



# SMALL GRANTS PROGRAMME MONITORING AND EVALUATION STRATEGY

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## I. EXECUTIVE SUMMARY

With the objective to serve as a corporate level document, GEF Small Grants Programme (SGP) M&E strategy is an effort to develop a common understanding of the Programme's results and its pathways. It defines cardinal principles, measurements, and taxonomies to guide results management across the three levels of performance- project, country and global. SGP shares it with a spirit of transparency, and with an intent to provide deeper insights into the Programme's approaches and practices that lead to environmental and socio- economic gains.

Foremost, the strategy builds a model of change for SGP results that facilitates an understanding of *how* the programme creates change. The results model is comprised of two parts-drivers of change and results. Drivers of change are a mix of SGP grantee activities and outputs and are either processes and actions taken by SGP grantees, or direct and early results of their activities. Results, on the other hand, is the change due to SGP action. While the 22,000 projects completed since inception are micro, varied and operate with multiple objectives, it can be deduced that principally they have worked on a permutation and combination on a suite of three key community-based offerings to affect developmental change. These offerings are SGP's drivers of change for triggering higher level results, and can be broadly classified as follows:

- (i.) Development and implementation of local environmental solutions (products and services)
- (ii.) Community behavioral change (shifts in knowledge, attitudes, practices)
- (iii.) Building and harnessing community-group action

Most SGP projects also have integrated components of capacity development and innovation, which serve as both 'drivers of change' and 'results' in themselves- as by using an approach consistently over a period of time, the approach has become a result in itself. It has been SGP's experience that delivering this suite of offerings with direct involvement of communities also enables longer term *sustainability* of environmental results. While several drivers of change can be viewed as results in themselves, they are classified as drivers to provide an expansive strategic overview of SGP's model of change. Results of the Programme include: (i.) global environmental benefits; (ii.) socio- economic benefits; (iii.) innovation incubation; (iv.) capacity development; and (v.) broader adoption of SGP (scaling up, replication, mainstreaming and policy influence). Often a combination of offerings and a few types of results can be associated with a single project.

Another way to understand the SGP results model is that drivers of change are a combination of '*what is being done*' and '*how it is being done*' to deliver the resulting change that is both attributable and contributable to SGP action. In terms of what is being done, SGP projects are implementing a suite of three community-based offerings (in some combination), with often two integrated components of innovation and capacity development. In terms of how SGP model is being executed, it ensures both high coverage and high equity. On coverage of beneficiaries, the execution model is high touch, i.e. it involves direct contact with primary beneficiaries with deep levels of engagement. On equity, it utilizes a socially

inclusive approach, with a conscious focus on involvement of those on the social fringes, including women and girls, indigenous people, youth and persons with disabilities.

Defining drivers of change, the first offering of development and implementation of local environmental solutions are products or services, involving either a community innovation, or adaptation and adoption of a tested solution, for environmental gains. SGP often uses the entry point of improving community livelihoods and wellbeing to achieve environmental gains. [Sixth Comprehensive Evaluation of the GEF \(OPS6\)](#) recognizes that SGP delivers grants that links communities to long-term environmental management through income-generating activities. The offering on development and implementation of local environmental solutions often has an embedded dimension of socio-economic activities, such as sustainable livelihood creation/ enhancements and market mechanisms. The second offering of behavior change includes shifts in knowledge, attitudes, practices, social and cultural norms of a community- and for SGP, these may collectively be called as social and behavior change interventions working at individual, organizational and community levels. The third offering anchors itself on a unique Programme characteristic- building and harnessing local community-*group action* to catalyze broader and sustainable change. It is synonymous with a transformative grassroots level drive. SGP projects focus on the inherent power of a motivated group to exponentially propel momentum and serve as an agent of transformative change. Such community-group action is usually an informal '*coming together*' between a plurality of individual(s) and/ or organizations in the community based on a shared collective conviction and position. With a top priority '*to create action*', such informal community groups are characterized by self-organization, self-regulation and self-reflection. In principle, the trajectory of community- group action generally follows these steps: (i.) community mobilization around a shared idea; (ii.) visionary or core group influencing and supporting organizing of other members; (iii.) pooling of common community resources (including skills and experiences) and (iv.) asserting influence with a collective voice and action. This engine of group action is the foundation of most SGP interventions.

Two integrated components buttress most SGP projects- innovation and capacity development. Elucidating innovation at SGP to support development of a standardized innovation measure for a project involves construction of a clear multi-dimensional criteria. Describing innovation as (i.) distinct way to discern the problem (i.e. new way of thinking); (ii.) reorganized and often better use of available resources (i.e. new form of organizing resources); (iii.) unique ways to connect (i.e. new ways to connect- intra and inter community); (iv.) incremental revolutionary conception (i.e. novel improvements of existing product/ service/ delivery process); (v.) original creation (i.e. original product/service/ model of delivery); (vi.) powering local innovators (i.e. fueling local innovative vision, agency and action). Capacity development is pervasively deployed across the project portfolio with broadly four core issues being addressed- knowledge and learning; accountability; community leadership; and organizational arrangements and partnerships. The aim of this component is to support broader adoption of SGP, improve project performance, and most critically support sustainability of impact of SGP intervention even after its completion.

SGP benefits are multifaceted. Most prominently, projects are designed to produce global and local environmental benefits through a bottom-up and community-based approach. [2015 Joint Evaluation by the GEF and UNDP's IEOs](#) notes that SGP grants continue to support projects that have high levels of success in securing global environmental benefits in both mature and newer programme countries. These are produced through integrated strategies working on biodiversity, climate change mitigation, land degradation, international waters and chemicals and waste management. The evaluation further noted key socio- economic benefits of the SGP “in many cases the contribution to livelihoods was in parallel to a contribution to global environmental benefits”. Demographic pressure and poverty leads to the depletion of natural resources, and major environmental problems cannot be addressed in isolation of addressing these socio- economic issues. Often the programme has utilized sustainable livelihoods and wellbeing of communities as an entry point for environmental benefits. Based on SGP’s annual monitoring reports (2014-2018), on average 76% of projects contributed to improvement in livelihoods of communities. Besides sustainable livelihoods, socio- economic benefits include social inclusion of key target groups- women and girls, indigenous people, youth and persons with disabilities. Evaluative evidence confirms SGP as a principal modality to engage with these groups. Other accrued socio-economic advantages comprise SGP’s high touch execution model which involves direct work with primary beneficiaries. On broader adoption, the programme leverages the comparative advantages of its community partners and other stakeholders to achieve global environmental benefits at a larger scale- and has contributed to establishing linkages to GEF medium and full-size projects, and further upscaling and replication by other actors in the environmental space. An aspect that supports upscaling/ replication is that SGP projects often serve as demonstration sites of innovative technologies. Also, in countries with mature portfolios, SGP nurtures scaling up potential of successful projects with follow-up grants. National Steering Committees, country level SGP presence, a vast network of grantees, and both time and depth of community level results and learning, all provide the necessary infrastructure to influence policy outcomes for global environmental issues. It is however crucial to recognize that actual results or signs of progress, can be elusive, because advocacy by its nature is complicated, its impact often indirect, and have long term horizons. Recognizing that while not all interventions can be upscaled, replicated or mainstreamed, most micro SGP projects have a key role in creation of an enabling environment at the community level to support environmental value-add of meta and macro level environmental efforts. Besides broader adoption, SGP creates an enabling environment for feasibility and sustainability of impact of large-scale environmental interventions.

With a deeper understanding of SGP results, the strategy addresses how these results will be measured. In defining SGP’s measurement, three criteria were checked against: Is it a reasonable indication of progress on a result?; Will it serve as a suitable metric to manage adaptive programming?; Is it practical to have quality, representative and cost-effective data on the measure? SGP measurement system is composed of (i.) measurement of SGP global environmental benefits guided by GEF-7 results architecture; (ii.) introduction of new socio- economic indicators; (iii.) introduction of new prospective measures to assess Programme’s unique characteristics (innovation and partner capacity development); (iv.) integration of methodologies to assess change and broader adoption; and (vi.) programme efficiency

measures. Going forward, SGP projects will have a lean measurement system to support their reporting. The strategy provides a roster of common indicators, with specifications on mandatory and optional ones, for projects to have the flexibility to select from for reporting. With a view on SGP's rolling modality, this roster also ensures relevant consistency with results metrics from previous operational phases, to enable meaningful consolidation of SGP results over a period of time.

Specifying measurement for each of the key result areas- to capture global environmental benefits, in GEF-7 SGP is aligned with 6 of the 11 GEF-7 core indicators. Two new socio- economic measurements will be introduced- the first one centers on beneficiaries with improved livelihoods and wellbeing- which is defined as *sustainable livelihoods* as an attempt to go beyond the conventional definitions and approaches to poverty eradication. Solely income driven measures of livelihood are too narrow as they do not consider other vital aspects of poverty that either constrain or enhance people's ability to make a living in an economically, ecologically, and socially sustainable manner. Sustainable livelihoods include a multi- dimensional assessment of enhancements in food security/ diversification, health, nutrition, sanitation, access to infrastructure, education, markets and finance, and importantly social agency captured as confidence, social and political capital. The second socio- economic indicator builds on SGP's embedded approach to '*leave no one behind*', and keen cognizance towards equity of gains made for marginally excluded groups- as a first-time effort, it will include tracking number of beneficiaries for each of the social inclusion groups. Lastly, in alignment with GEF Gender Implementation Strategy, SGP will explore piloting additional gender indicators.

To measure SGP innovation, the strategy proposes piloting a new tool- *SGP Innovation Meter*, which using a six-point criterion will assess innovation coverage and depth of SGP projects, country and global portfolio. Administration of a new grantee survey per operational phase is also proposed as a mechanism to capture 360-degree feedback and grantee perspective on SGP's value add and contributions to capacity development and sustainability. With the administration of *Impact Reviews* in mature country programmes, SGP will focus on assessing change and broader adoption at country level- '*Did it work or not, and why? How could it be done differently for better results?*'. The intent is to build a repository of evaluative evidence over time to inform work on broader adoption and change affected due to the SGP. As noted by [Evaluation of the UNDP Strategic Plan and Global and Regional Programmes, 2017](#) "UNDP's deepest global engagement at community level is through its management of the GEF SGP...." There are significant opportunities to utilize results management as a means to be more integrated with a given UNDP country office's efforts, as well as support further upscaling/ replication of SGP driven gains. Going forward, the strategy proposes a mechanism for SGP country programme strategies to reflect a synergy with UNDP country programme document, which in turn is linked to UNDP Strategic Plan (2018-2021). Results reporting as a mechanism for deepening partnership with GEF infrastructure on the ground, including GEF OFPs, other GEF partnership presence is also suggested. Quality assurance and building a culture centered on evidence is also included as pivotal elements of SGP results management approach.

The strategy elucidates a set of guiding principles to seamlessly integrate project, country and global levels. These provide: (i.) clear objectives for each of the three levels; (ii.) focus to what success looks like with application of RBM principles. With a focus on reducing reporting burden faced by grantees, project level will be directed by principles to minimize data collection and reporting burdens on grantees, aligning project results with strategic objectives of SGP country programmes, recognizing project level is rarely able to address impact results, and tracking SGP's non-financial contribution towards successful implementation of the project. Country level is guided by drawing on key project level data to measure progress towards country programme strategy, recognizing country results are more than the sum of project results, and focusing efforts to capture broader change due to the programme. Key principles to guide Global level results management efforts include aligning with stakeholder needs for accountability, assessing change due to SGP intervention, measuring for SGP contribution and attribution, and undertaking endeavors to build an evidence-based learning culture across the Programme.

The final strategy section presents an execution plan. With implementation, an agile system integrated across project, country and global levels, will address needs for accountability, adaptive management with informed decisions and actions, and learning from both success and failure. Principally, there will be a focus on (i.) developing normative frameworks; (ii.) development of an enhanced database; (iii.) building capacities of people, processes, and systems; (iv.) ensuring high data quality and assurance mechanisms; and (v.) introducing M&E innovations to capture nonlinear change and impact. A set of differentiated roles and responsibilities are also presented for each of the constituents: Project Grantee, SGP country team (National Coordinator/ Programme Assistant), National Steering Committee, and Global level team. Overall, the document is meant to serve as a corporate strategic level one. Its key objectives are to inform decisions and strengthen SGP's work to achieve environmental and other benefits.



## II. INTRODUCTION

Strengthening results management, monitoring and evaluation (M&E) is a key priority for the Small Grants Programme (SGP) during its Seventh Operational Phase. An agile M&E system integrated across project, country and global levels, is intended to address needs for accountability, adaptive management with informed decisions and actions, and learning from both success and failure. It enables tracking progress, and a deeper understanding of ‘*what*’ works and ‘*why*’ in the communities we serve, thereby generating evidential bases for broader adoption of the Programme’s and net developmental change due to it.

### Current Status

Significant resources and efforts have been devoted to improving the SGP’s M&E system over the last decade. Progress has been made at the global level, for example, in strengthening the results framework, improving on the database that provides basic data on more than 22,000 projects in an accessible and easy to-use manner, and the production of several annual monitoring reports. Currently, SGP undertakes monitoring at three levels: the grant project level where grantees track projects; the country level where the SGP national teams monitor projects results as related to Country Programme Strategies, and at the Global level where the SGP CPMT gathers information from countries and reports annually to the GEF / other partners through the annual monitoring report and partnership results report. As a contextual background, the [2008 Joint Evaluation by the GEF and UNDP’s IEOs](#) concluded that “although monitoring and evaluation has improved significantly, there is scope for further improvements”. The subsequent Council decision therefore reiterated that “monitoring and evaluation needs to be strengthened further,” and the GEF outlined a series of specific measures to be taken at both the country and global levels (GEF 2008). The [2015 Joint Evaluation by the GEF and UNDP’s IEOs](#) concluded that the SGP continues to play a key role in promoting the GEF’s objectives. It specifically noted that SGP continues to support projects that are relevant, effective and efficient in achieving global environmental benefits, while addressing issues of livelihoods, poverty, gender equality and women’s empowerment. The evaluation also reported evidence of strong replication, scaling-up, sustainability, and mainstreaming of the Programme activities. However, it noted “despite important progress, M&E does not adequately support decision making and remains too complex”. Evaluation recommendations have also included that SGP continue efforts to improve M&E, design more streamlined and useful M&E tools and activities that balance the need to measure with the need to provide support to local communities in tackling environmental issues. Gaps highlighted in the M&E system at the global program level included that overall strategy for M&E has not been updated since OP3. This document is an attempt to address this gap.

Bearing some of the unique characteristics of M&E in SGP, which were also noted by the evaluation, would be useful. It is challenging to develop an effective M&E system that is able to efficiently and

adequately track the SGP's contributions to environmental benefits and local livelihoods as: (i.) the SGP is intended to be demand driven by communities, making it difficult at the outset of a country program to articulate relevant national or long-term indicators, baselines, and targets.; (ii.) the unit of analysis is the project grant, of which there is a vast number, of many different types, and with many different intended local-level results. Each project may have multiple objectives; and developing indicators and baselines, and tracking data against targets, is beyond the capacity of many grantees. With a view to learn from evaluative work and efforts made thus far, this document presents a new version of the SGP Results Management Strategy. The primary objectives include:

- SGP results management approach and key tenets of strategy;
- SGP results model of change; Defining SGP measurement;
- Principles to integrate results management across the three levels (project, country and global)
- Implementation arrangements

### Vision and Key Tenets of Strategy

VISION: Robust monitoring and evaluation enables SGP as an accountable, evidence-based thought leader with integrated results management at global, country and project levels. The function provides timely value for effective and efficient programme decision making, and support in institutionalizing a learning-based performance culture across the Programme. Figure 1 presents the key objectives of the SGP results management strategy to materialize the vision laid above. A comprehensive strategy execution plan is presented in Section V on implementation arrangements.

**Figure 1: KEY TENETS OF THE SGP RESULTS MANAGEMENT STRATEGY**



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With an aim to also gain from the findings, conclusions and recommendations of the [Sixth Comprehensive Evaluation of the GEF \(OPS6\)](#), and adapting these for the SGP's purposes, the strategy focuses on strengthening results architecture with a view to promoting: (a) simplification, with fewer, more relevant indicators and more streamlined reporting on project and programme level results; (b) clear technical definitions and methodological guidance to facilitate more consistent, higher-quality monitoring and reporting across the three levels of projects, country programmes and global ; (c) enhanced availability, accessibility and timeliness of data and information on results for accountability, learning and decision-making; (d) capture and monitoring of relevant socio-economic co-benefits; and (e) socially inclusive approach, that goes a step further in being responsive to gender, indigenous people, youth and persons with disability issues.

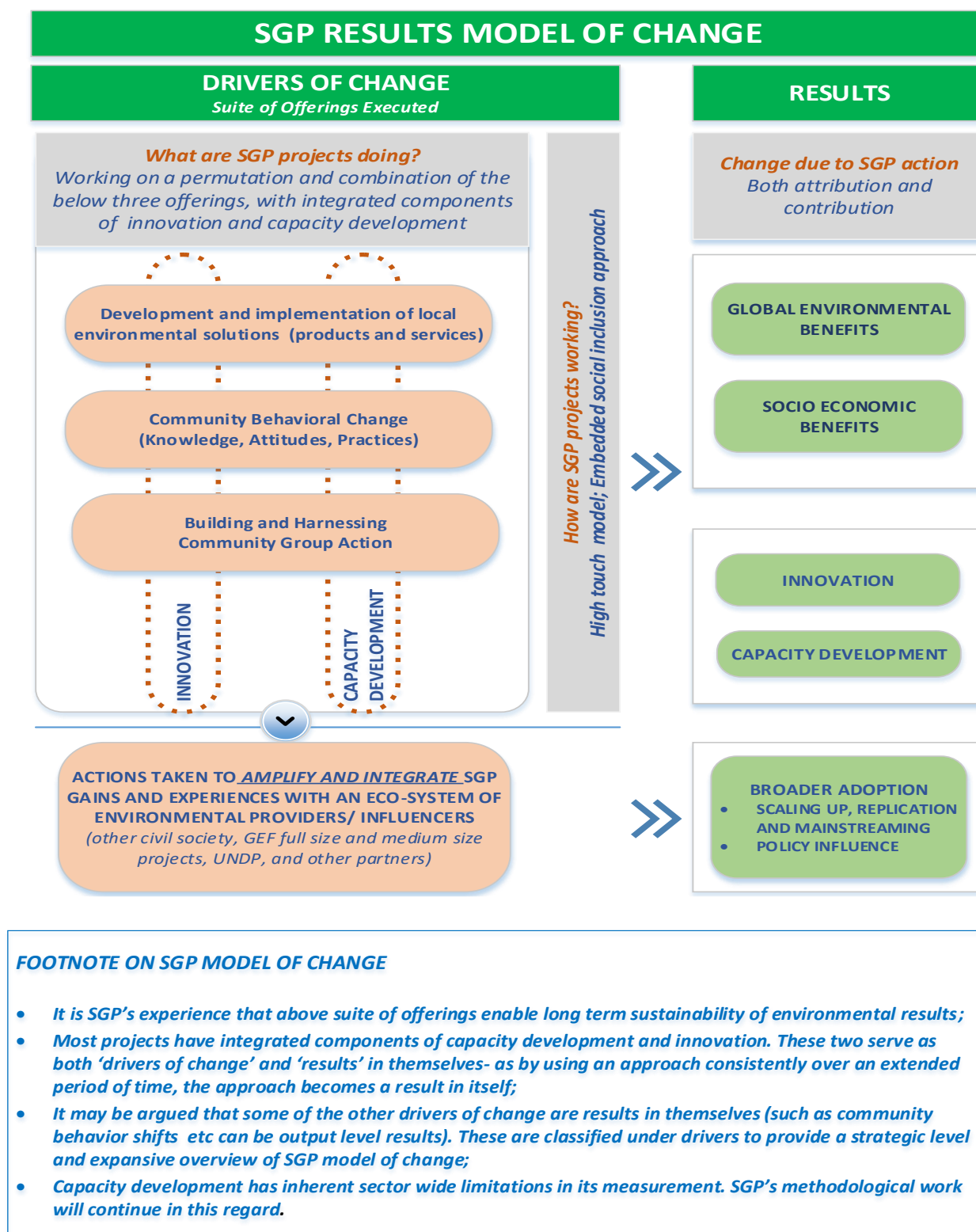
### III. SGP RESULTS MODEL OF CHANGE

*“Not everything that can be counted counts,  
Not everything that counts can be counted”*  
- William Bruce Cameron, Sociologist

Of foremost importance is to build a model of change for SGP Results. Having such a model facilitates the development of a shared understanding of *how the programme creates change*. It can be the basis of a conceptual framework for monitoring and evaluating whether the programme works. It also serves as a powerful communication tool to explain SGP’s work, delivered through a diversity of micro level community projects, to stakeholders. Lastly, it enables constructive feedback on SGP project designing and implementation process. SGP results model is comprised of two parts: (i.) drivers of change, and (ii.) results or change due to SGP action. Drivers of change are a mix of SGP grantee activities and outputs. That is either the processes and actions taken by SGP grantees, or direct and early results of their activities. Results, on the other hand, is change due to SGP action. With close to 22,000 projects completed since 1992, and while these projects are micro, varied and operate with multiple objectives, it can be deduced that principally they have worked on a permutation and combination of a suite of three community-based offerings to affect developmental change. These offerings are drivers of change for triggering higher results, and can be broadly classified as follows: (i.) Development and implementation of local environmental solutions (products and services); (ii.) Community behavioral change (knowledge, attitudes, practices); (iii.) Building and harnessing community-group action.

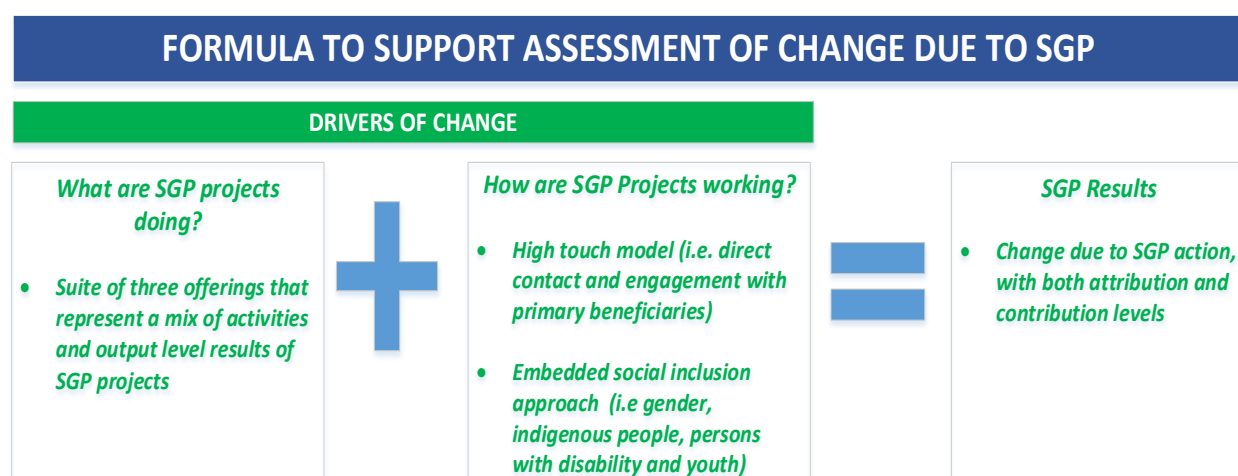
SGP projects predominantly also have integrated components of capacity development and innovation. These two can serve as both ‘drivers of change’ and ‘results’ in themselves. It is SGP’s experience that the above suite of offerings also enables longer term *sustainability* of environmental results. As evidentially noted in [A to Z of the SGP, A guide to the GEF SGP](#), “environmental issues are best handled with the participation of all concerned citizens. This is because the *direct* involvement of local communities helps to secure the long-term sustainability of actions. This same principle has been reiterated by all the Rio Conventions the GEF serves –United Nations Convention on Biological Diversity, United Nations Framework Convention on Climate Change, United Nations Convention on Combating Desertification.” It may be argued that some of the drivers of change are results (output level) in themselves, such as community behavior shifts etc. Please note these are classified under drivers of change to provide a strategic and expansive overview of SGP model of change. In addition, the Programme takes actions to amplify and integrate SGP gains and experiences with an eco-system of environmental providers and influencers. These include, civil society, GEF full size and medium size projects, UNDP, and other partners. Results of the Programme include: (i.) global environmental benefits; (ii.) socio- economic benefits; (iii.) being an incubator of innovation; (iv.) capacity development; and (v.) broader adoption with scaling up, replication, mainstreaming of environmental gains, and influencing policy with community voice. Often a combination of offerings and a few types of results can be associated with a single project. Figure 2 presents SGP’s results model of change.

Figure 2: SGP RESULTS MODEL OF CHANGE



Another way to understand SGP results model is that drivers of change are a combination of ‘*what is being done*’ and ‘*how it is being done*’ to deliver the resulting change that is both attributable and contributable to SGP action. Figure 3 illustrates the formula. In terms of what is being done, SGP projects are implementing a suite of three community-based offerings (in some combination), with often two integrated components of innovation and capacity development. In terms of how SGP model is being executed, it ensures both coverage and equity. On coverage of beneficiaries, the execution model is high touch, that is projects involves direct contact with primary beneficiaries with high interaction/engagement levels. On equity, it utilizes a socially inclusive approach, with a particular focus on involvement of those on social fringes, including women and girls, indigenous people, youth and persons with disabilities.

Figure 3: SGP RESULTS FORMULA TO SUPPORT ASSESSMENT OF CHANGE



## Key Drivers of Change

As noted earlier, some of the drivers of change are results in themselves. These are usually a mix of grantee activities and outputs, often referring to the most immediate sets of accomplishments. Again, please note these are classified as drivers of change to gain a deeper understanding of concentric circles of results that are being triggered by SGP actions.

## Local Solutions Development and Implementation

SGP interventions develop and implement local solutions, which can be both products and services, to community issues yielding multi- pronged environmental and socio- economic benefits. This could involve community innovations, or adaptation and adoption of a tested solution for local environmental needs.

SGP often uses the pathway of improving community livelihoods and wellbeing towards environmental gains. It has been SGP's experience that besides the direct engagement with communities, this pathway further supports sustainability and broader adoption of the intervention and its results. Sixth Comprehensive Evaluation of the GEF (OPS6) recognizes SGP's role in providing GEF presence and visibility at the community level, and further concludes that SGP delivers grants that address local environmental concerns of global relevance...and links communities to long-term environmental management through income-generating activities. Hence, it is important to note that development and implementation of local environmental solutions often has an embedded dimension of socio-economic activities, such as sustainable livelihood creation/ enhancements and market mechanisms. Any environmental gain associated with this offering also includes a gain in sustainable livelihoods and well-being of the community (as per definition of sustainable livelihoods in section III).

Examples of such local solutions for illustrative purposes include:

- Instituting patrols that guard the beaches during sea turtle arrival hours to support endangered species conservation in a community;
- Setting-up an organic tree nursery to support forest conservation; Establishing community-managed special conservation areas;
- Imparting trainings to restore native species that had been depleted due to their low economic value in a given context (such as, color alpacas, native onions), overexploitation or habitat destruction to maintain the genetic value of traditional products;
- Installation of solar heaters such that a community no longer has to cut down trees to heat water; deployment of solar cookers giving women more time to engage in income-generating activities;
- Testing appropriate techniques and practices to combat desertification- such as, pasture created to recover perennial grasses and native shrubs that protect soil from wind erosion and degradation;
- Installing wells to support rain harvesting with a focus on conserving natural plant cover;
- Constructing small dam and ditches for water infiltration that contribute to the recovery of the vegetation cover in an area.

For SGP grantees focused on such an intervention, results management focus would entail grantees establishing and reporting on key metrics, realistic time horizons, and well-defined levels of effort to drive real change, efficiencies, and effectiveness. Tracking progress indicators against project targets and setting milestones such that timely corrective action is possible should also be included. Annex VIII provides a roster of indicators for the project to select from (in addition to any indicators the grantee may have), and these can be used as a basis to report on in the mandatory SGP *Midterm* and *Final Progress Reports*.

### Behavioral Change (shifts in knowledge, attitudes, practices)

The social determinants that shape human interaction with environment play an important role at community levels. Sustainability and continuation of environmental gains are also often dependent on

them. These factors include knowledge, attitudes, practices, social and cultural norms and conventions- and for SGP, these may collectively be called as social and behavior change interventions working at individual, organizational and community levels. Such interventions shape not only demand, but also communication between engagement of community leaders and other influencers in promoting the adoption of environmentally friendly behaviors and practices. Constituents are armed with the right skills and information to maximize global environmental and socio-economic benefits. In summary, implementation of such interventions yields:

- Shift in Knowledge (*reflected as familiarity and awareness*)
- Shift in Attitudes (*reflected as agreement, motivation, perceived self-efficacy, outcome expectancy*)
- Shift in Practices (*reflected as feasibility or sustainability of intervention*)

Examples include, raising awareness on chemicals pollution at community level, and with subsequent support to shifts in attitudes and practices leading to a local level mechanism effectively working for chemicals management, disposal and recycling; sensitizing a community on shores of a river on waste management, that with new skills in solid waste sorting, management, and disposal has been able to maintain a regular waste recycling site and composting pit.

For a SGP grantees focused on such an intervention, results management focus would entail tracking shifts in knowledge, attitudes and practices of a given set of population/ group. Outputs may include improved behavior change metrics, increased dissemination of an idea, and community engagement. Suitable tools can include KAP (knowledge, attitude, practices) surveys, focus groups, and on-site visits. Where a deeper change is anticipated due to such interventions, an analysis of outcomes due to the intervention may be considered. Outcome mapping methodology may be a suitable tool to capture and assess change here.

## Building and Harnessing Community Group Action

For decades, SGP interventions have focused on building and harnessing local community-group action to catalyze broader and sustainable environmental change. This offering is dominant across SGP portfolio and focuses on the inherent power of a motivated group to exponentially propel momentum and serve as an agent of change. Such community-group action is an informal ‘coming together’ between a plurality of individual(s) and/ or organizations in the community based on a shared collective conviction and position. It is marked by (i.) a shared normative orientation/ concern for change of environmental and socio- economic status quo and (ii.) the occurrence of practical action connected together across time addressing this concern for change. It is synonymous with ingredients for a transformative grassroots level drive.

It is with the concerted efforts of a stimulated group, who can be viewed as early adopters of a proposed change, that local change measures are deployed supporting a drive for further community mobilization.



Social agency and empowerment of this group is an essential precursor to any community-group action. With a top priority “to create action,” such community groups are characterized by self-organization, self-regulation and self-reflection. While it is usually initiated through the vision for sweeping change of an individual/s, leadership overtime often becomes distributed and agile amongst community members creating a sustainable and accelerated model for environmental conservation. Self-governance by those most involved and most directly affected by the cause and then in concentric circles rippling outward and involving others, also ensures better use of limited resources<sup>1</sup>. These community-groups tend to adopt structures and systems that mirror how the community progresses towards people living in harmony with natural resources. In principle, the trajectory follows these steps: (i.) community mobilization around a shared idea or principle; (ii.) visionary or core group influencing and supporting organizing of other members; (iii.) pooling of common community resources (including skills and experiences) and (iv.) asserting influence with collective voice and action.

Principally, SGP projects are driven by the view that global environmental problems are best addressed through actions that are designed, implemented, and owned by communities, with benefits that directly accrue to them. There has been a focus on building on local ecological and cultural knowledge and practices and harnessing and building community leadership in solving local problems. There is also an element of organizing, establishing and strengthening formal issue- based structures such as coalitions and networks. For SGP grantees deploying this driver in their intervention, *results management focus* would entail reflection on community group action as a process along a continuum as indicated earlier. Following this sequence provides insight into measurement of competencies and agency developed toward environmental and social change within the time-frame of most interventions. Suitable tools include field research methods with ‘do no harm’ principles and should be participatory involving all stakeholders.

## Integrated Components Across SGP Projects (both drivers of change and results)

### Capacity Development

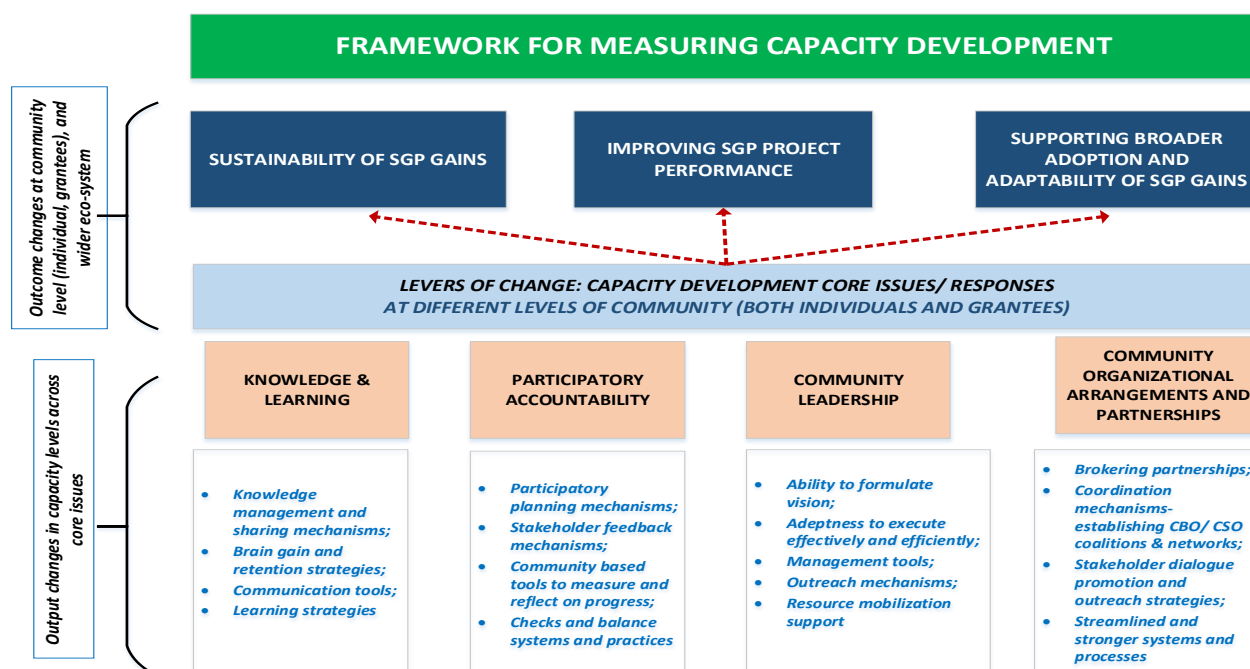
Capacity development underpins all SGP activities, and almost all SGP-supported projects include capacity building/ development elements. It may also be considered as a result in itself due to its consistent use as a SGP input over a period of time. Many partners consider SGP's capacity development approach as one of its most valuable features, whether it takes the form of technical capacity, brokering meetings with partners, strategic planning and management of the project, building consensus and promoting dialogue amongst stakeholders, knowledge management, and developing monitoring and

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<sup>1</sup> [Building movements not organizations](#), Hildy Gottlieb, Stanford Social Innovation Review (SSIR), 2015

learning tools to measure and reflect on progress. Broadly, four core issues are addressed (i.) knowledge and learning, (ii.) participatory accountability, (iii.) community leadership and (iv.) community organizational arrangements and partnerships. Through increased capacity and empowerment, communities, CBOs, CSOs, NGOs, among many SGP partners, have also created effective local and global coalitions and networks. The aim of this component is to (i.) support communities and grantee organizations to achieve, replicate and scale up results achieved through the SGP; (ii.) build capacities to improve performance and (iii.) sustain impact of intervention even after the grant project with SGP has ended. In addition to the usual capacity development activities, SGP has also been investing in Capacity Development as a multifocal area. These grants consist of standalone projects that are strategic and support other areas at the portfolio level- contributing to meeting objectives of the Country Programme Strategy, [GEF Capacity Development Framework](#) and do not exceed 10% of total Country Programme grant allocation. Figure 4 provides a framework to define and subsequently measure capacity development work. *Results management focus* for this area needs: defining long-term outcomes of capacity development rather than just short-term outputs; and establishing links between capacity development work and improvements in individual/ organizational/ and overall community performance towards objectives. In general, the work increases sustainability and/or boosting of gains already made. Suitable tools to measure include, *Perception based tools* to self-assess changes in capacity, and have been proposed in the measurement section. Overall, it is important to note that there is a limitation of methodologies to capture and measure changes in capacity.

**Figure 4: SGP FRAMEWORK FOR CAPACITY DEVELOPMENT**



*\*Adapted for SGP purposes from Capacity Development: A UNDP Primer, 2009*

## Innovation

As a cross cutting thread across SGP's interventions, innovation is not just as an integrated approach in project execution, but also as a key result. The micro, and local nature of SGP projects, lends feasibility to undertake risk, and experiment with pilot development- as a test and trial for effective and efficient community led solutions that work in a given context, or may have broader scaling up potential and replicability. A demand driven approach, combined with flexibility, accessibility, and risk taking constitute SGP as an incubator of innovation. It is important to note that pilots are interventions aimed to test or demonstrate the extent to which they produce desired benefits at a certain scale; they do not always involve innovations, and hence clearly separating the two aspects of this results category is important. Establishing criteria at SGP to develop a standardized innovation measure for a project. These include:

**1. *Distinct way to discern the problem:*** Did the project view the existing environmental problem in a new way? This would usually involve a new way of thinking about the issue, and conceptualization of a solution.

**2. *Reorganized (and often better) use of available resources:*** Did the project use available community resources in a new way? This would usually involve a new way of organizing these resources- which include community members, tangible and intangible assets, and leveraging traditional knowledge and norms.

**3. *Unique ways to connect:*** Did the project connect stakeholders in a new way, and create synergies other than what has been done in the past? This would usually involve a new partnership culture, both intra community and inter community with existing/ potential partners.

**4. *Incremental revolutionary conception:*** Did the project improve existing local solution in terms of its design, cost or performance, yielding same or higher impact? This would usually involve an improved feature for an existing product or service, and/ or an improved process or operation for an existing model of delivery.

**5. *Original creation:*** Did the project create something truly new? This would often involve expanding options for community members to promote global environmental benefits and livelihood alternatives. It may have a disruptive nature to existing solutions for a given problem, and will have a transformational characteristic through increased convenience, affordability or accessibility. This would usually involve a new product or service, and/ or a new model of delivery.

**6. *Powering local innovators:*** Did the project support a local champion(s) to pilot, test and improve on her/his conception, and result in strengthening of their capacities and influence? This would usually involve supporting a community visionary or entrepreneurial venture addressing intersections of local

environment and livelihood issues. This can also include expansion of community level agency for innovative action.

*Results management focus* for this area needs: tracking the invention of product, service or process, leveraging local assets and resources, relevance to local unmet needs, potential of scaling up/ replication. Next section on measurement and annex II provides more details on prospective SGP innovation measure.

## Key Results

### Global Environmental Benefits

SGP projects are designed to produce global and local environmental benefits through a bottom-up and community-based approach. 2015 Joint Evaluation by the GEF and UNDP's IEOs notes that SGP grants continue to support projects that have high levels of success in securing global environmental benefits in both mature and newer programme countries. These results, measured through suitable metrics, are produced involving integrated strategies working on biodiversity, climate change mitigation, land degradation, international waters and chemicals and waste management.

Benefits in biodiversity focal area focuses on improving the sustainability of protected area systems and mainstreaming biodiversity conservation and sustainable use into production landscapes/seascapes and sectors. As an effective approach of conserving biodiversity, SGP has concentrated its efforts on protected areas and indigenous and community conserved areas (ICCAs). The climate change focal area aims at reducing or avoiding greenhouse gas (GHG) emissions at the community-level. Support for low-carbon energy technologies ensure that communities have access to renewable energy, while improving energy efficiency, to meet the lighting, heating and cooking needs of poor households; local public facilities, such as rural schools and health centers; and community-based micro enterprises. These technologies include micro-hydro, wind, solar and biomass. Land degradation focal area is to reverse and prevent desertification and land degradation, and to mitigate the effects of drought in affected areas. SGP projects aim to improve agricultural management to maintain the cover and functionality of agro-ecosystems, and forest ecosystems in dryland areas. International waters focal area is the sustainable management of transboundary waterbodies through regionally connected community-based activities. Within this focal area, SGP links community-based approaches that support the implementation of intergovernmental agreements or policies, such as national Transboundary Diagnostic Analyses, regional Strategic Action Programmes or larger international water programmes. SGP support is focused on innovative local solutions to reduce pollution, improve water use efficiency, protect water supply and sustainable fisheries using rights-based management. The chemicals and waste focal area aims at the reduction and elimination of the release of harmful chemicals into the environment. SGP efforts are focused on the sound management of chemicals and waste, including POPs and mercury, in ways that lead to the minimization of significant adverse effects on human health and the global environment.

## Socio Economic Benefits

Global environmental problems are inter-connected to socio- economic ones and require an integrated approach. Demographic pressure and poverty leads to the depletion of natural resources, and major environmental problems cannot be addressed in isolation of addressing these socio- economic issues. SGP has operated with this dual objective, such that sustainable management of land, biodiversity, and other ecosystem resources directly affecting the generation of global environmental benefits, also contributes to the socio-economic benefits for local communities- which manifest as (i.) sustainable livelihoods and wellbeing and (ii.) social inclusion of key target groups.

Often the programme has utilized sustainable livelihoods and wellbeing of communities as an entry point for environmental management. It has been SGP's experience that working with this pathway also enhances the sustainability of intervention and its gains (despite low capacity of project participants and limited time duration of grants). The 2008 joint GEF-UNDP evaluation of the SGP concluded that "the SGP has contributed to direct global environmental benefits while also addressing the livelihood needs of local populations" and that "The SGP has made significant progress in targeting its efforts to help the poor". Subsequently, in 2010, the UNDP Evaluation Office evaluated UNDP's contribution to environmental management for poverty reduction, i.e., the poverty-environment nexus (UNDP EO 2010). The evaluation found that the one area of UNDP's externally funded operations that tackles poverty-environment issues centrally is the SGP. 2015 Joint Evaluation by the GEF and UNDP's IEOs further noted that SGP has given significant attention to community-level benefits and livelihoods, and that this attention is yielding positive results. It also noted "in many cases, this contribution to livelihoods was in parallel with a contribution to global environmental benefits".

Based on SGP's annual monitoring reports (2014-2018), on average 76% of projects contributed to improvement in livelihoods of communities. SGP operates with the inherent belief that SGP's efforts to address poverty, inequality, and exclusion issues strengthen the programme's ability to meet its environmental objectives.

SGP country programme strategies integrate poverty/ livelihoods into their strategies, and a focus on their approach to identifying marginalized and vulnerable target groups. [Evaluation of the UNDP contribution to gender equality, 2015](#) notes, "The GEF Small Grants Programme has long reported good results in targeting gender issues." [Evaluation of GEF Engagement with Indigenous Peoples \(IPs\) 2017](#), highlights SGP's value add on social inclusion dimensions, noting, "SGP as the primary modality for the GEF's engagement with indigenous peoples". Evaluation of Disability-Inclusive Development at UNDP, 2016 notes "some of UNDP's most prominent environmentally related work involving persons with disabilities takes place in the GEF Small Grants Programme for community groups in response to local environmental needs". In GEF-7, SGP will build on gains in social inclusion and undertake steps to systematically promote social inclusion.

Additionally, SGP execution model serves as an agent of socio- economic gains, SGP is a high touch programme working directly with beneficiaries with entails an ability to have coverage of primary beneficiaries, and equity in distribution of these benefits to marginalized as noted above.

### Broader Adoption of SGP

SGP leverages the comparative advantages of its community partners and other stakeholders to achieve global environmental benefits on a larger scale. Over the years, SGP has contributed to replication and up-scaling of good practices, as well as established linkages to the development of GEF medium and full-sized projects. This has been done through sharing successful pilots at small scale, as well as supporting enabling drivers<sup>2</sup>. Based on SGP's annual monitoring reports (2014-2018), on average 15% of the projects have been scaled up/ replicated, and 9% have influenced policy. Another aspect that supports replication and up-scaling of good practices at the local level is that SGP projects are practical demonstration sites of innovative methodologies/ technologies for other communities, government officials and even private sector companies to experience and learn from. In some countries, where SGP has more mature portfolios, the country teams have been replicating and up-scaling successful projects by providing follow-up grants to SGP grantees that have demonstrated excellent results in their first project and have organized themselves to upscale their impact into other communities. Specific definitions of these results are:

- **Replication:** It refers to make or do something again in exactly the same way. This could mean the application of a successful model, approach, strategy, technology, at the same or another location.
- **Scaling up:** It is broader than replication. For SGP interventions it means increasing both the quantity and quality of impact, i.e.: i.) increasing the magnitude of global environmental benefits and socio-economic benefits; ii.) expanding the geographical area covered by interventions, and iii.) fundamentally changing the behavior of populations and institutions, or the target system's structure and processes in a way that results in a higher magnitude of benefits<sup>3</sup>. It may involve increasing the geographic scale by applying a successful pilot activity to an area or increasing the potential for a successful approach to influence policy, enhance local development, & increase funds invested in the activity. SGP may support not only the implementation of a technology or approach to be scaled up, but also the enabling factors and conditions that allow scaling up to take place. Examples of the latter type of interventions are support to policy development and partnership creation.

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<sup>2</sup> As referenced from, 'Scaling up impact through GEF Support, Concept Note, GEF IEO, 2018', drivers include clear vision of what and where to scale up; leader or champion who recognizes the need, desirability and feasibility of scaling up; stakeholder demand for scaling up; other conditions or events that catalyze scaling up (example, changes in political, economic, or environmental status quo); incentives and accountability (e.g. rewards, competition, benchmarking, M&E of implementation and results).

<sup>3</sup> Ibid.

- **Mainstreaming:** It refers to linkages wherein a model, approach or process supported by SGP intervention is taken up by GEF full sized or medium sized projects, or by other partners. It also references support provided to mainstreaming enablers, such as increased financing, capacity improvements and local level building of partnerships and mechanisms for implementation.

SGP produces these results at project, landscape/seascape, country and global levels. These results have long term horizons, often much after the intervention has been completed. Suitable tools to measure include evaluation methodologies, and longitudinal impact reviews (as mentioned in next section). In some cases, outcome level monitoring also proves beneficial.

### *Policy Influence and Advocacy*

SGP works consistently with partners and stakeholders to influence policy outcomes for global environmental issues. National Steering Committees, country level SGP presence, a vast network of grantees, and time depth of work, all provide with the necessary infrastructure to deliver results on this front. When policy influence and advocacy efforts succeed, the results can be transformative. However, events evolve rapidly and in a nonlinear fashion, so an effort that doesn't seem to be working might suddenly bear fruit, or one that seemed to be on track can suddenly lose momentum. It is important to recognize that actual results or signs of that progress, can be elusive, because advocacy by its nature is complicated and its impact often indirect<sup>4</sup>. Results management focus entails qualitative knowledge and feel for the drivers influencing policy, understanding of networks of key players, an ability to assess SGP's comparative advantage and leverage, and a sense for the right time horizon against which to measure accomplishments. Also, the aggregate return on investment of entire/ subset of portfolio of grants, not the success or payoff of any one project needs to be considered. Suitable tools include portfolio evaluations/ reviews, as with them there is an averaging out of a number of SGP interventions over a longer period of time, and also prevents the risk of over-attribution of success or failure to factors that are entirely exogenous to the activities SGP is working in.

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<sup>4</sup> [The Elusive Craft of Evaluating Advocacy](#), Steven Teles and Mark Schmitt, 2012



## IV. MEASUREMENT OF SGP RESULTS

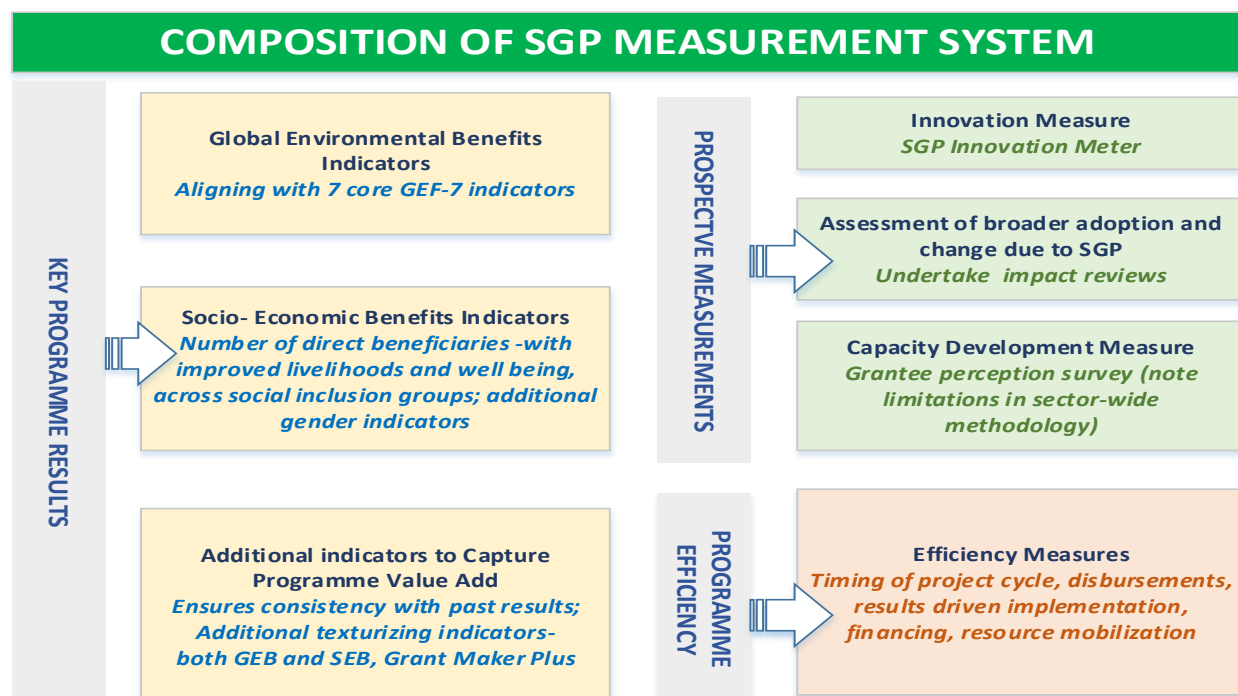
*“What gets measured gets managed”-  
Peter Drucker, Management Expert*

SGP is delivering five key development results, which may be interrelated at times. These are (i.) global environmental benefits; (ii.) socio- economic benefits; (iii.) innovation; (iv.) capacity development; and (v.) broader adoption of SGP (scaling up, replication, mainstreaming and policy influence). With an understanding of SGP results, let’s address the issue of how these results will be measured. It is important to distinguish between a result, and its measurement. Multiple measures can be used to represent the same result, and any chosen metric be it quantitative or qualitative is quite simply a single point view on progress on a given result. As an example, ‘being healthy’ may be the result, and it can be measured by-cholesterol levels, or blood pressure levels, or number of hours an individual can work. The two are different and it is important to distinguish between a result and its measurement.

In defining SGP’s measurement for its results, three criteria were checked against:

- (i.) Is it a reasonable indication of progress on a given result?;
- (ii.) Will it serve as a suitable metric to manage adaptive programming?;
- (iii.) Is it practical to have quality, representative and cost-effective data on the measure?

Figure 5: COMPOSITION OF SGP MEASUREMENT SYSTEM





As noted by Figure 5, SGP measurement involves (i.) measurement of SGP global environmental benefits guided by GEF-7 results architecture; (ii.) introduction of new socio- economic result indicators; (iii.) introduction of new prospective measures to assess Programme’s unique characteristics (innovation and partner capacity development); (iv.) integration of methodologies to assess change and broader adoption; and (vi.) programme efficiency. The rolling modality of SGP requires a focus on ensuring relevant consistency with past result metrics, to enable meaningful consolidation of SGP results over a given period of time.

**In summary, going forward SGP projects will have a streamlined and lean measurement system to link their reporting to. Annex VI presents the roster of SGP GEF-7 indicators, with specifications on mandatory and optional indicators to report on at project levels.** This roster can be utilized by SGP projects at both project commitment and reporting stages and presents a list of indicators for projects to pick from: at a minimum 3 mandatory indicators; 26 optional indicators that the project can select based on any of their suitability and relevance to the project. With a view on SGP’s rolling modality, the roster also ensures relevant consistency with results metrics from previous operational phases, to enable meaningful consolidation of SGP results over a period of time.

## **Measurement of Global Environmental Benefits: Guided by GEF-7 results architecture**

The SGP priorities are aligned to that of the GEF-7 Programming Directions Paper and its outcomes to meet the GEF-7 targets. To capture global environmental benefits, in GEF-7 SGP is aligned with 6 of the 11 GEF-7 core indicators.

**Table 1: SGP Indicator and GEF-7 Global Environmental Indicators**

<b>GEF-7 Indicator</b>	<b>GEF-7 Indicators SGP aligned to and will be reporting on</b>
2.2	Marine protected areas under improved management effectiveness (hectares)
3.1	Area of degraded agricultural lands restored (hectares)
4.1	Area of landscapes under improved management to benefit biodiversity (hectares)
4.3	Area of landscapes under sustainable land management in production systems (hectares)
5	Area of marine habitat under improved practices to benefit biodiversity (hectares; excluding protected areas)
9	Solid and liquid Persistent Organic Pollutants (POPs) and POPs containing materials and products removed or disposed) (indicator 9.6 which is contextual)
11	Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment

Guided by [Updated Results Architecture for GEF-7, 2018](#), only *direct* outputs and outcomes would be captured through the above indicators, i.e. only results that are attributed due to SGP's interventions. While being closely aligned with GEF-7 results architecture, it is important to note that given the size of grant (average USD 25,000), and local nature of the SGP projects, the quantitative direct impact of the SGP on indicators above may be limited, while qualitative and indirect impact may be far more significant. Given this, the SGP will continue to utilize additional indicators, including indicators to measure socio-economic benefit across the strategic initiative areas to fully capture SGP performance. Annex VI provides these additional indicators that can be used at SGP project and country levels.

### How will these indicators be tracked?

- i. Data will be collected at the project level, with each of the SGP projects picking from a roster of indicators to report on;
- ii. A given project can be linked to at most three of the above noted *Global Environmental Indicators* (SGP adapted versions), and at a minimum one. For a given indicator, data at the country level will be an aggregation of data reported by *all* projects linked to the indicator, while ensuring any duplication in data (with multiple projects working in the same landscape/ seascape) is avoided. Global aggregation will subsequently be a summation of country level data.

A number of these represent outcome level indicators for the project interventions. These indicators are to be tracked as a two-step process:

- **At Project Commitment level:** As part of the *Memorandum of Agreement* process between SGP and CSO/ CBO Grantee, the grantees select *Global Environmental indicators* from the list above, provides a projection for the project life cycle, and commits to their tracking as part of planned project monitoring and reporting.
- **At Project Conclusion level:** Using participatory community monitoring checklists and tools, monitor and report on the indicators selected at project inception stage. These tools/ checklists provide a common definition of measurement for a given indicator, and parameters used to deduce it. They serve as an evidential basis as well as enable consistency of measurement across the portfolio. These indicators would thereupon be reported in SGP *project mid-term* and *final progress reports*.

On methodologies and tools to support collection- participatory community monitoring checklists and tools (upcoming) would be simple, and in most cases collect perception data which can easily be populated by the grantee in close collaboration with project beneficiaries. Spot checks on quality of data reporting will be undertaken by SGP country or global team undertaking monitoring missions to the project. As an example, SGP currently uses two formalized community monitoring tools/ systems to undertake community level measurement, [Community Development and Knowledge Management for the Satoyama Initiative Programme \(COMDEKS\)](#) and ICCA security index (under the auspices of [ICCA-GSI](#)), and both of these can be adapted to monitor one of the above indicators (GEF-

7 indicator 4), and rolled out across the SGP portfolio. Specifically, COMDEKS is operational in a number of countries, where a selection from a simple set of 20 perception-based indicators of resilience in socioecological production landscapes and seascapes is collected at the village level at baseline and during implementation. Development of relevant community monitoring tools will explore the feasibility of applying lessons from the COMDEKS M&E system and indicators to collect community level data for the above. ICCA security index is a relatively new tool and is currently being piloted and tested in a subset of SGP countries- lessons from this tool's implementation will also be drawn.

## **Measurement of Socio- Economic Benefit Indicators**

With an embedded component of working closely with communities, SGP projects yield not just global environmental benefits and contribute towards an enabling environment that can sustain these gains, but also deliver significant socio- economic benefits for the populations served and impacted. SGP will introduce two such mandatory indicators at each of the project levels that measures these results.

### **1. Number of direct beneficiaries with improved livelihoods and well-being**

(defining improved livelihoods and wellbeing as improvements in at least one of the listed dimensions below):

- increase and/or diversification of income activities, sources and security;
- increase in food security, in terms of food availability, access and utilization<sup>5</sup>;
- increase in nutritional value of food, in terms of safe, adequate food meeting dietary needs and food preferences for an active and healthy life<sup>6</sup>;
- increased access to infrastructure (physical economic infrastructure along with the household's productive and other assets that enable the household to pursue its livelihood)<sup>7</sup>;
- increase in access to education and training;
- increase in access to health facilities and sanitation;
- increase in access to markets;
- increase in access to financial assets (savings, credit, insurance, remittances, pensions, cash transfers from social welfare programs, and assets held as a store of value, such as livestock);
- increased access to technology;
- increase in confidence, life skills capacity, social and political capital<sup>8</sup>

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<sup>5</sup> Adapted from Riely et al. (1999)

<sup>6</sup> Conceptual framework adopts the definition proposed by USAID (1992):

<sup>7</sup> The physical economic infrastructure includes, among other things, roads, rail networks, communication facilities, ports, etc. The household's productive assets include land, machinery, tools, and draft animals. Other household physical assets include moveable assets that can be converted into cash or exchanged for goods or services, such as animals.

<sup>8</sup> Social assets are commonly referred to as social capital. Social capital is generated by the household's connections in a social network, and the trust, reciprocity, and resource-sharing qualities of those connections. It can be activated by households to

SGP approach to measuring improvement in livelihoods aligns with *Sustainable Livelihoods* as an attempt to go beyond the conventional definitions and approaches to poverty eradication. Solely income driven measures of livelihood were too narrow as they focused only on certain aspects of manifestations of poverty, such as low income, and did not consider other vital aspects of poverty such as vulnerability and social exclusion. It is now recognized that more attention must be paid to the various factors and processes which either constrain or enhance poor people's ability to make a living in an economically, ecologically, and socially sustainable manner.

### 2.) Number of direct beneficiaries benefitting from SGP intervention

(Social inclusion groups below overlap, and data would not be mutually exclusive. Data will also be presented as numbers and proportion)

- Number of Women;
- Number of Indigenous People;
- Number of Youth;
- Number of Persons with Disability

With an embedded approach to '*leave no one behind*', SGP has keenly been cognizant of and addressed *equity* of gains made for marginally excluded groups. Also, *SGP has a high touch characteristic- with it directly impacting beneficiaries without any intermediaries through whom impact is channeled*. Hence, it is reasonable to measure the *coverage* (number of total beneficiaries in alignment with GEF-7 indicator). Additionally, it is reasonable to track numbers of beneficiaries per social inclusion group. Here, SGP will first track numbers of women and indigenous people impacted, followed by numbers of youth and persons with disability as the monitoring systems mature on the ground.

With quantifying the numbers of social inclusion groups, SGP is undertaking a first step to address coverage of beneficiaries versus percentage coverage of portfolio for the socially excluded groups.

### 3.) Strategic entry points to address gender gaps related to GEF-7 programming are encapsulated in [GEF Gender Implementation Strategy, 2018](#). Besides, '*Percentage (and number) of GEF beneficiaries that are female*' (which has already been included in indicator above), SGP is in a position to introduce additional gender equality and women's empowerment (GEWE) measurements that align with GEF-

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gain social support or social leverage, or by communities to facilitate organization and collective action. Social capital is a resource in which households can invest with the expectation of a future flow of benefits. Political assets are defined as the ability to use power to further political or economic positions, which in turn affects livelihood options and outcomes (Baumann and Sinha, 2001). They refer to the legitimate distribution of rights and power, and how illicit operations of power can frustrate efforts of households to access and defend entitlements. Illicit use of political power by state officials and community elites can divert significant resources away from vulnerable households.

7 results framework on gender equality and women's empowerment. These indicators are exploratory at this stage. These include:

3a) Percentage of projects that are tagged for expected contribution/ report on results for closing gender gaps and promoting GEWE in one or more of the following categories (checkmark applicable categories):

- *contributing to equal access to and control of natural resources of women and men*
- *improving the participation and decision-making of women in natural resource governance*
- *targeting socio-economic benefits and services for women*

3b.) Percentage of projects that include sex-disaggregated and gender sensitive indicators

### How will these indicators be tracked?

Socio- economic indicators are mandatory indicators for each of the SGP projects-reported by grantee at project commitment and project completion stages. Methodological checklists will be provided for each of the indicators to be tracked to ensure quality of data. For gender indicators, if a project is marked positive for gender mainstreaming, both the indicators will be tracked at project commitment level, i.e. project design and development stage. These will be mandatory indicators at this stage. At present, the indicators at reporting and results stage (as noted in Gender Implementation Strategy) are prospective and may be rolled out contingent on data quality. Annex VI provides a list of all possible gender indicators SGP will be in a position to report on as part of GEF- 7 results framework on GEWE.

## Introduction of Prospective Measurements

### Innovation

By working through small scale interventions, SGP readily supports community-based experimentation and tests innovation. With this, successful community strategies can be replicated and scaled up through networking with other communities and civil society organizations, attracting in turn additional donor support. Building on recommendations to collect and aggregate common standardized measures across SGP projects, SGP can start the process of reporting on an innovation measure. Called the SGP Innovation Meter, it will cover different types of innovations, including disruptive and sustaining/ incremental innovations that SGP is involved in<sup>9</sup>.

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<sup>9</sup> [‘The four types of innovations and the problems they solve’](#), Harvard Business Review, Greg Satell, June 2017

1. **Criteria for being considered innovative:** First step in building the innovation meter involves establishing metrics for being considered innovative. Building on innovation criteria detailed in the last section:

INNOVATION CRITERIA		What is measured?
1.	<i>Distinct way to discern the problem</i>	<i>New way of thinking</i>
2.	<i>Reorganized (and often better) use of available resources</i>	<i>New form of organizing resources</i>
3.	<i>Harness and leverage community interconnectedness</i>	<i>New ways to connect (intra and inter community)</i>
4.	<i>Incremental Revolutionary Conception</i>	<i>Novel improvements of existing product/ service/ delivery process</i>
5.	<i>Original Creation</i>	<i>Original product/ service/ model of delivery</i>
6.	<i>Powering local innovators</i>	<i>Fueling local innovation vision, action and agency</i>

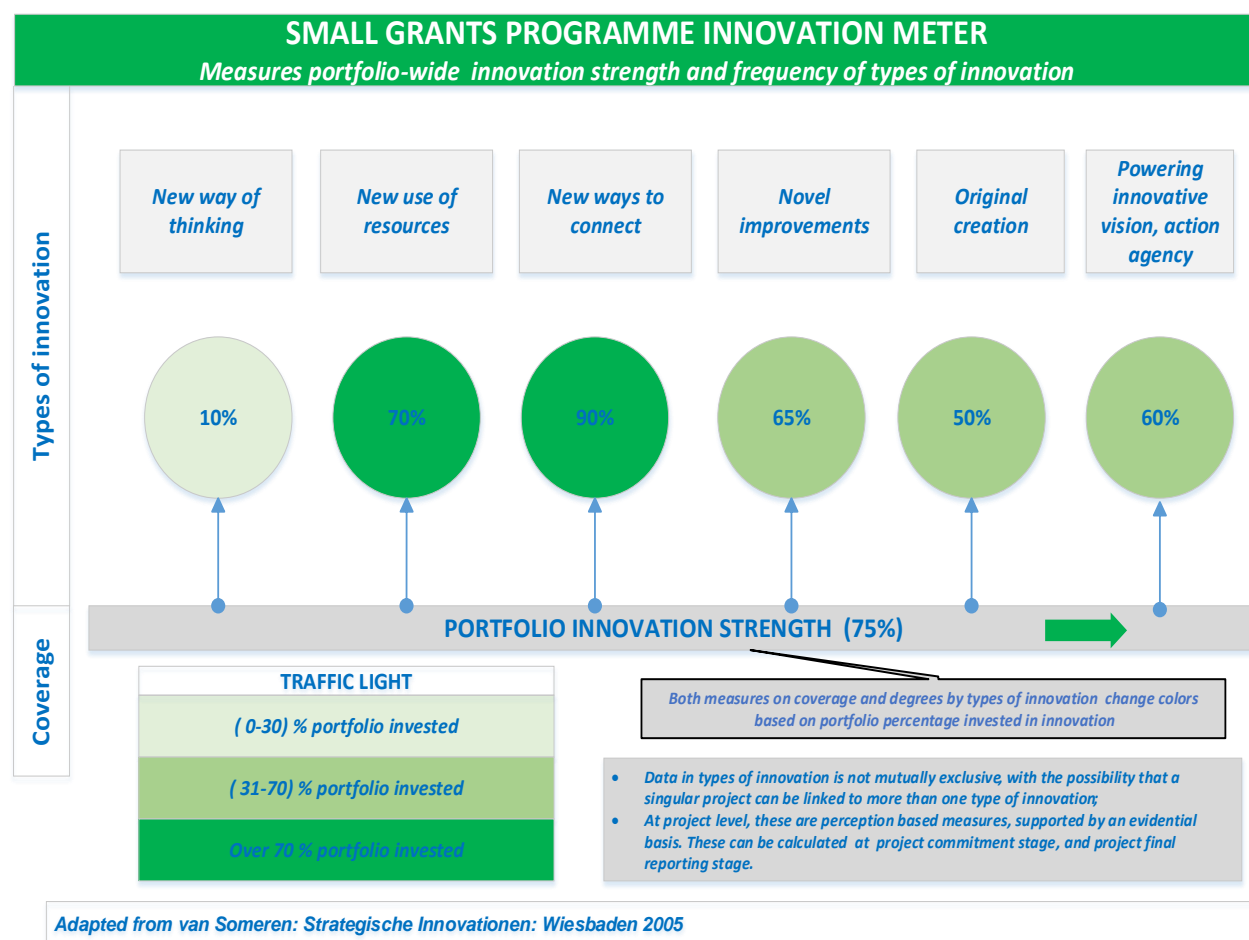
2. **Establishing key innovation calculations:** Second step is to define key innovation calculations- in SGP's case, it is innovation strength of a country portfolio and the degree of innovation by types.
  - i. SGP innovation strength: this is a coverage measure that captures  

$$\frac{(\text{total number of projects linked to innovation in a given portfolio set})}{(\text{total number of projects in a given portfolio set})}$$
*This reflects any linkage a project may have to any innovation criteria.*
  - ii. SGP degrees (types) of innovation types: this is a depth measure that covers the frequency of a given type of innovation in a portfolio set.  

$$\frac{(\text{total number of projects linked to an innovation type in a given portfolio set})}{(\text{total number of projects in a given portfolio set})}$$
3. **Build SGP innovation meter:** A combination of above two metrics will deliver the innovation meter., that is it's a measure of both innovation coverage and depth. Figure

How will this be done? *SGP Innovation Meter* will be administered on a pilot basis, and upon feedback and refinements, rolled out across the SGP portfolio as a standardized programme measure. Its objectives will be to measure levels of innovation of SGP country portfolios, with a methodology to aggregate at global level. On an annual basis at the country level, completed project portfolio is reflected upon on the basis of innovation criteria and the innovation meter is built for both country and global levels. Figure 6 below is a possible illustration of how an innovation meter may look like. Please see Annex II for more details. *Demonstrating metrics above using visuals. Please note numbers are hypothetical, and for illustrative purposes only.*

Figure 6: SGP INNOVATION MEASURE

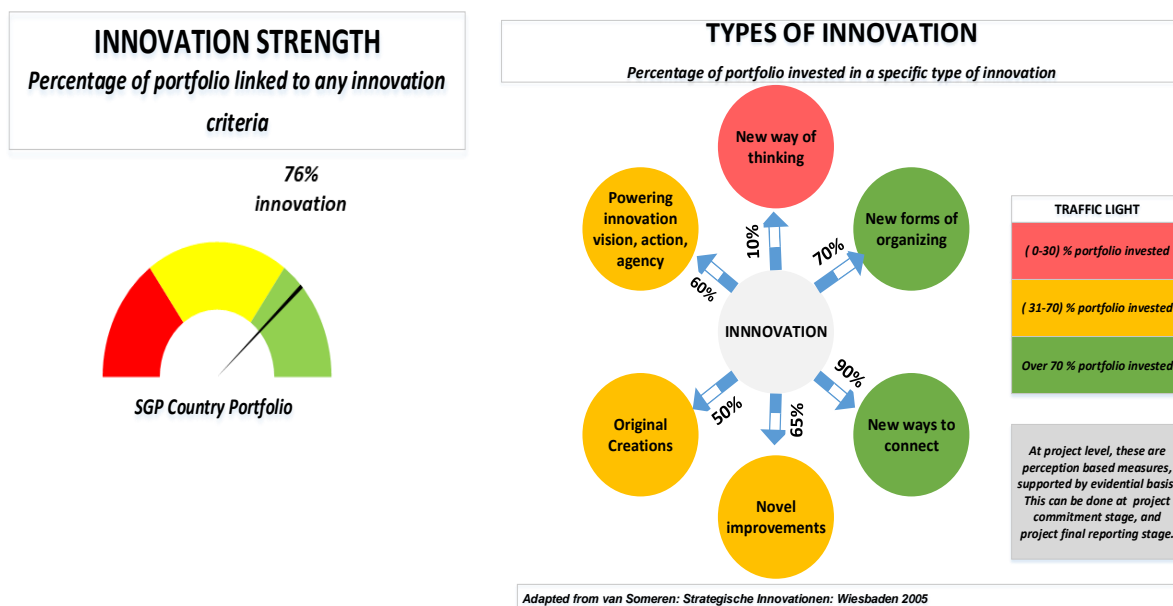


As stated earlier, this is built on two key calculations done at the country level.

SGP country innovation strength: this measures coverage of completed country portfolio to any innovation criteria on an annual basis.

SGP degrees (types) of innovation types in country portfolio: this is a depth measure that covers the frequency of a given type of innovation in a country portfolio set.

**A combination of the above two metrics would deliver the SGP Innovation Meter at the Country level. Annual Global Innovation Meter can be calculated there upon.** At the country level, this can be calculated for portfolio commitment stage, and portfolio final reporting stage.



## Capacity Development

The measurement of capacity development at community levels is fraught with limitations in methodology sector wide. As a starting point, SGP will initiate with an understanding of grantee capacity contributions made by SGP. To this end, the opinions of grantees are crucial to present SGP's value-add to community endeavors and improving the Programme's work. Proposal is to have a *Grantee Partner Survey* modality, capturing their experience in working with SGP, and contribution made to sustainability, overall performance, and adaptability etc. This could also serve as a grantee capacity tracker that over long term could also support a deeper understanding of grantee capacity (based on self-reported perception data).

Rolled out at least once in an operational phase, SGP will administer a *Grantee Partner Survey*<sup>10</sup> to grantees with completed projects, to gain a deeper understanding of support provided by the SGP, the added value of its grants compared to other partners (if there are any), and areas for improvements. The results will be utilized to understand the perceptions of partners and improve Programme's delivery on core capacity issues. The findings will be shared with SGP country teams for analysis and action, and factored into reporting to GEFSEC, UNDP and other donors. The objective will be to capture grantees perspectives on SGP's role and contribution with respect to the four key issues highlighted in capacity

<sup>10</sup> Similar tools have been successfully administered by [UN Trust Fund to End Violence Against Women](#); UNDP has also continued to administer an agency specific [Partner Survey](#) since 2001.



development framework earlier- that is support to knowledge, accountability, leadership, and institutional arrangements/partnerships. Possible questions include:

- Understanding support provided to enhance efforts of CBOs/ CSOs and help in sustaining their initiatives;
- Helping organizations further mobilize much-needed funds;
- Fostering partnerships and facilitating thought and action exchange (both intra and inter community);
- Promoting dialogue through coalitions/ networks;
- Support to scaling up, replication or influence of the results of SGP supported project.

*How will this be done?* An online survey will be administered, to be completed anonymously online by SGP grantees. The survey will be multi- lingual, succinct (made up of at most 10 questions), and mostly binary (yes/no) in nature. While voluntary in nature, a clause related to grantee survey will be incorporated in *Memorandum of Agreement* between SGP and grantee organizations. The survey will be administered globally, and a global report will be issued as an outcome. It is important to note that considering SGP has a focus on working with the most vulnerable often through remote CBOs/ CSOs- requiring deployment of alternative methodologies for data collection beyond online platform will also be considered to have maximum coverage. These include use of third party in-country monitoring agencies, phone/ postal based outreach. Overall, the goal is to get a sample of representative data.

### Broader Adoption and Change Assessment

Use of evaluations thus far has been limited to capture limited micro level change. With the administration of *Impact Reviews* in mature SGP country programmes, SGP will focus on assessing change at country programme level- '*Did it work or not, and why? How could it be done differently for better results?*'. Also, meta level evaluations, such as for a cluster of landscapes in a given country, multi-country evaluations, and /or thematic evaluations will be deployed to gain insights and present change due to SGP's long term interventions. Additionally, tools such as outcome mapping will be administered- to support tracking policy influence and mainstreaming of a successful idea impacting replication/ scaling up by other stakeholders. The intent is to build a repository of evaluative evidence over time to inform the Programme's work on broader adoption and net developmental change it is affecting.

### Programme Efficiency

These results and measurements support tracking SGP's programme efficiency as a funding mechanism. These include: project cycle effectiveness, disbursement effectiveness, results driven implementation, integration of corporate standards in programming, stake holder involvement (partners/ NSCs), financing

and resource mobilization monitoring. These measures are predominantly tracked at global and country programme levels.

Key parameters to measure include:

- 1. Timing of the project and programme cycle:** A key efficiency aspect for the SGP is the time required to develop a project document, obtain approval, begin implementation, and begin disbursing grants
  - i. **At SGP project/ country level:** indication of efficiency is time lapse between NSC project approval and MoA signature;
  - ii. **At SGP global level:** time lapse between time from PIF submission to Council approval >Time to submission of CEO endorsement request >Time to CEO endorsement> Time to cleared project document> Time to grant allocation (for both core STAR funds)
- 2. Funding delivery rates:** Here, it is important to track the metric across the three levels in a given period
  - i. **At SGP project/ country level:** actual commitments and delivery of grants;
  - ii. **At SGP global level:** total allocation; delivery of funds allocated to grants
- 3. Levels and types of cofinancing:** Track cofinancing per \$1 of GEF (target is at least 1:1)
  - i. **Project-level cofinancing:** includes in-kind and cash contributions (i.e., mobilized in support of individual community-based grants);
  - ii. **Country and Global Programme level cofinancing:** includes in-kind and cash contributions (i.e. mobilized at the global or country program level).
- 4. National Steering Committee management:** For each country programme, SGP continues to rely on the effective, proven oversight and decision-making capabilities of the multi-stakeholder NSC. The NSC promotes interaction and exchange between government and civil society stakeholders, as well as fosters cross-sectoral exchange between different sectors and disciplines. Volunteer based, and as the primary steering and governance mechanism at the country level, tracking its performance is important.
  - i. **Overall management:** Number of NSC meetings in a given period; average number of NSC members per meeting; average number of days volunteered per NSC member; average time to replace NSC member, average number of new NSC members in a given period.
  - ii. **Socially inclusive management:** All SGP country programmes are required to have a designated gender focal point on the NSC; recommended to designate a youth and indigenous peoples focal points on the NSC. Measure is to track number of programmes with focal points is important to ensure compliance as well as coverage.

5. **Overall country programme implementation and resilience (i.e., facing challenges and ability to respond to them):** Tracking and have a systematic understanding of challenges in implementation as well as subsequent solutions to resolve them, in both at the country programme and project levels is crucial for evidence-based results management. Besides qualitative measures, key metrics to track include:
- i. Percentage rates of timely completion of projects; Percentage of projects terminated early;
  - ii. Qualitative tracking of types of challenges at country/ project levels
  - iii. Site visits: number of site monitoring visits per country; (ii.) qualitative understanding of the timing and reasons.
6. **Personnel Results Management:** While personnel results management is closely linked to country programme results management, it is important that one is not perceived as a proxy for another. Annually done, *the Performance and Review Assessment (PRA)* is a formal process of performance evaluation for each SGP staff providing feedback, acknowledging achievements, and clarifying the path towards better performance. The process is currently offline, and the new SGP database is considering options to integrate parts of it as an online modality to introduce further systematization of the mechanism.

## Other Issues to Importance

### Deepening links with UNDP, GEF and other Partners

As noted by [Evaluation of the UNDP Strategic Plan and Global and Regional Programmes, 2017](#) “UNDP’s deepest global engagement at community level is through its management of the GEF SGP.....these grants, and the SGP in general, have been used efficiently and are relevant.” There are significant opportunities to utilize results management as a means to be more integrated with a given UNDP country office’s efforts, as well as support in further upscaling/ replication of SGP environmental and socio-economic results. SGP Country Programme Strategies (CPS) for GEF-7 will not be an isolated process and will reflect a synergy with UNDP Country Programme Document (CPD), which in turn is linked to UNDP Strategic Plan and related Integrated Results and Resources Framework (2018-2021). This is to encourage a deeper results alignment and awareness of UNDP country team’s work, and importantly support two-way sharing of evidential lessons and experiences. Strengthening linkages with GEF infrastructure on the ground, including GEF OFPs, other GEF partnership presence, and other key national partners is a priority. Regular results reporting of Country Programme’s work can serve as a tool of ongoing collaboration.

How will the synergy take place?

With UNDP, as part of development of SGP CPS development, synergizes with at least one of the 27 outputs of UNDP Strategic Plan (2018-2021) that the country’s CPD is linked to. This is done in consultation with UNDP country office (CO), and after reflecting on linkages of current CPD with UNDP

Strategic Plan. It is important to note SGP CPS is synergizing with UNDP CPD and IRRF, and not reporting on results therein. Annex V presents a list of all IRRF outputs that a given SGP CPS can be synergized with, and an explanation of process used by UNDP country offices to link to UNDP strategic Plan, 2018-2021. Additionally, SGP will produce *Annual Results Reports* at the country level (using the strengthened SGP database), and these will be shared with national level GEF representation, UNDP CO and other partners.

### Quality Assurance System

Quality assurance (QA), and building a culture centered on evidence, are pivotal elements of SGP results management approach going forward. Figure 7 defines SGP QA system across the three levels. Use of project site monitoring modality as a tool for QA: As highlighted in A to Z of the SGP, A guide to the GEF SGP, each project is visited by the SGP country team or an NSC member, at least once in the project's lifetime, to track progress, address problems and, if necessary, recommend alternative actions. Site visits can be at any given point in time for a given project cycle, and objectives include: alignment of project with community needs (*effectiveness*); brainstorming on obstacles in smooth project implementation (*efficiency*); and to support mechanisms increasing community ownership (through partnership development, support in scaling up/ replication/ mainstreaming) (*sustainability*). Use of third party monitoring entities: It is encouraged in the early phase of system rollout. It will also support with building of data quality assurance capacities on grantee end and overtime such use can be phased out towards niche QA services. Use of SGP methodological tools, templates and checklists: Upcoming, this QA system will support more standardized, definition driven and evidential reporting of data on grantee end. Figure 7 provides further details.

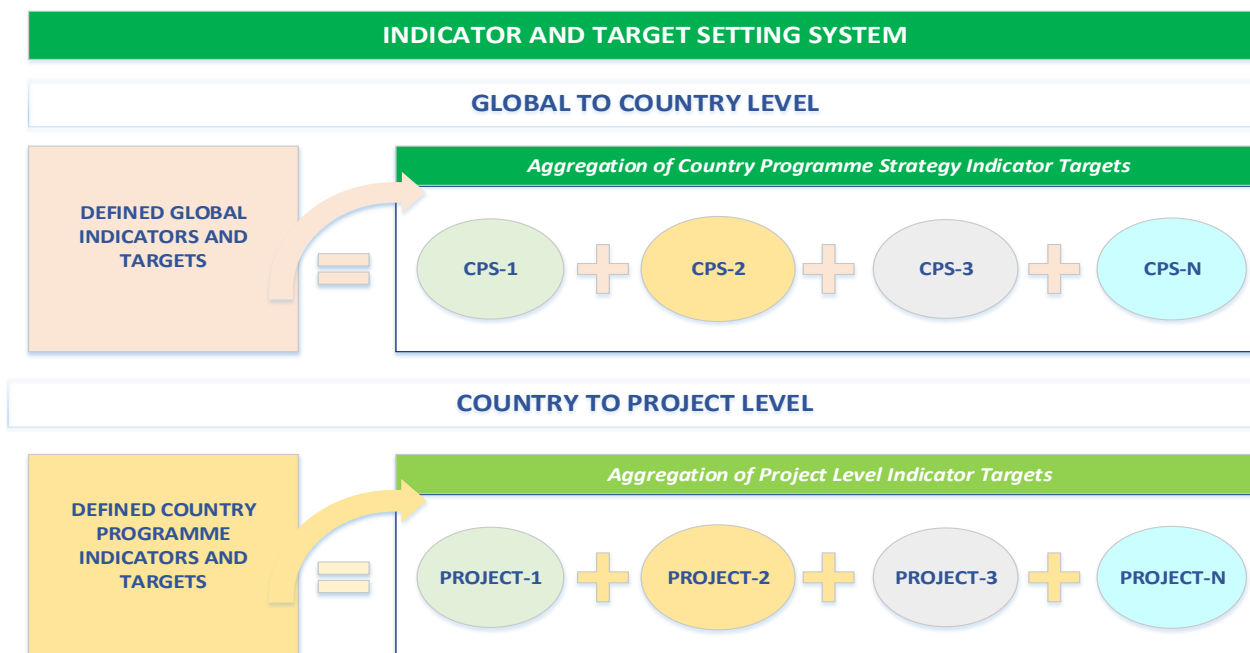
### Indicator and Target Setting System

With both global indicators and targets defined, it is expected that SGP country programming responds and aggregates towards these. Global indicators and targets will be factored in when designing results frameworks for country programming strategies for GEF-7. In turn, it is expected that project indicators and targets respond and aggregate towards those in CPS. At the time of project selection, NSC and country team establish a process to ensure such linkage is considered, with preference given to projects with high degree of alignment on both indicators and targets. Figure 8 defines SGP indicator and target setting system across the three levels. Figure 8 provides further details.

Figure 7: SGP QUALITY ASSURANCE SYSTEM

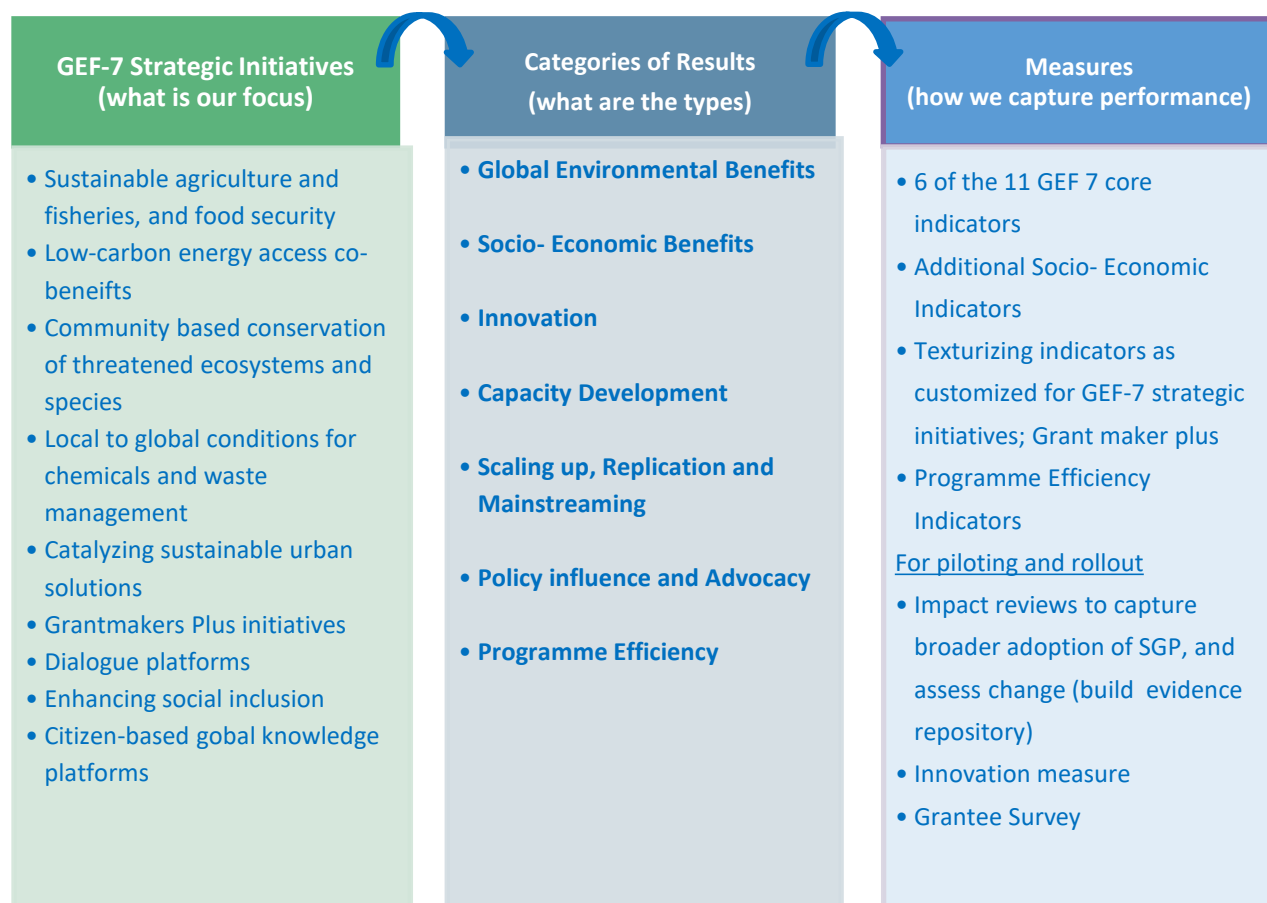


Figure 8: SGP INDICATOR AND TARGET SETTING SYSTEM



In summary, Figure 9 presents a GEF-7 trajectory from interventions to associated results and their measurements.

**Figure 9: SGP GEF-7 INTERVENTIONS TO RESULTS TRAJECTORY**



## V. KEY PRINCIPLES TO INTEGRATE RESULTS MANAGEMENT

*“As much as common ground, unique differences are the building blocks of real integration”*  
*- Ancient Proverb*

A set of guiding principles are needed to seamlessly integrate project, country and global levels. These provide: (i.) clear objectives for each of the three levels; (ii.) brings focus to what success would like once these RBM principles are applied. Figure 10 presents an overview of where the results management focus ought to be across the three levels, and section V presents action steps associated with these principles.

### Project Level Results Management

**Key objective:** Ensures effective and efficient implementation of SGP projects, and progress towards set objectives. Robust RBM at this level implies quality and timely feedback is provided to project grantees guiding their progress on project objectives and informing decisions about similar projects and promoting learning amongst them. Key principles to guide results management at the project level:

- 1.) **Minimizing data collection and reporting burdens on grantees by jointly prioritizing few indicators to be monitored.** SGP projects often have multiple and varied objectives, addressing all of which would yield complex results frameworks. For effectiveness being restrictive about monitoring of a few of the key project activities, outputs and outcomes throughout a given project cycle is recommended.
- 2.) **Project results to be aligned with strategic objectives of Country Programmes.** A focus on synergizing project and country results as laid out in SGP CPS is essential. This alignment is a critical step for quality results planning for the country programme as a whole. A prerequisite to accomplishing this is *clarity* and *relevance* of project level results to country level results, and vice versa (as noted in Figure 8).
- 3.) **Project level is rarely able to address impact results.** While project grantees *contribute* to impact level results, it is beyond the scope of a singular micro level project to deliver long term and sustainable impact directly *attributable* to their intervention. Thus, project level results management will often be limited to tracking its inputs, outputs and outcomes. Furthermore, community-based organizations are fraught with capacity issues, both from a data and financial resource perspective, making them unsuitable entities for expensive impact assessments.

- 4.) **Tracking SGP's non-financial contribution towards successful implementation of the project.** SGP country and global teams provide extensive support beyond financial resources to projects. This includes technical and capacity building contributions. In addition to measuring project results, selectively tracking the quality and effect of SGP's inputs in support of the grants made.

**Figure 10: SNAPSHOT OF PROJECT LEVEL RESULTS MANAGEMENT**

PROJECT LEVEL RESULTS MANAGEMENT			
Activities	Outputs	Outcomes	Impact
<i>Robust project RBM supports tracking effective and efficient project implementation</i>			
<b>What does success look like?</b>			
<ul style="list-style-type: none"> <li>• <i>Timely and quality corrective actions to adaptively implement projects</i></li> <li>• <i>Effective execution of project cycle</i></li> </ul>			
<b>Community Programme Tools</b>			
<i>Predominantly monitoring methodologies/ tools:</i> <ul style="list-style-type: none"> <li>• <i>Midterm and final project reports;</i></li> <li>• <i>Community monitoring tools/ checklists (upcoming);</i></li> <li>• <i>Site monitoring visits</i></li> </ul>			

## Country Level Results Management

*These principles can also be applied to results management at landscape/ seascape levels*

**Key objective:** Ensures portfolio level management is in line with objectives laid out in SGP CPS. It supports measurement of collective impact of project interventions, non- grant making activities, and undertakings for broader adoption and influence of the programme. Deepening links with UNDP, GEF and other partners is another core RBM objective. Key principles to guide results management at the country level:

- 1.) **Draw on project level data to measure progress towards country programme strategy (both objectives and targets).** SGP Projects are a mechanism to both pursue and measure progress on SGP country programme strategies. Limited set of common indicators can be aggregated and can act as a signal about whether we are making the progress we expect at the country level and help make decisions about whether to change direction and invest in new approaches.
- 2.) **Recognize country results are more than the sum of project results.** Besides ongoing grantmaking, it is important to consider SGP's non-grant making activities, that are integral to country level service delivery. These include mechanisms to increase SGP's broader adoption, integrating the voice and



visibility of civil society in key government decision making and private sector influence. The agility and efficiency of country programme delivery (management effectiveness) is also a key parameter.

- 3.) **Focus results management efforts to capture broader change due to the programme.** This level provides an opportunity to test a Programme's results trajectory; whether there was broader adoption; higher level intended, unintended, positive and negative changes. This entails an understanding on (i.) *causality*: What leads to what, and how; (ii.) *circle of control versus influence*: the influence of our work in the context of other partners' work to achieve results shared by multiple stakeholders. This supports learning on how development pathways work, and helps design strategies that work, or understand what has not worked.

Figure 11: SNAPSHOT OF COUNTRY LEVEL RESULTS MANAGEMENT

COUNTRY LEVEL RESULTS MANAGEMENT			
Activities	Outputs	Outcomes	Impact
<b>Robust country RBM supports <i>measurement of country results as more than the sum of projects; building understanding of 'what works', 'what does not work', 'factors behind success and failure'</i></b>			
<b>What does success look like?</b>			
<ul style="list-style-type: none"> <li>• <i>Consistent, quality assured and evidence-based aggregation of project results</i></li> <li>• <i>Enhanced measurement of country portfolio level contributions</i></li> <li>• <i>Support broader adoption of SGP - scaling up, replication, mainstreaming, policy influence</i></li> <li>• <i>Learnings from 'what has succeeded or failed' used for new project selection /portfolio management</i></li> </ul>			
<b>Community Programme Tools</b>			
<i>Using both Monitoring &amp; Evaluation methodologies/tools</i> <ul style="list-style-type: none"> <li>• <i>Grantee data aggregation (upcoming in SGP Database);</i></li> <li>• <i>Annual Country Results Report (upcoming in SGP Database);</i></li> <li>• <i>Impact Reviews/ third party commissioned reviews</i></li> <li>• <i>Country Theory of Change Analysis</i></li> </ul>			

## Global Level Results Management

**Key objective:** Global level results management meets stakeholder and donor reporting needs, as well as assesses change and aggregated impact due to SGP intervention. Learning and reflection are integral components of functioning, including timely corrective action in implementation of SGP country programmes; quality assurance of results at all levels; and further generation of an evidential basis to achieve global environmental and socio- economic benefits. Key principles to guide results management at the global level:

1. **Align with stakeholder needs for accountability and reporting**

SGP is accountable to GEF, UNDP and other partnership arrangements, and responsiveness of reporting to meet these external facing results management needs is addressed. Results are aggregated from project level up and are verifiable with credible evidence.

2. **Assess change due to SGP intervention, measuring for SGP contribution and attribution**

Focus on the *change* SGP intends to contribute to in the context of the 2030 Agenda. This includes a deeper understanding of SGP's comparative advantage, and choice of actions for global environmental and socio-economic benefits, with clear identification of assumptions and risks for each of the development pathways and strategies deployed. This will provide a framework to guide priorities and project interventions based on broader programme logic about *how* and *why* change happens.

3. **Focus on building an evidence-based learning culture across the Programme**

Promoting learning and furthering evidence-based thought leadership is an integral part of results management efforts at this level. It manifests as increased *new* knowledge, as well as systematic analysis on enablers of success as well as causation behind failures.

Figure 12: SNAPSHOT OF GLOBAL LEVEL RESULTS MANAGEMENT

GLOBAL LEVEL RESULTS MANAGEMENT			
Activities	Outputs	Outcomes	Impact
<b>Robust Global RBM meets all three of accountability, corrective programme management and learning objectives. An evidence-based culture exists in the Programme, and supports assessment of change due to the SGP</b>			
<b>What does success look like?</b>			
<ul style="list-style-type: none"> <li>• <i>Timely and quality results reporting to the GEF, UNDP &amp; other stakeholders</i></li> <li>• <i>Deeper understanding and evidence on SGP attribution &amp; contribution</i></li> <li>• <i>Identification of successful strategies for further uptake</i></li> <li>• <i>Reflection on appropriate impact targets</i></li> </ul>			
<b>Community Programme Tools</b>			
<i>Using both Monitoring &amp; Evaluation methodologies/tools</i> <ul style="list-style-type: none"> <li>• <i>Annual Monitoring Exercise</i></li> <li>• <i>Impact Studies / Reviews;</i></li> <li>• <i>SGP Database;</i></li> <li>• <i>Introduce tools for prospective measures (innovation meter, grantee survey);</i></li> <li>• <i>Employ M&amp;E innovations such as outcome mapping</i></li> </ul>			

## VI. IMPLEMENTATION ARRANGEMENTS

*“Strategy without execution is hallucination”*

- Thomas Edison, Inventor

### Strategy Execution Plan

Most of the execution is to be done at the Global level, and a number of actions are planned to implement the key pillars of the strategy. Several of these would entail a medium- long term perspective.

#### Development of normative frameworks

- As part of GEF-7 rollout, building of global and country programme level results frameworks to reflect the SGP measurements on global environmental benefits, socio economic benefits, and broader adoption of SGP results (as highlighted in Annex VI). Further synergies with UNDP country programme document (as highlighted in Annex V) is also addressed as part of SGP country programme strategy development.
- Development/ updating of reporting templates to support SGP RBM approach- *at project level*: project proposal stage, project commitment and project reporting stage; *at country level*: country results reporting stage, country annual monitoring report; field monitoring template
- Development of indicator methodological notes for each of the mandatory indicators (as highlighted in Annex VI) to support standardized application across the portfolio and enabling quality data collection.
- Development of SGP tools/ modification of existing ones to support collection of monitoring data on mandatory indicators at community level.

#### Development of strengthened SGP database (grant management system)

- Streamlining/ developing mechanisms for data collection, management and reporting at project, country and global levels.
- Developing quantitative and qualitative analytics to support better use of data in programme decision making.
- Develop processes and incentive structures to support complete and quality data availability in the system.

#### Development of results management capacities (people, processes, systems), and institutionalizing a results management culture across the three levels of the Programme

- Capacity building of national and global staff. Drafting RBM capacity guides, hosting capacity webinars, identifying results-based management champions, and building a community of practice.

- Implementing modalities such as quarterly reviews to monitor portfolio level progress to support programme management decision making, harvesting lessons and good practices.

**Strengthen data and evidence quality assurance**

- Development of toolkits/ checklists to support evidence-based data collection and verification, and quality assurance of results at project, country and global levels.

**Deploy modalities to assess change due to SGP**

- Execute impact reviews to capture portfolio level change - Did it work or not, and why? How could it be done differently for better results?; This includes meta level evaluations, such as for a cluster of landscapes in a given country, multi- country evaluations, thematic evaluations.

**Using RBM innovations contextually**

- Pilot SGP innovation measures; outcome mapping methodology to capture nonlinear change, unintended consequences; KAP (knowledge, attitude, perception) surveys to capture grassroots/ project level change.
- Execute Grantee survey to gather 360 degree feedback, and gain better understanding of SGP contributions beyond financial assistance, at least once per operational phase.

## **Roles and Responsibilities**

A set of differentiated roles and responsibilities are in place across the three levels for integrated and effective results management. Table 2 provides the details for each of the constituents: project grantee, SGP country team (National Coordinator/ Programme Assistant), National Steering Committee, and Global level team.

**Table 2: SGP RBM ROLES AND RESPONSIBILITIES ACROSS PROJECT, COUNTRY AND GLOBAL LEVELS**

<b>SGP RESULTS MANAGEMENT ROLES AND RESPONSIBILITIES</b>	
<b>PROJECT GRANTEE</b>	
<ul style="list-style-type: none"> <li>• Held accountable for implementing projects as per terms agreed in the joint Memorandum of Agreement;</li> <li>• Held accountable for reporting progress at mid- term and conclusion of project grant cycle- a requirement which is elucidated in grant agreement and is also a requirement for grant disbursement. Tracking progress, reporting on milestones as well as challenges and learnings in the SGP midterm and final monitoring reporting mechanisms.</li> </ul>	

<ul style="list-style-type: none"> <li>Jointly agree with SGP country team on key indicators to be monitored in these reports (using SGP roster of indicators as noted in Annex VIII). These indicators can be further added to and adapted for each Project context.</li> <li>Use SGP community monitoring tools, checklists, methodologies to track results to be reported.</li> <li>Early communication with SGP country team on challenges in credible and quality data reporting.</li> <li>Keep a close eye on maintaining records that serve as an evidential basis for data reported.</li> <li>Actively participate in SGP learning forums and exchanges with family of SGP grantees.</li> <li>Complete SGP Partner Survey (anonymously) as a 360-degree feedback loop to relate your experience in working with the SGP.</li> </ul>
<b>COUNTRY LEVEL</b>
<b>SGP NATIONAL COORDINATOR/ PROGRAMME ASSISTANT</b>
<p><b><u>Support Project Level:</u></b></p> <ul style="list-style-type: none"> <li>At project inception stage, jointly agree with project grantee on key indicators to be monitored for SGP reporting purposes in SGP <i>midterm</i> and <i>final reports</i>.</li> <li>At the time of submission of two reports per project cycle, provide systematic feedback to grantees on both project's developmental progress towards objectives, and quality of report submissions (including reflection on sources of verification).</li> <li>Undertake site visits to ensure project funds are being used as planned and activities are producing expected and quality assured results.</li> <li>Promote learning amongst grantees through organization of learning workshops/ other exchange mechanisms.</li> <li>Use lessons from projects to inform decisions about similar projects during new project selection.</li> <li>Primary responsibility of entering all project information in the SGP database. This includes (i.) creation of project page (within two weeks of project selection); (ii.) after approving the final report register the conclusion of the project in SGP database along with completion of project specific details needed there (within two weeks of project completion).</li> </ul> <p><b><u>Support Portfolio Level:</u></b></p> <ul style="list-style-type: none"> <li>Held accountable for the implementation of the SGP country programme strategy.</li> <li>Obligated to address all project and country level financial requirements for UNOPS.</li> <li>Regularly aggregate project grantee level results to track progress against targets set forth in SGP country programme strategy.</li> <li>Evaluate if any changes in milestones and targets set in CPS are needed, as well as collaborate with NSC on any course correction in terms of ongoing projects, as well as advise on selection of new projects.</li> <li>Track all country programme level grant maker plus elements and report these in the SGP database.</li> <li>Provide country level annual monitoring contributions. With the NSC, and other stakeholders use the opportunity to reflect on annual CPS progress, undertake an analysis and learning exercise to</li> </ul>

<p>consider pace of progress; make decisions about whether to change direction and invest in new approaches; any other portfolio level adaptive management issues.</p> <ul style="list-style-type: none"> <li>• SGP database generates templates for <i>Country level annual monitoring reports</i> that cover both the grantmaking and non- grantmaking aspects of annual portfolio progress. Finalize country monitoring reports and use them as an evidential tool to advocate to donors, partners, and influence broader level change on a regular basis.</li> <li>• Link to UNDP Country Programme Document (CPD) and consider if any mainstreaming of successful SGP interventions is possible as part of CPD outcomes.</li> <li>• Ensure undertaking at least one activity annually at country level/ cluster of projects (through impact reviews, monitoring efforts, commissioned evaluations) to assess longitudinal change due to SGP. This includes capturing broader adoption of SGP (scaling up, replication, mainstreaming and policy influence)/ multiplier effects, intended/ unintended consequences.</li> </ul>
<p><b>NATIONAL STEERING COMMITTEE (NSC)</b></p> <ul style="list-style-type: none"> <li>• Closely works with NC/PA team on strategic planning and implementation of the SGP CPS.</li> <li>• Primary role in conducting a periodic self-assessment (annually is recommended).</li> <li>• Consider degree of alignment of project results to overall strategic intent of CPS (both indicators and targets) as a formalized criterion for grantee selection by NSCs.</li> <li>• Work with NC/ PA teams to guide project management, undertaking site visits as and when necessary;</li> <li>• Support broader proliferation of SGP results; work with NC/ PA teams to organize lessons learning sessions/ other consultative events with project grantees, UNDP CO, and other partners.</li> <li>• Support NC PRA process.</li> </ul>
<p><b>Global team</b></p> <ul style="list-style-type: none"> <li>• Held accountable for meeting all corporate reporting needs (GEF, UNDP, other partners), and manage results to support successful replenishments of the SGP.</li> <li>• Held responsible for timely and quality monitoring of SGP country programmes.</li> <li>• Conduct an annual monitoring exercise with full coverage of SGP portfolio meeting multi stakeholder accountability and reporting needs.</li> <li>• Administer meta level (multi- country, thematic) Impact Reviews to gain insights and present change due to SGP's long term interventions.</li> <li>• Host learning forums (across portfolio/ multi- country) to support use of M&amp;E data for decision making across all levels.</li> <li>• Held accountable to manage implementation of SGP results management strategy action plan. This includes development of all normative frameworks, development of strengthened SGP database, development of results management capacities (people, processes, systems), and institutionalizing a results management culture across the SGP; developing toolkits for strengthening data and evidence quality assurance, rolling out SGP innovation meter, grantee survey. All details are highlighted under Strategy Execution Plan section.</li> </ul>

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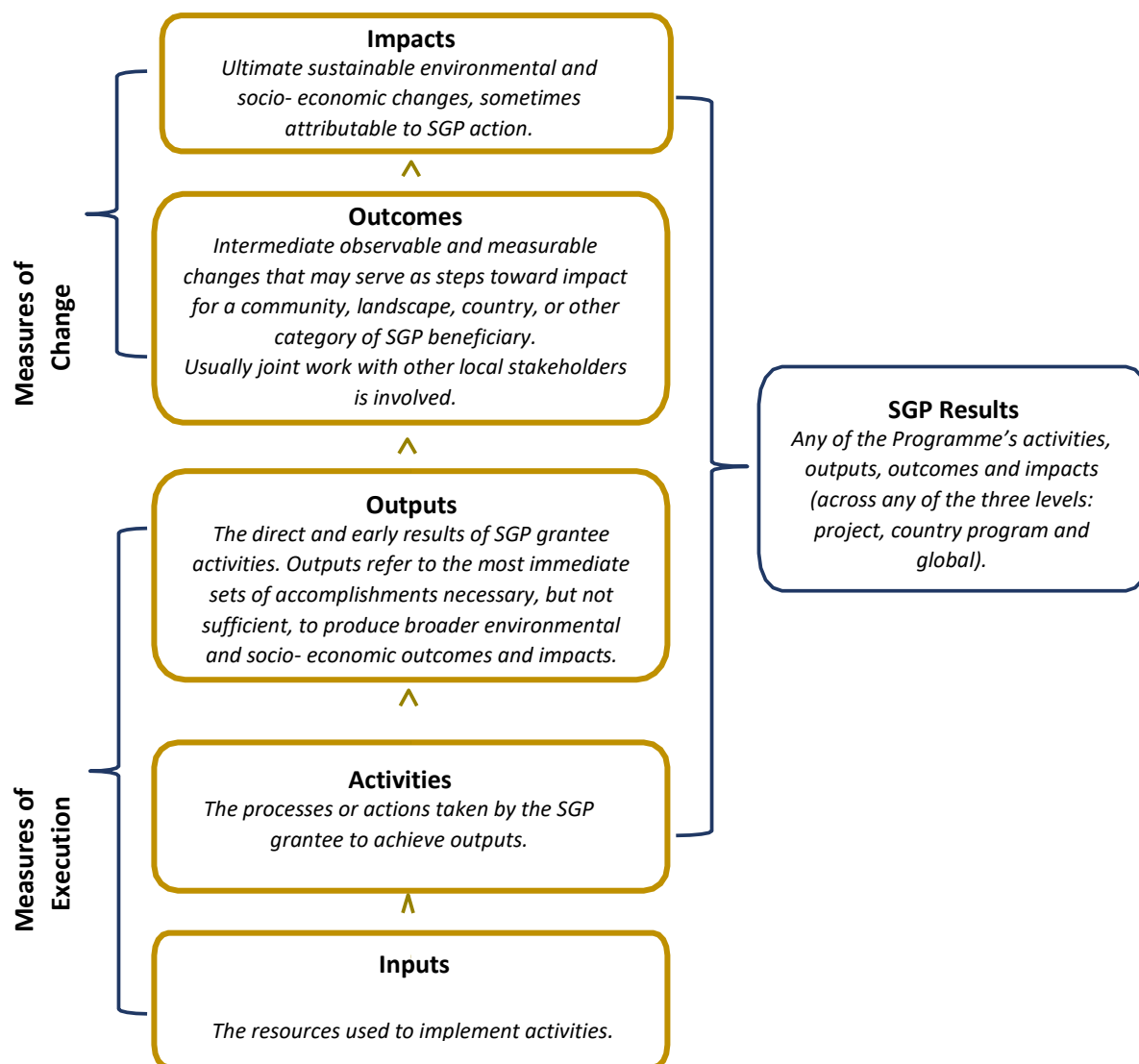
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## ANNEX I: SGP RESULTS HIERARCHY

### TRAJECTORY FROM ACTIVITIES TO IMPACT



\* this figure has been adapted for SGP purposes from [M&E Approach paper, Gates Foundation](#)



## ANNEX II: INNOVATION MEASURE

**Data collection at Project Level:** At country or project levels (both at commitment and reporting stage), country portfolio/ specific projects checkmark types of innovation a given portfolio set/ project has undertaken. A single project can be linked to more than one type of innovation. Even though self-perception based, it is important that a credible evidential basis is available for linking the country portfolio set/ project to innovation. Since several projects may be pioneering in nature, suitable evidence may not in place when it is a first-time innovator/ visionary. In such cases, based on a review of project proposal the country team provides confirmation that a project can be linked to innovation.

INNOVATION CHECKLIST		
<i>Projects to complete at commitment/ reporting stage (yes/ no)</i>		
1.	New way of thinking	(yes/ no)
2.	New form of organizing resources	(yes/ no)
3.	New ways to connect (intra and inter community)	(yes/ no)
4.	Novel improvements of existing product/ service/ delivery process (or)	(yes/ no)
5.	Original product/ service/ model of delivery	(yes/ no)
6.	Fueling local innovation vision, action and agency	(yes/ no)

Quality Assurance of data reported on this checklist is undertaken by country team- through spot checks, review of evidential basis etc.

### **Data Aggregation at portfolio level (country programme level, global level)**

Two metrics can be calculated based on data collected at the project level. These are:

**4.) Portfolio innovation strength:** this is a coverage measure that captures  

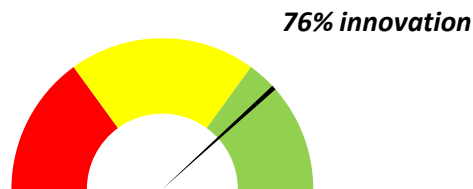
$$\frac{\text{(total number of projects linked to innovation in a given portfolio set)}}{\text{(total number of projects in a given portfolio set)}}$$
  
*This reflects any linkage a project may have to innovation criteria.*

**5.) Degrees (types) of innovation types:** this is a depth measure that covers the frequency of a given type of innovation in a portfolio set.  

$$\frac{\text{(total number of projects linked to an innovation type in a given portfolio set)}}{\text{(total number of projects in a given portfolio set)}}$$

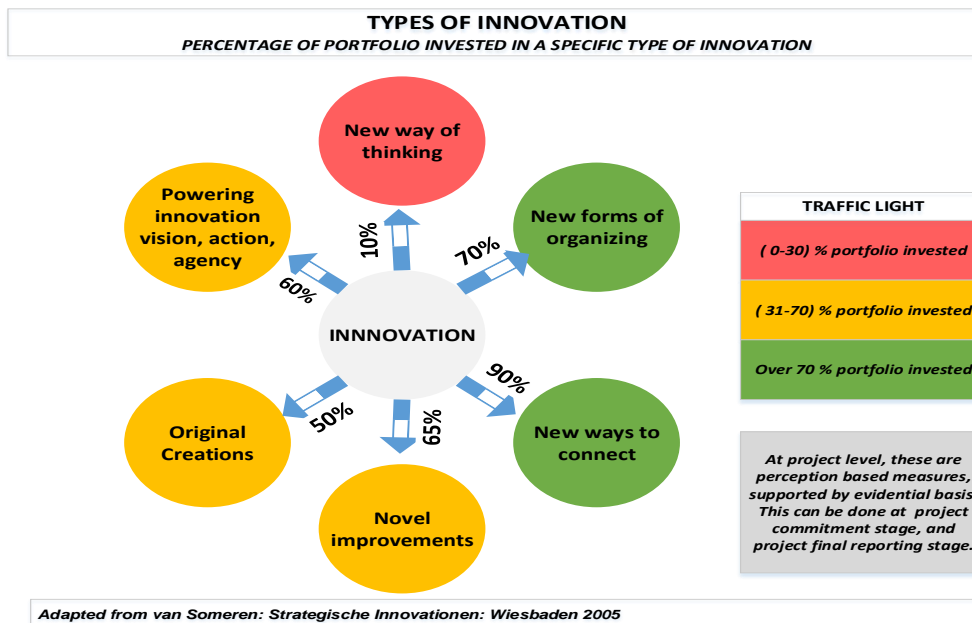
Demonstrating metrics above using visuals. Please note numbers are hypothetical, and for illustrative purposes only.

(i.) SGP innovation strength:



SGP Portfolio

(ii.) SGP degrees (types) of innovation:



A combination of the above two metrics would deliver the SGP Innovation Meter. This can be calculated for portfolio commitment stage, and portfolio final reporting stage. It is suggested that initial rollout is done with commitment stage, subsequently followed by actual reporting.

## ANNEX III: SGP MAPPED GEF CORE INDICATORS TO SUSTAINABLE DEVELOPMENT GOALS

As referenced from '[Updated Results Architecture under GEF-7](#)'

	GEF-7 Core Indicator	Related Sustainable Development Goal	Sustainable Development Goal Target(s)	SDG Indicator(s)
1.	1. Terrestrial protected areas created or under improved management for conservation and sustainable use (hectares)	15 - Life on Land	<p>15.1 By 2020, ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands, in line with obligations under international agreements</p> <p>15.4 By 2030, ensure the conservation of mountain ecosystems, including their biodiversity, in order to enhance their capacity to provide benefits that are essential for sustainable development</p>	<p>15.1.2 Proportion of important sites for terrestrial and freshwater biodiversity that are covered by protected areas, by ecosystem type</p>
			15.4 By 2030, ensure the conservation of mountain ecosystems, including their biodiversity, in order to enhance their capacity to provide benefits that are essential for sustainable development	15.4.1 Coverage by protected areas of important sites for mountain biodiversity
2.	2. Marine protected areas created or under improved management for conservation and sustainable use (hectares)	14 - Life Below Water	14.5 By 2020, conserve at least 10 per cent of coastal and marine areas, consistent with national and international law and based on the best available scientific information	14.5.1 Coverage of protected areas in relation to marine areas
3.	3. Area of land restored (hectares)	15 - Life on Land	<p>15.1 By 2020, ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands, in line with obligations under international agreements</p> <p>15.3 By 2030, combat desertification, restore degraded land and soil,</p>	<p>15.1.1 Forest area as a proportion of total land area</p> <p>15.3.1 Proportion of land that is degraded over total land area</p>

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			including land affected by desertification, drought and floods, and strive to achieve a land degradation-neutral world	
4.	4. Area of landscapes under improved practices (hectares; excluding protected areas)	15 - Life on Land	15.2 By 2020, promote the implementation of sustainable management of all types of forests, halt deforestation, restore degraded forests and substantially increase afforestation and reforestation globally	15.2.1 Progress towards sustainable forest management
5.	6. Greenhouse Gas Emissions Mitigated (million tons of carbon dioxide (CO <sub>2e</sub> ))	9 - Industry, Innovation and Infrastructure	9.4 By 2030, upgrade infrastructure and retrofit industries to make them sustainable, with increased resource-use efficiency and greater adoption of clean and environmentally sound technologies and industrial processes, with all countries taking action in accordance with their respective capabilities	9.4.1 CO <sub>2</sub> emission per unit of value added
6.	9. Reduction, disposal/destruction, phase out, elimination and avoidance of chemicals of global concern and their waste in the environment and in processes, materials and products (metric tons of toxic chemicals reduced)	12 - Responsible Production and Consumption	12.4 By 2020, achieve the environmentally sound management of chemicals and all wastes throughout their life cycle, in accordance with agreed international frameworks, and significantly reduce their release to air, water and soil in order to minimize their adverse impacts on human health and the environment	12.4.1 Number of parties to international multilateral environmental agreements on hazardous waste, and other chemicals that meet their commitments and obligations in transmitting information as required by each relevant agreement  12.4.2 Hazardous waste generated per capita and proportion of hazardous waste treated, by type of treatment
7.	11. Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment			

## ANNEX IV: SGP LINKAGE TO IRRF, UNDP STRATEGIC PLAN (2018-2021)

Synergize with at least one of 27 UNDP Outputs (being driven by UNDP Country Programme Document linkage to Strategic Plan). How are UNDP Country Programme Documents linked to UNDP Strategic Plan (2018-2021)

UNDP Results Team has taken an additional step to link UNDP country office (CO) results to the new strategic plan (SP). All UNDP CO outputs from existing UNDP country programme documents (CPDs) were introduced in corporate planning system- with close to 1,600 of them in the system now. In the earlier UNDP SP, only *outcomes* were linked to UNDP SP (as there was only availability of outcome and project level data from countries in the system, and not output data). There upon, 1:1 linking of CPD outputs and UNDP SP outputs (27 of them) has been undertaken. It's possible that more than one CPD output is linked to the same SP output. Up to 90% of CPD outputs are now linked to UNDP SP. This proportion may vary by each country. On average, a given CPD has 15 outputs, and on the lower side of the average 10 of these are linked to UNDP SP outputs (on average, at least 65% and above). Also, note that a few CPD level outputs not linked reflect both legacy work at country level, as well as agility of UNDP results management system in place that allows a CPD to maintain outputs over and above corporate requirements of UNDP SP.

OUTCOME 1: ADVANCE POVERTY ERADICATION IN ALL ITS FORMS AND DIMENSIONS	
Output	Output Indicator
1.1.1 Capacities developed across the whole of government to integrate the 2030 Agenda, the Paris Agreement and other international agreements in development plans and budgets, and to analyse progress towards the SDGs, using innovative and data-driven solutions	Country has development plans and budgets that integrate international agreements across the whole-of-government:
	Number of national and sub-national governments and other partners sharing innovative solutions through the SSMART
	Country has data collection/analysis mechanisms providing disaggregated data to monitor progress towards the SDGs:
1.1.2 Marginalized groups, particularly the poor, women, and people with disabilities and displaced are empowered to gain universal access to basic services and financial and non-financial assets to build productive capacities and benefit from sustainable livelihoods and jobs	Number of people accessing basic services, disaggregated by target groups
	Number of people accessing financial services and non-financial assets
	Country has an improved enabling environment for expansion of decent work and livelihoods:
1.2.1 Capacities at national and sub-national levels strengthened to promote inclusive local economic development and	National and sub-national governments have improved capacities to plan, budget, manage and monitor basic services
	Country has inclusive local economic development (LED) strategies and plans in place

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deliver basic services including HIV and related services	Number of people who have access to HIV and related services, disaggregated by sex and type of service
1.2.2 Enabling environment strengthened to expand public and private financing for the achievement of the SDGs	Country has an enabling environment in place leveraging additional resources from public and private sources for the SDGs: Volume of additional resources leveraged through public and private financing for the SDGs with UNDP support:
1.2.3 Institutions and systems enabled to address awareness, prevention and enforcement of anti-corruption measures to maximize availability of resources for poverty eradication	Country has effective measures adopted to mitigate and remedy corruption risks: Country has adopted and implemented, with UNDP assistance, upon request, constitutional, statutory and/or policy guarantees for public access to information
1.3.1 National capacities and evidence-based assessment and planning tools enable gender-responsive and risk-informed response to and recovery from crisis	Country has recovery plans and systems in place utilizing sex and age disaggregated data and gender analysis Country has response and recovery interventions following crisis that have been informed by multi-hazard risk assessments
1.4.1 Solutions scaled up for sustainable management of natural resources, including sustainable commodities and green and inclusive value chains	Number of micro, small and medium-sized enterprises utilizing supplier development platforms for inclusive and sustainable value chains Natural resources that are managed under a sustainable use, conservation, access and benefit-sharing regime:
1.5.1 Solutions adopted to achieve universal access to clean, affordable and sustainable energy	Number and proportion of households benefitting from clean, affordable and sustainable energy access:
1.6.1 Country-led measures accelerated to advance gender equality and women's empowerment	Number of key measures in place that set and monitor progress towards numeric targets for women's leadership in the:
1.6.2 Measures in place and implemented across sectors to prevent and respond to Sexual and Gender Based Violence (SGBV)	Proportion of GBV cases reported to authorities receiving judgment in the formal justice system Country has frameworks in place to prevent and respond to SGBV:
<b>OUTCOME 2: ACCELERATE STRUCTURAL TRANSFORMATIONS FOR SUSTAINABLE DEVELOPMENT</b>	
<b>Output</b>	<b>Output Indicator</b>
2.1.1 Low emission and climate resilient objectives addressed in national, sub-national and sectoral development plans and policies to promote economic diversification and green growth	Country has targets for low emission and climate-resilient development in: Country has public-private partnerships at national level to improve the enabling framework for economic diversification and green growth
2.1.2 Capacities developed for progressive expansion of inclusive social protection systems	Country has policy measures and institutional capacities in place to increase access to social protection schemes, disaggregated by target groups: Country has improved the range of services provided through their social protection systems to reach marginalised groups:

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2.2.1 Use of digital technologies and big data enabled for improved public services and other government functions	Country is using frameworks that leverage digital technologies and big data for:
2.2.2 Constitution-making, electoral and parliamentary processes and institutions strengthened to promote inclusion, transparency and accountability	Number of Electoral Management Bodies (EMBs) with strengthened capacity to conduct inclusive, effective and accountable elections
	Women's participation in elections:
	Parliament has improved capacities to undertake inclusive, effective and accountable law-making
	Number of constitution-making bodies (CMBs) with mechanisms for civic engagement, including the participation of women and marginalized groups
	Country has adopted and implemented, with UNDP assistance, legal and regulatory frameworks that enable civil society to function in the public sphere and contribute to sustainable development:
2.2.3 Capacities, functions and financing of rule of law and national human rights institutions and systems strengthened to expand access to justice and combat discrimination, with a focus on women and marginalised groups	Country has strengthened institutions and systems supporting fulfilment of nationally and internationally ratified human rights obligations
	Number of population who have access to justice, disaggregated by sex and marginalised groups
	Country has strengthened capacities for governance and oversight of rule of law institutions
2.3.1 Data and risk-informed development policies, plans, systems and financing incorporate integrated solutions to reduce disaster risks, enable climate change adaptation and mitigation, and prevent risk of conflict	Country has data-informed development and investment plans that incorporate integrated solutions to reduce disaster risks and enable climate change adaptation and mitigation
	Country has data-informed development policies, plans and institutions in place to mitigate social cohesion and prevent risk of conflict
2.4.1 Gender-responsive legal and regulatory frameworks, policies and institutions strengthened, and solutions adopted, to address conservation, sustainable use and equitable benefit sharing of natural resources, in line with international conventions and national legislation	Country has gender-responsive measures in place for conservation, sustainable use, and equitable access to and benefit sharing of natural resources, biodiversity and ecosystems:
2.5.1 Solutions developed, financed and applied at scale for energy efficiency and transformation to clean energy and zero-carbon development, for poverty eradication and structural transformation	Country has strengthened capacities for achieving energy transformation at scale:

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2.6.1 Capacities strengthened to raise awareness on and undertake legal, policy and institutional reforms to fight structural barriers to women's empowerment	Country has adopted, with UNDP support, legal, policy and institutional reforms to remove structural barriers to women's empowerment:
	Number of partnerships across the whole-of-society raising awareness to eliminate discriminatory gender and social norms
<b>OUTCOME 3: STRENGTHEN RESILIENCE TO SHOCKS AND CRISES</b>	
3.1.1 Core government functions and inclusive basic services restored post-crisis for stabilization, durable solutions to displacement and return to sustainable development pathways within the framework of national policies and priorities	<b>Output Indicator</b>
	Only applies to crisis-affected countries: Country is supported by UNDP, upon request, with targeted interventions to strengthen core government functions for sustainable recovery and improved service delivery
	Proportion of displaced populations benefitting from durable solutions, disaggregated by target groups
	Number of people benefitting from jobs and improved livelihoods in crisis or post-crisis settings, disaggregated by sex and other characteristics
3.2.1 National capacities strengthened for reintegration, reconciliation, peaceful management of conflict and prevention of violent extremism in response to national policies and priorities	Only applies to crisis-affected countries: Critical benchmarks for local economic revitalisation (LER) are met
	Country has national plans of action for prevention of violent extremism (PVE) under implementation
	Country has plans and strategies under implementation for the reintegration of displaced persons and/or former combatants
3.2.2 National and local systems enabled to ensure the restoration of justice institutions, redress mechanisms and community security	Country is supported by UNDP, upon request, to establish or strengthen national infrastructures for peace
	Country has national and local systems restored or adopted following crises:
	Country has operational end-to-end multi-sectoral early warning systems (EWS) to limit the gender-differentiated impact of:
3.3.1 Evidence-based assessment and planning tools and mechanisms applied to enable implementation of gender-sensitive and risk-informed prevention and preparedness to limit the impact of natural hazards and pandemics and promote peaceful, just and inclusive societies	Country has requested the application of tools such as the UNDG conflict and development analysis (CDAs) to inform planning and programming in key sectors
	Country has sub-national mechanisms for mitigating risks to urban centres
3.3.2 Gender-responsive and risk-informed mechanisms supported to build consensus, improve social dialogue and promote peaceful, just and inclusive societies	Proportion of women in leadership positions within social dialogue and reconciliation mechanisms that promote peaceful, just and inclusive societies
	Country has improved capacities for dialogue, consensus-building and reconciliation around contested issues, with equal participation of women and men



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3.4.1 Innovative nature-based and gender-responsive solutions developed, financed and applied for sustainable recovery	Only applies to countries in special situations: Country has implemented innovative solutions at scale for sustainable recovery
3.5.1 Energy access re-established for crisis-affected populations, with a focus on gender-sensitive, risk-informed and sustainable recovery	Number and proportion of crisis-affected PEOPLE with energy access restored, disaggregated by sex of head of household and other relevant characteristics
3.6.1 Women's leadership and participation ensured in crisis prevention and recovery planning and action	Percentage of women in leadership positions within prevention and recovery mechanisms
	Number and proportion of women among beneficiaries of recovery programmes

## ANNEX V: SGP LINKAGE TO GEF- 7 RESULTS FRAMEWORK ON GENDER EQUALITY AND WOMEN'S EMPOWERMENT (GEWE)

AS NOTED IN [GEF GENDER IMPLEMENTATION STRATEGY, 2018](#) SGP can undertake evidence-based reporting on [4 of the 8 indicators](#) in GEF-7 GEWE

Outcome area: Gender-responsive GEF program and project design and development		
Indicators	SGP Reporting	Verification
1. Percentage of projects that have conducted a gender analysis or equivalent socio-economic assessment	No	
2. Percentage of projects that plan to carry out gender-responsive activities <ul style="list-style-type: none"><li>- Number of projects with specific gender action plans</li></ul>	No	
3. Percentage of projects that include sex-disaggregated and gender-sensitive indicators	Yes	SGP Database
4. Percentage (and number) of anticipated GEF beneficiaries that are female	Yes	Mandatory reporting at project commitment stage
5. Percentage of projects that are tagged for expected contribution to closing gender gaps and promoting GEWE in one or more of the following categories: <ul style="list-style-type: none"><li>- contributing to equal access to and control of natural resources of women and men</li><li>- improving the participation and decision-making of women in natural resource governance</li><li>- targeting socio-economic benefits and services for women</li></ul>	Yes	
Outcome area: Gender-responsive program and project reporting and results		
Indicators	SGP Reporting	Verification
<ul style="list-style-type: none"><li>- 6. Percentage (and number) of GEF beneficiaries that are female</li></ul>	<ul style="list-style-type: none"><li>- Yes</li></ul>	Mandatory reporting at project closure
<ul style="list-style-type: none"><li>- 7. Percentage of projects that report on progress on gender-responsive measures, sex-disaggregated and gender-sensitive indicators, and lessons learned</li></ul>	<ul style="list-style-type: none"><li>- No</li></ul>	
<ul style="list-style-type: none"><li>- Percentage of projects that report on results in one or more of the following categories:<ul style="list-style-type: none"><li>- contributing to equal access to and control of natural resources of women and men</li><li>- improving the participation and decision-making of women in natural resource governance</li><li>- targeting socio-economic benefits and services for women</li></ul></li></ul>	<ul style="list-style-type: none"><li>- Yes</li></ul>	Optional indicator (SGP will pilot and test this indicator)

<sup>6</sup> Adjustments to this results framework and indicators may be made, as necessary, in consultation with GEF Agencies and the GEF Gender Partnership.

<sup>7</sup> All baseline data builds on reports on GEF-6 Core Gender Indicators. For further information, see GEAP Progress Report (GEF/C.54/Inf.04)

## ANNEX VI: ROSTER OF SMALL GRANTS PROGRAMME INDICATORS FOR GEF-7

MANDATORY: ROSTER OF PROJECT LEVEL INDICATORS		
	Indicators aligned with GEF 7 Core Indicators	Type
2.2	Marine protected areas under improved management effectiveness (hectares)	A given project can be linked to <u>at a minimum</u> one indicator; and <u>at most</u> three of these GEF-7 core and sub-indicators
3.1	Area of degraded agricultural lands restored (hectares)	
4.1	Area of landscapes under improved management to benefit biodiversity (hectares)	
4.3	Area of landscapes under sustainable land management in production systems (hectares)	
5	Area of marine habitat under improved practices to benefit biodiversity (hectares; excluding protected areas)	
9	Solid and liquid Persistent Organic Pollutants (POPs) and POPs containing materials and products removed or disposed) (indicator 9.6 which is contextual)	
11	Number of direct beneficiaries disaggregated by gender as co-benefit of GEF investment	
	Enhanced Socio- Economic Benefit Indicators	Type
1	Number of direct beneficiaries with improved livelihoods and well-being	Mandatory
2	Number of direct beneficiaries benefitting from SGP intervention	Mandatory
3	Breakdown number of beneficiaries reached by social inclusion groups (using 0 in case a category not applicable):	
	✓ Number of Women;	
	✓ Number of Indigenous People;	
	✓ Number of Youth;	
	✓ Number of Persons with Disability	
4	Is the project tagged (for expected contribution at project commitment stage/ report on results in final report) to closing gender gaps in one or more of the following categories (check all applicable)?	Recommended
	✓ <i>contributing to equal access to and control of natural resources of women and men</i>	
	✓ <i>improving the participation and decision-making of women in natural resource governance</i>	
	✓ <i>targeting socio-economic benefits and services for women</i>	
4	Does the project include sex-disaggregated and gender sensitive indicators ( <u>at commitment stage</u> )	Recommended
These indicators are tracked at both project commitment and final reporting stages.		

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OPTIONAL: ROSTER OF PROJECT LEVEL INDICATORS		
Additional Programme Value Add Indicators (These include both Global Environmental Benefit and Socio- Economic Benefit indicators- to add texture and reflects consistency with past results)		Type
<i>SGP projects are multi- focal. Checkmark focal area strategy used (biodiversity, climate change mitigation/ adaptation, land degradation, sustainable forest management, international waters, chemicals and waste)</i>		<i>Due to multi-focal nature of SGP interventions, projects can select from all indicators across all focal areas while highlighting the focal area that will be their primary strategy.</i>
1	Number of target landscapes/seascapes under improved community conservation and sustainable use	<i>Irrespective of focal area selected, <u>a project can choose from any of these indicators to be linked to (please note these are optional in nature).</u></i>
2	Number of Protected Areas (PAs)	
3	Number of ICCAs; Hectares of ICCAs	
4	Number of sustainably produced biodiversity and agrobiodiversity products	
5	Number of significant species with maintained or improved conservation status	
6	Number of community members with improved actions and practices on agriculture, land and water management	
7	Number of <u>new or sustained</u> farmer leaders adopting and demonstrating improved climate resilient agriculture and agroecological practices.	
8	Number of <u>new or sustained</u> farmer groups or networks, advocating and disseminating climate resilient agriculture approaches and practices.	
9	Proportion (by tracking numbers) of projects working on renewable energy (biomass, hydro, solar photovoltaic, solar thermal, other), energy efficiency, sustainable transport, and conservation/ enhancement of carbon stocks.	
10	Number of innovative typologies of community-oriented, locally adapted low carbon solutions	
11	Number of households achieving energy access and co-benefits (such as, ecosystem effects, income, health and others)	
12	Area of Forests and non-forest lands with restoration and enhancement of carbon stocks initiated through completed projects (hectares)	
13	Proportion (by tracking numbers) of projects working on (check mark categories applicable): awareness and outreach, solid waste management (reduce, reuse, recycle); sustainable pesticide management; organic farming; development of alternatives to chemicals	

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14	Checkmark and report all that apply: Kg of pesticides avoided, reduced or prevented by SGP chemicals projects; Kg of solid waste prevented or reduced by chemicals projects (such as plastics, domestic waste, agricultural waste etc); Kg of harmful chemicals avoided from utilization or release; Kg of e-waste collected or recycled; Kg of mercury avoided, reduced or sustainably managed	
15	Number of <u>new or sustained</u> local to global coalitions and networks on chemicals and waste management established or strengthened	
16	Number of Seascapes/inland freshwater Landscapes	
17	Tons of land-based pollution (such as solid waste, sewage, waste water, and agricultural waste etc.) avoided, reduced or prevented from entering the waterbodies	
18	Hectares of river/lake basins applying sustainable management practices through projects’ intervention	
19	Names of regional transboundary waterbodies/ Strategic Action Plans (SAPs) if applicable	
20	Names, number of seascapes and inland freshwater landscapes for projects completed during the reporting period. These include local names of marine parks, marine sanctuaries, gulfs, bays, lakes, rivers, and underground waters.	
21	Number of organizations with capacities built or developed (record for both): number of civil society organizations (CSOs), number of community-based organizations (CBOs)	
22	Number of beneficiaries with improved capacities	
Cross-cutting social inclusion project level indicators		
23	Was the projects led by women and/or institutes mechanisms for increased participation of women in decision-making? (Yes/ No)	Only if project marked for a given social inclusion area
24	Number of indigenous leaders with higher capacities (to deliver local solutions and have strong policy advocacy representation)	
25	Number of youth organizations engaged with as part of SGP intervention	
26	Number of PWD (persons with disabilities) organizations engaged as part of SGP intervention	
These indicators are tracked at both project commitment and final reporting stages at the country programmes discretion.		

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ROSTER OF COUNTRY LEVEL INDICATORS	
All the project indicators noted earlier, both mandatory and optional ones, to be aggregated at country level	
Grant Maker Plus Indicators (tracked at country programme level)	
1	<p><u>Capacity Development</u>: Did the country programme work on capacity development of grantees? (Yes/No). If yes, checkmark which of the strategies were deployed:</p> <ul style="list-style-type: none"> <li>✓ Strengthened grantee networks</li> <li>✓ Promoted peer to peer knowledge exchanges</li> <li>✓ Organized training within project grants on specific technical issues</li> <li>✓ Organized training for SGP grantees on different subjects to improve project implementation</li> <li>✓ Connected grantees with government services</li> <li>✓ Connected grantees with NGOs/INGOs</li> <li>✓ Connected grantees with the academia or research centers</li> <li>✓ Connected grantees with development agencies/practitioners</li> <li>✓ Connected grantees with private sector companies</li> </ul>
2	<p><u>CSO-Government- Private Sector dialogues</u>: Did the country programme work on CSO-government-private sector dialogues convening to support and bring community voices into policy, strategy, and planning development in relation to key multilateral environmental agreements and sustainable development goals? (Yes/No). If yes, indicate:</p> <p>Number of dialogues initiated (National CSO- Government- Private Sector; Global CSO- Government- Private Sector)</p> <p>Total number of CSO/CBO representatives involved in dialogues</p>
3	<p><u>South- South Exchanges</u>: Did the country programme support South -South exchanges that enable knowledge transfer and replication of appropriate technology, tool, and approach on global environmental issues? (Yes/No). If yes, indicate:</p> <p>Number of South- South exchanges supported</p>
4	<p><u>Social Inclusion Areas</u>:</p> <p><u>Gender Mainstreaming</u>: Did the country programme use GEWE strategies as part of its interventions? (Yes/ No). If yes, checkmark all that apply:</p> <ul style="list-style-type: none"> <li>✓ Conduct gender analysis/assessment at the country or project level.</li> <li>✓ Incorporated gender specific activities, outputs, outcomes, and disaggregated indicators in project design.</li> <li>✓ Conduct gender mainstreaming training for grantees</li> <li>✓ Produce knowledge and guidance materials on how to mainstream gender in community-based projects</li> <li>✓ Partner with gender/women's organization in the country</li> <li>✓ Use the NSC gender check list for the approval of projects</li> <li>✓ Have targets on the proportion of projects to focus on gender issues</li> <li>✓ Support the networking and creation of women organizations at the national level</li> <li>✓ Connect women group projects at the national level with regional and/or global networks</li> <li>✓ Have a gender mainstreaming strategy or gender action plan for your country programme</li> <li>✓ Other Strategies</li> </ul> <p><u>Indigenous People</u>: Did the country programme work on IP issues? (Yes/No). If yes, checkmark:</p>

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	✓ Proposals accepted in local languages
	✓ Proposals accepted using participatory video
	✓ Involved indigenous peoples in NSC and/or TAG
	✓ Enhanced outreach and networking with indigenous people's groups
	<i>Youth and PWD covered under projects (and repeated here in case of additional results)</i>
5	<u>Sustainable Urban Solutions:</u> Did the country programme work on sustainable urban solutions (i.e. Improved capacities to promote community-driven, socially inclusive and integrated solutions to address low-emission and resilient urban development)? (Yes/ No). If yes, indicate:
	<i>Number of innovative socially- inclusive urban solutions/ approaches (including waste and chemical management, energy, transport, ecosystem services and biodiversity etc.) demonstrated</i>
	<i>Number of country programmes with viable public-private partnership approach implemented for low carbon energy access for marginalized urban communities</i>
	<b>BROADER ADOPTION AND ALIGNMENT OF PROGRAMME</b>
6	<u>Upscaling, replication, policy influence:</u> Number of projects completed that were upscaled/ replicated; had policy influence
7a.)	<u>Livelihood and Wellbeing:</u> Specification of strategies used to improve livelihoods and wellbeing. Checkmark all that apply:
	✓ · increase and/or diversification of income activities, sources and security;
	✓ · increase in food security, in terms of food availability, access and utilization;
	✓ · increase in nutritional value of food, in terms of safe, adequate food meeting dietary needs and food preferences for an active and healthy life;
	✓ · increased access to infrastructure (physical economic infrastructure along with the household's productive and other assets that enable the household to pursue its livelihood);
	✓ · increase in access to education and training;
	✓ · increase in access to health facilities and sanitation;
	✓ · increase in access to markets;
	✓ · increase in access to financial assets(savings, credit, insurance, remittances, pensions, cash transfers from social welfare programs, and assets held as a store of value, such as livestock);
	✓ · increased access to technology;
	✓ · increase in confidence, life skills capacity, social and political capital
7b.)	<u>Specification of strategies used to establish sustainability of projects. Checkmark all that apply:</u>
	✓ Financial sustainability: microcredit schemes, community revolving funds, payment for ecosystem services
	✓ Programmatic sustainability: green products, ecotourism, certification of product, institutionalization of local groups, involving local government and departments
8	<u>Select the Sustainable Development Goals and 2030 Agenda the Country Programme is aligned to. Checkmark all that apply:</u>
	✓ Goal 1: End poverty in all its forms everywhere
	✓ Goal 2: End hunger, achieve food security and improved nutrition and promote sustainable agriculture
	✓ Goal 3: Ensure healthy lives and promote well-being for all at all ages

## SMALL GRANTS MONITORING AND EVALUATION STRATEGY

	✓ Goal 4: Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all
	✓ Goal 5: Achieve gender equality and empower all women and girls
	✓ Goal 6: Ensure availability and sustainable management of water and sanitation for all
	✓ Goal 7: Ensure access to affordable, reliable, sustainable and modern energy for all
	✓ Goal 8: Promote sustained, inclusive and sustainable growth, full and productive employment, decent work for all
	✓ Goal 9: Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation
	✓ Goal 10: Reduce inequality within and among countries
	✓ Goal 11: Make cities and human settlements inclusive, safe, resilient and sustainable
	✓ Goal 12: Ensure sustainable consumption and production patterns
	✓ Goal 13: Take urgent action to combat climate change and its impacts
	✓ Goal 14: Conserve and sustainably use the oceans, seas and marine resources for sustainable development
	✓ Goal 15: Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss
	✓ Goal 16: Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels
	✓ Goal 17: Strengthen the means of implementation and revitalize the global partnership for sustainable development
9	<u>Knowledge and Communications:</u> Number of fact sheets/case studies; Number of brochures Number of publications; Number of videos/photo-stories; Number of SGP mentions in the media; Number of how-to tool-kits or guidelines that describe specific practices; Number of peer to peer exchanges conducted; Number of training conducted ; Number of award winning projects
These indicators are tracked annually. Programme Efficiency indicators are to be added to this roster. Data quality assurance is first undertaken by the country team (methodological guide and evidential basis), followed by global team outlier checks.	