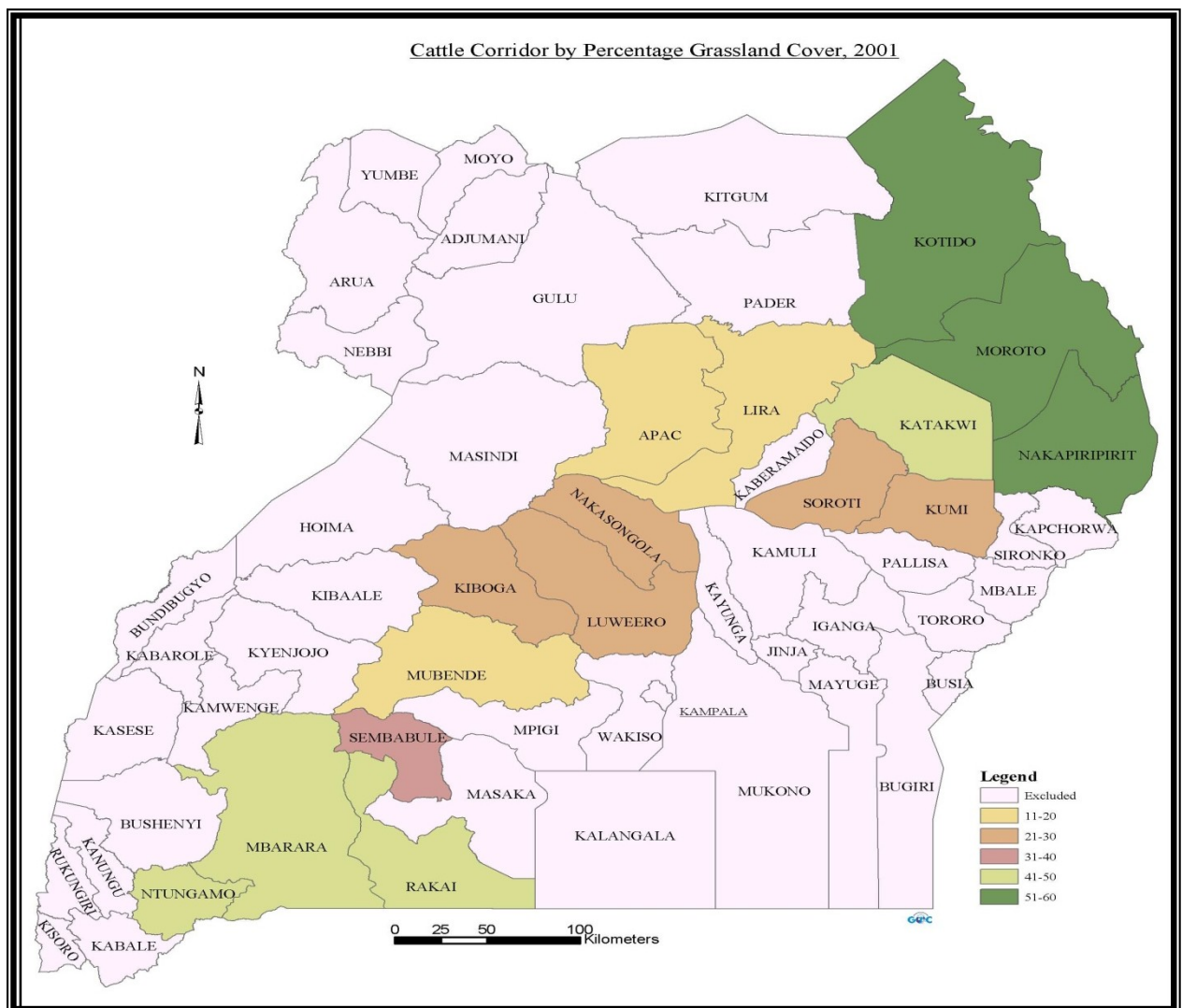




GEF SGP Uganda Program Strategy for Utilization of OP5 Grant Funds



Country:

UGANDA

Resources to be invested: **US\$ 3,730,000**
 Period: **2011-2014**

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List of Acronyms

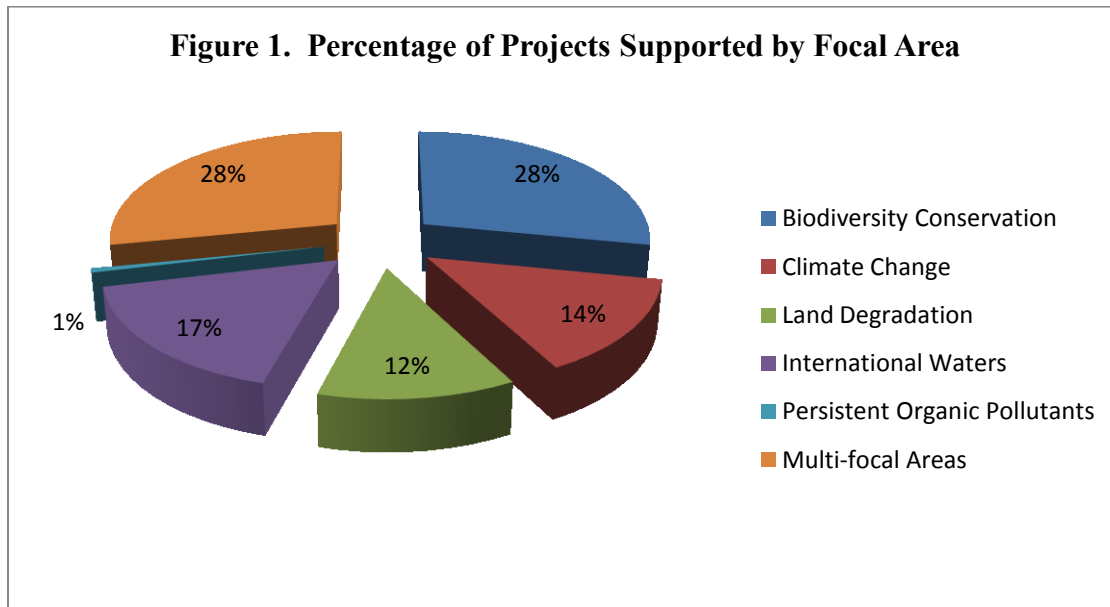
BC	Bio-diversity Conservation Focal Area
CBD	Convention on Biological Diversity
CC	Climate Change Focal Area
CO2	Carbon Dioxide
CPAP	Country Programme Action Plan
CPMT	Central Programme Management Team
CPS	Country Program Strategy
CSO	Civil Society Organization
ECOTRUST	Ecological Trust of Uganda
ET	Eco-tourism
FSP	Full Size Project
GEF	Global Environment Fund
GHG	Greenhouse Gases
ICCA	Indigenous Community Conserved Areas
IUCN	International Union for the Conservation of Nature
IW	International Waters Focal Area
KAFRED	Kibale Association for Rural Education and Development
KM	Knowledge Management
LD	Land Degradation Focal Area
M&E	Monitoring and Evaluation
MEAs	Multilateral Environmental Agreements
NAADS	National Agricultural Advisory Service
NAMA	Nationally Appropriate Mitigation Actions
NAP	National Action Programs
NBI	Nile Basin Initiative
NBSAP	National Biodiversity Strategy and Action Plan
NC	National Coordinator
NCSA	National Capacity Self-Assessment
NDP	National Development Plan
NFA	National Forestry Authority
NGO	Non-Government Organization
NIP	National Implementation Plan
NPFE	National Portfolio Formulation Exercise
NSC	National Steering Committee
NTEAP	Nile Trans-boundary Environmental Action Project
OP3	Operational Phase Three
OP4	Operational Phase Four
OP5	Operational Phase Five

PA	Program Assistant
PA	Protected Area
PAs	Protected Areas
PMA	Plan for Modernization of Agriculture
POP	Persistent Organic Pollutant
PRA	Performance and Results Assessment
PROBICOU	Pro-biodiversity Conservationists in Uganda
PRSP	Poverty Reduction Strategy Paper
PV	Participatory Video
SAICM	Strategic Approach to International Chemical Management
SAPs	Strategic Action Programmes for shared international water-bodies
SC	Stockholm Convention
SGP	Small Grants Program
STAR	System of Transparent Allocation of Resources
TACC	Territorial Approach to Climate Change
TRAC	Target resource assignment from the core
UK	United Kingdom
UNCCD	United Nations Convention to Combat Desertification
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Program
UNEP	United Nations Environment Program
UNFCCC	United Nations Framework Convention on Climate Change
UNOPS	United Nations Office for Project Services
UWA	Uganda Wildlife Authority
WWF	World Wildlife Fund

1. GEF SGP Country Program - Summary Background

1.1 GEF SGP Country Program Achievements

The Global Environment Facility Small Grants Program (GEF SGP) started working in Uganda in 1997 and has committed US\$ 4,465,811 in grants to a total of 156 projects over the years. Project partners contributed 65% of the funds – 33% in kind, and 32% in cash. The proportion of projects supported in each of the five GEF focal areas is shown in Figure 1. The project activities contributed to achievement of the following objectives: increased global environmental benefits, reduced poverty, improved livelihoods, enhanced policy, improved local governance and capacities of Ugandans to address environment and development issues.



A total of 7 SGP-supported projects received national and international awards for outstanding achievements. For example, Kibale Association for Rural Education and Development (KAFRED) won the Equator Partnership award twice - in the years 2004 and in 2010. KAFRED was recognized for outstanding community efforts to reduce poverty through conservation and sustainable use of biodiversity. Its ecotourism project contributed to conservation of biodiversity in Kibale National Park.

The program has demonstrated that it is an efficient funds delivery mechanism for community-based efforts and it has been copied and used to deliver funds for other major donors, such as, UNEP NEPAD micro-grants as well as the World Bank NTEAP micro-grants. Through SGP the capacity of indigenous institutions, especially civil society organizations and their local government partners has been built resulting in positive working relationships. In addition, it has led to better advocacy in the development of and/or improvement in environment and sustainable development policies. Successes and lessons learned from SGP projects have contributed to changes in government policy and that of other institutions/programs.

Some GEF SGP projects have led to larger initiatives through mainstreaming, while model projects initiated by SGP have been replicated by other non-SGP projects and programs. The

good practices or innovative technologies developed by SGP have been utilized by others to improve their projects and programs.

Having been operational for 13 years with grants delivered totaling less than US\$ 6 million, the Uganda SGP country program GEF-5 status is category 2c.

1.2.1 Key Baseline Considerations for the GEF SGP CPS

The program has a rich portfolio of projects with most already completed and many sustained. In addition, it has strong local networks of grantees and local NGOs that are influencing local, national development planning and policy-making. The NSC is active in influencing policy and resource mobilization; and meets the 1:1 cash and in-kind co-financing requirement.

In that regard, it can be considered a mature GEF SGP country program that in the course of OP-5 should be moving towards upgrading by focusing on establishing a Knowledge Management (KM) platform or network; developing the capacity to take on the design and management of a Full Size Project (FSP) equivalent program modality; continuing to raise high co-financing; developing a program well-integrated with the national environmental priorities; up-scaling and replicating successful projects; encouraging multifocal area projects; and having institutionalized strong civil society and government collaboration.

Biodiversity Conservation

Uganda is endowed with rich biodiversity of over 18,783 plant and animal species, mostly found in protected areas. Species outside protected areas are threatened mostly by expansion of agricultural land and exploitation without replacing them. Indigenous communities living close to protected areas have demonstrated a great understanding of the need to conserve biodiversity for sustainable use, especially for food, medicine and crafts.

During OP5, GEF SGP will work with indigenous communities for sustainable management of various species, e.g. medicinal plants. The Batwa project supported in OP4 will be up-scaled, and indigenous communities in northern and eastern Uganda will replicate some of the lessons learnt from it. In addition, GEF SGP will support the conservation of certain plant species found outside protected areas, such as the Shea tree and Gum Arabic, by promoting good quality high value products, organic certification, and linkages to markets.

Climate Change

Agriculture, to which over 80% of Uganda's population depends, is rain-fed, and is therefore vulnerable to the adverse effects of climate change. Increased frequencies and severity of droughts, floods, landslides, windstorms and hailstones make up about 70% of natural disasters in Uganda and cause annual crop destruction estimated at an average of 800,000 hectares and economic losses over UGX 120 billion (NDP 2010/11 – 2014/15). In addition, human lives and property are lost during these disasters. Climate change is thus posing a serious threat to Uganda's natural resources, social and economic development.

GEF SGP plans to replicate and scale up some of the successful projects supported during OP3 and OP4 which contribute to increased carbon stocks and have potential to contribute to reduction in GHGs. These projects demonstrated the use of energy-saving stoves at household and institutional level, waste recycling, as well as solar energy. New projects will involve the promotion of non-food bio-fuels, use of wind energy, and support to carbon trade.

Land Degradation

It is estimated that the population of Uganda rose from 24.7 million people in the year 2002 up to 30.7 million people in the year 2009, and the average growth rate was 3.4% per annum. However, the growth rate was highest in arid areas: 9.7% in Kotido; and 6% in Moroto and Nakapiripirit making them more vulnerable (National Census, 2002). The population is increasing at a high rate yet the land area remains fixed thus leading to a high demand for land resources.

To reduce land degradation in OP5, GEF SGP will support CSOs that are interested in organic certification of coffee which requires a comprehensive package of land management practices. In addition, successful sustainable land management projects supported in OP4, e.g. the Minani Project on Sustainable Land Management, will be up-scaled to increase impact.

International Waters

Uganda's major water resources are trans-boundary in nature and they require strategic regional and international cooperation. The estimated total renewable fresh water resources are 66 km³/year. Due to the rise in population, the volume of water per capita decreased from 2,800m³ in the year 2002 to 2,200m³ in 2008 (NDP 2010/11-2014/15). In the region, there are two major on-going initiatives in Trans-boundary Water Resources Management: the Lake Victoria Basin Commission that involves the 5 East African Community member states; and the Nile Basin Initiative which involves 10 countries in the river basin.

The Nile Trans-boundary Environmental Action Project (NTEAP) of NBI which was implemented from 2004 to 2009 operated a micro-grants program which supported 26 community organizations involved in integrated water resources management in various parts of Uganda. The NTEAP micro-grants program was managed in collaboration with GEF SGP. During OP5, SGP will scale up and replicate some of the successful micro-projects that were supported by NTEAP, continue collaborating with NBI, and seek partnership with the Lake Victoria Basin Commission.

Persistent Organic Pollutants

The capacity of the civil society fraternity in Uganda is strong in the biodiversity, land degradation, climate change and international waters focal areas leading to a high project portfolio in these focal areas and a very low portfolio in the Persistent Organic Pollutants (POPs) focal area where capacity and awareness is very low. The government Plan for Modernization of Agriculture (PMA) promotes increased use of chemicals for optimum crop and livestock yields. In addition, the health sector is conducting a mass spraying of DDT for controlling mosquito populations in an attempt to reduce malaria in the country.

During OP5 SGP will heighten awareness of POPs and build capacity among the civil society fraternity that have shown interest in and demonstrated commitment to addressing POPs issues. The PROBICOU project supported during OP4 will be replicated to improve management of clinical waste in hospitals. New projects on management of agricultural chemicals will be supported.

1.2.2 Major Partnerships and Existing Sources of Co-financing

Over the previous operational phases the program has developed partnerships with various institutions and programs/projects including: grantees, bilateral donors, international NGOs, national and local government agencies, service organizations, universities, the private sector, the GEF large and medium scale projects, UNDP core programs and UNEP funds.

Major partnerships:

- ◇ Capacity-building of CSOs in collaboration with IUCN
- ◇ Co-hosting and coordinating the Nile Trans boundary Environmental Action Project (NTEAP) micro-grants program
- ◇ Coordinating the UNEP Multilateral Environmental Agreements (MEAs) Project micro-grants program
- ◇ Working with the Resource Alliance UK to build capacity of grantees in resource mobilization, management and financial sustainability
- ◇ Working with PROBICOU (grantee) to design and later coordinate implementation of the UNEP/UNDP SAICM project
- ◇ GEF SGP lessons guiding the Territorial Approach to Climate Change (TACC) Project

The existing sources of co-financing include: grantees; local governments; UNEP SAICM Fund; UNDP Core Funds and other donor funded programs like the French Embassy Social Action Fund, and Independent Development Fund.

2. GEF SGP Country Program Niche

The country program will consider the provisions in the relevant international and national conventions and planning frameworks during implementation of the CPS. Table 1 specifies the appropriate conventions and frameworks that have been ratified by Uganda.

Table1. Relevant conventions and national / regional plans or programs

Rio Conventions + national planning frameworks	Date of ratification / completion
UN Convention on Biological Diversity (CBD)	Nov 30, 2001
CBD National Biodiversity Strategy and Action Plan (NBSAP)	Dec 20, 2006
UN Framework Convention on Climate Change (UNFCCC)	Sep 08, 1993
UNFCCC National Communications (1 st , 2 nd , 3 rd)	Oct 26, 2002

UNFCCC Nationally Appropriate Mitigation Actions (NAMA)	-
UN Convention to Combat Desertification (UNCCD)	Jun 25, 1997
UNCCD National Action Programs (NAP)	2000
Stockholm Convention (SC)	Jul 20, 2004
SC National Implementation Plan (NIP)	Jan 13, 2001
World Bank Poverty Reduction Strategy Paper (PRSP)	Mar 31, 2010
GEF National Capacity Self-Assessment (NCSA)	Feb 25, 2002
GEF-5 National Portfolio Formulation Exercise (NPFE)	-
Strategic Action Programs (SAPs) for shared international water-bodies	Feb 02, 2009

2.2 Implementation of National Priorities in Relation to GEF-5 Strategic Priorities

The national priorities related to the GEF focal areas are listed in Table 2. The SGP country program will strategically contribute to the global environmental benefits by: replicating and up-scaling successful projects that were completed in the past; improving knowledge management; increasing the capacity of civil society organizations; influencing policy; strengthening partnerships; and resource mobilization.

In addition, the GEF SGP country program will support civil society organizations to implement some new projects that address both national and GEF 5 strategic priorities. Projects usually address integrated activities that contribute to achievements in more than one focal area. The activities in the last column of Table 2 are therefore just indicative of areas that may be addressed in each focal area, but community projects may include several activities. Achievement of synergies among focal areas will be encouraged before preparation of project proposals for funding in order to address several community needs.

Table 2. Consistency with National Priorities

OP5 project objectives	National priorities	SGP niche
<u>SGP OP5 Immediate Objective 1:</u> Improve sustainability of protected areas and indigenous and community conservation areas through community-based actions	To conserve and sustainably manage the wildlife and the protected areas of Uganda in partnership with neighbouring communities and other stakeholders, for the benefit of the people of Uganda and the global community	Partner with UWA, NFA, Wetlands Department, and work with indigenous communities neighbouring protected areas e.g. Ndorobo of Mt Elgon, Ik in Moroto, Bakonjo in Semliki, to improve conservation. Scale up Batwa and Karamojong projects
OP5 project objectives	National priorities	SGP niche
<u>SGP OP5 Immediate Objective 2:</u>	Mainstream environmental concerns in all sector policies and	Scale up Mabira ET project. Support

<p>Mainstream biodiversity conservation and sustainable use into production landscapes, seascapes and sectors through community initiatives and actions</p>	<p>plans. Promote public participation in community environment conservation programs as a means of reducing poverty. Create awareness on the standards and quality issues; and enforce standards of products.</p>	<p>communities to conserve local plant species to attain organic certification, obtain high quality products for sale; and link communities to markets e.g. private companies. Examples of plants include: <i>Vitellaria paradoxa</i> (Shea tree) – replicate Moyo, Amuria, and Adjumani Shea projects; <i>Balanites spp</i>; <i>Acacia senegal</i> (Gum Arabic) landscapes; savanna woodlands –<i>spp.</i> in dry areas; and crop landraces – <i>Solanum spp.</i></p>
<p><u>SGP OP5 Immediate Objective 3:</u> Promote the demonstration, development and transfer of low carbon technologies at the community level</p>	<p>Promote and facilitate the use of renewable energy technologies at household and institutional levels. Train artisans, install demonstrations and provide subsidies. Invest in wind power generation.</p>	<p>Scale up projects on energy-saving stoves at both institutional and household level. Replicate use of renewable energy technology e.g. solar. Promote alternative fuels, and waste recycling and re-use.</p>
<p><u>SGP OP5 Immediate Objective 4:</u> Promote and support energy efficient, low carbon transport at the community level</p>	<p>Develop and implement strategy for bio-fuel crop growing. Develop and implement legislation for fuel blending.</p>	<p>Support communities growing <i>Jatropha curcas</i> and <i>Ricinus communis</i> in line with government strategy for non-food bio-fuel crops</p>
<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>	<p>Enhance implementation of the National Forestry Plan; Promote private sector investment in privately-owned forests; Promote participation in Carbon Trade</p>	<p>Promote community commitment to carbon stocks and trade. Partner with Uganda Carbon Bureau, ECOTRUST, Katoomba Group, and Nature Harness Initiative</p>
<p><u>SGP OP5 Immediate Objective 6:</u> Maintain or improve flow of agro-ecosystem and forest ecosystem services to sustain livelihoods of local communities</p>	<p>Enhance productivity of land through sustainable land use and management of soil and water resources. Improve capacity for quality assurance, and safety standards for crop, livestock and fisheries products</p>	<p>Support organic certification of coffee farmers where land conservation practices are promoted as a package to rehabilitate large acreages of degraded land.</p>

OP5 project objectives	National priorities	SGP niche
<u>SGP OP5 Immediate Objective 7:</u> Reduce pressures at community level from competing land uses (in the wider landscapes)	Disseminate and implement National Land Use Policy and raise awareness of its contents at community level. Prepare and implement model land use plans for northern Uganda.	
<u>SGP OP5 Immediate Objective 8:</u> Support trans-boundary water body management with community-based initiatives	Formulate policy and design regulatory framework to guide Uganda in effective participation in trans-boundary water resource management. Train stakeholders in Integrated Water Resource Management.	Scale up some of the successful projects initiated by the Nile Trans-boundary Environment Action Project (NTEAP)
<u>SGP OP5 Immediate Objective 9:</u> Promote and support phase out of POPs and chemicals of global concern at community level	Develop national and sectoral chemical profiles. Build capacity for sound chemical management. Implement priority areas in national profile for chemical management	Partner with UNEP SAICM to support a community project on chemical management in agricultural ecosystems
<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		Promote capacity-building activities, such as workshops, cross-visits, dissemination of information; participation in conferences and exhibitions on national and World Event Days. Ensure implementation of monitoring and evaluation plans of supported projects. Promote networking.
<u>Cross-Cutting Results:</u> Poverty reduction, livelihoods and gender		Ensure integration of poverty-reduction activities, livelihood improvement, and gender analysis in all supported projects

2.3 Geographical Focus Area

Proposed Geographical Focus Area

See map on cover page.

GEF SGP will focus the cattle corridor. It is a savanna woodland which is vulnerable to several environmental challenges especially loss of biodiversity, climate change, land degradation, and POPs from chemicals used in livestock management. The Mount Elgon Ecosystem will be included in the geographical focus, since they are disaster area declared by government of Uganda due to increasing incidences with landslides. It will also strength and compliment GEF SGP existing partnerships with the TACC and EBA projects. Further, Innovative projects outside the geographical focus area may be considered for funding.

3.0 Capacity Development, Poverty Reduction and Gender Results for GEF SGP

3.1.1 Capacity Development of CSOs

Pre- and post-proposal awareness creation will be undertaken among the NGOs and CBOs to help them relate their planned activities to the GEF focal areas and to subsequently raise understanding among other stakeholders. The NC/PA and the NSC will endeavour to include this aspect in their day-to-day interactions/meetings with project proponents, grantees and also during outreach activities like workshops, seminars, conferences and commemorative events.

The proposal screening, review and approval processes undertaken by the NC/PA and NSC shall give preference to projects that link GEF focal areas to opportunities for quick tangible benefits. These are very attractive to CBOs and NGOs because they reduce their uncertainty, foster sustainability and are easy to replicate with or without additional funding.

The NC/PA shall endeavour to confirm strong evidence of participatory planning and decision-making in the project design and proposal development prior to selection of the proposal for NSC review. In addition, the proposed community contributions, whether in cash or kind shall be confirmed, acknowledged and recorded. This is vital for conferring ownership among CBOs/NGOs.

Efforts shall be made to actualize the creation of a framework for learning through regular grantee sharing workshops in order to help the SGP management team, NSC and the CBOs and NGOs to adapt new strategies during the implementation.

More often than not the “hot spots” for any of the GEF focal areas does not necessarily have capable CBOs/NGOs to initiate proposals to address the problems according to the standards expected by the NSC. The NC will float a special call for capacity building support proposals for a full-size grant to be awarded to the winning proponent that will undertake to provide the requisite technical assistance to such entities. This support could also take the form of establishing partnerships between such entities and capable NGOs that shall provide the requisite technical assistance during the project identification, design, proposal formulation and

implementation processes. This will build resident capacity that will sustain the project interventions.

The award of SGP grants by CBOs/NGOs opens them up to new challenges of capacity building and often, training alone does not go far to build that capacity. Therefore, the type of capacity building activities to be undertaken for any particular CBO/NGO will depend mainly on the following factors:

- **Organizational resources** including time, skills, expertise, money, facilities and equipment;
- **Organizational readiness** especially if the CBO/NGO has the ability to discern real underlying causes of issues;
- **Organizational life cycle** for example, new CBOs/NGOs need help to create, while others focus on efficiency; and
- **Access to capacity builders and associated resources and tools** for example, to trainings, consultants or peer networks.

A non-exhaustive list of capacity building activities to support weak CBOs/NGOs through the capacity building grant is provided in Annex A.

More effort will be exerted towards obtaining leverage financing, if any, during project implementation by ensuring that such financing is expressly committed at the start of the project. The NC/PA and NSC shall therefore look out for commitments in support of any leverage financing indicated in the proposal.

3.1.2 Indigenous People

In Uganda, the indigenous people include: the Karamojong, Batwa, IK, Ndorobo and Benet. They are vulnerable to discrimination, landlessness, marginalisation and exclusion from some services. Many of their communities are highly stressed through, severe poverty, prejudice, conflicts from their neighbours and internal frictions. Discrimination takes the form of rights violations, negative stereotyping, and segregation from positions of responsibility in Ugandan society due to their lack of access to information and low self-confidence as well as low forward-thinking.

While prior work has been done with the first two through indigenous CBOs/NGOs, the latter two have not been reached. In order to continue with interventions in the first two and initiate others in the remaining two the following will be done:

- Identify at least one indigenous organization of the Ndorobo and Benet to train and create awareness among their communities.
- Initiate a participatory video (PV) processes similar to what was done with the Batwa with the aim of generating proposals for grants to the Ndorobo and Benet communities.
- Through affirmative action, consider approving grants to proposals submitted by previous grantees from the Batwa and Karamojong communities based on an evaluation of their previous projects, and relevance and quality of new proposal.

3.1.3 Gender Considerations

To address gender considerations, SGP will ensure that the following actions are conducted:

- Include gender analysis in the Project Proposal Guidelines and the Criteria for Selection of Projects for funding.
- Increase capacity of CSOs in gender analysis by incorporating it in training programs.
- Encourage both men and women to attend training by setting convenient dates, time, and non-residential workshops.
- Give priority to project proposals submitted by women groups
- Encourage active participation of both women and men in project design, implementation, and in monitoring and evaluation (gender disaggregated data)
- Inclusion of women in CSO leadership committees
- Involve the Youth !

4.0 OP5 Country Outcomes, Indicators and Activities

Table 3. Results Framework

<i>SGP OP5 Immediate Objective 1: Improve sustainability of protected areas and indigenous and community conservation areas (ICCAs) through community-based actions</i>			
Outcomes	Indicators	Means of verification	Activities
<i>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</i> <i>Category II Step-up:¹ Good practices replicated and scaled up outside SGP supported areas, as appropriate</i>	Hectares of ICCAs positively influenced Hectares of PAs positively influenced Types/names of major species conserved Number of people (men and women) benefiting from the interventions	project reports and monitoring visits SGP case studies SGP grantee data from innovative monitoring approaches	STAR Funds – at least 6 projects in the Biodiversity focal area (See Annex B for funds allocated)
<i>SGP BD Outcome 1.2: Benefits generated at the community level from conservation of biodiversity in and around PAs and ICCAs</i> <i>Category II Step-up:</i>	Total value of biodiversity products/ecosystem services produced (US dollar equivalent)	Grantee progress reports Final project evaluation reports Reports of case studies	

¹ GEF SGP participating countries have been broadly classified according to the number of years they have participated in the program and the amount of cumulative resources disbursed through the program. There is an expectation that SGP programs in those countries with the most SGP experience (Category II countries) should be able to deliver “higher level” results within each focal area. Suggested higher level outcome add-ons are included in the results framework as the “Category II Step-up.”

<i>Sustainable financial mechanisms for benefit generation identified and piloted, as appropriate</i>			
<i><u>SGP BD Outcome 1.3:</u> Increased recognition and integration of indigenous and community conservation areas in national protected area systems <u>Category II Step-up:</u> Information about recognition of indigenous and community conservation areas within national level protected area systems shared through an established network, as appropriate</i>	Hectares of significant ecosystems with improved conservation status	Grantee progress reports Final project evaluation reports Reports of case studies	
<i><u>SGP BD Outcome 1.4:</u> Increased understanding and awareness at the community-level of the importance and value of biodiversity <u>Category II Step-up:</u> Environmental education programs formally integrated in school curricula, as appropriate</i>	Hectares of significant ecosystems with improved conservation status	Grantee progress reports Final project evaluation reports Reports of case studies	
<i><u>SGP OP5 Immediate Objective 2:</u> Mainstream biodiversity conservation and sustainable use into production landscapes, seascapes and sectors through community initiatives and actions</i>			
Outcomes	Indicators	Means of verification	Activities
<i><u>SGP BD Outcome 2.1:</u> Improved community-level sustainable use of biodiversity in production landscapes / seascapes through community-based initiatives, frameworks and market mechanisms, including recognized environmental standards that incorporate biodiversity considerations <u>Category II Step-up:</u> Market mechanisms and standards replicated and scaled-up, as appropriate</i>	Hectares of production landscapes applying sustainable use practices	Grantee progress reports Final project evaluation reports Reports of case studies	

<i>SGP BD Outcome 2.2: Increased understanding and awareness of sustainable use of biodiversity Category II Step-up: Environmental education programs formally integrated in school curricula, as appropriate</i>	Hectares of significant ecosystems with improved conservation status	Grantee progress reports Final project evaluation reports Reports of case studies	
<i>SGP OP5 Immediate Objective 3: Promote the demonstration, development and transfer of low carbon technologies at the community level</i>			
Outcomes	Indicators	Means of verification	Activities
<i>SGP CC Outcome 3.1: Up-scaling and replication of good practices and lessons on innovative low-GHG technologies.</i>	Tonnes of CO ₂ avoided by implementing low carbon technologies Number of community members demonstrating low GHG technologies	Grantee progress reports Final project evaluation reports Reports of case studies	STAR Funds – at least 35 projects in the Climate Change focal area
<i>SGP OP5 Immediate Objective 4: Promote and support energy efficient, low carbon transport at the community level</i>			
<i>SGP CC Outcome 4.2: Increased investment in community-level energy efficient, low-GHG transport systems</i>	Total value of energy, technology and transport services provided (US dollar equivalent)	Grantee progress reports	
<i>SGP OP5 Immediate Objective 5: Support the conservation and enhancement of carbon stocks through sustainable management and climate proofing of land use, land use change and forestry</i>			
Outcomes	Indicators	Means of verification	Activities
<i>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</i>	Hectares of land under improved land use and climate proofing practices Tonnes of CO ₂ avoided through improved land use and climate proofing practices	Grantee progress reports Final project evaluation reports Reports of case studies	
<i>SGP CC Outcome 5.2: Restoration and enhancement of carbon stocks in forests and non-forest lands, including peat land Category II Step-up: Up-scaling and replication of good practices and lessons, as appropriate</i>	Hectares of land under improved land use and climate proofing practices Tonnes of CO ₂ avoided through improved land use and climate proofing practices	Grantee progress reports Final project evaluation reports Reports of case studies	

<i>SGP OP5 Immediate Objective 6: Maintain or improve flow of agro-ecosystem² and forest ecosystem services to sustain livelihoods of local communities</i>			
Outcomes	Indicators	Means of verification	Activities
<i>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</i> <i>Category II Step-up: Analysis of economic value of ecosystem services in target areas, as appropriate</i>	Hectares of land applying sustainable forest, agricultural and water management practices Hectares of degraded land restored and rehabilitated Number of communities demonstrating sustainable land and forest management practices	Grantee progress reports Final project evaluation reports Reports of case studies	STAR Funds – at least 4 projects in the Land Degradation focal area
<i>SGP LD Outcome 6.2: Community-based models of sustainable forestry management developed, and tested, linked to carbon sequestration for possible up-scaling and replication where appropriate, to reduce GHG emissions from deforestation and forest degradation and enhance carbon sinks from land use, land use change, and forestry activities</i> <i>Category II Step-up: Up-scaling and replication of good practices and lessons, as appropriate</i>	Hectares of land applying sustainable forest, agricultural and water management practices Hectares of degraded land restored and rehabilitated Number of communities demonstrating sustainable land and forest management practices	Grantee progress reports Final project evaluation reports Reports of case studies	
<i>SGP OP5 Immediate Objective 8: Support trans-boundary water body management with community-based initiatives</i>			
Outcomes	Indicators	Means of verification	Activities
<i>SGP IW Outcome 8.1: Effective and climate resilient community-based actions and practices supporting implementation of SAP regional priority actions demonstrated</i> <i>Category II Step-up: Scaling-up and replication of good</i>	Hectares of river/lake basins applying sustainable management practices and contributing to implementation of SAPs Tonnes of land-based pollution avoided	Grantee progress reports Final project evaluation reports Reports of case studies	CORE Funds – at least 15 projects in the International Waters focal area

² Agro-ecosystems including grasslands and rangelands

<i>practices and lessons learned, as appropriate</i>			
<i>SGP IW Outcome 8.2: Synergistic partnerships developed between SGP stakeholders and transboundary water management institutions and structures supporting implementation of SAP regional priority actions</i> <i>Category II Step-up: Scaling-up and replication of good practices and lessons learned, as appropriate</i>	Hectares of river/lake basins applying sustainable management practices and contributing to implementation of SAPs Tonnes of land-based pollution avoided	Grantee progress reports Final project evaluation reports Reports of case studies	
<i>SGP OP5 Immediate Objective 9: Promote and support phase out of POPs and chemicals of global concern at community level</i>			
Outcomes	Indicators	Means of verification	Activities
<i>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</i> <i>Category II Step-up: Scaling-up and replication of good practices and lessons learned, as appropriate</i>	Tonnes of solid waste prevented from burning by alternative disposal Kilograms of obsolete pesticides disposed of appropriately Kilograms of harmful chemicals avoided from utilization or release	Grantee progress reports, NSC, NC . PA M&E field visit reports Final project evaluation reports Reports of case studies	CORE Funds – at least 5 projects in the POPs focal area

5.0 Monitoring and Evaluation Plan

5.1 Monitoring and Evaluation Plan for the Portfolio of Individual GEF SGP Projects

Baseline information generation will be done for each project and , all grantees are required to include an M&E plan in their project proposals. It is advisable that the M&E plan be developed in a participatory manner so that stakeholders understand the importance of M&E, and commit themselves to collecting information. During the review of project proposals, the NC, PA and NSC will visit the proposed project site to assess the feasibility of the project. Among other technical advice provided, the grantees will be advised on ways to improve the M&E plan with emphasis on including the relevant indicators that will contribute to the global GEF SGP M&E system.

The grantees will collect baseline data at the time of project design. In cases where grantees are unable to collect the baseline data, a budget for a baseline survey should be included in the project proposal. Grantees will continue to collect information throughout the project as specified in the M&E plan, and will be encouraged to continue even after the external funding is used up as part of sustained environment management.

Grantees will be required to prepare Project Progress and Financial Reports at least every six months, depending on the nature of the project, but before each fund disbursement request. The Project Progress Report will include a page of the project M&E plan with cumulative results of indicators of progress and impact. The NC and PA will enter the data into the SGP database. In addition to the progress reports, the grantees will submit work plans as they request the subsequent disbursement of funds.

The NC or PA will endeavor to visit each project at least once every six months to monitor project progress, verify information provided in the reports, provide feedback, and give technical advice as required.

The grantees will be advised to conduct internal mid-term project evaluations for projects to assess overall project progress, improve implementation, and make necessary adjustments for the remaining period of the project.

At the end of the project, a final evaluation of the project, included in the budget of each project will be conducted. The final evaluation will include some external evaluators and a report will be produced. In addition, grantees will submit a Final Project Report and a Final Financial Report.

5.2 Participation of Local Stakeholders in Monitoring and Evaluation

At the time of project preparation, the CSO will conduct a stakeholder analysis and the identified stakeholders will be invited to participate in problem identification, analysis of the causes and effects of the problems, and identification of possible solutions. The process will be participatory including community members, local leaders, CSO members, government staff, and other identified stakeholders. The project objectives will be identified in relation to the effects of the identified core problems (the problem tree will be used to form an objectives tree with a hierarchy of objectives). The activities which contribute to the achievement of each objective will be identified. The outputs resulting from the activities will be stated and targets will be set.

The CSO will guide the project preparation process. A participatory M&E system will be developed as part of the process. The stakeholders/participants will identify the indicators of progress and impact for each of the objectives. The need for a baseline survey will be emphasized and participants will agree on when and how to conduct it. For each indicator, methods of data collection will be discussed and agreed upon. The responsibility for data collection will be allocated according to the type of project and the skills required. The frequency of data collection will depend on the nature of the project, but at least once before submitting the Progress Report to the GEF SGP office.

When the project is awarded a grant, the CSO will be advised to select project committees to ease administration functions. The committees may include: Finance Committee; Procurement Committee; Implementation Committee (which is also responsible for M&E) and Training and Information Committee. One of these committees, e.g. the Implementation Committee may be given the responsibility of aggregating the data, compiling the Progress Report and producing other documents such as brochures, DVDs, and photographs of the project interventions. Furthermore, the Implementation Committee will be responsible for ensuring that the project M&E Plan is adhered to and the quality of data collected is satisfactory. In addition to the GEF SGP office, the project Progress Reports will be shared with the identified stakeholders, especially local leaders at district level and government staff. At least once every year, e.g. during the CSO annual general meeting, the Implementation Committee together with the leaders of the CSO will provide feedback to the community and other stakeholders on the contribution of the project to environment conservation at local and global level with reference to the data in the project M&E form.

Table 4. M&E Plan at the Project Level

SGP Individual Project Level		
M&E Activity	Responsible Parties	Timeframe
Participatory Project Monitoring	Grantees	Duration of project
Baseline Data Collection ³	Grantees, NC, PA	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
Project Workplans	Grantees, NC, PA	Duration of project
Project Proposal Site Visit (appraisal) (<i>as necessary / cost-effective</i> ⁴)	NC, PA, NSC	Before project approval, as appropriate
Project Monitoring Site Visit (<i>as necessary / cost effective</i>)	NC, PA, NSC	On average once per year, as appropriate
Project Evaluation Site Visit (<i>as necessary / cost effective</i>)	NC, PA, NSC	At end of project, as appropriate
Project Final Report	Grantees	Following completion of project activities
Project Evaluation Report (<i>as necessary / cost effective</i>)	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

³ 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.

⁴ 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.

5.3 Aggregation of results at the country program portfolio level

The main strategy for aggregating the results of the individual grantees is to ensure that the relevant OP5 indicators are included in the individual grantee M&E plans before the grantee signs the MoU. It will be mandatory to submit an M&E form in addition to the Project Progress report to ensure that the necessary data is reported in a uniform format.

New grantees will receive training in financial management and reporting. This includes Project Progress Reporting and the M&E form as well. The importance of quality data, uniformity, clarity, and timely reporting will be emphasized.

The grantee M&E form will be designed to contribute to the country program portfolio level. Data from the form will be entered directly into the database before the request for the subsequent fund disbursement is prepared. This will ensure the maintenance of an up-to-date database. Information from the database will be used to prepare summarized reports on the target OP5 indicators for each focal area and the reports will be presented at the NSC meetings, during Strategic Country Portfolio Review, and for inclusion in the Annual Country Report.

Table 5. M&E Plan at the Program Level

SGP Country Program Level		
M&E Activity	Responsible Parties	Timeframe
Country Program 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 Program Review resulting in Annual Country Report ⁵	NC presenting to NSC and CPMT	Once per year
Financial 4-in-1 Report	NC/PA, UNOPS	Quarterly

6.0 Knowledge Management Plan

6.1 Plans for Capturing, Sharing, and Disseminating Lessons Learned

Capturing information – Reports of field visits, video clips, and photographs will be taken by NC/PA and grantees at various stages of the projects to document progress as well as challenges. The NC and PA will extract information from Project Progress Reports, evaluation reports, and case studies; and will enter information in the database.

⁵ The annual Country Programme Review exercise should be carried out in consultation with the national Rio Convention focal points and the associated reporting requirements.

Knowledge products – Technical assistance will be hired to produce or improve the quality of leaflets, brochures, fliers, newspaper articles, Radio programs, TV documentary films, DVDs, grantee websites, photographs and posters. NC, PA, and grantee representatives will prepare papers for presentation during workshops/conferences. Demonstration sites will be located in strategic areas where many people can see and visit them.

Sharing knowledge – The NSC, NC, and grantees will participate in the following activities: exhibitions on World Event Days, peer-to-peer exchanges during cross visits and stakeholder workshops, reports given to stakeholders, knowledge fair, networking, and distribution of knowledge products named above.

Dissemination of documents to stakeholders – Documents will be given to stakeholders who come to the office. In addition, documents may be picked from the UNDP Country Office reception or offices of UN Convention Focal Points. Furthermore, distribution of knowledge products will be done during workshops, meetings, and exhibitions. Some documents may be downloaded from the SGP website and grantee pages.

6.2 Influencing Policy at the Local, Regional and National Levels

The country program will work with government departments to present policy briefs to relevant government committees which use the information to influence policy.

6.3 Replication and Up-Scaling Good Practices and Lessons Learned

The following strategies will be adopted to replicate and up-scale good practices and lessons learned:

- Document lessons learnt and good practices and share the knowledge with other communities and CSOs during meetings and training sessions.
- Encourage CSOs to visit the successful projects to learn from them directly and to put the ideas into practice.
- Discuss successful projects with other development partners and encourage them to fund replication of best practices and lessons learnt to increase impact.
- Build capacity of CSOs to solicit funds from local governments and other partners to up-scale and or replicate successful projects
- Ensure that all funded projects are part of the national priorities and are included in the development plans of local governments so that they are easily incorporated in the local budgets for funding.

7.0 Resource Mobilization Plan

7.1 Funding

Whereas GEF SGP Uganda has GEF-funding from both core resources and STAR funds, the country program will continue to pursue and establish linkages with the following entities with the aim of securing additional funding:

- UNDP TRAC funds under CPAP as a responsible party;
- Funds and programs of other UN agencies under the UNDAF
- Funds under Trust funds e.g. Montreal Protocol and QSP SAICM;

- Multilateral agencies and donor funds like World Bank
- Bilateral donors like the French Embassy; and Independent Development Fund
- The Private Sector

The program also continues to share premises with the Resource Alliance, UK with whom the program has signed a memorandum of understanding that includes sharing of costs towards rent and utilities.

7.2. Strategic Partnerships

7.2.1 To develop strategic partnerships with national government agencies, GEF SGP will encourage the following actions:

- enlist support, whether in cash or kind, from district technical departments and officers.
- enlist district and other extension staff as resource persons during projects implementation
- involve both technical staff and political leaders during participatory project design, implementation and monitoring missions
- encourage NGOs and CBOs, including building their capacity, to solicit funding from other government programs like (NAADS).

7.2.2 Partnerships with Bilateral and Multilateral agencies

- Establish/strengthen linkages with other Small Grants Programs that are supported by multilateral and bilateral agencies in Uganda;
- Include staff of multilateral agencies on the NSC of SGP;
- Always look out for possibilities of a joint project and discuss the benefits with other multilateral agencies which have similar or complementary objectives
- Solicit UNDP support in mobilizing resources from potential donor agencies.

7.2.3 Partnerships with Private Sector

- Share success stories with private companies and request them to fund radio or TV programs where the companies share similar objectives. For example, Tour and Travel companies can be requested to fund publicity of biodiversity projects. Companies that sell cosmetics can publicize the conservation of the Shea tree.
- Invite private companies to attend or participate in knowledge fairs, exhibitions, and meetings.
- Include staff of private companies on the NSC of SGP.

Annex A: Types of Capacity Building Activities

- Assessments
- Board development
- Business planning
- Business development
- Collaboration planning
- Conflict resolution
- Convening
- Earned-income development
- Evaluation
- Facilities planning
- Financial management
- Funding
- Fund raising
- Gender
- Human rights
- Information technology
- Leadership development
- Legal
- Management development
- Marketing (research, promotions)
- Meeting management
- Mergers
- Networking opportunities
- Organizational development
- Peer learning
- Program design
- Project management
- Quality management
- Referrals
- Research
- Risk management
- Staffing (selection, development)
- Strategic planning
- Team building

Annex B: GEF OP5 Fund Allocation by Focal Area

Focal Area	Objective No.	Funds Available US \$	Potential No. Of Projects	Source of Funding
Biodiversity	1 and 2	316,800	6	STAR
Climate Change	3, 4, 5	1,756,800	35	STAR
Land Degradation	6 and 7	211,200	4	STAR
International Waters	8	400,000 <i>Indicative amount</i>	15	CORE
POPs	9		5	CORE
TOTAL		2,684,800	53	

ANNEX C: GEF SGP OP 5 PROJECT LEVEL INDICATORS

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

Biodiversity (BD)

- Hectares of indigenous and community conserved areas (ICCAs) influenced
- Hectares of protected areas influenced
- Hectares of significant ecosystems with improved conservation status
- Hectares of production landscapes/seascapes applying sustainable use practices
- Total value of biodiversity products/ecosystem services produced (US dollar equivalent)

Climate Change (CC)

- Tonnes of CO2 avoided by implementing low carbon technologies
 - Renewable energy measures (*please specify*)

- Low carbon transport practices (*please specify*)
- Energy efficiency measures (*please specify*)
- Other (*please specify*)
- Number of community members demonstrating or deploying low-GHG technologies
- Total value of energy, technology and transport services provided (US dollar equivalent)
- Hectares of land under improved land use and climate proofing practices
- Tonnes of CO2 avoided through improved land use and climate proofing practices

Land degradation (LD) & Sustainable Forest Management (SFM)

- Hectares of land applying sustainable forest, agricultural and water management practices
- Hectares of degraded land restored and rehabilitated
- Number of communities demonstrating sustainable land and forest management practices

International Waters (IW)

- Hectares of river/lake basins applying sustainable management practices and contributing to implementation of SAPs
- Hectares of marine/coastal areas or fishing grounds managed sustainably
- Tonnes of land-based pollution avoided

Persistent Organic Pollutants (POPs)

- Tonnes of solid waste prevented from burning by alternative disposal
- Kilograms of obsolete pesticides disposed of appropriately
- Kilograms of harmful chemicals avoided from utilization or release

Policy Influence, Capacity Development & Innovations (all focal areas)

- Number of community-based environmental monitoring systems demonstrated

please specify (1 example per entry)

- Number of consultative mechanisms established for Rio convention frameworks

please specify (1 example per entry)

- Number of innovations or new technologies developed/applied

please specify (1 example per entry)

- Number of local or regional policies influenced (*level of influence 0 – 1 – 2 – 3 – 4*)

please specify (1 example per entry)

- Number of national policies influenced (*level of influence 0 – 1 – 2 – 3 – 4*)

please specify (1 example per entry)

Livelihoods & Sustainable Development (all projects)

- Number of participating community members (gender disaggregated) * *mandatory for all projects (indicate already achieved in section 1)*
- Number of days of food shortage period reduced
- Number of increased student days participating in schools
- Number of households who get access to clean drinking water (*indicate already achieved in section 1*)
- Increase in purchasing power by reduced spending, increased income, and/or other means (US dollar equivalent)

Empowerment (all projects)

- Number of NGOs/CBOs formed or registered (*indicate already achieved in section 1*)
- Number of indigenous peoples directly supported (*indicate already achieved in section 1*)
- Number of women-led projects directly supported (*indicate already achieved in section 1*)
- Number of quality standards/labels achieved or innovative financial mechanisms put in place