between the 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? (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- or full-size 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?
 - 6: Excellent expertise
 - 5, 4, 3, 2
 - 1: Not at all
 - No opinion

D. SGP Contribution to Sustainable Development and to the Millennium Development Goals, Including to Gender, Governance, and Poverty Issues

1. Does the *SGP national coordinator* have expertise in 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 in 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 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 program* 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 programs focus some resources and effort on gender issues and women's empowerment. 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

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 in 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 in 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 program 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 program* 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 programs focus 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?

E.3 SUMMARY OF SURVEY RESPONSES

The questionnaire was sent to 2,449 people, of whom 1,170 responded, for an overall response rate of 48 percent. Responses were received from 124 countries; see table E-1 for details.

TABLE E.1 SUMMARY OF SURVEY RESPONSES BY COUNTRY AND RESPONDENT CATEGORY

Country/economy	Number invited					Number of completed responses				Response rate (%)
	Staff and NSC members	Additional partners	GEF OFPs and PFPs	UNDP RRs	Total	Total	English	French	Spanish	
Afghanistan	12	9	2	1	24	17	17	0	0	71
Albania	8	4	2	0	14	7	7	0	0	50
Algeria	0	0	2	1	3	1	0	1	0	33
Antigua and Barbuda	12	0	1	0	13	5	5	0	0	38
Argentina	11	2	2	1	16	6	1	0	5	38
Armenia	13	7	1	1	22	14	13	1	0	64
Bahamas	9	3	2	0	14	6	5	0	1	43
Barbados	12	3	2	1	18	6	6	0	0	33
Belarus	9	4	1	1	15	7	7	0	0	47
Belize	14	9	2	0	25	11	11	0	0	44
Benin	15	9	2	1	27	19	0	19	0	70
Bhutan	11	7	2	1	21	16	16	0	0	76
Bolivia	8	0	2	0	10	6	1	0	5	60
Botswana	17	11	2	1	31	13	13	0	0	42
Brazil	21	0	2	1	24	6	5	0	1	25
Bulgaria	2	0	2	0	4	3	3	0	0	75
Burkina Faso	17	3	1	1	22	13	0	13	0	59
Burundi	9	6	1	1	17	10	0	9	1	59
Cambodia	15	10	2	1	28	15	15	0	0	54
Cameroon	12	5	2	1	20	8	3	5	0	40
Cape Verde	10	5	0	1	16	11	6	3	2	69
Central African Republic	8	0	1	1	10	4	0	4	0	40
Chad	12	0	1	1	14	3	0	3	0	21
Chile	2	0	2	1	5	3	0	0	3	60
China	11	2	2	1	16	4	4	0	0	25
Comoros	12	11	2	1	26	13	1	12	0	50
Congo, Dem. Rep.	11	2	2	1	16	7	0	7	0	44
Cook Islands	0	0	2	0	2	1	1	0	0	50
Costa Rica	15	0	2	1	18	9	1	0	8	50
Côte d'Ivoire	11	1	2	1	15	5	0	5	0	33
Cuba	11	13	1	1	26	6	0	0	6	23
Djibouti	1	0	2	1	4	1	1	0	0	25
Dominica	12	25	1	0	38	16	16	0	0	42
Dominican Republic	10	13	2	1	26	10	2	0	8	38
Ecuador	12	0	2	1	15	7	0	0	7	47
Egypt	5	4	2	1	12	4	4	0	0	33
El Salvador	5	1	1	1	8	7	0	0	7	88

(CONTINUED)

TABLE E.1 SUMMARY OF SURVEY RESPONSES BY COUNTRY AND RESPONDENT CATEGORY*(CONTINUED)*

Country/economy	Number invited					Number of completed responses				Response rate (%)
	Staff and NSC members	Additional partners	GEF OFPs and PFPs	UNDP RRs	Total	Total	English	French	Spanish	
Eritrea	10	6	1	0	17	6	6	0	0	35
Ethiopia	11	10	1	1	23	11	11	0	0	48
Fiji	12	4	2	1	19	8	8	0	0	42
Gambia	9	3	1	1	14	7	7	0	0	50
Georgia	13	0	2	1	16	9	9	0	0	56
Ghana	10	13	2	1	26	11	11	0	0	42
Grenada	0	0	2	0	2	0	0	0	0	0
Guatemala	8	6	2	0	16	10	3	0	7	63
Guinea	18	13	2	1	34	21	1	20	0	62
Guinea-Bissau	9	0	2	1	12	5	2	3	0	42
Guyana	12	3	2	1	18	7	7	0	0	39
Haiti	11	7	1	0	19	7	0	7	0	37
Honduras	9	6	2	1	18	10	0	0	10	56
India	13	0	2	1	16	7	7	0	0	44
Indonesia	16	10	2	1	29	18	18	0	0	62
Iran, Islamic Rep.	15	33	1	1	50	32	32	0	0	64
Jamaica	12	10	2	1	25	10	10	0	0	40
Jordan	10	12	2	1	25	12	12	0	0	48
Kazakhstan	12	8	1	1	22	14	14	0	0	64
Kenya	13	0	2	1	16	11	11	0	0	69
Kiribati	0	0	2	0	2	0	0	0	0	0
Kyrgyzstan	12	11	1	1	25	19	18	0	1	76
Lao PDR	8	0	2	1	11	5	5	0	0	45
Lebanon	11	0	1	0	12	6	5	1	0	50
Lesotho	15	10	2	1	28	18	18	0	0	64
Liberia	9	6	2	1	18	7	7	0	0	39
Lithuania	1	0	1	0	2	1	1	0	0	50
Macedonia, FYR	18	7	2	1	28	19	19	0	0	68
Madagascar	9	13	2	1	25	18	0	18	0	72
Malawi	12	11	2	1	26	13	13	0	0	50
Malaysia	13	6	1	1	21	13	13	0	0	62
Maldives	11	2	2	1	16	3	3	0	0	19
Mali	14	3	1	2	20	6	0	6	0	30
Marshall Islands	10	8	1	0	19	6	6	0	0	32
Mauritania	9	15	1	1	26	12	1	11	0	46
Mauritius	10	9	2	1	22	17	16	1	0	77

(CONTINUED)

TABLE E.1 SUMMARY OF SURVEY RESPONSES BY COUNTRY AND RESPONDENT CATEGORY*(CONTINUED)*

Country/economy	Number invited					Number of completed responses				Response rate (%)
	Staff and NSC members	Additional partners	GEF OFPs and PFPs	UNDP RRs	Total	Total	English	French	Spanish	
Mexico	13	0	1	1	15	9	1	0	8	60
Micronesia, Fed. Sts.	10	12	2	0	24	8	8	0	0	33
Moldova, Rep. of	9	6	1	1	17	9	8	1	0	53
Mongolia	13	15	2	1	31	10	10	0	0	32
Morocco	13	12	2	1	28	12	3	9	0	43
Mozambique	12	22	2	1	37	11	9	0	2	30
Namibia	10	6	1	1	18	10	10	0	0	56
Nauru	0	0	2	0	2	0	0	0	0	0
Nepal	9	6	2	1	18	8	8	0	0	44
Nicaragua	12	6	2	1	21	8	1	0	7	38
Niger	20	8	1	1	30	15	0	15	0	50
Nigeria	11	9	2	1	23	10	9	1	0	43
Niue	0	0	2	0	2	0	0	0	0	
Pakistan	13	0	1	1	15	6	6	0	0	40
Palau	10	2	2	0	14	7	7	0	0	50
Palestinian Authority	7	5	2	0	14	9	9	0	0	64
Panama	16	13	2	1	32	16	4	0	12	50
Papua New Guinea	12	8	2	1	23	7	7	0	0	30
Paraguay	7	2	2	1	12	1	0	0	1	8
Peru	14	19	2	1	36	18	3	0	15	50
Philippines	10	0	3	1	14	5	5	0	0	36
Poland	1	0	0	0	1	0	0	0	0	0
Romania	1	0	1	0	2	1	1	0	0	50
Rwanda	12	11	1	1	25	19	12	7	0	76
St. Kitts and Nevis	12	0	2	0	14	6	6	0	0	43
St. Lucia	13	2	2	0	17	11	11	0	0	65
St. Vincent and the Grenadines	12	1	2	0	15	4	4	0	0	27
Samoa	16	3	1	1	21	10	10	0	0	48
Senegal	19	24	1	1	45	26	0	26	0	58
Seychelles	10	1	2	0	13	3	3	0	0	23
Sierra Leone	3	0	2	1	6	2	2	0	0	33
Slovak Republic	9	4	1	0	14	6	6	0	0	43
Solomon Islands	10	4	1	0	15	7	7	0	0	47
South Africa	12	5	2	1	20	7	7	0	0	35
Sri Lanka	17	6	2	1	26	10	10	0	0	38

(CONTINUED)

TABLE E.1 SUMMARY OF SURVEY RESPONSES BY COUNTRY AND RESPONDENT CATEGORY*(CONTINUED)*

Country/economy	Number invited					Number of completed responses				Response rate (%)
	Staff and NSC members	Additional partners	GEF OFPs and PFPs	UNDP RRs	Total	Total	English	French	Spanish	
Suriname	12	3	2	0	17	6	6	0	0	35
Syrian Arab Republic	16	0	2	1	19	5	4	1	0	26
Tajikistan	8	4	1	1	14	9	9	0	0	64
Tanzania	20	4	2	0	26	14	14	0	0	54
Thailand	14	17	2	1	34	13	13	0	0	38
Timor-Leste	9	0	2	1	12	4	4	0	0	33
Togo	12	6	2	1	21	9	0	9	0	43
Tonga	0	0	1	0	1	1	1	0	0	100
Trinidad and Tobago	10	2	2	1	15	9	9	0	0	60
Tunisia	13	5	2	1	21	9	0	9	0	43
Turkey	14	16	2	1	33	14	14	0	0	42
Tuvalu	0	0	2	0	2	0	0	0	0	0
Uganda	14	10	1	1	26	16	16	0	0	62
Ukraine	19	12	1	1	33	17	17	0	0	52
Uruguay	10	6	1	1	18	13	0	0	13	72
Uzbekistan	11	9	2	1	23	7	7	0	0	30
Vanuatu	14	8	2	0	24	9	9	0	0	38
Venezuela, RB	8	8	1	1	18	11	0	0	11	61
Vietnam	11	4	2	1	18	9	9	0	0	50
Yemen	10	4	2	1	17	5	5	0	0	29
Zambia	11	7	1	1	20	5	5	0	0	25
Zimbabwe	15	7	1	1	24	13	13	0	0	54
Other ^a	0	0	0	0	0	2	1	0	1	0
Total	1,379	758	215	97	2,449	1,170	801	227	142	48

NOTE: NSC = national steering committee; PFP = political focal point; RR = resident representative.

a. Two stakeholders did not chose a country; instead they identified themselves as being a regional and/or global stakeholder.

F DESK REVIEW OF COUNTRY PROGRAM STRATEGIES

F.1 OBJECTIVE

The aim of the desk review was to analyze a sample of 30 CPSs in order to assess the extent to which each CPS addresses the issues of gender equality and women's empowerment; and 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 the SGP address issues of poverty, inequality, and exclusion?
- Is the SGP contributing to reducing gender inequality and promoting women's empowerment?

F.2 METHODOLOGY FOR SELECTING SAMPLE

The review carried out an in-depth analysis of 30 CPSs prepared for OP5 and available on the SGP website. Of the 125 countries listed on the website, 17 were excluded, 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.

These 108 countries were divided into two strata, using a stratified sampling approach, to ensure that countries categorized as LDCs and SIDS, as well as those categorized as non-LDCs/SIDS, were included in the sample. This stratification resulted in 52 countries (approximately 48 percent of the total) being classified as LDCs/SIDS, and 56 countries (approximately 52 percent of the total) classified as non-LDCs/SIDS.

Random sampling was then applied independently within each stratum based on proportional allocation

(that is, the size of the sample in each stratum was in proportion to the size of the stratum). The final sample of 30 CPSs was therefore comprised of 14 countries randomly selected from the LDCs/SIDS stratum and 16 countries from the non-LDCs/SIDS stratum.

The selected countries are as follows:

- **LDCs/SIDS:** Belize, Bhutan, Cape Verde, Cuba, Dominica, Eritrea, Guinea-Bissau, Jamaica, Lao People's Democratic Republic, Mauritania, Nepal, Niger, Suriname, and Zambia
- **Non-LDCs/SIDS:** Albania, Argentina, Belarus, Egypt, El Salvador, Ghana, Guatemala, Guyana, Jordan, Kyrgyzstan, Malaysia, Namibia, Paraguay, Sierra Leone, Tajikistan, and Zimbabwe

The strategies of all 30 countries were reviewed in depth with information collected through a semi-structured checklist. 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.

F.3 LIST OF REVIEWED COUNTRY PROGRAM STRATEGIES

Following are the 30 CPSs reviewed:

- “Country Programme Strategy (CPS) for Utilization of OP5 Grant Funds, Guyana” (no date)
- “Country Programme Strategy (CPS) for Utilization of OP5 Grant Funds, Sierra Leone” (no date)
- “Country Programme Strategy for Utilization of OP5 Grant Funds, Ghana” (2011)
- “Country Programme Strategy for Utilization of OP5 Grant Funds, Malaysia” (no date)
- “Country Programme Strategy for Utilization of OP5 Grant Funds, Zimbabwe” (no date)

- “Country Programme Strategy OP5 Grant Funds SGP LAO PDR, 2011–2014, Lao PDR” (no date)
- “Country Programme Strategy Operational Phase 5 (OP5), Dominica” (2012)
- “Estrategia del Programa País del PPD para el Uso de Fondos de Donación OP5 (2011–2014), Paraguay” (no date)
- “Estrategia Nacional del PPD del GEF Guatemala para la Utilización de los fondos de donaciones en la OP5, Guatemala” (no date)
- “GEF-SGP Country Programme Strategy for Utilization of OP5 Grant Funds, Nepal” (no date)
- “GEF/SGP—CPS—Egypt, SGP Country Programme Strategy for Utilization of Operational Phase 5 (OP5), Grant Funds, Egypt” (no date)
- “GEF/SGP Kyrgyzstan Programme Strategy for GEF OP5, Kyrgyzstan” (no date)
- “Global Environment Facility (GEF) Small Grant Programme (SGP) Fifth Operational Phase 2011–2014 Country Programme Strategy, Zambia” (no date)
- “The Global Environment Facility Small Grants Programme (GEF SGP), United Nations Development Programme, Country Programme Strategy for the Small Grants Programme in Jamaica, Approved August 3, 2011, Jamaica” (2011)
- “The Global Environment Facility—Small Grants Programme GEF/SGP, Eritrea” (no date)
- “Marco Estratégico de País 2011–2014, Programa de Pequeñas Donaciones del Fondo para el Medio Ambiente Mundial GEF SGP, El Salvador” (2012)
- “Marco Estratégico Nacional Fase Operativa 5 (OP5), Argentina” (2013)
- “Marco Estratégico Nacional Fase Operativa 5 (OP5), Cuba” (no date)
- “SGP Country Programme Strategy for Utilization of OP5 Grant Funds, Albania” (no date)
- “SGP Country Programme Strategy for Utilization of OP5 Grant Funds, Belarus” (no date)
- “SGP Country Programme Strategy for Utilization of OP5 Grant Funds, Bhutan” (no date)
- “SGP Country Programme Strategy for Utilization of OP5 Grant Funds, Cape Verde” (no date)
- “SGP Country Programme Strategy for Utilization of OP5 Grant Funds, Jordan” (no date)
- “SGP Country Programme Strategy for Utilization of OP5 Grant Funds, Global Environmental Facility Small Grant Programme, Belize Country Programme Strategy OP5, Belize” (2011)
- “SGP Country Programme Strategy for Utilization of OP5 Grant Funds, Suriname Country Programme Strategy 2011–2014, Suriname” (no date)
- “Small Grant Programme Country Programme Strategy for Utilization of OP5 Grant Funds, Namibia” (no date)
- “Stratégie du programme national PMF/FEM pour l’utilisation des Fonds de Micro Financements pour la 5ème Phase Opérationnelle (OP5), Niger” (no date)
- “Stratégie nationale du programme de micro financement du FEM pour l’utilisation des fonds de la Phase Opérationnelle 5 (OP5), Guinée-Bissau” (no date)
- “Stratégie nationale pour l’utilisation des fonds de microfinancements au cours de la phase opérationnelle V (PO5), Mauritanie” (2011)
- “Проон Геф Пмг, Страновая Стратегия Программы, Tajikistan” (2011)

G OVERVIEW OF THE FIFTH SGP OPERATIONAL PHASE

GEF focal area objective ^a	Contribution (million \$)					SGP indicators ^b
	SGP core	STAR 1	STAR 2	Nine FSPs	Total GEF	
BD-1: Improve the sustainability of protected area systems	23.992	5.658	9.272	1.64	40.562	<ul style="list-style-type: none"> ● Number and hectares of indigenous and community conservation areas and other protected areas positively influenced through SGP support ● Number of community members with improved livelihoods related to benefits from protected areas ● Number of significant species with maintained or improved conservation status ● Number and hectares of significant ecosystems with maintained or improved conservation status
BD-2: Mainstream biodiversity conservation and sustainable use into production landscapes, seascapes, and sectors	23.992	5.658	9.272	14.686	53.608	<ul style="list-style-type: none"> ● 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 the SGP) ● Number of significant species with maintained or improved conservation status ● Number and hectares of significant ecosystems with maintained or improved conservation status
CCM-1: Promote the demonstration, deployment, and transfer of innovative low-carbon technologies	10.07	2.962	5.350	0	18.382	<ul style="list-style-type: none"> ● Number of countries with demonstrations addressing community-level barriers to deployment of low-greenhouse gas technologies ● Number of national or international partners or agencies 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	<ul style="list-style-type: none"> ● Number of countries where community-level low-greenhouse gas transport options have been demonstrated ● At least 20 governments (local or national) 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	<ul style="list-style-type: none"> ● Hectares under improved sustainable land management and climate-proofing practices ● Hectares of forest and nonforest lands with restoration and enhancement initiated

GEF focal area objective ^a	Contribution (million \$)					SGP indicators ^b
	SGP core	STAR 1	STAR 2	Nine FSPs	Total GEF	
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	<ul style="list-style-type: none"> ● Hectares under improved agricultural, land, and water management practices (by management practice) ● Number of national and international agencies or partners aware of successful SGP demonstrations and innovative approaches ● Number of national/local governments or international policy-making processes influenced by the SGP
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	<ul style="list-style-type: none"> ● Number of community members with improved actions and practices that reduce negative impacts on land uses
IW-1: Catalyze multistate 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	<ul style="list-style-type: none"> ● Number of strategic action programs to which the SGP is providing implementation support ● Number of regional transboundary water management processes to which the SGP is contributing good practices and lessons
IW-2: Catalyze multi-state 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	
IW-3: Support foundational capacity building, portfolio learning, and targeted research needs for joint ecosystem-based management of transboundary 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	
CHEM-3: Pilot sound chemicals management and mercury reduction	2.961	0	0	0	2.961	<ul style="list-style-type: none"> ● Tons of POPs waste avoided from burning ● Tons of obsolete pesticides disposed of appropriately ● Number of countries where the SGP is contributing to the implementation of national plans and policies to address POPs, harmful chemicals, and other pollutants

GEF focal area objective ^a	Contribution (million \$)					SGP indicators ^b
	SGP core	STAR 1	STAR 2	Nine FSPs	Total GEF	
CD-1: Enhance capacities of stakeholders for engagement through consultative process	2.107	1.843	0	2.935	6.885	<ul style="list-style-type: none"> ● Number of SGP representatives participating in national GEF coordination meetings ● Quantity and quality of the SGP knowledge base, and use of knowledge base; quantity and quality of contributions to knowledge fairs, conferences, publications, and research ● Number of demonstrations and piloted examples of community-based environmental monitoring systems used in SGP projects ● 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
CD-2: Generate, access, and use 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	
CD-5: Capacities enhanced to monitor and evaluate environmental impacts and trends	2.107	1.843	3.289	0	7.175	
Monitoring and evaluation	Across all above focal areas			2.025	2.025	n.a.
Project management	13.440	3.960	7.066	3.622	28.088	n.a.
Total	134.615	40.828	72.851	39.986	288.280	

NOTE: n.a. = not applicable; POPs = persistent organic pollutants.

a. The GEF focal areas and areas of emphasis addressed in OP5 are biodiversity (BD), climate change mitigation (CCM), land degradation (LD), international waters (IW), chemicals (CHEM), and capacity development (CD).

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

H EVALUATIONS ASSESSED IN THE META-ANALYSIS

- GEF Evaluation Office, "Evaluación de la Cartera de Proyectos del FMAM en el País: Cuba (1992–2011)," January 2013.
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- GEF Evaluation Office, "Avaliação de Portfólio de Projetos do GEF: Brasil (1991–2011)," September 2012.
- GEF Evaluation Office, "GEF Country Portfolio Study: El Salvador," June 2012.
- GEF Evaluation Office, "GEF Country Portfolio Study: Jamaica," April 2012.
- GEF Evaluation Office, "Country Portfolio Evaluation: GEF Beneficiary Countries of the OECS (1992–2011) (Antigua and Barbuda, Dominica, Grenada, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines)," April 2012.
- GEF Evaluation Office, "GEF Country Portfolio Evaluation: Nicaragua (1996–2010)," July 2011.
- GEF Evaluation Office, "GEF Country Portfolio Evaluation: Turkey (1992–2009)," June 2010.
- GEF Evaluation Office, "GEF Country Portfolio Evaluation: Egypt (1991–2008)," November 2009.
- GEF SGP, "Knowledge Management, Monitoring, Evaluation and Promotion of the Small Grants Programme in Bulgaria," 2013.
- GEF SGP, "A Review of the Overall Achievements and Results from the Implementation of the Partnership Agreement between UNDP and UNEP on the Implementation of the Strategic Action Programme for the South China Sea," 2012.
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- UNDP, "Outcome Evaluation of the Environment and Energy Component within the UNDP Papua New Guinea Country Programme (2008–2012)," October 2011.
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- UNDP, "UNDP-MCO Samoa Environment and Sustainable Development & Crisis Prevention

- and Early Recovery: Outcome Evaluation Final Report," Samoa Country Office, November 2011.
- UNDP, "UNDP Zimbabwe: Outcome Evaluation of the 2007–2011 Country Programme of Action Final Report," June 2010.
- UNDP Evaluation Office, "2008 Outcome Evaluation Report on the UNDP Environment and Energy for Sustainable Development," December 2008.
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- UNDP Evaluation Office, "Evaluation of UNDP Partnership with Global Funds and Philanthropic Foundations," August 2012.
- UNDP Evaluation Office, "Evaluation of UNDP Contribution: Assessment of Development Results Egypt," July 2012.
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- UNDP Evaluation Office, "Evaluation of UNDP Contribution: Assessment of Development Results Thailand," July 2011.
- UNDP Evaluation Office, "Evaluation of UNDP Contribution: Assessment of Development Results Lao PDR," July 2011.
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- UNDP Evaluation Office, "Evaluation of UNDP Contribution: Assessment of Development Results Seychelles," December 2009.
- UNDP Evaluation Office, "Evaluation of UNDP Contribution: Assessment of Development Results Uganda," September 2009.
- UNDP Evaluation Office, "Evaluation of UNDP Contribution: Assessment of Development Results Argentina," May 2009.
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STAKEHOLDERS INTERVIEWED

I.1 CPMT

- Akhtar, Tehmina, Deputy Global Manager
- Chen, Sulan, Programme Adviser, International Water and Chemicals; Regional Focal Point for SGP Countries in Europe & CIS and Asia Regions
- Currea, Ana Maria, Specialist, Knowledge Management and Communications; Gender Focal Point
- Ekomba Modelo, Maria Jose, Programme Associate, Operations and Partnerships
- Ganapin, Delfin, Global Manager
- Hay-Edie, Terence, Programme Adviser on Biodiversity; Regional Focal Point for SGP Countries in Francophone Africa and Pacific Regions
- Nyandiga, Charles, Programme Adviser on Land Degradation and Sustainable Forest Management; Regional Focal Point for SGP Countries in Anglophone Africa and Arab States Regions
- Shamerina, Angelica, Programme Adviser on Climate Change; Regional Focal Point for SGP Countries in Latin America and Caribbean Region

I.2 UNDP

- Bennet, Nancy, Results Management and Evaluation Adviser, UNDP-GEF
- Dinu, Adriana, Deputy Executive Coordinator and OIC, UNDP-GEF
- Fukuoka, Fumiko, Senior Technical Adviser, Communities, Livelihoods and Markets Cluster, UNDP-GEF
- Glemarec, Yannick, Executive Coordinator, UNDP-GEF
- Gold, Stephen, Principal Policy and Technical Adviser; Head of Green LECRDS Team
- Hudson, Andrew, Principal Technical Adviser, Water and Oceans, UNDP-GEF
- Iftikhar, Usman, Policy Advisory, Poverty Reduction Group, BDP
- McNeill, Charles, Senior Policy Adviser, Environment and Energy Group, BDP

Remple, Nick, SGP Upgraded Country Programmes Manager, Communities, Livelihoods and Markets Cluster, UNDP-GEF

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

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

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

I.3 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, Senior Biodiversity Specialist, Natural Resources

I.4 OTHER STAKEHOLDERS

Gorman, Steve, former World Bank Representative, SGP Steering Committee

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

Lauranson, Catherine, European Commission

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, Senior Operations Officer, Deputy GEF Coordinator, World Bank

I.5 CAMBODIA COUNTRY VISIT

Bat, Phalla, First Deputy Commune Chief, DKK, Smonh Village, Phan Nheum Commune, Staung District, Kampong Thom Province

- Bou, Bun, First Deputy Commune Chief, Andaung Trang Village, Sramor Commune, Cheung Prey District, Kampong Cham Province
- By, Kim Oeurn, Executive Director, DKK, Kampong Thom Province
- Chairatt, Project Field Staff, RS, Siem Reap Province
- Chea, Lim, Member, 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
- Chiang, Men, Sre Village Chief of KIPD Target Area, Rumdoh Sre Commune, Choam Ksan District, Preah Vihear Province
- Chheng, Vibolrith, Deputy Director/National Steering Committee Member, Department of International Relation, MAFF, Phnom Penh, Cambodia
- Chhun, Kim San, Member, Committee, Por Village, Por Commune, Kampong Leng District, Kg. Chnang Province
- Chhun, Sovanny, Member, National Steering Committee, 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/National Steering Committee Member, WWF, Phnom Penh
- Chuop, Chea, Deputy Chair, 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, PDI Target Area, PDI, Prek Daung Village, Kampong Svay Commune, Kien Svay District, Kandal Province
- Em, Sam Ol, Project Staff, CSARO, Phnom Penh
- In, Sunnary, Village Chief, 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 Ho
- Heng, Yon Kora, Executive Director, CSARO, Phnom Penh
- Huot, Technical Adviser, DKK, Kampong Thom Province
- Jensen, Meoko Saito, REDD 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/National Steering Committee Member, Heifer 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, 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, Department of Community Fisheries, Fishery Administration
- Ly, Sam Lon, Member, Committee Por Village, Por Commune, Kampong Leng District, Kg. Chnang Province
- Ly, Pheara, Executive Director, AHRDE, 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/National Steering Committee Member, PDA, Phnom Penh
- Meas, Chroeun, Chief, Community Committee, Torb Cheang CFo, Preah Ang Keo Village, Dang Peng Commune, Sre Ambel District, Koh Kong Province
- Men, Sarom, Vice Rector/National Steering Committee Member, Royal University of Agriculture, Phnom Penh

- Men, Phallyka, Finance Officer, RS, Siem Reap Province Nhean, Phoung Maly; Executive Director, RS, Siem Reap Province
- Ngin, Navirak, SGP National Coordinator, UNDP Country Office
- Nhem, Chiep, First Deputy Commune Chief, CSARO Project Areas, Tuol Ampil Commune, Boseth District, Kampong Speu Province
- Oeur, Seng Hong, Commune Chief, Por Commune, Kampong Leng District, Kg. Chnang Province
- Ouch, Son, DKK, Project Manager, DKK, Kampong Thom Province
- Pheun, Phalla, Okrasa Cfi, Project Assistant, Okrasa CFI, Kep Province
- Phon, Choeun, Second Chief of Commune, KIPD Target Area, Kok Village, Rumdoh Sre Commune, Choam Ksan District, Preah Vihear Province
- Pich, Kan, Chair, Committee, Por Village, Por Commune, Kampong Leng District, Kg. Chnang Province
- Pok, Sun, Second 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, KIPD Project Area, Rumdoh Sre Commune, Choam Ksan District, Preah Vihear Province
- Sam, Lim, Member, Committee, Por Village, Por Commune, Kampong Leng District, Kg. Chnang Province
- Sam, Ol, Commune Chief, RS Target Area, Trapeang Trom Village, Popeal Khe Commune, Sotr Nikum District, Siem Reap Province
- Sar, Kosal, National Steering Committee 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, 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, CSARO Project Target Area, Tuol Ampil Commune, Boseth District, Kampong Speu Province
- Sokundara, Pok, Director/National Steering Committee Member, National League of Commune Council, Phnom Penh
- Son, Sath, Second 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/National Steering Committee Member, SCW, Phnom Penh, Cambodia
- Thlok, Chea, Accountant, Por Village, Por Commune, Kampong Leng District, Kg. Chnang Province
- Tin, Ponlok, Deputy General Director, Ministry of Environment
- U, Sirta, MAFF Adviser/National Steering Committee Member, FA, MAFF, Phnom Penh
- Ung Dara Rat Moni, UNDP Adviser, MAFF, Project Support Unit, 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
- 15 RS community members and 6 commune council members, Trapeang Trom Village, Popeal Khe Commune, Sotr Nikum District, Siem Reap province
- 20 community members of CCD in target village—Kampong Basrov Village, Chulsa Commune, Chum Kiri District, Kampong Chnang Province
- 18 community members of CDVIision target communities, Andaung Trang Village, Sramor commune, Cheung Prey District, Kampong Cham Province
- 21 (6 women) community members of Torb Cheang CFo, Preah Ang Keo Village, Dang Peng Commune, Sre Ambel District, Koh Kong Province
- 30 (10 women) community members, 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
- 8 representatives from commune council, CFI members and beneficiaries, Angkol CFI, Kampot Province

5 PDI community members, PDI, Prek Daung Village, Kampong Svay Commune, Kien Svay District, Kandal province

12 grant managers

28 AHRDE community members, Trapeang Sbov Village, Sre Thmey Commune, Rolea Pa-ir District, Kampong Chngang Province

Director, Chief of CPA, and two staff members, Provincial Department of Environment, Koh Kong Province

7 community members, CTO, Krapeu Village, Balank Commune, Prasat Bakong District, Siem Reap Province

7 community members, CDI target areas, Kean Svay District, Kandal Province

7 representatives from commune council, community fisheries, Okrasa CFi, Kep Province

10 commune members, KIPD, Rumdoh Sre Commune, Choam Ksan District, Preah Vihear Province

10 community members (6 women), CSARO, Phnom Penh

Carrera, Marcelo, Technical Assistant, Sinchipura

Cerda, Lidia Berta, President, Sinchipura

Cermen, Maria, Member, Maca Atapulo community

Cevallos, Alfonso, President of Community, Comite Promejoras Huasipamba, and former President of UNOCSI

Cevallos, Manue, Member, Comite Promejoras Huasipamba

Chavez, Byron, Member, Comite 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, Asociacion Pakarinian Sunicorral Culebrillas

Guaman, Gerardina, Member, Comite Promejoras Huasipamba

Guaman, Juan, Project Coordinator, UCOIT

Guaman, Juliana, Member, Asociación de Trabajadores Autónomos "Atapo Quichilán"

Guaman, Zoila, former President, Corporacion de mujeres aretisanas de Nizag

Guaraca Ronndan, Jose, Member, Asociación de Trabajadores Autónomos "Atapo Quichilán"

Guatatoca, Erica, Member, Sinchipura

Grefa, Franciso Alvarado, Member, Sinchipura

Grefa, Juana, Member, Sinchipura

1.6 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, Comite Promejoras Huasipamba

Caguana, Francisco, former President of Community, UCOIT

Caguana, Miguel, former Secretary, UCOIT

Cardenas, Manuel, President of Community, Tierra Verde NGO

- Hidalgo, Monica, Vice-Minister, Ministry of Environment
- Huerta, Francisco, President of Community, Asociacion 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, 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, Corporacion de mujeres artesanas de Nizag
- Mendoza, Maria Catalina Tapay, Member, Corporacion de mujeres artesanas de Nizag
- Mendoza, Maria Martina, Member, Corporacion 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; Representative, Napo Province; Secretary, 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 OFF, 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

1.7 JORDAN COUNTRY VISIT

- Abu Eid, Omar, National Steering Committee, Indigenous Peoples Focal Point, EU Commission—Jordan
- Abulhawa, Tariq, Project Manager, Integrated Management of Jordan Rift Valley GEF FSP
- Al-Adgham, Munir, Alatoom, Moh’d, UNDP Jordan
- Ali-Ahmad, Zena, UNDP Country Director
- Al-Kharabsheh, Saleh, OFF, 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

Ayesh, Mohd, Project Manager, Jordan Royal Botanic Garden

Fayyad, Khawla, National Steering Committee Gender Focal Point, 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

Smady, Jaleeleh, National Steering Committee Gender Focal Point, Jordanian Women's Union/Jarash Governorate

Wardam, Batir, Project Manager, Enabling Activities for the Preparation of Jordan's Third National Communication Report to the UNFCCC

Zawahreh, Adnan, Ministry of Environment

Additional stakeholders during field visits to sampled projects

I.8 KENYA COUNTRY VISIT

Abdi, Dhahabu Adan, Administrative Assistant, Laikipia Central Community Development Organization

Abraham, Wangila, Program Officer, Eco-Ethics International-Kenya

Ahmed, Abubakar Mohamed, Chairman, Wasini Beach Management Unit

Ali, Amina, Secretary, Gazi Women Group

Ali, Sanura, Committee Member, Wasini Beach Management Unit

Averbeck, Carolin, UNDP, Team Leader, Inclusive Economic Growth & Social Development Unit

Bashir, Sofia Omar, Member, BICODE Community Development

Chege, Florence, former Chair, SGP National Steering Committee

Chege, Nancy, National Coordinator, SGP

County, Keogora, Fisheries Officer, Wasini Beach Management Unit

Daepf, David, Associate Portfolio Manager, Small Grants Cluster, UNOPS

Fondo, Lucas, Chairman, Mombasa Kilindini Community Forestry Association

Gakahu, Christopher, Head of Unit, Environment and Sustainability, UNDP

Gathuya, John, UNDP Operations Manager

Gitau, Ayub, SGP National Steering Committee Member (University of Nairobi)

Githaiga, David, SGP National Steering Committee Member (UNDP)

Gitong, Joseph, Program Officer, Laikipia Central Community Development Organization

Juma, John Bosco, Committee Member, Mombasa Kilindini Community Forestry Association

Juma, Omar Abdalla, Project Manager, Wasini Beach Management Unit

Kamau, Bernard, Member, Kijabe Environment Volunteers

Kamau, Stephen, Member, Kijabe Environment Volunteers

Kamau, Zipporah M., Finance Officer, Kijabe Environment Volunteers

Kanene, Anthony, Fisheries Officer, Sagana Fish and Bee-Keeping Women Group

Karanja, Alice, Recipient of Biogas Unit, Laikipia Central Community Development Organization

Karanja, John, Project Officer, United Disability Empowerment Group

Karanja, Nicasius, Recipient of Biogas Unit, Laikipia Central Community Development Organization

Kariuki, Samson, Board Secretary and Technical Adviser on Biogas, Laikipia Central Community Development Organization

Keating, Maria-Threase, UNDP Country Director

Kimani, Jedidah, Accountant, United Disability Empowerment Group

Kimata, Salome, CEO, United Disability Empowerment Group

Kinyaga, Samson, Accountant, Ngare Ndare Forest Trust

Kinyua, Joshua, Assistant Manager-Field, Ngare Ndare Forest Trust

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

1.9 MONGOLIA COUNTRY VISIT

Bandi, Ganbaatar, SGP Staff
Battur, private sector

Belendalai, local entrepreneur
 Chimeg, J., UNDP Representative, National Steering Committee
 Eriksson, Thomas, UNDP Deputy Resident Representative
 Enkhbat, A., OFP
 Munkhchuluun, B., National Steering Committee Member
 Myadagmaa, GEF/SGP Network Partnership for Development Coordinator
 Nasanjargal, Association of National Seabuckthorn Growers
 Tuya, Association of Beekeepers in UB
 Zundui, local entrepreneur
 Additional stakeholders during field visits to sampled projects

I.10 MOZAMBIQUE COUNTRY VISIT

Benhe, Eugenio, Associação para o Desenvolvimento Comunitário de Chitondo
 Boane, Paula, Project Assistant, SGP
 Bombi, Gloria, President, Associação Janet Mondlane
 Chichava, Ana, Vice-Minister for the Coordination of Environmental Action; National GEF Political Focal Point
 Correia, Augusto, SGP (ex-officio) National Steering Committee Youth Focal Member
 Cuamba, Boaventura, UEM
 Dixon, Richard, IUCN Mozambique
 Janeiro, Avelino, UNDP
 Maibaze, Ivete, National Director, Ministry of Environmental Affairs, Direção Nacional de Promoção Ambiental
 Manjate, Telma, GEF Technical OFP, Ministry of Environmental Affairs; Head, Cooperation Department
 Mulhovo, Felisberto, Coordinator, Sociedade Aberta
 Ntumi, Cornelio, Academy, UEM
 Pereira, Pedro, National Steering Committee Focal Point on Indigenous Issues
 Romão, Paulo, National Steering Committee Chairman

Saide, Zuleika, National Steering Committee Gender Focal Member
 Sousa, Paulo, Programme Officer, GAPI SA (Sociedade de Apoio ao Investimento)
 Vaz, Nádia, UNDP
 Additional stakeholders during field visits to sampled projects

I.11 PAKISTAN COUNTRY VISIT

Akhtar, Rubina, Member, National Steering Committee, SGP (Principal Scientific Officer, National Herbarium, NARC, Government of Pakistan)
 Bukhari, Syed Nadeem, National Steering Committee 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 (current Project Director, Community Development Programme, Government of Sindh)
 Raza, Ghazala, Senior Program Officer, GEF, GEF Cell, Ministry of Climate Change
 Ullah, Saleem, Program Officer, Environment and Climate Change Unit, UNDP
 Viennings, Tracy, Deputy Country Director, Programme, UNDP

I.12 PANAMA COUNTRY VISIT

Bejarano, Gloria, SGP National Steering Committee
 Ben, Franklin Kwai, Science Director, ARAP
 Bovarnick, Andrew, UNDP Global Head, Green Commodities Facility & Lead Natural Resource Economist
 Britton, Elvin, CATIE
 Cambra, Gina, IABD
 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 National Steering Committee Member and designated Ministry of Environment
- Fernández, Maria, UNDP Gender Officer
- Herrera, Abraham, Director, ANAM; GEF OFF
- Herrera, Francisco, SGP National Steering Committee
- Hirald, 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 Adviser, UN-REDD+ Programme, Panama
- Pérez, José Manuel, UNDP Programme Officer and UNDP National Steering Committee Member
- Pinedo, Raúl, Director, ANAM, former GEF OFF; 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, ECO Circuitos Panama
- Additional stakeholders during field visits to sampled projects
- I.13 PERU COUNTRY VISIT**
- Álvarez, Yerik, Member, Asociacion Marjawl de Sigwas
- Amachi, Hilarya Rosa Medina, Member, Asociacion de Artesanos Cuna de Kajelos
- Amasifuen, Adeli Sangama, Member, Non-Governmental Rural Association Choba Choba
- Amasifuen, Efrain Sangama President, Project Committee in Narjanjal, Non-Governmental Rural Association Choba Choba
- Amasifuen, Juoiy Sangama, Member, Non-Governmental Rural Association Choba Choba
- Amasifuen, Margarita Salas, Member, Non-Governmental Rural Association Choba Choba
- Amasifuen, Maria Jesus Salas, Member, Non-Governmental Rural Association Choba Choba
- Amasifuen, Maria Milagros Sangama, Member, Non-Governmental Rural Association Choba Choba
- Amasifuen, Narcisa Sangama, Member, Non-Governmental Rural Association Choba Choba
- Amasifuen, Segundo Guerra, Member, Non-Governmental Rural Association Choba Choba
- Ames, Ema, Leader, AFPEVAP
- Amesquita, Agripina Miranda, Member, Asociacion de Artesanos Cuna de Kajelos
- Amesquita, Erminia Miranda, Member, Asociacion de Artesanos Cuna de Kajelos
- Amsquita, Juana Miranda, Member, Asociacion de Artesanos Cuna de Kajelos
- Amesquita, Maria Miranda, Member, Asociacion de Artesanos Cuna de Kajelos
- Anagua, Silvestre, Member, Asociacion de pescadores artesanales Virgen de Chapi Los Palos-Tacna
- Aquino, Benegno Mayta, Member, Yauli-Jauja-Junin
- Aquino, Donato V. Aquino, Member, Yauli-Jauja-Junin
- Aquino, Cesario Aquino, Member, Yauli-Jauja-Junin
- Aquino, Cliserio Rupay, Member, Yauli-Jauja-Junin
- Aquino, Eulalia Limache, Member, Yauli-Jauja-Junin
- Aquino, Fabián Rupay, Member, Yauli-Jauja-Junin
- Aquino, Flavio Rafael, Member, Yauli-Jauja-Junin
- Aquino, Heraclea Limache, Member, Yauli-Jauja-Junin
- Aquino, Isaías Aquino, Member, Yauli-Jauja-Junin
- Aquino, Juan, Mayor, El Juli
- Aquino, Julián Hilario, Member, Yauli-Jauja-Junin
- Aquino, Leoncio Aquino, Member, Yauli-Jauja-Junin
- Aquino, Marleni Maita, Member, Yauli-Jauja-Junin
- Aquino, Olimpia Aquino, Member, Yauli-Jauja-Junin

- Aquino, Oracio Aquino, Member, Yauli-Jauja-Junin
- Aquino, Oracio Bullón, Member, Yauli-Jauja-Junin
- Aquino, Reyda Rojas, Member, Yauli-Jauja-Junin
- Aquino, Rosana Escobar, Member, Yauli-Jauja-Junin
- Aquino, Tolomeo Rojas, Member, Yauli-Jauja-Junin
- Aquino, Urbano Rojas, Member, Yauli-Jauja-Junin
- Aquino, Wilder Rupay, Member, Yauli-Jauja-Junin
- Aquino, Walter García, Member, Yauli-Jauja-Junin
- Aquino, Wilton Aquino, Member, Yauli-Jauja-Junin
- Aguilar, Domingo, Member, Yauli-Jauja-Junin
- Arevalo, Arturo, Tecnico del Proyecto, Non-Governmental Rural Association Choba Choba
- Arias, Hugo, Member, Comunidad campesina de Paltarumi
- Arias, Ninfa, Member, Asociacion Ecologica y turistica Sol de Huaycan
- Arias, Rebeca, Peru UNDP Representative
- Arias, Susi, Member, Asociacion Ecologica y turistica Sol de Huaycan
- Arias, Telmo, Member, Asociacion Ecologica y turistica Sol de Huaycan
- Arroyo, Rupay Fernando, Member, Yauli-Jauja-Junin
- Atencio, Cirila Alberto, President, Asociacion de Artesanos Cuna de Kajelos
- Aylas, Julián Quito, Member, Yauli-Jauja-Junin Apaza
- Barja, Antonio Escobar, Member, Yauli-Jauja-Junin
- Barja, Celestino León, Member, Yauli-Jauja-Junin
- Barja, Daniel Pérez, Member, Yauli-Jauja-Junin
- Barja, Maximiliana Aquino, Member, Yauli-Jauja-Junin
- Bustamante, Emilia, SGP Coordinator
- Bullon, Felidor, Member, Yauli-Jauja-Junin
- Caceres, Julio Barrios, Project Coordinator, Asociacion Marjawl de Sigwas
- Caceres, Laura Deysi Barrios, Member, Asociacion Marjawl de Sigwas
- Cáceres, Carmen Cáceres, Member, Asociacion Marjawl de Sigwas
- Cacifique, Mauro Sangama, Member, Non-Governmental Rural Association Choba Choba
- Cachique, Natividad Sangama, Member, Non-Governmental Rural Association Choba Choba
- Cachique, Prudencio Guerra, President, Project Committee in Inoyaco, Non-Governmental Rural Association Choba Choba
- Cachique, Percy Tapullima, Member, Non-Governmental Rural Association Choba Choba
- Caja, María Casimiro, Member, Yauli-Jauja-Junin
- Cama, Felipita, President, Asociacion de mujeres Musuq Illari
- Canchi, Aguida, Member, NGO IMAGEN
- Caovique, Lisbeth Caovique, Member, Non-Governmental Rural Association Choba Choba
- Casimiro, Paolo Espinosa, Member, Yauli-Jauja-Junin
- Casimiro, Silvino Aquino, Member, Yauli-Jauja-Junin
- Carbajal, Rosa Mamani, Member, Asociacion de Artesanos Cuna de Kajelos
- Carbajal, Erminia Merma, Member, Asociacion de Artesanos Cuna de Kajelos
- Carbajal, Vilma Merma, Member, Asociacion de Artesanos Cuna de Kajelos
- Catacora, Lessi, Project Technical Coordinator, Asociacion Marjawl de Sigwas
- Catacora, Lessi, Project technical coordinator, Asociacion de pescadores artesanales Virgen de Chapi Los Palos-Tacna
- Casimiro, Enrrique Aquino, Member, Yauli-Jauja-Junin
- Casimiro, Rolanda, Member, Yauli-Jauja-Junin
- Casimiro, Nasaria Uscuvilca, Member, Yauli-Jauja-Junin
- Castelo, Maria, Director, IMAGENCastro, Virginia Mamanchura; Member, Asociacion de Artesanos Cuna de Kajelos
- Ccopa, Jacinta Miranda, Member, Asociacion de Artesanos Cuna de Kajelos
- Ccopa, Julia Huaracho, Member, Asociacion de Artesanos Cuna de Kajelos
- Ccopa, Sofia Miranda, Member, Asociacion de Artesanos Cuna de Kajelos
- Chavarria, Basilia, Member, Asociacion Ecologica y turistica Sol de Huaycan
- Chipania, Francisca, Member, Asociacion Ecologica y turistica Sol de Huaycan
- Checalla, Fermina Ranos, Member, Asociacion de Artesanos Cuna de Kajelos

- Chura, Rocio, Project Coordinator–Technical Assistance, Asociacion de mujeres Musuq Illari
- Choque, Fredy, Member, Comunidad campesina de Paltarumi
- Collachahua, Betty Aquino, Member, Yauli-Jauja-Junin
- Condori, Elias Huallpa, Member, Asociacion de pescadores artesanales Virgen de Chapi Los Palos-Tacna
- Condori, Margarita Huamán, Member, IMAGEN
- Cunyas, Emiliana, Treasurer of community mosses enterprise, Comunidad campesina de Paltarumi
- Cunyas, Donato, President, Comunidad campesina de Paltarumi
- de Barja, Francisca Rosales, Member, Yauli-Jauja-Junin
- de Guaman, Francisca, Member, Comunidad campesina de Paltarumi
- De Laurente, Ana María Loayza, National Steering Committee Member/OBS—civil society
- Delgado, Jaime, Congressman, Consumer Rights Representative
- de Ramos, Proidencia Salina, Member, Asociacion de Artesanos Cuna de Kajelos
- Enriquez, Porfirio, Strategic Alpaca Projects, Strategic Projects Coordinator
- Escapa, Arturo Arenas, Member, Asociacion de pescadores artesanales Virgen de Chapi Los Palos-Tacna
- Escapa, Samuel Arenas, Member, Asociacion de pescadores artesanales Virgen de Chapi Los Palos-Tacna
- Ensiro, Emeliana Mamanchura, Member, Asociacion de Artesanos Cuna de Kajelos
- Escobar Jesús, García, Member, Yauli-Jauja-Junin
- Escobar, Rubén Lira, Member, Yauli-Jauja-Junin
- Ferrando, Maria Elena, Ex-National Steering Committee Member NGO representative
- Flores, Bonifacio, Director and Project Coordinator, Asociacion Ecologica y turistica Sol de Huaycan
- Flores, Digna Aruhuanca, Member, Asociacion de Artesanos Cuna de Kajelos
- Flores, Ferrer, Member, Asociacion Ecologica y turistica Sol de Huaycan
- Flores, Janeth Huaracha, Member, Asociacion de Artesanos Cuna de Kajelos
- Garcia, Alfonso, Tecnico del Proyecto, Non-Governmental Rural Association Choba Choba
- Garcia, José Aquino, Member, Yauli-Jauja-Junin
- García, Margarita Huánuco, Member, Yauli-Jauja-Junin
- Gomez, Edith, Member, Comunidad campesina de Paltarumi
- Gomez, Jose, Member, Asociacion de Camaron Jose Olaya
- Gomez, Junior, Member, Asociacion de Camaron Jose Olaya
- Gonzalez, Cecilia, President, Asociacion Comunitaria de Gestion Turistica
- González, José Antonio, National Steering Committee Member, GEF OPF, Vice Minister of Environment (International Cooperation)
- Guevara, Juan Torres, National Steering Committee Member/(Dry Ecosystems)
- Guaman, Edwin, Member, Comunidad campesina de Paltarumi
- Guerra, Dolores Amasifuen, Member, Non-Governmental Rural Association Choba Choba
- Hermenio, Condori, Member, Asociacion de pescadores artesanales Virgen de Chapi Los Palos-Tacna
- Herrera, Maday, Member, Guide Committee, Asociacion Comunitaria de Gestion Turistica
- Huaccho, Donato Rafael, Member, Yauli-Jauja-Junin
- Huamán, Carmen Quelca, Member, IMAGEN
- Huaman, Inés Anglas, Member, Yauli-Jauja-Junin
- Huamán, Miguel, Member, Yauli-Jauja-Junin
- Huamán, Rosalvina Aquino, Member, Yauli-Jauja-Junin
- Huaraya, Adriana Checalla, Member, Asociacion de Artesanos Cuna de Kajelos
- Huarcaya, Delfina, Member, Comunidad campesina de Paltarumi
- Huarcaya, Gisela, Member, Comunidad campesina de Paltarumi
- Huarcaya, Lucas, Member, Comunidad campesina de Paltarumi
- Huarcaya, Marcelino, Treasurer, Comunidad campesina de Paltarumi

- Huarcaya, Remata, Member, Comunidad campesina de Paltarumi
- Huarcaya, Silvia, Member, Comunidad campesina de Paltarumi
- Huilca, Eduardo Condori, Member, IMAGEN
- Jorge, Dina Rodrigues, Member, Asociacion de Artesanos Cuna de Kajelos
- Jorge, Nola Rodriguez, Member, Asociacion de Artesanos Cuna de Kajelos
- Juárez, Edwin Cueva, Project Coordinator–Technical Assistant, Asociacion Marjawl de Sigwas Instituto Para El Desarrollo y la Paz Amazonica
- Julcarima, Alina Casimiro, Member, Yauli-Jauja-Junin
- Julcarima, Nela Casimiro, Member, Yauli-Jauja-Junin
- Julcarima, Damián, Member, Yauli-Jauja-Junin
- Julcarima, Nela Casimiro, Member, Yauli-Jauja-Junin
- Laureaceo, Pedro, NGO Director and Project Coordinator, Instituto de Educacion Rural, Juli, Puno
- Lay, Roberto, Project Coordinator– Technical Assistant, Instituto Para El Desarrollo y la Paz Amazonica
- León, Leiber López, Member, Yauli-Jauja-Junin
- Leslie, James, UNDP Technical Adviser for Official of Environment and Energy
- Limache, Fermín, Member, Yauli-Jauja-Junin
- Lopez, Vicio, Member, Asociacion Ecologica y turistica Sol de Huaycan
- Mamani, Antonia, Project Coordinator–Technical Assistance, Asociacion de Artesanos Cuna de Kajelos
- Mamani, Cirila Ramos, Member, Asociacion de Artesanos Cuna de Kajelos
- Mamani, Edwin, Member, Asociacion de Camaron Jose Olaya
- Mamani, Edilberto, Member, Asociacion de Camaron Jose Olaya
- Mamani, Elber, Secretary, Board of Directors, Asociacion de Camaron Jose Olaya
- Mamani, Guillermo Pucho, Mayor, Sigwas District, Asociacion Marjawl de Sigwas
- Mamani, Ignacio, Member, sociacion de Camaron Jose Olaya
- Mamani, Marcos Rojo, Member, IMAGEN
- Mamani, Walter, Vice President, Asociacion de Camaron Jose Olaya
- Mamanti, Natalia, Member, Board of Directors, Asociacion de Camaron Jose Olaya
- Manzano, Carmen Alberto, Member, Asociacion de Artesanos Cuna de Kajelos
- Martinez, Genovesa, Member, Mujeres Trabajadoras de agricultura urbana agroecologica de los CPRs Curva, Zapata, San Juan y Puente Machay
- Mayta, German, President, Community Mosses Enterprise, Comunidad campesina de Paltarumi
- Medina, Patricia, former Coordinator Commercialization SGP APREPOECO
- Meiss, Louis Masson, National Steering Committee Member/(NGO ONAREN)
- Merma, Sabina Jorge, Member, Asociacion de Artesanos Cuna de Kajelos
- Miranda, Antonia Samalloa, Member, Asociacion de Artesanos Cuna de Kajelos
- Montalvo, Clímaco Huamán, Member, Yauli-Jauja-Junin
- Ñaupari, Walter Marcos, Member, Yauli-Jauja-Junin
- Osorio, Luis Gomero, Strategic Potatoes and Aquaculture Projects, Director of Organic Agriculture network RAAA, Strategic Projects Coordinator
- Palomino, Edilberto Aquino, Member, Yauli-Jauja-Junin
- Panduro, Rider, NGO Director, Project Coordinator– Technical Assistant, Non-Governmental Rural Association Choba Choba
- Parra, Fabiola, Strategic Dry Ecosystem Projects, Strategic Projects Coordinator
- Paucar, Nicolás Aquino, Member, Yauli-Jauja-Junin
- Paye, Teodora, Member, Asociacion de Artesanos Cuna de Kajelos
- Perca, Faustin, President, Asociacion de Camaron Jose Olaya
- Pérez, Josefa Rojas, National Steering Committee Member/(Gender)
- Pérez, Jaqueline Yarihuaman, Member, Yauli-Jauja-Junin
- Pilco, Calixto Quishpe, Project Technical Coordinator, Asociacion de Camaron Jose Olaya
- Pino, Euangelina Espinoza, Member, Asociacion de Artesanos Cuna de Kajelos

- Pinto, Emilia, Member, Yauli-Jauja-Junin
- Pinto, Elvira, Member, Yauli-Jauja-Junin
- Pizarro, Marcelo, Project Coordinator–Technical Assistant, Asociacion Indigena Fuerza y Coraje para el desarrollo de nuestras comunidades
- Poma, Jorge Luis, Vice President, Asociacion de pescadores artesanales Virgen de Chapi Los Palos-Tacna
- Ponce, Rodrigo, Project Coordinator–Technical Assistant, 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, IMAGEN
- Quispe, Elizabeth, Member, IMAGEN
- Quispe, Narcisa Huamán, Member, IMAGEN
- Quito, Inocenta, Member, Yauli-Jauja-Junin
- Quito, Herminio, Member, Yauli-Jauja-Junin
- Quito, Nilton, Member, Yauli-Jauja-Junin
- Quspes, Norma Blanca Paredes, Member, Asociacion de Artesanos Cuna de Kajelos
- Rafael, A. Gerardo, Member, Yauli-Jauja-Junin
- Rafael, Clever, Member, Yauli-Jauja-Junin
- Rafael, Dany Aquino, Member, Yauli-Jauja-Junin
- Rafael, Guilber, Member, Asociacion de pescadores artesanales Virgen de Chapi Los Palos-Tacna
- Ramos, Violeta Alberto, Member, Asociacion de Artesanos Cuna de Kajelos
- Ramos, Maria Valentina, Member, Asociacion de Artesanos Cuna de Kajelos
- Ramos, Tomasa Ticona, Member, Asociacion de Artesanos Cuna de Kajelos
- Ramirez, Meguelina Gonzales, Member, Yauli-Jauja-Junin
- Rivera, Margarita, Member, Comunidad campesina de Paltarumi
- Rojas, Rosa Luz Mesa, Member, Yauli-Jauja-Junin
- Rojo, Fortunato Espinoza, Member, IMAGEN
- Rojo, Hilario Condori, Member, IMAGEN
- Rojo, Toribio Huamán, Member, IMAGEN
- Rodrigues, Asunta Ramos, Member, Asociacion de Artesanos Cuna de Kajelos
- Romero, Lorenza Rafael, Member, Yauli-Jauja-Junin
- Romero, Fabio Aquino, Member, Yauli-Jauja-Junin
- Ronceros, Geovana, Secretary, Mujeres Trabajadoras de agricultura urbana agroecologica de los CPRs Curva, Zapata, San Juan y Puente Machay
- Rosales, Alex Lira, Member, Yauli-Jauja-Junin
- Rosales, Nilton Lira, Member, Yauli-Jauja-Junin
- Rosales, Pedro León, Member, Yauli-Jauja-Junin
- Rosales, Sayuri Mayta, Member, Yauli-Jauja-Junin
- Rossell, Luis Cuba, Member, Asociacion Marjawl de Sigwas
- Rupay, Gelmer Yarihuaman, Member, Yauli-Jauja-Junin
- Rupay, Nicolás Rafael, Member, Yauli-Jauja-Junin
- Rupay, Pablo Rafael, Member, Yauli-Jauja-Junin
- Rupay, Rolanda Casimiro, Member, Yauli-Jauja-Junin
- Rupay, Sabino Vargas, Member, Yauli-Jauja-Junin
- Rupay, Walter Romero, Member, Yauli-Jauja-Junin
- Salanocca, Santos, Member, IMAGEN
- Salas, Carlos Amasfuen, Member, Non-Governmental Rural Association Choba Choba
- Salas, Eluina Sangama, Member, Non-Governmental Rural Association Choba Choba
- Salas, Mauro, President, Project Committee in Solo, Non-Governmental Rural Association Choba Choba
- Sinarahua, Norma Ishuiza, Member, Non-Governmental Rural Association Choba Choba
- Salinas, Julia Ramos, Member, Asociacion de Artesanos Cuna de Kajelos
- Salinas Primitiva, Ramos, Member, Asociacion de Artesanos Cuna de Kajelos
- Salvador, Milagros, Member, Mujeres Trabajadoras de agricultura urbana agroecologica de los CPRs Curva, Zapata, San Juan y Puente Machay
- Sambrano, Silvia Ramírez, Member, Yauli-Jauja-Junin
- Sanchez, Jose, Treasurer, Board of Directors, Asociacion de Camaron Jose Olaya

Sanchez, Rosa, Member, Comunidad campesina de Paltarumi	Torres, Cleto, Project Coordinator–Technical Assistance from IMAGEN
Sangama, Aneldo Sangama, President, Project Committee, alto Cumbaza, Non-Governmental Rural Association Choba Choba	Torres, Linda, President Committee Food San Roque, Asociacion Comunitaria de Gestion Turistica
Sangama, Angel, President, Project Committee in Aviacion, Non-Governmental Rural Association Choba Choba	Torres, Sr., former Mayor of Tacna
Sangama, Adilia Amasifuen, Member, Non-Governmental Rural Association Choba Choba	Treboucq, Didier, Peru UNDP Deputy Director
Sangama, Alcides Sangama, Member, Non-Governmental Rural Association Choba Choba	Uscuvilca, Yesenia Medina, Member, Yauli-Jauja-Junin
Sangama, Gunter Sangama, Member, Non-Governmental Rural Association Choba Choba	Uscubilca R, Eustaquí, Member, Yauli-Jauja-Junin
Sangama, Hilter Sangama, Member, Non-Governmental Rural Association Choba Choba	Vaca, Alejandro, President, AFEEVAP
Sangama, Marzeni Pashanasi, Member, Non-Governmental Rural Association Choba Choba	Vaca, Jose, Member, AFEEVAP
Sangama, Margarita Tapullima, Member, Non-Governmental Rural Association Choba Choba	Vega, Julio, Army Captain, Asociacion Marjawl de Sigwas
Sangama, Natividad Sangama, Member, Non-Governmental Rural Association Choba Choba	Vélez, Basilia, Member, Yauli-Jauja-Junin
Sangama, Nelson Sangama, Member, Non-Governmental Rural Association Choba Choba	Ventura, Olga Abad, Member, Yauli-Jauja-Junin
Sangama, Vidauro Sinarahua, Member, Non-Governmental Rural Association Choba Choba	Yanquebilca, Rogelio, Member, Asociacion de pescadores artesanales Virgen de Chapi Los Palos-Tacna
Sardon, Doris Medina, Member, Asociacion de Artesanos Cuna de Kajelos	Yarihuaman, Teófilo Aquino, Member, Yauli-Jauja-Junin
Sazas, Maruja Ramos, Member, Asociacion de Artesanos Cuna de Kajelos	Yarihuaman, Alejandro, Member, Yauli-Jauja-Junin
Silva, Teresa Gianella, National Steering Committee Member/Organic Agriculture and Sustainable Development	Yarihuaman, Gaytano Rupay, Member, Yauli-Jauja-Junin
Sotomayor, Jhulino, SGP Technical Assistant	Yarihuaman, Máximo Rupay, Member, Yauli-Jauja-Junin
Tapullima, Celinda angama, Member, Non-Governmental Rural Association Choba Choba	Yaringaño, Felimon Aquino, Member, Yauli-Jauja-Junin
Tapullima, Humberto Tapullima, Member, Non-Governmental Rural Association Choba Choba	Yaringaño, Faustino García, Member, Yauli-Jauja-Junin
Tapullima, Jenny Cachique, Member, Non-Governmental Rural Association Choba Choba	Yartihuaman, Clodualdo, Member, Yauli-Jauja-Junin
Tapullima, Pedro Sangama, President, Project Committee in Bajo Pucallpa, Non-Governmental Rural Association Choba Choba	Zacarias, Isaías Pizarro, Member, Yauli-Jauja-Junin
Ticona, Agustina, Fiscal of Board of Directors (fisherwoman), OCB Asociacion de Camaron Jose Olaya	Zacarias, Reyna Simeón, Member, Yauli-Jauja-Junin
	Zavaleta, Cristina, Member, IMAGEN
	Zuñiga, Dominga, Project Coordinator–Technical Assistance, Comunidad campesina de Paltarumi

I.14 SENEGAL COUNTRY VISIT

Ba, Demba Mamadou, Director General, Agence nationale des Ecovillages

Ba, Abdoulaye, Member, Association Réveil de Dagana	Diagne, Seynabou, Eco-Guard, Langue de Barbarie National Park
Basse, Famara, President, Association for the Development of the District of Fimela	Diagne, Niaja, GIE Takku Liggey
Boye, Yarame, GIE Borom Daradj de Ndiaye	Diamé, Amina, GIE Mbella Gorum (Dassilamé Sérère)
Camara, Maimouna, GIE Mbella Gorum (Dassilamé Sérère)	Diamé, Awa, GIE Mbella Gorum (Dassilamé Sérère)
Cheikh Wade: Président, Comité intervillageois du Lac Tamna	Diamé, Khady, GIE Mbella Gorum (Dassilamé Sérère)
Ciss, Babacar, Member, National Steering Committee	Diamé, Mba Kady, GIE Mbella Gorum (Dassilamé Sérère)
Cissé, Capitaine Bafodé, Warden, Palmarin Community Natural Reserve	Diamé, Satou, GIE Mbella Gorum (Dassilamé Sérère)
Cissé, Diamé, President, Inter-Village Committee, Projet de développement de l'écotourisme dans la réserve de Biosphère sud du Delta du Saloum, Missirah	Dianké, Aida, GIE Mbella Gorum (Dassilamé Sérère)
Cor, Amy, GIE Mbella Gorum (Dassilamé Sérère)	Dianko, Dialika, GIE Mbella Gorum (Dassilamé Sérère)
Core, Fatou, GIE Mbella Gorum (Dassilamé Sérère)	Diara, Mariline, Director, Direction of Environment and Classified Establishments, Ministry of Environment and Sustainable Development, and GEF OFF
Demba, Aissatou, GIE Mbella Gorum (Dassilamé Sérère)	Diass, Yacine, GIE Borom Daradj de Ndiaye
Dia, Aminata, GIE Mbella Gorum (Dassilamé Sérère)	Diassy, Bineta, GIE Mbella Gorum (Dassilamé Sérère)
Diakham, Ndoné, GIE Mbella Gorum (Dassilamé Sérère)	Diatta, Maimouna, GIE Mbella Gorum (Dassilamé Sérère)
Dial, Pape Abdoulaye, Treasurer, Association Réveil de Dagana	Diatta, Mariama, GIE Mbella Gorum (Dassilamé Sérère)
Dial, Samba Aby, President, Monitoring Committee, Association Réveil de Dagana	Diatta, Seynabou, GIE Mbella Gorum (Dassilamé Sérère)
Diallo, Awa, GIE Mbella Gorum (Dassilamé Sérère)	Dieng, Birama, Regional Inspector, Waters and Forests
Diallo, Asreth, President, Monitoring Committee, GIE Borom Daradj de Ndiaye	Dieng, Maty Diama, GIE Takku Liggey
Diallo, Abdoulaye, Chief, Village of Goumel	Dieye, Dial, GIE Takku Liggey
Diallo, Cheikh Amadou, Assistant Warden, Langue de Barbarie National Park	Diémé, Seydou, President, NGO ADT GERT
Diallo, Djiby, Member, Association Réveil de Dagana	Diakhaté, Magatte, President, GIE Aly Thiaba, Pire Gourèye
Diallo, Ismael, Director, Global Eco-Village Network, Senegal (GEN/SEN)	Diaw, Magatte, President, Réseau Nord pour la Protection de l'Environnement Mondial
Diallo, Mairame, Inter-Village Association of the Ndiaël (AIV-Ndiaël)	Diaw, Maguette, GIE Suxali AMP/Saint Louis
Diagne, Amadou Lamine, Director, Green Financing and Partnerships, Ministry of the Environment and Sustainable Development	Dieng, Malick, GIE Suxali AMP/Saint Louis
	Diol, Thiauwda, GIE Borom Daradj de Ndiaye

Diop, Babacar, Secretary, Association Réveil de Dagana	Fall, Arona, Former Programme Officer, UNDP
Diop, Abdoulaye, Director, Direction of Protected Community Marine Areas	Fall, Bara, Municipal Councillor, Gae, Association Réveil de Dagana
Diop, Diary, GIE Borom Daradj de Ndiaye	Fall, Fatou, GIE Mbella Gorum (Dassilamé Sérère)
Diop, Khady, GIE Takku Liggey	Fall, M., Inter-Village Association of the Ndiaël (AIV-Ndiaël)
Diop, Lamine, Member, Association Réveil de Dagana	Fall, Magatte, GIE Takku Liggey
Diop, Macoumba, Facilitator, GIE des femmes de Thiaroye	Fall, Rokhayatou, Programme Officer, European Union
Diop, Mamadou Yero, Member, Association Réveil de Dagana	Fall, Sidy, Technical Director, Office of the Guiers Lake
Diop, M., Manager, Savings and Credit Mutuel, Community Natural Reserve, Gandon	Faye, Mame Abdou, Project Coordinator (wetlands policy), National Park Directorate, Ministry of Environment and Sustainable Development
Diop, Ndeye Salla, GIE Takku Liggey	Faye, Seynabou, GIE Mbella Gorum (Dassilamé Sérère)
Diop, Ndioke, Eco-Guard, Langue de Barbarie National Park	Gaye, Awa, President of the association GIE Borom Daradj de Ndiaye
Diop, Yabe, GIE Borom Daradj de Ndiaye	Gaye, Fatou, President, Gie des femmes de Thiaroye
Diouck, Anta, Eco-Guard, Langue de Barbarie National Park	Gaye, Ndeye, Inter-Village Association of the Ndiaël (AIV-Ndiaël)
Diouf, Amadou Matar, Programme Coordinator, IUCN	Gaye, Tacko, GIE Borom Daradj de Ndiaye
Diouf, Banna, Treasurer, GIE Mbella Gorum (Dassilamé Sérère)	Gaye, Thiarda, GIE Borom Daradj de Ndiaye
Diouf, Moussa, Coordinator, Agence Nationale des Ecovillages (ANEV)	Gora Gueye, Secrétaire, Comité intervillageois du Lac Tamna
Diouf, Fatou, GIE Mbella Gorum (Dassilamé Sérère)	Goudiaby, Assane, Member, National Steering Committee
Diouf, Gnima, GIE Mbella Gorum (Dassilamé Sérère)	Guèye, Aissitou, GIE Borom Daradj de Ndiaye
Diouf, Khady, GIE Mbella Gorum (Dassilamé Sérère)	Guèye, Anta Ngoma, GIE Borom Daradj de Ndiaye
Diouf, Maïmouna, Secretary, GIE Suxali AMP/Saint Louis	Guèye, Arame, GIE Borom Daradj de Ndiaye
Diouf, Madelaine, ROPEM: Projets de documentation et de suivi des projets PMF/FEM, Fimela	Guèye, Ibrahima, President, Projet de renforcement des capacités des OSC locales partenaire du PMF et autres acteurs intervenant dans l'environnement
Dramé, Baba, Technical Adviser, Direction of Environment and Classified Establishments, Ministry of Environment and Sustainable Development	Guèye, Marame, GIE Borom Daradj de Ndiaye
Fall, Amina, GIE Borom Daradj de Ndiaye	Guèye, Natogo, GIE Borom Daradj de Ndiaye
Fall, Arona, Eco-Guard, Langue de Barbarie National Park	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	Ndiaye, Diamé, Chief, Centre for Fisheries Monitoring, Saint Louis, Gandon
Ka, Abdoul, GIE Borom Daradj de Ndiaye	Ndiaye, Ibhahima, Project Coordinator, GIE Mbella Gorum (Dassilamé Sérère)
Ka, Alassane, Inter-Village Association of the Ndiaël (AIV-Ndiaël)	Ndiaye, Fene, GIE Suxali AMP/Saint Louis
Ka, Ousmane, National Coordinator, Program for the Reinforcement of Local Dynamics and Socio-Economic Development, Ministry of Women, Family and Children; and Member, National Steering Committee	Ndiaye, Maodo Malick, President, Association Réveil de Dagana
Kakhayoko, Awa, GIE Mbella Gorum (Dassilamé Sérère)	Ndiaye, Sallo, GIE Takku Liggey
Kaéré, Alioune Badara, Climate Change Specialist, UNDP	Ndong, Mariama, GIE Mbella Gorum (Dassilamé Sérère)
Kane, Abibatou, GIE Borom Daradj de Ndiaye	Ndong, Ndeye Marème, GIE Mbella Gorum (Dassilamé Sérère)
Khol, Fatou, Eco-Guard, Langue de Barbarie National Park	Ndour, Alimatou, GIE Mbella Gorum (Dassilamé Sérère)
Khol, Ouleymatou, GIE Takku Liggey	Ndour, Khady, GIE Mbella Gorum (Dassilamé Sérère)
Lo, Maramé Lèye, Programme Associate and Gender Focal Point, UNDP	Ndour, Moussa, Deputy Warden, Saint Louis Protected Marine Area
Ly, Adama, Programme Specialist, UNDP	Ngom, Aminta, GIE Borom Daradj de Ndiaye
Ly, Aminta, GIE Borom Daradj de Ndiaye	Niang, Moussa, President, Eco-Guards Langue de Barbarie National Park
Mané, Amy, GIE Mbella Gorum (Dassilamé Sérère)	Ousmane Ndiaye: Président des Producteurs agricoles, Comité intervillageois du Lac Tamna
Mané, Khady, GIE Mbella Gorum (Dassilamé Sérère)	Sall, Alousseyame, Inter-Village Association of the Ndiaël (AIV-Ndiaël)
Mané, Seynabou, GIE Mbella Gorum (Dassilamé Sérère)	Sall, Ameth Moussa, Inter-Village Association of the Ndiaël (AIV-Ndiaël)
Mbaye, Diary, GIE Takku Liggey	Sall, Haimar, Inter-Village Association of the Ndiaël (AIV-Ndiaël)
Mbaye, Fasmata, GIE Borom Daradj de Ndiaye	Sall, Ndondy, GIE Borom Daradj de Ndiaye
Mbaye, Khatary, former Local Coordinator, SGP/COMPACT	Sakho, Mane Awa, General Secretary, GIE Aly Thiaba, Pire Gourèye
Mbaye, Yacine Kane, GIE Takku Liggey	Sarr, Diahère, GIE Mbella Gorum (Dassilamé Sérère)
Mbaye, Rayna, GIE Borom Daradj de Ndiaye	Sarr, Khar, President, GIE Mbella Gorum (Dassilamé Sérère)
Mbodj, Fatou, GIE Borom Daradj de Ndiaye	Sarr, Mamadou, ROPEM: Projets de documentation et de suivi des projets PMF/FEM, Fimela
Mbodj, Fatou Binta, GIE Borom Daradj de Ndiaye	Sarr, Mamadou, Eco-Guard, Missirah
Mboup, Astou, Treasurer, GIE Aly Thiaba, Pire Gourèye	Seck, Arame, GIE Suxali AMP/Saint Louis
Mboup, Saliou, Voluntary Community Facilitator, GIE Aly Thiaba, Pire Gourèye	Seck, Fatou, GIE Takku Liggey
Ndiaye, Abdou Aziz Sy, Warden, Langue de Barbarie National Park	

Seck, Gnagna, GIE Suxali AMP/Saint Louis

Seck, Voré Gana, Director, Green-Senegal, Member, 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

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, President 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, 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 FSP with 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

I.15 THAILAND COUNTRY VISIT

Anucha, Member, Song Kwae Pattana Village, Muang (town), Subdistrict Mae Yao, Chiang Rai

Arpee, Project Leader, Song Kwae Pattana Village, Muang (town), Subdistrict Mae Yao, Chiang Rai

Aryi, Leader, Wa Wee, Mae Suai, Chaing Rai

Bangglang, Yuwadee, Community Member, Ton San Community, Chonburi

Boonsin, 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, 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	Development and Efficiency, Ministry of Energy
Meetieng, Chuen, Village Chief/Project Leader, Phuthai Pattana	Theeranuch, Project Leader, Baan Pho Ngarm and Baan Klong Saket, Darn Larn Hoi, Wang Nam Khao, Sukothai
Meetieng, Taweesak, Assistant to Project Leader, Phuthai Pattana	Thien, Member, Luang Nue, Ngao, Lampang
Nomlertnalin, Chatmongkhol, Project Leader, Ton San Community, Chonburi	Timmontham, Promnarin, Office of International Cooperation, Ministry of Natural Resources and Environment
Pattanakorn, Community Leader, Baan Pho Ngarm and Baan Klong Saket, Darn Larn Hoi, Wang Nam Khao, Sukothai	Tor, CBO Staff/Member, Pak-Toke, Muang, Phusanulok
Perm, Network President/Community Member, Baan Wang Yang Village, Loei	Veerapol, Project Leader/Coordinator, Baan Wang Yang Village, Loei
Pragtong, Komon, Ecological Expert, Department of National Parks, Wildlife and Plants Conservation	Veerasak, Network President, ACDEP, Non Chart Village, Petchabun
Prayhad, Vice-President/Member, Luang Nue, Ngao, Lampang	Walters, Marina, Deputy Country Director, UNDP
Punyawattoe, Chumnum, Energy and Environmental Engineering Centre, Kasetsart University	Ad, Community Member, Thai Samukhee
Rung, Member, Baan Giw Village, Mae Tha, Lampang	Chart, Community Member, Thai Samukhee
Sakhorn, Project Leader, Pak-Toke, Muang, Phusanulok	Kajbandit, Project Leader, Baan E Mieng Village, Loei
Samai, President, Financial institute, Nong Sa Nhow, Sam-Ngarm, Pichit	Kitti, Community Member, Baan E Mieng Village, Loei
Samyot, School director, Ban Huay Lat, Petchabun	Nhugain, Community/Member, NGO Representative, Baan e Mieng Village, Loei
Satiensakorn, Niran, Project Leader/Activist/Teacher, Bangsaray Community, Chonburi	Samboon, Project Leader, Thai Samukhee
Sereepaowong, Suwimol, Programme Assistant, WPP/MFF SGP	Samjit, Community Member, Thai Samukhee
Sittichodak, Aa-too Kraisith, Project Leader, Saenjai Pattana Village, Subdistrict Mae Salong Nai, Chaing Mai	Thanyarat, Community Member, Thai Samukhee
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	

I.16 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 Barefoot Women Solar Project
- Akoth, Lucy, Member, Kirewa Women's Forum 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 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, Treasurer, 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
- 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, Ministry of Water and Environment
- Kabalugura, Godfrey, Member, Center for Integrated Development
- Kabuye, Frederick Musisi, former Member, National Steering Committee
- Kabogumya, Cecily, RECABIP, SGP National Steering Committee
- Kaddu, John Baptist, Makerere University, SGP National Steering Committee
- Kafuba, James Buyinza, Fisheries Officer/Inspector, Uganda Association for Socio-Economic Progress
- Kalimera, Alfred, Assistant 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
- Katasira, Anton, Member, Center for Integrated Development
- Kate, Namumbia, in charge of tree nursery (also PWD), Bugweri Integrated Development Agency
- Katono, Siragi, Mayor, Iganga Municipality
- Kazoora, Cornelius, Sustainable Development Centre, SGP National Steering Committee
- 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 Barefoot Women Solar Project
- Kirunda, Sadati, Executive Director, Bugweri Integrated Development Agency
- Kisakye, Jane, former NTEAP Coordinator, SGP National Steering Committee
- 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, 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
- Mayoby, 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 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, 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, Microfinance Administrator, Bukunja Rural Women and Youth Services
- Nakafu, Victoria, Project Field Supervisor, Youth Environment Service

Namara, Agrippinah, Consultant, Joint GEF-UNDP Evaluation	Nyirabakunzi, Janet, Butobo, United Organization for Batwa Development in Uganda
Nambarwa, Fiona, Project Officer, Bukunja Rural Women and Youth Services	Nyiransenga, Aisha, Busaro, United Organization for Batwa Development in Uganda
Namusoke, Margaret, Member, Center for Integrated Development	Nyakacye, Nyirasuku, Kanyabukungu, United Organization for Batwa Development in Uganda
Namusaanya, Josephine, Programme Officer, Center for Integrated Development	Nyirakanze, Demitera, Nteko, United Organization for Batwa Development in Uganda
Nantumbwe, Zula, Member, Center for Integrated Development	Obbo, Wilberforce, Member, Kirewa Women's Forum Barefoot Women Solar Project
Naseffi, Peninah, License and Permits Officer, Center for Integrated Development	Obua, Joseph, Regional Coordinator, Lake Victoria Research Programme; East African Community, Inter-University Council for East Africa
Nera, Henry, Capacity Building Officer, United Organization for Batwa Development in Uganda	Ogunda, Alfred, Member, Kirewa Women's Forum Barefoot Women Solar Project
Ngobi, Dalausi, Member, Center for Integrated Development	Okecho, Rhoda, Member, trained technician, Kirewa Women's Forum Barefoot Women Solar Project
Ngondwe, Lubega, Chairperson, Center for Integrated Development	Okello, Pascal Onegiu, Project Manager, Strengthening Climate Information and Early Warning Systems Project (GEF-LDC Fund)
Nirazayire, Mau, Kanyabukungu, United Organization for Batwa Development in Uganda	Okiria, John, Project Manager, WWF country office
Ninsiima, Sharon, Programme Officer, Environment Women Association—currently Entebbe Women in Action for Development	Okonera, Vincent, ED, Happy Childhood Foundation; Youth Environment Service Board Member
Nkumbuye, Gawudencia, Chalui, United Organization for Batwa Development in Uganda	Okoth, Fredeica, Member, Kirewa Women's Forum Barefoot Women Solar Project
Nmshoba, Charlotte, Education Officer, United Organization for Batwa Development in Uganda	Okuta, John Stephen, Program Assistant, SGP
Nsengiyumua, Emmanuel, Vice Secretary, Amajembere Iwachu	Oloka, Charles, Member, Kirewa Women's Forum Barefoot Women Solar Project
Nsubuga, Peter, Tour Guide, Mabira Forest Integrated Community Organization	Omodo-McMondo, Daniel, Programme Analyst (Energy and Environment)
Nteko, Jemimah, United Organization for Batwa Development in Uganda	Ondeda, Dyllis, Field Officer, Youth Environment Service
Nuukula, Joseph, Member, Center for Integrated Development	Ongatai, Amosiah, Executive Director, Youth Environment Service
Nyazala, Josephine, Member, Center for Integrated Development	Opunya, Nagutau, Member, Fruits and Tubers Farmers' Group
Nyamwenge, Aglance, Member, Kirewa Women's Forum Barefoot Women Solar Project	Opui, Daniel, Member, Fruits and Tubers Farmers' Group
Nyiragicyecye, Judith Rutare, United Organization for Batwa Development in Uganda	Ouro-Doni, Safiou Esso, Deputy Country Director (Operations)
Nyiramugisha, Jenipher, Chalui, United Organization for Batwa Development in Uganda	Owere, Judith, Member, Kirewa Women's Forum Barefoot Women Solar Project
Nyamihanda, Alice, Tourism Officer, United Organization for Batwa Development in Uganda	Patton, Felix, Technical and Security Adviser, Ziwa Rhino Sanctuary
Nyiamaromba, D., United Organization for Batwa Development in Uganda	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 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 Barefoot Women Solar Project

Tukahirwa, Joy M. B., former Chairperson, SGP National Steering Committee

Tuhumwire, Margaret, Executive Director, Environment Women Association—currently Entebbe Women in Action for Development

Twinomugusha, Deusdedi, Ass. Community Conservation Warden, MGNP, UWA, Amajembere Iwachu

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

2 Christian University interns, African Partnership on Climate Change

2 volunteers from U.S. universities, Ziwa Rhino Sanctuary

4 women tree nursery workers, African Partnership on Climate Change

I.17 SGP NATIONAL COORDINATORS

(In addition to those met during the country visits)

Sandra Bazzani, Uruguay

Isabel Benedetti Figueredo, Brazil

Rocio Chain, Bolivia

Juan Rene Guzman, El Salvador

David Lee, Malaysia

Eduardo Mata, Costa Rica

Raúl Murguía, Mexico

Ricardo Petit, República Bolivariana de Venezuela

Sodhi Prabhjot, India

Rodolfo Ferdinand Quicho, Philippines

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