



PROJECT DOCUMENT

Country: Global

Project Title: Community Development and Knowledge Management for the *Satoyama* Initiative Project (COMDEKS)

UNDP Strategic Plan Environment and Sustainable Development Primary Outcome: Expanding access to environmental and energy services for the poor.

UNDP Strategic Plan Secondary Outcome: Catalyzing environmental finance.

Implementing Partner: United Nations Development Programme (UNDP)

Responsible Party: United Nations Office for Project Services (UNOPS)

Brief Description

The Community Development and Knowledge Management for the *Satoyama* Initiative (COMDEKS) project has been designed to support local community activities to maintain and rebuild socio-ecological production landscapes and seascapes and to collect and disseminate knowledge and experiences from successful on-the-ground actions for replication and upscaling in other parts of the world. As part of COMDEKS, small grants will be provided to local community organizations with the overall long term objective to enhance socio-ecological production landscape and seascape resilience by developing sound biodiversity management and sustainable livelihood activities with local communities to maintain, rebuild, and revitalize landscapes. COMDEKS grant making is expected to generate key lessons on community-based best practices to maintain and rebuild socio-ecological production landscapes and seascapes toward the realization of “societies in harmony with nature”, as defined as the vision of the *Satoyama* Initiative.

Programme Period:	2012-2016	Total resources required	USD 8,000,000
Atlas Award ID:	00068363	Total allocated resources:	
Project ID:	00083617	• Regular	_____
PIMS #	5102	• Other:	
Start date:	July 2012	○ GEF	_____
End Date	December 2016	○ UNEP	USD 8,000,000
Management Arrangements	DIM	○ In-kind	_____
PAC Meeting Date	20 December 2012	○ Other	_____

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List of Acronyms

CBD Convention on Biological Diversity

CBO community-based organization

CO Country Office (UNDP)

COMDEKS Community Development and Knowledge management for the *Satoyama* Initiative

CPS country programme strategy

CPLS country programme landscape strategy

CRS Community Resilience and Sustainability

CSO civil society organization

CPMT Central Programme Management Team

FSP full-size project

GEF Global Environment Facility

IPSI International Partnership for the *Satoyama* Initiative

JBF Japan Biodiversity Fund

MOA memorandum of agreement

MOEJ Ministry of the Environment of Japan

M&E monitoring and evaluation

NC National Coordinator

NGO nongovernmental organization

NHI national host institution

NSC National Steering Committee

OP operational phase

PA Programme Assistant

RR Resident Representative

SEPLS socio-ecological production landscapes and seascapes

SGP Small Grants Programme

SLM sustainable land management

SIDS small island developing states

UN United Nations

UNDP United Nations Development Programme

UNEP United Nations Environmental Programme

UNOPS United Nations Office for Project Services

UNU United Nations University

I. SITUATION ANALYSIS

Ecosystems, species and genes—the building blocks of biodiversity—are being lost across the world at an unparalleled pace. In recent years, significant progress has been made in expanding the national networks of Protected Areas—which provide a vital refuge for many species of plants and animals and which supply vital ecosystem services. Yet, much biodiversity remains outside of the PA systems in production landscapes involving agriculture, forestry and other land and water uses (e.g. fisheries, aquaculture). The fate of this biodiversity, and of vital ecological processes that cannot be sustained within protected areas alone, will depend on the sound management of these environments. In many cases, local communities have developed biodiversity-friendly farming systems and resource use management practices that are the result of hundreds of years of production practice.

The Ministry of the Environment of Japan (MOEJ), the Secretariat of the Convention on Biological Diversity (SCBD), United Nations University (UNU), and the United Nations Development Programme (UNDP) (hereinafter referred to as “Partners”) have been working together to promote the *Satoyama* Initiative, a global initiative to promote sustainable use and management of natural resources in socio-ecological production landscapes and seascapes. The purpose of the Initiative is to promote sound socio-ecological production systems in these areas, or where necessary, conserve or regenerate them to conserve biodiversity, while meeting the socio economic needs of resident communities by providing for livelihoods, for subsistence uses of natural resources and for the cultural benefits and values they place on the environment, among others.

The Satoyama Initiative was recognized as a potentially useful tool to better understand and support human-influenced natural environments for the benefit of biodiversity and human well-being by decision X/32 at the Conference of the Parties of the Convention on Biological Diversity in Nagoya, and will contribute to the implementation of the Strategic Plan for Biodiversity 2011-2020.

The vision of the Initiative is “realizing societies in harmony with nature”, and its three-fold approach is as follows;

1. Consolidating wisdom on securing diverse ecosystem services and values;
2. Integrating traditional ecological knowledge with modern science to promote innovations;
3. Exploring new forms of co-management system or evolving frameworks of “commons” while respecting traditional communal land tenure.

The Partners jointly subscribe to the importance of managing biodiversity in socio-ecological production landscapes and seascapes, and the approach proposed herein, which promotes biodiversity-friendly natural resource management practices and knowledge facilitation, while providing for livelihoods, and sustaining the cultural values of local communities. It has become

clear that financial assistance to demonstrate actions at the local level as well as to contribute to a knowledge platform for capacity building is critically important. Based on this mutual understanding, the Parties agreed to form the *Community Development and Knowledge management for the Satoyama Initiative (COMDEKS)* as the flagship collaborative activity of the International Partnership for the *Satoyama Initiative (IPSI)*.

Funded by the Japan Biodiversity Fund set up within the CBD Secretariat with a contribution of 2 million USD for the period of 2011-2012, as co-financing to the 5th Operational Phase of the GEF Small Grants Programme (5th Operational Phase of the GEF Small Grants Programme in support of Community Development and Knowledge Management for the *Satoyama Initiative - SGP OP5/COMDEKS Project*), and with a scope of expanding to a 5-year partnership programme, COMDEKS is implemented by UNDP, and delivered through the GEF Small Grants Programme (SGP), and other UNDP small grant delivery mechanism where necessary. In September 2012, the Parties agreed to increase the Donor contribution and allocate additional funds towards a new UNDP project document, entitled: “Community Development and Knowledge Management for the *Satoyama Initiative*” (COMDEKS Project), to be implemented from July 2012 to December 2016, as a continuation to the initial contribution. For the purposes of this Project Document, any reference to “Project” is a reference to both the SGP OP5/COMDEKS Project and the proposed COMDEKS Project.

The project will provide small-scale finance to local community organizations in developing countries through the delivery mechanism of the GEF-SGP by utilizing the existing National Steering Committees as a local governance and project selection mechanism in the target countries of the Programme.¹ The project will also focus on reviewing, analyzing, and codifying results from the activities on the ground to distill and disseminate lessons which can be replicated in other parts of the world and communicated to policy makers for coherent policy development.

COMDEKS will focus on both the global and national levels. At a global level, UNDP, in coordination with SCBD and UNU, will work with its regional technical offices and country offices to distill knowledge to ensure future replication and upscaling of good pilot conservation practices in socio-ecological production landscapes and seascapes. Similarly, SGP can be instrumental in helping to disseminate and replicate knowledge from COMDEKS to its over 126 country programmes. At the same time, at a national-level, COMDEKS will allow participating countries to leverage their networks, financing and expertise (including human capital) for the tangible benefit of local communities and biodiversity through UNDP Country Offices and SGP’s highly decentralized National Steering Committees delivery mechanism. COMDEKS’s knowledge products will ultimately serve as valuable inputs to the project of Knowledge Facilitation for the *Satoyama Initiative* implemented by MOEJ, SCBD, and UNU to support knowledge sharing and learning with and among communities, decision makers and other stakeholders. This would assist in leveraging the recognition of the importance of participatory planning and management of socio-ecological production landscapes and seascapes in national policies such as national strategies on biodiversity and on development.

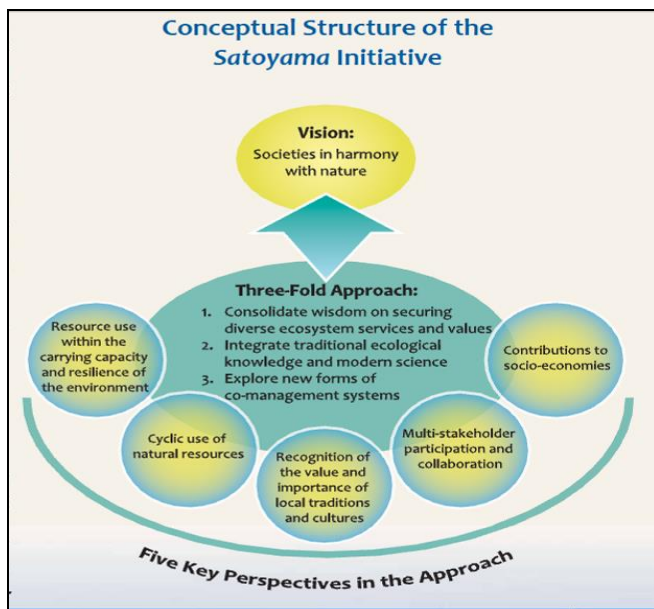
¹ For countries where SGP is not operational, if selected, in the future, UNDP may explore alternative small grants delivery schemes.

II. STRATEGY

The vision of the *Satoyama* Initiative is to realize societies in harmony with nature. To achieve this vision, COMDEKS will support activities in the field in developing countries through small grants and knowledge facilitation to attain the following objective: “to develop sound biodiversity management and sustainable livelihood activities with local communities to maintain, rebuild and revitalize socio-ecological production landscapes”, in accordance with the following five precepts of the *Satoyama* Initiative:

- Resource use within the carrying capacity and resilience of the environment;
- Cyclic use of natural resources;
- Recognition of the value and importance of local traditions and cultures;
- Natural resource management by various participating and cooperating entities;
- Contributions to local socio-economies.

Figure 1: Conceptual Structure of the SATOYAMA Initiative²



The COMDEKS project, in pursuing its objectives, will give due consideration to building climate resilient ecosystems. These objectives would be met through a network of country-level programmes in the areas of mutual strength and interest of the Partners, as well as at a global level through institutional collaboration. The Project will focus primarily on supporting and coordinating concrete actions at the grassroots by providing small-scale finance for local community-led projects within given priority landscapes, to achieve landscape-scale impacts in developing countries. The Project will review, analyze, and codify results of these on-the-

² Source: UNU/IAS presentation during COMDEKS inception workshop, September 2011, Ghana.

ground actions to distill and disseminate lessons which can be used for replication in other parts of the world.

COMDEKS Components

COMDEKS consists of two main components:

1. Community Development through small grant-making by using the UNDP's small grants delivery mechanisms, including the GEF Small Grants Programme (SGP) and other alternative schemes.

COMDEKS will leverage existing experiences, resources, and networks to support sustainable landscape level management approaches by using UNDP small grants delivery mechanisms, including the SGP, to provide financing and technical assistance to community organizations. COMDEKS will support identification and replication of practices to support sustainable socio-ecological production activities across the existing mosaic of land uses within selected production landscapes in participating countries. COMDEKS will work to enhance traditional knowledge and governance systems, and their integration with modern science in community projects aimed at achieving resilient socio-ecological production landscapes and seascapes.

COMDEKS will also assist local communities to develop enterprises and access new forms of innovative financing such as payment for ecosystem services (PES). It is imperative that economic incentives are created locally for communities to conserve biodiversity, minimize land degradation and develop resilient landscapes and sustainable livelihoods.

It is expected that COMDEKS grant funding will be matched at the landscape level by an equal amount in regular funding from GEF-SGP to ensure harmonized and synergistic programming.

2. Knowledge Management for capacity building, replication, and up-scaling

Successful practices, methods and systems of landscape management will be identified by COMDEKS for the purpose of replication, up-scaling and mainstreaming. Collecting, analyzing and managing information collected from the implementation of community projects, as well as from other sources, is essential to identify best practices and lessons for dissemination to other communities, other programmes and other organizations and institutions. COMDEKS will produce a variety of knowledge products as well as feed the lessons and best practices it has identified to its partners, United Nations University-IAS, CBD Secretariat, and the Government of Japan.

Knowledge products from COMDEKS will also feed into and assist the project of Knowledge Facilitation for the *Satoyama* Initiative – knowledge facilitation activities implemented by SCBD and UNU – in capacity building, replication and up-scaling through the regional workshops organized by the SCBD. The outputs are also expected to be shared through peer-to-peer active learning, training courses, horizontal and vertical exchange seminars between practitioners and

policy makers from a variety of sectors, which are organized by the *Satoyama* Initiative Partners. This exchange of information and knowledge will be an invaluable input towards policy formulation and processes at the national and sub-national levels.

Table 1: COMDEKS components, expected outputs and outcomes

Project Components	Expected Concrete Outputs	Expected Outcomes
<p>1. Community Development through Small Grant-Making by using the existing Small Grants Programme delivery mechanism</p>	<p>1.1. Baseline assessments conducted at the landscape level in order to define goals, desired outcomes and typology of potential community-based projects to achieve socio-ecological production landscape resilience.</p> <p>1.2 Country Programme Strategies developed for each participating country to guide the implementation of community based landscape projects.</p> <p>1.3 Portfolio of 5-10 community-led projects addressing resilience of socio-ecological production landscapes implemented in each of the participating countries.</p>	<p>Local organizations and institutions have the understanding, strategies, tools, skills and technical capacities required to implement socio-ecological production landscape initiatives in participating countries.</p>
<p>2. Knowledge Management for capacity building, replication, and up-scaling</p>	<p>Output 2.1: Project blog/web site and other learning networks combining workshops, webinars and social media are launched in order to enhance understanding and raise awareness of the importance of SEPLs for the benefit of biodiversity and human wellbeing.</p> <p>Output 2.2: Best practices and lessons learned exchanged among countries and IPSI partners through case studies development for replication and upscaling.</p> <p>Output 2.3 Policy makers engaged in the Landscape process at all levels: Lessons from community-based landscape management related activities compiled and disseminated to governmental officials and policy makers at the local, national and global level for coherent policy development.</p>	<p>Practitioners at the global, national and local levels and local stakeholders' access and exchange knowledge, experience, best practices and lessons from socio-ecological production landscapes, to incorporate lessons learned into planning tools and enable replication and upscaling of best practices around the world.</p>

COMDEKS Strategic Framework:

COMDEKS operates in landscapes that have been selected through a participatory multi-stakeholders process involving the communities that inhabit, use, and protect them. Diverse landscapes require locally-adapted solutions to meet the needs of stakeholders and conserve the wealth of ecosystem services, biodiversity, cultures and knowledge found within socio-ecological production landscapes.

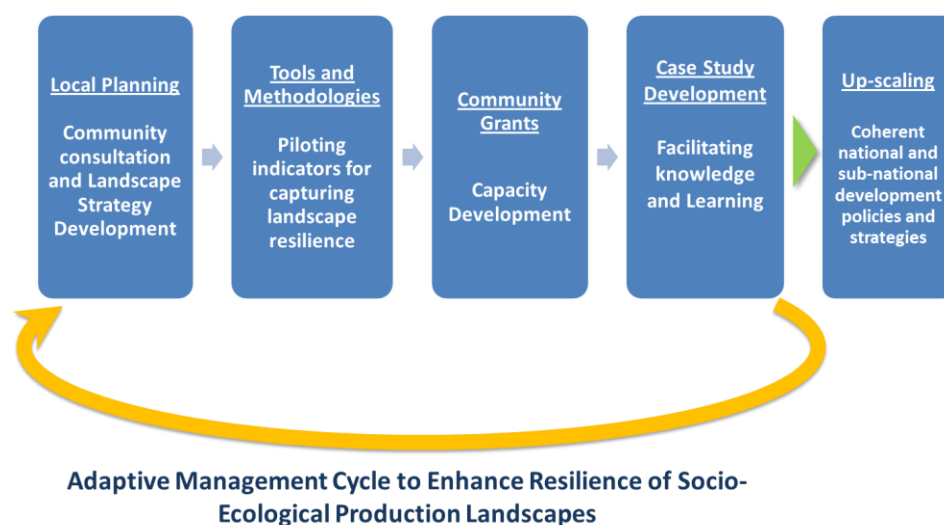
Once a landscape has been identified, community consultations are held to develop a landscape strategy to enhance resilience and sustainability. Landscape strategy development begins by assessing the current status of the landscape and community resilience which can be used as a basis for setting goals, and identifying desired outcomes and key measures and strategies for community-based actions. Landscape-level outcomes include the optimization of ecosystem services, biodiversity conservation, enhanced income and food security and disaster risk management. This process of social learning promotes the conditions for achieving long-term biodiversity conservation by building the capacity of communities to learn about the complexity of interactions in the landscape and promoting changes in behavior.

As part of the baseline assessment and community consultation process, *Indicators for Resilience in Socio-ecological Production Landscapes and Seascapes (SEPLS)* are piloted enabling the development of participatory transformative strategies that reflect local priorities negotiated among representatives from local communities, the government, the academia and the private sector.

The selection and implementation of specific community initiatives in each country at the landscape level is guided by its COMDEKS Country Programme Landscape Strategy. Small grants are provided to local community organizations with the overall long term objective to enhance socio-ecological production landscape and seascape resilience by developing sound biodiversity management and sustainable livelihood activities with local communities. COMDEKS also focuses on reviewing, analyzing, and codifying results from on the ground activities to distill and disseminate lessons which can be replicated in other parts of the world and communicated to policy makers for coherent policy development.

The figure below illustrates the COMDEKS Strategic Framework to enhance resilience and sustainability at the landscape level through adaptive management.

Figure 2: COMDEKS Strategic Framework



Participating countries:

The project contributes to the achievement of the objectives of the Convention on Biological Diversity and the implementation of the Aichi targets adopted by the tenth meeting of the UN Convention on Biological Diversity Conference of the Parties (October 2010). COMDEKS was designed to substantively support the concept of the *Satoyama* Initiative, which was recognized at CBD COP10 (COP decision X/32, Sustainable Use) as a “useful tool to better understand and support human influenced natural environments for the benefit of biodiversity and human well-being”.³

The initial participating countries have been selected based on their ability to provide lessons on socio-ecological production landscape management, and to satisfy the following criteria:

- Geographic representation (choosing countries from as many different regions as possible);
- Predominant or unique eco-regions or biomes, diversity and vulnerability of ecosystems (small islands, mountains, steppe, etc);
- Strong SGP experience and capacity in working in the country, including abilities to provide rigorous M&E and knowledge management and to pursue gender mainstreaming, with an existing capable National Coordinator, an engaged SGP National Steering Committee, and strong support from the UNDP Country Office;
- Relevant strategy for the *Satoyama* Programme set out in the Country Programme Strategy;

³ COP decision X/32.

- Planned efforts for Replication, Up-scaling and Mainstreaming in collaboration with broader initiatives of UNDP or other partners, linking community work with national and sub-national processes.

In addition to the above criteria, the selection process also considered predominant or unique eco-regions or biomes, diversity and vulnerability of ecosystems as well as potential for upscaling and mainstreaming community work by linking with national and sub-national processes. In the first phase, 11 target countries (Brazil, Cambodia, Ethiopia, Ghana, Grenada, Fiji, India, Malawi, Nepal, Slovakia and Turkey) have been identified by UNDP and the Government of Japan to pilot the COMDEKS approach.

Additional countries may be selected for the second phase of the project (2013-2016), subject to future arrangements, and based on the availability of resources.

Methodologies:

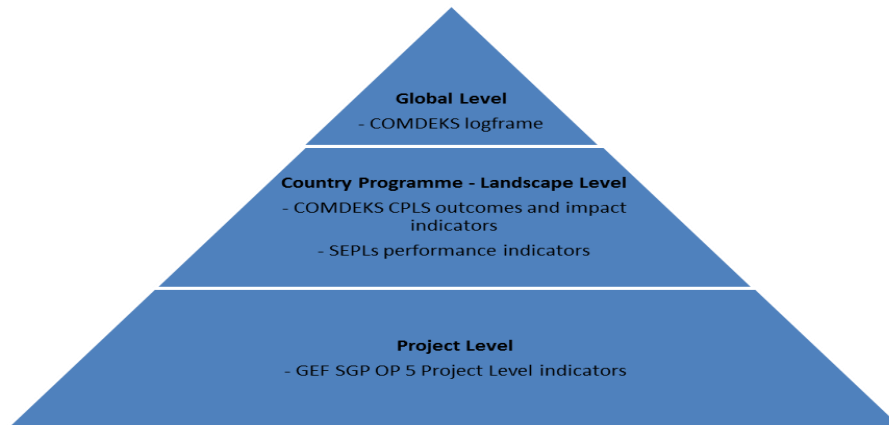
The landscape approach supported by the COMDEKS project is outlined in detail in a series of practical guidance documents and toolkits designed specifically for SGP National Coordinators and stakeholders who participate in the COMDEKS process. These documents (see annexes 1-5) comprise a set of simple and user-friendly tools and guidance materials to facilitate the implementation of community-based activities and measures to enhance resilience of socio-ecological production landscapes (SEPLs).

Table 2: COMDEKS Guidance Documents and Toolkits:

Document title	Target audience
COMDEKS Country Programme Landscape Strategy Template and Guidelines	SGP National Coordinators and National Steering Committees
Request for proposal template for conducting a Landscape Baseline Assessment	NGOs, CBOs, IPs, National Academic Institutions
Guidelines for performing a landscape wide assessment; including <ul style="list-style-type: none"> • Guidelines for performing a baseline assessment • Instructions for the Scoring Exercise • <i>Satoyama</i> Indicator Scorecard (Word and Excel versions) • Data Capture Form (Excel) 	SGP National Coordinators and National Steering Committees
Questionnaire for lessons learned from the landscape-wide baseline assessments and community consultations	NGOs, CBOs, IPs, National Academic Institutions
Indicators for resilience of socio-ecological production landscapes and seascapes	SEPLs stakeholders

Additionally, a results based management system for the project has been developed at three organizational levels. At the global level, a definition of a project logical framework, including objectives/goals, outcomes, outputs and indicators, targets and means of verification, is included in the Project Results Framework section below.

Figure 3: COMDEKS Results Based Management System



At the country programme level, the selection and implementation of specific micro-projects in each country at the landscape level will be guided by its COMDEKS Country Programme Landscape Strategy, each of which will have its own set of outcome targets that will be consistent with and contribute to the overall results of the COMDEKS programme at the global level.

Additionally, as a result of an on-going collaboration between UNDP, UNU and Bioversity International, the booklet “Indicators for Resilience in Socio-Ecological Production Landscapes”, was revised based on comments received by SGP National Coordinators during the Accra Project Inception Workshop, September 24-26, 2011. This publication is led by the United Nations University-Institute of Advanced Studies and Bioversity International as a Collaborative Activity under the International Partnership for the *Satoyama* Initiative (IPSI). The indicators will be applied and tested in the COMDEKS project sites, during the landscape-wide baseline assessments, to help measure and understand the resilience of target landscapes. Experiences and lessons learned to be gained through the practical application of the indicators during the landscape-wide baseline assessment are envisaged to be compiled and analyzed for further improvement of the indicators.

Finally, each individual community-based project will have a project specific objective, which will contribute to the results to be achieved at the landscape level under the CPLS in each participating country. At the level of community projects, following SGP practice, COMDEKS will rely on the GEF SGP Fifth Operational Phase (OP5) project level indicators, integrated with indicators set at the landscape/country programme level.

III. PROJECT RISKS AND ASSUMPTIONS:

Over the course of the project, a UNDP risk log in ATLAS will be regularly updated on a quarterly basis (see M&E section). The risks facing the project and the risk mitigation measures are summarized below:

Table 3: Risks and Mitigations Measures

<i>RISK</i>	<i>RISK RATING</i>	<i>MITIGATION MEASURES</i>
Landscape stakeholders, including communities and local authorities in the target landscapes, may not fully engage in measures to enhance landscape resilience, and may not understand the value of working together towards an integrated approach at the landscape level.	Low-Medium	<p>The project emphasises the importance of local engagement and community driven activities. The community development component of the project is designed to catalyze local action around landscape objectives and to foster local engagement from the outset. As the Project proposes to develop landscape strategies and typologies of potential community-based projects through participatory development of baseline assessments, the result should be a high degree of ownership of the process on the part of local communities and other landscape stakeholders.</p> <p>Grant proposals will not be approved if they do not have the full support of local communities, as evidenced by required letters of support from local leaders of the respective involved communities.</p> <p>Grantees will also be encouraged to establish or support existing or newly created participatory governance mechanisms, involving more than one community, that take concerted decisions about landscape management.</p>
Difficulties from working directly with civil society organizations (NGOs and CBOs) that have a low level of technical and management capacity to prepare and implement project proposals for the community development component of the Project.	Low-Medium	<p>Community organizations' capacities are assessed during grant review and approval to determine the level of support needed during the lifetime of the project. The National Coordinator, as well as the National Steering Committee (NSC), with representation from civil society leaders, government institutions, and donors, further provides support for effective design and implementation of SGP projects.</p> <p>Risks will be mitigated through capacity building and oversight of the project portfolio by UNDP-GEF and COMDEKS Project Coordinator. The project will work with all grantees to help them maintain appropriate rates of disbursement, link grantee partners to learn from each other in peer-to-peer learning groups, and work in a flexible manner that responds to the strengths and comparative advantages of grantees.</p>
Selection process for the countries participating in the II Phase of COMDEKS may slow project implementation and	Medium	To manage the risk associated with the transition to Phase II of COMDEKS, particularly related to the selection of an additional number of countries participating in Phase II, UNDP and the project team will coordinate early on with all

delivery.		<p>partners (including, UNOPS, SCBD and Ministry of Japan and UNU) to ensure that the selection process is conducted smoothly and appropriate consideration is given to absorptive capacity of potential participating countries.</p> <p>In the case of selection of countries, where SGP is not operational, UNDP may explore other small grants delivery mechanism as potential alternatives to the GEF Small Grants Programme.</p> <p>In the case of selection of SGP upgraded country programs, which will be implemented as stand-alone GEF Full Size Projects (FSPs), the upgrading process presents potential risks in that uncertainty remains with regard to the timing of the final approval of the upgraded FSPs. In this case, potential risks will be mitigated through an increased coordination effort during the selection process with the UNDP CO and UNDP Global RTA for the Communities cluster, as relevant.</p> <p>Finally, adaptive management will be carried out to ensure appropriate and timely development and implementation of project activities and achievement of expected results.</p>
Climate unpredictability may affect the level of success of the project's work such as habitat restoration, farming system diversification, water management, etc., and thereby constrain project achievements or affect their impact (+, -).	Low	Grants will be made with climate risks in mind, and steps will be taken to minimize, mitigate and/or adapt. The project's focus on employing and institutionalizing a decentralized community based approach makes particular sense given the need to strengthen landscape level resilience in the face of climate change. Resilience is strengthened in part by ensuring a range of approaches and tools are used to conserve and sustainably utilize natural resources, including biodiversity. By working to develop technical, management and governance capacities in relation to more appropriate land uses, the project will enable local communities to increase ecosystem resilience.
Other exogenous risks (economic crisis, political instability, etc.)	Low	These, and other similar risks, can be considered as contingencies. As such, the mitigation measures are implemented in an on-going ad-hoc manner as necessary and appropriate.

IV. PROJECT RESULTS FRAMEWORK:

Primary applicable Key Environment and Sustainable Development Key Result Area (same as that on the cover page, circle one): Expanding access to environmental and energy services for the poor.					
	Indicators	Baseline	End of Project targets	Verification Mechanisms	Risks and Assumptions
Project Objective⁴: To develop sound biodiversity management and sustainable livelihood activities with local communities to maintain, rebuild, and revitalize socio-ecological production landscapes (SEPLs).	Type of landscapes and number of hectares of land brought under sustainable land and resource management in COMDEKS participating countries.	0 ha.	At least 20 multiuse landscapes restored, maintained or improved after five years of project implementation.	Evaluation reports, field visits, grant reports, case studies	Local communities, district and local authorities able and willing to participate in taking up new activities and join in the approach. There are no substantial changes in land-use cover.
	Number of targeted communities implementing innovative landscape strategies in participating countries and involved in activities aimed at maintain, revitalize or rebuild SEPLs (data disaggregated by gender).	0	At least 6 communities per landscape. (tbd after the first year of project implementation)	Evaluation reports, field visits, grant reports, case studies	Local communities understand the value of working towards an integrated approach at the landscape level and work together to implement measures to enhance landscape resilience.
Component 1: Community Development through small grant making by using UNDP's small grants delivery mechanisms, including the GEF Small Grants Programme (SGP) and other alternative schemes					
Expected outcome 1⁵: Local organizations and institutions have the understanding, strategies, tools, skills and technical capacities required to implement socio-ecological production landscape initiatives in COMDEKS participating countries.					
Output 1.1. Baseline assessments conducted at the landscape level in order to define goals, desired outcomes and typology of potential community-based projects to achieve socio-ecological production landscape resilience.	Number and type of participatory baseline assessments conducted at the landscape level for assessing socio-ecological production landscape (SEPL) performance.	No landscape wide baseline exists to assess socio-ecological production landscape performance in target area.	By the end of the first phase of project implementation, baseline assessments are conducted in each participating countries. By the end of the project, assessment of landscape resilience is conducted in each participating country.	SEPL Indicator Scorecard and Data Capture Form submitted to Project Coordinator Lessons learned document on consultation process submitted to Project Coordinator.	It is assumed that the country programmes use the tools provided by the PMU and the indicators developed by UNDP and UNU-IAS along with Bioversity International to help measure and understand the resilience of target landscapes.
Outputs 1.2: Country Programme Landscape Strategies developed for each participating country to guide the implementation of community-based landscape projects.	Number of strategies adopted in participating countries addressing landscape resilience.	No strategies exist addressing landscape resilience.	By the end of the first phase of project implementation, a country programme landscape strategy is formulated and agreed in	Approved CPLS annexed to Country Programme Strategy and submitted to UNDP/CPMT and uploaded on	The NSC the target communities remain committed and active.

⁴ Objective (Atlas output) monitored quarterly ERBM and annually in APR/PIR

⁵ All outcomes monitored annually in the APR/PIR. It is highly recommended not to have more than 4 outcomes.

			each participating country. By the end of the project, country programme landscape strategies are under implementation in each participating country.	COMDEKS blog.	
Outputs 1.3 Portfolio of 5-10 community-led projects in each participating country addressing resilience of socio-ecological production landscapes implemented	Number of and type of landscape actions and strategies enhancing SEPL resilience or strategies introduced at local level.	No COMDEKS project.	By the end of the project, at least 5-10 community-based landscape projects implemented in each country.	Evaluation reports, field visits, grant reports, case studies.	There is a good understanding among local stakeholders regarding access to and use of the land and natural resources in the project area. Technical capacity to prepare and implement project proposals exists at the community level.
Component 2: Knowledge Management for capacity building, replication, and up-scaling					
Expected Outcome 2: Practitioners at the global, national and local levels and local stakeholder access and exchange knowledge, experience, best practices and lessons from socio-ecological production landscapes, to incorporate lessons learned into planning tools and enable replication and upscaling of best practices around the world.					
Output 2.1: Project blog/web site and other learning networks combining workshops, webinars and social media are launched and operational in order to enhance understanding and raise awareness of the importance of SEPLs for the benefit of biodiversity and human wellbeing.	Use and value of project website and capacity development webinars.	No COMDEKS blog/website exists.	By the end of the first year of implementation fully functioning and established knowledge platform with available landscape learning resources.	Survey of stakeholders conducted at the end of the project.	Information on the COMDEKS blog will be widely disseminated and adopted by project team and NCs.
Output 2.2: Best practices and lessons learned exchanged among countries and IPSI partners through case studies development for replication and upscaling.	Number of case studies compiled and disseminated	No best practices based on practical implementation of activities at the community-based level	By the end of Phase 1, at least 1 summary case study on experience gained by implementation of <i>Satoyama</i> indicators. By the end of the project, at least 1 case studies for each type of landscape disseminated through COMDEKS blog and IPSI websites.	Project reports and survey of stakeholders as part of the final evaluation. Evaluation reports, field visits, grant reports, case studies.	Best practices and lessons learned are identified and analysed in a timely manner, supporting the effective sharing of knowledge.
Output 2.3 Lessons from community-based landscape management related activities compiled and disseminated to governmental officials and policy makers at the local, national and global level for coherent policy development.	Lessons learned and best practices from pilot activities in target landscape up taken at the local, national and global levels. No., type, and sector of policies/plans introduced or adjusted to address SEPLs resilience considerations.	0	By the end of the project, there is at least one example in each country of local/regional/national plan mainstreaming SEPLs approaches.	Evaluation reports, field visits, grant reports, case studies.	Willingness by decision-makers to incorporate landscape considerations into planning mechanisms.

V. TOTAL BUDGET AND WORKPLAN

Award ID:	00068363	Project ID(s):	00083617
Award Title:	Community Development and Knowledge Management for the <i>Satoyama</i> Initiative (COMDEKS) Project		
Business Unit:	UNDP1		
Project Title:	Community Development and Knowledge Management for the <i>Satoyama</i> Initiative (COMDEKS) Project		
PIMS no.	PIMS 5102		
Implementing Partner (Executing Agency)	UNDP		
Responsible Partner	UNOPS		

Outcome/Atlas Activity	Responsible Party/Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account code	Atlas Budget Description	Amount Year 1 (USD) 2012/2013	Amount Year 2 (USD) 2013/2014	Amount Year 3 (USD) 2014/2015	Amount Year 4 (USD) 2015/2016	Total (USD)	Budget Note
OUTCOME 1: Grants	UNOPS	62040	UNEP	72600	Grants	1,277,273	3,050,000	1,400,000	0	5,727,273	1
				74500	Miscellaneous	89,409	213,500	98,000		400,909	2
Sub-total UNEP						1,366,682	3,263,500	1,498,000	0	6,128,182	
OUTCOME 2: Knowledge Management	UNDP	62040	UNEP	61300	Salary costs - PC staff	77,280	77,280	77,280	77,280	309,120	3
				71200	International consultants	12,000			12,000	24,000	4
				74200	Audio Visual&Print Prod Costs (outreach)	4,500			4,500	9,000	5
Sub-total UNEP						93,780	77,280	77,280	93,780	342,120	
Monitoring and Evaluation	UNOPS	62040	UNEP	75700	Training, Workshops and conferences	22,915	135,000	67,500		225,415	6
	UNDP			71600	Travel	12,000	12,000	12,000	12,000	48,000	7
	UNDP			71200	International consultants				18,000	18,000	8
	UNOPS			74500	Miscellaneous	1604.05	9450	4,725		15,779	9
UNEP sub-total						36,519	156,450	84,225	30,000	307,194	
PROJECT MANAGEMENT UNIT	UNDP	62040	UNEP	61300	Salary costs - PC staff	33,120	33,120	33,120	33,120	132,480	10
				61200	Salary costs - GS staff	43,525	43,525	43,525	43,525	174,100	11
				73100	Rental and maintenance premises	6,600	6,600	6,600	6,600	26,400	12

				73100	Rental and maintenance premises	7,500	7,500	7,500	7,500	30,000	13
				74500	Miscellaneous	600	600	600	581	2,381	14
UNEP Sub-total						91,345	91,345	91,345	91,326	365,361	
UNEP PROJECT TOTAL						1,588,326	3,588,575	1,750,850	215,106	7,142,857	
UNDP Fee (12%)						214,286	214,286	214,286	214,286	857,143	
Total Amount of Financing requested						1,802,612	3,802,861	1,965,136	429,392	8,000,000	

Budget Notes:

1. Grants: As agreed with the donor, approximately 70% of donor contribution from Japan Biodiversity Fund is to be used for actual grants to be delivered to NGOs/CBOs in participating countries. It is expected that, overall, 25 countries will be participating in the COMDEKS Project (10 countries in the first phase, 2011-2013; up to 15 countries in the second phase 2013-2016). Approximately, USD 280,000 per country for grant-making. Average scale of each small grant project is up to USD 50,000. As such, if a country is supported for two years, more than 10 community-based projects will be supported in each country. Rationale for overall grant amount higher than USD 5,600,000 (70% of 8m): during the period 2011/2012 under the SGP OP5/COMDEKS Project, the amount allocated to community grants was lower than 70% to cover the cost of the inception workshop.

2. Miscellaneous: UNOPS costs for services for grant activities are indicated under Miscellaneous (UNOPS grant activities costs).

3. Salary cost/ PC costs: Around 70% of the COMDEKS Project Coordinator's time (60% P3 position USD 184,000/year= USD 110,400) will be spent on technical matters, while the remaining 30% will be spent on managerial issues. The time spent on technical matters will include development of methodological and guidance materials, inputs from the Project Coordinator for the formulation and delivery of a programme of landscape grant initiatives by local communities. This includes time spent assisting SGP National Coordinators to develop landscape strategies at the Country Programme level, and community-based proposals that can be reviewed by the National Steering Committee (NSC) for grant approval, providing technical assistance to SGP National Coordinators and grantees on project implementation, reviewing narrative reports submitted by communities, reporting on overall project progress and results at the global level, and developing related knowledge products, including case studies for each participating countries.

4. International consultants will be required at the end of Phase 1, and during Phase 2 to provide specialized technical support to the Project Management Unit. The technical support will promote the development and publication of case studies in each participating countries, a key outcome envisioned under the COMDEKS project.

5. Audio Visual and Printing: At the end of each phase, a technical report with collection of country case studies and publication of lessons learned will be compiled by the project team. Costs related to its production and dissemination include; layout, printing and binding

6. Training, Workshops and Conferences SGP NCs: USD 13,500 per country (total of 25 countries) will be allocated to Country Programmes to conduct project related community consultation, RBM activities, support to case study development, and other activities necessary to produce KM materials under the guidance of COMDEKS Project Coordinator. Rationale for lower figure during year 2 (2012/2013): During year 1(donor contribution under the SGP OP5/COMDEKS Project), additional funds were allocated to cover part of the cost.

7. Travel: Visits to field sites for monitoring and evaluation purposes. The travel budget will cater for the travel expenses by the Project Coordinator to support capacity development efforts of local communities. The travel budget will also cater for international travel expenses by the COMDEKS Project Coordinator to support the development and dissemination of case studies and other knowledge management products. COMDEKS grants making is expected to generate key lessons on community-based practices to maintain and rebuild socio-ecological production landscapes. Approximately, 1 or 2 visits towards the end of each phase.

8. Terminal Evaluation to be conducted by independent consultant.

9. Miscellaneous: UNOPS costs for services for non-grant activities are indicated under Miscellaneous (UNOPS non-grant activities costs).

10. Salary cost/ PC costs: Around 30% of the COMDEKS Project Coordinator's (60% P3) time will be spent on managerial issues.

11. Salary costs - GS staff Around 50% of a G5 Project Assistant's time (50% PA G5 level 87,050/year= USD 43,525) will be spent on COMDEKS activities (50% of PA time should be more than enough given the limited amount of activities to be covered as most of the funds are executed by UNOPS). Activities will include: monitor the project funds and resources, and prepare progress and financial reports of the project when required; provide travel support to COMDEKS Project Coordinator. Be actively involved in the preparation of relevant knowledge products (including publications and reports). Where necessary and upon advice by UNDP, perform the function of ATLAS (UNDP's ERP system) External User, creating requisitions and vouchers, and other relevant ATLAS processes, ensure that the requisite allocations are available in accordance with the agreed budget and established schedules of payment, if any, in consultation with UNDP.

12. 60% Rental and maintenance for COMDEKS Project Coordinator (11,000/2).

13. 100% Rental and maintenance for G5 Project Assistant (approximately USD7, 500).

15. Other Miscellaneous expenses (i.e. phone charges)

VI. DISBURSEMENT SCHEDULE AGREED WITH THE DONOR⁶:

		Year 1	Year 2	Year 3	Year 4	
Description	Upon Signing Agreement	Sep-12	Jun-13	Jun-14	Jun-15	Total
Programme Funds (including Execution Costs)		1,785,714	3,571,429	1,785,714	-	7,142,857
Implementing Entity Fee (12%)		214,286	428,572	214,286	-	857,143
Total		2,000,000	4,000,000	2,000,000	-	8,000,000
		Tranche I	Tranche II	Tranche III	Tranche IV	

⁶ As per Amendment to Cost Sharing Agreement signed between UNDP and UNEP/SCBD on September 7th, 2012. "Clause C.5: The parties acknowledge that additional US\$8,000,000 for the COMDEKS Project will be paid in instalments, of which US\$2,000,000 for the period of 2012-2013 payable upon signature of this amendment. The remaining funds shall be payable in accordance with the following schedule: US\$4,000,000 on 30 June 2013; and US\$2,000,000 on 30 June 2014. The Parties acknowledge that this payment schedule may change based on donor circumstances and need as project implementation is progressing. Any change to the payment schedule will be agreed in writing by the parties."

VII. MANAGEMENT ARRANGEMENTS

The COMDEKS project will be implemented by UNDP under the Direct Implementation Modality (DIM), using small grants delivery mechanisms, including the GEF Small Grants Programme (SGP), to provide financing and technical assistance to community organizations in selected developing countries to promote sustainable use and management of natural resources in socio-ecological production landscape with the aim of maintaining, rebuilding and revitalizing them.

Project Board. At the global level, implementation of the project will be carried out under the general guidance of a Project Board. The Project Board will be responsible for approving key management decisions of the project and will play a critical role in assuring the technical quality, financial transparency and overall development impact of the project. The Project Board will be composed of designated senior-level representatives from UNDP/GEF, UNEP/SCBD and Ministry of Environment, Japan. Annual reports and quarterly newsletters will be shared, and teleconferences organized to apprise the Project Board of progress on implementation.

Project Advisor. The United Nations University Institute of Advanced Studies (UNU-IAS) - as a member of the IPSI collaborative activity, a partner for COMDEKS and an interface with other IPSI members -, will be invited to participate in project board meetings acting as a project advisor, to support and facilitate knowledge sharing and learning on the *Satoyama* Initiative among IPSI partners. While managing knowledge, UNDP, in collaboration with UNU, will build on the experiences and results to be produced and collected by the COMDEKS project so that project results can be effectively used in the project of Knowledge Facilitation for the *Satoyama* Initiative implemented by MOEJ, SCBD, and UNU.

Implementing Partner. UNDP will be the Implementing Partner, responsible for execution and financial oversight of the COMDEKS project, ensuring that the objectives and components of the project are delivered, and resources are allocated and disbursed in an efficient and effective manner. It will provide overall project oversight and take responsibility for standard project cycle management services beyond assistance and oversight of project design and negotiation, including project initiation, monitoring, periodic evaluations, troubleshooting, and reporting to the donor. UNDP will also provide high level technical and managerial support through the recently established Community Resilience and Sustainability Team within UNDP-GEF.

Responsible Party. UNOPS will serve as the Responsible Party for the delivery of community-based grants, the main output envisioned under Component 1 (Grant-Making) of the COMDEKS Project, as outlined in the project's budget and results framework. As the Responsible Party for the community development component (grant making), UNOPS will (i) disburse funds using established modalities for SGP projects (upon authorization by UNDP HQ), (ii) monitor and record disbursements, (iii) provide reporting formats and collate financial reports for timely transmission to UNDP including but not limited to: quarterly financial reports, annual budget revisions, annual workplans, etc; (iv) coordinate with UNDP on achievements of substantive deliverables and milestones with partners prior to the release of payments; and. (v) validate MOAs and other contractual agreements, ensuring due diligence requirements are met in terms of financial requirements. The principle relationship between UNOPS and UNDP will be governed by a Standard Letter of Agreement (LOA) signed by both agencies and attached to this project document once the project document has been appraised by the Project Appraisal Committee (PAC).

Project Assurance. A UNDP/GEF Community Resilience and Sustainability Regional Technical Advisor (RTA), will be responsible for overall quality assurance.

Programme Management Unit (PMU). UNDP/GEF through a Project Coordinator hired for this purpose - will provide general oversight as well as technical guidance to the COMDEKS project. The PC's primary responsibility is to ensure that the project produces the results specified in the Project Document to the required standard of quality and within the specified constraints of time and cost. The PC, in coordination with the UNDP Communities RTA, will prepare an Annual Work Plan (AWP) that incorporates project activities and results to be delivered through the Plan. The AWP will define the execution timeframe for each activity and the responsible parties for its implementation. The first AWP will be finalized and incorporated into the Project Document within 30 days of its signature. The participation of project counterparts will be essential for the success of the planning phase, during which the AWP will be prepared. Additionally; the Project Coordinator will be directly responsible for the implementation of the knowledge management component of the project (Outcome 2), including the development and distribution of project case studies and other knowledge products, capturing lessons learned and best practices which can be replicated in other parts of the world and communicated to policy makers for coherent policy development.

The COMDEKS Project Coordinator will work under the overall supervision of the UNDP/GEF Regional Technical Advisor for Community Resilience and Sustainability, for programme oversight and technical and substantive guidance. All communications with National Coordinators will be closely coordinated with the SGP Central Programme Management Team (CPMT) for the global GEF-SGP Country Programmes, and with the UNDP/GEF Community Resilience and Sustainability Regional Technical Advisor (RTA) who is responsible for project oversight. ToRs for the PC are included in Annex 6.

The Project Coordinator will be supported by an administrative and finance assistant (ToRs for the administrative and finance assistant to be included as an annex once the Project has been appraised by the PAC). The PC and the administrative assistant will form the Project Management Unit (PMU) to be located in New York to execute project activities, to coordinate day-to-day operations of the project, and oversee the overall operational and financial management and reporting of the Project.

The implementation of the project on the ground will be undertaken through mechanisms already established by UNDP and SGP. In particular, the community development component (Outcome 1) of the COMDEKS project will be delivered through the GEF Small Grants Programme (SGP). This includes making use of the existing organizational structure including the SGP National Steering Committee (NSC) and the SGP National Coordinator (NC). The implementation of the community development component of the COMDEKS project will be led by the SGP Country Programme team, based on technical guidance provided by the COMDEKS Project Coordinator on priority areas for grant making. Under this outcome, the project will provide small-scale finance to local communities in developing countries through the delivery mechanism of the GEF-SGP by utilizing the existing National Steering Committees, with possibly additional members specifically to support landscape-level management, as a local governance and project selection mechanism in the target countries of the Programme. For countries where SGP is not operational, if selected, in the future, UNDP may explore alternative small grants delivery schemes.

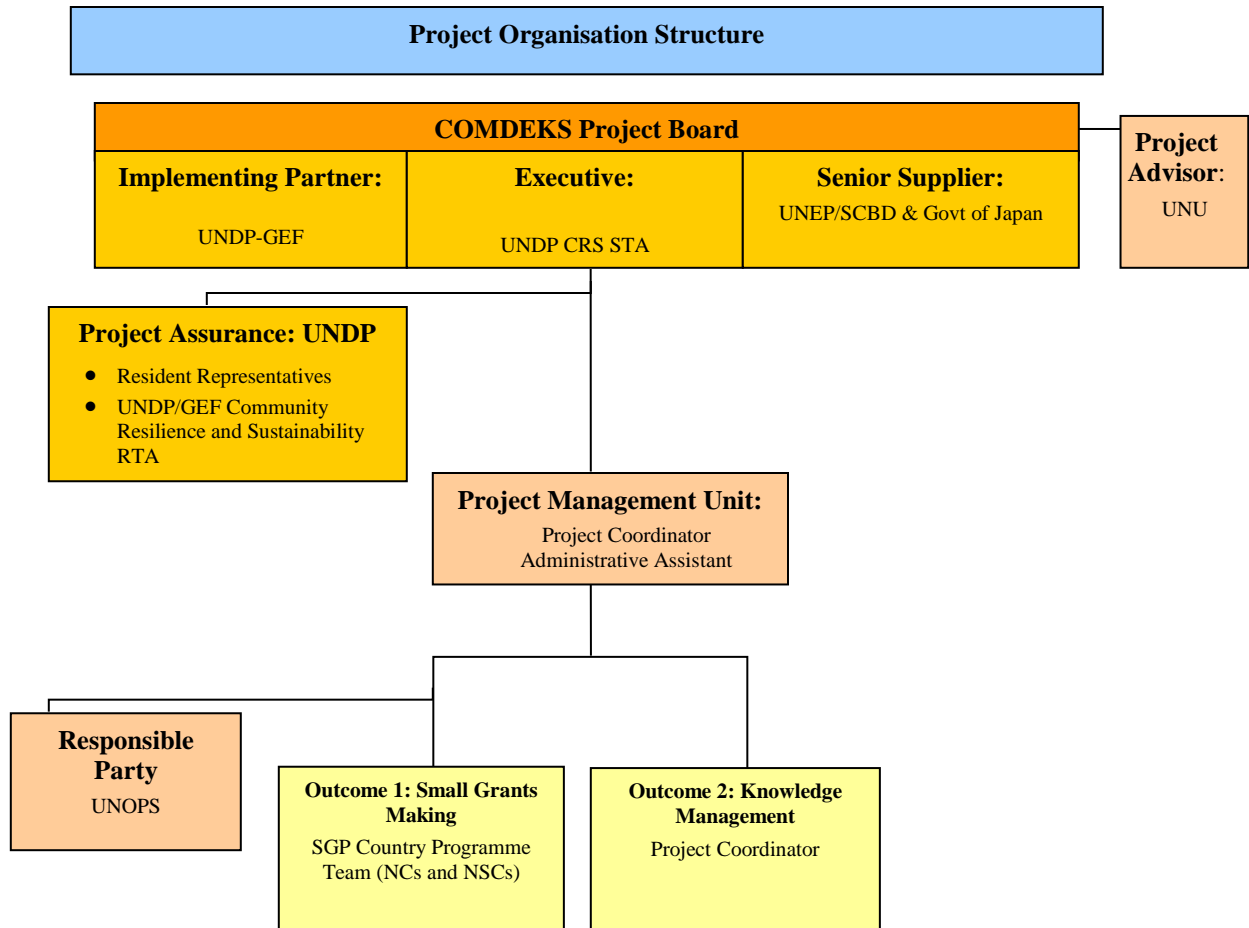
National Steering Committee (NSC). A National Steering Committee in each participating country will identify and select community based landscape projects and, together with UNDP and SGP, will ensure synergy and avoid duplication of efforts with other relevant GEF and non-GEF funded projects and

programs. Grant making and knowledge-related activities will be carried out following the COMDEKS Country Programme Landscape Strategy and work plan which will be submitted to the Project Coordinator for technical review and NSC for final approval. Community driven project proposals will be developed by community based organizations under the guidance and with the assistance of the SGP National Steering Committee, and in close coordination with SGP National Coordinators and COMDEKS Project Coordinator.

The NSC structure in each country will be regularly reviewed with respect to the existence of expertise on landscape issues, and if necessary, expanded to include relevant skills. The NSC will be responsible for taking appropriate management decisions at the local level to ensure that community based projects are implemented in line with the SGP Operational Guidelines and the agreed project design and are consistent with national and state development policies and priorities.

National Coordinator/Country Programme Manager. A National Coordinator in each participating country (or Country Programme Manager for SGP upgraded Country Programmes) is responsible for the day-to-day operations of the project. This includes supporting NSC strategic work and grant selection by developing technical papers, undertaking ex-ante technical reviews of project proposals; taking responsibility for monitoring the grant portfolio and for providing technical assistance to grantees during project design and implementation; mobilizing cash and in-kind resources in coordination with UNDP; preparing reports for UNDP;; implementing a capacity development program for communities, CBOs and NGOs, as well as communications and knowledge management in coordination with COMDEKS Project Coordinator to ensure adequate visibility of donor investments, and disseminating good practices and lessons learnt. CPMT will harmonize the time and effort of the NCs to ensure delivery of COMDEKS grant funded projects in synergy with SGP programming.

The diagram below shows the project organizational structure:



VIII. MONITORING FRAMEWORK AND EVALUATION

The project will be monitored through the following M&E activities, in accordance with established UNDP procedures and will be carried out by the Project team under the oversight of the UNDP Community Resilience and Sustainability Cluster.

Project start:

The COMDEKS Inception Workshop took place in Accra, Ghana on September 24-26, 2011, as the first activity under the 5th Operational Phase of the GEF Small Grants Programme in support of Community Development and Knowledge Management for the *Satoyama* Initiative (COMDEKS) (SGP OP5/COMDEKS Project). The COMDEKS inception workshop brought together representatives of SGP Country Programmes from the first group of participating countries with the aim of accomplishing three broad objectives: 1) to become familiar with the concept of the *Satoyama* Initiative and integrated management of SEPLs, as well as the COMDEKS implementation strategy; 2) to gain technical knowledge and learn about tools and resources for operationalizing the concept of the *Satoyama* Initiative in COMDEKS project landscapes; 3) to share expectations and tools for knowledge management, build strategies for implementing COMDEKS in each of the participating countries, and establish action plans and guidelines for post-workshop collaboration and project implementation. Please click [here](#) to read the complete workshop report.

Quarterly:

- Progress made shall be monitored in the UNDP Enhanced Results Based Management Platform.
- Based on the initial risk analysis submitted, the risk log shall be regularly updated in ATLAS. Risks become critical when the impact and probability are high.
- Based on the information recorded in Atlas by COMDEKS Project Coordinator and the SGP NCs, a Project Progress Reports (PPR) can be generated in the Executive Snapshot.
- Other ATLAS logs can be used to monitor issues, lessons learned etc... The use of these functions is a key indicator in the UNDP Executive Balanced Scorecard.
- Information on the grant portfolio shall be updated in the SGP Global Database.

Annually:

- Substantive Progress Report: This key report is prepared to monitor progress made since project start and in particular for the previous reporting period.

Substantive reports shall detail achievements, constraints and impacts with regards to the utilization of this contribution. The substantive report for the period of July through December 2012 will be submitted to UNEP/SCBD no later than 15 May 2013 and the reporting cycle will be

the same the following years. This report will be accompanied by the preliminary financial report signed by UNDP GEF Executive Coordinator of Environmental Finance.

The final substantive report detailing achievements, constraints and impact with regard to the utilization of the contribution from the country office and the final financial report, certified by the Office of Finance and Administration of UNDP will be provided no later than 30 June of the year following the financial closing of the project (see paragraph below).

➤ **Financial Reporting:**

Financial reports shall reflect the amount received in relation to expenditure from the contribution. The first preliminary financial report signed by the UNDP GEF Executive Coordinator and Director of Environmental Finance of UNDP for the first period will be submitted no later than 15 May 2013 and the reporting cycle will be the same as in the substantive reports in paragraph above.

The financial report certified by the Office of Finance and Administration of UNDP will be submitted no later than 30 June of the year following the financial closing of the project.

Financial reports signed by the UNDP GEF Executive Coordinator and Director of Environmental Finance will provide information according to the following categories:

- Amount received
- Staff and other personnel costs
- Travel
- Contractual services
- Procurement
- Grants and other
- Sub-total
- Cost recovery
- Total expenditures

Periodic Monitoring through site visits:

COMDEKS Project Coordinator may conduct joint visits with the National Coordinators/Country Programme Managers to project sites as an input to the annual substantive report preparation. Other members of the Project Board may also join these visits. A Field Visit Report/BTOR will be circulated to the project team and other relevant stakeholders, as appropriate, no later than one month after the visit.

End of Project:

An independent Final Evaluation will take place three months prior to the project expected end date (approximately in March 2016). The final evaluation will focus on the delivery of the project's results as initially planned (and as corrected after the mid-term evaluation, if any such correction took place). The final evaluation will look at impact and sustainability of results, including the contribution to capacity development and the achievement of landscape

environmental benefits/goals. The Terms of Reference for this evaluation will be prepared by the Project Coordinator, in consultation with UNDP Communities STA and SGP CPMT. The TOR shall be validated by the UNDP Evaluation Office.

The Terminal Evaluation should also provide recommendations for follow-up activities and requires a management response which should be uploaded to PIMS and to the [UNDP Evaluation Office Evaluation Resource Center \(ERC\)](#).

During the last three months, the project team will prepare the Project Terminal Report. This comprehensive report will summarize the results achieved (objectives, outcomes, outputs), lessons learned, problems met and areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project's results.

Individual grant M&E:

The following minimum standards shall be applied for individual grant M&E:

Ex-ante Visits: The project team should undertake ex-ante visits on a risk basis to grant-requesting organizations upon grant approval by the NSC and prior to the signature of the MOA between UNDP and the grantee.

Field monitoring visits: Every project should be visited at least twice in its lifetime, upon receipt of the first progress report from beneficiary organizations and during the following year. NSC members with relevant expertise in project-related technical areas may join the CPM during these visits, as appropriate.

Progress reports: Beneficiary organizations should submit quarterly, half-yearly progress reports to the NC along with a financial report. A forecast of resources needed in the following period should be submitted by the grantee to the NC as a requirement for disbursement of the next instalments.

Final project evaluation report: Beneficiary organizations should submit a final report summarizing landscape level benefits and other results achieved, outputs produced, and lessons learned. The final report should also include a final financial statement.

Project Level Indicators: Each project will identify the specific landscape strategy outcome to which it is contributing and will monitor the corresponding indicators. Progress towards the outcome will be updated using the grantees' progress reports. Additionally, the individual project will have an indicator system aligned with GEF SGP's OP5 system of indicators.

Country Programme Landscape Level Indicators: SEPL Indicators measured during the baseline assessment will be monitored on an annual basis. A final assessment of SEPLS indicators will

take place at a workshop financed by a grant. This will serve as a final evaluation of the Country Programme Landscape Strategy.

Learning and knowledge sharing:

Learning is an important goal of the *Satoyama* Initiative, and significant effort will be placed into internal and external communication of the lessons learned from the project. Results from the project will be disseminated within and beyond the project intervention zone through existing information sharing networks and forums.

The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation though lessons learned. The project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects.

Finally, there will be a two-way flow of information between this project and other projects of a similar focus.

Publications:

The UNDP and *Satoyama* Initiative logos should appear on all relevant project hardware and other purchases with COMDEKS funds. The logos of UNDP, the *Satoyama* Initiative, the GEF and the GEF Small Grants Programme should appear on all project publications and other knowledge products. Any citation in publications regarding projects funded by COMDEKS should also acknowledge the *Satoyama* Initiative. Where other agencies and project partners have provided support (through co-financing) their logos may also appear on project publications.

M&E workplan and budget

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame
Inception Workshop and Report	<ul style="list-style-type: none"> ▪ Project Coordinator ▪ UNDP GEF ▪ SGP NCs ▪ SGP CPMT ▪ 	Covered under SGP/OP5/COMDEKS Project	Within first two months of project start up
Measurement of Means of Verification of project results.	<ul style="list-style-type: none"> ▪ UNDP GEF RTA ▪ SGP National Coordinators ▪ Project Coordinator 	USD 112,707	Start, mid and end of project (during evaluation cycle) and annually when required.
Measurement of Means of Verification for Project Progress on <i>output and implementation</i>	<ul style="list-style-type: none"> ▪ Oversight by Project Coordinator ▪ SGP National Coordinators ▪ 	USD 112,707	Annually, prior to yearly reports and to the definition of annual work plans
Annual Reports	<ul style="list-style-type: none"> ▪ Project Coordinator 	None	Annually

Type of activity	M&E	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame
		<ul style="list-style-type: none"> ▪ UNDP RTA 		
Periodic status/ progress reports		<ul style="list-style-type: none"> ▪ Project coordinator and team 	None	Quarterly
Final Evaluation		<ul style="list-style-type: none"> ▪ Project Coordinator ▪ UNDP RTA ▪ External Consultants (i.e. evaluation team) 	Indicative cost : 18,000	At least three months before the end of project implementation
Publication of lessons learned		<ul style="list-style-type: none"> ▪ Project team 	Indicative cost: 16,500X2 (total: 33,000)	At the end of Phase 1 and Phase 2
Project Terminal Report		<ul style="list-style-type: none"> ▪ Project Coordinator ▪ UNDP RTA ▪ 	None	At least three months before the end of the project
Audit		<ul style="list-style-type: none"> ▪ UNDP CO ▪ Project manager and team 	Included in project grants budget	In accordance with UNDP finance regulations and rules and applicable audit policies.
Visits to field sites		<ul style="list-style-type: none"> ▪ Project Coordinator ▪ Government representatives 	Indicative cost: 12,000/year (total: 48,000)	Yearly
TOTAL indicative COST Excluding project team staff time and UNDP staff and travel expenses			US\$ 324,414	

IX. LEGAL CONTEXT

This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the "Project Document" instrument referred to in: (i) the respective signed SBAs for the specific countries; or (ii) in the Supplemental Provisions attached to the Project Document in cases where the recipient country has not signed an SBA with UNDP, attached hereto and forming an integral part hereof

This project will be implemented by UNDP in accordance with its financial regulations, rules, practices and procedures.

To ensure its responsibility for the safety and security of the UNDP personnel and property, UNDP shall: (a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried; (b) assume all risks and liabilities related to UNDP's security, and the full implementation of the security plan.

The UNDP shall undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

X. ANNEX 1: COMDEKS COUNTRY PROGRAMME LANDSCAPE STRATEGY TEMPLATE AND GUIDELINES

This Guidance Note is aimed at SGP National Coordinators who will be responsible for overseeing the implementation of COMDEKS programme activities in each country. Each country, led by the NC and National Steering Committee (NSC), must prepare a COMDEKS Country Programme Landscape Strategy as a simple and user-friendly tool to complement and link with the CPS. In collaboration with the NC, the NSC contributes towards and approves the COMDEKS Country Programme Landscape Strategy (CPLS).

The COMDEKS Country Programme Landscape Strategy template and guidelines are designed for this purpose (see appendix 1) to help National Coordinators simplify as well as receive maximum benefit from the COMDEKS planning process. The template is intended to provide a common structure for the COMDEKS CPLSs, and to ensure portfolio-wide coherence.

The COMDEKS Country Programme Landscape Strategy and work plan must be submitted to the COMDEKS Project Coordinator for technical review. After receiving feedback from the COMDEKS Project Coordinator on a draft of the COMDEKS CPLS, the strategy should be submitted to the NSC for final approval in order to ensure consistency with national environmental and development priorities.

The strategy will guide the selection of COMDEKS activities in each country. Grant making and knowledge-related activities would be carried out following the adoption of the strategy by the NSC. The SGP Operational Guidelines and standard operational procedures must be applied in managing the portfolio of COMDEKS projects.

Background

COMDEKS will support local community activities to maintain and rebuild socio-ecological production landscapes (human-influenced natural environments) and to collect and disseminate knowledge and experiences on the results of such local community activities, toward the realization of “societies in harmony with nature” as defined in the vision of the *Satoyama* Initiative.

The main objective of COMDEKS is to develop sound biodiversity management and sustainable livelihood activities with local communities in socio-ecological production landscapes to maintain, rebuild, and revitalize landscapes, in accordance with the following five perspectives of the *Satoyama* Initiative.

- Resource use within the carrying capacity and resilience of the environment
- Cyclic use of natural resources
- Recognition of the value and importance of local traditions and cultures
- Natural resource management by various participating and cooperating entities
- Contributions to local socio-economies

COMDEKS will focus primarily on supporting and coordinating concrete actions at the grassroots by providing small-scale finance for local community-led projects within given priority landscapes, to achieve landscape-scale impacts in developing countries. The Project will review, analyze, and codify results of these on-the-ground actions to distill and disseminate lessons which can be used as a basis for replication in other parts of the world.

Baseline Assessment

Baseline assessments will be instrumental for the development and finalization of the COMDEKS Country Programme Landscape Strategy.⁷ A baseline assessment provides NCs and stakeholders in the target landscape with information about the current state of the landscape which can be used as a basis for setting goals and identifying desired outcomes.

In order to conduct the landscape-wide baseline assessment, a stakeholder workshop may be organized by an experienced NGO or academic institution as an on-the-ground capacity building project which may be financed by a grant. The experience gained from doing so should be consistent with the overall aim of producing case study material in particular in relation to community consultations, stakeholder participation, and piloting indicators for resilience in socio-ecological production landscapes. The maximum amount per grant award for such a baseline assessment project will be limited to USD 25,000, as part of each country's Year 1 COMDEKS grant allocation. A specific call for proposals will need to be issued for such baseline assessment projects, with applicants required to provide a detailed budgetary estimate (see Request for Proposal template for conducting a Landscape-wide Baseline Assessment for the COMDEKS project).

Lessons learnt in carrying out baseline assessments and community consultations are expected to be captured to help develop case studies to be shared with other SGP country programmes as well as external partners.

COMDEKS Country Programme Landscape Strategy

As a first step, a COMDEKS Country Programme Landscape Strategy (see template below) will be developed for each COMDEKS country, and will describe the approach to maintaining, rebuilding and revitalizing sustainable socio-ecological production landscapes with activities at the community and landscape levels, including priority sites, and measures for project implementation. The Country Programme Landscape Strategy is a short, focused document which guides the development of a portfolio of projects, and represents the consensus of the Country Programme and relevant stakeholders on key issues such as priority landscapes and sites for potential COMDEKS activities.

The selection and implementation of specific micro-projects in each country at the landscape level will be guided by its COMDEKS Country Programme Landscape Strategy, each of which will have its own set of outcome targets that will be consistent with and contribute to the overall results of the COMDEKS programme at the global level. Each individual community-based project will have a project-specific objective, which will contribute to the results to be achieved at the landscape level under the CPLS in each country.

Appendix 1: COMDEKS Country Programme Landscape Strategy template and guidelines:

COUNTRY PROGRAMME LANDSCAPE STRATEGY FOR COMMUNITY DEVELOPMENT AND KNOWLEDGE MANAGEMENT FOR SATOYAMA INITIATIVE (COMDEKS)

[12 font in text. 10 font in tables, except otherwise indicated]

⁷ See guidelines for Assessing Socio-ecological Production Landscape (SEPL) Performance: establishing a baseline and monitoring change

Country: COUNTRY X [caps, 14 font, bold]

Summary: include a short summary of the COMDEKS CPLS here. (1 page max)

1. Priority Area (3 pages max)

- *Please identify and describe the proposed landscape (define the landscape, and characterize the landscape issues and assets) and its boundaries and insert or annex a sketch/map of the region indicating geographic focus (landscape focus) and proposed location of subprojects.*
- *Please explain where the landscape is, why it was chosen, what the relation is to other SGP and UNDP projects) in the area, and the presence of particular biodiversity values in the landscape. This section should also explain how the COMDEKS Country Programme Landscape Strategy is complementary to the GEF SGP OP5 Country Programme Strategy (CPS).*

2. Situation Analysis (threats and opportunities) (3 pages max)

- *Please provide brief information on the problem the proposed programme is aiming to solve. Outline the economic social, development and environmental context in which the programme would operate.*
- *Please provide a brief description of key stakeholders (i.e. number of people and socio-economic characteristics of people living in the landscape, land tenure systems, size of land holding, poverty and food security issues etc.)*

3. Landscape Strategy (Outcomes and Impact indicators) (3 pages max)

- *Introduce the landscape approach. A baseline assessment provides Country Programmes and landscape stakeholders with information about the current state of the landscapes which can be used as a basis for setting goals and desired outcomes. The baseline assessment will assist stakeholders in the target area to design landscape strategies defined and agreed upon in a participatory manner, taking into account the following objectives: to improve ecosystem resilience and to improve the resilience of production systems.*
- *The overall long term objective of the COMDEKS Country Programme Landscape Strategy is to enhance socio-ecological production landscape resilience through community-based activities.*
- *Please list the main outcomes, and impact indicators to be adopted by the country-level COMDEKS programme addressing:*
 - *ecosystem functions (water, habitat, soil etc.) and conservation of biodiversity;*
 - *local livelihoods;*
 - *agricultural production;*
 - *institutional structures.*
- *Two to three outcomes should be adopted, and impact indicators chosen should correspond to each of those outcomes. These indicators will be adopted for the national COMDEKS*

programme, and will be achieved through support to community projects. Community projects will have a separate indicator system, aligned with GEF SGP OP 5 indicators.

- *Examples of possible outcomes at the Country Programme Landscape Strategy level include: buffer capacity of ecosystems against extreme weather events enhanced; hydrological cycle and genetic resources that are critical for rural families protected; landscape connectivity enhanced; Increased resilience of agroforestry systems; enhanced food security by halting deforestation, restoring watersheds, diversifying production systems and encouraging sustainable landscape management; improve soil conditions, prevent erosion, and improve water use efficiency and availability; cross-sectorial institutions at landscape level strengthened to support planning, negotiation, implementation and capacity-building needed to sustain integrated landscapes.*

4. Typology of potential community-based projects and criteria for project selection (2 pages max)

- *Please define the criteria for project selection taking into account, inter alia, strategic importance of the project for the target landscape (i.e. biodiversity value and hotspots); projects that can affect the entire site through replication; projects that address policies; projects that link income generation to conservation; projects that address innovative areas; projects that address multiple threats or needs.*
- *Please describe briefly the types of community projects that will be funded to achieve socio-ecological production landscape resilience. This should not be overly prescriptive, but should give a sense of the sorts of projects that will be compatible with the CPLS, and will contribute to the desired outcomes. Examples of types of eligible projects should be provided, and should outline the desired impact the activities would have on long-term socio-ecological resilience of the selected landscape, and should include a description of how they might address ecosystem functions (water, habitat, carbon, soil, etc.) and conservation of biodiversity, local livelihoods, agricultural production, and institutional structures.*
- *Activities can include both the revival of traditional conservation and production practices and the adoption and development of new techniques.*
- *Examples of possible eligible projects include: forest restoration activities (berms, bunds, terraces, gully plugs, etc., in order to enhance landscape connectivity and increase landscape resilience; reforestation of tropical hillsides, riparian forests and mangroves, rangeland rehabilitation and improved pasture management, restoration of wetlands, peatlands, watersheds and coral reefs, re-vegetation in drylands; protecting and enhancing ecosystem services such as water flows and water quality through restoration of forest patches and soil and water retention infrastructure; diversification of agricultural landscapes (agroforestry), diversification of production systems (cultivation of a higher diversity of crops and varieties and crop-livestock-trees integration; low-input agriculture, soil conservation and improved water management and water efficiency (mulching, cover crops, rainwater harvesting, re-vegetation, fallow, intercropping, crop rotation; adjustments in crop and herd management*

(changes in crop and herd management); use of stress-tolerant and fast maturing crop species and varieties, and stress tolerance improvement through farmers' selection and participatory plant breeding; and other activities supporting diversification of livelihoods.

- *Please define criteria for NGO/CBOs selection: NGOs/CBOs should be selected to participate in the COMDEKS activities based on their ability to deliver community projects that fit within the country programme landscape strategy. Please describe strategies to be used to engage with NGOs/CBOs.*
- *Please indicate expected frequency of SGP National Steering Committee meetings. The role of the NSC is clearly described in the Operational Guidelines of the SGP and it will follow established practices. In particular, the NSC contributes to additional resource mobilization, approves project grants, participates in the monitoring and evaluation of projects, and helps in the communication of lessons learned and their integration into national policy development and development planning. Also, please note that the NSC membership should be reviewed in order to ensure expertise on landscape issues, and if necessary, expanded to include relevant skills.*

5. Monitoring and Evaluation Plan (2 pages max)

- *Participatory methods for the landscape-wide baseline assessment: describe the consultative process undertaken during the formulation of the COMDEKS Country Programme Landscape Strategy and project preparation (i.e. involvement of SGP Steering Committee, communities involved, other actors, etc.)*
- *Please describe how local stakeholders will participate in setting landscape outcomes; how they will participate in monitoring; and how progress will be documented and reported.*
- *Please describe the Monitoring and Evaluation plan for the portfolio of individual SGP projects.*

6. Knowledge Management Plan (1 page max)

- *Please describe your plans for capturing, sharing, and disseminating the lessons learned and good practices identified through the project (i.e. development of case studies, etc.).*
- *Please describe how the SGP Country Programme will use this knowledge to inform and influence policy at the local, regional and national levels (i.e. identify key policy processes and relevant networks).*
- *Please describe how the SGP Country Programme will use this knowledge to replicate and up-scale COMDEKS good practices and lessons learned for landscape management to support sustainable socio-ecological production activities at the country, landscape, community and farmers levels.*

XI. ANNEX 2: QUESTIONNAIRE FOR LESSONS LEARNED FROM THE LANDSCAPE-WIDE BASELINE ASSESSMENTS AND COMMUNITY CONSULTATIONS

QUESTIONNAIRE FOR LESSONS LEARNED FROM THE LANDSCAPE-WIDE BASELINE ASSESSMENTS AND COMMUNITY CONSULTATIONS⁸

Project Title:

Grantee:

Country:

Type of organization: *NGO, CBO, IP, national academic institution.*

Number of people served: *Number served*

Location: *Landscape Location, ideally with a very small map of the country, with a mark for the landscape site*

COMDEKS Contribution: *Grant amount*

In-Cash Co-financing: *Funds from proponent or partners*

In-Kind Co-financing: *Labour or material contribution from proponent or partners*

Start Date:

End Date:

COMDEKS intervention areas scoping:

- Who was involved in identifying and selecting the target landscape and geographical areas for COMDEKS projects?
- What were the selection criteria and selection process?
- How was the selected landscape validated with the community and local authorities, if applicable?
- Was a map of the landscape created or referenced before or during the baseline assessment and community consultation process? How? Were communities involved in drawing the map of their landscape?

Participation of stakeholders during the process:

- Describe the consultative process and participatory methods undertaken for the landscape-wide baseline assessment. How did you engage the local community and key stakeholders to participate in the baseline assessment? How was the community mobilized?
- How many communities were involved in the baseline assessment and consultation process? Please provide community name, reason for selection and brief description of the target communities.
- Were local stakeholders involved in the baseline assessment? If so, who? Please provide information of the stakeholders that participated in the baseline assessment, i.e. number of

⁸ This questionnaire should be completed by a representative of the Grantee organization that was awarded with the Baseline Assessment project.

participations, involvement of the SGP National Steering Committee, community leaders, farmers, local authorities and/or involvement of other actors.

- What tools did the workshop facilitators use to engage the participants, e.g. problem trees, drawings, maps etc.?
- How many workshops were conducted? If applicable, what was the reason for conducting multiple workshops (i.e. size of the landscape, conflict between communities or stakeholders, length of the exercise etc?)
- How long was the average workshop?

SEPL indicators:

- Were the questions and the description of the indicators clear and easily understandable for the landscape stakeholders (local communities) in particular? Would you suggest any modification?
- Was it necessary to translate the questions into the language (s) spoken by the participating stakeholders? If so which languages?
- Were the indicators useful to assist communities in understanding the resilience of socio-ecological production landscapes (SEPLs)? How so?
- Did the indicators assist communities in developing resilience-strengthening strategies that encourage local innovations, ecosystem protection and beneficial interactions between different landscape components? Please describe.
- Was the exercise effective in capturing the perceptions of a variety of stakeholders? How did you adapt the exercise to meet the needs of the stakeholders groups present in the landscape?
- Please provide any advice, lessons learned, best practices

Interpreting the results of the scoring exercise:

- How many people participated in the scoring exercise? Please specify gender, age, socio-economic standing within the community, if possible.
- Was the scoring exercise implemented according to the proposed guidelines or was it changed during implementation? If changed, what were the reasons for the change?
- While interpreting the results of the scoring exercise, were there areas of consensus or areas where clear differences or challenges have emerged?
- Were the categories on trends used to collect information and foster a discussion about changes to natural and social factors affecting the landscape over a period of time?
- Were the results of the scoring exercise useful to encourage a discussion on goal and expected outcomes at the landscape level, as well as a typology of interventions for implementing desired change?
- Please provide any advice, lessons learned, best practices.

Results of the Baseline Assessment:

- How were the results of the baseline assessment validated with the community and local authorities, if applicable?
- How did the scoring outcome shape the landscape strategy and project planning process?
- Was the baseline assessment successful in giving a solid landscape baseline? How so?

Challenges

- What were the main challenges faced during the consultation process?
- At what phase of the assessment these challenges arise (planning/ implementation/analyzing results)? What did the organization do to overcome these challenges?
- How was the baseline assessment workshop designed to fit each community and site?
- Was there any resistance to the baseline assessment workshops? If so, how was this overcome?
- What could have been done differently or better?
- What would you recommend to improve future assessments?

Gender

- Was there any special participation by women (i.e. participation in the baseline assessment workshop, participation in the scoring exercise)? If yes, how vital was their participation in the project's success?
- Please provide any statistics on the number of women involved in the baseline assessment.
- Were actions taken to overcome gender barriers ensuring equal gender participation during the baseline assessment?
- Was it necessary to make any specific arrangements (i.e. to speak to women and men separately; have focus groups for women and focus groups for men before gathering them together to ensure their meaningful participation; adapting timing schedule to men's and women's working schedules)?

Indigenous Peoples

- Was there any special participation by IP? (I.e. participation in the baseline assessment workshop, participation in the scoring exercise). If yes, how vital was their participation in the project's success?
- Please provide any statistics on the number of IP involved in the baseline assessment.
- Did you use a special methodology or approach to work with Indigenous communities such as participatory video?

Replication

- How easy would it be to conduct repeated implementation of the scoring exercise at least once or twice a year?
- What mistakes should be avoided if the project were to be replicated?

Lessons learned

- Give a brief description of the good practice (300 words maximum) highlighting the innovative features and results achieved by the baseline assessment and community consultation process.
- What are the lessons learned on conducting the exercise, work with communities, technical lessons, policy lessons, M&E?
- Describe what worked well and how it was done.
- What were the key successes of this project?
- What factors supported the success?

Presentation of the results:

- Please include a graphical presentation of SEPL performance using the radar diagram developed during the baseline assessment.

XII. ANNEX 3: GUIDELINES FOR ASSESSING SOCIO-ECOLOGICAL PRODUCTION LANDSCAPE (SEPL) PERFORMANCE: ESTABLISHING A BASELINE AND MONITORING CHANGE

Introduction

The focus of COMDEKS (Community Development and Knowledge Management for the *Satoyama* Initiative) is to realize the *Satoyama* vision for socio-ecological production landscapes through adaptive collaborative management. Adaptive management is cyclical and requires a clear understanding of the status of the landscape at the beginning as a basis for setting priorities for collaborative action. The process of adaptive collaborative management is informed by the desires and perceptions of all major stakeholders in the landscape. Steps in adaptive collaborative management include: 1) establishing a baseline, 2) developing an action strategy for change, 3) selecting indicators for tracking progress toward realizing desired outcomes described in the strategy, 4) monitoring and learning how the landscape is progressing toward the desired outcomes (goals), and 5) adapting the management strategy to reflect changes in the landscape and in the needs of people who live there. These guidelines will help you to begin the adaptive management cycle in your COMDEKS project landscapes.

Materials that accompany these guidelines include:

- 1) Instructions for the Scoring Exercise
- 2) *Satoyama* Indicator Scorecard (Word and Excel versions)
- 3) Data Capture Form (Excel spreadsheet)
- 4) The *Satoyama* Indicator booklet (PDF)

Preparing for a Baseline Assessment

Why is a baseline assessment important? A baseline assessment provides you and landscape stakeholders with information about the current state of the landscape which can be used as a basis for setting goals and developing the landscape strategy. It also serves as the initial data set for landscape performance indicators which you can compare with subsequent performance indicators to assess how the landscape is changing throughout the course of COMDEKS.

The first step in preparing to conduct a baseline assessment is to clearly identify the landscape and its boundaries. If possible, create or reference a map of the region so that you, your National Steering Committee (NSC), and landscape stakeholders have a common understanding about the region of interest. Speak with your NSCs or landscape councils ahead of time to discuss the tools to be used and the information to be gathered in the baseline assessments. It is important to keep the baseline exercise clear and concise, and to gather strategically selected information from a cross-section of stakeholders from the project landscape. The *Satoyama* Indicators Scorecard will provide a helpful starting point for your baseline assessment. Depending on the particular agricultural, environmental, social or political

characteristics of the project landscape, and stakeholder' goals for the landscape, you may want to consider adding other categories or questions to the scorecard.

This baseline exercise gathers information on the status of the landscape as perceived by individuals and organizations living and working there, based on the set of *indicators for resilience in socio-ecological production landscapes* developed. The indicators were developed through a process managed by the *Satoyama* Initiative and described in an 8-page web-based booklet by this title. You and your project steering committee may decide it is valuable to measure additional indicators, or to measure some indicators using more rigorous methods than scoring tools. It is best to consider these advances in developing your baseline *after* you have conducted a baseline scoring exercise, evaluated the findings and initiated the preparation of your landscape management strategy. By the point you will have better insight into the type of additional information that it is worthwhile to invest in.

Selecting and Gathering Participants

Because COMDEKS projects will focus on an entire landscape, it is important to conduct a baseline that is representative of the entire landscape. It is best to contact and gather respected leaders, organizational directors, farmers and knowledgeable individuals from two or more communities within the landscape in a single forum. This way, the baseline assessment exercise can help communities within the landscape to develop or deepen a landscape perspective. There may be cases however, where the size of the landscape, or deep conflict between communities or stakeholders, make it difficult to gather all of the desired participants at one meeting.

When conducting a landscape -wide baseline in more than one community, or with different groups of stakeholders, through separate meetings it is important afterward to compare results among the different groups and note any differences. You will want to communicate results from groups among all of them. Consider also bringing selected representatives from each group together to explore reasons for different results, and implications for developing landscape management strategies. If a landscape council or steering committee will be helping to administer the COMDEKS project in your country, ask these leaders for help in identifying the best way to select and group participants to provide a fair and accurate assessment of their landscape.

Adapting the Scorecard and Survey Exercise

You will need to translate the scorecard and the data capture tool into the language(s) spoken by the participating stakeholders. If it seems appropriate, you could also have a translator present at the survey exercise rather than translate all of the materials; however it is recommended to translate the materials as the assessment will be repeated at least every year. It is especially important that the descriptions of the indicators make sense for the people in the landscape. Review the booklet of *Satoyama* indicators and their descriptions, practice presenting them to your NSCs, and note any areas of confusion that you will want to clarify for stakeholders doing the exercise in the landscape.

After you, your NSC, and project staff are familiar and comfortable with the scoring process, consider how you might adapt the exercise to work for groups with varying levels of literacy. It is important to

make sure that the exercise captures the perceptions of a variety of stakeholders. Adapt the exercise as you see fit to meet the needs of the stakeholder groups present in your landscape(s).

Managing Results and Documentation

Review the instructions for using the data capture form provided on the second tab of the excel spreadsheet. It is important to save a copy of the data capture form after each exercise with the name of the landscape and the data. Assess the capacity of the grantee organization(s) to manage and preserve digital information. If possible, keep digital copies at the country office and the grantee organization office. Hard copies of the scorecards should be kept by the grantees through the completion of the project. Each sheet should be labeled with the facilitator's name, the landscape and the date. Develop a digital and physical file for all documents related to the landscape.

Some of the language and formulas used in the data capture form may be confusing to the stakeholders. Explain that the standard deviation measures how spread apart the group's answers were. The smaller the standard deviation, the closer the group is to reaching a consensus on the status of their landscape. Likewise, agreement also is indicated by upper and lower third values that are close to the average.

Working Toward a Landscape Strategy

1. Interpret the results of the scoring exercise – are there areas of consensus or areas where clear differences or challenges have emerged? Consider the *Satoyama* values (approach and philosophy) as well as the values of the people involved in the scoring exercise. Identify areas of relative strength (assets to build on), and areas of weakness which need to be addressed, as a basis for developing your strategy. Discuss how things have changed temporally and the drivers associated with these changes.
2. Consider underlying issues that may be more difficult to see but which might be causing some of the more visible or apparent problems/issues. Facilitate discussion around these issues and about possible ways moving forward to address them. Do not expect agreement to emerge during the initial meeting. Plan on follow up meetings and possibly other activities to build agreement toward a strategy. Emphasize the importance of a multi-objective strategy and the benefits of addressing more than one problem/issue at a time. Define complementary pathways to addressing issues – to gain support of multiple stakeholders.
3. Consult with the NSC in developing a landscape strategy which identifies several priority areas based on the challenges identified in the scoring exercise. Set goals that represent the areas of agreement and desired outcomes that reflect the values of the program and the landscape stakeholders. Set both short term goals that can be achieved during the course of project funding and long term goals that will direct the continued development of the landscape during the project period and after COMDEKS project funding has ended.
4. Based on the strategy derived, solicit proposals from the landscape actors for implementing desired change. It would be helpful to solicit proposals from organizations that participated in the scoring exercise. If that is not possible however, make the results of the scoring exercise available to those applying for grants so that they can write proposals that address the

challenges discussed in those meetings. The COMDEKS project staff can provide support as you write, review and accept the first round of proposals. Likewise, your NSCs, having helped to develop and review the landscape strategy, will be able to advise you on the best approach for soliciting and accepting project proposals. As discussed at the COMDEKS Inception workshop, proposal solicitation, preparation and selection varies between countries. Use your best judgment to determine how you might select proposals fairly while meeting the goals set out in the landscape strategy.

5. In the process of developing your strategy, be sensitive to additional indicators that will help you track change along project specific goals in addition to the Satayoma goals.

Monitoring Landscape Change

Your landscape strategy should include repeated implementation of the scoring exercise at least once or twice a year, with appropriate time allowed for discussing and interpreting changes that the data reveal and adapting the landscape strategy accordingly. Pay attention to any seasonal differences that might affect responses, and try to perform the scoring exercise at the same time each year. The same style of meeting/forum can be used to generate data on other project-specific indicators. Consider developing a scoring tool that includes the additional, project-specific indicators you may want to track to support your adaptive collaborative approach to landscape management. For further guidance on how to develop your own scoring exercise, please visit: <http://treadwell.cce.cornell.edu/ecoag1a/?p=593>.

XIII. ANNEX 4: SEPL INDICATORS SCORECARD – INSTRUCTIONS

Establishing a baseline and monitoring SEPL performance

Preparing for the exercise

1. Choose participants and invite them. The number of participants can range from about 12-30. Participants should include local stakeholders with a variety of interests, and a cross-section of expertise if technical service providers are included. All should have deep knowledge about the landscape.
2. Plan to refer to a map of the landscape to ensure all participants have the same area in mind. If a map is not available be prepared to describe the landscape to participants using recognizable names of features and boundaries.
3. Print and prepare enough copies of the *SEPL Indicators Scorecard* for each participant and facilitator.
4. Print and prepare copies for each participant and facilitator of the *Satoyama Indicator List*. If you have a computer projector available plan to use this instead of preparing copies of the criteria.
5. Load the *SEPL Indicator Data Capture Form* (Excel spreadsheet) on to your computer.
6. Have pens or pencils available for all participants, and a flip chart and markers in the room.
7. Have suitable refreshments available for participants to enjoy while you are entering and analyzing the data.

Conducting the survey

1. Assemble participants. Explain the purpose of the baseline exercise and the value of their participation.
2. Distribute copies of the *SEPL Indicator Scorecard*.
3. Distribute copies the *Satoyama Indicator List* or project them on a screen for all to view.
4. Ask participants to think about how the landscape performs with respect to each question, in their best judgment. Make it clear that there is no right or wrong answer.
5. Ask them to give each question a rating (score) between 1-5. A #1 means the landscape scores very poorly on that criterion, and 5 means it performs extremely well.
6. Give participants about five minutes to look over the scorecard and criteria to get an idea of what it is about and what is expected, before they begin scoring.
7. If you anticipate that there may be ambiguity in anyone's mind about the wording and the meaning of any of the criteria (normally there will be) then read each criteria aloud

to the group so all get the benefit of the facilitator's interpretation. Ask them to score each item before you read the next criterion aloud.

8. The assessment entails assigning a score and a trend to each indicator by answering the questions listed in the table's first column.
9. Although we will be building the baseline at a current year, it would be important to map how things have changed temporally and the drivers associated with these changes. This hopefully will help the communities to develop strategies to improve their resilience, from whence the trend lines/ scores would pertain to the baseline. The trend lines are synchronous with the scores, and may provide a more visually compelling tool. It is suggested that both assignment of numbers and trend arrows be used together during the discussions.
10. To collect information about changes in trends, the following categories can be used for each indicator separately:
 - ↑ steep upward trend
 - ↗ slow/some increase
 - → No change
 - ↘ slow/some decrease
 - ↓ steep downward
11. When they have finished scoring all 20 criteria, ask them to compute mean scores for each of the four sections of their scorecard. Demonstrate that this involves placing the score that they have given for each item in the right hand margin of the scorecard, next to that item. Then, add together the scores for each question in that category and write in the total at the top of the section. Divide each total by the number of questions in that category (indicated on the scorecard) to calculate the average score for each category. If participants are unable to total the scores within the categories or calculate averages, ask them to submit the scorecards with their responses clearly circled. You or another facilitator will need to calculate the totals and averages for each of the participant scorecards before entering the data into the *Data Capture Form*.
12. Collect the forms.

Capturing the data

While participants are taking a break or engaged in another activity with one of the team leaders, the other team leader will take the following steps.

1. Number the scorecards consecutively beginning with #1 by placing the number prominently at the top of each scorecard. If you have 20 participants the scorecards will be numbered from #1 through #20.
2. Open the blank *SEPL Indicator Data Capture Form*. Save a copy of the form with the name of the landscape, the name(s) of the facilitator(s), and the date on which the data was captured. Please review the instructions for using the data capture form on the second tab of the excel spreadsheet. Find the left column, labeled Stakeholder. If you have less than 20 participants, delete the remaining rows you will not need. For example, if you have 16 participants, delete rows 17-20. If you have more than 20 participants, add rows somewhere in the middle of the form. If you add them at the end, the program will not be able to properly calculate the means and standard deviations below.
3. From each participant's scorecard, take the average (mean) that they have computed for each section and insert it in under the heading that corresponds with each of the four landscape goals.
4. As the mean scores for each scorecard are entered the *Data Capture Form* will automatically compute the means and standard deviations for the group. It will also construct a Radar diagram from the data. The diagram depicts the mean scores for the four dimensions of the landscape to give viewers a visual image of comparative strengths and weaknesses across them. If you are unable to use a computer in the field, you can print a copy of the data capture form to fill in manually. To calculate the average score for each category, total all of the participant scores under each category and divide by the total number of participants. Then you can draw a radar chart and plot the averages you calculated on the appropriate axes.

Presenting the data

Present the radar diagram with the average scores computed at each of the four points on the diagram for all to see. Explain that standard deviation represents how spread apart the responses are. If the standard deviation is a very small number, then the group is close to reaching a consensus. However, if the standard deviation is large then the facilitator should note that stakeholder perceptions vary widely on certain points. Note these areas of agreement or disagreement to bring up when discussing the data with the group. Either project the diagram on the data capture form from a computer, or copy the diagram on to poster paper or a whiteboard. Let participants consider the information for a few minutes and ask them to think about what strikes them as most important or 'telling' about it without speaking to others. If they like, jot down their ideas.

Discussing the findings

Facilitate discussion about the findings for about 20-30 minutes. Ask participants what strikes them most about the findings based on the notes they jotted. Encourage everyone to speak even if there is repetition. Record comments.

During discussion, note points of ambiguity or confusion, convergence of opinion, and divergence of opinion concerning the meaning of the group’s scores. Note also any ‘hot issues’ that the data and the discussion seem to highlight concerning the performance of the landscape and factors that are affecting it. Probe whether certain areas or attributes of the landscape, or certain stakeholders, seem particularly vulnerable. This information will be useful later in developing a strategy for the landscape and choosing project indicators to track over time.

Outlining next steps

Before dispersing, make participants aware of next steps in the process of developing a strategy for the landscape. Outline potential roles for their involvement and encourage them to agree on a follow-up plan, as appropriate. Encourage participants to discuss the exercise and the findings with colleagues, friends and neighbors. The point is to ensure they do not view the SEPL Indicator scoring as an isolated exercise, but rather as a point for establishing a baseline from which the rest of the project can continue.

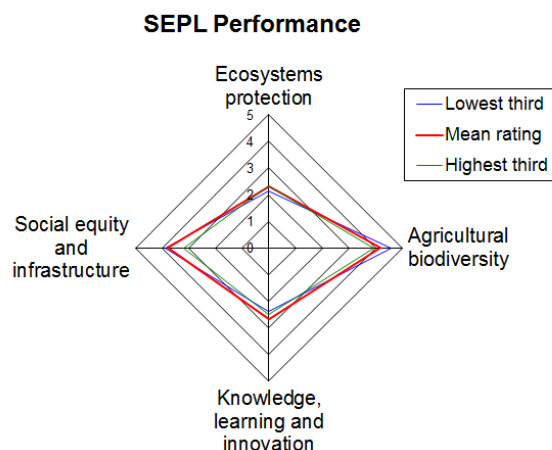
Notes:

The completed data capture form should look something like the following image:

SEPL Indicator Data Capture Tool

Landscape: Rio San Rafael watershed Name(s) of facilitator(s): Edward Centeno Date: 2010-07-11
 Insert averaged totals from each goal area of the Satoyama Indicator Scorecard for each stakeholder below.

Stakeholder	Ecosystems protection and the maintenance of biodiversity	Agricultural biodiversity	Knowledge, learning and innovation	Social equity and infrastructure
1	2.00	4.00	3.50	4.00
2	1.00	5.00	2.00	3.00
3	1.00	4.50	1.50	4.00
4	1.50	4.00	1.00	5.00
5	1.75	4.50	2.00	4.50
6	3.00	4.50	4.00	3.00
7	4.00	5.00	3.00	4.00
8	3.00	5.00	2.00	3.50
9	2.50	4.50	3.50	5.00
10	1.00	4.00	4.00	5.00
11	4.00	4.00	3.50	4.00
12	3.00	3.00	3.50	5.00
13	1.50	3.50	3.00	3.00
14	3.00	3.50	2.00	2.00
15	2.50	5.00	2.00	3.50
16	3.00	4.00	2.00	4.00
17	2.00	3.50	4.00	3.00
18	1.50	4.00	3.00	2.00
19	2.00	5.00	1.00	5.00
20	3.00	3.00	3.00	3.00



Means for each category are automatically calculated below and converted into the Radar Diagram on the right

	Ecosystems protection	Agricultural biodiversity	Knowledge, learning and innovation	Social equity and infrastructure
Lowest third	2.16	4.56	2.38	3.88
Mean rating	2.31	4.18	2.68	3.78
Highest third	2.31	3.94	2.50	3.19
Standard dev.	0.927911492	0.654438289	0.977039028	0.966205274

XIV. ANNEX 5: INDICATORS FOR RESILIENCE IN SOCIO-ECOLOGICAL PRODUCTION LANDSCAPES AND SEASCAPES (SEPLS)

Scorecard

WHAT TO ASSESS	SCORES			AVERAGE SCORES
			TOTAL SCORE FOR SECTION	TOTAL / 4 =
ECOSYSTEMS PROTECTION AND THE MAINTENANCE OF BIODIVERSITY		Trend in the last 50 years		
1. Heterogeneity and multi-functionality of the landscapes Do land management practices maintain a heterogeneous landscape mosaic composed of different land-use types and ecosystem patches, e.g. forest, home gardens, cultivated fields and orchards?	5) Heterogeneous landscape consists of diverse land-use types and well-connected ecosystem patches. 4) Landscape mosaic consists of several land-use types and some ecosystem patches. 3) Landscape consists of several land-use types and fragmented ecosystem patches. 2) Landscape consists of two or three land-use types and few ecosystem patches. 1) No heterogeneity, i.e. one type of land-use predominates in the landscape.	↑ steep upward trend ↗ slow/some increase → No change ↘ slow/some decrease ↓ steep downward		
2. Areas protected for their ecological and cultural importance How many landscape components that maintain ecosystem functions and services are protected? Protection may be formal or informal and include traditional forms of protection such as sacred groves.	5) Protected and low-use areas cover key resources and are well connected with ecological corridors. 4) Protected and low-use areas cover key resources in the landscape. 3) Protected and low-use areas small. 2) Protected and low-use areas very small. 1) Landscape intensively used, leading to resource depletion and accelerating loss of biodiversity.	↑ steep upward trend ↗ slow/some increase → No change ↘ slow/some decrease ↓ steep downward		

<p>3. Ecological links between landscape components for sustainable production.</p> <p>Are ecological links between different landscape components maintained and harnessed for sustainable production? e.g. ecosystem patches kept for pollinators, pest control, nutrient cycling, groundwater recharge, soil erosion control, etc?</p>	<p>5) Beneficial links between different landscape components are maintained and harnessed.</p> <p>4) Some beneficial links between landscape components are maintained.</p> <p>3) Production systems partly depend on external inputs.</p> <p>2) Production systems largely depend on external inputs.</p> <p>1) Production systems heavily depend on external resources (e.g. high pesticide use).</p>	<p>↑ steep upward trend</p> <p>↗ slow/some increase</p> <p>→ No change</p> <p>↘ slow/some decrease</p> <p>↓ steep downward</p>		
<p>4. Rate of recovery from extreme environmental and climate-change related stresses and shocks</p> <p>Does the landscape have the capacity to cope with and recover from extreme environmental and climate-related stresses and shocks e.g. pests and diseases, extreme weather events, floods and droughts?</p>	<p>5) No significant damage to landscape functioning.</p> <p>4) High rate of recovery.</p> <p>3) Medium rate of recovery.</p> <p>2) Low rate of recovery.</p> <p>1) Irreversible damage to landscape functioning.</p>	<p>↑ steep upward trend</p> <p>↗ slow/some increase</p> <p>→ No change</p> <p>↘ slow/some decrease</p> <p>↓ steep downward</p>		
<p>AGRICULTURAL BIODIVERSITY</p>		<p><i>Trend in the last 50 years</i></p>	<p>TOTAL SCORE FOR SECTION</p>	<p>TOTAL / 2 =</p>
<p>5. Maintenance, documentation and conservation of agricultural biodiversity in a community</p> <p>Are local crops, varieties and animal breeds used in a community? Is agricultural biodiversity documented and conserved in community classification systems and community seed banks?</p>	<p>5) Local crops, varieties and breeds (#) widely used, documented and conserved.</p> <p>4) Local crops, varieties and breeds are used by some community members; documentation and conservation practices are weak.</p> <p>3) Local crops, varieties and breed are used by few community members; documentation and conservation practices do not exist.</p> <p>2) Local crops, varieties and breeds are rare and used only by very few community members; documentation and conservation practices do not exist.</p> <p>1) Local crops, varieties and breeds no longer found.</p>	<p>↑ steep upward trend</p> <p>↗ slow/some increase</p> <p>→ No change</p> <p>↘ slow/some decrease</p> <p>↓ steep downward</p>		

<p>6. Diversity of local food system</p> <p>Do communities use a diversity of traditional and locally-produced foods, e.g. cereals, vegetables, fruits, nuts, wild plants, mushrooms, berries, fish and animals?</p>	<p>5) Locally-sourced foods abundant and widely used.</p> <p>4) Locally-sourced foods available and used by some community members.</p> <p>3) Locally-sourced foods available and occasionally used.</p> <p>2) Variable availability and use of locally-sourced foods.</p> <p>1) Scarcity of locally sourced foods.</p>	<p>↑ steep upward trend</p> <p>↗ slow/some increase</p> <p>→ No change</p> <p>↘ slow/some decrease</p> <p>↓ steep downward</p>		
<p>KNOWLEDGE, LEARNING AND INNOVATION</p>		<p><i>Trend in the last 50 years</i></p>	<p>TOTAL SCORE FOR SECTION</p>	<p>TOTAL / 8 =</p>
<p>7. Innovation in agricultural biodiversity management for improved resilience and sustainability</p> <p>Do community members improve, develop and adopt new agricultural biodiversity management practices to adapt to changing conditions, e.g. climate change, population pressure, resource scarcity?</p> <p>Examples of innovative practices are the adoption of water conservation measures (drip irrigation), diversification of farming systems and switch to drought- or saline-tolerant crops/varieties.</p>	<p>5) Community members are receptive to change and adjust their practices through local innovation.</p> <p>4) Community members are receptive to change; local innovation takes place but can be strengthened.</p> <p>3) Community members are receptive to change but the rate of innovation is low.</p> <p>2) Community members are moderately receptive to change, no innovation.</p> <p>1) Community members are not receptive to change, no innovation.</p>	<p>↑ steep upward trend</p> <p>↗ slow/some increase</p> <p>→ No change</p> <p>↘ slow/some decrease</p> <p>↓ steep downward</p>		
<p>8. Access and exchange of agricultural biodiversity</p> <p>Are individuals within and between communities connected through institutions and networks for the exchange of agricultural biodiversity, e.g. seed exchange networks, local markets and animal and seed fairs?</p>	<p>5) Multiple systems of exchange regularly operating within and between communities across different cultures and landscapes.</p> <p>4) Exchange within and across communities takes place but can be strengthened.</p> <p>3) Exchange takes place occasionally.</p> <p>2) Exchange takes place rarely.</p> <p>1) Systems of exchange do not exist.</p>	<p>↑ steep upward trend</p> <p>↗ slow/some increase</p> <p>→ No change</p> <p>↘ slow/some decrease</p> <p>↓ steep downward</p>		

<p>9. Transmission of traditional knowledge from elders, parents and peers to the young people in a community</p> <p>Is the knowledge of key concepts and practices about land, water, biological resources and cosmology transmitted between different age groups?</p>	<p>5) Key concepts and practices known to all community members, including youth.</p> <p>4) Key concepts and practices known to community members, but not to those considered youth.</p> <p>3) Key concepts and practices known only to adults and elders.</p> <p>2) Key concepts and practices known only to elders.</p> <p>1) Traditional knowledge lost.</p>	<p>↑ steep upward trend</p> <p>↗ slow/some increase</p> <p>→ No change</p> <p>↘ slow/some decrease</p> <p>↓ steep downward</p>		
<p>10. Cultural traditions related to biodiversity</p> <p>Are cultural traditions related to biodiversity maintenance and use continued by young people, e.g. festivals, rituals, songs, etc.?</p>	<p>5) Cultural traditions practiced by all community members including youth.</p> <p>4) Cultural traditions practiced by community members, but not by those considered youth.</p> <p>3) Cultural traditions practiced only by adults and elders.</p> <p>2) Cultural traditions practiced only by elders.</p> <p>1) Not practiced.</p>	<p>↑ steep upward trend</p> <p>↗ slow/some increase</p> <p>→ No change</p> <p>↘ slow/some decrease</p> <p>↓ steep downward</p>		
<p>11. Number of generations interacting with the landscape</p> <p>How many generations interact with the landscape for subsistence and income?</p>	<p>5) Three or more generations interact with the landscape.</p> <p>4) Two or three generations interact with the landscape.</p> <p>3) Two generations interact with the landscape.</p> <p>2) One or two generations interact with the landscape.</p> <p>1) One generation interacts with the landscape.</p>	<p>↑ steep upward trend</p> <p>↗ slow/some increase</p> <p>→ No change</p> <p>↘ slow/some decrease</p> <p>↓ steep downward</p>		
<p>12. Practices of documentation and exchange of local knowledge</p> <p>Are community-based institutions and systems for documentation, exchange and acquisition of externally-sourced knowledge in place? E.g. existence of traditional knowledge registers, resource classification systems, and community biodiversity registers,</p>	<p>5) Institutions and systems for knowledge documentation and exchange are present and well-functioning.</p> <p>4) Institutions and systems for knowledge documentation and exchange present but can be strengthened.</p> <p>3) Some knowledge documentation and exchange taking place but need to be strengthened.</p> <p>2) Only a small fraction of knowledge documented.</p> <p>1) Documentation of knowledge does not</p>	<p>↑ steep upward trend</p> <p>↗ slow/some increase</p> <p>→ No change</p> <p>↘ slow/some decrease</p> <p>↓ steep downward</p>		

farmer field schools.	take place.			
<p>13. Use of local terminology or indigenous languages</p> <p>Do community members use local terminology related to land and (the use of) biodiversity, and, if applicable, do they speak the local dialect or language?</p>	<p>5) Local terminology (and local dialect or language) widely used in the community.</p> <p>4) Local terminology used by the majority of community members.</p> <p>3) Local terminology used by a part of the community.</p> <p>2) Local terminology used by a small part of the community.</p> <p>1) Local terminology not used.</p>	<p>↑ steep upward trend</p> <p>↗ slow/some increase</p> <p>→ No change</p> <p>↘ slow/some decrease</p> <p>↓ steep downward</p>		
<p>14. Women's knowledge about biodiversity and its use</p> <p>Are women's knowledge, experiences and skills recognized as central to practices that strengthen resilience?</p>	<p>5) Women's knowledge, experiences and skills recognized, respected and used.</p> <p>4) Women's knowledge, experiences and skills mostly recognized and respected and used.</p> <p>3) Women's knowledge, experiences and skills partially recognized, respected and used.</p> <p>2) Women's knowledge, experiences and skills receive little recognition.</p> <p>1) Women's knowledge, experiences and skills not recognized.</p>	<p>↑ steep upward trend</p> <p>↗ slow/some increase</p> <p>→ No change</p> <p>↘ slow/some decrease</p> <p>↓ steep downward</p>		
SOCIAL EQUITY AND INFRASTRUCTURE			TOTAL SCORE FOR SECTION	TOTAL / 6 =
		<i>Trend in the last 50 years</i>		

<p>15. Local resource governance</p> <p>Are land, water and other resources effectively managed by community-based institutions? I.e. existence of traditional institutions (customary laws) and non-traditional local initiatives (governmental and non-governmental) for the sustainable use of resources.</p>	<p>5) Institutions in place and resources effectively managed.</p> <p>4) Institutions in place and some resources effectively managed.</p> <p>3) Institutions in place but need to be strengthened.</p> <p>2) Institutions not effective.</p> <p>1) Institutions not present.</p>	<p>↑ steep upward trend</p> <p>↗ slow/some increase</p> <p>→ No change</p> <p>↘ slow/some decrease</p> <p>↓ steep downward</p>		
<p>16. Autonomy in relation to land and resource management</p> <p>Does the community have autonomous access to indigenous lands, territories, natural resources, and sacred and ceremonial sites (clarity of tenure rights)? Is that autonomy recognized by outside groups and institutions, e.g. governments and development agencies?</p>	<p>5) Community has access to its traditional lands and resources and autonomy in their management.</p> <p>4) Community has access to its traditional lands and resources and partial autonomy in their management, but its autonomy needs to be strengthened and recognized by outside groups.</p> <p>3) Community has limited access to its traditional lands and resources and limited decision power over their management.</p> <p>2) Community has limited access to its traditional lands and resources and no decision power over their management.</p> <p>1) Community has neither access to nor decision power over traditional lands and resources.</p>	<p>↑ steep upward trend</p> <p>↗ slow/some increase</p> <p>→ No change</p> <p>↘ slow/some decrease</p> <p>↓ steep downward</p>		
<p>17. Gender</p> <p>Are women involved in decision-making and communication with outsiders? Do women have access to resources, education, information and opportunities for innovation?</p>	<p>5) Women are involved in decision-making and communication with outsiders, and have the same access to resources and opportunities as men.</p> <p>4) Women are involved in decision-making and communication with outsiders, and have access to resources and opportunities, but less so than men.</p> <p>3) Women are partially or occasionally involved in decision-making and have limited access to resources and opportunities.</p> <p>2) Women are rarely involved in decision-making and have limited access to resources and opportunities.</p> <p>1) Women are not involved in decision-making and have no access to resources and opportunities.</p>	<p>↑ steep upward trend</p> <p>↗ slow/some increase</p> <p>→ No change</p> <p>↘ slow/some decrease</p> <p>↓ steep downward</p>		

<p>18. Social infrastructure</p> <p>Is social infrastructure including roads, schools, telecommunications, energy, and electricity in place?</p>	<p>5) Social infrastructure exists and meets all community needs.</p> <p>4) Basic social infrastructure exists.</p> <p>3) Not all necessary infrastructure exists or functions satisfactory.</p> <p>2) Some major social infrastructure is missing and opportunities for its improvement are limited.</p> <p>1) No infrastructure in place.</p>	<p>↑ steep upward trend</p> <p>↗ slow/some increase</p> <p>→ No change</p> <p>↘ slow/some decrease</p> <p>↓ steep downward</p>		
<p>19. Health care</p> <p>Do community members have access to health care?</p> <p>Are traditional healing methods and modern medicine present?</p>	<p>5) Health care accessible for all community members and functions to the satisfaction of the community.</p> <p>4) Basic health care accessible.</p> <p>3) Health care facilities exist but do not function satisfactorily or are not easily accessible.</p> <p>2) Health care facilities not satisfactory and not easily accessible.</p> <p>1) Health care not accessible.</p>	<p>↑ steep upward trend</p> <p>↗ slow/some increase</p> <p>→ No change</p> <p>↘ slow/some decrease</p> <p>↓ steep downward</p>		
<p>20. Health risk</p> <p>Is there a health risk from epidemics, water contamination, air pollution or other threats, e.g. malnutrition?</p>	<p>5) Low risk.</p> <p>4) Average risk.</p> <p>3) Moderate risk.</p> <p>2) High risk.</p> <p>1) Very high risk.</p>	<p>↑ steep upward trend</p> <p>↗ slow/some increase</p> <p>→ No change</p> <p>↘ slow/some decrease</p> <p>↓ steep downward</p>		

XV. ANNEX 6: TERMS OF REFERENCE PROJECT COORDINATOR - COMDEKS

Background

The Ministry of the Environment of Japan (MOEJ), the Secretariat of the Convention on Biological Diversity (SCBD), the United Nations University (UNU), and the United Nations Development Programme (UNDP) have agreed to support a project titled COMMUNITY DEVELOPMENT AND KNOWLEDGE MANAGEMENT FOR THE SATOYAMA INITIATIVE (COMDEKS) as the flagship of the International Partnership for the *Satoyama* Initiative (IPSI). The *Satoyama* Initiative is a global initiative to promote sustainable use and management of natural resources in socio-ecological production landscapes with the aim of maintaining, rebuilding and revitalizing them. The project will provide small-scale project financing to local community organizations in selected developing countries through UNDP's small grants delivery mechanisms, including the GEF Small Grants Programme (SGP) and other alternative schemes, and will be executed by UNOPS. The project will also review, analyze, and codify results arising from implementation of the community projects supported to distill and disseminate lessons which can be communicated to policy makers for coherent policy development and replication in other parts of the world.

As such the COMDEKS project will consist of two main components:

- **Community Development through Small Grant-Making by using the existing Small Grants Programme delivery mechanism**

COMDEKS will leverage existing experiences, resources, and networks to support sustainable landscape level management approaches by using UNDP small grants delivery mechanisms, including the SGP, to provide financing and technical assistance to community organizations. COMDEKS will support identification and replication of practices to support sustainable socio-ecological production activities across the existing mosaic of land uses within selected production landscapes in participating countries. COMDEKS will work to enhance traditional knowledge and governance systems, and their integration with modern science in community projects aimed at achieving resilient socio-ecological production landscapes.

COMDEKS will also assist local communities to develop enterprises and access new forms of innovative financing such as payment for ecosystem services (PES). It is imperative that economic incentives are created locally for communities to conserve biodiversity, minimize land degradation and develop resilient landscapes and sustainable livelihoods.

- **Knowledge Management for capacity building, replication, and up-scaling**

Successful practices, methods and systems of landscape management will be identified by COMDEKS for the purpose of replication, up-scaling and mainstreaming. Collecting, analyzing and managing information collected from the implementation of community projects, as well as from other sources, is essential to identify best practices and lessons for dissemination to other communities, other programmes and other organizations and

institutions. COMDEKS will produce a variety of knowledge products as well as feed the lessons and best practices it has identified to its partners, United Nations University-IAS, CBD Secretariat, and the Government of Japan.

Knowledge products from COMDEKS will also feed into and assist the project of Knowledge Facilitation for the *Satoyama* Initiative - knowledge facilitation activities implemented by SCBD and UNU - in capacity building, replication and up-scaling through the regional workshops organized by the SCBD. The outputs are also expected to be shared through peer-to-peer active learning, training courses, horizontal and vertical exchange seminars between practitioners and policy makers from a variety of sectors, which are organized by the *Satoyama* Initiative Partners. This exchange of information and knowledge will be an invaluable input towards policy formulation and processes at the national and sub-national levels.

The Project Coordinator is responsible for the overall management and implementation of the “Community Development and Knowledge Management for the *Satoyama* Initiative” (COMDEKS) project.

The COMDEKS Project Coordinator will work under the overall supervision of the UNDP/GEF Senior Technical Advisor for Community Resilience and Sustainability, for programme oversight and technical and substantive guidance. All communications with National Coordinators will be closely coordinated with the SGP Central Programme Management Team (CPMT) for the global GEF-SGP Country Programmes, and with the UNDP/GEF Community Resilience and Sustainability Regional Technical Advisor (RTA) for all upgraded SGP Country Programme full size projects.

Duties and Responsibilities

Summary of key functions:

- Project Coordination;
- Development and initiation of the COMDEKS Results Based Management (RBM) system for efficient delivery;
- Knowledge management, including development and distribution of project case studies, comparative studies and other knowledge products and management of digital media and outreach sites.

Project Coordination (30% of total time):

- Prepare the COMDEKS project’s annual budget and work plan under the overall supervision of the Communities STA;
- Monitor implementation of the annual project work plan, budget, time table and risks, ensuring that efficient and effective proper financial management of the project is achieved, in close coordination with SGP CPMT and Country Programmes, and UNOPS as a Responsible Party for the project;
- Work collaboratively with SGP Country Programmes to monitor projects to ensure activities comply with donor agreements;
- Prepare project appraisal and draft annual reports and other documents for reporting by UNDP/GEF to donor;
- Keep UNDP-GEF abreast of all critical management issues for review and guidance;

- Manage the COMDEKS blog, keeping it populated and up-to-date as an intra-project and inter-country project communications, information and training site;
- Compile information and materials required by UNDP-GEF for participation in IPSI and its Steering Committee and for other donor relations activities in securing partnerships;
- Advise the Communities Senior Technical Advisor on potential future project development and resource mobilization potential based on the COMDEKS pilot experience;
- Coordinate closely with CPMT as well as other units in UNDP to maximize synergy and collaboration, such as Equator Initiative, UNDP-GEF focal area teams and EEG's Local Pillar;
- Organize and support project management meetings and prepare documentation, as required;
- Assist the Communities STA to organize mid-term and final evaluations;
- Undertake all project closure activities at the global level;
- Other activities as required.

Development and initiation of the COMDEKS Results Based Management (RBM) system for efficient delivery (35% of total time):

- Work closely with SGP Country Programmes to provide adequate background and technical information and other resources on the *Satoyama* Initiative, landscape management, and other issues relevant to the goals, objectives, outcomes and implementation of the COMDEKS project;
- Design and initiate the project's overall RBM system, including its strategic framework with goals, outcomes, outputs and indicators, targets and means of verification;
- Design an overall project M&E plan, integrating COMDEKS information management with UNDP/GEF, as well as SGP systems in close cooperation with CPMT;
- Support SGP National Coordinators and alternative mechanisms, assisting them in producing COMDEKS relevant Country Programme Strategies identifying objectives and results, M&E, knowledge management, and resource mobilization;
- Under the guidance of the Communities Senior Technical Advisor, identify and develop a result-based management strategy for the COMDEKS initiative in relation to developing impact-based knowledge products, including desired goals, objectives, and outcomes; and lead implementation of the strategy;
- Organize, contribute to or lead on-line seminars, workshops or other events to build the capacities of Country Programmes and other national and local stakeholders.

Knowledge management, development and distribution of project case studies, comparative studies and other knowledge products and management of digital media and outreach sites (35% of total time):

- Provide advice and guidance to each Country Programme in order to identify and develop a knowledge management strategy for his/her individual COMDEKS component including desired goals, objectives, and outcomes and support him/her in the design and production of case studies and other knowledge products;
- Lead case study and comparative study development with inputs from Country Programmes; guide Country Programmes in identifying and collecting necessary information for case study development;
- Oversee production and quality assurance of knowledge products, including UNDP web pages, videos, publications;
- Create a webpage specific to COMDEKS to communicate project progress and results and maintain it

populated and up-to-date;

- Produce a yearly knowledge report on the results and experience of the COMDEKS project and its individual country programmes that distills lessons learned and makes recommendations for improved implementation and upscaling;
- Coordinate with SGP on the management of data related to COMDEKS in the SGP database;
- Ensure widespread targeted distribution of knowledge products, based on the Knowledge Management strategy.

Competencies

Corporate Competencies:

- Demonstrates integrity by modeling the UN's values and ethical standards;
- Promotes the vision, mission, and strategic goals of UNDP;
- Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability;
- Treats all people fairly without favoritism.

Technical Competencies:

- Expertise and knowledge of results based management, knowledge management and project and programme analysis, formulation and implementation;
- Excellent conceptual, writing, and presentation skills for diverse audiences;
- Strong analytical, organizational, reporting and writing abilities.

Functional Competencies:

Results orientation

- Uses initiative to achieve planned results within time and budget targets;
- Applies sound judgment in solving problems and negotiation process;
- Communicates convincingly UNDP's position with sensitivity.

Efficiency orientation

- Capacity to plan, prioritize and deliver tasks on time;
- Employs best practices and is innovative in the design of systems that support programme delivery;
- Demonstrates commitment to cost effectiveness and simplification;
- Ability to work under pressure;
- A strong client orientation attitude to both local and international partners.

Team Work and communication skills

- Ability to work in and manage teams;
- Excellent time management, monitoring and evaluation skills;

- Openness to change and ability to receive/integrate feedback;
- Excellent interpersonal and communication skills.

Required Skills and Experience

Education:

- Master's degree in development, social and/or environmental sciences, or other closely related field.

Experience:

- A minimum of 5 years of experience in the broad areas of results based management, monitoring and evaluation, and/or project and programme analysis and management;
- A good understanding of climate change, land degradation, and biodiversity loss as well as rural landscape and smallholding management for resiliency, food security and economic production;
- Familiarity with the GEF and other Small Grants Programmes desirable.

Language Requirements:

- Fluency in oral and written English required;
- Knowledge of another official UN language is desirable;
- Fluency in another UN language is an asset.

XVI. ANNEX 7: AMENDMENT TO THE COST SHARING AGREEMENT

See separate document in pdf.

XVII. ANNEX 8: ENVIRONMENTAL AND SOCIAL SCREENING CHECKLIST

QUESTION 1:

Has a combined environmental and social assessment/review that covers the proposed project already been completed by implementing partners or donor(s)?

Select answer below and follow instructions:

NO → Continue to Question 2 (do not fill out Table 1.1)

YES → No further environmental and social review is required if the existing documentation meets UNDP’s quality assurance standards, and environmental and social management recommendations are integrated into the project. Therefore, you should undertake the following steps to complete the screening process:

1. Use Table 1.1 below to assess existing documentation. (It is recommended that this assessment be undertaken jointly by the Project Developer and other relevant Focal Points in the office or Bureau).
2. Ensure that the Project Document incorporates the recommendations made in the implementing partner’s environmental and social review.
3. Summarize the relevant information contained in the implementing partner’s environmental and social review in Annex A.2 of this Screening Template, selecting Category 1.
4. Submit Annex A to the PAC, along with other relevant documentation.

Note: Further guidance on the use of national systems for environmental and social assessment can be found in Annex B.

TABLE 1.1: CHECKLIST FOR APPRAISING QUALITY ASSURANCE OF EXISTING ENVIRONMENTAL AND SOCIAL ASSESSMENT	Yes/No
1. Does the assessment/review meet its terms of reference, both procedurally and substantively?	
2. Does the assessment/review provide a satisfactory assessment of the proposed project?	
3. Does the assessment/review contain the information required for decision-making?	
4. Does the assessment/review describe specific environmental and social management measures (e.g. mitigation, monitoring, advocacy, and capacity development measures)?	
5. Does the assessment/review identify capacity needs of the institutions responsible for implementing environmental and social management issues?	
6. Was the assessment/review developed through a consultative process with strong stakeholder engagement, including the view of men and women?	
7. Does the assessment/review assess the adequacy of the cost of and financing arrangements for environmental and social management issues?	

Table 1.1 (continued) For any “no” answers, describe below how the issue has been or will be resolved (e.g. amendments made or supplemental review conducted).

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QUESTION 2:

Do all outputs and activities described in the Project Document fall within the following categories?

- Procurement (in which case UNDP’s [Procurement Ethics](#) and [Environmental Procurement Guide](#) need to be complied with)
- Report preparation
- Training
- Event/workshop/meeting/conference (refer to [Green Meeting Guide](#))
- Communication and dissemination of results

Select answer below and follow instructions:

- NO** → Continue to Question 3
- YES** → No further environmental and social review required. Complete Annex A.2, selecting Category 1, and submit the completed template (Annex A) to the PAC.

QUESTION 3:

Does the proposed project include activities and outputs that support *upstream* planning processes that potentially pose environmental and social impacts or are vulnerable to environmental and social change (refer to Table 3.1 for examples)? (Note that *upstream* planning processes can occur at global, regional, national, local and sectoral levels)

Select the appropriate answer and follow instructions:

- NO** → Continue to Question 4.
- YES** → Conduct the following steps to complete the screening process:
 1. Adjust the project design as needed to incorporate UNDP support to the country(ies), to ensure that

environmental and social issues are appropriately considered during the upstream planning process. Refer to Section 7 of this Guidance for elaboration of environmental and social mainstreaming services, tools, guidance and approaches that may be used.

2. Summarize environmental and social mainstreaming support in Annex A.2, Section C of the Screening Template and select "Category 2".
3. If the proposed project ONLY includes upstream planning processes then screening is complete, and you should submit the completed Environmental and Social Screening Template (Annex A) to the PAC. If downstream implementation activities are also included in the project then continue to Question 4.

TABLE 3.1 EXAMPLES OF UPSTREAM PLANNING PROCESSES WITH POTENTIAL DOWNSTREAM ENVIRONMENTAL AND SOCIAL IMPACTS	Check appropriate box(es) below
<p>1. Support for the elaboration or revision of global-level strategies, policies, plans, and programmes.</p> <p><i>For example, capacity development and support related to international negotiations and agreements. Other examples might include a global water governance project or a global MDG project.</i></p>	
<p>2. Support for the elaboration or revision of regional-level strategies, policies and plans, and programmes.</p> <p><i>For example, capacity development and support related to transboundary programmes and planning (river basin management, migration, international waters, energy development and access, climate change adaptation etc.).</i></p>	
<p>3. Support for the elaboration or revision of national-level strategies, policies, plans and programmes.</p> <p><i>For example, capacity development and support related to national development policies, plans, strategies and budgets, MDG-based plans and strategies (e.g. PRS/PRSPs, NAMAs), sector plans.</i></p>	
<p>4. Support for the elaboration or revision of sub-national/local-level strategies, policies, plans and programmes.</p> <p><i>For example, capacity development and support for district and local level development plans and regulatory frameworks, urban plans, land use development plans, sector plans, provincial development plans, provision of services, investment funds, technical guidelines and methods, stakeholder engagement.</i></p>	X

QUESTION 4:

Does the proposed project include the implementation of *downstream* activities that potentially pose environmental and social impacts or are vulnerable to environmental and social change?

To answer this question, you should first complete Table 4.1 by selecting appropriate answers. If you answer “No” or “Not Applicable” to all questions in Table 4.1 then the answer to Question 4 is “NO.” If you answer “Yes” to any questions in Table 4.1 (even one “Yes” can indicate a significant issue that needs to be addressed through further review and management) then the answer to Question 4 is “YES”:

NO → No further environmental and social review and management required for downstream activities. Complete Annex A.2 by selecting “Category 1”, and submit the Environmental and Social Screening Template to the PAC.

YES → Conduct the following steps to complete the screening process:

1. Consult Section 8 of this Guidance, to determine the extent of further environmental and social review and management that might be required for the project.
2. Revise the Project Document to incorporate environmental and social management measures. Where further environmental and social review and management activity cannot be undertaken prior to the PAC, a plan for undertaking such review and management activity within an acceptable period of time, post-PAC approval (e.g. as the first phase of the project) should be outlined in Annex A.2.
3. Select “Category 3” in Annex A.2, and submit the completed Environmental and Social Screening Template (Annex A) and relevant documentation to the PAC.

TABLE 4.1: ADDITIONAL SCREENING QUESTIONS TO DETERMINE THE NEED AND POSSIBLE EXTENT OF FURTHER ENVIRONMENTAL AND SOCIAL REVIEW AND MANAGEMENT

1. Biodiversity and Natural Resources	Answer (Yes/No/ Not Applicable)
1.1 Would the proposed project result in the conversion or degradation of modified habitat , natural habitat or critical habitat ?	No
1.2 Are any development activities proposed within a legally protected area (e.g. natural reserve, national park) for the protection or conservation of biodiversity?	No
1.3 Would the proposed project pose a risk of introducing invasive alien species?	No
1.4 Does the project involve natural forest harvesting or plantation development without an independent forest certification system for sustainable forest management (e.g. <i>PEFC</i> , the <i>Forest Stewardship Council</i> certification systems, or processes established or accepted by the relevant National Environmental Authority)?	No

TABLE 4.1: ADDITIONAL SCREENING QUESTIONS TO DETERMINE THE NEED AND POSSIBLE EXTENT OF FURTHER ENVIRONMENTAL AND SOCIAL REVIEW AND MANAGEMENT	
1.5 Does the project involve the production and harvesting of fish populations or other aquatic species without an accepted system of independent certification to ensure sustainability (<i>e.g. the Marine Stewardship Council certification system, or certifications, standards, or processes established or accepted by the relevant National Environmental Authority</i>)?	No
1.6 Does the project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction.</i>	No
1.7 Does the project pose a risk of degrading soils?	No
2. Pollution	Answer (Yes/No/ Not Applicable)
2.1 Would the proposed project result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and transboundary impacts?	No
2.2 Would the proposed project result in the generation of waste that cannot be recovered, reused, or disposed of in an environmentally and socially sound manner?	No
2.3 Will the proposed project involve the manufacture, trade, release, and/or use of chemicals and hazardous materials subject to international action bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Convention on Persistent Organic Pollutants, or the Montreal Protocol.</i>	No
2.4 Is there a potential for the release, in the environment, of hazardous materials resulting from their production, transportation, handling, storage and use for project activities?	No
2.5 Will the proposed project involve the application of pesticides that have a known negative effect on the environment or human health?	No
3. Climate Change	
3.1 Will the proposed project result in significant ⁹ greenhouse gas emissions? <i>Annex E provides additional guidance for answering this question.</i>	No
3.2 Is the proposed project likely to directly or indirectly increase environmental and social vulnerability to climate change now or in the	No

⁹ Significant corresponds to CO₂ emissions greater than 100,000 tons per year (from both direct and indirect sources). Annex E provides additional guidance on calculating potential amounts of CO₂ emissions.

TABLE 4.1: ADDITIONAL SCREENING QUESTIONS TO DETERMINE THE NEED AND POSSIBLE EXTENT OF FURTHER ENVIRONMENTAL AND SOCIAL REVIEW AND MANAGEMENT	
<p>future (also known as maladaptive practices)? You can refer to the additional guidance in Annex C to help you answer this question.</p> <p><i>For example, a project that would involve indirectly removing mangroves from coastal zones or encouraging land use plans that would suggest building houses on floodplains could increase the surrounding population's vulnerability to climate change, specifically flooding.</i></p>	
4. Social Equity and Equality	Answer (Yes/No/ Not Applicable)
4.1 Would the proposed project have environmental and social impacts that could affect indigenous people or other vulnerable groups?	No
4.2 Is the project likely to significantly impact gender equality and women's empowerment ¹⁰ ?	No
4.3 Is the proposed project likely to directly or indirectly increase social inequalities now or in the future?	No
4.4 Will the proposed project have variable impacts on women and men, different ethnic groups, social classes?	No
4.5 Have there been challenges in engaging women and other certain key groups of stakeholders in the project design process?	No
4.6 Will the project have specific human rights implications for vulnerable groups?	No
5. Demographics	
5.1 Is the project likely to result in a substantial influx of people into the affected community(ies)?	No
5.2 Would the proposed project result in substantial voluntary or involuntary resettlement of populations? <i>For example, projects with environmental and social benefits (e.g. protected areas, climate change adaptation) that impact human settlements, and certain disadvantaged groups within these settlements in particular.</i>	No
5.3 Would the proposed project lead to significant population density increase which could affect the environmental and social sustainability of the project? <i>For example, a project aiming at financing tourism infrastructure in a specific area (e.g. coastal zone, mountain) could lead to significant population density increase which could have serious environmental and</i>	No

¹⁰ Women are often more vulnerable than men to environmental degradation and resource scarcity. They typically have weaker and insecure rights to the resources they manage (especially land), and spend longer hours on collection of water, firewood, etc. (OECD, 2006). Women are also more often excluded from other social, economic, and political development processes.

TABLE 4.1: ADDITIONAL SCREENING QUESTIONS TO DETERMINE THE NEED AND POSSIBLE EXTENT OF FURTHER ENVIRONMENTAL AND SOCIAL REVIEW AND MANAGEMENT	
<i>social impacts (e.g. destruction of the area’s ecology, noise pollution, waste management problems, greater work burden on women).</i>	
6. Culture	
6.1 Is the project likely to significantly affect the cultural traditions of affected communities, including gender-based roles?	No
6.2 Will the proposed project result in physical interventions (during construction or implementation) that would affect areas that have known physical or cultural significance to indigenous groups and other communities with settled recognized cultural claims?	No
6.3 Would the proposed project produce a physical “splintering” of a community? <i>For example, through the construction of a road, powerline, or dam that divides a community.</i>	No
7. Health and Safety	
7.1 Would the proposed project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions? <i>For example, development projects located within a floodplain or landslide prone area.</i>	No
7.2 Will the project result in increased health risks as a result of a change in living and working conditions? In particular, will it have the potential to lead to an increase in HIV/AIDS infection?	No
7.3 Will the proposed project require additional health services including testing?	No
8. Socio-Economics	
8.1 Is the proposed project likely to have impacts that could affect women’s and men’s ability to use, develop and protect natural resources and other natural capital assets? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their development, livelihoods, and well-being?</i>	No
8.2 Is the proposed project likely to significantly affect land tenure arrangements and/or traditional cultural ownership patterns?	No
8.3 Is the proposed project likely to negatively affect the income levels or employment opportunities of vulnerable groups?	No
9. Cumulative and/or Secondary Impacts	Answer (Yes/No/ Not Applicable)

TABLE 4.1: ADDITIONAL SCREENING QUESTIONS TO DETERMINE THE NEED AND POSSIBLE EXTENT OF FURTHER ENVIRONMENTAL AND SOCIAL REVIEW AND MANAGEMENT

<p>9.1 Is the proposed project location subject to currently approved land use plans (e.g. roads, settlements) which could affect the environmental and social sustainability of the project? <i>For example, future plans for urban growth, industrial development, transportation infrastructure, etc.</i></p>	<p>No</p>
<p>9.2 Would the proposed project result in secondary or consequential development which could lead to environmental and social effects, or would it have potential to generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested land will generate direct environmental and social impacts through the cutting of forest and earthworks associated with construction and potential relocation of inhabitants. These are direct impacts. In addition, however, the new road would likely also bring new commercial and domestic development (houses, shops, businesses). In turn, these will generate indirect impacts. (Sometimes these are termed “secondary” or “consequential” impacts). Or if there are similar developments planned in the same forested area then cumulative impacts need to be considered.</i></p>	<p>No</p>

Name of Proposed Project:

A. Environmental and Social Screening Outcome

Select from the following:

Category 1. No further action is needed

Category 2. Further review and management is needed. There are possible environmental and social benefits, impacts, and/or risks associated with the project (or specific project component), but these are predominantly indirect or very long-term and so extremely difficult or impossible to directly identify and assess.

Category 3. Further review and management is needed, and it is possible to identify these with a reasonable degree of certainty. If Category 3, select one or more of the following sub-categories:

Category 3a: Impacts and risks are limited in scale and can be identified with a reasonable degree of certainty and can often be handled through application of standard best practice, but require some minimal or targeted further review and assessment to identify and evaluate whether there is a need for a full environmental and social assessment (in which case the project would move to Category 3b).

Category 3b: Impacts and risks may well be significant, and so full environmental and social assessment is required. In these cases, a scoping exercise will need to be conducted to identify the level and approach of assessment that is most appropriate.

B. Environmental and Social Issues (for projects requiring further environmental and social review and management)

In this section, you should list the key potential environmental and social issues raised by this project. This might include both environmental and social opportunities that could be seized on to strengthen the project, as well as risks that need to be managed. You should use the answers you provided in Table 4.1 as the basis for this summary, as well as any further review and management that is conducted.

C. Next Steps (for projects requiring further environmental and social review and management):

In this section, you should summarize actions that will be taken to deal with the above-listed issues. If your project has Category 2 or 3 components, then appropriate next steps will likely involve further environmental and social review and management, and the outcomes of this work should also be summarized here. Relevant guidance should be obtained from Section 7 for Category 2, and Section 8 for Category 3.

- The COMDEKS Project will support upstream planning processes through the development of participatory country programme landscape strategies at the community level. The development of participatory long term strategies will enhance the capacity of local communities to mainstream environmental and social issues in development processes with the overall long-term objective to enhance socio-ecological production landscape and seascape resilience. COMDEKS landscape strategies will reflect local priorities for the target landscape, and will outline the landscape profile, expected goals and outcomes, and key measures and strategies for community-based actions. UNDP’s guidance documents identified in section 7 of the UNDP ESSP guidance (UNDP’s key gender resources, mainstreaming poverty-environmental linkages into development planning etc.) have been taken into account while developing this project document, and will be continuously consulted during project implementation.

D. Sign Off

Project Manager

Date

PAC

Date

Programme Manager

Date