BACK

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Joint Evaluation of the GEF Small Grants Programme

Country Program Case Study: The Philippines

Prepared by

Nordic Agency for Development and Ecology

and

GEF Evaluation Office

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Foreword

In accordance with the 2006 Monitoring and Evaluation Policy of the Global Environment Facility (GEF), one of the overarching objectives of the GEF with respect to monitoring and evaluation is to promote learning, feedback, and knowledge sharing on results and lessons learned among the GEF and its partners as a basis for decision making on policies, strategies, program management, and projects, and to improve knowledge and performance. In this context, the GEF Evaluation Office is pleased to present nine country program case studies that were part of the data collected for the Joint Evaluation of the Small Grants Programme (SGP).

In June 2006 the GEF Council requested the GEF Evaluation Office undertake an independent evaluation of the SGP. The GEF Evaluation Office invited the United Nations Development Programme (UNDP) Evaluation Office to participate in this initiative. The purpose of the joint evaluation was to assess the relevance, effectiveness, efficiency, sustainability, and cost effectiveness of SGP objectives in relation to the overall GEF mandate. In addition, the evaluation assessed the results of the SGP, the factors affecting these results, and the monitoring and evaluation systems of the program as implemented. It also traced the evolution of the SGP, the changes that have taken place in the program, and the drivers of these changes. Country case studies were prepared as part of the evaluation. Although the studies are unique and particular to each country, the analytical framework used was that provided by the evaluation's approach paper.

Although the findings and conclusions are the responsibility of the authors, the case studies were undertaken under the direction of the GEF and UNDP evaluation officers with relevant regional experience. National consultants were hired to carry out the majority of the project site visits. Staff from the GEF and UNDP Evaluation Offices provided methodological guidance to the local consultants, participated in the initial site visits, and supervised the drafting of the case studies to ensure consistency within and among the country studies.

The contents of this report are based on the findings of the evaluation team and do not necessarily reflect the views or policies of GEF or UNDP.

The GEF Evaluation Office would like to thank all who collaborated with the evaluation: its staff and consultants, national coordinators, members of the national steering committees, and the staff from the country offices. In addition, we would like to acknowledge and thank the main authors of the reports.

Abbreviations

CBD	Convention on Biological Diversity
CBO	community-based organization
CEPF	Critical Ecosystem Partnership Fund
CGEF	Communities for Global Environment Foundation
COMPACT	Community Management of Protected Areas for Conservation
CPMT	Central Programme Management Team
CPS	country program strategy
DENR	Department of Environment and Natural Resources
FSP	full-size project
GEF	Global Environment Facility
GOP	Government of the Philippines
LGU	local government unit
M&E	monitoring and evaluation
MOA	memorandum of agreement
MSP	medium-size project
NGO	nongovernmental organization
NSC	National Steering Committee (SGP)
OP	operational program (GEF)
PAWB	Protected Areas and Wildlife Bureau (DENR)
POPs	persistent organic pollutants
PRC	Project Review Committee (SGP)
RAF	Resource Allocation Framework (GEF)
SGP	Small Grant Programme (GEF)
UNDP	United Nations Development Program
UNOPS	United Nations Office for Project Services

1 Main Findings and Recommendations

1.1 Background

The Philippines has been a longstanding partner of the Global Environment Facility (GEF). It has received GEF financial support since 1992 through a variety of projects and activities, in collaboration with the GEF Agencies, government agencies, and civil society. The Small Grants Programme (SGP) began in 1992 with a pilot phase and is at present in its third phase. The GEF SGP in the Philippines started in 1992 as one of the 33 pilot countries and, since then (1992–2007), has provided small grants for $6.46 million of GEF funding.[1]

The evaluation of GEF SGP support to the Philippines took place from April 2007 to June 2007, conducted by staff of the GEF Evaluation Office and international and local consultants (the evaluation team). This evaluation is an input to the evaluation of the global SGP, as one of 20 country case studies selected. Discussion of the global evaluation is expected by the GEF Council at its November 2007 meeting. The evaluation of the Philippines program follows the terms of reference of country studies developed by the team working on the global evaluation and then adapted to the particular case of the Philippines as needed. The methodology included a combination of qualitative and quantitative methods and tools, primarily reviewing existing information, extensive interviews with key SGP stakeholders, workshops, and visits to the key focus areas of SGP supported projects. The evaluation was intended to respond to three key questions: (1) Is SGP support relevant to the Philippines national development agenda, environmental priorities, and the GEF mandate? (2) Is GEF support efficient in its preparation and implementation? (3) What are the results of the GEF support? The Philippines SGP evaluation contributes to the global evaluation of the SGP facility.

The evaluation included a desk review of the history and background of the SGP in the Philippines, the fit of its objectives with the GEF and national sustainable development priorities, a description of the overall approach or focus adopted by the SGP, and a portfolio description. A sample of 12 projects was randomly selected from the global database of projects, and these projects were analyzed according to standard questionnaires.

Several field visits and interviews with local stakeholders took place in two of the four focus areas of the SGP. Further information was obtained at a stakeholder workshop in Manila, plus a round of interviews with key stakeholders.

SGP support in the Philippines is focused on four of the GEF focal areas: biodiversity, climate change, international waters, and persistent organic pollutants (POPs). Around 64 percent of the project portfolio concentrates on biodiversity projects, 18 percent on activities are classified as multifocal area projects, and 16 percent are climate change projects.

[1] All dollar amounts are U.S. dollars unless otherwise indicated.

1.2 Conclusions

Relevance of the Portfolio

The evaluation reviewed the relevance of GEF SGP support to the country's sustainable development agenda and its environmental priorities, as well as to the GEF mandate and focal area programs and strategies. The major findings and conclusions follow:

National and Local Frameworks

- Many of the SGP activities are highly relevant to the national Agenda 21, which is ecosystem based and people centered and is intended to improve management of five specific ecosystems, in addition to biodiversity.

- The SGP country program strategy (CPS) is integrated into the national framework and links into the national strategies and relevant legislation and policies.

- The sample projects demonstrated a high level of relevance, both to the national sustainable development agenda and to the GEF focal areas.

GEF Mission and Objectives

- Linkages exist between the SGP Philippines and GEF mission and objectives, but some of the SGP's objectives tend to be narrowly defined (i.e., selecting one aspect of GEF programs) and others are not well developed (no objectives are defined for land degradation and POPs in the SGP CPS yet).

- The SGP has provided support to national commitments to the international conventions. For example, in relationship to the Stockholm Convention on POPs, several roundtable events brought together representatives from various sectors with knowledge, experience, and concern regarding POPs. These roundtable events developed recommendations for future work between civil society organizations and government agencies on this issue. Another activity targeted national commitments to the United Nations Convention on Biological Diversity (CBD), in which the SGP supported a workshop between civil society and Government of the Philippines (GOP) representatives to discuss an upcoming conference of the parties.

- Several cases exist of linkages between SGP projects and larger GEF projects. Some are spin-offs from full-size projects (FSPs) or project development fund processes, such as the Conservation of Priority Protected Areas Project in Mt. Kitanglad Range Natural Park and Mt. Apo National Park.

- It seems to have been difficult to use the SGP projects for scale-up to become a medium-size project (MSP) or FSP. A few attempts have been made, but the MSPs and FSPs did not obtain the final approval of the GEF. None of the sample projects had links to GEF MSPs or FSPs. The lack of overlap between the geographical project areas of the sample projects and FSPs and MSPs is probably the main reason.

- The SGP has complemented GEF-enabling activities by supporting civil society participation in the development of recommendations and actions for the future.

Beneficiaries, Trade-offs, and Reputation

- The SGP has a strong reputation among other donors and government. The SGP has done intensive networking, particularly with the Small Grants Donors Group from various embassies in the country. This has led to partnerships with other donors and similar funding facilities, which has materialized in extensive cofunding arrangements. The SGP has also built a strong relationship and has a credible reputation with government, as reflected in the representation on the National Steering Committee (NSC) of the Department of Environment and Natural Resources, Department of Agriculture, and National Economic and Development Agency and recently in the allocation of GEF Resource Allocation Framework (RAF) funds for continued assistance to SGP biodiversity projects.

- The SGP in the Philippines has been very efficient at getting press coverage (newspapers, radio, and television) of major activities. The positive press reviews add to the prestige and reputation of the SGP and its host agency, the United Nations Development Programme (UNDP).

- The SGP reaches many of its intended beneficiaries, which are the economically poor and marginalized communities and also actively attracts community groups in critical and protected areas. However, SGP policies limit SGP support to organized community-based organizations (CBOs), incurring the risk that less organized communities posing the greatest threats to biodiversity and the environment will not necessarily be reached.

- The current geographic areas of focus for the SGP include some of the country's key biodiversity areas for conservation action and are among the poorest provinces in the country; all the areas have high levels of rural poverty and critical threats to biodiversity.

- Trade-offs were observed in a couple of the sample projects. For example, in one case, invasive and exotic species were used in rehabilitating a watershed forest (S/OP/29). Another project aimed for an integrated approach to natural resource management and microhydropower, but focused mainly on the Watershed Resources Management and Microhydropower Development for Matigsalog and Manobo Tribe (Mindinao) project (PHI/100/05).

Results and Effectiveness of the SGP Grants

GEF SGP support to the Philippines has produced global environmental benefits in addition to local development benefits. Several projects have locally contributed to increased environmental management and have, at least on a short-term basis, moved toward sustainable use in spite of increased human population pressure in most of the intervention areas. In terms of species management and improved biodiversity habitat conservation, some evidence exists that local populations of numerous species have benefitted from project interventions. The benefits are due

to improved local environmental management, natural resource protection, and policy interventions.

The SGP in the Philippines has promoted outreach and awareness regarding national and global environmental concerns, supported community and nongovernmental organization (NGO) capacity to address some of these concerns, and facilitated the development and dissemination of community-level solutions to environmental problems.

Biodiversity

The SGP has, since 2003, shifted its geographical intervention focus to some of the zones with the highest number of globally critically threatened species and habitats such as the Negros-Panay Biogeographic Zone and to locations of "key biodiversity areas" of global importance and under severe threat. These include forest areas of the Sierra Madre Mountain Range on Luzon and forest areas in Palawan. The SGP has also maintained a focus on the country's probably most significant and globally important freshwater wetland, the Ligawasan Marshes in Mindanao.

Biodiversity projects have positive results, both in forest and coastal areas. In the forest and upland ecosystem, the SGP has supported forest management, reforestation, and sustainable watershed management. In agriculture and lowland ecosystems, support has been provided to sustainable agriculture and promotion of indigenous rice varieties. A number of projects have addressed coastal and marine ecosystems, where SGP support has been instrumental in establishing a number of marine protected areas, including development and implementation of management plans, which support food security in particular, but also some biodiversity concerns.

The sustainability of these results may be jeopardized, in particular, because of external issues to the SGP. For example, biodiversity in the Philippines continues to be extensively used and under severe pressure due to the needs of rapidly increasing populations, inequitable land distribution, unsustainable resource and land-use practices, and uneven distribution of wealth derived from biodiversity-related extraction. These external issues are generally beyond the control of the SGP, but the envisaged Community Management of Protected Areas for Conservation (COMPACT) approach in SGP areas may help mitigate some of the negative impacts caused by external factors.

Many biodiversity and climate change projects include forest rehabilitation and small-scale reforestation, using native species as components. Some SGP grantees and CBOs have had substantial practical and successful experiences that could be systematically replicated in future SGP projects.

The projects evaluated did not include a specific global objective of strengthening a focus on global benefits. The projects in general included relatively few measurable, globally relevant biodiversity benchmark indicators, making it difficult to assess direct biodiversity impacts with global benefits fully; hence, the monitoring and evaluation (M&E) system can still be enhanced

and improved. It is understood that improvements, following the GEF guidelines for operational phase 3, are gradually being implemented.

The monitoring and evaluation design of SGP biodiversity projects emphasizes short-term activities, but in some cases also includes plans for sustainability. The short lifespan of SGP projects may contribute to challenges in building up capacity and institutionalization of long-term monitoring systems on resource use, land use, and biodiversity as part of implementing community-based resource management plans. The SGP responded to the challenge in 2004 by initiating the integration of a biodiversity monitoring system for the Sierra Madre projects.

Climate Change

The SGP has provided support to several studies and workshops on best practice in the GEF focal areas. One example of this is a study with recommendations on renewable energy solutions for remote rural areas.

The GEF SGP has supported a range of renewable technology options, that is, microhydropower energy, solar power energy, and piloted small-scale offset of greenhouse gas emissions from rice mills and other engines through a number of techniques. Most noteworthy is the piloting and replication of microhydropower projects combined with the introduction of watershed and biodiversity conservation management plans, including the protection of globally significant fauna and flora of the watershed forests.

Some of these projects have been highly successful. A total of 26 hydropower plants with an average 21-kilowatt generation capacity have been established in rural areas and have locally lowered carbon dioxide emissions and reduced the use of kerosene-wick lamps by the thousands in communities located in off-grid areas. Carbon dioxide displacement from a 25-kilowatt microhydropower plant at full operation displaces about 170 tons of carbon dioxide a year.

Local Livelihoods

In compliance with the GEF policy that livelihood activities are not eligible for funding, the Philippine SGP has adhered to this policy, which has not deterred the program from funding livelihood activities. In fact, SGP-funded projects have almost always included livelihood components and activities, because projects that alleviate poverty are attractive to the community as a buy-in that increases its recognition of conservation initiatives.

SGP resource mobilization is working successfully. More than half of the SGP-funded projects have livelihood components funded by donor agencies other than the GEF (pilot phase: 46 percent; operational phase 1: 43 percent; operational phase 2: 58 percent; and operational phase 3: 68 percent). It highlights the strength of the SGP in bringing in additional resources for livelihood activities to complement SGP funding for conservation and protection. However, based on observations made during the evaluation, SGP projects may in some cases be perceived locally more as general development assistance than special environment assistance in combination with poverty reduction. It is therefore also useful to strengthen M&E on projects in

GEF M&E of global benefits and expand an environmental impact assessment system to include leveraged projects where possible.

Local development pressures and needs will often take precedence over environmental sustainability. It is therefore a priority that livelihood issues continue to be key to discourse and implementation of conservation and sustainable use of biodiversity and the environment.

Capacity Building and Improving Sustainability

The capacity-building approach of the SGP contributes to reducing threats to the national environment and, to some extent, to the global environment. Capacity building and strengthening local communities are major concerns of the SGP (including paralegal training, resource mobilization or management and networking, value formation, and organizational development). It was found that many of the capacity-building activities are of both local and national relevance, but the need may exist for strengthening the linkages of capacity development to global environmental issues.

Sustainability of projects and their contribution to the global environmental benefits cannot be measured by merely looking at the results from the start date to project end; the project lifetime of two years is simply too short. Post-project impact studies provide only some general ideas of the extent to which livelihood and development approaches are being sustained. More post-project assessments are necessary, in relation to both sustaining environmental impacts and implementation of the project sustainability plans and community-based resource management plans.

The allowed timeline for SGP projects is inconsistent with the time it takes for many grantees to implement a project. This is indicated by the number of project extensions without additional budget granted by the SGP. The one-time grant approach by SGP may also be inconsistent with the process time of social and environmental transformation of the communities and the impact from other external factors, such as law and order problems in some part of Mindanao and adverse weather conditions that often disrupt project implementation and threaten results. This is an SGP policy issue that may need to be revised.

Rapid population growth is a main threat in some of the globally significant biodiversity areas in which the SGP operates. For example, populations of the Palawan and Ligawasan Marshes are growing more than 4 percent a year. This may with time create risk for environmental achievements, given that sustainable use of local natural resources is limited to the ecological carrying capacity of any given ecosystem.

Monitoring and Evaluation

The evaluation found that systematic M&E can be enhanced and improved: an absence of global objective indicators and baselines makes it difficult to assess many of the impacts and global benefits. The guidelines for operational phase (OP) 3 implementation include clear direction on how to develop an operational, results-oriented M&E system that reflects the benefits (only one project has started since operational phase 3 began in 2005).

SGP Governance

Civil society representation on the NSC over the years has decreased. Furthermore, the Project Review Committee (PRC), which is a mechanism unique to the SGP in the Philippines, draws half its members from the government with no NGO representation. The relatively strong government representation may be contrary to the basic philosophy and guidelines of the SGP. Although GOP representatives may increase the alignment of grants with national policies, a stronger civil society representation, also on the PRC, would be in line with SGP guidelines.

The PRC is found to be technically strong, with senior expertise in many fields, but may need further expertise in the areas of biodiversity conservation and sustainable management experience. This could be covered by including relevant representatives from civil society and academia. The added expertise could likewise assist the national coordinator and the PRC in strengthening the field supervision and monitoring cycle.

Several grants have been approved for organizations whose leadership includes active members of the NSC. Although this was possibly in line with SGP guidelines, it could present a potential conflict of interest. The evaluation found that the practice introduced by the Royal Netherlands Embassy not to grant projects to organizations represented on the NSC was a more manageable practice in line with international good practice.

The SGP approved a grant (PHI/31/02) in 2002 to support the development of a new Web page and to transform the SGP Web page into a "vehicle for people to know more about the impacts of the SGP projects in the communities, thus, moving more people to action and participation." The present Web page has several limitations regarding information and guidance for stakeholders, impacts, and general transparency of process and projects.

Given that two-thirds of the SGP portfolio consists of biodiversity projects, it is relevant to strengthen the NSC on the technical aspects of biodiversity. With the recently signed memorandum of agreement (MOA) on GEF RAF allocation to the SGP, the Department of Environment and Natural Resources (DENR) has decided that its Protected Areas and Wildlife Bureau (PAWB) will become an NSC member. PAWB is the technical focal point on biodiversity, and this step may strengthen biodiversity capacity in the grant approval process.

Efficiency and Cost Effectiveness of SGP

Major findings and conclusions are as follows.

Administration Costs and Project Cycle

The annual administration costs of the SGP in 2003–06 provided by the global SGP varied between 4 and 8 percent of GEF-approved grants. These costs include travel of the national coordinator, NSC, and program assistant for monitoring, appraisal, and evaluation of projects, communications, supplies, rental and maintenance of office premises, audiovisuals and printing of materials, and other miscellaneous expenses. The evaluation found that the actual cost of operating the SGP in the Philippines is actually higher. Salaries and benefits for the national

coordinator and her assistants are covered directly through SGP overheads, in addition to the 4–8 percent. Other expenses that are essential for the operation of a program such as this were also covered by other sources of funding (i.e., grants and cofinancing); for example, the cost of additional staff supporting the national coordinator's office, many publications and outreach materials, and travel for the coordinator are covered through grants and cofinancing.

Time expended in the project cycle was measured only for the 12 sampled projects. The average length from proposal submission to project completion is 850 days or about 2.3 years. As discussed above, this period is too short to deal with some of the issues proposed in many SGP grants.

Cofinancing

The SGP in the Philippines has been very successful in obtaining cofinancing from both grantees and other donors. From 1992 to 2007, the GEF provided small grants for $6.46 million, and grantees provided cofinancing of $1.03 million in cash and $2.26 million in kind. Furthermore, the SGP has been able to mobilize an additional $7.32 million in cofinancing from other donors and programs. Additional funding came from local government units and the private sector.

SGP Graduation and Other Small Grant Facilities

The SGP NSC in the Philippines created an NGO in 1998 in preparation for the graduation of the GEF, called the Communities for Global Environment Foundation (CGEF). At the national level and in general terms, the CGEF has had a low profile and limited success in fundraising.

It was found difficult to compare fully the efficiency and effectiveness of the SGP with the other small-grant facilities in the Philippines, due to lack of information. A number of existing grant facilities overlap in both areas of emphasis and target beneficiaries.

1.3 Emerging Issues and Observations

Based on the findings and conclusions, the evaluation team would like to provide the GEF SGP in the Philippines with the following observations and points for consideration for the future development of this national program:

Relevance

The SGP should be an active participant in the development of any future GEF country assistance strategy for the Philippines. The SGP has demonstrated itself to be an effective and efficient mechanism for delivering GEF support to people's organizations, also referred to as community-based organizations, and achieve global environmental benefits. The SGP should have a predominant place in GEF strategy, linkages to the other GEF support modalities, and strategies for scaling up SGP support.

The following issues should be updated in a new CPS:

- Specific global indicators

- Goals, objectives, targets, and indicators for the new GEF focal areas: land degradation and POPs
- Specific linkages to a national GEF country assistance strategy
- How to target organized CBOs and other organizations posing the greatest threat to biodiversity and the environment
- Specific participation and targeting of indigenous peoples (for example, the NSC or PRC could have an indigenous peoples' representative)
- Clarification of links between livelihood and capacity development activities and objectives and global environmental benefits

Results

Although many natural resources in the Philippines are under pressure and threats that are generally beyond the control of the SGP, the program should be encouraged and directed to implement the envisioned COMPACT approach, which may contribute to mitigation of some of the negative impact caused by the external factors. For example, project design should emphasize more the linkages among conservation and population growth, tenure instruments, and institutionalization of permanent fish wardens, forest guards, and community monitoring groups.

SGP should fully apply the M&E guidelines recommended in operational phase 3. Monitoring, reporting, and evaluating short- and long-term results at the level of global environmental benefits (when appropriate) need to be improved. Some grants could be used to establish the necessary research and methodologies to determine indicators and develop an M&E framework for particular ecosystems or relevant environmental issues. In particular, projects in which cofinancing supports development aspects should have specific M&E plans that emphasize the linkages with global environmental benefits and GEF incrementalities. In addition, post-project impact studies should be continued and expanded, because they are the best way to measure the long-term impacts on global environmental issues.

Efficiency

The cost of operating the SGP in the Philippines is higher than presently supported. A financial and management audit of the program will provide a better estimate of the actual cost. The full actual cost should be covered by the global program, rather than grants and cofinancing.

The SGP Web site needs improvement to increase transparency (that is, minutes of NSC and PRC meetings, new guidelines, and so on). It should be removed from the UNDP domain.

In case the SGP in the Philippines graduates, an external evaluation is necessary of the different options for continuity, which would include an institutional capacity assessment of the CGEF, and review of other existing small-grant facilities in the Philippines.

The time allocated for project implementation as well as the rule that does not allow for operational phase 2 grants should be reviewed. SGP grants are tackling issues that cannot be solved in the less than two years presently used for project implementation.

2 Background of the Evaluation

2.1 Introduction

The SGP was created in 1992. Although the main objectives have evolved to become more specific, the program has always functioned as a window for the direct financing of initiatives of nongovernmental organizations, CBOs, and other local community organizations with the objective of generating global environmental results in ways that address country sustainable development priorities. The SGP also seeks to reach the poor and/or marginal populations, such as women and indigenous populations, and their relationship to improved environment management. The 10-year SGP report *Hands-On Action for Sustainable Development 1992–2002* summarizes the principal objectives of the SGP as follows:

- Develop community-level strategies and implement technologies that could reduce threats to the global environment over time, if they are replicated
- Gather lessons from community-level experience and initiate the sharing of successful community-level strategies and innovations among CBOs and NGOs, host governments, development aid agencies, the GEF, and others working on a regional or global scale
- Build partnerships and networks of stakeholders to support and strengthen community, NGO, and national capacities to address global environmental problems and promote sustainable development
- Ensure that conservation and sustainable development strategies and projects that protect the global environment are understood and practiced by communities and other key stakeholders

The evaluation of the GEF SGP in the Philippines is part of an independent global evaluation of the GEF SGP conducted jointly by the GEF Evaluation Office and the UNDP Evaluation Office. The main purpose of the evaluation was to provide the GEF Council with an assessment of how the SGP is implemented at the country level.

The evaluation of GEF support to the Philippines SGP took place from April to June 2007, conducted by staff of the GEF Evaluation Office and international consultants from the Nordic Agency for Ecology and Development (referred to here as the evaluation team).

The evaluation framework combined qualitative and quantitative methods and tools, including a portfolio review for an overview of SGP activities and results, country and case studies, and extensive interviews and focus group discussions with key SGF stakeholders and key informants for an in-depth assessment of results and processes. One major consultation workshop was

conducted to receive comments on the first draft of the evaluation (the national coordinator and NSC were given around two weeks to review and provide comments). Field visits were undertaken to 11 grant sites (two of the 12 randomly selected globally). Interviews with local stakeholders took place in two of the four geographical focus areas of the SGP. Additional information was obtained through cluster interviews with key stakeholders of an additional 13 projects. The interviews were used to verify information obtained through the desk review. The evaluation also included thematic studies to highlight specific issues.

One focus of the evaluation was 12 national projects selected as global sample projects by the GEF Evaluation Office; however, as time permitted during the field visits, the evaluation also included in the study other projects geographically located near the sample sites. In addition, other projects were selected that represented unique project approaches, such as support to the management and protection of Puerto Princesa Subterranean River National Park, funded both by the United Nations Foundation's COMPACT and the GEF, and development of community-based biodiversity monitoring approaches as a spin-off of a previous FSP in the Philippines.

This evaluation focused on assessing the relevance, effectiveness (results), and efficiency of the objectives of the SGP in the Philippines, as well as concepts and processes used by the SGP to implement its objectives further:

- Is the SGP relevant to the GEF's mandate and operations and the Philippines' environmental priorities?
- To what extent has the SGP contributed to the generation of global environmental benefits?
- To what extent is the SGP an efficient and effective instrument for linking the GEF with community groups and NGOs?

2.2 SGP Philippines Country Programme

The GEF Small Grants Programme started in the Philippines in 1992 as one of 33 pilot countries. The Association of Foundations coordinated and managed the pilot phase (1992–95) as a host NGO. At the start of operational phase 1 in 1996, the program moved from its host NGO and relocated to UNDP. The National Selection Committee, now known as the National Steering Committee, was organized to serve as the SGP's policy-making body, responsible for determining strategy, screening projects, providing technical support, and overseeing program management. The NSC is an independent structure whose membership is representative of various disciplines, expertise, and civil society leadership for an effective management of the program. The NSC consists of scientists, academics, environmental and development practitioners, and government representatives.

The SGP pilot phase lasted from 1992 to 1995. Since then, the Philippines has had three country programs corresponding to operational phase 1 from 1996 to 1998, operational phase 2 from 1999 to 2004, and operational phase 3 from 2005 to 2008. The development goal of the GEF

SGP is to secure global environmental benefits in the areas of biodiversity conservation, climate change mitigation, protection of international waters, prevention of land degradation, and phaseout of persistent organic pollutants through community-based initiatives and action. The goal was to be implemented through objectives that would:

- support actions that promote biodiversity conservation in selected and priority biogeographic regions,
- ensure the protection of international waters from environmental impacts of activities from within the territorial boundaries of the Philippines,
- help reduce greenhouse gas emissions by promoting renewable energy in rural areas.

A fourth objective was added in the second two-year CPS for 2001–03 to address sustainability concerns:

- Institutionalize and sustain the SGP through an NGO with experience and knowledge of the SGP framework, processes, and systems

The goal of the program under the current operational phase 3 remains the same: "global environmental benefits secured in the GEF focal areas through community-based initiatives and actions." In line with this continuity, the objective for SGP in operational phase 3 is "consolidation, demonstration, and expansion of SGP gains in the second operational phase, while maintaining the program's mandate and high standards." This will be carried out by achieving the following principal lines of action:

- Increasing the global reach of the program especially to address global environmental problems
- Implementation of well-designed project portfolios that incorporate new GEF focal areas and themes
- Strengthening of existing country programs
- Demonstration of local and global benefits of the program and application of lessons learned and best practices
- Enhancing sustainability of SGP-funded projects
- Realization of SGP's potential as a GEF corporate program

2.3 Overall Approach Adopted by the SGP

The SGP has been and continues to be an important avenue for civil society and its participation in seeking solutions to critical environmental problems (global environmental benefits secured in GEF focal areas through community-based initiatives and actions). The program approach is

premised on the principle that local solutions to global environmental problems are feasible and have been successfully demonstrated in the earlier phases of SGP implementation. At the same time, the program approach recognizes a significant potential for enhancing global benefits further, both quantitatively and qualitatively.

The SGP CPS, which has been revised several times, operates both according to GEF focal areas and a geographical focus by

- supporting actions that promote biodiversity conservation in selected and priority biogeographic regions;
- addressing concerns of indigenous peoples, in particular, by strengthening support for indigenous knowledge systems in recognition of their role as guardians of the rich and fragile biodiversity areas;
- integrating education and awareness activities and advocacy work in projects;
- institutionalizing a system that will allow grassroots organizations the preferential choice on who they can access for technical needs;
- implementing proactive projects on environmental courts or "green courts," for example, supporting environmental judiciary activism in partnership with the Philippine Judicial Academy under the Supreme Court of the Philippines;
- ensuring the protection of international waters from environmental impacts of activities from within the territorial boundaries of the Philippines;
- help mitigate climate change by promoting renewable and sustainable energy in rural areas;
- actively documenting and researching projects, in support of modeling, replication, and scale-up pursued by the program, including the plan to shift to full-scale sharing of lessons and experiences within and outside the Philippines;
- promoting environmentally sound management of POPs and other chemicals.

The present geographic focus areas include the following: Sierra Madre (Luzon), Ligawasan Marshes (Mindanao), Cebu (Visayas), and Negros-Panay (Visayas); however, in Palawan, the SGP maintains a strong presence through the United Nations Foundation's COMPACT in Puerto Princesa Subterranean River National Park. The SGP previously also supported projects across the Philippines.

An NSC Strategic Planning Workshop (1996) determined the partners of the SGP. Five options were discussed as the SGP model. The participants decided to give preference to people's organizations and CBOs, as the priority partners and as project holders and implementers and

signatories of the MOA. However, a second model was also adopted: NGOs will support CBOs requiring strengthening, on the condition that the NGO would be phased out within a timeframe to be determined by both the NGO and CBO. In these cases, the MOA would be signed by both the NGO and the CBO. Other approaches (for example, having both an NGO and people's organization as members) would be considered under special circumstances.

It was underscored that, in the implementation of any project, whether community- or SGP-initiated, government agencies and institutions and local government units will always be involved.

2.4 SGP Philippines Portfolio Description

SGP support is focused on the GEF focal areas of biodiversity, climate change, international waters and POPs. Around 64 percent of the project portfolio is concentrated on biodiversity projects, 18 percent on activities classified as multifocal area projects, and 16 percent are climate change projects. As of December 2006, 111 projects had been completed, 87 were under execution, and 10 were approved projects about to be activated. Table 2.1 presents the changes in the SGP portfolio during the different phases of the program.

Table 2.1: Number of Projects per Focal Area and SGP Operational Phases

Focal area	Pilot	Phase 1	Phase 2	Phase 3	Total
Biodiversity	27	13	64	29	133
Climate change	3	7	19	4	33
Multifocal	5	3	22	7	37
POPs				3	3
Not classified			1	1	2
Total	35	23	106	44	208

The majority of the recipient organizations (grantees) have only received support from the SGP once, whereas about one-third have had two or more projects. Figure 2.1 shows that 65 percent of the projects were implemented by an organization that only had one grant, whereas 35 percent of the total number of projects were implemented by organizations that have had two or more grants. Figure 2.2 shows The organizations that have received multiple grants (ranging from three to 11) during the past 15 years of the SGP by the number of grants received.

Some of the organizations with multiple grants are technical assistance organizations, such as Sibol ng Agham at Teknolohiya, Inc. and Yamog Renewable Energy Development Group, Inc., which mainly provide technical assistance to CBOs and their communities. The CGEF has primarily been involved in planning activities, such as workshops, consultations, and lessons learned.

Figure 2.1: Distribution of Grants and Organizations (number of projects in percent)

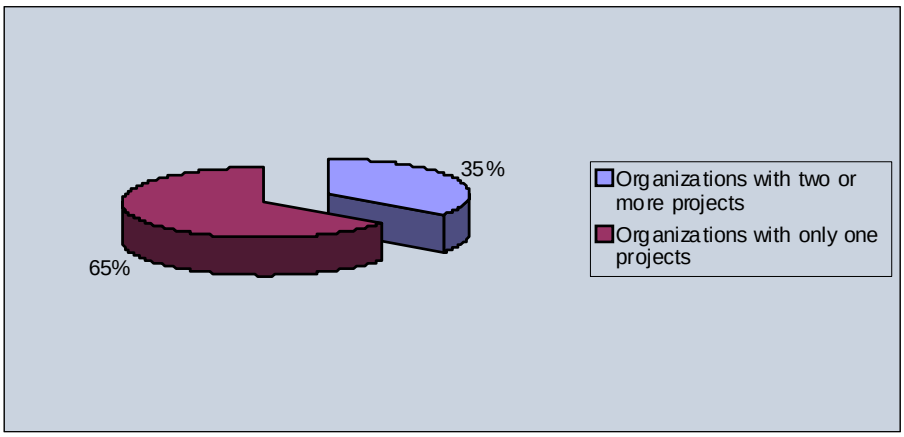
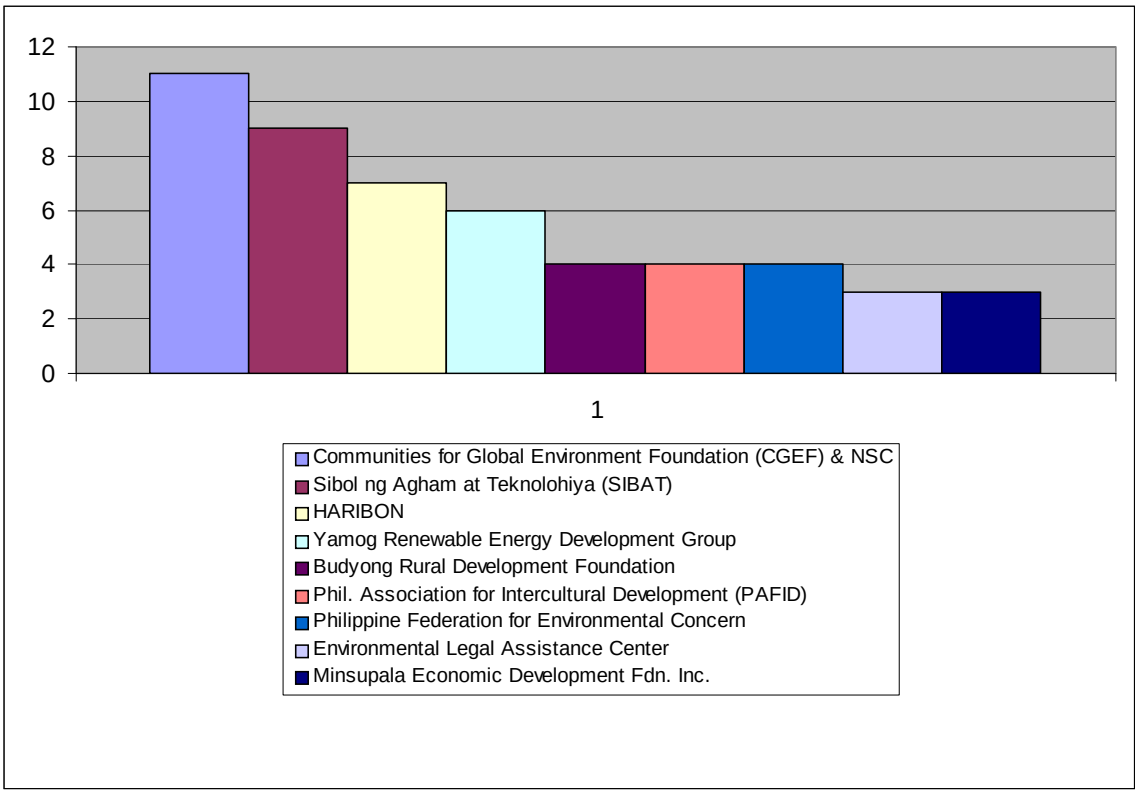


Figure 2.2: Organizations with Multiple Grants (number of SGP grants)



3 Relevance of the SGP

3.1 Introduction

This chapter reviews the relevance of the SGP in the Philippines in the context of both the country's and the GEF's goals and priorities. The evaluation asked, and this chapter summarizes its findings about, the following:

- What is the relationship of the SGP to country-level sustainable development and environmental priorities and programs?
  - — How well do SGP country strategies fit with national strategies and policies regarding the United Nations Convention on Biological Diversity, United Nations Framework Convention on Climate Change, United Nations Convention to Combat Desertification, other relevant international global environmental commitments, and country sustainable development policies?
  - — To what extent have the GEF, CBD, United Nations Framework Convention on Climate Change, United Nations Convention to Combat Desertification, and POPs focal points been involved in priority setting, governance, and oversight of the SGP's country programs?
  - — What has been the contribution of the SGP to helping the country meet its international global environmental commitments, priorities, and programs?
- How well do the country's SGP objectives fit with the GEF mission and priorities of the GEF focal areas?
- How does the SGP relate to GEF country portfolios?
  - — What and how prevalent are the operational links between the SGP country portfolio and GEF country FSPs and MSPs ?
  - — What have been the contributions of the SGP to building countries' implementation capacities for GEF FSPs and MSPs?
  - — What have GEF FSPs and MSPs learned from SGP? What has facilitated or impeded this learning?
  - — What have been the SGP's contributions to and links with GEF enabling activities?
  - — What have other GEF operations learned from the SGP? What barriers, if any, impede this learning?
  - — To what extent do the new SGP country strategies propose adequate steps to link the SGP into the GEF FSP and MSP country portfolio?

- Is the SGP reaching its intended beneficiaries?
  - — Who are the intended beneficiaries of the SGP?
  - — Do SGP operations reach their intended beneficiaries?
  - — Are these the appropriate stakeholders when considering the global environmental issues addressed by operations and when considering the likely sustainability of SGP outcomes?
- What have been the tensions and potential conflicts among local, national and global priorities? What trade-offs have been made while addressing these tensions?
- What reputational benefits has the SGP generated, and how are these reputational benefits related to the GEF?

3.2 Relevance to the Country's Sustainable Development Agenda

Relevance to Country Agenda and Priorities

The development agenda and national priorities in the Philippines are expressed in the medium-term development plan. During the SGP's lifetime, the country has been guided by three development plans plus a revised plan.

The Philippine Agenda 21, which was formulated in 1996, is a wide-ranging multidimensional strategy that calls for integration of sustainable development concerns into all decision-making structures, not only within the government, but also in civil society. It advocates a fundamental shift in development approach and aims to introduce an ecosystem-based and people-centered approach.

Two CPSs have guided the SGP and both include an overview of the national framework, including institutions, relevant legislation, strategies, and plans. Table 3.1 reveals that the two CPSs have been highly relevant to the national sustainable development agenda and also to the GEF focal areas.

Table 3.1: Integration of National Plans, Strategies, and Legislation into the CPS

CPS	MTDP	Agenda 21 and other national strategies	International conventions	Environmental legislation
1999–2004	Yes	Yes	Yes	Yes
2005–08	Yes	Yes	Yes	Yes

Note: MTDP = medium-term development plan.

The 12 sample projects were also rated on relevance to both the GEF objectives and focal areas, and the country's priorities (see table 3.2). The six-point rating scale includes the following

ratings: highly satisfactory, satisfactory, moderately satisfactory, moderately unsatisfactory, unsatisfactory, and highly unsatisfactory. The rating of the 12 projects generally demonstrated a high level of relevance both to the national sustainable development agenda and to GEF focal areas.

Table 3.2: Sample Projects and Relevance Ratings

SGP Ref. No.	SGP Phase	Project Name	Relevance Rating
OP-07.97-M	1	Solar-Powered Water Pumping System for Purok Takilay (MINDANAO)	Satisfactory
OP-18.98-L	1	Institutionalizing Coastal Resource Management Initiatives in Infanta, Quezon, toward Achieving Biodiversity (LUZON)	Highly satisfactory
PHI/100/05	3	Watershed Resources Management and Microhydropower Development for Matigsalog and Manobo Tribe	Satisfactory
PHI/22/92	Pilot	Argao Nearshore Area Rehabilitation Project (VISAYAS)	Satisfactory
PHI/61/03	2	Mt. Maraot na Banwa Biodiversity Conservation	Satisfactory
PHI/63/03	4	Strengthening Community-Based Initiatives on Biodiversity Conservation through Community Enterprise Development	Satisfactory
PHI/66/03	2	Gaynawaan Project: Toward the Preservation, Rehabilitation, and Development of the Arakan Valley Conservation Area	Highly satisfactory
PHI/68/03	2	Mitigating Greenhouse Gas Emissions of Rice Mills and Engines through the Use of Renewable Energy Resources	Satisfactory
PHI/72/03	2	Community-Based Marine Sanctuary Management and Livelihood Support Project	Highly satisfactory
PHI/73/03	4	Sustaining and Sharing Best Practices on Community-Based Initiatives on Biodiversity Conservation and Climate Change	Satisfactory
S/OP-29-V	2	Solar-Powered Water Pumping System (VISAYAS)	Satisfactory
S/OP-32-L	2	Small Islands Sustainable Development Program (LUZON)	Satisfactory

The Role of GEF Focal Points in Relation to the SGP

The DENR has been represented on the NSC by undersecretaries and assistant secretaries and, in several cases, the GEF operational focal point or its alternate. The operational focal point is placed in the DENR within the Foreign Assisted Projects Office. In 1996 technical focal points for each GEF focal area were created among the relevant government bureaus in DENR and in the Department of Agriculture. The Environmental Management Bureau in DENR holds the technical focal point positions for the GEF focal areas climate change, POPs and international waters. DENR's PAWB is the technical focal point for biodiversity, while the Bureau of Soils and Water Management in the Department of Agriculture is the focal point for land degradation.

The NSC has, from the start, included an undersecretary as representative of DENR. In the mid-1990s the Environment Management Bureau was also represented, and when land degradation became a focal area, the Department of Agriculture was included. In 2005–06, the DENR representative was the GEF operational focal point. The PRC, which screens and recommends on

all SGP proposals, has throughout its existence included several representatives from DENR's Foreign-Assisted and Special Projects Office, which is the office that hosts the GEF operational focal area.

As part of the recently signed MOA on GEF RAF allocation to the SGP, the DENR decided that the PAWB will become an NSC member effective in 2007. PAWB is the national technical focal point on biodiversity. This will further strengthen biodiversity capacity in the grant approval process.

The Contribution of the SGP to Helping the Country Meet Its Priorities and Commitments

The SGP in the Philippines has promoted outreach and awareness regarding national and global environmental concerns, supported community and NGO capacity to address these concerns, and facilitated the development and dissemination of community-level solutions to global environmental problems. Many of the SGP activities support, for example, the Millennium Development Goals on environment and the national Agenda 21, which is ecosystem based and people centered and is intended to improve management of five specific ecosystems, in addition to biodiversity:

- Forest and upland areas
- Agricultural and lowland areas
- Urban areas
- Coastal and marine ecosystems
- Freshwater ecosystems
- Improved management of biodiversity and of mineral resources

In the forest and upland ecosystem, the SGP has supported forest management, reforestation, and sustainable watershed management. In agriculture and lowland ecosystems, support has been provided to sustainable agriculture and promotion of indigenous rice varieties. A number of projects have addressed coastal and marine ecosystems for which SGP support has been instrumental in establishing a number of marine protected areas, including development and implementation of management plans. Among several projects evaluated, one was found to have been very successful in coastal resource management by establishing a marine protected area, which has resulted in improved resource management and led to increasing fish catches. Freshwater ecosystems have been supported through several projects targeting watersheds and lake systems. Notably, in the Ligawasan Marshes, several projects have supported wise use of wetland resources and attempted to strengthen biodiversity conservation, although without first identifying the globally important areas of the marshes. On biodiversity conservation, the SGP has supported activities that established simple community-based biodiversity monitoring

systems in one locality and habitat conservation and sustainable use of biodiversity in many other areas.

The SGP has supported several studies and workshops on best practice in the GEF focal areas. These include renewable energy solutions, POPs, and indigenous resource management practices, among others.

Regarding how the SGP has provided support for national commitments to the international conventions, five activities relate directly to the Stockholm Convention, including several roundtable events on POPs, which brought together representatives from various sectors with knowledge, experience, and concern regarding POPs. These roundtable events served to develop recommendations for future work between civil society organizations and government agencies on this issue. The events took place in Luzon, the Visayas, and Mindanao. One outcome was a full project to monitor and reduce the use of people's organizations at the local level in Mindanao. Another activity targeted national commitments to the CBD, in which the SGP supported a workshop between civil society and GOP representatives to discuss an upcoming conference of the parties.

It is difficult to assess directly the magnitude of the contribution made by the SGP to the national sustainable development agenda and to commitments that are part of international agreements. The difficulties stem from the fact that many projects fail to establish a baseline that would enable results and impact to be measured. Furthermore, many of the projects lack indicators or show poor use of existing ones. Of the 12 sample projects, only three had set a baseline, and only half of the projects used indicators to measure achievement of objectives.

Another issue regarding SGP contributions is the long-term durability of project results. An illustration is the sample project OP-18.98-L, which succeeded in establishing various structures to strengthen local-level coastal resource management. But a post-project evaluation five years later found that only one community had continued with the monitoring and replanting of mangroves after project termination and the coastal resource management councils at community level had all stopped working.

Future support is needed to strengthen both project- and program-level M&E systems and the capacity to implement these. Furthermore, the sustainability of results needs improvement through the application of more strategic approaches, such as avoiding the creation of new project-driven organizational structures, which will often collapse after project termination.

3.3 Relationship between the SGP and the GEF

Philippines SGP Objectives Compared with GEF Mission and Focal Areas

This section analyzes how the SGP in the Philippines fits with the GEF and its mission and focal areas. Table 3.3 compares the mission and objectives of the two organizations.

Table 3.3 Comparison between SGP Philippines and the GEF

SGP Philippines CPS	GEF	Comment
Mission statement: To support and promote activities of communities with the support of people's organizations, CBOs, and NGOs that contribute to reducing transboundary environmental problems, while addressing local community concerns.	Mission statement: GEF is a mechanism for international cooperation for the purpose of providing new and additional grant and concessional funding to meet the agreed incremental costs of measures to achieve agreed global environmental benefits in the areas of biological diversity, climate change, international waters, and ozone layer depletion. Land degradation issues, primarily desertification and deforestation, as they relate to the four focal areas will also be addressed. In carrying out its mission, the GEF will adhere to key operational principles based on the two conventions, the GEF Instrument, and Council decisions.	Although the GEF sees itself as a mechanism that finances incremental costs of actions to achieve global environmental benefits, the SGP mission statement stresses the local community perspective in addressing both global and own problems.
Objective 1: Support actions that promote biodiversity conservation in selected and priority biogeographic regions. Projects that will be supported shall include those that promote conservation and sustainable use and management of biodiversity in key ecosystems and sustainable community-based activities in forest conservation areas, including strict protected areas and those that demonstrate and apply sustainable use methods in forestry and related activities as part of integrated land management. Projects will be limited to in situ conservation activities.	The GEF objective for the biodiversity global area (same as the CBD) is "the conservation of biological diversity, the sustainable use of its components, and the fair and equitable sharing of the benefits arising out of the utilization of genetic resources, including by appropriate access to genetic resources and by appropriate transfer of relevant technologies, taking into account all rights over those resources and to technologies, and by appropriate funding."	The SGP Philippines objective, as expressed in the CPS, is to a large extent equivalent to the GEF objective, including both conservation and sustainable use. The sharing of benefits and the rights approach in the CBD are not explicit in the SGP Philippines objective, but the evaluation found that in the actual implementation of the SGP grants, there are numerous examples of benefit sharing and support to indigenous rights.
Objective 2: Ensure the protection of international waters from environmental impacts of activities from within the territorial boundaries of the Philippines. Projects to be assisted shall concentrate on pollution abatement and prevention in coastal, marine, and freshwater ecosystems, including wetlands, mangroves, and estuaries. Joint or multifocal area projects, especially with aquatic and marine biodiversity conservation and carbon sequestration, shall also be considered.	The GEF objective in the international waters focal area is to contribute primarily as a catalyst to the implementation of a more comprehensive, ecosystem-based approach in managing international waters and their drainage basins as a means to achieving global environmental benefits.	The fundamental community perspective of the SGP makes it difficult to address this focal area. The SGP has so far not been able to support many projects under this objective; however, in 2005 an MOA was signed with the GEF PEMSEA* program, and in 2006 the first project was approved (see PHI/121/05).
Objective 3: Help reduce greenhouse gas emissions through promotion of renewable energy in rural areas. Projects to be supported shall promote the adoption of renewable	GEF objective for the climate change focal area is the same as for the United Nations Framework Convention on Climate Change: the stabilization of greenhouse gas	The SGP focus is on renewable energy to help reduce emissions of greenhouse gases. This is well in line with OP6 of the GEF climate change focal area.

SGP Philippines CPS	GEF	Comment
energy by removing barriers and reducing implementation cost.	concentrations in the atmosphere at a level that will prevent dangerous anthropogenic interference with the climate system. Such a level should be achieved within a time sufficient to allow ecosystems to adapt naturally to climate change, ensure that food production is not threatened, and enable economic development to proceed in a sustainable manner.	
Objective 4: Institutionalize and sustain the SGP through the CGEF, the NGO established to help sustain and institutionalize SGP initiatives.	There is no equivalent.	The CGEF is an NGO made up of present and former members of the NSC.
Objective 5: Land degradation	The GEF objective for the land degradation focal area is to mitigate the causes and negative impacts of land degradation on the structure and functional integrity of ecosystems through sustainable land management practices as a contribution to improving people's livelihoods and economic well-being	The latest CPS mentions this focal area, but there is no objective to guide actions. The SGP needs to develop an objective for this focal area, which has been in operation since 2003.
Objective 6: Persistent organic pollutants	The GEF objective of the operational program on persistent organic pollutants (OP14) is to provide assistance on the basis of incremental costs to developing countries and countries with economies in transition to reduce and eliminate releases of POPs into the environment. This objective is consistent with that of the Stockholm Convention, which is intended to protect human health and the environment from POPs. The SGP has supported five activities in this focal area without having formulated an overall objective. The SGP needs to develop an objective for this focal area, which has been in operation since 2003.	The comparison between the SGP Philippines and the GEF mission and objectives found that several of the Philippines SGP objectives fit well with the GEF equivalent. But it is necessary to develop specific objectives for the new focal areas that have been in operation since 2003.

* PEMSEA = Partnership in Environmental Management for the Seas of East Asia.

The SGP in Relation to the GEF Country Portfolio in the Philippines

The SGP does interact to some degree with other GEF activities in the Philippines. In this section, the evaluation takes a closer look at the nature and relationship of this interaction. The first step was to investigate the relationship between the 12 sample projects and the approved GEF FSPs and MSPs. The results were negative, because none of the projects reported had interacted at all with the larger projects in the GEF portfolio in the Philippines. The main reason is probably the lack of overlap between the geographical project areas of the sample projects and FSP and MSPs.

The next step was to look for linkages with other grants. The SGP CPS has proposed an action to link the SGP with the GEF FSP and MSP country portfolio: "The CPS should specifically link up with the large- and medium-scale GEF projects being implemented in the Philippines, including mainstreaming the program's methodology and experiences generated during its previous implementation phases." The progress reported on this action can be found in the annual reports for 2000–06 and concerns several projects, some of which will be described in the following paragraphs.

One example is the SGP project: "100 Ha Biodiversity Conservation in Mt. Isarog Natural Park" (PHI/12/01), which was implemented in 2002–04. The project was a spin-off from the UNDP GEF MSP Sustainable Management of Mt. Isarog Territories, in which the CBO proponent was one of the partners of CARE-Philippines, who was the project manager. Another example is the project Biodiversity Protection at Dahilayan, Manolo Fortich, Bukidnon (PHI/03/01), a buffer zone development project to diminish encroachment into the Mt. Kitanblad protected area. This project was also a spin-off from a larger GEF-funded project in the same area, in this case, the FSP Conservation of Priority Protected Areas Project. A characteristic of both this and the Mt. Isarog Territories project was that they were NGO implemented, which could explain the interaction. None of the government-implemented GEF projects seem to have interacted at all with the SGP. There is no reporting on progress of the planned mainstreaming of SGP methodology and experiences.

It seems to have been difficult to scale up the SGP projects to become a full-blown MSP or FSP. A few attempts have been made, but they never made it to final approval by the GEF (that is, PHI/98/G42). The opposite phenomenon exists, in which a small project was identified through a GEF project development fund grant and later implemented as an SGP project (PHI/42/03).

It is difficult to assess whether the SGP and the GEF FSP and MSP projects have learned from each other, because no baseline (especially on quantifiable aspects of their relationship) or process description exists.

The SGP has complemented GEF enabling activities by, in some cases, supporting civil society participation in the development of recommendations and actions for the future. This was, for example, the case with POPs, for which the SGP supported several roundtable events in different areas of the country to create awareness, build networks, and outline potential actions.

3.4 The SGP and Its Beneficiaries

The intended beneficiaries of the SGP are, according to the project brief for the SGP's operational phase 3, the same as for the previous operational phases: "Since its inception, SGP grant making has been directed principally toward poor and marginalized communities through their own community-based organizations (CBOs) or assisted by local or national nongovernmental organizations (NGOs)." The 1999 CPS states that the SGP will "continue to target the economically poor and marginalized communities and shall also actively attract community groups in critical and protected areas to partner with the program. Particular attention

will be given to addressing the concerns of indigenous peoples, in view of its plan to actively promote the utilization of renewable and alternative energy in these communities." The CPS for 2005–08 mentions communities, CBOs, NGOs, and marginalized groups.

When asking whether the SGP operations in the Philippines reach their intended beneficiaries, the answer is positive, but with a few comments. The SGP focus areas are located in Sierra Madre (Luzon), Ligawasan Marsh (Mindanao), Cebu (Visayas), and Negros-Panay (Visayas). These areas, as identified in a recent study, all have high levels of rural poverty, and so are among the poorest provinces in the country. Many of the communities have a remote location and are often located in areas with valuable biodiversity. However, there is still a need for fine-tuning the focused areas through an overlay with the key biodiversity areas as identified by DENR's PAWB, Haribon Foundation, and Conservation International (through the GEF-supported Critical Ecosystems Partnership Fund). However, fine-tuning is now in progress through baseline projects in Sierra Madre, Cebu, and Negros-Panay; for example, about 40 percent of Ligawasan Marsh's territory has been converted into agricultural land. Thus, to maximize global benefits, the SGP is encouraged through a proactive project to identify the key global conservation areas that host the bulk of species and populations under global threat and to focus on the communities in the marshes that particularly depend on or pose a threat to these species and populations. This would require further strategy development and could form part of an update of the CPS.

Indigenous communities have been the target of a relatively large number of the more than 220 projects supported by the SGP in the past 15 years. Indigenous peoples' communities and territories are, furthermore, located in some of the key biodiversity areas in the country and are under strong pressures. Indigenous peoples tend to be both marginalized and vulnerable. The targeting of these areas is found to be appropriate, because to conserve forest and other natural resources, it is necessary to support those communities that live within and depend on these areas directly. To work more efficiently with the indigenous peoples, the SGP could further strengthen the rights-based approaches, and support these communities in their struggle for their territorial rights. It is hard to see how these groups will conserve and sustainably manage areas when their rights are not recognized and, furthermore, when they run the risk of being relocated or expelled due to large development projects or intensive in-migration. In the Cordillera in Luzon and areas of Mindanao, numerous cases exist of indigenous peoples losing their territories for the above-mentioned reasons. The SGP thus needs to work more strategically with indigenous peoples and from a rights-based approach, including considering support to regional indigenous people's organizations. A future revision of the CPS could benefit from integrating concrete targets and results for indigenous peoples, so that it is easier to monitor progress and impacts.

There have been cases of conflicts in terms of reconciling local and global priorities. In the global sample projects, some of them made trade-offs, such as in PHI/100/05. This project presented a green approach in which the development of microhydropower was to happen in tandem with biodiversity conservation, natural resource management, watershed protection, and reforestation. But in all the progress reports, the NGO only reports on the progress of the

hardware, and hydropower plant construction and installation. After 15 months of implementation, the evaluation team found through a site visit that only very limited funds had been spent on the environmental component. Only the development component was being implemented and budget spending was largely as planned for this component.

Another example is the S/OP/29, whose integrated approach would combine watershed rehabilitation with renewable energy installation. In this case, the focus was also mainly on hardware installation, although some reforestation did take place. But this reforestation unfortunately included the planting of invasive and exotic tree species, such as acacia and Indonesian mahogany. Although these species had also been planted once before the project, such species threaten native habitats by competing with indigenous vegetation and thereby reducing native biodiversity and increasing water loss from riparian zones. Acacia is also known to destabilize stream banks and support a lower diversity of species. GEF guidelines only encourage the use of native species for its grant allocations.

3.5 Reputational Benefits from the SGP

The SGP in the Philippines has been efficient at creating press coverage (newspapers, radio, and television) of major activities carried out by grantees or the national coordinator. The assessment of the team, which is based on interviews and anecdotal evidence, is that the media coverage (number of articles in newspapers, radio, and television programs) is substantially larger for the SGP than for other GEF activities such as the MSPs and FSPs. This is probably due to the nature and magnitude of SGP activities and good press relations with the national coordinator and members of the NSC. Positive press reviews add to the prestige and reputation of the SGP and UNDP, its implementing agency. The fact that much support is channeled to local communities, which is not the case of the FSPs or the MSPs, is another element that adds to its good reputation.

The SGP has undertaken intensive and impressive networking, particularly with the Small Grants Donors Group of various embassies in the country. This has led to partnerships with other donors and similar funding facilities, which have materialized in extensive cofunding and leveraging arrangements. The results of these efforts are that the SGP has a good reputation among other donors and is known for its willingness and ability to enter and carry out partnership arrangements. These arrangements will often benefit the target communities directly and often provide opportunities for further new project support to a community beyond the GEF project. The SGP has also built a strong relationship and has a “credible reputation with government, which has been most favorable to the SGP implementation.”

4 Effectiveness of the SGP and Global Environmental Benefits

4.1 Introduction

This chapter reviews the effectiveness of the SGP in the Philippines in the context of both the country's goals and priorities and the GEF's goal to produce results that simultaneously generate global environmental benefits. This chapter describes and summarizes the findings on effectiveness related to the following questions:

- What direct global environmental results (particularly with regard to the GEF focal areas) have been generated or are likely to be generated by small grants?
- To what extent has the SGP been innovative in building capacities to address global environmental issues and contributed to global environmental benefits in ways that are consistent with the national sustainable development agenda and that generate benefits for poor and marginalized populations? The evaluation will address the following SGP outcomes, which are directly related to the objectives stated in the 10-year SGP report:
  - SGP contributions to community and local approaches, strategies, and technologies to reduce threats to the global environment
  - Capacity development at the individual, organizational, institutional, and systemic levels (including partnerships with other donors, the business sector, NGOs, CBOs, and networks) that contributes to the generation or sustainability of global environmental benefits
  - Awareness and behavior that contribute to protecting the global environment
  - The extent to which, in generating benefits for local populations, the SGP has also contributed to addressing global environmental concerns
  - The extent to which the SGP has contributed to the development of policy reforms that are supportive of the involvement of poor and marginal populations in protecting the global environment
  - Other results (positive or negative, intended or unintended, direct or indirect) linked to local populations and the global environment
- What are the overall contributions of the SGP in terms of helping countries meet international obligations to global environmental conventions and address global environmental issues that fall under the mandate of the GEF?
  - To what extent is the SGP referred to in country communications to the conventions?

— To what extent has the SGP developed cost-effective and viable approaches and lessons that can be adopted by GEF projects and other programs to involve NGOs, CBOs, and local populations—particularly poor and marginal populations—in efforts that address global environmental priorities and country commitments to environmental conventions?

The SGP's effectiveness results from combined efforts at the local and national levels to raise public awareness and mobilize local activities in support of national and global environmental problems. This is done by attracting appropriate partners and technical and financial resources to mitigate environmental problems and leverage support from other grant mechanisms to support these efforts through larger projects and broader policies. Effectiveness includes the capacity to raise awareness to threats to the global environment and demonstrate community-level strategies and technologies that, if replicated, could reduce these threats with time. Effectiveness is increased when participatory and sustained monitoring and evaluation takes place even after project closure, in addition to identification of successful strategies and other lessons learned from project experiences and the dissemination of these best practices and innovations among people's organizations, NGOs, local and national governments, and the donor community.

The SGP has developed a comprehensive network of SGP project implementers and supporters, including development and conservation movements at the local and national levels, multiple stakeholders, volunteer NSC members, local people's organizations, academia such as regional universities, and in some cases, the private sector. They have all helped to address technical and institutional issues and have supported capacity development of people's organizations and NGOs.

The effectiveness of the SGP project can be seen to a large extent in the context of existing local-level environmental initiatives and development resource management approaches such that projects can become reasonably effective during their implementation and successful in their outcomes. Likewise, the effective impact of a project will depend on the SGP project implementers' ability through active advocacy work to get, for example, community resource and watershed management plans included in the local government unit (LGU) development plans or management plans for protected areas.

The SGP links livelihood improvements to project outputs, which becomes an integral part of sustainability; however, local empowerment to build adequate capacities and an understanding of the dual goal of integrating conservation with development takes time. With the average implementation timetable of two years at most for an SGP project, this task can be a really difficult feat to pull off. Previous evaluations have suggested linking the SGP to the UNDP Country Cooperation Framework and particularly the UNDP portfolio, in the areas of environmental sustainability, governance, and empowerment of the poor.

4.2 The Direct Global Environmental Results Generated by the SGP

Relevant results include benefits derived in the GEF focal areas for biodiversity conservation, climate change, and multifocal areas (land degradation).

Biodiversity

The goal of GEF's biodiversity program is the conservation and sustainable use of biodiversity and the maintenance of the ecosystem goods and services that biodiversity provides to society. The strategy includes a range of interventions to conserve and sustainably use biodiversity that will yield positive conservation outcomes in the short term, while providing the basis for sustainable biodiversity conservation and improvements in human well-being in the long term. The strategy, therefore, encompasses the following complementary and mutually reinforcing objectives:

- Improving the sustainability of protected area systems, the most predominant and dedicated land use globally for biodiversity conservation
- Supporting the integration of biodiversity considerations into the actions of the production sectors that exert the greatest impact on biodiversity
- Safeguarding biodiversity by building country capacity to implement the Cartagena Protocol on Biosafety and by preventing, controlling, and managing invasive species
- Building capacity to support the Bonn Guidelines Protocol on access to Genetic Resources and Benefit Sharing

Philippine biodiversity is one of the most endangered globally. Only around 7 percent of the country's original vegetation cover remains; the rest of the country has historically been logged for timber products and is being cleared for farming needs and development to accommodate the nation's fast-growing population. Many endemic species are confined to these remaining natural areas and, as a result, a very high and increasing number of species in the country are now globally threatened with extinction.

The areas of high biodiversity concentrations represent the remaining, mainly pristine marine, wetland, and terrestrial forest ecosystems found in 16 distinct terrestrial and six marine biogeographical zones. Since 2003 the SGP has shifted its geographical intervention focus to some of the zones with the highest numbers of species and habitats that are critically threatened on a global scale, such as the Negros-Panay Biogeographic Zone, and to locations of key biodiversity areas under severe threat and of global importance. These include forest areas of the Sierra Madre Mountain Range on Luzon and forest areas in Palawan. The SGP has also maintained its focus on the country's probably most significant and globally important freshwater wetland, the Ligawasan Marshes in Mindanao.

Results

Several projects have contributed locally to increased environmental sustainability and have, at least in the short term, moved toward sustainable use despite increased human population and other socioeconomic pressures in most of the intervention areas. This has been possible, because some projects have been able to catalyze policy action to strengthen natural resource management at the local level. Likewise, support has been provided for institution strengthening to enhance good governance and transparency in decision making involving natural resource management. Local civil society capacity has been strengthened at both the individual and NGO network levels and as general knowledge regarding the status of biodiversity in the Philippines has increased through comprehensive information, education, and communications work.

Project documents seldom describe what species or number of species the projects are intended to conserve. Likewise, terminal evaluation reports rarely describe what has been accomplished at the levels of species management and direct biodiversity habitat conservation; hence, documentation is often indirect. However, it is safe to conclude that local populations of numerous species have benefited from project interventions in the form of improved local management and policy interventions. These interventions have, for example, resulted in a decrease in hunting or fishing and gathering of some threatened species. Likewise, they have slowed down destruction of habitat, establishment of no-take zones, approval of local policies to protect some populations, and improvement of enforcement. For land-based biodiversity, documentation shows better protection or maintenance of a number of single-species populations (that is, the critically threatened Philippine eagle (*Pithecophaga jefferyi*) and Cebu flowerpecker (*Dicaeum quadricolor*), or even an increase, for example, in the Philippine cockatoo (*Cacatua haematuropygia*). For marine species, similar examples are listed, but often in general terms (sea turtles, corals, dugong, among others).

Samples of both direct and indirect accomplishments are presented below:

- Many project interventions are addressing conservation of critical ecosystems and habitats within representative priority global ecoregions and unique biogeographic regions. This is done through local initiatives that promote sustainable community-based activities and sustainable use of forest, wetland, and coastal resources. Indirectly, these efforts often demonstrate the need to combine resource protection with new livelihoods to reduce the pressure on threatened resources.

- The presence of SGP projects in the focused intervention areas has led to increased partnerships among SGP grantees and other partners. These partnerships lead to more efficient and coordinated efforts around integrated development and conservation. This was demonstrated, for example, in the Baggao Biodiversity Landscape and Seascape Project in Sierra Madre project (PHI/82/04) and the Puerto Princesa–Roxas area in Palawan (Community-Based Marine Sanctuary Management and Livelihood Support Project—PHI/72/03 GEF-RNE).

- The SGP has supported traditional indigenous people's cultures to protect their ancestral lands, which harbor diverse endemic flora and fauna within biodiversity-rich areas. These actions directly contribute to maintaining Philippine forest cover and, through this, they contribute to direct generation of global biodiversity benefits. This is probably also the case in several of the mountain biodiversity projects, including the global sample projects such as Mt. Maraot (PHI/61/03) and the Arakan Valley Projects (PHI/66/03).

- Many projects have been able to facilitate and sustain multistakeholder protection and some levels of law enforcement, such as in the case of the Baggao Biodiversity Landscape and Seascape Project in Sierra Madre (PHI/82/04), the Biodiversity Conservation Project in Barangays of Rajah Sikatuna National Park, Bohol (PHI/33/02), and the Tenurial Security and Natural Resource Management Sustainability Project in Bukidnon, Mindanao (PHI/88/04). These efforts have contributed to a substantial slow-down in forest degradation and, in some cases, also a decrease in hunting pressure (Bohol).

- The support to the establishment or expansion of marine protected areas for food security often contains some significant global biodiversity, such as the coastal projects in Palawan.

- The SGP has contributed to substantial rehabilitation of coastal areas with single mangrove species and, to some extent, of terrestrial forest by watershed rehabilitation using the principle of "rainforestation" with native species.

Benefits to Local Populations While Addressing Global Environmental Concerns

It is only by first addressing the local concerns and needs that reaching out with a global environmental agenda may be expected to have an impact. This approach is seen, for example, in the Arakan Valley Forest Conservation and Development Project (PHI/66/03), where the global objective is to preserve the critically threatened population of the Philippine eagle and its habitat. The starting point has been to work with the communities and indigenous peoples on improvements related to land tenure, community comanagement regimes, implementation of local policies, and substantial reforestation. This approach contributed to improving the local development situation, while the global objective was partly met through a decline in conversion of the original forest and expansion of new forest corridor that supports a healthy population of about eight Philippine eagles.

Further Opportunities

Although impressive, GEF SGP impact involving both forest and coastal areas appears to be fragile, and the results may not easily be sustained. The vast majority of Philippine biodiversity and ecosystems continues to be under massive use and severe pressure due to the needs of rapidly increasing populations, the inequitable land distribution, unsustainable resource and land-use practices, and uneven distribution of wealth derived from biodiversity-related extraction. Following the COMPACT model approach, the SGP could usefully emphasize in its project

design —strategically and where possible—links between natural resource pressure in critical conservation areas with reproductive health, tenure instruments, education, and increased institutionalization of permanent community participatory natural resource and biodiversity monitoring systems. This may eventually be done both as part of sustained livelihood incentives and as a tool for local environmental policy compliance under increased LGU supported payment schemes for environmental services.

SGP reporting highlights that people's organizations are motivated to participate through a combination of interest in implementing conservation measures and improving their livelihoods through economic project assistance. The evaluation team observed that most stakeholders involved used the term biodiversity conservation, but with clearly different interpretations. The role of the communities as stand-alone guardians of the environment needs to be detached from any idealistic notion of relationship. The pressures on and the demand for natural resources or occupation of land, partly because of continued population increase and rural poverty, partly because of a lack of land reforms, in addition to demand for being part of the modern consumer society, will often take precedence over issues of environmental sustainability. It is therefore crucial that livelihood factors become the central element in the discourse on sustainability and conservation of the environment. This was not always clear in, for example, some of the investments made in Puerto Princesa Subterranean River National Park. The SGP projects evaluated have clearly been most successful when the communities implemented the conservation and sustainable natural resource management plans as an incentive to obtaining livelihood improvements and development support. This important approach, which follows the CPS for 2005–08, will continue to apply both for GEF support and for donor cofinanced projects. It is understood that the SGP is also encouraging the same approach for post-SGP projects supported by other donors.

The grassroots approach of the SGP delivers not only favorable cost-benefit ratios, but also establishes a mode for environmental conservation that supports GEF objectives. Strong and effective community organization and direct participation in resource monitoring is often a prerequisite to improved natural resource management and conservation. This should be in place before or at the same time as livelihood contributions are provided to ensure that effective linkages exist between sustainable resource management, development, and improved livelihoods; however, SGP policies mainly limit their support to organized CBOs, thereby running the risk of not reaching unorganized communities, which could present the greatest threat to the local environment.

The monitoring and evaluation design of SGP biodiversity projects shows an emphasis on short-term activities, but also includes sustainability plans. The short lifespan of SGP projects may contribute to challenges in building up capacity and institutionalization of long-term monitoring systems on resource use, land use, and biodiversity as part of implementing community-based resource management plans. The SGP responded to the challenge in 2004 by starting to install or integrate biodiversity-monitoring systems for the Sierra Madre projects.

Institutionalization of long-term local participatory monitoring systems that include resource use, land use, and biodiversity as part of implementing community-based resource management plans is key to monitoring environmental impacts, including global benefits, and coming up locally with proactive mitigating actions when necessary. To make local project outputs more sustainable and for GEF SGP involvement in protected areas and other critical conservation areas, consulting the guidelines and approaches prescribed in the DENR's Administrative Order No. 13, Series of 2000, on biodiversity and natural resource use monitoring would be advisable. Among the projects evaluated, only one project (Biodiversity Conservation through Biodiversity Monitoring and Ecotourism Development in Selected Barangays of Rajah Sikatuna National Park and Surrounding Location in Sierra Bullones [Bohol]—PHI/33/02) included biodiversity-monitoring systems as a major component.

Under operational phase 3, the NSC is now committed to increasing the focus on long-term monitoring in line with SGP's commitment to three of the 10 obligations of the Philippines to the CBD. In this context, it may also be useful to consider the use of the World Bank and World Wide Fund for Nature tracking tool for assessing site-level management effectiveness, which is a fairly straightforward and highly effective tracking tool to measure progress in protected area management. The same tool has been adapted for use in marine protected area management.

The SGP has been able to build up a considerable network of technical expertise on aspects of climate change (that is, microhydropower plant installation, training, and management) and some grantees have continued their involvement with the SGP as project technical advisors to CBOs. Microhydropower projects with both climate change and natural resource and land-use management components can have considerable biodiversity conservation benefits; in fact, this type of project could also be considered a multifocal area project. Where climate change grantees and associated NGOs providing technical advice are highly capable within their areas of specialization, the SGP could benefit from strengthening biodiversity conservation aspects in these kinds of projects. One way would be to make use of some of the very experienced national conservation NGOs that exist in the Philippines, some of which are already SGP grantees. In this way, numerous CBOs that are implementing projects with local development NGOs would benefit from technical supervision and guidance, both on climate change and biodiversity aspects. One example is the integrated Watershed Resource Management and Hydropower Development Project in Bukidnon, Mindanao (PHI/100/05).

The SGP Project Review Committee is found to be technically strong, with senior expertise in many fields; however, nearly two-thirds of the project portfolio is focused on biodiversity and the PRC could benefit from adding more expertise on implementing biodiversity conservation and management projects. The added expertise could be drawn from civil society and academia and likewise assist the national coordinator and the PRC in strengthening the field supervision and the monitoring cycle.

The SGP has also maintained a focus on the country's probably most significant and global important freshwater wetland, the Ligawasan Marshes in Mindanao. The focus includes GEF-assisted projects as well as other donor projects. One SGP project, Mobilizing Madrasah Schools

for Biodiversity Conservation of the Ligawasan Marsh (PHI/108/05), had as an output a dictionary showing the species, fish, animals, and traditional rice varieties found in the marshes; this was of special relevance for determining global biodiversity in the area. Other projects have focused on key aspects of environmental education and mobilizing stakeholders for improved sustainable resource management. One SGP project led to the production of a useful thesis dissertation on an indigenous natural resource use and management system.

Unfortunately, a DENR GEF project development facility B proposal in 2004—Proposed Ligawasan Marsh Protected Area—failed to document where within the extensive natural and seminatural habitats of the marsh system, the globally threatened and national rare wetland species are distributed or migratory species are congregating in numbers of international importance. This is a major baseline gap in determining where to protect biodiversity of global and national importance and in linking this to national development and poverty alleviation priorities. In a new GEF-supported project to the DENR—National Program Support for Environment and Natural Resources Management Project (2007)—the World Bank as implementing agency has emphasized a need to work within those core areas of the marsh systems where most global benefits can be achieved and where communities, LGUs, and cultural institutions are all receptive to implementing sustainable resource management and conservation of biodiversity (that is, fauna and flora and related habitats of international importance).

Given the important focus that the SGP has placed on the Ligawasan Marshes and in order for the NSC to be able to implement the Philippines' commitment to the CBD further, it would be highly relevant to work out a proactive project that would determine where inside the extensive marsh system the most global benefits could be created. The project would also need to determine the potential levels of LGU, NGO, and GEF investments in the area. Opportunities for synergy between such a project and the GEF-supported DENR National Program Support for Environment and Natural Resources Management Project are also very good. With respect to this issue, the GEF operational focal point could play an important role in ensuring that GEF investments made through FSPs and the SGP in Ligawasan Marshes complement each other and provide continuity.

Many biodiversity and climate change projects have forest rehabilitation and small-scale reforestation using native species as components ("rainforestation"). The practical and successful experiences of some SGP grantees and CBOs could be replicated systematically in future SGP projects.

Climate Change

The GEF SGP has supported, through a number of techniques, a range of renewable technology options, that is, microhydropower energy, solar power energy, and piloted small-scale offset of greenhouse gas emissions from rice mills and other engines. Most noteworthy is the piloting and replication of microhydropower projects in combination with the introduction of watershed and biodiversity conservation management plans, including the protection of globally significant fauna and flora of watershed forests.

Some of these projects have been highly successful. A total of 26 hydropower plants with an average 21-kilowatt generation capacity has been established in rural areas. They have locally lowered carbon dioxide emissions and reduced the use of lamps using kerosene wicks by thousands of communities in off-grid areas. Carbon dioxide displacement from a 25-kilowatt microhydropower plant at full operation displaces about 170 tons of carbon dioxide a year. Assuming that the power plants are successfully operating at full capacity, the total reduction of carbon dioxide emissions, compared with traditional fossil fuel power generation, would be about 28,900 tons over the years. In addition, the protected watershed forests around the power plants act as permanent carbon sequestration and carbon storage areas.

Further Opportunities

The GEF in the Philippines has over the years invested heavily in climate change funding to the Department of Energy and other partners. This assistance has also included renewable energy in remote areas. More could eventually be done in ensuring replication and scale-up by this department in establishing small-scale renewal energy sources in off-grid areas where the SGP has invested GEF assistance. The NSC, through its DENR representative, who is also the acting GEF operational focal point, could play an important advocacy and facilitating role and, in this way, catalyze increased synergy among the GEF portfolios. At the same time, a successful result could lead to an increase in renewable energy investments allocated within the four geographical focal areas of the SGP.

The project M&E mechanisms could be further strengthened in their integrated climate change activities. For example, investment in renewable energy components, which are intended to improve local development and livelihoods for marginalized communities in biodiversity-rich areas, should also lead to verifiable improvements for the project's twin components of watershed forest management and biodiversity conservation. Some level of free prior consent may eventually be required by the recipient CBO, expressed in the implementing project MOA. For example, the energy investment will only be provided once verifiable evidence exists that water and community resource management plans and local biodiversity and resource use monitoring schemes are in place and under implementation. Further refinement of baselines and introduction of global benchmark indicators and targets related to these indicators may also be needed. Development and livelihood aspects would thus be more clearly linked to verifiable gains in climate change, sustainable land and resource use, and improved biodiversity conservation.

Multifocal Areas and Land Degradation

GEF support to multifocal projects in the Philippines is new; however, in the context of the SGP, this GEF window is usually used to fund a variety of enabling activities related to project and program management, but also some projects in this field. Table 4.1 summarizes the multifocal area of GEF project support.

Table 4.1: Projects Listed in the GEF SGP Database under Multifocal Areas

Type of Project	Number of Projects
Field projects	–
Watershed conservation and microhydropower and solar power	3
Education and information	2
Enabling activities	–
Conferences, planning workshops, and "write shops" (writing workshops) for grantees and other stakeholders	10
NSC planning workshops and project reviews	4
Environmental law seminars	2
Establishment of Web site for SGP and for GEF and the Royal Netherlands Embassy	2
Information, education, and communication: sound slide production, TV shows, and guidelines for them	3
Participation in preparation for CBD conference of parties 8	1
Participation in ecotrade fair	1
Sharing of lessons learned and best practices	1
Planning workshops for indigenous peoples in an ancestral domain	1
Workshop in community enterprise development	1
Development of ecotourism parameters	2
Book on renewable energy	1
Renewable energy conferences	1
Planning grants for CBO proposal	1
Resource mobilization activity	1

Among the enabling activities are projects promoting the coming together of SGP grantees to facilitate exchange of knowledge and best practices under biodiversity and climate change projects, participatory development planning and governance, and increasing collaboration among NGO and CBO grantees and partners. The national coordinator reported that this activity had activated SGP grantee participation in implementing SGP development projects. Networking initiatives of SGP, including knowledge management, are also included under the multifocal area assistance of the GEF.

Land Degradation

The objectives of some projects under the operational programs for biodiversity (mountain, coastal, marine, and forest ecosystems) include elements relevant to land degradation. From the perspective of land rehabilitation, the SGP project approach of supporting rehabilitation of upland watershed areas and depleted coastal areas can have a positive impact on land degradation. The use of indigenous species also contributes to global benefits for biodiversity; landscape rehabilitation with local indigenous plant species provides the potential for other

Philippine species of fauna and flora to reoccupy rehabilitated areas eventually. The extent to which this is happening already cannot be determined because information is lacking.

4.3 SGP Innovations in Capacity Building

The SGP operates satisfactorily within the Philippine Agenda 21, as presented in the National Biodiversity Strategy and Action Plan, Clean Air Act, and National Strategy and Action Plan for Climate Change. As such, the SGP is approaching the Philippine Mid-Term Development Plan. At the project level, the SGP has supported implementation of elements of relevant national laws linked to natural resource management, such as the Local Government Code, Fishery Code, Indigenous Peoples' Rights Act, Philippine Wildlife Conservation Act, National Integrated Protected Areas System Act, and Clean Air Act, among others.

The SGP approach contributes to community and local approaches, strategies, and technologies to reduce threats to the national and, to some extent, global environments. Examples are listed in section 4.2 of this chapter. In building capacities to address national and global environmental issues, it is a prerequisite that funds receiving people's organizations have undergone considerable capacity building. Most of the capacity building is of national relevance. Regarding relevance to the global environment, it is worth mentioning capacity building on forest management, use of indigenous tree species in rehabilitation, general information on globally unique Philippine flora and fauna, and linkages between renewable energy and the global environment; however, it would further strengthen the local capacity focus on GEF-relevant outputs if a general introduction to global environmental issues and to links between national and global benefits were developed, as this is often difficult to comprehend. One way of making it locally relevant would be to highlight local endemic fauna and flora unique to the SGP project area if its biodiversity and habitats are under severe threat.

The Philippine program has adhered to the GEF policy that livelihood activities are not eligible for funding. This policy has not deterred the program from funding livelihood activities. In fact, SGP-funded projects have almost always included livelihood components or activities, because projects that alleviate poverty are attractive to the community as a buy-in that increases its recognition of conservation initiatives.

SGP resource mobilization is working successfully, thanks to impressive networking and alliances with the donor community. More than half of the SGP-funded projects have livelihood components funded by donor agencies other than the GEF (pilot phase: 46 percent; operational phase 1: 43 percent; operational phase 2: 58 percent; and operational phase 3: 68 percent). This highlights the strength of the SGP in bringing in additional resources for livelihood activities to complement SGP funding for conservation and protection. However, in some cases projects may increasingly be perceived locally more as development assistance than special environmental assistance in combination with poverty reduction. It may, therefore, also be useful to strengthen project M&E on GEF incrementalities and global benefits and expand the environmental impact assessment system to include leveraged projects where possible.

The SGP has been highly innovative in facilitating and forging an impressive network and alliances of rural development and environment practitioners and donors around the SGP mandate. The networking approach has helped increase environmental awareness and capacity development, in particular at the individual people's organization, NGO organizational, LGU, and academic institutional levels. Unfortunately, no systematic documentation exists on how many individuals or organizations have undergone capacity building and to what extent this has been linked to global benefits. However, one good innovative example that also allowed for replication was a multisector workshop on conservation of watersheds in watershed protection areas and, in particular, the 2004 Partners Fair at which 445 NGOs and people's organizations met with SGP managers and the NSC, local academia, and government institutions. The aim of the fair was to promote efforts in biodiversity conservation that address climate change and environmental protection. For replication purposes, it included exhibitions of past and ongoing SGP projects and discussion workshops on knowledge management systems on forest and upland resource management, coastal resource management, and watershed protection within the GEF focal themes.

The program's information, education, and communication materials are often translated into major local languages to facilitate better understanding of the SGP's focus and parameters and increase awareness that may contribute to behavioral changes favoring improved protection of the environment in general. The SGP previously published a bimonthly newsletter, but more recently, it has shifted focus to produce a number of relevant thematic booklets and handbooks as a result of research projects and case studies that support its mission and GEF focal areas.

Development and Implementation of Local Participatory Policy Reforms

On the ground, SGP projects have influenced change in the processes and content of existing local development policies in intervention areas of several projects. The improvements achieved within the local environment have positively affected the community in several of the projects reviewed. SGP projects have often impacted LGU policies (at the *barangay* and municipal levels) with the preparation and passing of numerous local ordinances of relevance for the GEF mandate and national environmental legislation (that is, establishment of marine sanctuaries, hunting bans, and deputization of fish wardens and forest protection volunteers, among others). Impacts are also seen at the institutional level where SGP grantees or people's organizations have become members of local development councils or protected areas management boards. At the provincial level, examples include the Biodiversity Conservation through Biodiversity Monitoring and Ecotourism Development in Selected Barangays of Rajah Sikatuna National Park and Surrounding Location in Sierra Bullones (Bohol)—PHI/33/02—project, which assisted the provincial Bohol Environment Management Office to formulate an environmental code for the entire province and formulate a community and LGU–oriented ecotourism plan whose implementation is now starting. Likewise, one grantee's knowledge on climate change and renewal energy aspects has been used in formulating another provincial environmental code.

Scale-Up and Adaptation of Approaches Developed by the SGP

The SGP has, over the years, worked on scaling up projects. The approaches have included the expansion of original project concepts on, for example, biodiversity conservation to include other components such as health, livelihood development, and education. Because of impressive success in partnership development with other donors, this approach has been very successful. Approaches for replication that involve more and more organized people's organizations have also been successful in general terms. However, the evaluation notes that it is often the poorest and most marginalized communities that are the least vocal, and it may not always be easy to reach those communities that may pose the largest threat to the environment.

Scale-up in terms of establishing linkages to the GEF MSPs and FSPs has had mixed results. On the one hand, several SGP projects have translated the gains of the GEF's large-scale projects into real community activities, notably in buffer zones of protected areas. On the other hand, it does not appear to be a part of the exit strategy of MSPs and FSPs to include the SGP. It could have been expected that the traditional strong DENR and UNDP representation in the NSC would have a more catalytic effect on the role of the SGP in the large-scale GEF projects; however, the SGP has played a catalytic role in preparing some SGP-funded projects to graduate to be large- or medium-size GEF projects and absorb greater funding from the GEF. Two projects were prepared for this process during several years, but the GEF did not approve these proposals.

4.4 To What Extent Are the Results of the SGP Sustainable?

When looking at both the 12 projects in the global sample and other projects included in the evaluation, the sustainability aspects represent a mixed picture. Sustainability of projects and their contribution to global environmental benefit cannot be measured by merely looking at the results from the project start to end dates; the two-year project lifetime is simply too short. Unfortunately, the post-project impact studies conducted do not measure the extent to which livelihood and development approaches are being sustained in detail, although they do provide some general ideas. More research is needed to study aspects of sustainability at the household, community, and environmental levels. Linkages to local government development and livelihood support programs are often not very clear in project documentation. Measurement of sustainability will often have to take off from when the LGUs take over responsibilities for their own constituencies, rather than international funding agencies.

Complicating an assessment of sustainability is the fact that several projects have either had other external funding before the entry of the SGP or have continued as livelihood projects after SGP project closure; however, if a definition of sustainability includes the ability to seek additional external funding to secure new livelihood options, many projects must be seen as sustainable, at least in the short term. Many grantees and CBOs appear to believe that continuing to obtain funding as long as it generates overhead that supports, for example, the NGO and CBO, can be a livelihood in itself; the overhead generates employment or additional household income sustainability. A donor's need to disburse grant funds may help fuel this perception.

It is fair to conclude that, for example, several of the coastal resource management projects must be largely seen as sustainable, both in terms of resource management and protection efforts and actual increased livelihood incomes for the local community. The evaluation also notes that the approach toward microhydropower electrification in off-grid areas combined with enforcement and protection of watershed forest and capacity-building in crop diversification practices can clearly be sustained by local organizations once social preparation and sufficient technical supervision has been provided. However, from a sustainability point of view, it is of some concern that no strategic approach appears to exist in project designs to ensure integration of the project *barangay*-level community resource development plans into municipal and provincial development plans.

External factors such as conflicting government policies, illegal resource extraction, and local politics can often undermine project results and, as such, marginalized communities often need assistance beyond a two-year project cycle. The SGP's one-time grant approach is insufficient given the time needed for social and environmental transformation, plus the impact of external factors, such as infrequent law and order problems in some parts of Mindanao and regular negative impacts caused by tropical weather patterns. Although SGP grants are leveraging other donors to continue grant achievements, discussion of options may be useful at the NSC policy level to allow a second GEF grant phase to increase the likelihood of long-term sustainability.

The SGP has not focused on or been able to facilitate the linkages between population growth and reproductive health and the issue of rapid in-migration in project areas. Some geographical focus areas, such as the Palawan and Ligawasan Marshes, have a population growth of more than 4 percent annually. This may jeopardize some achievements, given that sustainable use of local natural resources is linked to the ecological carrying capacity of any given ecosystem. The SGP is encouraged at the policy level to discuss further options to include reproductive health aspects, for example, as part of its gender strategy, if possible and in line with the CPS.

Effective Exit Strategies at the Local and National Levels

Based on the global project examples, the majority of the project included exit strategies. The exit strategies were found to be reasonably relevant, although in no cases did the strategies refer to the effect of strong population growth on the project areas.

At the national level, because of the innovative partnership between the SGP and several international donors supporting rural small grant development initiatives, several terminated SGP projects are being adopted for funding under these donor program initiatives. In this way, the exit strategy of GEF support has become a way of facilitating other donors to take over and continue external assistance. The risk associated with this highly innovative approach is one of avoiding or minimizing community dependence on external funding, rather than focusing on the opportunities provided through the technical assistance and capacity development provided during a project's lifetime.

4.5 Effectiveness of SGP M&E System

The SGP in the Philippines is primarily intended to support local solutions to environmental problems related to biodiversity and natural resource management, conservation of threatened ecosystems and threatened species, and mitigation of climate change and unsustainable land practices causing land degradation. This assistance is rooted in the approach that results can only be achieved by addressing community needs, and the program supports and facilitates alternative livelihood strategies that are intended to benefit both communities and targeted ecosystems. As such, the SGP M&E system must have relevant indicators to measure impacts of both national and global benefit relevance according to the GEF operational programs and national development and poverty alleviation programs. Similarly, every project would benefit from choosing at least one "global" indicator; for example, from each of the three broad categories (global environment, livelihood, and empowerment) in its set of indicators of impact, aside from more country-specific indicators identified in the SGP CPS. Project monitoring is also expected to include a community-based environmental impact assessment process or component that should lead to establishment of a community-owned monitoring and evaluation system. Grantees are likewise required to submit quarterly narrative and financial reports using the prescribed format.

The SGP's M&E system is intended to provide stakeholders and partners and the GEF with information about the status and results of individual projects, the progress of the country program, and the achievement of overall program objectives. Monitoring and evaluation is seen as a participatory process that (a) enables further capacity building and learning, (2) maintains transparency and accountability, and (3) provides opportunities to identify and communicate lessons learned both at project and program levels. Following the SGP, the project M&E also looks into how the various project elements interplay to address the problem for which the project was conceived. The system also determines the community's capacity to manage and sustain the project even if external funding is terminated.

Findings

The implementing NGO is responsible for project M&E at the local level. Project monitoring is conducted by the national coordinator and program assistant on a quarterly basis or as specified in the MOA. Moreover, members of the NSC and PRC and UNDP officials may, as the need arises, also conduct project visits and/or monitoring of projects. The national coordinator or a representative of the NRC normally conducts site visits, which take place twice, on average, during a project's two-year lifespan, including the final evaluation visit.

The evaluation of the 12 global sample projects shows very mixed results. On the one hand, the M&E system has been able to track results and provide information to improve the project and derive some lessons learned. On the other hand, the analysis shows some fundamental problems, as seen in the examples below:

- Baselines were only established in three of the projects.

- Result indicators were identified for the project objectives in 66 percent of the projects (seven to eight projects), and the relevant indicators were only used against objectives in 50 percent of the projects.
- Indicators of key biodiversity and the state of ecosystems were missing or partly missing in 86 percent of the sampled biodiversity projects or projects with a watershed conservation component.
- Indicators to measure greenhouse gas mitigations were present, but reduced emissions results were not calculated or presented in the project reporting.
- Progress reporting in some cases had not followed the indicators or did not refer to the indicators.
- One project with a key component on watershed management and biodiversity conservation had no reporting on training, management organization, or watershed conservation, biodiversity, and management activities.

Reporting against the project objective indicators varies from project to project. There are examples of very detailed and accurate reporting (one award-winning project) but, in general, M&E reporting tends to be predominantly quantitative, which makes it difficult to determine environment or development impacts (table 4.2). A shift toward the use of more specific environment and development indicators, as indicated in the operational phase 3 guidelines, would improve M&E and make the reporting more effective regarding measurement of project and program impacts, which is assumed to have taken place during operational phase 3.

Table 4.2: Examples of Indicator Reporting Used against Project Objectives

Topic and project objectives	Indicator reporting examples
Infrastructure and physical accomplishment	• All reporting included detailed and measurable targets
Community capacity development and involvement	• Stakeholders able to articulate their roles and responsibilities in CRM. • X number of organizations established. • More radically persuasive NGO or CBO alliance • Community representation in key forums for natural resource management decisions
Resource management and conservation	• Sufficient data available for developing a community-based forest management plan • Monitoring system put in place to monitor the area's ongoing conservation activities • Human-generated destruction stopped • Deputization of X number of fish wardens or forest protectors • Resource assessment data in place and used in planning and monitoring • Sanctuary management plan developed, approved, and under implementation • Resource management plan operational • No. of illegal fishing activities apprehended • X hectares of forest area enriched and reforested • Financing mechanism established and beginning to generate funds for the sanctuaries • "With the establishment of a marine sanctuary, the refined fishing in the area resulted to regeneration of resources therefore expected increases of fish yield is seen within and outside the sanctuary."
Climate change	• Efficiency of each of the technologies in the reduction of greenhouse gasses emitted • Number of users and amount of fossil and wood fuels saved • Number of plants planted during the entire project life • Determining the amount of carbon dioxide contained by the plants • Number of households electrified and so on
Information, education, and communication	• Increased awareness • Community now environmentally aware • Published information derived and lessons learned • Exposure contributed to effective project development and management
Livelihood	• Agroforestry and sustainable farming established • Model for community forestry established • Increased access of partner communities to basic services and livelihood opportunities • Livelihood projects generating additional income • Adoption by households of some of the livelihood options
Institutional	• Decisive LGU (barangay and municipality) • Civil society or stakeholders adopt the conservation framework
Policies	• Policies issued • Policies and directions implemented

Based on the evaluated projects, monitoring is mainly designed as a project M&E system and therefore not well designed to measure local impacts on the environment or on, for example, lasting poverty alleviation. The establishment of a land-based community biodiversity, natural resource, and land-use monitoring system following, for example, DENR policies is not part of

the standard project design, although since 2004, the NSC has been gradually trying to implement it in the geographical focal area of Sierra Madre. There is often an absence of measurable improvements in biodiversity or accomplishments in local natural resource management in M&E reporting (that is, decline in carabao logging, charcoal making, number of kaingins, number of hunting days, or number of threatened species being hunted or collected for consumption or trade). Consequently, the specific global biodiversity impacts of the projects are not generally well documented. For example, both in the case of evaluated projects with a focus on indigenous peoples and watershed projects for upland communities, the exact areas under increased protection resulting from project interventions were in several cases not well known. This may be a result of insufficient baseline figures in project descriptions and an absence of key specific benchmark biodiversity or natural resource management indicators.

The weakness found in the M&E system partly mirrors the absence of a global objective in the project design and in project documents. Sixty-eight percent of SGP projects have livelihood components funded by donor agencies other than the GEF, complementing the SGP funding for conservation and protection. Based on the evaluation's observations, SGP projects may in some cases be increasingly perceived locally more as development assistance than special environment assistance in combination with poverty reduction. It is therefore also useful to strengthen project M&E on the GEF incrementalities and global benefits and expand an environmental impact assessment system to include leveraged projects where possible.

Aside from the impact that insufficient use of global environmental and development benchmark indicators has on measuring tangible results, weaknesses may exist in the capacity of some of the NGO grantees to actually implement M&E at project level.

Mitigating such potential weakness will require developing a simple but precise M&E guideline and strengthening field supervision by the national SGP. There may be a need to strengthen biodiversity and integrated conservation supervision, in particular, and eventually also expertise in diversified livelihood strategies. As mentioned above, the PRC could benefit from more expertise in biodiversity conservation management projects. The additional expertise would supplement field supervision of grantees similar to that which takes place in the supervision of climate change projects. It may further strengthen many aspects of capacity building of grantees where these may be weak in GEF-relevant, results-oriented M&E practices. It is proposed that the PRC could assist the NSC in this activity.

The second SGP evaluation in 1998 raised the issue of improving the system and stated, "The monitoring and evaluation system is most in need of strengthening. Such a system should encourage development of community-based environment impact assessment process and indicators as a part of a community-developed, community-managed monitoring and evaluation program." The global SGP impact assessment system is intended to analyze the impacts of individual projects on the production of global benefits and combine this tool with other elements of M&E practices, such as the post-project studies and portfolio review. The SGP impact assessment system was planned for piloting in a number of country programs before extending the system to all country programs worldwide. This evaluation found that the impact

assessment system has not been expanded to the Philippines and the system has yet to be refined and completed. Unfortunately, the evaluation was unable to obtain a copy of the impact assessment system, which is not downloadable, because the Web site has been temporarily unavailable.

4.6 SGP Governance

The governance structure of the SGP at the national level includes UNDP, the NSC, PRC, national coordinator, and, at the site level, the grantee responsible for monitoring and supervising people's organization project implementation. UNDP provides overall management of the SGP, while project execution is carried out by the United Nations Office for Project Services (UNOPS). Supervision and technical support are provided by a Central Programme Management Team (CPMT), part of the GEF Unit at UNDP New York.

UNDP has two roles when it comes to the SGP: (1) as Implementing Agency for the global program, and (2) as a country office, that is, de facto executing agency with delegated authority from UNOPS. For example, at the request of UNOPS, the UNDP country office will manage the audit arrangements for the SGP. UNDP as Implementing Agency and through the CPMT has de facto global oversight responsibility over UNOPS, which is the Executing Agency.

The national coordinator has lead responsibility for managing program and project implementation, including supervision. The NSC is responsible for selecting and approving projects and for ensuring their technical and substantive quality and is encouraged to participate in preselection of projects, site visits, and project M&E. Supervision of project progress includes a review of project M&E and funding expenditure.

The PRC is tasked with review, appraisal, and evaluation of proposals and assisting the national coordinator in site visits to assess proponents and project sites as well as conduct site-based M&E.

The National Coordinator

Aside from reviewing the quarterly finance and narrative progress reports submitted by project implementers, the national coordinator conducts about 45 site visits a year, including appraisal and start-up visits and direct project monitoring at the site level (table 4.3). The national coordinator's program assistant, sometimes members of the PRC, and at the site level, the NGO grantees responsible for local supervision assist the coordinator during field visits.

Table 4.3: Number and Types of Visits Conducted by the National Coordinator to GEF SGP Country Portfolio Projects in 2005 and 2006

Supervision activity	2005	2006
Appraisal visits	4	12
Start-up meetings and visits	14	0
Site project monitoring visits	28	32
Total	46	44

The terms of reference and the corresponding workload for the national coordinator seem impressive. Aside from the requirements for the SGP assignment, the national coordinator has also acted as the regional SGP coordinator, trustee of the CGEF (resigned 2006), and member of the Review Committee of the European Union Programme for Tropical Forestry Small Grant Program; she also has a key role in managing the United Nations Foundation's COMPACT program, among other responsibilities. Taking into consideration the capacity limitations of the small SGP Secretariat (one full-time program officer, seconded by volunteer PRC members), the question is whether the SGP in the Philippines may at some stage be at risk of becoming overstretched? The program has been extraordinarily successful in expanding the project portfolio and its sphere of interest and in securing an impressive expansion in cofinanced projects. All of this requires additional time. To assist the national coordinator and ensure, for example, the strengthening of technical supervision of weaker grantees and people's organizations, it may be worthwhile exploring ways of allocating more program funds to hire supplementary technical staff or subsidize additional technical volunteer expertise in the fields of biodiversity and eventually microenterprise development, given the successful increase in cofinanced livelihood development.

In response to the evaluation question on the most common issues addressed during site visits, the national coordinator reported the following:

- Recognition of the accomplishments of the SGP both at program and project levels
- Sustained partnership with grantees and communities to carry out protection and conservation of the environment, paving the way to establishing and sustaining SGP initiatives
- The significant contribution of men, women, youth, and children in project implementation, either as direct grantees and partners or as part of the larger community
- A large number of environmentally focused NGOs and CBOs, and a strong civil society
- Strengthened partnership and collaboration with academia, particularly in creating environmental awareness and a more sustained community interaction
- Awareness among the general population of the need to address environmental issues
- Trust and confidence of project stakeholders in the SGP

One particularly absent subject in the list above is the issue of reviewing M&E plans and systems at the project level. Limited review of M&E systems was also observed in several cases of the 12 global sample projects.

The National Steering Committee

The NSC is an independent structure with representation from civil society, including the private sector, academia, and government institutions. They represent various expertise in sustainable development and environment-related activities and projects. The NSC members have given time and, more important, expertise even beyond that which may be considered usual voluntary contributions. Based on the assessment of the terms of reference for the NSC and PRC, previously conducted SGP evaluations, and this evaluation's review of global sample projects, the evaluation found the governance structure for transparent decision-making and supervision processes to be largely consistent with the mission of the GEF and objectives of the SGP, but with the following reservation:

The maintenance of objectivity and credibility of the NSC is important to the success of the SGP country program. For this reason, the SGP guidelines advise proceeding with caution regarding submission and approval of project proposals by NSC member organizations. Many country programs have simply decided not to consider proposals associated with NSC member organizations, arguing that an NGO may freely submit proposals when its representative has finished his or her term of office and no longer serves on this committee. In the case of the SGP Philippines, this principle is applied only in the case of cost-sharing arrangements between the SGP and the Royal Netherlands Embassy: no project financed by the embassy and SGP can be approved for organizations associated with NSC members; however, for the rest of the SGP projects, including projects cofinanced by other entities, the SGP Philippines requires that "where a NSC Member or its organization has an interest, the member shall be excused from both the discussion and the decision on the project."

This evaluation found that the procedure accepted by the NCS in the case of funding from the Government of the Netherlands follows normal international practice. The current double set of rules may in some cases, therefore, be perceived as a cause for conflict of interest and be difficult to execute. A few examples exist in which this conflict of interest has been observed: in projects OP-19.98-L and PHI/109/05, a member of the NSC is the president of the grantee; in S/OP-036-N, the NSC is the grantee; and in several of the projects granted to the CGEF, this fund consists of former and present NSC members, including the national coordinator up to 2006. In addition, it was observed that, at least in one case, a full-time NSC member has cosigned the final project report carried out by a local organization together with the NGO, of which that NSC member is the president. This practice may be within the existing guidelines, but from a governance point of view, this may raise question marks regarding the transparency of the decision-making process for priority setting of grantees and fund allocation integrity.

The SGP Web page could be further improved from a governance and transparency point of view. The present Web site is a submenu item under regional programs, on the official UNDP Philippines Web site. The information presented includes some relevant and basic information on the SGP, including requirements and procedures on how to apply for grants, and goals and targets for the current CPS. Update and improvement of the Web page could include an overview and presentation of members of the NSC and PRC, minutes of meetings in the NSC, examples of

good grant proposals, publications including best practices documentation, and a link to the global SGP project database.

Audit and Procurement

UNDP Philippines makes the arrangements for audit at the request of UNOPS or the UNDP CPMT of the SGP Philippines program. Audit reports are submitted by UNOPS to the UNDP CPMT. The SGP CPMT and UNOPS New York arrange and set an external independent audit. For the SGP Philippines, when the SGP was hosted by the Association of Foundations during the pilot phase (1992–95), the audit of the SGP country operational budget was conducted together with the audit of the host NGO (Association of Foundations). When the SGP was transferred and based in the UNDP country office, SGP finances were handled through the UNDP country office in coordination with UNOPS and the SGP Secretariat (national coordinator and program assistant). In April 1996 the National Steering Committee decided to subject the SGP Philippines to an internal evaluation, which partly covered the financial management (program funds and fund delivery system) of the SGP. This evaluation has not had access to SGP audit reports, apart from a few project-level audits.

The rules for procurement follow a mix of UNDP procurement rules and rules under the Government of the Philippines (Republic Act 9184).

The Roles of Civil Society and Government in the SGP

The SGP is designed to support local community action inside the GEF focal areas. The basic philosophy behind the SGP is that it should support civil society initiatives, whereas the regular GEF normally provides support through the government. The SGP could be seen as a counterweight and complementary to the regular GEF. The SGP operational guidelines for operational phase 3 state, "In general, only one government representative on the NSC/Subregional Steering Committees/National Focal Group is required. Depending on the circumstances, some country programs have found it useful to have additional government representatives, but majority representation should be avoided." (SGP operational guidelines for operational phase 3).

The balance between civil society and the GOP in the Philippine NSC has changed over the years. Early on, more than half of the SGP NSC comprised civil society representatives, but in recent years, the balance has shifted toward stronger representation of the GOP and a decrease in the number of NGO and academic representatives. This development is due to a decrease in the number of members (from 14 to 8 members), and specifically to fewer NGO and academic representatives (from 10 to 3). In 1995, at the end of the pilot phase, the NSC consisted of 8 representatives from NGOs, 2 from the GOP, 2 from academia, and 2 from UNDP. In 2007 the composition had changed to 3 representatives from NGOs, 3 from GOP, 1 from the private sector, 1 from UNDP, and none from academia. Figures 4.1 and 4.2 illustrate these changes in the membership composition of the NSC.

Figure 4.1: Composition of the SGP Philippines NSC 1995

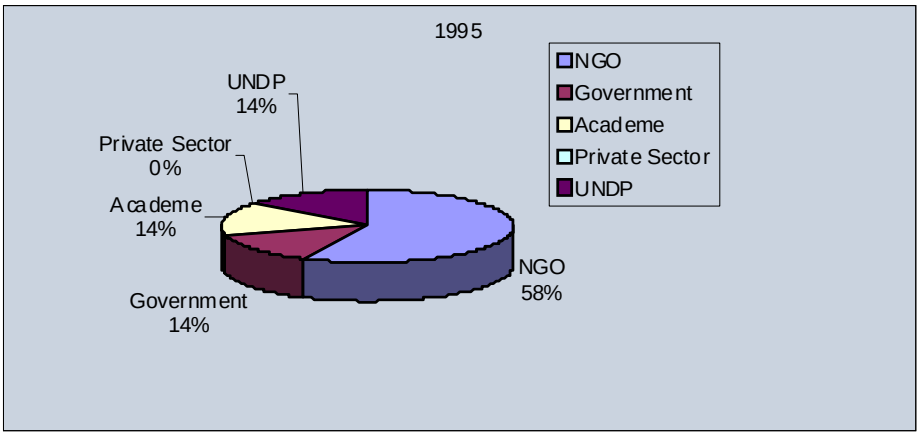
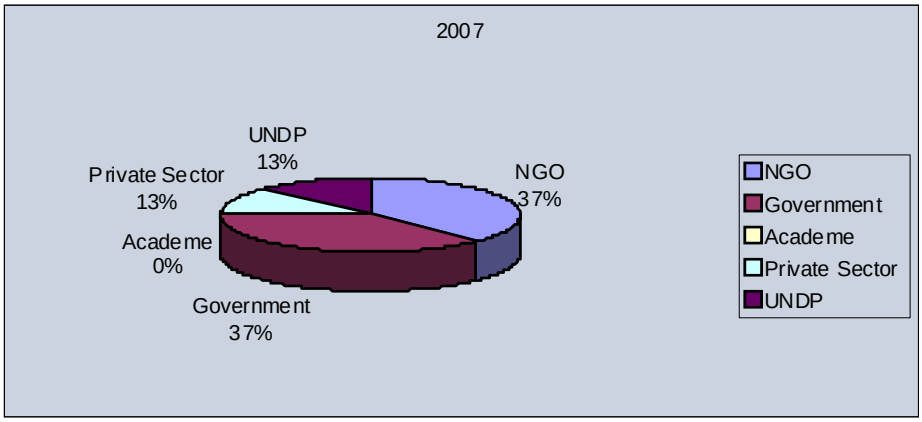


Figure 4.2: Composition of the SGP Philippines NSC 2007



The SGP Philippines has a special Project Review Committee not found in other countries. The PRC has a gate-keeping function and screens all proposals before they are presented through a shortlist to the NSC. The NSC gives final approval of new projects. The composition of the PRC in the Philippines has consisted of the following institutions since its establishment in 1998: DENR's Foreign-Assisted and Special Projects Office (3 representatives), the National Economic and Development Agency (3 representatives), Department of Science and Technology (2 representatives), UNDP (2 representatives), academia (1 member), and 1 environmental consultant. Average membership is 4 to 6 members. Composition over the years consisted of a majority of GOP representatives. Although GOP representatives may increase the alignment of grants with national policies, the principle of majority civil society representation should also apply for the composition of the PRC.

A revision of the composition of the PRC may be considered so that it becomes a technical committee composed of technical experts from major NGO networks, plus an indigenous peoples' representative from one of the regional organizations. These networks include the Climate Change Network, the biodiversity conservation NGO, Rural Development Network, and

coral reef and marine protected area or aquatic resource network. Stronger civil society representation in the PRC will bring it in line with SGP guidelines.

In general, it is important that the focus of the SGP clearly distinguish between the role of the government and that of civil society. The state and government will always be a central player in the development process, and the role of civil society is that of being an active and critical voice. This means that a central theme of the strategy for support to civil society is that of ensuring popular participation in the formulation and implementation of national policies, with the aim of improving government services and making them more efficient. It is important to define clearly the roles of the organizations and widen their participation. Furthermore, a key role of the civil society organizations should be involvement in monitoring and evaluation of the sector's performance.

5 Efficiency and Cost Effectiveness of the SGP in Linking the GEF with Community Groups and NGOs

This chapter reviews the efficiency and cost-effectiveness of the SGP in linking the goals and priorities of the GEF to work with community groups and NGOs. The evaluation asked about, and this chapter summarizes, the findings on the extent to which the SGP is an efficient and effective instrument for linking the GEF with community groups and NGOs working with poor and marginalized populations:

- How efficient is the country administrative structure of the SGP in establishing links between the GEF and CBOs, NGOs, and other community groups?
  - — How much does it cost to administer the SGP? What are the main elements of this cost?
  - — How efficient is the small grant program cycle in time used, timeliness, and costs?
  - — To what extent has the SGP been able to leverage resources (cofinancing and/or in-kind contributions)? What have been its main strengths and weaknesses in this area?
  - — What are the advantages and disadvantages of SGP graduation from GEF funding for established SGP country programs?
- How does the efficiency and effectiveness of the SGP compare with other approaches to non-GEF small grant delivery services that seek to reach NGOs, CBOs, and local populations (particularly poor and marginal populations)?
- How cost effective is the SGP compared with small grant components of MSPs and FSPs that are intended to engage NGOs, CBOs, and local populations (particularly the poor and marginal populations) in actions to protect the global environment?

5.1 Establishing Links between the GEF and CBOs, NGOs, and Other Community Groups

SGP Administration and Operational Costs

Table 5.1 shows the annual administration costs of the SGP in the Philippines in 2003–06, the administrative costs of the SGP have varied between 4 and 8 percent of the grant value assigned to the country for those periods.

Table 5.1: Administration Costs

Year	Grant amount	Administration	Percentage of grant amount
2003	1,000,000	36,764	4
2004	750,000	45,000	6
2005	900,000	48,300	5
2006	750,000	65,559	8

Source: Data provided by the national coordinator.

Administrative costs include the following items:

- Travel of the national coordinator, NSC, and program assistant (monitoring, appraisal, and terminal evaluations)
- Communication (courier, land telephone, and mobile; postage and pouch; and email)
- Supplies (stationery and other office supplies)
- Rental and maintenance of office premises
- Audiovisuals and printing of production materials (publications and other promotion materials)
- Miscellaneous (sundries, including modest hospitality, that is, NSC and PRC meetings and other various meetings)

The annual administration costs of the SGP for 2003–06, provided by the global SGP, varied between 4 and 8 percent of GEF-approved grants. These costs included travel of the national coordinator, NSC, and program assistant for monitoring, appraisal, and evaluation of projects; communications; supplies; rental and maintenance of office premises; audiovisuals and printing of materials; and other miscellaneous expenses. The evaluation found that the actual cost of operating the SGP in the Philippines is actually higher. Salaries and benefits for the national coordinator and her assistant are covered directly by SGP headquarters and are additional to the 4–8 percent. Other expenses, essential for the operation of a program, were also found to be covered by other sources of funding (that is, grants and cofinancing), such as the cost of additional staff supporting the national coordinator's office, many publications and outreach materials, and travel for the coordinator.

In some cases, a project has one official grantee, but other organizations are also involved, which is bound to increase administration costs. For example, in the Watershed Resources Management and Microhydropower Development for Matigsalog and Manobo Tribe (Mindanao) project (PHI/100/05) project, the official grantee is the local NGO KASAMA in Valencia City in Bukidnon, Mindanao. KASAMA works with a CBO KASILO, which is based in an indigenous

community in which the project will install a microhydropower plant, conduct training, and undertake natural resource management in the watershed. But, apart from these two organizations, there is also an NGO in Metro Manila, Sibol ng Agham at Teknolohiya, Inc., which undertakes procurement of the hydropower plant and the generator, plus providing technical assistance and so on. About half of the budget goes through this Manila-based NGO. The evaluation observed that local CBOs or NGOs will often be the official grantees, but other NGOs are actually also part of the project, for which they may undertake procurement and/or provide technical assistance and training. Such arrangements may make project delivery more efficient, and technical assistance would often be a prerequisite for the successful outcome of a project, but it may also make it less easy to audit the full amount of the administrative costs.

The SGP Program Cycle

The project cycle for small grants has the following structure:

1. Proposal submitted to SGP Secretariat
2. Screening and review by the PRC
3. Approval by the NSC
4. Signing of the MOA
5. Project start-up (first disbursement)
6. Implementation
7. Project completion

Table 5.2 reviews the project cycle for the 12 sampled projects. The table shows a considerable variation in the time that it takes for a proposal to move from one step of the project cycle to another. The average time from proposal submission to approval (A–C) is 170 days or about 5.6 months. From approval to project start-up (C–E), which happens with the first disbursement, the average time is about 89 days or three months. The average length of the whole project cycle (A–G) for the sample projects came to 850 days or about 2.3 years.

Table 5.2: Duration of the Project Cycle in GEF-SGP in the Philippines

Global sample project name	A–C	C–E	A–G
1. Solar-Powered Water Pumping System for Purok Takilay (Mindanao)	510	76	884
2. Institutionalizing Coastal Resource Management Initiatives in Infanta, Quezon toward Achieving Biodiversity (Luzon)	6	58	1,228
3. Argao Nearshore Area Rehabilitation Project (Visayas)	no info	no info	365
4. Strengthening Community-Based Initiatives on Biodiversity Conservation through Community Enterprise Development	no info	no info	no info
5. Solar-Powered Water Pumping System (Visayas)	10	159	732
6. Small Islands Sustainable Development Program (Luzon)	73	60	658
7. Watershed Resources Management and Microhydropower Development for Matigsalog and Manobo Tribe	271	171	ongoing
8. Mitigating Greenhouse Gas Emissions of Rice Mills and Engines through the Use of Renewable Energy Resources	105	87	ongoing
9. Community-Based Marine Sanctuary Management and Livelihood Support Project	105	35	927
10. Sustaining and Sharing Best Practices on Community-Based Initiatives on Biodiversity Conservation and Climate Change	no info	no info	no info
11. Gaynawaan Project: Toward the Preservation, Rehabilitation, and Development of the Arakan Valley Conservation Area	105	35	ongoing
12. Mt. Maraot na Banwa Biodiversity Conservation	342	122	1162
Average for sample SGP projects	170	89	850

We have not included the three ongoing projects in this small sample, which are all delayed. If these were included (up to June 20, 2007) the average would be 966 days or a total duration of 2.7 years. The limited documentation regarding the CGEF (projects 4 and 10) makes it difficult to assess the project cycle development for these projects. Only a few projects meet the planned deadline, the majority have needed an extension to be able to accomplish the planned activities and results. In some cases, a project has been extended several times (that is, project number 11. the Gaynawaan Project).

In general, this is a relatively short project cycle, which has its positive and negative aspects. In some cases, the short cycle can be an advantage when working locally, because local governments change every third year, so an SGP project could fit well into one administrative period. On the other hand, problems seem to exist with the long-term sustainability of the results, which in some cases could very well be related to the short duration of the projects. As a policy issue, the NSC may consider revising the policy.

Cofinancing

Table 5.3 shows the relationship between the grants and cofinancing, which has been in kind for most of the sample projects.

Table 5.3: Ratio of SGP Grant to Cofinancing

Global Sample Project Name	SGP Grant	Cofinancing (cash or in kind)	Total Budget
Solar-Powered Water Pumping System for Purok Takilay (Mindanao)	24,576	7,498	32,074
Institutionalizing Coastal Resource Management Initiatives in Infanta, Quezon, toward Achieving Biodiversity (Luzon)	39,412	28,439	67,851
Argao Nearshore Area Rehabilitation Project (Visayas)	7,519	0	7,519
Strengthening Community-Based Initiatives on Biodiversity Conservation through Community Enterprise Development	2,095	318	2,413
Solar-Powered Water Pumping System (Visayas)	8,282	9,560	17,842
Small Islands Sustainable Development Program (Luzon)	7,657	111,219	118,876
Watershed Resources Management and Microhydropower Development for Matigsalog and Manobo Tribe	49,825	53,720	103,546
Mitigating Greenhouse Gas Emissions of Rice Mills and Engines through the Use of Renewable Energy Resources	38,783	15,793	54,576
Community-Based Marine Sanctuary Management and Livelihood Support Project	39,783	32,477	72,260
Sustaining and Sharing Best Practices on Community-Based Initiatives on Biodiversity Conservation and Climate Change	50,000	1,187	51,187
Gaynawaan Project: Toward the Preservation, Rehabilitation, and Development of the Arakan Valley Conservation Area	38,783	47,688	86,471
Mt. Maraot na Banwa Biodiversity Conservation	36,691	22,170	58,861
Average for sample SGP projects	28,617	27,506	56,123

Table 5.3 clearly demonstrates that the average ratio of cofinancing is almost 1 to 1 U.S. dollar. This is below the trend of the total portfolio, in which the overall ratio is 1 to 1.7 U.S. dollars. The maximum amount of cofinancing among the sample projects was found in the Small Islands Development Program. This case is perhaps exceptional, because the SGP grant only financed a small component inside a much larger project. The NGO CGEF, in general, presents some of the lowest ratios of cofinancing; in one of its projects, there is only 2 percent in-kind cofinancing of the budget.

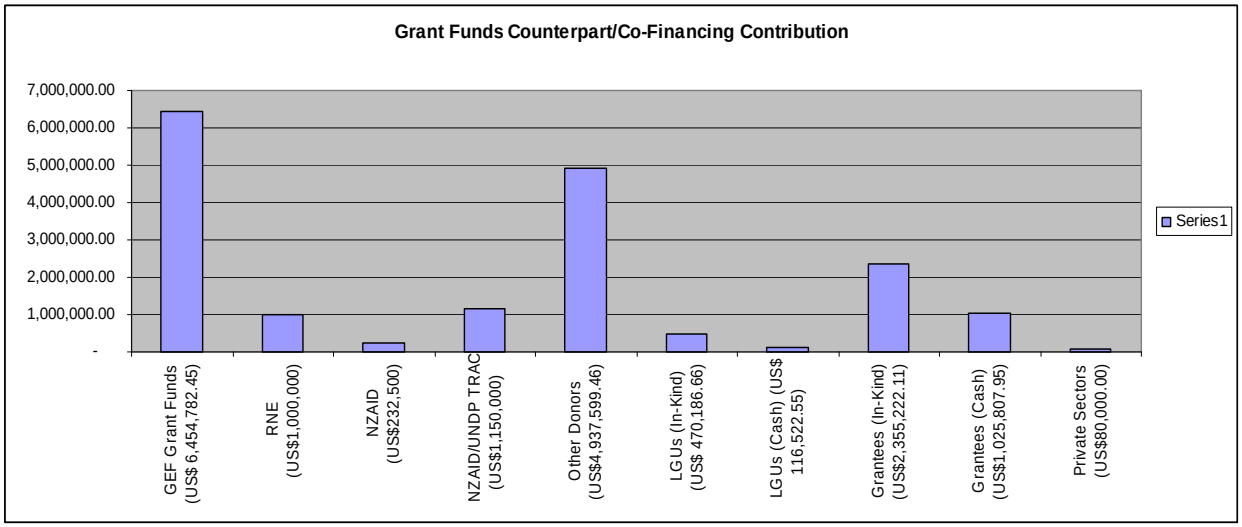
The Argao Nearshore Project documentation received by the evaluation team does not show any calculation of in-kind cofinancing. This could be an error, because the project did complete many activities and there must have been quite substantial in-kind cofinancing.

The cofinancing requirement is a good instrument through which to achieve more sustained community participation and ownership of project results. In many cases, the SGP has been able to obtain additional funding from other small-grant facilities to cover activities that would not normally be covered through GEF support. This kind of cofinancing has the potential to create synergistic effects that will help broaden the support for the project at local and intermediate levels.

The SGP has worked closely with a number of bilateral donors and their small-grant schemes, such as Canada, New Zealand, United Kingdom, the Netherlands, and Japan. This collaboration has been very fruitful and brought substantial additional funding into the SGP portfolio. Figure 5.1 illustrates the many sources of cofinancing and the amounts provided by each.

The SGP in the Philippines has been very successful in obtaining cofinancing from both grantees and other donors. In 1992–2007 the program provided small grants for $6.46 million for which grantees provided cofinancing of $1.03 million in cash and $2.26 million in kind. Furthermore, the SGP has been able to mobilize an additional $7.32 million in cofinancing from other donors and programs. Additional funding came from local government units and the private sector.

Figure 5.1: Grant Funds Counterpart and Cofinancing Contribution Pilot Phase to Third Operational Phase (1992–2007). Source: SGP Secretariat.



5.2 Advantages and Disadvantages of SGP Graduation

The NSC in the SGP Philippine has prepared for graduation since 1998, and it took the initiative to create its own NGO—the CGEF—the same year to prepare for its future graduation. In the Philippines, the advantage of graduation would be that the country would already have a structure in place to carry on with grant-making activities. As of 2007 the CGEF consists of former and present members of the NSC, which means that more or less the same team as today could bring some kind of continuity to a graduation situation. However, the evaluation has observed that there may be some issues with the CGEF. With establishment of the CGEF, it was envisaged that more locally sustainable models would emerge; however, the CGEF has a low public profile as an anonymous institution known to few people, has no Web page for presentation and information, and appears to have hardly any activities outside of the SGP grants. Another issue with the CGEF may be that after almost a decade of existence, it has not proved an efficient instrument for fund raising. Until now, its main activities have consisted of supporting the national coordinator, NSC, and SGP in planning and organizing events, such as,

partner fairs, and strategy development. The CGEF's weak track record on fund raising makes it difficult to see this NGO as the right mechanism for carrying on a graduated SGP. It requires an institution with sufficient financial capacity to administer an endowment fund, undertake necessary investments, and only use part of the income for grant making.

Thus, if the SGP in the Philippines were to graduate, the structure in place right now is not adequate. The evaluation team considers it somewhat risky to use this model. If the graduation were to take place, it would be useful to consider comparing the CGEF with other existing small-grant facilities in the Philippines. Several, such as the Philippine Foundation for the Environment and the Critical Ecosystem Partnership Fund, may be rather similar in nature to the SGP. Thus, the added-value of a stand-alone SGP should also be considered, possibly through an external evaluation organized directly by the GEF.

5.3 The SGP Compared with Other Small Grant Facilities

The following section is rather short, because only a few recent reviews of other small-grant facilities in the Philippines are available.

The first phase of the Critical Ecosystem Partnership Fund (CEPF) had a timeframe of five years (2002–07), and it facilitated grants for a total of $7.0 million in the period. Of the $7 million, $1 million was allocated to the Haribon Foundation to administer a special critically endangered species SGP under the CEPF. Conservation International administered the grant facility and was paid about $450,000 or 6.5 percent for grant facilitation and administration. This is equivalent to the annual administration costs of the SGP. Although the CEPF has been able to facilitate 59 grants in five years, the SGP disbursed almost the same amount, but in 15 years, which makes total administration costs somewhat higher.

The review found that the CEPF's impact in the Philippines was significant. Progress was made toward almost all of the performance targets articulated in the overall investment strategic plan, and targets were generally exceeded. A special review of the poverty impact found positive results and concluded that CEPF projects directly and indirectly contributed to poverty reduction and improved human conditions in the regions where the program was active, while achieving its primary objective of biodiversity conservation.

Another financing institution for NGO and CBO projects is the Peace and Equity Foundation, which was formed as an independent nonprofit foundation in October 2001 by the Caucus of Development NGOs. The foundation supports the work of civil society in eradicating poverty and marginalization. It also administers an endowment fund from the net proceeds of the Poverty Eradication and Alleviation Certificate Bonds developed and sold on the capital market by Caucus of Development NGOs. In 2001–07 the foundation supported 790 projects in some of the poorest areas of the Philippines. The general administration costs for running this operation can be found in the annual audited financial reports, which are available for download from the foundation's Web site. In 2005 the project expenses were PhP 36,383,907, whereas the general

and administration expenses were PhP 8,037,985 or 18 percent. In 2006 project expenses reached PhP 35,329,515, while general and administration expenses were PhP 8,540,216 or 19 percent.

Although it may be difficult to compare fully the efficiency and effectiveness of the SGP with the other small-grant facilities in the Philippines, it is important to bear in mind that several existing grant facilities with capable operators overlap with the SGP in terms of both focal areas and target beneficiaries.

Annex A: List of Documents Reviewed

Background Literature

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Global Sample Projects

For most of the projects, received documents included as a minimum the project proposal, MOA, terminal report, and monitoring reports.

OP-07.97-M Solar-Powered Water Pumping Systems for Purok Takilay (Mindanao)

OP-18.98-L Institutionalizing Coastal Resource Management Initiatives in Infanta, Quezon, toward Achieving Biodiversity (Luzon)

PHI/22/92 Argao Nearshore Area Rehabilitation Project (Cebu)

PHI/63/03 Strengthening Community-Based Initiatives on Biodiversity Conservation through Community Enterprise Development (Palawan)

S/OP-29-V Solar-Powered Water Pumping System (Panay)

S/OP-32-L Small Islands Sustainable Development Program (Palawan)

PHI/100/05 Watershed Resources Management and Microhydropower Development for Matigsalog and Manobo Tribe (Mindanao)

PHI/68/03 Mitigating Greenhouse Gas Emissions of Rice Mills and Engines through the Use of Renewable Energy Resources (Luzon)

PHI/72/03 Community-Based Marine Sanctuary Management and Livelihood Support Project (Palawan)

PHI/73/03 Sustaining and Sharing Best Practices on Community-Based Initiatives on Biodiversity Conservation and Climate Change (National)

PHI/66/03 Gaynawaan Project: Toward the Preservation, Rehabilitation, and Development of the Arakan Valley Conservation Area (Mindanao)

PHI/61/03Mt. Maraot na Banwa Biodiversity Conservation (Luzon)

Additional Projects Included in the Evaluation

For most of the projects, the documents received included project briefs and summary accomplishment reports of outputs and outcomes and, for planning workshops, the results of the workshops.

PHI/02/01 Community-Managed Water Resource Utilization and Biodiversity Protection for Microhydropower Generation (Mindanao)

PHI/04/92 Aeta Nursery Establishment and Operations (Luzon)

PHI/15/01 GEF-RNE Ligawasan Marsh Integrated Conservation and Resource Management Project: Three Years Formation Stage (Mindanao) (brief assessment)

PHI/19/92 Batak Integrated Rural Development Project (Palawan)

OP-13.98-M Biodiversity Conservation and Restoration of the Ligawasan Marsh (Mindanao) (brief assessment)

OP-22.98-M Cateel Microhydropower Rehabilitation Project (Mindanao)

S/OP-27.99-M Indigenous Resource Management System among the Maguindanaon Bangsamoro toward the Sustainability of the Ligawasan Marshland (Mindanao)

S/OP-042-L Community-Based Pawikan Conservation in Bataan (Luzon) (brief assessment)

PHI/28/02 Biodiversity Conservation and Policy Formulation in and around Snake Island and Honda Bay (Palawan)

PHI/33/02 Biodiversity Conservation through Biodiversity Monitoring and Ecotourism Development in Selected Barangays of Rajah Sikatuna National Park and Surrounding Location in Sierra Bullones (Bohol)

PHI/35/02 Honda Bay and Snake Island Fisheries Management and Mangrove Conservation Project (Palawan)

PHI/37/02 Capacity Building and Piloting Community-Based Conservation of the Philippine Cockatoo and its Lowland Habitats in Narra (Palawan)

PHI/43/02 GEF-RNE Cofinancing for Biodiversity Protection and Conservation through Community and School-Based Education (Luzon)

PHI/55/03 Forest Conservation and Protection Project for the IPs in Mt. Bayog and Mt. Bunsuran (Palawan)

PHI/82/04 Baggao Biodiversity Landscape and Seascape (Luzon)

PHI/88/04 Tenurial Security and Natural Resource Management Sustainability (Mindanao)

PHI/97/05 UNDP GEF SGP NSC Strategic Planning Workshop for Third Operational Phase (OP3) (National)

PHI/108/05 Mobilizing Madrasah Schools for Biodiversity Conservation of the Liguasan Marsh (Mindanao) (brief assessment)

Palawan-Puerto Princesa Subterranean River National Park:

PHI/04/01 UNDP GEF/SGP Stakeholders Orientation for Puerto Princesa Subterranean Natural Park

PHI/54/03 Retrieval and Production of Traditional Rice Varieties from Puerto Princesa Subterranean River Natural Park and Adjacent Barangays

PHI/80/04 Strengthening Community-Based Initiatives on Biodiversity Conservation through Community-Based Enterprise Development Phase II

PHI/83/04 UNDP GEF/SGP COMPACT Local Consultative Body (LCB) Strategic Planning Workshop with GEF/SGP National Steering Committee

PHI/89/04 Enhancing Participation of Indigenous People in NRM and Biodiversity Conservation in Puerto Princesa and Quezon, Palawan

PHI/92/04 Empowering Fisherfolk through Integrated Fishery Production and Coastal Resources Management

PHI/UNF/06/02 Ferryboat Services and Hardware Trading Business Project

PHI/UNF/07/02 Protected Area Conservation and Livelihood Enterprise through Vending and Souvenir Working Shop Project

PHI/UNF/08/02 Wildlife and Habitat Protection for Low Impact Eco-Tourism in PPSRNP and Consumers Coop Store

PHI/UNF/12/02 Puerto Princesa Subterranean River National Park Biodiversity Conservation through Lowland Farm Agricultural Intensification and Crop Diversification

PHI/UNF/13/02 Mangrove Conservation, Coral Reef Management, and Kitang Fishing in the Tagabinet-Ulugan Bay Area Project (brief assessment)

COMPACT UNF projects without GEF cofunding:

PHI/UNF-01/01 Puerto Princesa Subterranean River National Park: Component 1: Biodiversity in and around the Protected Areas, Threats to Biodiversity and their Causes, and Conservation Objectives of the Protected Area.

PHI/UNF-02/01 Baseline Assessment of the Puerto Princesa Subterranean River National Park Component 2: People In and Around the Protected Area: Stakeholders and Partners

PHI/UNF-03/01 Baseline Assessment of the Puerto Princesa Subterranean River National Park: Component 3: Local Land and Resources Use, Patterns, and Trends (Institutions, Ownership, and Regulation)

PHI/UNF-04/01 Baseline Assessment of the Puerto Princesa Subterranean River National Park: Policy, Conservation, Objectives, and Protected Areas Management Arrangements

PHI/UNF-05/02 Renewable Energy Training—Consultation for the NGO/PO Stakeholders of PPSRNP (brief assessment)

PHI/UNF/09/02 Sustainable Goat-Raising and Biointensive Gardening

PHI/UNF/10/02 Technical Assistance to Develop a Biodiversity Conservation Vision Map for the Puerto Princesa Subterranean River National Park (PPSRNP), Integrating Baseline Assessment and Validating Site Strategy

PHI/UNF/11/02 A Proposal to Conduct Feasibility Studies for Microhydro System in the Puerto Princesa Subterranean River National Park (brief assessment)

PHI/UNF/14/02 Community-Managed Micro-Enterprise Projects (brief assessment)

PHI/UNF/15/02 Coastal Resources Biodiversity Enhancement and Conservation through Fishery/ Mariculture and Fishery Support Services (brief assessment)

PHI/UNF/16/06 Training on Community Organizing and Project Management (brief assessment)

PHI/UNF/17/06 Protection, Conservation, Management, and Development of the Puerto Princesa Subterranean River National Park (brief assessment)

Annex B: List of SGP Projects Included in the Evaluation

Projects visited are highlighted in a bold blue font. Projects for which focus group discussions were conducted with implementing NGOs and CBOs or key informants are highlighted in bold.

GEF SGP No.*	Project Title	Repl. Period	Focal area*	Start and status	Implementing NGO (Grantee)	GEF funding (USD)	Cofunding
Global Main Sample Projects							
PHI/22/92 (Pilot Phase 122-V)	Argao Nearshore Area Rehabilitation Project (Cebu)	Pilot phase	BD	09/94 Completed	Kaponongan ng Gaymay'ng Mananagat sa Argao	7,519	0
OP-07.97-M	Solar-Powered Water Pumping System for Purok Takilay (Mindanao)	Phase 1	CC	11/97 Completed	Agri-Services Program for Development, Inc. (Sibat)	24,576	7,498
OP-18.98-L	**Institutionalizing Coastal Resource Management Initiatives in Infanta, Quezon, toward Achieving Biodiversity (Luzon)**	Phase 1	BD	07/98 Completed	Buklod ng Magsasaka Naka-Ugat sa Kalikasan	39,412	28,439
PHI/63/03 GEF-RNE	Strengthening Community-Based Initiatives on Biodiversity Conservation through Community Enterprise Development–I (Palawan)	Phase ?	MF	01/04 Completed	Communities for Global Environment Foundation Inc.	2,095	318
S/OP-29-V	Solar-Powered Water Pumping System (Panay)	Phase 2	CC	01/00 Completed	Organic Farming Field Experimental and Resource Station/Sibat	8,282	9,560
S/OP-32-L	**Small Islands Sustainable Development Program (Palawan)**	Phase 2	BD	04/00 Completed	Andres Soriano Foundation, Inc.	7,657	111,218
PHI/61/03	Mt. Maraot na Banwa Biodiversity Conservation (Luzon)	Phase 2	BD	01/04 Completed	Building and Organizing Christian Communities	36,691	22,169
PHI/66/03 GEF-RNE	**Gaynawaan Project: Toward the Preservation, Rehabilitation, and Development of the Arakan Valley Conservation Area (Mindanao)**	Phase 2	BD	02/04 Extended	Philippine Eagle Foundation	38,783	47,688
PHI/68/03 GEF-RNE	**Mitigating Greenhouse Gas Emissions of Rice Mills and Engines through the Use of Renewable Energy Resources (Luzon)**	Phase 2	CC	02/04 Completed	Pook Mirasol Center for Appropriate Technology	38,783	15,793
PHI/72/03 GEF-RNE	**Community-Based Marine Sanctuary Management and Livelihood Support Project (Palawan)**	Phase 2	BD	02/04 Completed	Maliliit na Mangingisda ng Caramay Producers Cooperative	39,783	32,477
PHI/73/03 GEF-RNE	Sustaining and Sharing Best Practices on Community-Based Initiatives on Biodiversity Conservation and Climate Change (National)	Phase 4?	MF	03/04 Completed	Communities for Global Environment Foundation Inc.	50,000	1,187

GEF SGP No.*	Project Title	Repl. Period	Focal area*	Start and status	Implementing NGO (Grantee)	GEF funding (USD)	Cofunding
PHI/100/05	**Watershed Resources Management and Microhydropower Development for Matigsalog and Manobo Tribe (Mindanao)**	Phase 3	CC	06/05 Under Implementation	Kaugalingong Sistema Igpasasindog tu Lumdnong Ogpaan (KASAMA)	49,642	53,720
Additional Projects included in the Evaluation							
LUZON							
PHI/43/02 GEF-RNE	**Cofinancing for Biodiversity Protection and Conservation through Community and School-Based Education**	Phase 2	MF	02/03 Completed	Catholic Educational Association of the Philippines	$48,102.57	?
PHI/82/04	**Baggao Biodiversity Landscape and Seascape**	Phase 2	BD	08/04 Completed	PROCESS-Luzon Association Inc.	$48,980.37	?
BOHOL							
PHI/33/02 GEF-RNE	**Biodiversity Conservation through Biodiversity Monitoring and Ecotourism Development in Selected Barangays of Rajah Sikatuna National Park and Surrounding Location in Sierra Bullones**	Phase 2	BD	11/02 Completed	Soil and Water Conservation Foundation Inc.	$41,413	$37,185.90
MINDANAO							
PHI/02/01	**Community-Managed Water Resource Utilization and Biodiversity Protection for Microhydropower Generation**	Phase 2	MF	09/01 Completed	Social Rehabilitation and Development Foundation Inc.	$46,438	?
PHI/88/04	**Tenurial Security and Natural Resource Management Sustainability**	Phase 2	BD	10/04 Completed	Bukidnon Resources Management Foundation, Inc.	$42,385.88	?
PALAWAN							
PHI/28/02 GEF-RNE	**Biodiversity Conservation and Policy Formulation in and around Snake Island and Honda Bay**	Phase 2	BD	10/02 Completed	Maliliit na Mangingisda MPC and HARIBON Palawan	$41,543	$20,202.36
PHI/35/02 GEF-RNE	**Honda Bay and Snake Island Fisheries Management and Mangrove Conservation Project**	Phase 2	BD	11/02 Completed	Samahang Mangingisdang Honda Bay	$39,713	$50,183.82
PHI/37/02 GEF-RNE	**Capacity-Building and Piloting Community-Based Conservation of the Philippine Cockatoo and its Lowland Habitats in Narra, Palawan**	Phase 2	BD	03/03 Completed	Sagip Katala Movement—Narra Chapter Inc.	$43,381	$6,514.76
PHI/55/03 GEF-RNE	**Forest Conservation and Protection Project for the IPs in Mt. Bayog and Mt. Bunsuran**	Phase 2	BD	10/03 Completed	Pinagsambatwan Pala'wan Et Sitio Bayog/AMP	$44,754	$20,381.82
PHI/64/03 GEF-RNE	**Sustainable Alternatives to Mangrove Destruction in Palawan**	Phase 2	BD	02/04 Completed	Bangonun Undang Undangan Et Palawan/ELAC	$38,783	$28,037.66 ?

GEF SGP No.*	Project Title	Repl. Period	Focal area*	Start and status	Implementing NGO (Grantee)	GEF funding (USD)	Cofunding
PALAWAN- PUERTO PRINCESA SUBTERRANEAN RIVER NATIONAL PARK							
PHI/54/03 GEF-RNE	**Retrieval and Production of Traditional Rice Varieties from Puerto Princesa Subterranean River Natural Park and Adjacent Barangays**	Phase 2	BD	10/0 Completed 3	Budyong Rural Development Foundation Inc.	$42,087	$45,958.63
PHI/80/04	**Strengthening Community-Based Initiatives on Biodiversity Conservation through Community-based Enterprise Development Phase II**	Phase 4	BD	08/04 Completed	Communities for Global Environment Foundation, Inc.	$2,051.38	$994.09
PHI/83/04	**UNDP GEF/SGP COMPACT Local Consultative Body (LCB) Strategic Planning Workshop with GEF/SGP National Steering Committee**	**Phase 2**	**MF**	**08/04 Completed**	**Communities for Global Environment Foundation, Inc.**	**$30,175.08 OR $17,107.50**	**$89.55**
PHI/89/04	**Enhancing Participation of Indigenous People in NRM and Biodiversity Conservation in Puerto Princesa and Quezon, Palawan**	Phase 2	BD	07/05 Completed	Palawan State University	$35,650.63	$9,701.06?
PHI/92/04	**Empowering Fisherfolk through Integrated Fishery Production and Coastal Resources Management**	Phase 2	BD	09/04 Completed	Haribon-Palawan, Inc.	$31,660.73	$21,747
GEF COFUNDED COMPACT PROJECT							
PHI/UNF/06/02	**Ferryboat Services and Hardware Trading Business Project**	Phase 2 UNF + GEF	BD	04/02 Completed	Sabang Sea Ferry Service Cooperative	$3,393.70	$35,416.69
PHI/UNF/07/02	**Protected Area Conservation and Livelihood Enterprise Through Vending and Souvenir Working Shop Project**	Phase 2 UNF + GEF	BD	04/02 Completed	Budyong Rural Development Foundation Inc.	$7,976.25	$41,421.40
PHI/UNF/08/02	**Wildlife and Habitat Protection for Low Impact Eco-Tourism in PPSRNP and Consumers Coop Store**	Phase 2 UNF + GEF	BD	04/02 Completed	Sabang Tourism Network Multi-Purpose Cooperative	$14,858.46	$12,893.70
PHI/UNF/12/02	**Puerto Princesa Subterranean River National Park Biodiversity Conservation through Lowland Farm Agricultural Intensification and Crop Diversification**	Phase 2 UNF + GEF	BD	12/02 Completed	Budyong Rural Development Foundation	$15,330.30	$34,533
PHI/UNF/13/02	Mangrove Conservation, Coral Reef Management, and Kitang Fishing in the Tagabinet-Ulugan Bay Area Project	Phase 2 UNF + GEF	BD	12/02 Completed	PANLIPI-Palawan	$13,205.42	$36,763
ADDITIONAL DESK ASSESSED SGP PROJECTS							
PHI/04/92	Aeta Nursery Establishment and Operations (LUZON)	Pilot phase	BD	02/93 Completed	Center for Environmental Concerns–Philippines	$16,247	?
PHI/19/92 (Pilot Phase 119-L)	Batak Integrated Rural Development Project	Pilot phase	BD	03/94 Completed	HARIBON Foundation	$24,908	?

GEF SGP No.*	Project Title	Repl. Period	Focal area*	Start and status	Implementing NGO (Grantee)	GEF funding (USD)	Cofunding
OP-13.98-M	Biodiversity Conservation and Restoration of the Ligawasan Marsh (MINDANAO)	Phase 1	BD	09/98 Completed	Minsupala Economic Development Foundation	$50,000	?
OP-22.98-M	Cateel Microhydropower Rehabilitation Project (MINDANAO)	Phase 1	CC	12/98 Completed	Sidlakang Dabaw Development Foundation	$13,945	?
S/OP-27.99-M	Indigenous Resource Management System among the Maguindanaon Bangsamoro toward the Sustainability of the Ligawasan Marshland (Mindanao)	Phase 2	BD	04/00 Completed	Harris Sinolinding	$1,587	?
S/OP-042-L	Community-Based Pawikan Conservation in Bataan (Luzon)	Phase 2	BD	03/01 Completed	Bantay Pawikan	$39,894	?
PHI/04/01	UNDP GEF/SGP Stakeholders Orientation for Puerto Princesa Subterranean Natural Park	Phase 2	MF	09/01 Completed	Philippine Federation for Environmental Concerns	$2,031	?
PHI/15/01 GEF-RNE	Ligawasan Marsh Integrated Conservation and Resource Management Project (Three Years Formation Stage)	Phase 2	BD	01/02 Completed	Maguindanaon Development Foundation	$45,654.70	?
PHI/31/02 GEF-RNE	Building Website for the UNDP GEF/RNE Small Grants Programme–Philippines	Phase 2	MF	11/02 Completed	Community Management Institute	$7,633.59	?
PHI/97/05	UNDP GEF SGP NSC Strategic Planning Workshop for Third Operational Phase (OP3)	Phase 4	MF	03/05 Completed	Communities for Global Environment Foundation	$37,383.46	$2,346.47
PHI/108/05	Mobilizing Madrasah Schools for Biodiversity Conservation of the Liguasan Marsh	Phase 3	BD	10/05 Under implementation	Liguasan Youth Association for Sustainable Development	$49,191.79	?
COMPACT UNF PROJECTS							
PHI/UNF-01/01	Baseline Assessment of the Puerto Princesa Subterranean River National Park: Component 1: Biodiversity in and around the Protected Areas, Threats to Biodiversity and Their Causes, and Conservation Objectives of the Protected Area.	UNF-1	BD	09/01 Completed	Sagipin and Gubat at Dagat	$0	$4,474.93
PHI/UNF-02/01	Baseline Assessment of the Puerto Princesa Subterranean River National Park Component 2: People in and around the Protected Area: Stakeholders and Partners	UNF-1	BD	09/01 Completed	Budyong Rural Development Foundation	$0	$5,974.93
PHI/UNF-03/01	Baseline Assessment of the Puerto Princesa Subterranean River National Park: Component 3: Local Land and Resources Use, Patterns, and Trends (Institutions, Ownership, and Regulation)	UNF-1	BD	09/01 Completed	Palawan Center for Appropriate Rural Technology	$0	$6,569.54

GEF SGP No.*	Project Title	Repl. Period	Focal area*	Start and status	Implementing NGO (Grantee)	GEF funding (USD)	Cofunding
PHI/UNF-04/01	Baseline Assessment of the Puerto Princesa Subterranean River National Park: Policy, Conservation, Objectives, and Protected Areas Management Arrangements	UNF-1	BD	09/01 Completed	Environmental Legal Assistance Center	$0	$6,069.54
PHI/UNF-05/02	Renewable Energy Training–Consultation for the NGO/people's organization Stakeholders of PPSRNP	UNF-1	CC	03/02 Completed	Sibol ng Agham at Teknolohiya	$0	$2,206
PHI/UNF/09/02	**Sustainable Goat-Raising and Bio-Intensive Gardening**	UNF-1	BD	10/02 Completed	HARIBON Palawan	$0	$45,891.18
PHI/UNF/10/02	Technical Assistance to Develop a Biodiversity Conservation Vision Map for the Puerto Princesa Subterranean River National Park (PPSRNP), Integrating Baseline Assessment and Validating Site Strategy	UNF-1	BD	11/02 Completed	Foundation for Integrative Development Studies	$0	$38,469.26
PHI/UNF/11/02	A Proposal to Conduct Feasibility Studies for Microhydro System in the Puerto Princesa Subterranean River National Park (PPSRNP)	UNF-1	CC	11/02 Completed	Sibol Ng Agham At Teknolohiya	$0	$2,842.52
PHI/UNF/14/02	Community-Managed Micro-Enterprise Projects	UNF-1	BD	12/02 Completed	Environmental Legal Assistance Center	$0	$2,842.52
PHI/UNF/15/02	Coastal Resources Biodiversity Enhancement and Conservation through Fishery / Mariculture and Fishery Support Services	UNF-1	BD	01/04 Completed	?	$0	$49,228.94
PHI/UNF/16/06	Training on Community Organizing and Project Management	UNF-1	?	06/04 Completed	?	$0	$17,092.48
PHI/UNF/17/06	Protection, Conservation, Management, and Development of the Puerto Princesa Subterranean River National Park	UNF-2	BD	Approved	?	$0	$50,000

* BD = biodiversity; CC = climate change; MF = multifocal; RNE = Royal Netherlands Embassy; UNF = United Nations Foundation.

ADDITIONAL COMMENTS ON THE DRAFT EVALUATION REPORT FOR GEF SGP—PHILIPPINES

Page/Paragraph/Bullet	SGP PHILIPPINES CONTEXT/EXPLANATION
Page 2; Bullet 4 GEF Mission and Objectives: • **There are linkages between the SGP Philippines and the GEF mission and objectives but some of the SGP's objectives tend to be narrowly defined (i.e., selecting one aspect of the GEF programmes) and others are not well-developed (no objectives are defined for land degradation and POPs in the SGP CPS yet).**	• *SGP-Philippines occupies a strategic niche within the GEF system by supporting community-based initiatives that respond to GEF criteria and objectives.* • *It promotes outreach and awareness on environmental concerns, building capacities of communities and NGOs, and providing a mechanism for demonstrating and disseminating community-level solutions to environmental problems are a few of the field-tested approaches that SGP-Philippines continues to engaged in.* • *SGP is designed to help local communities contribute to solving global environmental problems while addressing local needs.* • *It empowers local communities to undertake biodiversity conservation activities singularly suited to their needs and situations.* • *Furthermore, it allows farmers, indigenous peoples, fisherfolks, women, youth, and children to meet their livelihood requirements as well as manage and conserve the environment.*
Page 2; Bullet 4; Last Sentence • **No objectives are defined for land degradation and POPs in the SGP CPS yet**	***LAND DEGRADATION:*** • *Since **land degradation** is a new focal area it has not been decided yet by the SGP NSC to make this as one of the SGP Philippines niche.* • *Moreover, some biodiversity conservation projects include some components that address land degradation*
Page 2; Bullet 5 • **The SGP has provided support to national commitments to the international conventions. For example, in**	***PERSISTENT ORGANIC POLLUTANTS (POPS) Environmentally sound management of Persistent Organic Pollutants (POPs) and other chemicals promoted.*** • *In terms of **Persistent Organic Pollutants (POPs)**, it was only initiated in OP3, however in response to this, SGP Philippines has conducted multi-stakeholders Round-Table Discussions (RTDs) in three (3) regions of*

relationship to the Stockholm Convention, several round-table events brought together representatives from various sectors with knowledge, experience and concern regarding POPs. These round-table events served to develop recommendations for future work between civil society organizations and government agencies on this issue. Another activity targeted the national commitments to the CBD, where the SGP supported a workshop between civil society and GOP representatives to discuss an upcoming COP.	*the country: Luzon, Visayas, and Mindanao to develop the strategic direction for this particular focal theme.* • *Program Level: New Projects that address the management of POPs* • *Project Level:* 1. *Review of government policy on POPs for the purpose of recommending policy reform and formulation of legislative agenda or advocacy* 2. *Round table discussion on reducing and eliminating POPs with strong representation from civil society* 3. *Round-Table-Discussion (RTD) on Persistent Organic Pollutants (POPs)—this activity reflect a strong civil society representation and fulfill the Convention's strong concern for its involvement in the enabling projects to eliminate POPs.* 4. *Set-up guidelines/criteria for funding of POPs projects* ➢ *IEC on POPs to raise awareness on hazards and proper handling of POPs (12 under Stockholm Convention) across the sectors that are directly affected (i.e., factory workers, farmers, households, users of POPs)* ➢ *Community-based pilot projects on POPs (e.g., management, handling, safe disposal, etc)* ➢ *Promotion of environment-friendly agricultural technology (reduced or zero POP utilization)* • *Public interest NGOs and peoples organizations that have extensive partnership and membership in grassroots communities are involved in the process, to examine the POPs situation in the country more carefully and come up with recommendations that would complement what is being done at the government level.* ***Status/Accomplishments to date:*** • *Round-table-discussions with concerned/relevant stakeholders completed for NCR/Luzon (PHI/102/05); Visayas (PHI/114/05) and Mindanao (PHI/115/05)* ➢ *PHI/102/05: Multi-Stakeholder Consultations on Persistent Organic Pollutants (POPs)* *Amount Approved: $2,000* ➢ *PHI/114/05: Enhancing Public Participation on the POPs Issue: A Multi-Stakeholder Consultation (POPs-*

	Visayas) *Amount Approved: $2,000* ➢ *PHI/115/05: Enhancing Public Participation on the POPs Issue: A Multi-Stakeholder Consultation (POPs-Mindanao)* *Amount Approved: $2,000* • *Approved the first community-based project on POPs (PHI/127/06) Community Action Monitoring an Public Awareness Campaign on POPs Pesticides* *Amount Approved:* ***$48,517.27*** • *Guidelines drawn from the Stakeholders Round Table Discussions (RTDs) are now utilized by organizations and networks in the review and evaluation of proposals prior to submission to SGP.*
Page 2; Bullet 7; Last Paragraph • **It seems to have been difficult to use the SGP projects for scaling-up to become a MSP or FSP. A few attempts have been made but the MSPs and FSPs did not obtain the final approval of the GEF. None of the sample projects had links to GEF MSPs or FSPs. The lack of overlaps between the geographical project areas of the sample**	➢ *This is not an SGP problem but rather a weakness or limitation of the MSP or FSP process why SGP projects cannot be scaled-up as an MSP or FSP.* ➢ *The long and tedious process of the MSP/FSP has posed as a limitation for NGOs/CBOs to access MSPs/FSB* ➢ *As early as the First Operational Phase, the link of SGP with the GEF MSP or FSP-funded project has been direct and concrete. SGP played a more catalytic role in preparing some SGP-funded projects to graduate to large/medium-sized GEF and absorb bigger funding from the GEF.* ➢ *In terms of scaling up, two (2) SGP projects with IPs on community-based biodiversity conservation along with two (2) projects (OP-15.98-L and Pilot Phase 132-L) formed a federation, (Pederasyon ng mga Ayta sa Zambales) to upscale the SGP-funded project—Integrated Biodiversity Conservation and Sustainable Management of Ancestral Domain in the Zambales Mountain Range received a GEF PDF Block A (PHI/98/G42).* ➢ *This project received a funding from GEF PDF Block A however in the final leg of the review for approval, it was disapproved after six (6) years of project proposal documents and after so many meetings and consultations with the IP groups were conducted which to some extent was building false expectations from the IP groups concerned.* ➢ *In the Second Operational Phase, SGP was operating very actively in contributing to the overall goals and objectives of the GEF. It has been linking-up with large and medium-sized GEF in terms of mainstreaming the Programme's*

	methodology and experiences generated during the First Operational Phase and Pilot Phase. ➢ *More importantly, SGP has been actively undertaking documentation and research work in support of modeling and replication effort being pursued by the Programme.* ➢ *In addition, several SGP projects have translated the gains of the GEF-large projects into real community activities.* ➢ *Furthermore, scaling up is understood not only in terms of project to project basis. SGP has been involved in GEF MSPs or FSPs forum for policy review, tri-partite and other relevant conference/meetings.* ➢ *SGP NC is always tapped to be the presentor in the GEF Conferences* ➢ ***It is recommended if it is possible to establish a small MSPs of $250000 that is more facilitative especially for vulnerable groups to access this funding.***
Page 2; Bullet 7; Last Paragraph; Third Sentence **None of the sample projects had links to GEF MSPs or FSPs.**	➢ *This is an issue of sampling since none of the sample projects pre-selected for purposes of this evaluation had links to GEF MSPs or FSPs however if we look at the total portfolio as evidenced by the documents submitted to the Evaluator several SGP projects have direct linkage with either the GEF MSPs or FSPs.* • Even at this initial stage, there are several cases of linkages between SGP projects and larger GEF projects. Some are spin-offs from FSPs or PDF processes, such as the CPPAP in Mt. Kitanglad Range Natural Park and Mt. Apo National Park.
Page 3; Bullet 4; 4th Paragraph • **The SGP reaches many of its intended beneficiaries, which are the economically poor and marginalized communities, and also actively attracts community groups in critical and protected areas. However, SGP**	• *In the Philippines, the NGOs are used to be support groups to CBOs/POs moreover at a certain point of project implementation the project is turned-over to the PO/CBO which is a very important element of the NGO phase-out process.* • *The programme has paid special attention to local and indigenous communities and gender concerns, and aimed for the replication and sustainability of its initiatives. As such, the programme has influenced national policies and donor agendas by increasing awareness of global environmental issues and communicating lessons learned, including best practices from community-based experiences.*

policies limit its support to organized CBOs, and there are therefore risks that less organized communities posing the greatest threats to biodiversity and the environment may not necessarily be reached.	• *SGP has a strong IP development framework. The importance of IPs' indigenous, knowledge, systems and practices (IKSP) on the biodiversity conservation are acknowledged/recognized by the Programme. Similarly, the Programme was acknowledged to have extended strong support to the utilization of local technologies and indigenous knowledge, skills and practices to address the focal themes of the GEF. It has also shown that indigenous knowledge, skills and practices are often excellent sources of workable solutions for combating transboundary problems and GEF SGP has a strong IP development framework.* • *It is the contention of the Programme that the survival of the indigenous peoples is directly tied to the maintenance and sustainable use of their ancestral domain. In this regard, the Programme support is guided and in consonance with their defined and adopted Ancestral Domain and Sustainable Development and Protection Plan or ADSDPP.* ***In sync with the global interest of servicing communities and sectors, especially the most vulnerable groups, UNDP GEF-Small Grants Programme ventured into benchmarking activity of piloting a programme on video proposal preparation.*** *The project piloted in two projects in Mindanao with two (2) IPs groups, the Manuvu and Teduray respectively as target respondents. This is in consideration of their limited capacities and their cultural/traditional practice, making them incapacitated with technical experience to put together a proposal for their envisioned environmental projects.* *This project looked into the possibility of addressing the pluralistic approach/schemes of funding facilities that often leads to poor access to funding assistance.* *Outputs under the project are short and simple video proposals that will give a picture of the envisioned project.* *Another objective of this pilot initiative is to document Indigenous Knowledge, Skills and Practice (IKSP).* ***ADDITIONAL FACTS:*** ***(EXCERPTS FROM THE NSC STRATEGIC PLANNING WORKSHOP OF 24-25 OCTOBER 1996; ROCKPOINT DEVELOPMENT CENTER, CALAMBA, LAGUNA)*** *As early as 1996, the NSC had examined and carefully studied five options to determine the main partners of SGP:* ***Model 1: GEF—PO; Model 2: GEF—NGO—PO—Community Members; Model 3: GEF—NGO—PO members; Model 4: GEF—NGO network—NGO***

	network—PO; *and* ***Model 5: GEF—PO network—PO network*** *It was unanimously recommended that* ***Model 1*** *(GEF SGP funding goes directly to a PO/CBO) be adopted as the preferred SGP model for identifying SGP partners with* ***people's organizations (POs) as project holders and implementers and signatories of the MOA****. In short, POs shall be the priority partners of SGP.* *Meanwhile,* ***Model 2*** *will be considered* ***in cases where POs require further strengthening*** *on the condition of an NGO phase out within a timeframe to be determined by both the NGO and PO in a series of activities/consultations.* ***Signatories to the MOA will be both the NGO and the PO.*** *For one shot deal, the other models may be considered* *It was underscored that in the implementation of any project whether community-initiated or SGP-initiated, government agencies/institutions and local government units will always be involved.* • The current geographic areas of focus for the SGP includes some of the country's key biodiversity areas for conservation action[4] and are among the poorest provinces in the country; all the areas have high levels of rural poverty and critical threats to biodiversity.
Page 3; Bullet 6; last paragraph • **Trade-offs were observed in a couple of the sample projects. For example, in one case invasive and exotic species were used in the rehabilitation of a watershed forest (S/OP/29). Another project aimed at an integrated**	• ***S/OP-29: Solar Powered Water Pumping System*** *Objectives of the project were the installation of a solar-powered (photovoltaic) water pumping system for domestic use and conservation of the watershed in Brgy. Buloc, Tubungan, Iloilo where SGP was approached to provide the additional amount of $8,282 (Php 334,600) for the solar panels.* *Project Outputs:* 1. *Established a solar-powered water pumping system with a capacity of 1,050 watts consisting of: 14 solar panels (75 wp wach) with submersible pump; 2 concrete reservoir tanks; and piping system.* 2. *Planted* ***endemic species such as narra, apitong, lawaan in the watershed area.*** *The project never resorted to planting exotic species in fact this claim from the Evaluator came as a surprise since this project was not visited by the Evaluator nor did he have any meeting with the NGO*

proponent for any clarification.

The CBO/community planted various tree seedlings (agroforestry) which were funded by the Local Government Units (LGUs) such as mahogany, acacia, jackfruit, avocado, calamansi, and madre de cacao which are endemic to the site as a means for their livelihood.

- ***PHI/100/05: Watershed Resources Management and Micro-Hydropower Development for Matigsalog and Manobo Tribe***

Brgy. Dao, San Fernando is a distant upland community of indigenous peoples and Christian settlers. It is about 120 kilometers away from the city of Valencia, Bukidnon of Northern Mindanao.

Their project aims to develop and operate a community-based micro-hydropower plant as an environment-friendly alternative in support of the community's development. The project has three components: ***watershed management and maintenance****;* ***capacity-building and organizational development****; and* ***micro-hydropower system construction****,* ***operation and maintenance****.*

Acting as a technical partner in the project is the Sibol ng Agham at Teknolohiya (SIBAT), *whose expertise is precisely in the development of renewable energy systems in rural communities. The SIBAT group's early initiatives which began in the 1990's was in response to the energy crisis in the Philippines. The feasibility study which the group conducted in 2002 indicated the project's viability.*

While micro-hydropower is obviously the main component of the project, the other components of watershed management and maintenance, capability-building; organizational development are equally important.

To ensure the successful operation of the system, the SIBAT group integrated capability building, organizational development and micro-hydropower establishment. Watershed rehabilitation and management components are also included in the project plan ***which are being done simultaneously with the other activities****. Training activities were conducted on micro-hydropower operation and maintenance; organizational development and program management; financial management; and community resource planning and management.*

In addition to these, activities related to watershed protection and management are also undertaken simultaneously. These included survey and identification of watershed areas; nursery establishment and

	maintenance; acquisition of seedlings of hardwood and fruit trees; and watershed maintenance and monitoring. *Some of the factors that contributed to the delay of the project implementation:* ➢ ***Peace and Order condition/situation*** *(militarization due to the presence of communist-rebels) and* ***Erratic weather conditions*** *have affected and delayed the implementation and monitoring of the project.* *To handle the project effectively and efficiently, the two organizations—KASAMA Bukidnon and the people's organization worked together. This was done to strengthen and facilitate communication among members of both organizations. Together, they formed the management team that would handle the project. The team organized four working committees assigned to specific tasks: construction, finance, process documentation and provision of food. In addition, community residents were organized by purok into groups which were assigned to do volunteer work for the project once a week.* *For SGP, it is understood that if the community had no experiences yet on implementing community development projects in the locality and the corresponding skills capability trainings, it would do well if organizational development initiatives would have been conducted prior to the implementation of micro hydropower project to enable the community to be socially well prepared* *The much-needed social preparations and skills capability building training and workshop, and active participation among the community members from the project conceptualization to the project evaluation ensures strong sense of community ownership toward project sustainability* *It is also understood by the community themselves that a watershed area of a micro—hydropower project needs to be maintained and protected by the community members themselves* *Since micro hydropower is dependent on water, it is very important to implement a community-based watershed management and protection in the area to achieve community sustainable development.* *Watershed management and protection by replanting and maintaining Indigenous forest trees and fruit trees. Finally, influencing and advocating*

	Government officials to enact ordinances on water shed management and protection ensures the long term sustainability of the micro hydropower project and environmental protection locally.
Page 5; Bullet 1 • **The projects evaluated did not include a specific global objective to strengthen focus on global benefits.**	o *The SGP-Philippines has gone a long way in its unique responses to global, national, and local environmental issues. However, much still needs to be done to truly instill in the hearts of small communities that their lives are inextricably linked with the environment around them. If their livelihood activities and practices threaten biodiversity and the environment as a whole, they will eventually pay the price in terms of damaged crops and fisheries, homes and communities ruined due to flash floods and similar environmental disasters, and sometimes, even in the actual loss of human lives.* o *The Pilot Phase was obviously a time for learning hence the SGP projects funded carried minimal or limited global objectives. Moreover the Operational Phases, particularly in the OP2 the changes have been instituted:* o ***IMPACT ON ENVIRONMENT*** • ***PROTECTION OF ENDANGERED SPECIES*** ➢ *PHI/66/03—GAYNAWAAN Project: Toward the Preservation, Rehabilitation and Development of Arakan Valley Conservation Area* • *SGP has contributed to the Philippine obligations to the CBD particularly in terms of biodiversity conservation, rehabilitation and restoration of degraded ecosystems to promote the recovery of threatened species and education and raising public awareness on biodiversity and the need to protect it.* • *An example is the assistance given to the **Philippine Eagle Foundation** based in Davao, Mindanao. The project tackled forest conservation in the light of the need of the community to utilize forest resources as well as the need of an intact habitat for the globally endangered Philippine Eagle.* • *Similar efforts have been done to protect pristine and ecologically-important areas throughout the country like the **Sierra Madre Mountains** in the northern Philippines and the **coral reef areas in***

	the island groups of Luzon, Visayas and Mindanao**.* • ***FOCUSING FOR GREATER IMPACT: • *Clustering for synergy and building a critical mass* ➢ *Landscape Approach* ➢ *Ecosystems Approach* ➢ *Corridoring (critical watersheds)* • *Thematic Clustering* • *Combination of Geographic and Thematic* • *In most ways the SGP portfolio has responded to some of the priorities and targets of the GEF Business Plan for FY 2004-2006 which are: a) capacity building; b) mainstreaming biodiversity in production landscapes and sectors; c) catalyzing sustainability of protected areas; d) generation and dissemination of best practices for addressing current and emerging biodiversity issues; and e) implementation of innovative and indigenous sustainable land management practices.*
Page 5; Bullet 2 • **The monitoring and evaluation design of SGP biodiversity projects shows an emphasis on short-term activities but does in some cases also include plans for sustainability. The short lifespan of SGP projects may contribute to challenges in building up capacity and institutionalization of long-term monitoring systems on resource use, land use and biodiversity as part of implementing community-based resource management plans.8 The SGP responded to the challenge in 2004**	o *Part of the monitoring and evaluation strategy is to employ the services of the GEF SGP NSC and Project Review Committee, academe-based groups and institutions with expertise in research, documentation and M&E, to assist the Programme in this line of work. Strong linkages with academe-based NGOs and research outfits are being pursued by the Programme, in support of the goal to document lessons drawn from the implementation of the community-based projects. Participatory approach and programme learning were likewise emphasized and as far as practicable, observe and employ a decentralized scheme of monitoring the progress of project implementation and development.* o *The program implementation were properly monitored at all levels by taking the following important weighing 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;*

by initiating the integration of a Biodiversity Monitoring System for the Sierra Madre projects.	• *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.*
Page 5; Bullet 6 **Local Livelihoods** • **In compliance with the GEF policy that livelihood activities are not eligible for funding, the Philippine Programme has adhered to this policy. This policy has not deterred the programme from funding livelihood activities. In fact, SGP-funded projects have almost always included livelihood components/activities since projects that alleviate poverty are attractive to the community as a buy-in that increases its recognition of conservation initiatives.**	• *This policy has not deterred the programme from funding livelihood activities* ***thru cofinancing from other funding facilities****.* • *The ability to create partnership or cofinancing/cofunding has really contributed high success and put relevance to the community.* • *One of the major accomplishments of SGP Philippines in its decade of operation in the country is it has increased people's awareness of the interconnection between environmental problems and daily concerns.* • *It has demonstrated people's capacity for self-management. It increased the recognition of the worth/value of natural resources, and biodiversity conservation in particular, by local communities.* • *It linked POs, NGOs, and LGUs into complementary and workable networks, thus expanding the network of like-minded individuals, organizations, and communities.* • *Most important of all, it improved people's lives and gave them a sense of hope for the future.*
Page 6; Bullet 1; 2nd to the last sentence • **SGP projects may in some cases be perceived locally more as general development assistance than special environment assistance in combination with**	• *As long as we raise 1:1 then our projects can have a designed developmental projects or livelihood projects that can answer to the needs of the community.* • *SGP projects are really a sustainable development (SD) projects as designed to meet SD objectives for as long as we raise 1:1 then our projects can be designed developmental projects or livelihood projects that can answer to the needs of the community.* • *The ability of SGP to create partnership with other donors and attract cofinancing has allowed the SGP*

poverty reduction.	*to fund livelihood. In the Philippine context, environmental problems traces its roots to poverty, hence SGP has always included components/activities that will address poverty.* • *Please note that the root of this problem is **Poverty** and **Unsustainable Development*** • *And SGP projects are really a sustainable development projects as per the GEF SGP.* • *While SGP's objective are focused on biodiversity conservation, climate change mitigation, POPs, land degradation and the protection of international waters, the process of its implementation, from policy making at the national level to project implementation at the community level, was such that economic and political empowerment are the end results.* • *Alternative Livelihood* o *Nontimber forest-products* o *RE projects have initiate communities to start livelihood/economic/productive activities* o *Women are engaged in productive activities* • *SGP assistance to CBOs and other NGOs has broadened participation for resource management, increased capacities toward this and widened ownership for better governance of remaining natural resources addressing directly the issue of food security and poverty.* • *CBOs have utilized the assistance for livelihood, training and practical research contributing to community-based efforts on environmental protection.*
Page 6; Bullet 3; last sentence **Capacity-building and improving sustainability** • **There may be a need to strengthen the linkages of the capacity development to global environmental issues.**	• *Capacity-building is a tool and medium to ensure sustainable initiatives among the partners. Viewed in two levels, capacity building of POs are usually handled by NGOs. Hence, skills trainings and awareness seminars on paralegal, resource mobilization, networking, value formation, and organizational development comprised their training activities. Each community organization is guided by their hands-on learnings and reinforced by motivation through monitoring.* • *The **SGP Biennial Programme Review 2002 (BPR 2002)** findings showed that through such type of activities SGP partners saw the value of strengthening networking, resource mobilization and linkaging to address project sustainability and other development concerns. Moreover, NGO-PO*

	consultations also enhanced exchange of ideas to explore for potential ventures like renewable energy projects
Page 6; Bullet 4; last paragraph • **The allowed timeline for SGP projects is inconsistent with the time it takes for many grantees to implement the project. This is indicated by the number of project extensions, without additional budget, granted by SGP.**	• *The NSC always looked at the risk analysis but again SGP is designed as a risk-taking program.* • *In fact, Muhammad Al Ashry really appreciated it and we quote:* *" We have launched many problem-solving partnerships characterized by informed and sustained action."* • *In addition, all project proposals submitted to SGP for possible funding are asked to present their risk analysis such as peace and order condition, internal or external conflict, weather condition, etc.* *Moreover, peace and order and weather conditions are hardly predictable and beyond the control of SGP as these has also been the experience of other donors who are similar areas. However, the SGP review process has factored in these conditions and to some extent reduced or minimized its effects on project implementation.* • *Likewise, donor/funding agencies oftentimes asked SGP for intervention in some areas.* • ***On the one-time grant approach which was explained in great detail to the Evaluator is operationalized in this context:*** *In keeping with the two (2) models/options which the NSC approved as the modality for grant giving:* o *The first grant may awarded directly to an NGO or CBO/PO;* o *In the second grant, the NGO does not receive the grant funds directly, moreover, the NGO continues to be the technical support group to handle the organizational strengthening of the PO/CBO; capability-building; put in place the project management and financial systems and for projects that require technical know-how (Renewable Energy projects); provide the technical training* o *The second grant is in effect a second round grant awarded to the same NGO except that the project could have expanded in terms of*

	the following: ▪ *Number of PO/CBO partners could be increased from one to two;* ▪ *Geographic areas/coverage could be increased from three (3) barangays or villages to five (5) or six (6) as needed and/or deemed appropriate;* ▪ *NGO can also start the PO/CBO to actually handle some of the funds particularly those that will require local implementation (nursery establishment and seedling replanting; sanctuary establishment, etc.)*
Page 7; Bullet 3; 2nd to the last paragraph **SGP Governance** • **Civil society representation on the NSC over the years has decreased. Furthermore, the Project Review Committee (PRC), which is a mechanism unique to the SGP in the Philippines, draws half of its members from the government with no NGO representation. The relatively strong government representation may be contrary to the basic philosophy and guidelines of the SGP. While GOP representatives may increase the alignment of grants with national policies, a stronger civil society representation, also on the PRC, would be in line with SGP guidelines.**	• *It should not be an issue but should perhaps a plus point for SGP-Philippines.* • *In the Philippines, government does not anymore operate as regulator but as a partner with civil society/groups, NGOs, POs/CBOs.* • *In the context of the SGP in the Philippines, there is no more conflict or adverse competition between the government and the NGOs* *To give a better picture of this, because of the good relationship between the government and the NGOs, SGP-Philippines did not have a problem negotiating for the Resource Allocation Framework (RAF) which was approved as early as 2005 or the early months that the RAF issue was presented/discussed.*
Page 7; Bullet 4 • **The PRC is found to**	• *The government representative to the PRC are all technical experts and usually the technical staff of the offices they represent.*

be technically strong, with senior expertise in many fields, but may need further expertise in the areas of biodiversity conservation and sustainable management experience.	• *The members of the PRC are different individuals from those sitting in the NSC.* • *The PRC is purely a recommendatory body that supports the task of the NC or Secretariat and the NSC as well.* • *In addition, these representatives have the exact data and information needed e.g. list of critical watershed and waterways area, CBFM areas, etc which are very important or needed in the review process of the project proposal.*
Page 8; Bullet 1; last sentence • **The present webpage has several limitations regarding information and guidance for stakeholders, impacts and general transparency of process and projects.**	• *The present SGP webpage includes the SGP description, project concept proposal, mechanics for project proposal review process/flow and criteria for project proposals.* • *Realizing that majority of our target partners do not have access to computers nor have the facility or electricity to operate these computers/facility, the SGP since it started in 1992 have instituted other forms/modes of reaching its target partners:* ***(1) produced brochures in 5 major local languages to improve access to SGP; (2) SGP held several stakeholders writeshops to reach target grantees; (3) face-to-face explanation and interaction; (4) presentations in stakeholders forum organized by other donors; (5) presentation at meetings/forums organized by the LGUs and civil society and groups and government agencies****.* • *This will not be relevant if you speak of IP/rural grantees who do not have access to electricity/computers.*
Page 8; Bullet 2; last paragraph **1.2.3 Efficiency and cost-effectiveness of SGP** **The major findings and conclusions are as follows:** **Administration costs and project cycle** • **The annual administration costs of the SGP from 2003-2006 provided by the global SGP varied between 4 and**	• *If cost relevance and effectiveness are not considered, the independent evaluation's assessment could come to a wrong conclusion that certain SGP management activities are not important and could be taken out to reduce costs.* • *The other weakness of the evaluation is in comparing SGP to all reviewed programs like CEPF, PEF, CODE-NGO rather than just the ones that are comparable to SGP. This program has a 41 percent management cost ratios (adjusted to include fundraising costs) among the comparables, SGP still comes in at the lower range of management costs.* • *In addition, as instructed by the GEF in the next three years of SGP OP4, SGP countries are required to cut on premises budget by 50 percent in Year 2 and by*

8 percent of GEF-approved grants. These costs include travel of NC, NSC and Program Assistant for monitoring, appraisal, and evaluation of projects, communications, supplies, rental and maintenance of office premises, audio/visual and printing of materials and other miscellaneous expenses. The evaluation found that the actual cost of operating the SGP in the Philippines is actually higher. Salaries and benefits for the NC and her assistance are covered directly from SGP overheads, additional to the 4-8 percent. Other expenses, essential for the operation of a programme such as this, were also found to be covered by other sources of funding (i.e., grants and cofinancing). For example: the cost of additional staff supporting the NC office, of many publications and outreach materials and of travel for NC are covered by funding from other sources (i.e., grants and cofinancing). • **Times in the project cycle were measured only for the 12 sampled projects. The average length, from proposal submission to project completion, is 850 days or about 2.3 years. As discussed above, this period is too short to deal**	*75 percent in Year 3. SGP countries should now look for programme hosts that would be willing to provide free office space starting next year.* • *The question of "one size fits all" is leading to a dangerous erroneous recommendation that not all countries need a National Coordinator and a Programme Assistant.* o *Senior Coordinators will have to handle more work.* • *The evaluation report should also highlight the NSC contribution of expertise which are all on voluntary basis.* • *The evaluation paper should give greater importance of the SGP as decentralized, country-driven approach whereas weaken it so much could end the programme simply as a "retailer of small projects".*

with some of the issues proposed in many SGP grants.	
Page 8; Bullet 4; last paragraph **Cofinancing** • **The SGP in the Philippines has been very successful in obtaining cofinancing from both grantees and other donors. From 1992 to 2007, the GEF has provided small grants for $6.46 million and grantees have provided cofinancing of $1.03 million in cash and $2.26 million in kind. Furthermore, the SGP has been able to mobilize an additional $7.32 million in cofinancing from other donors and programmes. Further funding came from local government units and the private sectors.**	*The SGP—Philippines has also worked/coordinated with other GEF IAs* • ***WB-Philippine Development Innovation Marketplace (2003; 2005)*** *Organized and convened by World Bank, the UNDP GEF/RNE Small Grants Programme is a **major partner/participating donor of the** Philippine Development Innovation Marketplace (PDIM) which are mini-marketplaces for innovative ideas that address local development challenges. Like the global competition, the PDIM consists of a competitive, juried process that awards small grants to development innovators, and a Knowledge Forum to share ideas and provide networking opportunities. While the DIM is initiated by the World Bank, its success is highly dependent on the partnerships forged between and among other local stakeholders which include government agencies; civil society; private sector; and international agency.* *The concept of the Development Innovation Marketplace—Philippines (DIMP) was taken from the annual Development Marketplace (DM) which the World Bank Headquarters Office in Washington DC, sponsors. The DM is a worldwide competition for innovative projects that address a certain theme.* ***The following agreements were reached for this partnership:*** • *UNDP thru the SGP agreed to make available the amount of Two Hundred Thousand Dollars (US$200,000) for funding innovative projects on biodiversity/climate change under the auspices of the Philippine Development Innovation Marketplace "Panibagong Paraan".* *Nine projects were awarded by the United Nations Development Programme/Global Environment Facility/The Royal Netherlands Embassy (UNDP/GEF/RNE) Small Grants Programme (SGP) to each receive P2.2 M to implement the projects on biodiversity conservation and climate change.* o *Sustainable Alternatives to Mangrove Destruction in Palawan (PHI/64/03)* o *Coastal Resource Protection and Enrichment Program (PHI/65/03)*

- *GAYNAWAAN Project: Toward the Preservation, Rehabilitation and Development of Arakan Valley Conservation Area (PHI/66/03)*
- *Oriental Mindoro Mangrove Rehabilitation Program (PHI/67/03)*
- *Mitigating Greenhouse Gas Emission of Households, Bakeries, and Engines through the use of Renewable Energy Resources (PHI/68/03)*
- *Sagay Camiguin Island Integrated Resource (PHI/69/03)*
- *Community-based Mangrove Management in San Salvador Island (PHI/70/03)*
- *Biodiversity and Ecotourism OK! (PHI/71/03)*
- *Community-Based Marine Sanctuary management and Livelihood Support Project (PHI/72/03)*

A total of P 19.8 million, representing fifty-nine percent (59 percent) of the total amount awarded under PDIM was provided by the UNDP GEF/RNE SGP for the above projects.

Last May 2005, winning entries to the ***Panibagong Paraan*** *the UNDP GEF Small Grants Programme are the following:*

- ***LGU-Community Joint Venture Project in Agro-forestry***
  Project Location: Pinabacdao, Western Samar
  Proponent: Pinabacdao Women Food Processors Association and Municipal LGU of Pinabacdao

- ***Seaweed Production and Environmental Protection of the Corangon Shoal***
  Project Location: Tiwi, Albay
  Proponent: Parish Social Center-Pag Mangno Inc. and Municipal LGU of Tiwi, Alabay

- ***Saving the Rice Terraces through Rice Intensification***
  Project Location: Ifugao Province
  Proponent: Save the Ifugao Terraces Movement (SITMo)

- *One of our current initiatives is* ***Project Mapping****—using a GIS (geographic information system) application—of our respective grantees so that we can see where we can fruitfully complement our grant programmes*

A most recent milestone of SGP partnership with other small

	*grants facilities of various foreign embassies in the country (Small Grants Donors Group—**convened by the GEF SGP)** is the signing of the **Statement of Partnership for Aid Effectiveness between the Members of the Philippines Small Grants Donors Group** by the Ambassadors and Heads of Delegations of 9 countries (Australia; Canada; European Commission; Japan; New Zealand; United Kingdom; Belgium; JICA; and UNDP).* *The Heads of development organizations or mission with small grants programmes and other demand-driven funding instruments in the Philippines, commit to take concrete actions in support to the firm agreements stated in the Paris Declaration, wherein it is acknowledged that in order to achieve the Millennium Development Goals, effectiveness of aid must be increased;* *This Statement of Partnership is envisioned to contribute to the harmonization targets of the Paris Declaration in the context of small grants programmes, and other demand-driven funding instruments. These instruments support primarily but not exclusively NonState Actors in complement to the bilateral and Sector-Wide Approach programmes supported by our organizations. In this way, we promote full engagement of civil society in the development process as called for in the Millennium Development Goals and echoed in the Medium-Term Philippine Development Plan 2004-2010.* *This Statement of Partnership complements the ongoing policy dialogue and aid coordination efforts taking place between the Philippine government and our organizations in the context of the Philippines Development Forum.* *During the last five years, the Small Grants Donors Group has been engaging in a variety of collaborative actions albeit as an informal group The purpose of this Statement of Partnership is to commit to enhance the quality of these collaborations, build on successes and to further develop collaborative practices.* *It is guided by the following principles of partnership:* • *Avoid duplication of efforts;* • *Streamline aid delivery; reduce transaction costs; reduce administrative load, both for our organizations and our partners;* • *Improve the quality of projects;* • *Build on experience, complementarity and comparative advantage of development partners;* • *Capitalize on the unique and innovative approaches that our programmes allow to develop, such as community-based approaches;* • *Support and not inadvertently undermine the Philippines' development efforts.*

	In pursuit of this partnership, it endeavour, where possible, and in accordance with our respective systems, policies and procedures, to undertake the following: • *Sharing of information on ongoing activities and programming, as much as possible on a regular and systematic basis* • *Sharing of management tools* • *Joint identification, feasibility, monitoring, evaluation activities* • *Harmonized reporting requirements and formats* • *Common audit exercises* • *Participation in advisory and decision-making bodies* • *Joint working arrangements that can include cofunding and shared decision-making* • *Delegated management arrangements*
Page 9; Bullet 1; 1st paragraph **SGP Graduation and other small-grant facilities** • **An NGO was created by the SGP NSC in the Philippine in 1998 in preparation for the graduation of the GEF: the Communities for Global Environment Foundation (CGEF). At the national level and in general terms, the CGEF has a low profile, and limited success in fundraising.** • **It was found difficult to fully compare the efficiency and effectiveness of the SGP with the other small-grant facilities in the Philippines, due to lack of information. There are a number of existing grant facilities, with overlaps in both areas of emphasis and target beneficiaries.**	• *Regarding the "graduation", SGP Philippines interpret this as creating "sustainability" for the country programme. One way to do it would be for the other major donors to provide the funding by using the SGP mechanism which is considered successful.* • *Another would be to come up with a policy that all FSPs would have community/CBO/NGO microgrants components which would be managed by the "SGP Mechanism".* o *Mature countries maybe can be transformed into a full-sized projects* o *FSP—look into the ratio of 1:1 or 1:5* • *It is recommended that countries like SGP-Philippines that cannot anymore receive GEF funds should still be within the SGP family. The advantage of the country that has "graduated" continuing to be part of the SGP family is that it would still be part of the knowledge exchange and trainings and whatever global support program can be accessed from other donors.* • *The advantage to SGP as a whole is that over time, SGP continues to grow to indeed cover almost all the countries of the developing and least developed countries.* • *Explore the idea of converting the SGP funding into an FSP but maintaining the SGP mechanism, mechanics, procedures and the NSC as a policy-making body,* • *CSO strong leadership in the FSP implementation*
Page 9; Bullet 2; last	• *It is should be emphasized that beginning GEF OP4,*

paragraph **Relevance** • **SGP should be an active participant in the development of any future GEF country assistance strategy for the Philippines. The SGP has demonstrated to be an effective and efficient mechanism to deliver GEF support to POs and CBOs and achieve global environmental benefits. The SGP should have a predominant place in the GEF strategy, linkages to the other GEF support modalities and strategies to scaling up SGP support.** • **The following issues should be updated in a new CPS:** **o Specific global indicators** **o Goals, objectives, targets and indicators for the new GEF focal areas: Land degradation and POPs** **o Specific linkages to a national GEF country assistance strategy** **o How to target organized CBOs and other organizations posing the greatest threat to biodiversity and the environment** **o Specific participation and targeting of IPs (for example, the NSC or PRC could have an IP representative)** **o Clarification of links between livelihood and capacity development activities and**	*SGP-Philippines will be fully dependent on RAF under the Biodiversity Conservation focal area.* • *And the following guiding points is being used in developing and writing the RAF Utilization Paper:* o *Support the achievement of the larger Country Programme Strategy* o *Complements the country's NBSAP* o *Support the achievements of the SGP OP4 strategies, objectives, and outcome.* o *For countries to be graduated like the Philippines, RAF utilization strategy paper supports the development of the project and country programme sustainability.* • *The NSC are definitely involved in the all the phases of development of this strategy paper together with the GEF Operational Focal Point coz' it is institutionally best for SGP that the strategy is developed by the whole body and the endorsement is made or signed in a special NSC meeting where the GEF Operational Focal Point is also present.*

objectives and global environmental benefits.	
Page 10; Bullet 1; 2nd to the last sentence • **Global environmental benefits and GEF incrementalities**	• *What is the GEF incrementalities?* • To ensure the likelihood of sustainability of results
Efficiency • **The cost of operating the SGP in the Philippines is higher than presently supported. A financial and management audit of the program will provide a better estimate of the actual cost. The full actual cost should be covered from the global program rather than from grants and cofinancing.** • **The SGP website needs to be improved to increase transparency (i.e. minutes of NSC and PRC meetings; new guidelines, etc.). It should be removed from the UNDP domain.** • **In case the SGP in the Philippines will graduate it is necessary to have an external evaluation of the different options for continuity, which would include an institutional capacity assessment of the CGEF, and review of**	• *If cost relevance and effectiveness are not considered, the independent evaluation's assessment could come to a wrong conclusion that certain SGP management activities are not important and could be taken out to reduce costs.* • *In terms of the management audit of the program, global audit is always undertaken by UNOPS or CPMT in New York.* • *GEF sets a global cap limit for the grant funds to be accessed by NGOs/CBOs* • *The rule of GEF and the SGP is that it is a catalyst—we do not leave a project hanging but we make it a point to find ways of having some resource mobilizations to sustain their projects.* • *The SGP has started to **network** their grantees (geographically and according to ecosystem) to ensure sharing of knowledge and lessons learned; good practices and resources (financial and human) can continue beyond the SGP funding.*

other existing small-grant facilities in the Philippines. • **The time allocated for project implementation as well as the rule that does not allow for second phase grants should be reviewed. SGP grants are tackling issues that can not be solved in the less than the two years presently used for project implementation.**	

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