



# SGP Country Programme Strategy for utilization of OP5 Grant Funds

Country: **ETHIOPIA**  
Resources to be invested: **US\$3,880,000<sup>1</sup>**

## 1. SGP country programme

### 1.1. Summary Background

Ethiopia joined GEF SGP in 2005 as the 74<sup>th</sup> country and started providing grant in December 2006. SGP Ethiopia was officially launched in June 2006. Currently, the country programme is found under Category 1.

SGP-Ethiopia has supported 75 projects during OP3 year 2 and OP4 times. It has committed USD 2,216,055 (core, RAF and cash co-financing from the Royal Netherlands Embassy) to these projects implemented by NGOs and CBOs. There was also in kind co-financing equivalent to 36% of the total. The programme provides local NGOs and CBOs financial and technical assistance to undertake community-level initiatives addressing environmental concerns within the GEF focal areas.

The programme gives priority to initiatives by communities in ensuring sustainability of projects as well as addressing their livelihoods. Out of the 75 projects, 18 of them are implemented by NGOs and the remaining 57 projects are by CBOs. These projects had duration of one or two years. So far, the programme has supported projects in the four thematic areas of the GEF (out of the five areas), i.e., prevention of land degradation, climate change adaptation/mitigation, bio-diversity conservation and to some extent protection of international waters.

Results achieved across the GEF thematic areas include, but not limited to, various physical and biological soil and water conservation measures, area closure, i.e., prevention of land from humans and animals intervention, compost preparation, production and distribution of fuel saving stoves to lessen the pressure the community is putting on natural resources, use of renewable energy (solar) for household use,

<sup>1</sup> The level of SGP OP5 resources is an estimated total of the GEF core grant allocation, anticipated STARs resources, as well as other sources of third party co-financing.

multiplication and cultivation of crop varieties that were almost extinct, plantation of indigenous and exotic tree species increasing vegetation cover thereby reducing soil erosion, and establishment and legalization of Community Based Organizations (CBOs). All the above activities/interventions were linked to the improvement of communities livelihood and empowerment.

The programme has identified specific geographic areas for projects to be supported during OP5 (2011 – 2014). (See map on page 6)

## ***1.2. Key Baseline Considerations***

With an estimated total area of 1.13 million km<sup>2</sup>, Ethiopia is divided into nine regional states and two city administrations. The country has a total population of 82 million growing at an average annual rate of about 3%. Agriculture is the main stay of the economy accounting for half of the GDP. Despite its rich natural and socio-cultural potentials, the country is entangled with severe environmental problems, thus creating a challenge for the country.

The country continues to be vulnerable to natural disasters and food insecurity. The present approach to decentralization has given the autonomy to each region to act on matters concerning the area enabling each region to make decisions and act more quickly than before. This is an advantage in ensuring timely delivery of expected results.

The low socio-economic status of women, throughout much of the country, continues to undermine development efforts, not least because of their lack of opportunities arising from cultural and economic barriers to their active participation in decision-making.

The Ethiopian economy is predominately rural with the agricultural sector providing for about 85% of the population and 90% of its exports. Economic growth averaged close to 10.2% per annum over the period 2006 – 2010.

The well being of Ethiopians by and large depends on the well being of the biophysical environment (air, water, land, flora and fauna). This is due to the dependence of the majority of the Ethiopian people on subsistence agriculture, which in turn has a heavy dependence on land, water and climatic resources.

Land degradation is one of the major environmental threats that has well been acknowledged as a serious problem in Ethiopia. Considering its impacts on the deterioration and declining land quality, it would not be difficult to see its actual myth that put a daunting challenge on the effort to achieve sustainable development in the county. A number of natural processes, weak institutional capacity, poor management practices and also rampant poverty have been contributing to the prevailing threat.

In general, in addition to the institutional contributing factors, exploitative farming system, cultivation of steep lands without applying conservation practices, overgrazing, deforestation and improper land use practices are recognized as accelerating factors of soil erosion and degradation in the county.

Despite the global recognition of Ethiopia's biodiversity resources, they have been and continue to be threatened. Among others, expansion of alien invasive species (like, Parthenium, Prosopis juliflora, Lantona camara, Striga spp, etc) are causing severe problems on the eco-system and the economy, mainly through invading an area and destroying indigenous species as well as reduction in agricultural productivity (EPA, 2003).

Moreover, rapid and extensive deforestation caused largely by expansion of farmland, wild fire, cutting of trees for fuel wood, charcoal and raw materials for different construction purposes are among the widespread environmental problems in the country.

Encroachment to protected areas and expansion of resettlements, have also contributed to the loss of both flora and fauna diversity. Another related problem that needs to be mentioned is loss and damage of wetlands.

This degradation is manifested in the form of losses of vegetation cover, losses of biodiversity; soil fertility depletion in agricultural lands, massive soil erosion, disruption of hydrologic regime which resulted in drying up of rivers, streams and springs during dry season and severe desertification process, and its ecological and socio-economic consequence.

## **2. SGP country programme niche**

Ethiopia has embarked to build a Climate Resilient Green Economy (CRGE) starting from the lowest administrative units. This is believed to enable local community organizations to ensure food security through increasing their different requirements such as food, feed etc. through gender equality. Improving social services such as water, energy for the community is important to speed up development. Working with and through grassroots organization at *kebele* (lowest government unit) is a strategy that SGP follows to achieve the objectives of GEF at the same time address community needs.

It is anticipated that CBOs of different community groups such as farmers, women, youth, will be established with the support of NGOs and local government. GEF SGP encourages the CBOs to be in the forefront for their own development to make sure that the activities will be done according to the communities' own plan under the leadership of their elected representatives. The planning of their own development with the help of NGOs and local government helps to ensure participation, transparency and responsibility.

The GEF Small Grants Programme will give a focus on Rift Valley Lakes, Pastoralists in selected weredas/districts of Afar and Somali regions, catchments around dams, Semien Mountain National Park and capacity building projects in Gambella and Benishangul-Gumuz Regions. There is a clear gap of implementation capacity and in the area of the GEF thematic areas that need to be filled in these identified areas, which has also a great potential to contribute to global environment. The SGP country programme is also in coherence with the national priorities, which have been identified in various national strategic plans.

The country programme will be following a territorial approach in ensuring concentration of projects for visible impact and strong synergy creation through working with the relevant stakeholders. In addition, programmatic approach will also be used instead of peace-meal support to materialize a concerted effort in projects implementation.

In order for any grantee to get support from GEF SGP, it is expected to develop project proposals in close collaboration with the wereda administration (government body) ensuring the project fits into the community needs and that of the government plan. This entails the commitment of the local government especially the wereda administration in ensuring sustainability of the project.

It is very important for any project to have baseline information. This will help check the progress made overtime as a result of project interventions. Hence project proponents or grantees are expected to record and study all assets/capitals available at the planned project site before the commencement of the project. Therefore recording capitals/assets such as human (skills, knowledge, education, health, etc); natural capital (quality of the environment land, water, trees, forest, wildlife); physical assets (infrastructure, transportation, water and sanitation), social capital (rules, membership groups, institutions); financial capital (access to credit, income and savings) would help to check changes made overtime as a result of project interventions.

The following areas are prioritized as main intervention areas where grantee community and local NGOs can participate with GEF SGP financial and technical support.

- ✚ Increasing vegetation cover through area enclosure from livestock and human interference. When a land is put free from human and livestock interferences, the problem of vegetation loss associated with overgrazing and human interference will be minimized. Farmers and pastoralists should restrict the practice of free range grazing to help the land rehabilitate. As the same time the community will develop bylaws on the protection and use of the protected areas in order to ensure its sustainability.
- ✚ Increased application of compost to enhance soil fertility and agricultural productivity. The making and use of compost helps to raise and maintain soil fertility, increase water percolation, sequester carbon in the soil, and reduce methane emissions.
- ✚ Enhancement of ecosystems functions. Ecosystems are the sources of diversified resources for sustaining life & the wellbeing of the people and the economy of the country. Activities around protected areas, lake-ecosystem & rangeland which mostly are related to biodiversity will be supported by SGP.
- ✚ Promotion and use of renewable energy particularly through the use of solar, bio-fuel, mini-hydro as reliable and affordable renewable energy for business and domestic use boosts peoples' quality of life. SGP will also support interested NGOs and CBOs that would like to involve in such interventions.
- ✚ Capacity development and livelihood improvement are cross-cutting in all areas. One of the gaps identified during the past was capacity limitation in the area of project cycle management. This is very important and it would be difficult to expect that the community projects will be implemented without building their capacity..
- ✚ During OP5, resource mobilization, monitoring and evaluation and knowledge management will get due attention by the country office. In all the above interventions, empowerment of women and gender equality will closely be monitored to ensure that resources given by SGP also benefit women.

## 2.1. List of Relevant Conventions and Frameworks

Table 1. List of relevant conventions and national/regional plans or programmes

Rio Conventions + national planning frameworks	Date of ratification / completion
UN Convention on Biological Diversity (CBD)	May 1994
CBD National Biodiversity Strategy and Action Plan (NBSAP)	December 2005
UN Framework Convention on Climate Change (UNFCCC)	May 1994
UNFCCC National Communications (1 <sup>st</sup> , 2 <sup>nd</sup> , 3 <sup>rd</sup> )	16 October 2001
UNFCCC Nationally Appropriate Mitigation Actions (NAMA)	29 January 2010
UN Convention to Combat Desertification (UNCCD)	1997
UNCCD National Action Programmes (NAP)	November 1998
Stockholm Convention (SC)	July 2002
SC National Implementation Plan (NIP)	September 2006
World Bank Poverty Reduction Strategy Paper (PRSP)	July 2002, September 2006
GEF National Capacity Self-Assessment (NCSA)	
GEF-5 National Portfolio Formulation Exercise (NPFE)	
Strategic Action Programmes (SAPs) for shared international water-bodies	

## 2.2. OP5 Resource Utilization Modality and Coordination

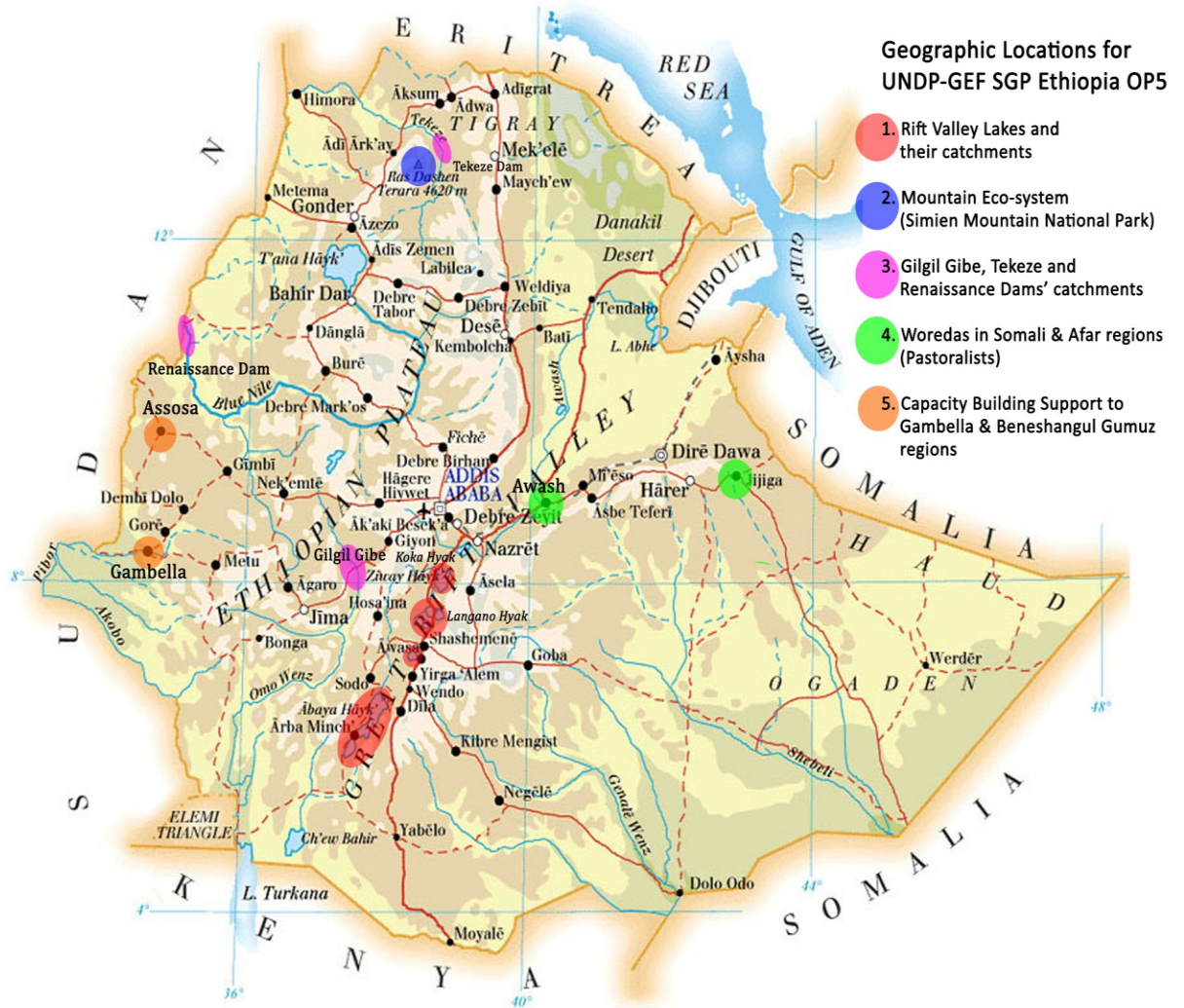
SGP Ethiopia will be focusing on supporting projects to be undertaken in Central and Lower Rift Valley Lakes and selected pastoralist/rangeland areas and selected catchments around dams in the country. The GEF/SGP programme can play an important role in developing the capacity of civil society. The civil society (national and local non-governmental organizations (NGOs) with priority for CBOs, farmer's, scientific community, women's groups, and the youth and children organizations) need significant support in terms of training, organizing, financial management, project cycle management, business management, etc. There are some more specific capacity gaps among the civil society sector that could be supported by the SGP in Ethiopia:

- ✚ Skills to organize communities (farmers', women and youth organizations),
- ✚ Training related to project cycle management (project proposal preparation, implementation, M&E, knowledge management and financial management).
- ✚ Business management with the aim of ensuring sustainability of projects

Community empowerment is one of the crucial areas of development where GEF/SGP can provide much needed support. Communities need support in organizing them, identifying their challenges (specifically in SGP focusing on the GEF thematic areas) and translating the challenges into plans.

### 2.3. Map of Ethiopia with Geographic Focus

Map of Ethiopia showing the geographic focus where projects will be supported during OP5 (2011 – 2014)





**2.4. Target OP5 global project objectives, National Priorities and Country Programme's Niche.**

Table 2. Consistency with national priorities

OP5 project objectives	National priorities	SGP niche
<p><u>SGP OP5 Immediate Objective 1:</u> Improve sustainability of protected areas and indigenous and community conservation areas through community-based actions</p>	<ul style="list-style-type: none"> <li>- The Government of Ethiopia has endorsed national wildlife policy.</li> <li>- Protected areas are one of the in-situ conservation mechanism and government has the plan to expand protected areas to diversify representative of eco-systems.</li> <li>- Linking wildlife conservation with tourism development and enhancing communities' involvement (pro-poor tourism), which has got attention by government.</li> <li>- There are 20 national protected wildlife, three wildlife sanctuaries, and 2 wildlife reserves.</li> </ul>	<ul style="list-style-type: none"> <li>- Empowering community and enhance active engagement in protected area through training, awareness raising, improving access to information, finance and appropriate technology.</li> <li>- Measures will be taken in the following protected areas. (Simien Mountain National Park, Abijata Shala, and Awash protected areas</li> <li>- Creating alternative livelihood (ecotourism, intensification of agriculture, value addition to their products</li> <li>- Applying COMPACT modality</li> </ul>
<p><u>SGP OP5 Immediate Objective 2:</u> Mainstream biodiversity conservation and sustainable use into production landscapes, seascapes and sectors through community initiatives and actions</p>	<ul style="list-style-type: none"> <li>- Agro-biodiversity is a priority of Ethiopia</li> <li>- Draft legislation on Geographic Indication (GI). Example for home gardens.</li> <li>- Prevention and management of Invasive Alien Species (IAS) especially in pastoralist areas.</li> </ul>	<ul style="list-style-type: none"> <li>- Area closure and ecological restoration</li> <li>- Management by utilization of IAS and awareness raising.</li> <li>- Promotion of Farmers' Varieties (FV) and medicinal plants in home gardens.</li> </ul>
<p><u>SGP OP5 Immediate Objective 3:</u> Promote the demonstration, development and transfer of low carbon technologies at the community level</p>	<ul style="list-style-type: none"> <li>- The Ethiopian Government promotes Climate Resilient Green Economy (CRGE) development strategy</li> <li>- Universal energy access (rural electrification, off grid and on grid energy supply</li> <li>- Bio-energy (biogas, biomass, agro-fuels)</li> <li>- Energy efficiency</li> </ul>	<ul style="list-style-type: none"> <li>- Support renewable energy including solar energy technologies; household &amp; mini-grid PV system, small and micro-hydro power &amp; wind</li> <li>- Energy saving technologies promotion energy saving stoves, bio-char, briquette, improved charcoal making, etc.</li> <li>- Improved agricultural and land use practice (compost, intercropping, supplementary irrigation, water technologies)</li> </ul>
<p><u>SGP OP5 Immediate Objective 4:</u> Promote and support energy efficient, low carbon transport at the community level</p>	<ul style="list-style-type: none"> <li>- Access to road transport</li> <li>- Expanding major roads and rail system.</li> <li>- Transport system supporting agricultural production and productivity.</li> </ul>	<ul style="list-style-type: none"> <li>- Non-motorized intermediate mode of transport (cart, bicycle)</li> </ul>
<p><u>SGP OP5 Immediate Objective 5:</u> Support the conservation and enhancement of carbon stocks through sustainable management and climate proofing of land use, land use change and forestry</p>	<ul style="list-style-type: none"> <li>- Conservation and development of forestry proclamation</li> <li>- REDD readiness plan</li> <li>- Forestry and land based emission reduction is one of the pillars of Green Economy Investment Plan (GEIP)</li> </ul>	<ul style="list-style-type: none"> <li>- Awareness raising public participation in Gambella and Benishangul-Gumuz regions.</li> <li>- Community based sustainable forest management</li> <li>- Sustainable agricultural productions</li> </ul>
<p><u>SGP OP5 Immediate Objective 6:</u> Maintain or improve flow of</p>	<ul style="list-style-type: none"> <li>- Natural resource management (watershed management, forestry, soil management) for improved</li> </ul>	<ul style="list-style-type: none"> <li>- Different soil and water conservation activities (physical, biological, water harvesting)</li> </ul>



OP5 project objectives	National priorities	SGP niche
agro-ecosystem and forest ecosystem services to sustain livelihoods of local communities	agricultural productivity - Biodiversity conservation and sustainable use	<ul style="list-style-type: none"> <li>- Area closure</li> <li>- Intensification and value chain development</li> <li>- Agro forestry and conservation agriculture</li> <li>- Afforestation</li> <li>- Improved soil and land management</li> <li>- Compost preparation</li> <li>- Support technologies (improved tools, seeds, etc).</li> </ul>
<u>SGP OP5 Immediate Objective 7:</u> Reduce pressures at community level from competing land uses (in the wider landscapes)	<ul style="list-style-type: none"> <li>- Conservation and use of protected areas including forest priority areas.</li> <li>- Control forest and parks encroachment and illegal settlement.</li> </ul>	<ul style="list-style-type: none"> <li>- Location where attention will be given are Abijaya Shala, Langano, Arbaminch, Senkele, etc)</li> <li>- Awareness raising,</li> <li>- Alternative livelihood</li> <li>- Capacity building</li> </ul>
<u>SGP OP5 Immediate Objective 8:</u> Support trans-boundary water body management with community-based initiatives	<ul style="list-style-type: none"> <li>- Sustainable and equitable use of international rivers</li> </ul>	<ul style="list-style-type: none"> <li>- Awareness raising</li> <li>- Sediment control</li> <li>- Control and prevention of Invasive Alien Species (IAS)</li> </ul>
<u>SGP OP5 Immediate Objective 9:</u> Promote and support phase out of POPs and chemicals of global concern at community level	<ul style="list-style-type: none"> <li>- Ethiopia is party to the Stockholm Convention on Persistent Organic Pollutants, Basal Convention, Rotterdam Convention.</li> <li>- The constitution of Federal Democratic Republic of Ethiopia has recognized the (right to clean and healthy environment).</li> <li>-</li> </ul>	<ul style="list-style-type: none"> <li>- Awareness and educating on the use, handling and disposal of agro-chemicals including through school environmental clubs.</li> <li>- Demonstrate improved use and handling of chemicals particularly DDT</li> <li>- Promote the use of Integrated Pest Management/Integrated Vector Management (IVM)</li> <li>- Inventory and assessment of the magnitude of the problem.</li> </ul>
<u>SGP OP5 Immediate Objective 10:</u> Enhance and strengthen capacities of CSOs (particularly community-based organizations and those of indigenous peoples) to engage in consultative processes, apply knowledge management to ensure adequate information flows, implement convention guidelines, and monitor and evaluate environmental impacts and trends	<ul style="list-style-type: none"> <li>- Ethiopia has prioritized capacity building at all levels in its Growth and Transformation Plan (GTP)</li> <li>- Support to women, youth and children are among the top priority of the Ethiopian government.</li> </ul>	<ul style="list-style-type: none"> <li>- Support to the establishment, strengthening and legalizing of CBOs, women, youth and children support organization in watershed or sub watershed in the identified geographic location.</li> <li>- Women, youth and environment</li> <li>- Training and awareness</li> <li>- Environment for the children</li> <li>- Community dialogue</li> <li>- Experience exchange</li> </ul>
<u>Cross-Cutting Results:</u> Poverty reduction, livelihoods and gender	<ul style="list-style-type: none"> <li>- Make the country middle-income by 2025.</li> <li>- Accelerated economic growth.</li> <li>- By 2015 double agri. productivity GTP (food security &amp; poverty reduction</li> <li>- Livelihood improvement</li> <li>- Green growth</li> <li>- Women economic &amp; political empowerment.</li> </ul>	<ul style="list-style-type: none"> <li>- In association with the focal areas of GEF, SGP will support interventions that have co-benefit of environmental, livelihood and gender including livelihood diversification, value chain development, capacity building, access to finance, information and technology.</li> </ul>

### **3. Capacity development, poverty reduction and gender results for SGP**

#### ***3.1. Ways of Addressing Capacity Development, Livelihood and Gender***

In addressing capacity development in general, the country programme encourages participatory planning, monitoring and evaluation of projects. This element will also be integrated into projects. On the other hand, stand alone projects solely on capacity building will be supported as separate projects.

During Project Concept Notes/Project Proposals preparation, the country programme provides pre-information on the overall aspect and modality of SGP to potential proponents having a plan to implement projects in the eligible geographic areas. This encourages CBOs/NGOs to submit CNs having the necessary information about SGP. Constructive comments will be given to the proponents by the NSC after reviewing their CNs/PPs. This will enable them to have a new or wider scope of thinking in implementing proposed projects. The other important element the country programme aims is to ensure the existence of partnerships between implementing grantees (CBOs/NGOs) and relevant stakeholders to implement the projects.

In terms of improving livelihood and local benefits, SGP-Ethiopia will encourage grantees to follow diversification of activities (on-farm and off-farm), advice proponents to increase production through agricultural intensification, promote equitable benefit sharing from enclosed/protected areas, encourage and support nature based enterprises, facilitate access to finance for community members and provide trainings related to livelihood improvement.

In view of addressing gender, the country programme:

- ✚ will give priority to those projects proposed to be implemented by women focus groups (women stand alone projects),
- ✚ encourages engagement of both women and men in the problem analysis of a project, its implementation, and in monitoring and evaluation
- ✚ ensure their representation in the project's executive committee (at least one third);
- ✚ set up gender specific indicators and reporting, and
- ✚ work on gender advocacy.

The fact that CBOs implement projects will ensure continuity of initiated activities because it is based on their felt needs. Project results will be retained in the community since most of the CBOs activities will be linked with income generating activities. Government's active participation and involvement in the projects implementation is also another important element to sustain the projects and build capacity in the process.

#### 4. OP5 Country Outcomes, Indicators and Activities

Table 3. Results Framework

Outcomes	Indicators	Means of verification	Activities
<b>SGP OP5 Immediate Objective 1: Improve sustainability of protected areas and indigenous and community conservation areas (ICCAs) through community-based actions</b>			
SGP BD Outcome 1.1: Improved community-level actions and practices, and reduced negative impacts on biodiversity resources in and around protected areas, and indigenous and community conservation areas	<ul style="list-style-type: none"> <li>- 1/3 rd of Awash National Park, Abijata Shala and 1/10 th of Gambella National Park and 1/4th of SMNP will be influenced through different interventions such as awareness raising, participate in the management of the park and benefit sharing, etc.</li> <li>- Freshwater lake eco system conservation status improved. 1/3 of Awassa and 1/10th of Lake Zeway shore rehabilitated and conserved.</li> </ul>	<ul style="list-style-type: none"> <li>- Project report</li> <li>- Monitoring Visit</li> <li>- Assessment reports</li> <li>-Discussion with local community and national park officials</li> </ul>	<ul style="list-style-type: none"> <li>- Awareness raising</li> <li>- Area closure and ecological restoration</li> <li>- Management by utilization of IAS and awareness raising.</li> <li>- Promotion of Farmers' Varieties (FV) and medicinal plants in home gardens</li> <li>- Physical soil and water conservation measures</li> <li>- Around the lake shore protection and reduced impact of land based activities.</li> </ul>
SGP BD Outcome 1.2: Benefits generated at the community level from conservation of biodiversity in and around protected areas and indigenous and community conservation areas,	5% of the annual revenue of the National Parks (Abijaya Shala, Awash, Alidege, SMNP, Netch Sar) will go to the communities living in and around the park. This will be clearly discussed with all concerned before and during the implementation of the project.	<ul style="list-style-type: none"> <li>- Project report</li> <li>- Monitoring Visit</li> <li>- Assessment reports</li> <li>-Discussion with local community</li> </ul>	<ul style="list-style-type: none"> <li>- Empowering community and enhance active engagement in protected area management through training, awareness raising, improving access to information, finance and appropriate technology.</li> <li>- Alternative livelihood (ecotourism, intensification of agriculture, value addition to their products.</li> <li>- Employment opportunities, sell of traditional handicraft, cultural show.</li> <li>- COMPACT modality</li> </ul>
SGP BD Outcome 1.4: Increased understanding and awareness at the community- level of the importance and value of biodiversity	Number of community members benefitted from awareness raising	<ul style="list-style-type: none"> <li>- Project report</li> <li>- Monitoring Visit</li> <li>- Assessment reports</li> <li>-Discussion with local community</li> </ul>	<ul style="list-style-type: none"> <li>- Awareness raising</li> <li>- Experience sharing</li> <li>- Training</li> <li>- Community dialogue</li> </ul>
<b>SGP OP5 Immediate Objective 2: Mainstream biodiversity conservation and sustainable use into production landscapes, seascapes and sectors through community initiatives and actions</b>			
SGP BD Outcome 2.1: Improved community-level sustainable use of biodiversity in production landscapes /	Communities will apply sustainable land use practice in about 52,000 hectares of land	<ul style="list-style-type: none"> <li>- Project report</li> <li>- Monitoring Visit</li> <li>- Assessment</li> </ul>	<ul style="list-style-type: none"> <li>- Watershed management, area closure, biological and physical soil and water conservation measures, agro-forestry, home gardens, integrated farming</li> </ul>

Outcomes	Indicators	Means of verification	Activities
seascapes through community-based initiatives, frameworks and market mechanisms, including recognized environmental standards that incorporate biodiversity considerations		reports	practices, agricultural diversification,
SGP BD Outcome 2.2: Increased understanding and awareness of sustainable use of biodiversity	Communities will apply sustainable land use practice in about 52,000 hectares of land (linked to outcome 2.1)	- Project report - Monitoring Visit - Assessment reports - Discussion with community	- Awareness raising, community conference and dialogue, experience sharing, preparation and dissemination of awareness raising materials. Support environmental clubs (women , youth and school).
SGP OP5 Immediate Objective 3: Promote the demonstration, development and transfer of low carbon technologies at the community level			
SGP CC Outcome 3.1: Innovative low-GHG technologies deployed and successfully demonstrated at the community level	39,600 community members demonstrating or deploying low-GHG technologies	- Project report - Monitoring Visit - Assessment reports - Discussion with community	- Support renewable energy including household and mini-grid PV system, small and micro-hydro power, wind and other solar energy technologies. - Energy saving technologies (bio-char, briquette, improved charcoal making, promotion - Improved agricultural and land use practice (compost, intercropping, supplementary irrigation, water technologies)
SGP CC Outcome 3.2: GHG emissions avoided	52,000 hectares of land under improved land use and climate proofing practices (linked to outcome 1)	- Project report - Monitoring Visit - Assessment reports	- Agro-forestry, composting, area closure, improved agricultural practices, conservation agriculture, re-forestation, afforestation, agro-fuels,
SGP OP5 Immediate Objective 4: Promote and support energy efficient, low carbon transport at the community level			
SGP CC Outcome 4.1: Low-GHG transport options demonstrated at the community level	Tonnes of CO2 (to be determined) avoided by implementing low carbon technologies. Low carbon transport practices	- Project report - Monitoring Visit - Assessment reports - Discussion with community	Non-motorized intermediate mode of transport

Outcomes	Indicators	Means of verification	Activities
<b>SGP OP5 Immediate Objective 5:</b> Support the conservation and enhancement of carbon stocks through sustainable management and climate proofing of land use, land use change and forestry			
SGP CC Outcome 5.1: Sustainable land use, land use change, and forestry management and climate proofing practices adopted at the community level for forest and non-forest land-use types	3,600 hectares of land applying sustainable forest, agricultural and water management practices	<ul style="list-style-type: none"> <li>- Project report</li> <li>- Monitoring Visit</li> <li>- Assessment reports</li> </ul>	<ul style="list-style-type: none"> <li>- Awareness raising public participation in Gambella and Binishangul Gumuz regions.</li> <li>- Community based sustainable forest management</li> </ul>
<b>SGP OP5 Immediate Objective 6:</b> Maintain or improve flow of agro-ecosystem and forest ecosystem services to sustain livelihoods of local communities			
SGP LD Outcome 6.1: Improved community-level actions and practices, and reduced negative impacts on agro-, and forest ecosystems and ecosystem services demonstrated to sustain ecosystem functionality	52,000 hectares of land applying sustainable forest, agricultural and water management practices (linked to outcome 2.1 above).	<ul style="list-style-type: none"> <li>- Project report</li> <li>- Monitoring Visit</li> <li>- Assessment reports</li> </ul>	<ul style="list-style-type: none"> <li>- Intensification and value chain development</li> <li>- Different soil and water conservation activities (physical, biological, water harvesting)</li> <li>- Area closure</li> <li>- Agro forestry and conservation agriculture</li> <li>- Afforestation</li> <li>- Improved soil and land management</li> <li>- Compost preparation</li> <li>- Support technologies (improved tools, seeds, etc).</li> </ul>
<b>SGP OP5 Immediate Objective 7:</b> Reduce pressures at community level from competing land uses (in the wider landscapes)			
SGP LD Outcome 7.1: Improved community level actions and practices, and reduced negative impacts in land use frontiers of agro-ecosystems and forest ecosystems (rural/urban, agriculture/forest)	3,600 communities demonstrating sustainable land and forest management practices (linked to outcome 5.1).	<ul style="list-style-type: none"> <li>- Project report</li> <li>- Monitoring Visit</li> <li>- Assessment reports</li> </ul>	<ul style="list-style-type: none"> <li>- Awareness raising</li> <li>- Sediment control</li> <li>- Control and prevention of Invasive Alien Species (IAS)</li> <li>- Awareness raising,</li> <li>- Alternative livelihood</li> <li>- Capacity building</li> </ul>
<b>SGP OP5 Immediate Objective 8:</b> Support transboundary water body management with community-based initiatives			
SGP IW Outcome 8.1: Effective and climate resilient community-based actions and practices supporting implementation of SAP regional priority actions demonstrated			

Outcomes	Indicators	Means of verification	Activities
<b>SGP OP5 Immediate Objective 9: Promote and support phase out of POPs and chemicals of global concern at community level</b>			
SGP CH Outcome 9.1: Improved community-level initiatives and actions to prevent, reduce and phase out POPs, harmful chemicals and other pollutants, manage contaminated sites in an environmentally sound manner, and mitigate environmental contamination	Kilograms of harmful chemicals avoided from utilization or release	<ul style="list-style-type: none"> <li>- Project report</li> <li>- Monitoring Visit</li> <li>- Assessment reports</li> </ul>	<ul style="list-style-type: none"> <li>- Awareness and educating on the use, handling and disposal of agro-chemicals including through school environmental clubs.</li> <li>- Demonstrate improved use and handling of chemicals particularly DDT</li> <li>- Promote the use of Integrated Pest Management/Integrated Vector Management (IVM)</li> <li>- Inventory and assessment of the magnitude of the problem.</li> </ul>
<b>SGP OP5 Immediate Objective 10: Enhance and strengthen capacities of CSOs (particularly community-based organizations and those of indigenous peoples) to engage in consultative processes, apply knowledge management to ensure adequate information flows, implement convention guidelines, and monitor and evaluate environmental impacts and trends</b>			
SGP CD Outcome 10.2: Improved information flows to/from CBOs and CSOs in SGP countries regarding good practices and lessons learned, and application of such practices	<ul style="list-style-type: none"> <li>- Two community-based environmental monitoring systems demonstrated (SMNP, Ziway fishery).</li> <li>- Five consultative mechanisms corresponding to five parks in association with Rio convention frameworks</li> <li>- Two local policies influenced (level of influence 0 – 1 – <u>2</u> – 3 – 4 )</li> </ul>	<ul style="list-style-type: none"> <li>- Project report</li> <li>- Monitoring Visit</li> <li>- Assessment reports</li> </ul>	<ul style="list-style-type: none"> <li>- Women, youth and environment</li> <li>- Training and awareness</li> <li>- Community dialogue</li> <li>- Experience exchange</li> <li>- Scrapping sub-standard fishing nets.</li> </ul>
SGP CD Outcome 10.4: Capacity of CBOs and CSOs strengthened to support implementation of global conventions	40 CBOs/NGOs will be established, strengthened and registered.	<ul style="list-style-type: none"> <li>- Monitoring Visit</li> <li>- Assessment reports</li> </ul>	<ul style="list-style-type: none"> <li>- Support to the establishment, strengthening and legalizing of CBOs, women, youth and children support organization in watershed or sub watershed in the identified geographic location.</li> <li>- Women, youth and environment</li> <li>- Training and awareness</li> <li>- Community dialogue</li> <li>- Experience exchange</li> </ul>
<b>SGP OP5 Immediate Objective: Cross cutting: Poverty, livelihoods and gender</b>			
SGP's Results Framework for OP5, as approved by the SGP Steering Committee, does not include	<ul style="list-style-type: none"> <li>- 26,400 households participating in the project.</li> <li>- 39,600 people will get access to clean drinking water</li> </ul>	<ul style="list-style-type: none"> <li>- Project report</li> <li>- Monitoring Visit</li> </ul>	Distributed across the focal areas above

Outcomes	Indicators	Means of verification	Activities
<p>specific objectives on livelihoods and gender. Nonetheless, SGP does produce positive results in these areas, which contribute to the overall achievement of Global Environmental Benefits through sustainable development. Generally, SGP seeks to improve livelihoods through increasing local benefits generated from environmental resources, and mainstream gender considerations in community-based environmental initiatives.</p>		<p>- Assessment reports - Discussion with community</p>	

The Outputs of different activities can be measured at the end of the project. The outcomes require already a longer period in order to demonstrate change, be it expected or unexpected. Also, in order to have an adequate representation to demonstrate change at outcome level, there needs to be a critical mass of completed activities to show change at larger scale. When it comes to impact, a behavioural change has to be visible in order to determine the level of impact. Indicative directions may be derived from regular monitoring and evaluation.

## 5. Monitoring & Evaluation plan

### 5.1. Monitoring & Evaluation plan for the portfolio of individual SGP projects

The M & E framework is generally envisaged to adopt both conventional and participatory approaches at all levels of intervention. These approaches appreciate the collection, analysis and compilation of both qualitative and quantitative data to be generated in the development process. This framework will provide basis for the assessment of impacts and constraints of the GEF-SGP projects on regular basis. It will address the changes the programme has brought at the level of program activities (community level) and impact at the national level.

The systematic identification of effects of the intervention on the environment and community members involved in the project is very important. This by and large is necessary in order to clarify whether the costs for a project are justified, enable the project leaders at different levels to draw lessons for improving the design as well as put ground for scaling up and expanding experiences and also strengthening accountability for results.



Emphasis will continue to be given to participation of all relevant stakeholders including government staff members as an integral aspect of monitoring and evaluation.

The program implementation should be properly monitored at all levels by taking the following important points into account:

- ✚ Establishment of baseline data at project level;
- ✚ Detailed project level M & E plan with simplified activity indicators;
- ✚ Physical and financial performance of projects against their set targets;
- ✚ Reasons for outstanding success or failure in performance;
- ✚ Problems encountered, their sources, actions taken and recommendations on future actions to be taken;
- ✚ Level and type of community participation;
- ✚ Lessons learnt/identification of promising or viable approaches to environmental issues that can be scaled up or replicated;
- ✚ Allocating resources for M&E activities at the project level during the project design phase.

The general components of monitoring for the project implementation include:

- ✚ Field visits by NC/NSC: Each project will be visited and monitored four times during the project period. Initial visit will be made before and during project start-up. The second visit will be made following the reporting on the first tranche transfer, and the remaining third and fourth visits will also follow in the same manner.
- ✚ Activity reports by project proponents;
- ✚ Evaluation of work by project proponents, NC and NCS members and/or other partners;
- ✚ Project mid-term, annual and biannual reviews.

All concerned government and relevant stakeholders should collaborate in monitoring and evaluating project performance and provide feedback to the programme office.

SGP Ethiopia will be accountable to follow up the different reports expected from project proponents. To facilitate this, the following reports are expected from grantee NGOs and CBOs:

- *Project level reporting*
  - ✚ Progress and financial reports as per agreed timelines, reflecting work accomplished, challenges faced, results achieved, short and long term benefits in the preceding quarter and outline of the plan for the next quarter;
  - ✚ Project Terminal Report.

- *Program / Country level reporting*
  - ✚ Progress report at the country level; the NSC, NC and other relevant stakeholders would assess the SGPs progress and impact;
  - ✚ Annual report, assessment of the Country Programme performance;
  - ✚ In all periodic project progress reports the following points shall be given due focus:
    - ✚ Project results and achievements,
    - ✚ Amount of funds disbursed to grantees;
    - ✚ Identification of viable new approaches;
    - ✚ Linkages established with partners at different levels;
    - ✚ Co-financing availed, etc

On the completion of each operational phase, an assessment on the overall projects implementation/performance will be carried out with the objective of finding “good practices and innovations”, draw lessons and provide options for future environment related development intervention at the national and regional levels, identifying areas where improvement may be necessary to enhance impact.

## 5.2. *Participation of Local Stakeholders*

Local stakeholders including local government are part and parcel of the project planned through their full support and involvement. This could be done through providing technical assistance, co-financing (in-cash and/or in-kind). Besides, the activities to be carried out are part of the local government development plan.

Involvement of the local stakeholders will be from planning phase through implementation phase, through active participation of the different hierarchies in the government offices.

Progress will be documented in each agreed timeline of the projects through monitoring reports by the local stakeholders.

Table 4. M&E Plan at the Project Level

<b>SGP Individual Project Level</b>		
<b>M&amp;E Activity</b>	<b>Responsible Parties</b>	<b>Timeframe</b>
Participatory Project Monitoring	Grantees	Duration of project
Baseline Data Collection <sup>2</sup>	Grantees, NC	At project concept planning and proposal stage
Two or Three Project Progress and Financial Reports <i>(depending on agreed disbursement schedule)</i>	Grantees, NC, PA	At each disbursement request

<sup>2</sup> Capacity-development workshops and M&E trainings may be organized in relation to innovative techniques for community monitoring, including new technologies (i.e. GPS-enabled cameras, aerial photos, participatory GIS, etc.); as well as in response to guidelines for “climate proofing” of GEF focal area interventions; REDD+ standards; and/or other specific donor/co-financing requirements.

<b>SGP Individual Project Level</b>		
<b>M&amp;E Activity</b>	<b>Responsible Parties</b>	<b>Timeframe</b>
Project Workplans	Grantees, NC, PA	Duration of project
NC Project Proposal Site Visit (as necessary / cost effective <sup>3</sup> )	NC	Before project approval, as appropriate
NC Project Monitoring Site Visit (as necessary / cost effective)	NC	On average once per year, as appropriate
NC Project Evaluation Site Visit (as necessary / cost effective)	NC	At end of project, as appropriate
Project Final Report	Grantees	Following completion of project activities
Project Evaluation Report (as necessary / cost effective)	NC, NSC, External party	Following completion of project activities
Prepare project description to be incorporated into global project database	PA, NC	At start of project, and ongoing as appropriate

### 5.3. *Aggregating of Individual Projects*

Standardized and comparable list of indicators for projects envisaged for implementation will be prepared at an initial stage. Achievements on these targets will be updated during grantees' progress reports which will enable the country programme to have an aggregated data as and when needed.

Target indicators for focal and multi-focal area outcomes are explained in Section 4.

Table 5. M&E Plan at the Programme Level

<b>SGP Country Programme Level</b>		
<b>M&amp;E Activity</b>	<b>Responsible Parties</b>	<b>Timeframe</b>
Country Programme Strategy Review	NSC, NC, CPMT	Start of OP5
Strategic Country Portfolio Review	NSC, NC	Once during OP5
NSC Meetings	NSC, NC, UNDP CO	Minimum twice per year
Performance and Results Assessment (PRA) of NC Performance	NC, NSC, UNDP CO, CPMT, UNOPS	Once per year
Country Programme Review resulting in Annual Country Report <sup>4</sup>	NC presenting to NSC and CPMT	Once per year
Financial 4-in-1 Report	NC/PA, UNOPS	Quarterly

<sup>3</sup> To ensure cost-effectiveness, project level M&E activities, including project site visits, will be conducted on a discretionary basis, based on internally assessed criteria including (but not limited to) project size and complexity, potential and realized risks, and security parameters.

<sup>4</sup> The annual Country Programme Review exercise should be carried out in consultation with the national Rio Convention focal points and the associated reporting requirements.

## **6. Knowledge Management Plan**

### ***6.1. Capturing, Sharing, and Disseminating Plans***

As part of capturing information on projects' implementation process, each project is required to allocate budget for Knowledge Management integrated into the proposed project through which they will have the means to capture and share progress of their projects and good practices.

On the other hand, documenting of good practices and lessons learned from SGP projects can be done and shared through a Knowledge and Best Practice Fair to be funded by the country programme. Same information can be disseminated through various KM products such as brochures, annual reports, photo-stories, posters, videos, etc...

Another way of addressing this will be through establishment of grantees network to share lessons learned among them. Provision of digital and video cameras, motor cycles to selected grantees will be done to enable them document progress, good practices and lessons learned and share them. This will be done through some resource leveraged from Forum for Environment.

### ***6.2. Policy Influencing at Local, Regional and National Level***

The regular quarterly reporting requirement to the OFP, i.e., to the Federal Environmental Protection Authority (EPA), the permanent membership of both the OFP and PFP in the NSC puts SGP-Ethiopia in an advantage to forward and inform its progress and good practices to these influential government bodies, thereby gives an opportunity for these bodies to inform regional and zonal level offices to adopt such practices in their specific context.

In addition to this, the country programme shares its good practices from grantees at various forums and meetings. The country programme will also strengthen its linkage to UNDP CO's Climate Change Portfolio, GEF's MSP and FSPs as well as GEF implementing agencies.

### ***6.3. Replicating and Up-scaling Plans***

The country programme will leverage lessons learned from successful projects and disseminate them for replication and up scaling through tailoring of information and knowledge dissemination based on "fit-for-purpose" principle focusing on target group profiles. This includes keeping the information as relevant and concise as possible to enable the recipients apply the processes, methodologies and circumstances as per their specific context.

Organization of experience sharing and field visits can be made among different grantees to enable them interact and visualize achievements on the ground.

## **7. Resource Mobilization Plan**

### ***7.1. Diversification of funding sources and co-financing of management costs***

GEF/SGP interventions can catalyze the mobilization of local resources that further strengthen the ownership of interventions and contribute to sustainability of achieved results. These resources may come from individuals, formal or non-formal community associations, NGOs, government and other partners.

In light of enhancing sustainability of the country programme, SGP Ethiopia plans to leverage funding from different sources that help address sustainable development concerns to achieve greater impact. The country programme will make effort to mobilize resources during OP5 from bilateral and multilateral donors, international foundations, local and international NGOs, government, communities and private sectors.

Activities for which support will be sought from donors are those complementing GEF/SGP related activities providing synergies, creating awareness, enhancing partnerships and/or linkages, increasing participation and improving livelihoods. These complementing activities are not necessarily required to fulfil the GEF/SGP criteria, but will enhance the integrated approach resulting in broader fundamental changes in target communities, which is one of the key guiding principles of SGP Ethiopia's Country Programme Strategy.

To materialise the resource mobilization strategy of SGP Ethiopia, a combination of methods and approaches will be applied. These can include:

- ✚ Establishing direct formal and informal communications with bilateral and multilateral donors, NGOs and other potential sources for additional support;
- ✚ Creating and disseminating promotional materials (brochures, leaflets, booklets, newsletters, posters, videos etc.);
- ✚ Acting as an interlocutor between communities and potential sources for resources;

In the process of soliciting co-financing from donors, it is a standard practice to allocate a certain percentage of the co-financing obtained for SGP's management costs. Hence, the country programme will negotiate for a reasonable amount to cover its management costs.

### ***7.2. Possibilities to Develop Strategic Partnerships***

Local communities are at the core of the resource mobilization strategy. For communities themselves, their capacity to attract and mobilize resources is one key empowering factor that will also have a crucial impact on sustainability. Therefore, communities will be supported to mobilize financial and non-financial resources from local level. GEF/SGP country programme and UNDP Ethiopia Country Office can also play important role in linking communities directly with potential sources of additional support. Currently, the capacity and awareness of communities to mobilize resources is very limited, and thus will require supporting interventions. SGP Ethiopia can also support communities in this

respect by linking them with local or international NGOs and other development partners that have the capacity to improve communities' resource mobilization potential. In-kind contributions will form an essential type of additional resources to be mobilised. The target communities will be able to contribute in-kind contributions, which may also be a requirement for project approval. In-kind contributions will also enhance participation, empowerment, ownership and sustainability of interventions.

Regional and federal government can explore a resource for co-financing GEF-SGP either in-cash or in-kind. In addition, small scale business enterprises established by grantees will be highly encouraged to take up environmental related activities. Technical support from partners is also an important part of in-kind contributions that will be highly encouraged by SGP. Especially in Ethiopia, the technical capacity to plan, implement and monitor projects are very limited, and thus, such kind of support will be even more crucial for success.

Potential private sectors will also be contacted to co-finance SGP projects thereby discharging their corporate/social responsibilities towards the community.

UNDP Ethiopia Country Office (CO) can support the GEF/SGP in terms of mobilising resources in many ways. UNDP Ethiopia's Environment Programme is going to continue with concentrated focus on Climate Change during the next country programme cycle (starting January 2011). It is also implementing a number of GEF activities in the country. These programmes and projects can be linked with GEF/SGP Ethiopia, where synergies and mutually beneficial partnerships are found. Also, UNDP CO may link GEF/SGP with other UN agencies' programmes and project which may be GEF related or complementary. The Country Office can also link GEF/SGP Ethiopia with donors, which have strong relationships with UNDP, and which are interested in supporting community initiatives or work with environmental and capacity building issues.

## ANNEX 1: GEF SGP OP 5 PROJECT LEVEL INDICATORS

The following represent the core set of project level indicators for OP5:

<b>SGP OP5 results indicators</b>	
<b>BD1</b>	<ul style="list-style-type: none"> <li>○ Hectares of indigenous and community conserved areas (ICCAs) influenced</li> <li>○ Hectares of protected areas influenced</li> <li>○ Hectares of significant ecosystems with improved conservation status</li> </ul>
<b>BD2</b>	<ul style="list-style-type: none"> <li>○ Hectares of production landscapes / seascapes applying sustainable use practices</li> <li>○ Total value of biodiversity products/ecosystem services produced (US dollar equivalent)</li> </ul>
<b>CCM3</b>	<ul style="list-style-type: none"> <li>○ Tonnes of CO2 avoided by implementing low carbon technologies: <ul style="list-style-type: none"> <li>▪ Renewable energy measures (please specify)</li> <li>▪ Energy efficiency measures (please specify)</li> <li>▪ Other (please specify)</li> </ul> </li> <li>○ Number of community members demonstrating or deploying low-GHG technologies</li> <li>○ Total value of energy or technology services provided (US dollar equivalent)</li> </ul>
<b>CCM4</b>	<ul style="list-style-type: none"> <li>○ Tonnes of CO2 avoided by implementing low carbon technologies: <ul style="list-style-type: none"> <li>▪ Low carbon transport practices (please specify)</li> </ul> </li> <li>○ Total value of transport services provided (US dollar equivalent)</li> </ul>
<b>CCM5</b>	<ul style="list-style-type: none"> <li>○ Hectares of land under improved land use and climate proofing practices</li> <li>○ Tonnes of CO2 avoided through improved land use and climate proofing practices</li> </ul>
<b>LD6</b>	<ul style="list-style-type: none"> <li>○ Hectares of land applying sustainable forest, agricultural and water management practices</li> <li>○ Hectares of degraded land restored and rehabilitated</li> </ul>
<b>LD7</b>	<ul style="list-style-type: none"> <li>○ Number of communities demonstrating sustainable land and forest management practices</li> </ul>
<b>IW8</b>	<ul style="list-style-type: none"> <li>○ Hectares of river/lake basins applying sustainable management practices and contributing to implementation of SAPs</li> <li>○ Hectares of marine/coastal areas or fishing grounds managed sustainably</li> <li>○ Tonnes of land-based pollution avoided</li> </ul>
<b>POPS9</b>	<ul style="list-style-type: none"> <li>○ Tons of solid waste prevented from burning by alternative disposal</li> <li>○ Kilograms of obsolete pesticides disposed of appropriately</li> <li>○ Kilograms of harmful chemicals avoided from utilization or release</li> </ul>
<b>CD10</b>	<ul style="list-style-type: none"> <li>○ Number of consultative mechanisms established for Rio convention frameworks</li> <li>○ Number of community-based monitoring systems demonstrated (please specify)</li> <li>○ Number of new technologies developed /applied (please specify)</li> <li>○ Number of local or regional policies influenced (level of influence 0 – 1 – 2 – 3 – 4 – 5)</li> <li>○ Number of national policies influenced (level of influence 0 – 1 – 2 – 3 – 4 – 5)</li> <li>○ Number of people trained on: project development, monitoring, evaluation and etc. (to be specified according to type of training)</li> </ul>
<b>Cross-cutting</b>	<p><b>Livelihoods &amp; Sustainable Development:</b></p> <ul style="list-style-type: none"> <li>○ Number of participating community members (gender disaggregated) (Note: mandatory for all projects)</li> </ul>



### SGP OP5 results indicators

- Number of days of food shortage reduced
- Number of increased student days participating in schools
- Number of households who get access to clean drinking water
- Increase in purchasing power by reduced spending, increased income, and/or other means (US dollar equivalent)
- Total value of investments (e.g. infrastructure, equipment, supplies) in US Dollars (Note: estimated economic impact of investments to be determined by multiplying infrastructure investments by 5, all others by 3).

**Empowerment:**

- Number of NGOs/CBOs formed or registered
- Number of indigenous peoples directly supported
- Number of women-led projects supported
- Number of quality standards/labels achieved or innovative financial mechanisms put in place