

UNITED NATIONS DEVELOPMENT PROGRAMME
Global Environment Facility

PROJECT DOCUMENT

Title: GEF Small Grants Programme (Second Operational Phase)
 Number: INT/98/G53/A/1G/34 (Headquarters management)
 INT/98/G52/A/1G/31 (Country programme management)
 Duration: 2 years with subsequent annual “rolling” financial modality
 Project site: 46 countries (see Annex K4)
 UNDP Sector: 200-201
 UNDP Sub-sector: Environment
 GEF Implementing Agency: UNDP
 Executing Agency: UNOPS and NEX
 Estimated starting date: January 1999
 UNDP-GEF inputs: US\$ 31,619,266
 GEF Theme: Biodiversity, Climate Change and International Waters

UNDP AND COST SHARING FINANCING	
GEF	US\$ 31,619,266
PARALLEL/COST-SHARING FINANCING TO BE MOBILIZED IN THE	
Cofinancing (in kind)	US\$ 15,000,000
Cofinancing (in cash)	US\$ 15,000,000

Brief description:

The development goal of the GEF/SGP is to assure global environmental benefits in the areas of biodiversity conservation, climate change mitigation and protection of international waters from community-based approaches. The rationale for the Programme is rooted in the belief that local solutions to global environmental problems exist and have been successfully implemented through the programme thus far while at the same time recognizing that there still is an unrealized potential to enhance the impact of the programme within the GEF system as a whole. Given the strategic role of the GEF/SGP in furthering the overall GEF Strategy and mandate, the long-term financial modality is one that ensures continuity, flexibility and accountability at the same time. Responding to recommendations in the report of the second independent evaluation of the GEF/SGP, the programme will focus on achieving the following principal objectives (outputs): (1) revision and implementation of the strategic framework and operational guidelines at global and country levels to ensure congruence with GEF Operational Strategy and Programs; (2) selection and implementation of community projects; (3) establishment of functional links with medium- and full-size GEF projects, other UNDP programmes, government agencies, and national environmental funds (mainstreaming); (4) establishment of a sound programme for capacity building for key stakeholders; (5) elaboration and implementation of global and country strategies for sharing of GEF/SGP experiences and demonstrating global benefits; (6) establishment of resource mobilization strategies at global, country and project levels to assure project and programme sustainability; and (7) operation of a monitoring and evaluation system to track and assess global benefits.

On behalf of:	Signature	Name/Title	Date
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LIST OF ACRONYMS AND ABBREVIATIONS

CBD	Convention on Biological Diversity
CBOs	Community-based organizations
CEO	Chief Executive Officer
GEF	Global Environment Facility
M&E	Monitoring and Evaluation
MoA	Memorandum of Agreement
NEX	National Execution
NGOs	Non-government Organizations
NC	National Coordinators
NEFs	National environmental funds
NSC	National Steering Committee
NYCU	New York Coordination Unit
OPs	Operational Programs
SGP	Small Grants Programme
STAP	Scientific and Technical Advisory Panel to the GEF
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNOPS	United Nations Office of Project Services
USD	US Dollars

A. CONTEXT

1. The Global Environment Facility Small Grants Programme (GEF/SGP) has been in operation for six years and is currently active through 46 country programmes. It has funded over 1000 projects in Africa, the Middle East, Asia and the Pacific, Europe, and Latin America and the Caribbean that link local, community-based activities with the GEF focal areas, specifically biodiversity conservation, mitigation of climate change, and protection of international waters.
2. During the pilot-phase (1992-1996), the GEF/SGP established a decentralized, country-driven programme implementation structure. National Coordinators were contracted and National Steering Committees were formed in 33 country programmes¹. The programme focused on funding small-scale non-governmental organization (NGO) and community demonstration projects in the GEF focal areas. In the first operational phase (1996-1998), the GEF/SGP was launched in 13 additional countries bringing the total to 46 country programmes.
3. The GEF/SGP has now accumulated more than five years of experience in implementing projects in participating countries. Building on its initial mandate to offer small grants to NGOs and communities to undertake local activities that would address global environmental problems, the programme was also meant to be a model venture in terms of participation and democracy, gender and indigenous peoples, geographical distribution, replicability, and sustainability. It has also sought to have an impact on national environmental policies and donor agendas by increasing public awareness of global environmental issues and communicating lessons learned, including best practices from its community-based experiences. Over the course of the pilot and first operational phases, most of these issues have been taken seriously and put into practice by most country programmes.
4. Project successes range from promoting alternative sources of income and employment among communities living in and around ecosystems under pressure (e.g., butterfly farming for communities living near the Arabuko-Sokoke forest in Kenya), through testing and demonstrating the use of alternatives to fuelwood from forests (e.g., the use of cassava wastes in biogas production in Côte d'Ivoire), to community involvement in monitoring international waters (e.g. monitoring the health of the coral reef ecosystem in the Gulf of Aqaba at the northern end of the Red Sea in Jordan).
5. The Second Independent Evaluation of the GEF/SGP states that the SGP has a “unique and valuable niche, not only within the GEF, but within all international environment and development efforts...there is no comparable mechanism for raising environmental awareness and building capacity across such a broad spectrum of constituents within the recipient countries”.
6. However, the Evaluation has also pointed out that supervision and technical support from the Coordination Unit at UNDP, New York, to country programmes has not been adequate. There appears to have been an incompatibility between the human resource capacities within the Coordination Unit and the rigorous demands for “extensive direction, technical guidance and feedback from NYCUCU, in addition to the significant amount of procedural interaction which is inevitable with a developing but still immature program”.
7. The planning, design and implementation of the next operational phase must be seen in the above context. It demonstrates how the GEF is drawing from an excellent evaluation combined with experience and lessons learned from the first operational phase in an evolving planning process to ensure a sustained and continuous impact of the programme on the ground.

¹ In one country the programme was established with support from the MacArthur Foundation.

B. PROGRAMME JUSTIFICATION

B.1 Problem to be addressed: Present situation

8. The rationale for the second operational phase is rooted in the belief that local solutions to global environmental problems exist and have been successfully implemented through the programme thus far, while at the same time recognizing that there still is an unrealized potential to enhance the impact of the programme throughout the GEF system. The GEF/SGP has an important and special niche and provides strategic benefits within the GEF system for several reasons:

- (i) The Programme's decentralized institutional structure and presence in 46 countries (with an increase to 51 countries in the 2nd year) provides an unparalleled mechanism for broad-based outreach, awareness and appreciation of global environmental concerns.
- (ii) The Programme is building capacities of communities, CBOs and local NGOs to address global environmental concerns. These local-level capacities could prove to be an invaluable source for new partnerships for the global environment. The cumulative impact of all these community-based projects will in turn benefit the global environment.
- (iii) In many cases, it is providing the foundation for the "graduation" from small to medium-sized projects. It field-tests, on a small-scale, innovative solutions to global environmental problems thus reducing the risk associated with applying these innovative solutions within larger projects. These tested community-based approaches that have been developed under a range of different social and cultural contexts can then be scaled-up to medium-size projects or implemented as components of larger GEF projects.

9. The recent *Second Independent Evaluation of the Global Environment Facility Small Grants Programme* (June 1998) has been acclaimed as a thorough and objective assessment. Serious consideration has been given to the team's recommendations in planning for the next operational phase. The Evaluation, coupled with an internal process of reflection, has identified established strengths of the programme and several broad areas in which it still needs strengthening.

10. Some of the proven strengths of the GEF/SGP that should be conserved and that will serve as building blocks for the second operational phase are:

- A steadily increasing demand for GEF/SGP projects and approaches in all participating countries as people's awareness of the links between community actions, local environmental degradation and global environmental problems grows.
- A programmatic approach that is premised on the knowledge and ability of local groups and communities to achieve local results with modest resources and assistance that can eventually lead to global benefits.
- A programme implementing structure that is responsive and country-driven, and avoids bureaucracy.
- Country programme strategies that integrate the GEF focal areas and Operational Programs with national environmental priorities.
- Flexible, rapid, democratic and transparent project identification and selection mechanisms.
- A participatory, community-based approach that increases public awareness of global environmental issues.
- A focus on non-governmental organizations (NGOs) and communities that effectively serves to build local capacities.
- A group of experienced, knowledgeable, dedicated and hard-working National Coordinators.

- In-country resource mobilization capacities that have raised more than \$15 million as project co-financing since the beginning of the pilot-phase.

11. The broad areas in which the programme requires strengthening include:

- Achieving a better fit with the GEF Operational Strategy and Operational Programs.
- Demonstrating the global benefits of GEF/SGP projects through more focussed programme implementation, increased capacity building, better monitoring and evaluation and more effective communications and outreach, all of which yield lessons learned and paradigm cases.
- Securing co-financing at the global and country levels for “baseline” activities to facilitate congruence with the incremental cost criterion.
- Seeking project and programme sustainability.

B.2 Target beneficiaries

12. The GEF/SGP from its inception in 1992 was designed to engender and support community-level initiatives that promote the objectives set out in the GEF Operational Strategy and Programs. The target beneficiaries of GEF/SGP grants and technical assistance have largely been, and will continue to be, economically disadvantaged and marginalized communities in the now 46 country programmes. Over the years different country programmes have laid a varying degree of emphasis on including women and indigenous people, according to their own country context.

13. While the above identifies direct target beneficiaries of GEF/SGP grants, the group of key stakeholders of the GEF/SGP encompasses a much wider group including: government agencies, local and international NGOs, research institutions, NGO Networks, foundations, private corporations, and bilateral aid agencies.

B.3 Programme strategy

14. The GEF/SGP clearly plays a unique role in furthering the overall GEF strategy and mandate. As highlighted by the recent independent evaluation, there is “no comparable mechanism for raising environmental awareness and building capacity across such a broad spectrum of constituents within the recipient countries”. Given the central role of the programme, this proposal is requesting replenishment for a two-year period. Based on an interim report at the end of the first year (November 1999) and the achievement of certain benchmarks (Annex K2), the programme will request replenishment for the next year². This “rolling” financial strategy that is contingent upon meeting benchmarks will ensure continuity, flexibility and accountability at the same time. While internal monitoring and evaluation will be an ongoing process, an independent evaluation will be commissioned in the 4th year.

15. The programme will consider expanding to five additional countries in the second year after replenishment, an expansion that will be contingent on having achieved specified benchmarks before November 1999. Consideration will be given to regional and sub-regional modalities. Expansion will only take place after consolidation of the programme has been demonstrated at the end of the first year. Certain benchmarks (see Annex K2) must be achieved, most importantly strategic frameworks that ensure fit of projects with overall GEF programmatic criteria, project and programme sustainability through the development of resource mobilization strategies, and finally a monitoring and evaluation system to track and assess the programme and projects, culminating in the first and subsequent years with an annual reporting of progress (interim report). Once these benchmarks are met, selection of new countries will be based on the following criteria:

² i.e., at the end of the 1st year the programme will request replenishment for the 3rd year, at the end of the 2nd year it will request replenishment for the 4th year, and so on.

- Environmental conditions warranting GEF intervention.
- Eligibility for GEF financing.³
- Government concurrence with GEF/SGP Operational Guidelines.
- Government strategies and programmes that address the environment.
- Significant presence of civil society organizations for example NGOs, CBOs, and academic, training, and research institutes.
- Constructive government-NGO relations.
- Prospects for effective partnerships with other organizations, including for in country resource mobilization.

16. In the second operational phase, alternative sponsorship and institutional arrangements for the programme will be considered. Most country programmes have been located in the UNDP field office, with about a fifth hosted by national NGOs. A broader range of options will be explored. Surveying the organizations and institutions already working with communities at the local level would help to determine how and where the GEF/SGP would best fit. Possible host organizations might include national environmental funds and social development funds amongst others.

B.4 Institutional arrangements

17. The GEF/SGP will operate, as before, in a highly decentralized and country-driven manner through a National Coordinator (NC) and National Steering Committee (NSC) in each participating country, with support from the UNDP Country Office and in some countries, a “host” NGO. The UNDP/GEF Unit and the UN Office of Project Services (UNOPS) will provide global coordination and support.

18. National Coordinators will continue to take the lead in managing country programme implementation. Major tasks performed by the National Coordinator include raising awareness of the GEF/SGP’s objectives and procedures among key stakeholders, assisting NGOs and CBOs in the formulation of proposals, pre-screening project proposals, facilitating the work of the National Selection Committee, assisting NGOs and CBOs with access to technical support services, ensuring sound programme monitoring and evaluation, and laying the foundation for programme sustainability. As the country programmes expand in scale and scope, some of the functions of the NC, such as technical support, and monitoring and evaluation will be shifted to other actors. This will allow the NCs to assume a broader programme management and facilitation role, and lay greater emphasis on strengthening the programme’s resource mobilization efforts and community-based methodology. Technical and administrative support at the country level will be reinforced following the recommendation from the independent evaluation, both with a higher budget for local consultants on biodiversity, climate change and international waters issues, and with a greater degree of independence so that each country programme can decide on the most appropriate arrangement to optimize staffing needs. The selection of the National Coordinator has always been, and will continue to be, through a publicly advertised and competitive selection process. As has been the case in the past, terms of reference for NCs will be detailed in the Operational Guidelines.

19. At present NCs in 8 countries are based in a “host” NGO. However, in one of these countries (Brazil) the “host” NGO manages the entire programme on an institutional basis and is not just hosting the NC. UNOPS, through the UNDP Country Office, administers a sub-contract with each host NGO, which outlines the technical support and administrative services to be provided and an operating budget. These include clearly defined rules of collaboration with the host organization. In cases where the programme works through a host NGO, the programme must nevertheless respond to the strategic framework and guidelines and be executed by the NSC and NC as in other country programmes. This will

³ Ratification of CBD and UNFCCC, and eligibility under paragraph 9(b) of the GEF Instrument.

be ensured by supervision from the UNDP country office and the New York Coordination Unit. Host NGOs include:

Bolivia	Liga de Defensa del Medio Ambiente (LIDEMA)
Brazil	Instituto Sociedade, População E Natureza (ISPN)
Dominican Republic	Fondo Integrado ProNaturaleza (PRONATURA)
Egypt	Arab Office for Youth and Environment (AOYE)
India	Development Alternatives
Indonesia	Bina Usaha Lingkungan (BUL)
Jordan	Jordan Environment Society (JES)
Tunisia	L'Audit Environnementale SARL

20. In each country a National Steering Committee (NSC)—consisting of voluntary members from government, the NGO sector, academic, scientific and technical institutions, and UNDP—will continue to provide overall guidance to the country programme and to be responsible for selecting projects. NCs will also be encouraged to recruit to the NSC representative(s) from the private sector to act as advisors on and provide referrals to non-traditional, private sources of funding. This will also have the added benefit of bringing to the table an entrepreneurial methodology and discipline that could be most helpful as the grantees work to develop income-generating and productive activities. NSC members may also be involved in pre-selection, and project monitoring and evaluation. Each NSC will be reviewed with the aim of ensuring adequate technical capacity on biodiversity, climate change and international waters issues, and to encourage greater representation from community-based organizations. In addition, the inclusion of the GEF operational focal point in the NSC will be encouraged. Grant-making procedures will also be reviewed with respect to openness, transparency and technical requirements. While the core activity of the NSCs will continue to be allocation of grant funds, more emphasis will be placed on overall policy guidance and outreach role of the committees, including with respect to developing and implementing strategies for country programme sustainability. In addition to the existing guidelines on the composition and terms of reference for the NSC, the next phase will also include criteria for selection and tenure of members.

21. The UNDP Country Office will continue to provide overall programmatic and management support to operations in each of the GEF/SGP country programmes. The Resident Representative in each Country Office will assign a staff person (typically the environment focal point or NGO focal point) to serve as the GEF/SGP focal point, and the Resident Representative or the focal point will participate in the NSC. Each Country Office will also help to monitor programme activities; facilitate interaction with the host government; and develop links with other in-country financial and administrative arrangements for the GEF/SGP. The Resident Representative will sign the Memoranda of Agreement (MoA), on behalf of UNOPS, with NGO/CBO grantees. The Country Office will facilitate the disbursement of grant payments and play an important role in the process of initiating the GEF/SGP in new countries.

22. At the global level, the UNDP/GEF Executive Coordinator at headquarters will remain accountable both within UNDP and to the GEF Council for the management and implementation of the GEF/SGP. Within the UNDP/GEF Unit, the GEF/SGP Coordination Unit will be directly responsible for overall programme management and support of the country programmes. The Coordination Unit will focus more intensively on providing operational guidance and support and on documenting and disseminating lessons from the programme's community-based experiences. The capacity of the GEF/SGP Coordination Unit to provide strategic guidance and to effectively coordinate and support the ongoing country programmes will be strengthened as recommended by the recent independent evaluation by budgeting for a communications officer and through the use of expert short-term consultants.

23. The UN Office of Project Services (UNOPS) will be responsible for providing programme execution support services in the following areas: (1) personnel recruitment and contract administration for national

project staff and consultants; (2) subcontracts for host NGOs and country programme grant allocations; (3) budget administration, including monitoring of expenditures; (4) guidance on the above to country-level staff; and (5) supporting initiation of the programme in new countries. UNOPS support cost at the rate of 6% will be maintained in the next phase. As was the case in the first operational phase, UNOPS will give 1% of this to UNDP for support services provided by the Country Office.

Analysis of possible alternative institutional arrangements

24. Among other important findings, the GEF/SGP independent evaluation has also highlighted the role of UNOPS support services in implementing the programme. From the experience of the pilot and first operational phases some host NGOs have shown the capability of managing the GEF/SGP through the national execution modality. The possibility of the national or NGO execution modality will be considered in countries where conditions are appropriate for this modality and the host NGO has demonstrated consistent and capable management as a host institution. Explicit criteria for moving to NGO execution will be laid out in the Operational Guidelines. This modality also offers the potential for reducing programme support costs. For countries where national or NGO execution proves to be a feasible and effective alternative, it is expected that UNDP Country Offices will assume an additional substantive role in terms of supervision, auditing and overall support to operations, thereby guaranteeing consistency of the country programmes with the global strategic framework. Even though national execution offers another avenue for executing project activities at the country-level, there is a need to clarify outstanding issues, as highlighted by the STAP reviewer. Prior to signing the MoA with UNOPS for the next phase, GEF/SGP management will recommend and agree on specific measures to improve the delivery of programme support services. UNDP and UNOPS will review and negotiate the institutional arrangements at country level based on a set of pre-agreed criteria by September 1999. Any variations in overhead costs as presently envisaged in the Project Document, resulting from either UNDP or NGO direct execution, will be reflected in an amendment of the budget of the Project Document.

B.5 Reasons for assistance from UNDP

25. UNDP has been managing the programme since its inception in 1992. Its comparative advantage lies in its global reach and highly decentralized structure that places 85% of its staff in the more than 170 countries and territories it supports. The system of Country Offices and Resident Representatives has supported the programme in many ways including the setting up of new programs in countries, day-to-day administrative and oversight support to the programme, providing valuable contacts and outreach, and assistance with media coverage. The GEF/SGP has also received substantial funding from UNDP resources for its grant-making activities, administrative costs and project co-financing in some countries.

26. UNDP Country Offices typically have close working relations with the national government and Resident Representatives serve as Coordinators of the UN System as a whole. These features can greatly facilitate the building of functional links with in-country programmes of the UN system, those of government agencies and other bilateral donors.

B.6 Counterpart support capacity

27. Since 1992, the GEF/SGP has grown from 33 country programmes to a total of 46 at present. The eligibility of these countries for GEF assistance is outlined in Annex K4. Over the pilot and first operational phases, governments have continued to support and demonstrate commitment to the goals and objectives of the programme, a sentiment that is reflected in the endorsement letters received from GEF Operational Focal Points. In fact, there is clearly a significant and rising demand for the programme and its unique approach. Several country programmes have received in-kind and in-cash support from key counterparts and these are detailed below.

28. Twenty-six GEF/SGP National Coordinators recently reported that their programmes have mobilized over \$16.6 million in cofinancing from local sources. Resources mobilized in-country include \$16.13 million in co-financing for community projects supported by the SGP and \$490,000 for country programme implementation costs. Four countries have raised more than \$1 million in project cofinancing: Poland, Brazil, Costa Rica and Tunisia. The sources of cofinancing include national and municipal agencies of host governments; donor governments; foundations and NGOs; multilateral agencies, including UNDP; private sector corporations; beneficiary communities; and national environmental funds.

29. In addition to cofinancing for specific projects, six SGP country programmes have mobilized resources for their administrative expenses; four of these received such payments from UNDP. The cases of Mexico and India illustrate UNDP's commitment to assisting the SGP leverage its existing investments. In Mexico, a UNDP grant of \$383,000 for a training fund was joined by \$538,835 from the Mexican government (INSOL), and \$100,000 from the Rockefeller Foundation. The U.S. Government's Interamerican Foundation granted \$500,000 technical assistance and credit funds for Fondo Pensular's initiative on the Yucatan Peninsula. Grants by the Mexican government (FONAES) for \$375,000, and UNIFEM for \$200,000 provide additional cofinancing for the Yucatan funds. Altogether, the GEF/SGP Mexico programme has mobilized over \$2,116,800 in cofinancing since the beginning of the programme. In India, UNDP has committed \$500,000 in TRAC resources to the SGP for 1998-2003.

30. In addition, there are several Foundations and NGOs providing substantial support to the GEF/SGP and these include: Association Francaise des Volontaires du Progres (AFVP), Biomass Users Network, Bread for the World, CARE, Development and Peace, IUCN, John D. and Catherine T. Mac Arthur Foundation, Misereor, NOVIB, Nuova Frontiera, Oxfam, Save the Children, Terre des Hommes, The Nature Conservancy, and World Wildlife Fund.

31. Finally, communities themselves have contributed toward GEF/SGP-funded projects through financial contributions, equipment and labor, thus demonstrating a high degree of ownership and commitment towards the goals of the programme.

C. DEVELOPMENT OBJECTIVE

32. The development objective of the second operational phase of the GEF/SGP is to secure global environment benefits in the areas of biodiversity, climate change, and international waters from community-based approaches. This development goal will be realized through the following immediate objective, outputs and activities.

D. IMMEDIATE OBJECTIVES, OUTPUTS, AND ACTIVITIES

33. The overall programme purpose or immediate objective for the second operational phase can be stated as:

Immediate objective:

Conservation and sustainable development strategies and projects to protect the global environment are understood and practiced by communities and other key stakeholders.

The programme purpose will be achieved by the following outputs and activities derived through logical framework planning. The outputs and activities seek to address constraints and weaknesses highlighted by the recent independent evaluation, while maintaining the strengths of the programme. A logical

framework matrix summarizing the fundamental strategy and approach of the next operational phase is attached as Annex K3. A detailed workplan for achieving the outputs and activities is presented in Annex K1 and detailed terms of reference for project personnel are in Annex K5.

Output 1: Strategic framework and operational guidelines at global and country levels are revised and implemented to ensure congruence with GEF Operational Strategy and Programs.

34. There was a serious and consistent effort in the pilot and operational phases to fulfill GEF criteria, but there are several points in the programme and project cycles where a more rigorous application of the GEF Operational Strategy and Operational Programs can be effected. This is a fundamental objective of the second operational phase and a concerted effort will be undertaken to improve the fit of GEF/SGP projects with the overall GEF programmatic criteria in all aspects of the programme.

35. The first step is to finalize development of a global strategic framework⁴ for the GEF/SGP, based on the GEF Operational Strategy and Operational Programs and tested country programme strategies. For the second operational phase, the concept of global benefits will be explained in a simple, direct, and usable way in the global strategy. It will be clear, succinct and suitable for incorporation into the country strategies as an introductory section. The strategy will also serve as the basis for the revision of the country programme strategies.

36. The revision and review of country programme strategies and project selection criteria will be accomplished through a broad consultative process. While most current country strategies integrate global environmental concerns with national environmental priorities, further guidance from the global strategic framework and other technical assistance will help the country programmes to make explicit the links to global benefits.

37. The revision of country programme strategies will also allow for consideration of programme planning approaches that focus programme activities biogeographically or thematically as a means of enhancing global benefits. Through the Global Strategic Framework and Operational Guidelines, the GEF/SGP will encourage countries to develop strategies that focus on particular ecosystems (or biogeographical zones) or one or more GEF focal areas and Operational Programs.

38. In the same vein, country programmes should be able to concentrate on their areas of "comparative advantage," in terms of their needs and capacities. In addition to the essential GEF criteria, the GEF/SGP has a very wide set of interests and opportunities, ranging from sustainable livelihoods to gender participation, from participatory monitoring and evaluation to inclusion of indigenous peoples. Given limited resources, country programmes are hard-pressed to cover all areas. Country programmes should assess their strengths and weaknesses in the revision of their country strategies, and decide how to deploy their resources to best leverage their particular comparative advantage.

39. The Operational Guidelines will be revised and modified to enable the better application of the GEF Strategy and Operational Programs throughout the project cycle. As recommended by the STAP reviewer, the operational guidelines will make special recommendation for taking a proactive approach to addressing global environmental issues in the international waters focal area by implementing community based components of existing GEF international waters projects. There is a window of opportunity between the presentation of a GEF/SGP project concept paper and the approval of the project for more strictly applying the GEF Operational Strategy and Operational Programs. A better fit with the GEF Operational Strategy and Operational Programs will be the principal requirement for approving project

⁴ The on-going GEF-wide trust funds evaluation once completed will provide useful lessons, some of which may be relevant to the GEF/SGP. The relevant recommendations will be taken in to account at the global programme level, through the Global Strategic Framework and Operational Guidelines, and also at the country level during the process of revising country programme strategies.

concept papers and authorizing planning grants, and project selection criteria will be adjusted accordingly. The global benefit to be achieved through a particular proposal will be stated explicitly (rather than implicitly) in the concept paper and the final proposal, and the formats for both will be modified to encourage this. The National Coordinator will work with project proponents to express in terms of appropriate GEF programming criteria, people's own understanding of the GEF focal areas and the links between local and global environmental problems.

Activities:

- 1.1 Finalize and edit GEF/SGP Strategic Framework and Operational Guidelines.
- 1.2 Revise country strategies according to Global Strategic Framework (including Operational Guidelines), incorporating a final section on how global benefits will be realized.
- 1.3 Approve country strategies to ensure fit with GEF Strategy and Operational Programs.
- 1.4 Apply strategies for project selection and implementation.
- 1.5 Include new countries in accordance with established selection criteria.
- 1.6 Assess strategy documents periodically and modify as needed.

Responsibility: GEF/SGP Coordination Unit with support from expert consultants; National Coordinators in consultation with NSCs.

Output 2: Community projects selected and implemented.

40. The core of the GEF/SGP is grant-making to eligible NGOs and CBOs. The programme's premise is that individual and community actions have an impact on the global environment and that solutions can be found at the local level through the collective efforts of households, CBOs and NGOs. Damage to the global environment by communities that see no livelihood alternatives will continue if such solutions are not found. The second operational phase will maintain many of the procedures tested and perfected in the pilot and first operational phases (for example, NSCs and their decision-making process, and the way proposals are solicited and developed), to develop, select and implement projects. There will be an increased emphasis on targeted guidance to ensure project fit and on seeking necessary co-financing for baseline activities. One of the lessons learned during the first operational phase was that participating organizations need technical and other support to assure that the project will be sustainable beyond the grant period, and this will be taken into account in the second operational phase.

Activities:

- 2.1 Authorization of individual country administrative and grant budgets.
- 2.2 Call for proposals that correspond to the new guidelines.
- 2.3 Review concept papers in view of the new guidelines.
- 2.4 Guarantee technical guidance and assistance for proposal development in order to ensure "fit" with the country strategies.
- 2.5 Assess project budget and seek co-financing if necessary.
- 2.6 Select projects that best fit the selection criteria using the existing transparent selection procedure by NSCs.
- 2.7 Support implementation of approved projects.
- 2.8 Obtain final project narrative and financial reports.
- 2.9 Support follow-up of projects as appropriate.

Responsibility: National Coordinators in consultation with NSCs and with support from Management Officer and UNOPS.

Output 3: Functional links with full- and medium-size GEF projects, other UNDP programmes, government agencies, and national environmental funds established (mainstreaming).

41. To achieve a greater effect in the GEF focal areas, the GEF/SGP approach can be incorporated and expanded using the medium- and full-size GEF project mechanisms. To date, at least 20 medium-sized project proposals in 11 countries have been developed from successful GEF/SGP-funded projects. Country programmes will also seek to increase coordination efforts with full-size GEF projects. As a first step, National Coordinators will increase contact and cooperation with the GEF operational focal point in their countries. In many cases, the GEF/SGP has already contributed to full-size GEF projects by implementing community-based and capacity-building components. Eight countries already have operational links to full-size GEF projects; in six countries the GEF/SGP provides advice and in five countries the full-size GEF project staff assist the GEF/SGP. The second operational phase will build on and consolidate these achievements and also expand links with other implementing agencies of the GEF, namely the World Bank and UNEP.

42. The GEF/SGP benefits from its location in most countries at the UNDP country office. In many cases UNDP has provided valuable contacts and outreach, assistance with media coverage, and programme support. The GEF/SGP cooperates closely with many UNDP projects, including LIFE, the Africa 2000 Network, and other programmes relating to poverty alleviation, indigenous peoples, gender, and community development. In some countries, it coordinates a UNDP programme or project component in these areas. The GEF/SGP also provides advisory services in virtually every country to UNDP and government agencies on community-based approaches to global environmental issues. The programme will intensify efforts to build links with current UNDP programmes in participating countries.

43. The GEF/SGP has developed close working relationships with national environmental funds in at least 19 countries, relationships that provide a useful means for mutually beneficial transfer of lessons between GEF/SGP and trust funds. These may involve co-financing of community projects, sharing information and experience, operational collaboration and even the development of institutional arrangements that could ultimately contribute to the sustainability of the GEF/SGP.

Activities:

- 3.1 Encourage senior management at the GEF Implementing Agencies to promote linkages across programmes and projects in country.
- 3.2 Expand GEF/SGP participation in other institutions and programmes in an advisory or operational capacity in order to promote community-based approaches by national governments and other agencies.
- 3.3 Elaborate and disseminate lessons learned, including through case studies of project and programme experiences that demonstrate mainstreaming.

Responsibility: GEF/SGP Coordination Unit and National Coordinators.

Output 4: Sound programme for capacity building of key stakeholders in place and operating.

44. The achievement of the proposed objectives and activities of the next phase depends on effective capacity building. Most importantly, the objective of ensuring the congruence of the GEF/SGP with the

GEF's overall Operational Strategy and Programs can only be realized by building capacities, especially at the local and country levels.

45. The stakeholder workshop materials were developed and field-tested by the country programmes during the operational phase. The workshops represent an important opportunity to stress the GEF Operational Strategy and Operational Programs at the country level in light of the global strategic framework and the revised country strategy. It is also a prime moment to demonstrate the concept of incremental costs and global environmental benefits using existing GEF/SGP project examples to a wide variety of programme stakeholders and constituents. The GEF/SGP will draw from the ongoing exercise on how to streamline the process of incremental cost estimation for the GEF as a whole.

46. The continued success of the GEF/SGP depends on the National Coordinators. However, it is important to recognize that additional technical capacity is needed in GEF focal areas and Operational Programs, resource mobilization, communications and outreach and monitoring and evaluation. The Operational Guidelines will encourage country programmes to contract biologists, ecologists, or other scientists as part-time or full-time technical assistants to help communities and NGOs in developing sound GEF projects. In addition, National Coordinators will also benefit from participation in GEF Country Workshops (formerly called Project Development Workshops) that are held in their respective countries for the GEF system as a whole. Country capacities also need to be enhanced to implement other outputs of the next phase, such as monitoring and evaluation, resource mobilization and communications.

47. In addition to technical assistance that can be provided through training and outside expertise, there exists an invaluable body of local and indigenous knowledge, experience, and techniques. Many of the most innovative and successful GEF/SGP projects to date have drawn on this knowledge base. The programme's capacity building activities will emphasize local knowledge as a source of ideas and methods for projects.

Activities:

- 4.1 Prepare and disseminate improved stakeholder workshop materials that illustrate the revised global and country strategic frameworks and include simple examples of the incremental cost approach applied to on-going GEF/SGP projects.
- 4.2 Conduct periodic stakeholder workshops in each country for mutual learning.
- 4.3 Train NCs and NSC members in needed technical areas, resource mobilization, communications and outreach, and monitoring and evaluation.
- 4.4 Provide needed training at community-level for project implementation.
- 4.5 Tap local bodies of knowledge for designing projects and promoting the GEF/SGP approach.

Responsibility: GEF/SGP Coordination Unit and National Coordinators with support from expert consultants.

Output 5: Global and country communications and outreach strategies for GEF/SGP experiences and demonstration of global benefits elaborated and implemented

48. Effective reporting will contribute to the GEF/SGP archive of successful replicable experiences and "best practices". The programme has accumulated a substantial body of knowledge about sustainable, integrated community-based projects that can have tremendous global benefits through wider application and dissemination. Proven approaches and techniques will be proactively shared and communicated to interested communities and NGOs and mainstreamed within other environment, development and small grant programmes; local and national governments; the UNDP and GEF systems; and other donor agencies. In this regard, a communications and outreach strategy will be created to compile, develop, and

disseminate programme information back to the country programmes and to other interested parties inside and outside of the GEF and UNDP systems.

Activities:

- 5.1 Develop a communications and outreach strategy for GEF/SGP.
- 5.2 Develop country guidelines to implement the communications and outreach strategy.
- 5.3 Ensure that all GEF/SGP NCs have web access.
- 5.4 Disseminate case studies, periodic reports and monitoring and evaluation reports.
- 5.5 Share experiences through site visits, workshops, photo and video documentation and other means.
- 5.6 Bring programme and projects to attention of the media.

Responsibility: GEF/SGP Coordination Unit and National Coordinators.

Output 6: Resource mobilization strategies at global, country and project levels to attain sustainability are in place

49. A financial strategy for the global and the country programmes will be elaborated. The strategy will assist the global programme to secure additional resources for the GEF/SGP as a whole. It will also provide guidance to National Coordinators and National Steering Committees on how to identify potential grant and other private sources of support from foundations, corporations, large NGOs, communities and individuals. These will include ways to encourage matching funds, or leverage, as well as collaborations and partnerships in funding. A prime motivation for resource mobilization at the country-level is to cover “baseline” costs (as defined by the incremental cost approach) in order to ensure that the GEF/SGP also fits within the GEF programmatic approach of meeting incremental costs.

50. Typical GEF/SGP projects have attempted to address several concerns in addition to the GEF focal areas and Operational Programs: sustainable livelihoods, inclusion of marginal populations (especially indigenous peoples), gender participation, participatory processes, and so on. For example, the GEF/SGP as a whole has learned that beneficial effects in GEF focal areas come about through using sustainable livelihood strategies and this has become a cornerstone of the programme’s approach. However, given limited resources and the problem of dispersal of efforts away from the GEF Operational Programs, the programme must find new ways of meeting community needs that are considered to be “baseline” concerns. In addition, particular efforts need to be made to reach those marginal populations and isolated communities where there are no other donors or NGOs present. New approaches to these challenges are already being explored at the global programme level with a major US philanthropic foundation, two UNDP programmes (the South Asia Poverty Alleviation Programme and the Africa 2000 network) and the European Commission.

51. GEF/SGP country financial strategies will explore ways to involve other organizations (NGOs, private sector concerns, international donors, government agencies, UNDP programmes) in providing the components that are necessary for a project’s success but may not be covered by a GEF/SGP grant. Given a limited pool of resources at the country level, some competition is inherent and cannot be avoided. This collaborative approach to co-financing, however, will serve to minimize competition and not jeopardize the activities of small NGOs and/or CBOs. The burden would then be spread among a network of organizations rather than rest on the GEF/SGP alone. Voluntary in-kind technical expertise for direct support to grantees can also play an important role in maximizing the impact of grants. Indeed, most country programmes have already raised very substantial co-financing for projects, in cash and in kind, from external donors represented locally, e.g., bilaterals, international NGOs and from beneficiary communities themselves. Efforts have begun in several countries, and will be intensified more broadly

with the projected resource mobilization training, to encourage more participation and support from the private sector.

52. In the second operational phase, co-financing arrangements will be taken into consideration during project development in a systematic and transparent way. Project proponents will be helped to locate appropriate sources of co-financing for project components that fall outside of the purview of the GEF/SGP. Again, this implies a considerable effort on the part of the National Coordinator. Drawing on the resources of country GEF and UNDP environmental focal points as well as members of the National Steering Committees will be important in this regard. Successful co-financing strategies and lessons will be shared among the country programmes so that NCs and NSCs will benefit from each other's experience.

53. GEF/SGP targets for resource mobilization over the next two years are US\$15 million in cash and US\$15 million in-kind. Based on experience with generating in-cash and in-kind resources over this period, this ratio can be reviewed and modified in favor of cash contributions. Clear rules of procedure will be established with co-financiers/partners as part of the collaborative agreement at the global and country levels.

Activities:

- 6.1 Prepare and implement a fundraising strategy for the programme as a whole.
- 6.2 Prepare and implement country resource mobilization strategies including cash and in-kind resources from donors, governments, communities and the private sector.
- 6.3 Design accountability and incentive mechanisms for successfully implemented plans.
- 6.4 Participate in donor roundtables at country level.
- 6.5 Share best practices on mobilizing resources.

Responsibility: GEF/SGP Coordination Unit and National Coordinators supported by expert consultants.

Output 7: Monitoring and evaluation system to track and assess global benefits in effect.

54. The local and global environmental benefits of GEF/SGP projects must be demonstrated, documented, and shared. The programme has made significant advances in linking the GEF focal areas to local, community concerns such as sustainable livelihoods, but has been less successful in assessing, communicating, and promoting the body of approaches and techniques learned and tested over the past several years. As a first step to assessing the advance of the programme, a unified monitoring and evaluation system will be developed at three levels – project level, country level, and global programme level – allowing all three levels to chart and report project and programme progress and, most importantly, serve as a management tool.

55. At the project level (reporting done by grantees), the monitoring and evaluation system will introduce modifications in the project cycle and in reporting. Just as the Operational Guidelines will be modified to explicitly discuss the potential global benefits of a project in the concept paper and proposal format, a project work plan format will be included that will indicate project objectives, activities, and their respective indicators and expected results. In addition the project progress and evaluation reports and site visit report formats will be adjusted in order to elicit information about lessons learned about global benefits and other pertinent areas.

56. At the country programme level, an annual assessment of programme and project performance will be introduced, and will be implemented by the National Coordinator and the National Steering Committee in conjunction with the UNDP programme officer responsible for the GEF/SGP. It is important to recognize and encourage good performers, be they country programmes or National Coordinators and the

M&E system will provide a useful way of doing so. The experience of the pilot and operational phases has shown that there is a great diversity in goals, activities, and expectations among the country programmes, rendering a global set of standards and performance indicators of little utility. However, a systematic, country-specific assessment exercise would help country programmes to understand their own strengths and weaknesses and the New York Coordination Unit (NYCU) to more effectively identify problem areas and target guidance and resources.

57. Monitoring and evaluation at the global programme level will draw on information from the previous two levels and will assess performance against the objectives of the programme as a whole. M&E of the global programme will be linked as appropriate with the GEF-wide annual Portfolio Implementation Review (PIR). Interim reports will be prepared and submitted to the GEF Council prior to approval of the next tranche, and will contain the following -- the achievement of specified annual benchmarks by the programme, and an M&E report of the GEF/SGP. In addition to these measures for good monitoring and evaluation of programme management and implementation, consideration will be given to an external management review in the event that the agreed upon annual benchmarks are not being realized.

58. Apart from the annual interim report to be presented at the November Council meetings, there will be an independent evaluation at the end of the fourth year of the programme.

Activities:

- 7.1 Complete M&E Framework (including guidance about developing indicators) covering project, country and global levels, using both self-assessments and external evaluations.
- 7.2 Incorporate M&E component in country programme strategies.
- 7.3 Carry out interim review of the global programme.
- 7.4 Carry out annual country programme reviews including review of funded projects.
- 7.5 Carry out an independent evaluation in year 4.
- 7.6 Monitor project performance through site visits and other means.
- 7.7 Establish and maintain databases at global, country and project levels.
- 7.8 Identify and document lessons learned at project and programme levels.
- 7.9 Feed lessons learned into project design, implementation and M&E.

Responsibility: GEF/SGP Coordination Unit and National Coordinators supported by expert consultants.

E. INPUTS

59. UNDP-GEF funding will provide for the following inputs to the programme:

- (i) Personnel

Global programme level

- Full-time Global Manager
- 30% of a Senior Adviser's time
- Full-time Management Officer
- Full-time Communications Officer
- Full-time Programme Assistant
- 30% of a Secretary's time supporting the Senior Adviser
- Short term expert consultants

Country programme level

- Full-time National Coordinator
- Technical/Administrative assistant
- Local consultants to provide technical assistance to projects

(ii) Equipment

- Expendable and non-expendable equipment at the global and country programme levels
- Operation and maintenance of equipment

60. Additional inputs will be leveraged through the programme's resource mobilization strategy at both the global and country programme levels. It is envisaged that as part of this strategy the programme will secure financial contributions from host governments, donor governments, foundations and NGOs, multilateral agencies, private sector corporations, beneficiary communities, and national environment funds. Equally important will be the voluntary, in-kind contributions in terms of technical expertise from local professionals and experts, inputs that are particularly valuable to the implementation of individual small grant projects.

F. SUSTAINABILITY AND RISKS

61. Securing the financial and institutional sustainability of the country programmes and projects is an integral part of the design of the next phase. Until now the issue of sustainability has been addressed by focusing on building community capacities, encouraging project participants to incorporate SGP activities and approaches into their daily lives, and by supporting opportunities for income generation while conserving the resource base. Most importantly, the GEF/SGP provides communities the opportunity to apply and test their project ideas, which once proven successful makes the same project attractive to other potential financial sources. The programme therefore is not only building community capacities but also buying down the risks involved in new project approaches. SGP Coordinators have generally not encouraged "repeat" grants to the same project for a second phase or other phases in order to give opportunities to a larger number of stakeholders to benefit from GEF/SGP grants. Our practice, instead, has been to encourage the organizations mounting successful SGP-funded projects to develop concepts for project expansion, extension or replication and submit these for funding to alternative sources. SGP National Coordinators in 16 countries recently reported that this approach is being followed by 29 former SGP projects.

62. In the next phase greater efforts will be directed towards developing and implementing resource mobilization strategies at the levels of the global programme, country programmes and projects (Output 6). In addition, significant resources will be targeted to building functional links with other UNDP programmes, government agencies and national environmental funds (Output 3). Both these activities will increase the opportunities for alternative support for successful projects. National Coordinators' capacities to undertake these tasks will also be significantly enhanced through targeted training in these aspects (Output 4). NCs will also be encouraged to recruit to the NSC representative(s) from the private sector to act as advisors on and provide referrals to non-traditional, private sources of funding.

63. Some country programmes have asked project proponents to include a plan for sustainability in the project proposal and this has proven to be a good way of ensuring continuity beyond the life of the SGP grant. This approach will be encouraged in all country programmes as an essential first step towards sustaining successful project activities.

64. There are several assumptions/risks, outside the scope of the project, that are important in realizing the planned activities and outputs that in turn will contribute to accomplishing the programme purpose and development goal. These are highlighted in the project planning matrix (Annex K3).

G. PRIOR OBLIGATIONS AND PREREQUISITES

65. The Project Brief for the second operational phase of the GEF/SGP has been reviewed and approved by the GEF Secretariat, GEFOP and the GEF Council. The Project Document must be reviewed by a Project Appraisal Committee and signed by UNDP and UNOPS. Following which it will be circulated to the GEF Council, GEF Implementing Agencies and Convention Secretariats for final approval.

66. For new country programmes, to be included in the second year once benchmarks for the first year have been achieved, the government of each participating country must endorse the programme's basic methodology and concur that the programme be offered in that country before activities are initiated.

H. PROGRAMME REVIEW, REPORTING AND EVALUATION

67. Monitoring and evaluation is an integral output of the second operational phase. The monitoring and evaluation system is intended to provide the National Coordinators, the New York Coordination Unit, UNDP, and GEF with information about the status of individual projects, the progress of the country programmes, and the achievement of overall programme objectives. It will be designed to measure progress against objectives, rather than simply the realization of activities, and to serve as a management tool. By identifying and assessing potential problems during implementation it will facilitate the targeting of guidance and resources to address these issues and improve chances of project success. A detailed explanation of the activities to be undertaken is outlined above under Output 7. In addition, the logical framework planning exercise has identified specific indicators of performance for each output.

I. LEGAL CONTEXT

68. Since its inception the GEF/SGP has been launched in a country only after government endorsement of the programme's objectives and methodology. UNDP's Resident Representative will be asked to secure the host government's approval before the programme is offered in new countries. However, governments are not expected to be signatories to the project document.

69. This project document shall be the instrument referred to as such in Article 1, paragraph 1, of the Basic Assistance Agreement between the United Nations Development Programme and the governments of those participating countries that have signed such an agreement. Alternatively, for those participating countries that have not signed such an agreement, this project document shall be the instrument referred to as plan of operation in Article 1, paragraph 2, of the agreement concerning assistance under the Special Fund Sector of the United Nations Development Programme, between UNDP and the governments of those participating countries that have signed such a latter agreement.

70. The following types of revisions may be made to this project document with the signature of UNDP/GEF and UNOPS – the two signatories to this document:

(a) Revisions in, or addition of, any of the annexes of the project document.

- (b) Revisions which do not involve significant changes in the immediate objective, outputs or activities of the project, but are caused by the rearrangement of inputs already agreed to or by cost increases due to inflation.
- (c) Mandatory annual revision which rephase the delivery of agreed project inputs, or reflect increased expert or other costs due to inflation, or take into account agency expenditure flexibility.

J. BUDGET

71. Table 1 below describes the total budget for the next 2 years of which approximately US\$31 million is being requested from the GEF. This budget is broken down into four principal elements. The first is the actual grant allocation⁵ of approximately US\$37 million (of which US\$15 million from non-GEF sources in cash, and US\$22 million from GEF). The second element includes resources that go directly towards programme mobilization and strategic guidance (approximately US\$1.06 million). These activities are necessary to strengthen the focus of the programme in meeting its global environmental objectives. These two elements – grant allocation, and programme mobilization and strategic guidance – are clearly non-administrative and are critical for meeting the development goal of the GEF/SGP. Grants and programme mobilization and strategic guidance constitute approximately 82% of the total budget in cash (budget lines A and B in table 1 as a share of budget line E) for the 2-year period⁶.

72. The third element is programme management that includes overall management of the programme at the global level by the coordination unit in New York, and management of the country programmes by the NCs and support staff (approximately US\$6.6 million). It is important to note that a large part of programme management includes technical assistance, project development support, and strategic guidance being provided by National Coordinators to grantees. The fourth element represents clear administrative costs namely, overhead costs of UNOPS support (or overhead to be reimbursed to NGO execution, as the case may be). This is the only element where the entire amount can strictly be considered as administrative costs (approximately US\$1.7 million). Programme management and administrative costs constitute approximately 18% of the total budget in cash (budget lines C and D as a share of budget line E). Purely administrative costs are therefore below 18% of the total budget.

73. In measuring the share of grants in the total two-year budget of the programme, it is important to note that GEF resources allocated to programme mobilization, management and administration will leverage non-GEF resources to the tune of US\$15 million in cash and US\$15 million in kind. The in-cash co-financing for grants is already included in the 82% share of grants and programme mobilization in the total cash budget. If we account for the sizeable in-kind resources to be leveraged from non-GEF sources for the grant element, the same ratio rises to almost 87% of the total (budget lines A + B + US\$15 million in-kind as a share of budget line F).

74. The budget includes a UNOPS support cost of 6% for grants and country programme activities in all countries. However, in the second operational phase some countries may move to national or NGO execution and the level of programme administration costs are likely to reduce. As was the case in the first operational phase, UNOPS will give 1% of this to UNDP for support services provided by the Country Office.

⁵ Including direct beneficiary support costs, namely technical assistance to facilitate implementation of grant-funded activities.

⁶ The GEF contribution alone to grants and programme mobilization and strategic guidance (US\$23.36 million) is 74% of the total cash budget being requested from the GEF (US\$31.62 million).

Table 1: Indicative Programme budget

	YEAR 1	YEAR 2	TOTAL
A. Grants			
GEF	10,609,000	11,689,000	22,298,000
Co-financing from non-GEF sources in cash	5,000,000	10,000,000	15,000,000
	15,609,000	21,689,000	37,298,000
B. Programme mobilization and strategic guidance			
Activities for GEF/SGP's strategies on resource mobilization, fit with GEF OPs, communications and outreach, and M&E	120,000	120,000	
Inter-country exchanges between stakeholders, NCs.	40,000	40,000	
Global training workshop on:			
GEF/SGP strategic framework	88,000		
M&E and communications strategies	88,000		
Resource mobilization strategy	89,000		
Communications and networking	25,000	25,000	
Publications (including case studies and stakeholder workshop materials)	40,000	40,000	
Visits to country programmes and projects	50,000	50,000	
Audit of 10 country programmes per year	60,000	60,000	
Contingency	43,000	43,000	
Subtotal	643,000	378,000	1,021,000
C. Programme management			
<u>Country-level</u>			
Personnel	1,752,598	1,937,598	
NGO contracts	384,721	384,721	
Premises	178,000	203,000	
Equipment, operations & maintenance	221,500	249,000	
Sundry	129,000	144,000	
Subtotal	2,665,819	2,918,319	5,584,138
<u>Global programme-level</u>			
Global Manager	150,000	150,000	
Senior Adviser (30% of adviser's time)	60,000	60,000	
Management Officer	90,000	90,000	
Communications Consultants	90,000	90,000	
Secretarial support	65,000	65,000	
Premises	40,000	40,000	
Equipment	33,000	13,000	
Subtotal	528,000	508,000	1,036,000
D. Administrative costs (ASC)			
UNOPS support for Grants (6%)	636,540	701,340	
UNOPS support for Country-level management (6%)	159,949	175,099	
UNOPS support for Audit (6%)	3,600	3,600	
Subtotal	800,089	880,039	1,680,128
E. TOTAL (in cash)	20,235,908	26,383,358	46,619,266
In-kind resources from non-GEF sources for grant element			15,000,000
F. GRAND TOTAL (in cash and in kind)			61,619,266

75. Tables 2a and 2b below present the above budget in UNDP format using standard UNDP budget lines and descriptions for inputs. Table 2a relates to inputs managed by UNOPS and Table 2b lists inputs managed by UNDP.

**TABLE 2A: INPUTS MANAGED BY UNOPS
(INT/98/G52/A/1G/31)**

BL	INPUTS	TOTAL INPUTS	TOTAL ASC	1999	ASC 6%	2000	ASC 6%
	GRANTS						
Code	Description						
<u>10.00</u>	<u>Personnel</u>						
15.01	Technical assistance for beneficiaries (travel)	743,000		354,000	21,240	389,000	23,340
17.51	Technical assistance for beneficiaries (local consultants)	583,000		279,000	16,740	304,000	18,240
19.00	Total	1,326,000	79,560	633,000	37,980	693,000	41,580
<u>20.00</u>	<u>Subcontracts</u>						
21.01	Grants (subcontracts)	20,600,000		9,800,000	588,000	10,800,000	648,000
29.00	Total	20,600,000	1,236,000	9,800,000	588,000	10,800,000	648,000
<u>50.00</u>	<u>Miscellaneous</u>						
52.01	Reporting and outreach of specific projects	372,000		176,000	10,560	196,000	11,760
59.00	Total	372,000	22,320	176,000	10,560	196,000	11,760
	PROGRAMME MANAGEMENT AT COUNTRY LEVEL						
Code	Description						
<u>10.00</u>	<u>Personnel</u>						
13.01	Technical/Administrative Assistant	1,232,420		586,210		646,210	
17.01	National Coordinator	2,457,776		1,166,388		1,291,388	
19.00	Total	3,690,196	221,412	1,752,598	105,156	1,937,598	116,256
<u>20.00</u>	<u>Subcontracts</u>						
22.01	NGO contracts	769,442		384,721		384,721	
29.00	Total	769,442	46,167	384,721	23,083	384,721	23,083
<u>40.00</u>	<u>Equipment</u>						
45.01	Expendable equipment	130,500		61,500		69,000	
45.02	Operation and Maintenance of equipment, Local standardization	340,000		160,000		180,000	
45.72	Premises	381,000		178,000		203,000	
49.00	Total	851,500	51,090	399,500	23,970	452,000	27,120
<u>50.00</u>	<u>Miscellaneous</u>						
53.01	Sundries	273,000		129,000		144,000	
59.00	Total	273,000	16,380	129,000	7,740	144,000	8,640
	PROGRAMME MOBILIZATION AND STRATEGIC GUIDANCE						
Code	Description						
<u>20.00</u>	<u>Subcontracts</u>						
2.00	Audit of ten country programs per year	120,000		60,000		60,000	
23.01	Total	120,000	7,200	60,000	3,600	60,000	3,600
99.00	GRAND TOTAL	28,002,138	1,680,128	13,334,819	800,089	14,667,319	880,039

Note: ASC stands for Agency Support Costs calculated at 6%.

**TABLE 2B: INPUTS MANAGED BY UNDP
(INT/98/G53/A/1G/34)**

BL	INPUTS	TOTAL INPUTS	TOTAL ASC	1999	ASC	2000	ASC
PROGRAMME MANAGEMENT AT HEADQUARTERS							
Code	Description						
<u>10.00</u>	<u>Personnel</u>						
11.01	Global Manager	300,000	--	150,000	--	150,000	--
11.02	Senior Adviser (30% of Adviser's time)	120,000	--	60,000	--	60,000	--
11.03	Management Officer	180,000	--	90,000	--	90,000	--
11.04	Communications Consultants	180,000	--	90,000	--	90,000	--
13.01	Programme Assistant	100,000	--	50,000	--	50,000	--
13.02	Secretarial support for Sr. Adviser (30%)	30,000	--	15,000	--	15,000	--
19.00	Total	910,000	--	455,000	--	455,000	--
<u>40.00</u>	<u>Equipment</u>						
45.02	Non-expendable equipment	46,000	--	33,000	--	13,000	--
45.72	Premises	80,000	--	40,000	--	40,000	--
49.00	Total	126,000	--	73,000	--	53,000	--
PROGRAMME MOBILIZATION AND STRATEGIC GUIDANCE							
Code	Description						
<u>10.00</u>	<u>Personnel</u>						
11.51	Consultancies for resource mobilization, fit with GEF OPs, Communications and Outreach, Monitoring and Evaluation	240,000	--	120,000	--	120,000	--
15.01	Visits to country programmes and projects (Mission costs)	100,000	--	50,000	--	50,000	--
19.00	Total	340,000	--	170,000	--	170,000	--
<u>30.00</u>	<u>Training</u>						
32.01	Inter-country exchanges between stakeholders, NCs (study tours)	80,000	--	40,000	--	40,000	--
32.02	Global training workshop	265,000	--	265,000	--	0	--
39.00	Total	345,000	--	305,000	--	40,000	--
<u>50.00</u>	<u>Miscellaneous</u>						
52.01	Publications incl. case studies and stakeholder workshop materials	80,000	--	40,000	--	40,000	--
53.01	Communications and networking	50,000	--	25,000	--	25,000	--
53.02	Contingency	86,000	--	43,000	--	43,000	--
59.00	Total	216,000	--	108,000	--	108,000	--
99.00	GRAND TOTAL	1,937,000	0	1,111,000	0	826,000	0

Note: The inputs to be provided directly by UNDP and related budget as listed in the above table will be reconsidered no later than June 1999, and changes duly reflected in an amendment of the budget of the Project Document.

K. ANNEXES

Annex K1	Workplan
Annex K2	Deliverables for the GEF/SGP (January 1999 - November 2001)
Annex K3	Project Planning Matrix
Annex K4	Countries participating in the programme Benefits
Annex K5	Terms of Reference for Programme Personnel
Annex K6	Incremental Costs and Global Environmental Benefits

**ANNEX K1
WORKPLAN**

	1998		1999									
	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct
Activity 1.1: Strategic F'work and Operational Guidelines												
(a) Edit/compile Global Strategic Framework		■										
(b) Internal review within GEF-UNDP			■									
(c) Translate and disseminate to NCs by email				■								
(d) Print hard copies for loose-leaf folder					■							
(e) Edit Operational Guidelines		■										
(f) Internal review within GEF-UNDP			■									
(g) Translate and disseminate to NCs by email				■								
(h) Print hard copies for loose-leaf folder					■							
Activity 1.2: Revise Country Programme Strategies												
(a) Revise CPS in light of new GSF and OG				■								
(b) Present for comments to NSC and key stakeholders					■							
(c) Incorporate comments and send to NY for review						■						
Activity 1.3: Approve Country Programme Strategies												
(a) Review all CPSs						■						
(b) Transmit approval notes ¹							■					
Activity 1.4: Apply CPSs for project selection							■	■	■	■	■	■
Activity 1.5: Include new countries												
(a) Prepare list of new countries to be included in SGP									■	■		
(b) Review with Reg. Bureaux and shortlist 5 countries										■	■	
Activity 1.6: Assess CPSs periodically ²												
Activity 2.1: Allocation of ctry. admin. and grant budgets			■	■	■							
Activity 2.2: Call for proposals						■	■	■				
Activity 2.3: Review concept papers							■					
Activity 2.4: Technical guidance for project development ³								■	■	■	■	■
Activity 2.5: Assess budgets/ seek cofinancing for projects								■	■	■	■	■
Activity 2.6: Project selection									■	■	■	■
Activity 2.7: Support implementation of projects			■	■	■	■	■	■	■	■	■	■
Activity 2.8: Obtain final project narrative and financials			■	■	■	■	■	■	■	■	■	■
Activity 2.9: Support follow-up of projects			■	■	■	■	■	■	■	■	■	■
Activity 3.1: Links w/ other pgms by sr mgmt of GEF IA						■	■	■	■	■	■	■
Activity 3.2: NCs promote links w/ agencies and pgms					■	■	■	■	■	■	■	■
Activity 3.3: Disseminate lessons on mainstreaming						■	■	■	■	■	■	■

¹ In-country grant making SGP activities can begin only after these approval notes are received.
² This activity will be concentrated in the month of January. Reviews may be needed on a case-by-case basis at other points in time (grey area).
³ NCs will focus on this activity during May, devoting the rest of the year (grey area) to responding to queries about proposal development and offering TA to NGOs and CBOs.
 CPS: Country Programme Strategies; GSF: Global Strategic Framework; OG: Operational Guidelines; NY: New York; IA: Implementing Agency; PIR: Portfolio Implementation Review

	1998		1999											
	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct		
Activity 4.1: Improved stakeholder w/shop materials				■	■	■								
Activity 4.2: Periodic in-country stakeholder w/shops					■	■	■	■	■	■	■	■	■	■
Activity 4.3: Regional training w/shops for NCs						■	■	■	■					
Activity 4.4: Technical guidance for project implem'tn									■	■	■	■	■	■
Activity 4.5: Tap local bodies of knowledge			■	■	■	■	■	■	■	■	■	■	■	■
Activity 5.1: Communications and outreach strategy														
Activity 5.2: Country guidelines for implementing above														
Activity 5.3: Ensure all NCs have web access														
Activity 5.4: Disseminate project case studies, reports														
Activity 5.5: Share experiences through site visits etc														
Activity 5.6: Media coverage of prgm and projects														
Activity 6.1: Resource mobilization strategy														
(a) Prepare global strategy document				■	■	■	■							
(b) Implement strategy							■	■	■	■	■	■	■	■
Activity 6.2: Country resource mobiliz. strategies														
(a) Prepare country strategy document							■	■	■	■				
(b) Implement strategy									■	■	■	■	■	■
Activity 6.3: Design incentives for successful strategies				■	■	■	■							
Activity 6.4: In-country donor roundtables								■	■	■	■	■	■	■
Activity 6.5: Share best practices on resource mobiliz.					■	■	■	■	■	■	■	■	■	■
Activity 7.1: Complete M&E framework														
(a) Complete framework			■	■	■									
(b) Apply framework				■	■	■	■	■	■	■	■	■	■	■
Activity 7.2: M&E component added to CPSs														
Activity 7.3: Interim review w/ next yr's plan										■	■	■		
Activity 7.4: Annual country prgm review										■	■	■		
Activity 7.5: Independent evaluation in 4th year (2002)														
Activity 7.6: Monitor projects through site visits			■	■	■	■	■	■	■	■	■	■	■	■
Activity 7.7: Establish and maintain projects database														
(a) Establish database			■	■	■	■	■							
(b) Maintain and refine						■	■	■	■	■	■	■	■	■
Activity 7.8: Identify and document lessons learned ⁴			■	■	■	■	■	■	■	■	■	■	■	■
Activity 7.9: Feed lessons into project design ⁴			■	■	■	■	■	■	■	■	■	■	■	■
Agreement w/ UNOPS on measures to improve service delivery			■	■	■	■	■							

⁴ These activities will be harmonized with the Communications Strategy over time.

CPS: Country Programme Strategies; GSF: Global Strategic Framework; OG: Operational Guidelines; NSC: National Steering Committee; NC: National Coordinator; NY: New York; IA: Implementing Agency; PIR: Portfolio Implementation Review

	1999		2000									
	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct
Activity 1.1: Strategic Framework and Operational Guidelines												
(a) Edit/compile Global Strategic Framework												
(b) Internal review within GEF-UNDP												
(c) Translate and disseminate to NCs by email												
(d) Print hard copies for loose-leaf folder												
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(b) Review with Reg. Bureaux and shortlist 5 countries												
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Activity 2.2: Call for proposals												
Activity 2.3: Review concept papers												
Activity 2.4: Technical guidance for project development ³												
Activity 2.5: Assess budgets/ seek cofinancing for projects												
Activity 2.6: Project selection												
Activity 2.7: Support implementation of projects												
Activity 2.8: Obtain final project narrative and financials												
Activity 2.9: Support follow-up of projects												
Activity 3.1: Links w/ other pgms by sr mgmt of GEF IA												
Activity 3.2: NCs promote links w/ agencies and pgms												
Activity 3.3: Disseminate lessons on mainstreaming												

¹ In-country grant making SGP activities can begin only after these approval notes are received.

² This activity will be concentrated in the month of January. Reviews may be needed on a case-by-case basis at other points in time (grey area).

³ NCs will focus on this activity during May, devoting the rest of the year (grey area) to responding to queries about proposal development and offering TA to NGOs and CBOs.

CPS: Country Programme Strategies; GSF: Global Strategic Framework; OG: Operational Guidelines; NSC: National Steering Committee; NC: National Coordinator; NY: New York; IA: Implementing Agency; PIR: Portfolio Implementation Review

	1999		2000									
	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct
Activity 4.1: Improved stakeholder w'shop materials												
Activity 4.2: Periodic in-country stakeholder w'shops												
Activity 4.3: Regional training w'shops for NCs												
Activity 4.4: Technical guidance for project mplem'tn												
Activity 4.5: Tap local bodies of knowledge												
Activity 5.1: Communications and outreach strategy												
Activity 5.2: Country guidelines for implementing above												
Activity 5.3: Ensure all NCs have web access												
Activity 5.4: Disseminate project case studies, reports												
Activity 5.5: Share experiences through site visits etc												
Activity 5.6: Media coverage of prgm and projects												
Activity 6.1: Resource mobilization strategy												
(a) Prepare global strategy document												
(b) Implement strategy												
Activity 6.2: Country resource mobiliz. strategies												
(a) Prepare country strategy document												
(b) Implement strategy												
Activity 6.3: Design incentives for successful strategies												
Activity 6.4: In-country donor roundtables												
Activity 6.5: Share best practices on resource mobiliz.												
Activity 7.1: Complete M&E framework												
(a) Complete framework												
(b) Apply framework												
Activity 7.2: M&E component added to CPSs												
Activity 7.3: Interim review w/ next yr's plan												
Activity 7.4: Annual country prgm review												
Activity 7.5: Independent evaluation in 4th year (2002)												
Activity 7.6: Monitor projects through site visits												
Activity 7.7: Establish and maintain projects database												
(a) Establish database												
(b) Maintain and refine												
Activity 7.8: Identify and document lessons learned ⁴												
Activity 7.9: Feed lessons into project design ⁴												
Agreement w/ UNOPS on measures to improve service delivery												

⁴ These activities will be harmonized with the Communications Strategy over time.
 CPS: Country Programme Strategies; GSF: Global Strategic Framework; OG: Operational Guidelines; NSC: National Steering Committee;
 NC: National Coordinator; NY: New York; IA: Implementing Agency; PIR: Portfolio Implementation Review

ANNEX K2
DELIVERABLES FOR THE GEF/SGP (JANUARY 1999 - NOVEMBER 2001)

Year	Report to GEF Council on achievement of specific deliverables	Indicators
End of Year 1** (Nov. 1999)	<p>Interim report with the following deliverables:</p> <ul style="list-style-type: none"> • Consolidation of GEF/SGP strategic framework and country strategies to ensure fit with GEF OS and OPs. • Progress on monitoring and evaluation strategy at project, country programme and global programme levels. • Programme administration. <p><u>(The GEF/SGP will report on progress on the above 3 deliverables to the May 1999 Council meeting.)</u></p> <ul style="list-style-type: none"> • Mobilization of non-GEF resources for “baseline” activities. • Initiation of capacity building efforts at country and community levels to ensure congruence with GEF OS and OPs. • Plan of action for building functional links with GEF-wide initiatives. • Work plan for the next two years. 	<ul style="list-style-type: none"> • GEF/SGP Strategic Framework and Operational Guidelines prepared and translated into 3 languages in 4 months after replenishment. • 1,500 each of both the Strategic Framework and Operational Guidelines distributed to 46 countries within 5 months after replenishment. • Revised country strategies are approved and applied according to Global Strategic Framework 6 months after replenishment. • GEF/SGP M&E strategy in place and applied by country programmes within 6 months after replenishment. • Up-to-date (as of 90 days) databases covering all relevant aspects of programme and project implementation at headquarters and country programme levels. • Agreement on specific measures to improve the delivery of programme support services between GEF/SGP management and UNOPS within 3 months after replenishment. • Global and country resource mobilization strategies in place within 6 months after replenishment. • Co-financing and leveraging achieved in the range of 5 million in cash & 5 million in kind. • Regional workshops held with training modules on GEF/SGP Strategic Framework and new strategies on resource mobilization, M&E, and communications & outreach, within 6 months after replenishment. • Stakeholder workshop materials are revised and contain paradigm cases based on GEF/SGP projects reflecting global benefits and incremental costs.

Year	Report to GEF Council on achievement of specific deliverables	Indicators
End of year 2 (Nov. 2000)	<p>Interim report with the following deliverables:</p> <ul style="list-style-type: none"> • GEF/SGP “fit” with GEF Operational Strategy and Programs. • Mobilization of non-GEF resources for “baseline” activities. • Functional links with GEF-wide initiatives. • Outreach and awareness • Progress on monitoring and evaluation strategy at project, country programme and global programme levels. • Knowledge base management. • Mainstreaming within UNDP. • Expansion of programme. • Capacity building at country and community levels. • Work plan for the next two years. 	<ul style="list-style-type: none"> • Yearly country evaluation reports show that all new projects respond to revised country strategies and operational guidelines. • Co-financing and leveraging achieved in the range of 10 million in cash and 10 million in kind. • On an average each established country programme will include at least 2 linkage demonstration projects with large GEF projects. • At least 20 medium-size project proposals result from a scaling-up of GEF/SGP projects. • UNDP/GEF focal points included in NSC in at least 30 SGP countries. • SGP’s decentralized institutional structure increasingly providing a mechanism for broad-based awareness raising about global environmental concerns. • Communications and outreach strategy and associated materials completed at global and country levels. • At least 2 projects per country per year receive favorable media coverage. • By the end of the year, 2 new projects will have incorporated lessons learned from other projects. • Case studies prepared on best practices and lessons learned. • In SGP countries where the services are provided all NCs have access to the web. • Database of GEF/SGP projects can be accessed directly by all country programmes where technically possible. • NCs participate in relevant UNDP Project Appraisal Committees. • Five new countries added in accordance with established selection criteria. • At least 1 stakeholder workshop held in all countries.

Year	Report to GEF Council on achievement of specific deliverables	Indicators
End of year 3 (Nov. 2001)	<p>Interim report with the following deliverables:</p> <ul style="list-style-type: none"> • Progress on achievement of strategic benefits and global environmental benefit. • Expansion of programme. • Capacity building efforts at country and community levels. • Mobilization of non-GEF resources for “baseline” activities. • Linkages with other non-GEF environment and development programmes/agencies. • Work plan for two years. 	<ul style="list-style-type: none"> • Results of technical review to assess strategic role of the GEF/SGP and achievement of global environmental benefit. • Five additional countries included in GEF/SGP in accordance with established selection criteria. • At least 1 stakeholder workshop held in all countries • Co-financing and leveraging achieved in the range of 15 million in cash and in kind. • On an average each GEF/SGP country programme will include at least 1 linkage demonstration project. • At least 5 other development environmental programmes/agencies are using GEF/SGP approaches and strategies.

*** The deliverables for November 1999 have been selected bearing in mind that they must be achieved over a 7 to 8 month period, and not a 12 month period.*

ANNEX K3
PROJECT PLANNING MATRIX

Project Strategy	Objectively Verifiable Indicators	Means of Verification	Important Assumptions
<p><u>Development goal</u> To secure global environment benefits in the areas of biodiversity, climate change, & international waters from community-based approaches.</p>	<ul style="list-style-type: none"> • Demonstration of strategic and global benefits resulting from GEF/SGP-funded projects 	<ul style="list-style-type: none"> • Accumulation of reports about strategic and global benefits from GEF/SGP projects. 	
<p><u>Project purpose</u> Conservation and sustainable development strategies and projects to protect the global environment are understood and practiced by communities and other key stakeholders</p>	<ul style="list-style-type: none"> • Changed attitudes and practices among 10% of community populations involved in the GEF/SGP. • More sustainable use of natural resources in areas affected by projects. • Changed policies, programmes and/or practices by other key stakeholders, e.g., government agencies, GEF full-size projects, UNDP, NGOs, private sector, NEFs. 	<ul style="list-style-type: none"> • Surveys, site visits etc. • Surveys, site visits etc. • Survey of public documents, programme reports, archives, etc. 	<ul style="list-style-type: none"> • An enabling environment at country and local levels. • Openness on the part of key stakeholders to consider and adopt GEF/SGP approaches. • Ability of in country GEF/SGP mechanisms to respond to changing circumstances. • Availability of in country resources to implement GEF/SGP approaches.
<p><u>Output 1</u> Strategic framework and operational guidelines at global and country levels are revised and implemented to ensure congruence with GEF Operational Strategy and Programs.</p>	<ul style="list-style-type: none"> • GEF/SGP Strategic Framework and Operational Guidelines prepared and translated into three languages in 60 days after replenishment. • 1,500 each of both the Strategic Framework and Operational Guidelines distributed to 46 countries within 90 days following replenishment. • Revised country strategies prepared within 4 months after replenishment, and that comply with Global Strategic Framework and Operational Guidelines. • All new projects approved according to revised country strategies. • All new countries selected comply w/ established criteria. 	<ul style="list-style-type: none"> • Programme progress report. • Receipt of documents by key stakeholders in countries. • Approval of country strategies. • Progress reports. • Progress reports. 	<ul style="list-style-type: none"> • Existence of favorable national enabling environment.

Project Strategy	Objectively Verifiable Indicators	Means of Verification	Important Assumptions
<p>Output 2 Community projects selected and implemented.</p>	<ul style="list-style-type: none"> • At least 80% of annual grant allocation disbursed within the established time frame in each country. • After 3 years increase by 10% in the number of CBO-driven projects (including those of non-registered community groups). • All projects successfully complete 80% of PPM/workplan within planned timeframe. • All projects send completed final reports to NC within 90 days after project termination. 	<ul style="list-style-type: none"> • GEF/SGP financial records and reporting. • GEF/SGP project and progress records and reporting. • Project progress reports. • Project completion reports. 	<ul style="list-style-type: none"> • National development policy is stable.
<p>Output 3 Functional links with full- and medium-size GEF projects, other UNDP programmes, government agencies, and national environmental funds established (mainstreaming).</p>	<ul style="list-style-type: none"> • After 2 years each country programme portfolio will include at least 2 linkage demonstration projects to promote mainstreaming of GEF/SGP lessons. • Increasing number of target agency programmes to which the GEF/SGP contributes over 3 years. • Increasing use of GEF/SGP mechanisms/strategies by targeted agencies over 3 years. • GEF operational focal point included in NSC. • NCs participate in relevant UNDP country office PACs. 	<ul style="list-style-type: none"> • Country programme records and reports. • Same as above. • Same as above. • Same as above. • Same as above. 	<ul style="list-style-type: none"> • Target organizations or agencies are willing and motivated.
<p>Output 4 Sound programme for capacity building for key stakeholders in place and operating.</p>	<ul style="list-style-type: none"> • At least 2 need-based community training programmes in each country every year. • 75% of project proposals will meet GEF and country selection criteria. • At least 6 projects every year in each country use local expertise and GEF/SGP trainees in project development and implementation. • Projects sustained beyond grant period and/or replicated owing to strengthened community capacities. 	<ul style="list-style-type: none"> • Country progress and annual review reports. 	<ul style="list-style-type: none"> • Interested in-country stakeholders. • In-country availability of experts and institutions for training. • Local knowledge sources accessible.

Project Strategy	Objectively Verifiable Indicators	Means of Verification	Important Assumptions
<p>Output 5 Global and country communications and outreach strategies for GEF/SGP experiences and demonstration of global benefit elaborated and implemented.</p>	<ul style="list-style-type: none"> • Global and country communications strategies in place. • At least 2 projects per country per year receive favorable media coverage. • Each country programme organizes at least one site visit per year for key stakeholders. • Increased understanding of global environmental issues in communities involved in the GEF/SGP. • Starting in year 2, all projects will point to lessons learned from other projects. 	<ul style="list-style-type: none"> • Country progress and annual review reports. • Newspaper clippings, audio and video tapes, etc. • Country progress and annual review reports. • Surveys, site visits, etc. • Country progress and annual project review reports. 	<ul style="list-style-type: none"> • Media receptive to environmental issues and stories. • Willingness of stakeholders to listen.
<p>Output 6 Resource mobilization strategies at global, country and project levels to attain sustainability are in place.</p>	<ul style="list-style-type: none"> • Global and country resource mobilization strategies exist within 6 months after replenishment. • At the end of 3 years, at least 2 in-country donors express interest in providing grant funding to GEF/SGP (average for the programme as a whole). • In the 1st year, GEF/SGP has mobilized US\$ 5 million in cash and 5 million in-kind. • In the 2nd year, GEF/SGP has mobilized US\$ 10 million in cash and 10 million in-kind. • Programme participates in trust fund establishment in at least 5 countries in 3 years. 	<ul style="list-style-type: none"> • Country progress and annual programme review reports. 	<ul style="list-style-type: none"> • Donors participate and are sufficiently motivated. • Declining official development assistance offset by growth in private sector support.
<p>Output 7 Monitoring and evaluation system to track and assess global benefits in effect.</p>	<ul style="list-style-type: none"> • Up-to-date (as of 90 days) databases covering all relevant aspects of project and programme implementation at headquarters and country programme levels by of March 2000. • Archives of M&E documents generated by projects available at country levels and/or headquarters. • Project proposals contain sound plans for M&E and dissemination of lessons learned from 2000 onwards. • Acceptance of programme M&E reports by responsible party/stakeholders. • At least 50% of recommendations have been 	<ul style="list-style-type: none"> • Electronic registry/archive (which notes frequency of reporting). • New archives. • Project documents and annual review of project reports. • Correspondence, resolutions, and archives. • Correspondence, archives, 	<ul style="list-style-type: none"> • Country level and project willingness and potential to participate in M&E system. • Electronic capability at country level.

Project Strategy	Objectively Verifiable Indicators	Means of Verification	Important Assumptions
	<p>incorporated during current funding cycle.</p> <ul style="list-style-type: none"> • One or more local/country workshops on lessons learned per country per year. • At least 10 publications annually on lessons learned. 	<p>site visits, etc.</p> <ul style="list-style-type: none"> • Workshop reports, photographs, articles, archives, etc. • Progress reports. 	

Outputs	Activities
<p><u>Output 1</u> Strategic framework and operational guidelines at global and country levels are revised and implemented to ensure congruence with GEF Operational Strategy and Programs.</p>	<p>1.1 Finalize and edit GEF/SGP Strategic Framework and Operational Guidelines. 1.2 Revise country strategies according to Global Strategic Framework (including Operational Guidelines), incorporating a final section on how global benefits will be realized. 1.3 Approve country strategies to ensure fit with GEF Strategy and Operational Programs. 1.4 Apply strategies for project selection and implementation. 1.5 Include new countries in accordance with established selection criteria. 1.6 Assess strategy documents periodically and modify as needed.</p>
<p><u>Output 2</u> Community projects selected and implemented.</p>	<p>2.1 Allocation of individual country administrative and grant budgets. 2.2 Call for proposals that correspond to the new guidelines. 2.3 Review concept papers in view of the new guidelines. 2.4 Guarantee technical guidance and assistance for proposal development in order to ensure “fit” with the country strategies. 2.5 Assess project budget and seek co-financing if necessary. 2.6 Select projects that best fit the selection criteria using the existing transparent selection procedure by NSCs. 2.7 Support implementation of approved projects. 2.8 Obtain final project narrative and financial reports. 2.9 Support follow-up of projects as appropriate.</p>
<p><u>Output 3</u> Functional links with medium- and full-size GEF projects, other UNDP programmes, government agencies, and national environmental funds established (mainstreaming).</p>	<p>3.1 Encourage senior management at the GEF Implementing Agencies to promote linkages across programmes and projects in country. 3.2 Expand GEF/SGP participation in other institutions and programmes in an advisory or operational capacity in order to promote community-based approaches by national governments and other agencies. 3.3 Elaborate and disseminate lessons learned, including through case studies of project and programme experiences that demonstrate mainstreaming.</p>
<p><u>Output 4</u> Sound programme for capacity building for key stakeholders in place and operating.</p>	<p>4.1 Prepare and disseminate improved stakeholder workshop materials that illustrate the revised global and country strategic frameworks and include simple examples of the IC approach applied to on-going GEF/SGP projects. 4.2 Conduct periodic stakeholder workshops in each country for mutual learning. 4.3 Train NCs and NSC members in needed technical areas and resource mobilization.</p>

Outputs	Activities
	4.4 Provided needed training at community-level for project implementation. 4.5 Tap local bodies of knowledge for designing projects and promoting the GEF/SGP approach.
<u>Output 5</u> Global and country communications and outreach strategies for GEF/SGP experiences and demonstration of global benefit elaborated and implemented.	5.1 Develop communication strategy for GEF/SGP. 5.2 Develop country guidelines to implement communications strategy. 5.3 Ensure that all GEF/SGP NCs have web access. 5.4 Disseminate case studies, periodic reports and monitoring and evaluation reports. 5.5 Share experiences through site visits, workshops, photo and video documentation and other means. 5.6 Bring programme and projects to attention of the media.
<u>Output 6</u> Resource mobilization strategies at global, country and project levels to attain sustainability are in place.	6.1 Prepare and implement global fundraising strategy. 6.2 Prepare and implement country resource mobilization strategies including cash and in-kind resources from donors, governments, communities and the private sector. 6.3 Design accountability and incentive mechanisms for successfully implemented plans. 6.4 Participate in donor roundtables. 6.5 Share best practices on mobilizing resources to contribute to baseline and beneficiary support costs.
<u>Output 7</u> Monitoring and evaluation system to track and assess global benefits in effect.	7.1 Complete M&E Framework (including guidance about developing indicators) covering project, country and global levels, using both self-assessments and external evaluations. 7.2 Incorporate M&E component in country programme strategies. 7.3 Carry out interim reviews of the global programme. 7.4 Carry out annual country programme reviews including review of funded projects. 7.5 Carry out an independent evaluation in year 4. 7.6 Monitor project performance through site visits and other means. 7.7 Establish and maintain databases at global, country and project levels. 7.8 Identify and document lessons learned at project and programme levels. 7.9 Feed lessons learned into project design, implementation and M&E.

ANNEX K4
COUNTRY PROGRAMMES IN THE SECOND OPERATIONAL PHASE

Country	Date of joining GEF/SGP	CBD ratified on	UNFCCC ratified on
AFRICA			
1. Botswana	1992	October 12, 1995	January 27, 1994
2. Burkina Faso	1992	September 2, 1993	September 2, 1993
3. Cameroon	1993	October 19, 1994	October 19, 1994
4. Cote d'Ivoire	1993	November 29, 1994	November 29, 1994
5. Ghana	1993	August 29, 1994	September 6, 1995
6. Kenya	1993	July 26, 1994	August 30, 1994
7. Mali	1993	March 29, 1995	December 28, 1994
8. Mauritius	1995	September 4, 1992	September 4, 1992
9. Senegal	1993	October 17, 1994	October 17, 1994
10. Tanzania *	1996	March 8, 1996	April 17, 1996
11. Uganda *	1996	September 8, 1993	September 8, 1993
12. Zimbabwe	1993	November 11, 1994	November 3, 1992
NORTH AFRICA/MIDDLE EAST			
13. Egypt	1993	June 2, 1994 (accession)	December 5, 1994
14. Jordan	1992	November 12, 1993	November 12, 1993
15. Morocco *	1996	August 21, 1995	December 28, 1995
16. Palestinian Authority *	1996	See note 4 below.	See note 4 below.
17. Tunisia	1993	July 15, 1993	July 15, 1993
ASIA PACIFIC			
18. Bhutan *	1996	August 25, 1995	August 25, 1995
19. Cambodia *	1996	February 9, 1995 (accession)	December 18, 1995
20. India	1995	February 18, 1994	November 1, 1993
21. Indonesia	1992	August 23, 1994	August 23, 1994
22. Lao PDR *	1996	September 20, 1996 (accession)	January 4, 1995
23. Malaysia *	1996	June 24, 1994	July 13, 1994
24. Nepal	1993	November 23, 1993	May 2, 1994
25. Pakistan	1993	July 26, 1994	June 1, 1994
26. Papua New Guinea	1994	March 16, 1993	March 16, 1993
27. Philippines	1992	October 8, 1993	August 2, 1994
28. Sri Lanka	1994	March 23, 1994	November 23, 1993
29. Thailand	1993	See note 2 below.	December 28, 1994
30. Vietnam *	1996	November 16, 1994	November 16, 1994

Country	Date of joining GEF/SGP	CBD ratified on	UNFCCC ratified on
EUROPE			
31. Albania *	1996	January 5, 1994 (accession)	October 3, 1994
32. Kazakstan *	1996	September 6, 1994	May 17, 1995
33. Poland	1994	January 18, 1996	July 28, 1994
34. Turkey	1993	February 14, 1997	See note 3 below.
LATIN AMERICA AND THE CARIBBEAN			
35. Barbados	1994	December 10, 1993	March 23, 1994
36. Belize	1993	December 30, 1993	October 31, 1994
37. Bolivia	1992	October 3, 1994	October 3, 1994
38. Brazil	1994	February 28, 1994	February 28, 1994
39. Chile	1992	September 9, 1994	December 22, 1994
40. Costa Rica	1993	August 26, 1994	August 26, 1994
41. Dominican Republic	1993	November 25, 1996	Ratification expected by end-July 1998.
42. Ecuador	1994	February 23, 1993 (accession)	February 23, 1993
43. Guatemala *	1996	July 10, 1995	December 15, 1995
44. Mexico	1994	March 11, 1993	March 11, 1993
45. Peru *	1996	June 7, 1993	June 7, 1993
46. Trinidad and Tobago	1995	August 1, 1996	June 24, 1994

Notes:

* These countries joined the programme in the first operational phase (1996-98).

1. All countries above are eligible under paragraph 9 (b) of the GEF Instrument.
2. The Thailand country programme will not be eligible for making grants in the biodiversity focal area.
3. The Turkey country programme will not be eligible for making grants in the climate change focal area.
4. Eligibility in accordance with Mr. El-Ashry's (GEF, CEO) letter to Council members of August 2, 1996.

ANNEX K5
TERMS OF REFERENCE FOR PROGRAMME PERSONNEL

1. Global Manager

Job Description

The Global Manager has lead responsibility for the following: (1) programme implementation in the 46 country programmes; (2) programme mobilization and strategic guidance; (3) future programme development; and (4) achievement of agreed annual benchmarks.

Duties and Responsibilities

1. Prepare (with inputs from the GEF/SGP team at headquarters and in the field) an annual report to GEF Council on progress with benchmarks and secure the next annual replenishment in line with the annual “rolling” financial modality.
2. Take the lead on meeting financial targets for resource mobilization, with support from the Management Officer.
3. Identify new approaches to building functional links with other GEF programming initiatives, other UNDP programs and those of international Foundations and NGOs.
4. Expand and maintain relations with other international agencies/institutions, particularly NGOs, supporting/ working in relevant areas.
5. Stay abreast of knowledge and experience being developed in the area of community-based conservation and facilitate access to this by country teams.
6. Facilitate networking among practitioners in this area.
7. Supervise implementation of the communications and outreach strategy.
8. HQ support and monitoring of programme establishment and implementation in the SGP countries.
 - Develop Global Strategic Framework for the SGP and revise Operational Guidelines.
 - Communicate with field staff regarding substantive aspects of programme establishment and implementation.
 - Consultations with UNOPS and Regional Bureaux on programme establishment in new countries and implementation in ongoing programmes.
 - Review periodic monitoring and evaluation reports from the National Coordinators to ensure fit with GEF Operational Strategy and Programs and supervise feedback on the reports.
9. Field support and monitoring of programme establishment and implementation.
 - Supervise planning of start-up missions in new countries to assist the UNDP Country Offices in: (i) government consultations on programme priorities and procedures; (ii) consultations with NGOs and local scientific and technical resources relevant to programme implementation; (iii) consultations concerning the composition of an in-country selection mechanism, selection of a

National Coordinator and location of a base of operation for the programme, for subsequent follow-up by UNOPS.

- Supervise planning of programme support missions to: (i) consult with National Coordinators, National Steering Committees, Country Offices, and others on programme implementation, monitoring and evaluation; and (ii) visit projects.
 - Review and act on mission reports.
 - Supervise planning of and lead regional workshops to bring together National Coordinators in each region.
10. Approve annual funding allocations for participating countries, in consultation with UNOPS.
 11. In consultation with Regional Bureaux and UNDP-GEF management, propose new countries to be included in the programme in line with established selection criteria and procedures.
 12. Present the GEF/SGP in public fora, and respond (or supervise responses) to outside inquiries about the programme.
 13. Participate in the bi-annual global GEF-NGO Consultations and the GEF Participants Assembly Meetings.
 14. Support the work of the UNDP-GEF Unit as requested by the GEF Executive Coordinator and Deputy Executive Coordinator.
 15. Attend weekly staff meeting and participate in specific GEF assignments (such as committees, task forces).

Qualifications

- Advanced degree in environment/ natural resource/ international development/ management -related field.
- At least 15 years experience in environment/ natural resource/ international development/ management -related field.
- At least 5 years of substantive experience in participatory methodologies.
- Experience with NGOs working in developing countries.
- Excellent communication skills (written, verbal, interpersonal and intercultural).
- Fluency in Spanish or in French (desirable).

Duration

Duration of programme.

Duty Station

Headquarters

2. Management Officer

Job Description

Under the overall supervision of the GEF/SGP Global Manager, the Management Officer will assist in managing and coordinating all technical aspects of the Programme and provide technical-backstopping both at headquarters and country programme levels. S/he is the main link between country programmes and headquarters providing direct assistance to UNDP Country Offices and the Country Programmes in implementation. S/he is responsible for follow-up of achievement of country-level benchmarks and leads the annual review of Country Programme Strategies.

Duties and Responsibilities

1. Provide ongoing support to GEF/SGP country programmes with respect to:
 - Achieving agreed annual benchmarks in particular the financial targets for resource mobilization.
 - Revising country programme strategies in the light of the Global Strategic Framework and Operational Guidelines.
 - Assuring that country programmes fit with the GEF Operational Strategy and Programs.
 - Guidance on better articulating global benefits and securing co-financing for “baseline” components of approved projects.
 - Country programme implementation needs as they arise. This includes responding to country-level inquiries and requests for assistance, and providing direct field technical assistance and/or facilitating access to technical resources.
 - Building functional links with other GEF programming initiatives, other UNDP programs and those of international and local Foundations, NGOs, and in-country representatives of bilateral donors.
2. Review technical content of Stakeholder Workshop materials in order to ensure these are a sound tool for capacity building and awareness raising about the programme and the GEF’s Strategy and mandate.
3. Work with the Communications Officer in establishing the GEF/SGP database.
4. Initiate and support the start-up of new GEF/SGP country programmes through visits to participating countries and follow-up of initiation activities.
5. Work with UNDP Country Offices, GEF/SGP National Coordinators and UNOPS to improve and streamline programme management and administrative procedures at country level.
6. Liase with UNOPS on programme administration issues, including financial monitoring, contracts, and personnel.
7. Monitor implementation of projects portfolio for technical content and to identify significant lessons learned through review of periodic monitoring and evaluation reports and country visits (in line with the GEF/SGP Monitoring and Evaluation Strategy).

8. Support the work of the UNDP-GEF Unit as requested by the Global Manager.

Qualifications

- Advanced degree in environment/ natural resource/ international development/ management-related field.
- At least five years professional experience in international development/environment issues, and demonstrated competence in at least one of the GEF focal areas.
- Experience in community-oriented small grant/ micro credit programmes and project design, implementation, and monitoring and evaluation.
- Excellent communication skills (written, verbal, interpersonal and intercultural).
- Fluency in Spanish or French (desirable).
- Willingness to travel overseas for at least twelve weeks per year.

Duration

Duration of Programme.

Duty Station

Headquarters.

3. Communications Officer

Job Description

The Communications Officer will have responsibility for communications, including development of the Communications Strategy, under the overall supervision of the GEF/SGP Global Manager. S/he will have primary responsibility for promoting outreach and awareness about the Programme, its objectives, approaches and methodologies to a wide audience. S/he will also promote communications among country programmes, as well as between the New York Coordination Unit and the country programmes. The Communications Officer will develop a communications strategy for the SGP, and will provide guidance to the country programmes about in-country communications strategies. The Communications Officer will be responsible for gathering information from the NYCU and country programmes and producing progress reports on programme implementation, informational bulletins and newsletters on lessons learned and programme and project activities, and creating and supervising global programme and in-country data bases. The Communications Officer will also liaise with the UNDP-GEF Information Officer and the GEF Secretariat when appropriate for specific publicity or outreach initiatives.

Duties and Responsibilities

1. In consultation with the NYCU team, develop and implement a communications strategy for the SGP as a whole.
2. Assist country programmes in development of communications strategies.
3. Prepare communications training modules for regional workshops and other programme meetings.
4. Create and supervise global programme databases.
5. Ensure harmonization of all existing and new GEF/SGP information materials and publications.
6. Ensure prompt, up-to-date and complete information delivery to and from the country programmes.
7. Organize and manage an electronic information dissemination network
8. Prepare periodic progress reports on programme implementation.
9. Promote analysis, documentation and dissemination of programme experiences in order to ensure that lessons are learned, shared, and applied by the country programmes, the NYCU, the UNDP and GEF systems, and other interested organizations.
10. Support the establishment of relationships with other programmes and initiatives within the UNDP and GEF systems, and with international NGOs and agencies, through relevant communication materials.
11. Research issues related to GEF and SGP approaches and transmit new ideas, techniques, and methodologies to the country programmes.
12. In conjunction with the UNDP-GEF Information Officer, prepare materials about the SGP for information and promotional packages.

13. Contribute as needed to the UNDP-GEF website.

Qualifications

- An advanced degree (MA, MSc or equivalent) in environmental or development studies, social sciences, journalism, media and communications, or related field.
- Minimum of 10 years experience in international environment and development fields.
- Demonstrated ability to manage communications and information retrieval and dissemination in a global programme.
- Substantial experience in researching and producing information bulletins, reports, press releases, and public presentations.
- Knowledge of electronic, print, and audiovisual communications technologies.
- Experience with programme and project management and monitoring and evaluation activities.
- Experience in working and negotiating with NGOs, local communities, and international organizations.
- Familiarity with the UNDP system.
- Strong analytical, interpretive, and synthesizing skills.
- Demonstrated ease of communication across countries and cultures.
- Fluency (written and oral) in Spanish (preferably) or French

Duration

Duration of the programme.

Duty Station

Headquarters

4. Programme Assistant

Job Description

The GEF/SGP Programme Assistant is a member of the New York Coordination Unit (NYCU) team, and works directly under the Global Manager and Management Officer of the SGP. The Programme Assistant is responsible for overall daily administration and information management, including keeping databases up-to-date, and facilitates responses to requests for information and guidance. The Programme Assistant monitors completion of SGP workplans, and assists in NYCU activities, tasks, and correspondence. S/he handles the organization and logistics of programme meetings and workshops.

Duties and Responsibilities

1. Responsible for monitoring programme delivery, ensuring timely submission of progress reports and budget revisions by country offices and National Coordinators.
2. Manage and keep up-to-date all SGP databases. In conjunction with the NYCU team, gather necessary information from country programmes.
3. Organize and maintain an archiving system ensuring that all documents/ publications/ correspondence are easily accessible so as to maximize the NYCU's efficiency.
4. Prepare in appropriate format basic project information for inclusion in the GEF Quarterly Operational Report and for posting on the UNDP-GEF website.
5. Facilitate contracting of consultants and other services, and prepare and monitor payments for consultants and vendors.
6. Prepare missions for the NYCU team and consultants, compiling briefing and background material, travel itineraries, booking tickets, schedules (getting and confirming appointments) and other required documentation.
7. Provide continuity for NYCU operations when the Global Manager and/or Management Officer are/is on mission or on leave.
8. Participate in programme planning and monitor execution of programme workplans.
9. Participate in programme work sessions and meetings. Assist in developing agendas and materials, and ensuring follow-up.
10. Responsible for organization of meetings and workshops: logistical planning; travel and lodging for participants; preparation and distribution of agenda, background information; preparation of summaries of the discussions; and trouble-shooting and handling problems as they arise.
11. Answer queries and requests for information, responding directly when appropriate and preparing the Global Manager's responses to inquiries when needed.
12. Review all incoming correspondence and take appropriate actions (answer directly, route to appropriate staff, help prepare responses).

13. Monitor incoming requests from country programmes and the National Coordinators and ensure proper and prompt follow-up.

14. Assist in special projects as they arise.

Qualifications

- An undergraduate degree.
- Excellent inter-personal and cross-cultural communications skills.
- Ability to work independently, and under high pressure demands.
- Proven administrative and information management skills.
- Experience in environmental initiatives preferably within an international organization.
- Fluency in French and/or Spanish (desirable).
- Strong computer skills: MS Word, Excel, Powerpoint, and Access.
- Ability to manage electronic communications.

Duration

Duration of the programme.

Duty Station

Headquarters

5. Senior Adviser

The Senior Adviser within UNDP-GEF will devote 30% of her time to supporting the GEF/SGP. She will be responsible for the following:

1. Help to mobilize resources for the SGP by:
 - Exploring cofinancing possibilities with other US foundations and some bilaterals.
 - Helping formulate a resource mobilization strategy for the global programme.
 - Providing guidance to country programmes on in-country resource mobilization.
 - Pursue cooperation with UNDP's SAPAP and Africa 2000 Network programmes as a means of mobilizing resources to meet "baseline" costs.
2. Contributing to meeting other benchmarks set for the programme including:
 - Supporting countries in establishing effective partnerships with environmental funds, other UNDP programmes and such.
 - Identifying possible links with other GEF-wide initiatives.
 - Supporting preparations for and implementation of the three regional workshops on the Strategic Framework, Resource Mobilization, M&E and Communications strategies.
 - Contributing to guidelines for country programmes on establishment of functional links with other programs and projects, and in-country resource mobilization.
 - Contributing to design of the GEF/SGP database.
3. Promoting exchanges of experience in monitoring and evaluation with other small grant programs.
4. Contribute to preparation of regular progress reports (for the Council, GEF-NGO Consultation and other audiences) on SGP programme implementation; special summaries on issues of interest to all Coordinators and/or donors (e.g., cooperative relations at the country-level, "mainstreaming", in country resource mobilization).

6. National Coordinator

Job Description

The National Coordinator (NC) is responsible for the overall functioning of the GEF Small Grants Programme in each participating country, and for the achievement of the benchmarks established for country programme implementation in the current GEF/SGP Project Document and Strategic Framework. The NC reports to the GEF/SGP Global Manager at UNDP Headquarters in New York City, and informs the UNDP Resident Representative about the status of programme implementation. The NC will be based in the UNDP Country Office or host NGO, but will spend up to 30% of his/her time in the field engaged in project identification, development, technical assistance, and monitoring and evaluation.

The candidate will have a deep understanding of environment and development problems within the country and of their implications for the global environment. S/he should have substantial experience working with NGOs, CBOs, and communities, and demonstrated willingness and competence to do fieldwork. S/he should be able to build constructive relationships with the host Government and other important stakeholders. Ideally, the Coordinator would have prior experience with small grant or environment and development programmes. Proven management and administrative skills are a must, as are strong writing and communication skills. The National Coordinator is normally a national of the country in which the programme takes place.

Duties and Responsibilities

1. In the case of new programmes, launching the GEF/SGP and promoting its activities among key stakeholders.
2. Preparing the Country Programme Strategy — and revising as appropriate — in accordance with the GEF/SGP Strategic Framework and Operational Guidelines and national environmental priorities.
3. Disseminating guidelines and informational materials to CBOs and NGOs seeking financial and technical support under the programme.
4. Organizing stakeholder workshops and project development sessions for NGOs, CBOs, and other stakeholders to explain the programme, and to assist potential applicants in making the link between local environmental problems and the global concerns of the GEF focal areas and operational programs.
5. Working actively with CBOs and NGOs — both in the office and in the field — in the preparation of project concepts and proposals to ensure that individual projects fit the GEF/SGP Strategic Framework, and authorizing and managing project planning grants as needed.
6. Identifying and managing national consultants to develop awareness-raising materials about the programme and lessons learned, and to assist in the preparation, monitoring and evaluation of projects.
7. Locating technical and other assistance from existing local and national programmes and agencies that can be channeled to project proponents for project preparation and/or implementation.

8. Identifying and mobilizing financial resources (from national, international, private or public sources) that can be channeled to project proponents for project preparation and/or implementation, particularly for (but not limited to) meeting baseline concerns.
9. Working with and supporting the NSC and its deliberations during the process of project proposal selection and approval, especially the initial review of proposals and assessment of eligibility.
10. Implementing the GEF/SGP Monitoring and Evaluation framework at the country programme level, including making periodic visits to project sites to provide technical assistance as needed and monitor project progress.
11. Establishing and managing mechanisms for exchange of information, experience, and lessons learned at the local and national levels.
12. Fostering operational and policy linkages between the GEF/SGP and large or medium-sized GEF projects planned or underway in the country, and also with the projects and programmes of government agencies, other donors and NGOs.
13. Maintaining a strong working partnership with the UNDP Country Office and ensuring the Resident Representative, the UNDP focal point, and the GEF operational focal point are kept well informed of all relevant SGP activities.
14. Providing continuous information updates in standard format for the GEF/SGP global database, as well as periodic progress reports.
15. Maintaining the financial integrity of the programme and reporting on all financial and personnel issues to the Programme Management Officer at UNOPS and to the Global Manager at agreed upon times.
16. Reporting as agreed to the programme's Global Manager at the NYCU on programme implementation in general.

Qualifications

- Advanced degree in environment/ natural resource/ development-related field.
- At least five years professional experience in environmental issues, and demonstrated competence in at least one of the GEF focal areas.
- Experience in community-oriented environment and development programmes, and in project design, implementation, and monitoring and evaluation.
- Excellent communication skills (written, verbal, interpersonal).
- Fluency in English (desirable).
- Willingness to travel to the field for at least sixteen weeks per year.

Duration

Duration of programme.

Duty Station

Country Office or in-country host NGO.

ANNEX K6

INCREMENTAL COSTS AND GLOBAL ENVIRONMENTAL BENEFITS

1. The GEF/SGP's strategic response to incremental costs will occur at three levels. First, concerted efforts will be made at the programmatic level (global and country programmes) to mobilize resources from non-GEF sources to address "baseline" concerns of local communities while also generating global environmental benefits. The co-financing target for the next two years of US\$15 million in-cash and US\$15 million in-kind will provide the flexibility needed in simultaneously addressing global environmental concerns and livelihood concerns at the community level.
2. Second, at the project development stage in the project cycle NCs will work with potential grantees to identify global benefits and provide guidance on how to secure co-financing for activities that cannot be covered through GEF resources. The capacity of the NCs to undertake these tasks will be significantly enhanced through training programs as part of the GEF Country Workshops (formerly called Project Development Workshops), stakeholder workshops, and targeted training for resource mobilization.
3. Third, stakeholder workshops will include paradigm cases from existing GEF/SGP projects that illustrate the links to global environmental benefits and demonstrate ways of addressing incremental costs. This will serve to guide project development at the local level; while not requiring a detailed incremental cost calculation to be prepared by each potential CBO or NGO grantee.
4. It is important to note here that several GEF/SGP projects are already addressing incrementality and over the past few years the programme has mobilized over US\$15 million in non-GEF resources to cover baseline costs.

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