



Small Grants Programme Country Strategy for Utilization of OP5 Grant Funds

Country : MALAWI

Resources to be Invested : US\$2,000,000

April 2012

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1.0 COUNTRY PROGRAMME OVERVIEW

1.1 Background Summary

Malawi is a land-locked country located in Southern Africa with a total land area of 118,484 square kilometers, of which 80 percent is land and 20 percent is covered by water. It is bordered by Tanzania in the north and north-east, Zambia in the west and Mozambique in the south and east. The topography varies from 50 m above the sea level in the Lower Shire (Nsanje district) to about 3,000 m on the high upland areas such as the Mulanje Mountain. Four major relief units can be distinguished as follows: high altitude plateaus (1359-3000 m asl); medium altitude plateau (750-1359 m asl); lakeshore plain (450-1359 m asl) and shire valley (50-450 m asl).

Of the total land area, it is estimated that 31% is suitable for rain-fed agriculture, 32% is marginal land and 37% is unsuitable for agriculture. Malawi is characterized by one single rain season (November-April) and a distinct dry season (May-October). The mean annual rainfall averages 500 mm in low-lying marginal rainfall areas (such as shire valley) to over 3000 mm on the high plateau areas (such as Mulanje Mountain). Main climatic hazards in Malawi include: intense rainfall, floods, storms, seasonal droughts, landslides and mudslides.

The population of Malawi is estimated at 14.9 million, with more than 80% of the people residing in rural areas, deriving their livelihoods from subsistence rain-fed agriculture, and with small land holdings of between 1.0 and 2.0 ha per farm family.

The country is one of the least developed in the world, with a predominantly agro-based economy and an average per capita income of US\$170 annually. Agriculture accounts for almost 30-40% of the GDP, employs more than 80% of the total labor force and accounts for over 80% of foreign exchange earnings (GoM 2007). As a country that is dependent on agriculture, Malawi is vulnerable to climate change.

1.2 Problem Analysis

The National Environmental Action Plan (NEAP) adopted by the Malawi Government in 1994 identified soil erosion, deforestation, water resources degradation and depletion, threat to fish resources, threat to biodiversity, human habitat degradation, high population growth, air pollution and climate change as the key environmental issues that needed urgent attention. However, almost two decades down the line, Malawi continues to experience serious problems related to these key environmental issues.

In Operational Phase (OP) 5, the Country Programme will continue to analyze environmental problems within the framework of GEF focal areas of biodiversity, climate change, land degradation and sustainable forestry management, protection of international waters and chemicals, in addition to the NEAP. However due to limited funding when implementing SGP and from the information provided during stakeholder consultations, it was observed that the water management sector is already enjoying enough support from other resources, hence the Country Programme will continue to concentrate on four focal areas of biodiversity, climate change, land degradation and sustainable forestry management and chemicals.

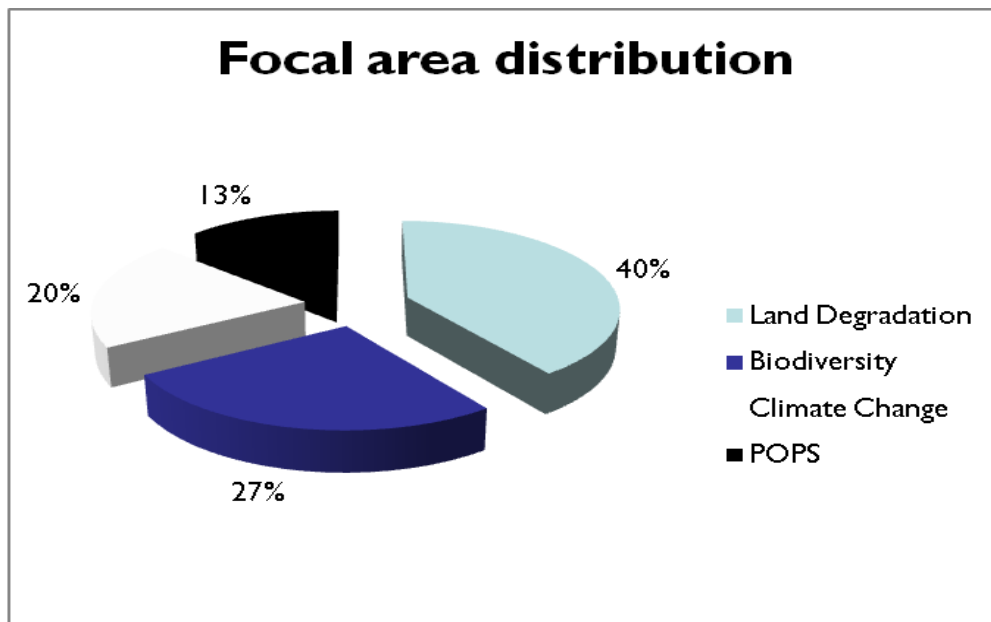
In addition to securing global environmental benefits, this Country Programme Strategy is designed to make significant contributions to the attainment of national development aspirations as outlined in key national policies, strategies and action plans. The National Biodiversity Strategy and Action Plan (NABSAP), National Adaptation Programmes of Action (NAPA), National Environmental Policy and the Malawi Growth and Development Strategy have informed the design of proposed activities.

1.3 Country Programme Status

The Malawi Small Grants Programme is has seen three years of operation (2008 - 2011) ad is therefore one of the new country programmes having commenced operations during the just ended 4th Operational Phase of the GEF. It is classified under Category I in the GEF 5 Operational Phase.

In OP4, a total of 15 projects to a tune of US\$500,000 were approved and implemented in four GEF focal areas of biodiversity conservation, climate change mitigation, prevention of land degradation and reduction of persistent organic pollutants (POPs). These projects are at different stages of completion. The focal area distribution is presented in the pi-chart below:

Figure 1 : Focal area distribution of SGP projects in Malawi, n = 15



On prevention of land degradation, 131,000 trees were planted in marginal areas (mountain slopes and riverbanks), farmlands, woodlots and orchards. For example, 18 hectares of bare ground were rehabilitated on Soche Mountain alone. An estimated 64 hectares of existing forest areas were put under conservation in 6 communities. Up to eight community based organizations engaged in enterprise development activities are operational, generating a total of US\$2,400 in community incomes by November 2011. Key community income earners are beekeeping, mushroom production, bakery, poultry production, piggery and waste composting enterprises.

Introduction of renewable energy technologies to rural areas has helped 10 solar energy clubs for rural youths bring electricity to the rural areas where for the first time some communities were able to watch the South Africa 2010 FIFA World Cup right from their villages. A total of 2,500 households at the foot of Soche mountain provided with access to gravity-fed potable water as direct beneficiaries, with the water scheme extending coverage with own resources generated from user fees. Environmental education messages on the GEF focal areas and other environmental issues in Malawi have been passed on to over 4,000 direct project beneficiaries.

1.4 Key Baseline Considerations for the Country Programme Strategy

This CPS is formulated on the basis of establishing strong partnerships with other players in national development and diversifying funding sources to co-finance both operational and grant-making obligations of the Programme, as outlined below:

1.4.1 Partnerships

Currently, a number of working partnerships exist between the Country Programme and other institutions such as UNDP, Malawi Government, academia, CSOs and the communities. In OP5, the vision is to strengthen these existing partnerships and establish new ones based on strategic importance and comparative advantage. For example, a strong and balanced engagement with UNDP CO and Government is crucial for SGP's success as these are already providing operational support to the Programme and have potential to assist in the mobilization of additional resources for the SGP. In addition to these traditional SGP partners, engagement with members of the development partners group, research and training institutions and the private sector will be a key undertaking in OP5. The SGP will also strive to work with lead institutions on relevant global conventions with the view to linking up with conventional focal points and therefore feed SGP results and lessons into national reports submitted to such global conventions. These will include, among others, the UN Convention for Biological Diversity (CBD), UN Framework Convention on Climate Change (UNFCCC) and the UN Convention to Combat Desertification. Please refer to Table 1 for other conventions, protocols, policies, programmes and action plans for which SGP results can make significant contribution.

1.4.2 Co-financing Sources and Targets

In OP4, all co-financing resources (US283,403) came from grantees themselves making project level contributions - mostly in-kind (93% of total). In OP5, one programme level co-financing window, the *Satoyama* Initiative, has already been identified. These funds are specifically earmarked for the implementation of the Community Development and Knowledge Management for the *Satoyama* Initiative (COMDEKS) Project. The COMDEKS project is targeting biodiversity conservation in production landscapes or seascapes. A target of identifying four additional co-financing partners or sources has been set for OP5.

The mandatory co-financing requirement for the GEF is that SGP country programmes should mobilize matching funds on 1:1 basis. This Strategy will focus on improving the co-financing percentage from the OP4 level of 57% to achieve the mandatory 100% target. In this regard, the Country Programme will seek to identify additional programme level co-financing partners. Key among these will be efforts to persuade government, private sector and international multilateral and bilateral institutions to consider delivering some of their development resources through the SGP, particularly where community activities are involved and the SGP has a clear comparative advantage.

2.0 SGP COUNTRY PROGRAMME NICHE

2.1 SGP Integration into National and International Planning Frameworks

Malawi is party to a number of international and regional treaties and conventions and has enacted its own national planning frameworks in response to meeting both her

international and regional obligations. As the SGP's mandate is to compliment Government efforts in undertaking development activities, this CPS aligns itself within such planning frameworks. This is to ensure that SGP's relevance to both Government and international development discourse is maintained. The SGP will therefore seek to support international efforts in securing global environmental benefits through community action while supporting local community livelihoods at the same time.

Relevant Rio Conventions, regional and national planning frameworks that Malawi has signed/ratified are presented in Table 1 below:

Table 1. List of Relevant Conventions and Regional/National Plans or Programmes

Rio Conventions + National Planning Frameworks	Date of Ratification / Completion
UN Convention on Biological Diversity (CBD)	2 February 1994
CBD National Biodiversity Strategy and Action Plan (NBSAP)	26 October 2001
UN Framework Convention on Climate Change (UNFCCC)	21 April 1994
UNFCCC National Communications (1 st , 2 nd , 3 rd)	2002
UNFCCC Nationally Appropriate Mitigation Actions (NAMA)	2007
UN Convention to Combat Desertification (UNCCD)	13 June 1996
UNCCD National Action Programmes (NAP)	2002
Stockholm Convention (SC)	27 February 2009
SC National Implementation Plan (NIP)	15 February 2010
World Bank Poverty Reduction Strategy Paper (PRSP)	2000, 2002, 2003, 2005, 2006, 2007
GEF National Capacity Self-Assessment (NCSA)	September 2007
GEF-5 National Portfolio Formulation Exercise (NPFE)	2011
Cartagena Protocol on Bio-safety	24 May 2000
National Environmental Action Plan (NEAP)	1994
Environment Management Act	1996
National Environmental Policy	1996, 2004
Malawi Growth and Development Strategy (MGDS)	2006, 2011
OP5 Project Document for the GEF Small Grants Programme	2011

2.2 SGP Support to Implementation of National Priorities in OP5

The SGP Country Programme will seek to establish itself as one of the most relevant bodies that support implementation of both national priorities and obligations to international conventions. Key support areas will be in areas of capacity building for CSOs and communities, piloting innovation and delivering funds on behalf of other programmes and projects. These support areas are described in detail below:

2.2.1 Capacity building for CSOs and communities

The SGP shall seek to examine linkages between national priorities and global conventions and recognize opportunities for participation of CSOs and communities in implementation of such national priorities and achievement of obligations to global conventions. Development of SGP projects by CSOs shall take these linkages and opportunities into account to ensure such projects contribute towards meeting community livelihoods and national development needs on one hand and global conventions obligations on the other.

2.2.2 Piloting/Experimenting with some policy statements

The SGP shall seek to pilot and/or experiment with policy initiatives, particularly those elements relating to community action. Key among these will be SGP's participation in Access to Benefits Sharing initiative under the Nagoya Protocol of the Convention on Biological Diversity, new technologies (biogas, wind power, rainwater harvesting, etc), and co-management of protected areas. The SGP would work to provide the link between communities and technical institutions and will participate fully in knowledge development and management.

2.2.3 Positioning of SGP as a delivery mechanism

The SGP shall seek to position itself as a delivery mechanism of relevant community components of other national or regional projects. The entry point in this area is SGP's participation in the GEF's Medium and Full Sized Projects in addition to other projects within the UN Development Assistance Framework for Malawi. Discussions for SGP's participation in the UNDP implemented Shire Basin Sustainable Land Management Project are underway. The SGP further plans to explore possibilities for working with other GEF Implementing Agencies such as the World Bank, UNEP, FAO and the AfDB to establish a platform for collaboration in the development of future GEF funded programmes and projects.

In order to gain prominence, the SGP shall enter into formal partnerships with relevant national institutions, particularly the academia, research and development, international NGOs, private sector and key government departments. For instance, partnerships with universities for detailed studies/analyses of technologies, M&E and community-led research, National Council for Science and Technology on development, testing and promotion of appropriate technologies wind, solar and hydro power for community livelihoods. On the other hand, partnership with the National Herbarium and Botanic Gardens of Malawi would help the SGP get access to organized community groups with indigenous knowledge on biodiversity conservation and utilization. The NHBG is the lead institution in biodiversity in Malawi and also sits on International Partnership for the Satoyama Initiative (IPSI), hence a strategic partner. The partnership with the Coordination Union for the Rehabilitation of the Environment (CURE) will be in the area of capacity building of CSOs and communities. CURE is a union of a large group of CSOs in the environment and natural resources management sector.

2.3 Geographic Focus in the Proposed Projects Implementation

Malawi settled for national coverage for the SGP in OP4. In OP5, an attempt to modify this national coverage to integrate specific geographic areas of focus was made. The proposed modification was to establish and concentrate SGP efforts in three cluster centres of Mzuzu, Lilongwe and Blantyre in the northern, central and southern regions of Malawi respectively. In

the final analysis however, it was agreed that the national coverage be maintained in OP5 because having commenced operations in the middle of the just ended operational phase, not enough lessons have been learned and documented against national coverage. It was proposed however; that the country programme must take a special interest in addressing issues in hotspot areas such protected area systems, drought prone areas, mountainous and threatened ecosystems, degraded areas and vulnerable community groups in OP5. In order to address logistical and impact creation challenges, the SGP may consider addressing specific themes or geographic regions in subsequent operational phases, depending on the strengths of lessons learned in OP4 and OP5. This national coverage is represented by the whole satellite image of Map of Malawi in Figure 2 below:

Figure 2: Map of Malawi representing SGP’s national coverage.



2.4 SGP Niche for Grant Making

In order to remain relevant, SGP Malawi shall strive to contribute to national development in areas where it has clear comparative advantage inasmuch as it pursues these global objectives. SGP Malawi therefore identifies its niche as summarized in Table 2 below:

Table 2. Maintaining SGP Consistency with National Priorities

OP5 Project Objectives	National Priorities	SGP Niche
<p><u>SGP OP5 Immediate Objective 1:</u> Improve sustainability of protected areas and indigenous and community conservation areas through community-based actions</p>	<p>Enhanced protection and conservation of protected area systems</p>	<p>Support community initiatives in management of protected area systems: - mountain-scapes - national parks and wildlife reserves</p>
<p><u>SGP OP5 Immediate Objective 2:</u> Mainstream biodiversity conservation and sustainable use into production landscapes, seascapes and sectors through community initiatives and actions</p>	<p>Mainstream biodiversity conservation and utilization on mountain slopes, riverbanks, farmlands, fishing areas and other fragile systems</p>	<p>- Support community activities in biodiversity conservation in production areas. - Demonstrate a landscape approach to biodiversity conservation in production landscapes</p>
<p><u>SGP OP5 Immediate Objective 3:</u> Promote the demonstration, development and transfer of low carbon technologies at the community level</p>	<p>Capacity building to remove barriers to low carbon technologies</p>	<p>Capacity building and creation of awareness on low carbon practices at household, community or institutional levels</p>
<p><u>SGP OP5 Immediate Objective 5:</u> Support the conservation and enhancement of carbon stocks through sustainable management and climate proofing of land use, land use change and forestry</p>	<p>Promotion of sustainable land-use, land-use change and forestry management and climate proofing practices at community level for forestry and non-forestry land-use types</p>	<p>Providing project grants and technical support to CSOs for supporting land-use and forestry management activities</p>
<p><u>SGP OP5 Immediate Objective 6:</u> Maintain or improve flow of agro-ecosystem and forest ecosystem services to sustain livelihoods of local communities</p>	<p>Develop capacity for harnessing agro-ecosystem and forestry ecosystem services to sustain both ecological and community livelihood needs</p>	<p>Providing catalytic grants and technical support to communities to enable them access benefits from ecosystem services industry</p>
<p><u>SGP OP5 Immediate Objective 7:</u> Reduce pressures at community level from competing land uses (in the wider landscapes)</p>	<p>Increase land productivity through innovative and sustainable agricultural practices.</p>	<p>Providing grant support to communities for conservation agriculture activities in partnership with government and civil society agriculture network</p>
<p><u>SGP OP5 Immediate Objective 8:</u> Support transboundary water body management with community-based initiatives</p>	<p>Conservation and protection of both aquatic and terrestrial resources in and along trans-boundary water bodies</p>	<p>Supporting community initiatives related to fisheries, water, forestry and institutional matters affecting trans-boundary water bodies</p>

<p><u>SGP OP5 Immediate Objective 9:</u> Promote and support phase out of POPs and chemicals of global concern at community level</p>	<p>Promote and support phase out of POPs and chemicals of global concern at industrial, community and household levels</p>	<p>Raise awareness among communities POPs and other chemicals and support chemical management at community level</p>
<p><u>SGP OP5 Immediate Objective 10:</u> Enhance and strengthen capacities of CSOs (particularly community-based organizations and those of indigenous peoples) to engage in consultative processes, apply knowledge management to ensure adequate information flows, implement convention guidelines, and monitor and evaluate environmental impacts and trends</p>	<p>Enhance the consultative process with CSOs in matters of international conventions and monitoring and evaluation of environmental impacts and trends at national level</p>	<p>SGP already works with CSOs. In OP5, SGP will therefore continue to create awareness on global conventions, skills development in project management, knowledge management and community stewardship for the environment</p>
<p><u>Cross-Cutting Results:</u> Poverty reduction, livelihoods and gender</p>	<p>Integrate poverty reduction, livelihood support and gender issues into government's development agenda</p>	<ul style="list-style-type: none"> - Working with women groups, youth organizations and the disabled to enhance their participation in socioeconomic development - Integrating livelihoods improvement components in community projects - Promoting value addition to community products - Facilitating market linkages and trade certification for community products.

3.0 STRATEGIC FOCUS ON CROSS-CUTTING RESULTS

In OP5, SGP Malawi will emphasize on full integration of cross-cutting issues as they relate to programme performance and impact creation. Among several cross-cutting issues such as capacity building, poverty reduction, gender (including youth) and disability, attention will be paid mainly to capacity building of CSOs, knowledge management and poverty reduction. During OP4, it was noted that the capacity of CSOs, particularly CBOs and FBOs, was very low in areas of project development and management. This was evidenced by poor quality project concept notes and proposals, inadequate financial management skills (particularly documentation and reporting in expected manner) and low self confidence and limited scope of innovation. The understanding of environmental action was also limited to afforestation for most CBOs, a situation which resulted into the land degradation focal area being oversubscribed in all calls for proposals. A deliberate effort will be made to broaden the perception of the CSOs on possibilities for venturing into other types of projects at community level, including basic principles of project management.

Knowledge management has been a challenge for many CSOs. Development and dissemination of knowledge products to publicize to or educate the wider society has often been lacking in most organizations. It was common in OP4 to observe that project achievements were under reported and success stories undocumented. This is a general problem in the country such that in spite of all the investment in areas like afforestation, empirical evidence especially on survival rates is difficult to find. The Country Programme will to promote knowledge management activities in OP5. CSOs will be encouraged to a knowledge management budget line within the project budget and utilization of the same shall be monitored jointly between the Country Programme and the grantee.

On poverty reduction, innovative approaches to enhancing rural incomes will be integrated into SGP projects. This is because most communities are poor and the opportunity cost for engaging in environmental projects which tend to have long-term communal benefits is very high. It was also noted that projects with income generating components tended to be more successful than those with only conservation as an activity. Record participation was recorded where some immediate and individual benefits were expected. Integrating beekeeping, mushroom production, poultry and waste composting for incomes (waste for wealth element) are a case in point.

These cross-cutting results areas will be addressed with special emphasis in OP5, as outlined in Table 3 below:

Table 3: Strategic Focus on Cross-Cutting Issues

Cross-cutting Results Area	Grant Cycle Management Stage		
	<i>Project Preparation</i>	<i>Project Review</i>	<i>Project Implementation</i>
1. Capacity building for CSOs*	Orient CSOs on development of proposals upon acceptance of project concept papers.	Provide a chance for new CSOs to participate, provided they have an innovative project idea	<ul style="list-style-type: none"> - Organize orientation sessions on topical issues - Join existing relevant CSO networks as a platform for increased interaction - Address capacity gaps as identified during routine M&E visits to projects
2. Knowledge management	Orient grantees on developing and disseminating KM products	Review project budgets to ensure adequate allocations to KM activities	<ul style="list-style-type: none"> - Assist grantees in documenting success stories into KM products - Organize KM fairs project level field/open days
3. Poverty reduction (supporting livelihoods)	<ul style="list-style-type: none"> - Encourage applicants to integrate enterprise development as a component in projects** - Support innovative ideas from marginalized groups 	<ul style="list-style-type: none"> - Review project budgets to ensure adequate allocations to activities with income generation potential - Ensure active involvement of marginalized groups in the project formulation 	<ul style="list-style-type: none"> - Facilitate value addition activities and linkages to productive markets - Ensure vulnerable community members have equal access to benefits generated by their effort. - Address concerns as identified during routine M&E visits to projects

* Retaining CSO capacity is a big challenge. However, strengthening the activities of the SGP Grantee Network could go a long way in retaining some of this capacity. Skilled CSOs will be engaged by the SGP to provide support to new and struggling grantees

** Maximum grant size for CSOs without track record will be decided at NSC level and incorporated in NSC Project Screening Criteria.

*** Natural resources based enterprises (NRBEs) will be given priority

4.0 OP5 COUNTRY OUTCOMES, INDICATORS AND ACTIVITIES

The country level results framework are developed based on the linkages between SGP OP5 global objectives and national development priorities as outlined. The proposed activities are particularly designed to contribute to the achievement of both the programme objectives and the aspirations contained such key national development strategies and action plans. For example, climate change activities will address some of the challenges outlined in the NAPA whereas biodiversity activities address the NABSAP challenges. Specific results will be collected and documented in such a manner to allow easy integration with global level results. Documentation of these results and reporting them into the global database is and will remain a strong component of the programme level monitoring and evaluation. It is expected that a total of 50 projects will be implemented in OP5, with an average grant size of US\$40,000 per project. This large number of projects is based on the assumption that the projected US\$800,000 cost sharing resources will be mobilized during the period on one hand and increased funding to CBOs on the other. In addition it is assumed that some of the resources may not be used for the actual grants but for other related activities such as knowledge management fairs. The actual average cost per project may therefore be lower than the US\$40,000. Experience from OP4 shows that project grant requests from CBOs range from US\$15,000-30,000 and will rarely ask for a full US\$50,000.

A summarized version of country level outcomes, indicators and activities are presented in Table 4 below:

Table 4: Country Level Results Framework

Outcomes	Indicators	Means of verification	Activities (Approx. 50 projects)
SGP OP5 Immediate Objective 1: Improve sustainability of protected areas and indigenous and community conservation areas (ICCAs) through community-based actions			
<p>SGP BD Outcome 1.2: Benefits generated at the community level from conservation of biodiversity in and around protected areas and indigenous and community conservation areas</p> <p>SGP BD Outcome 1.4: Increased understanding and awareness at the community level of the importance and value of biodiversity</p>	<p>Hectares of indigenous and community conserved areas (ICCAs) influenced</p> <p>Hectares of protected areas influenced</p> <p>Hectares of significant ecosystems with improved conservation status</p>	<p>GEF SGP database</p> <p>Project reports</p> <p>Monitoring visits</p>	<p>- Support community initiatives in areas adjacent to protected area systems</p> <p>- Facilitate sustainable access to protected area system resources by communities</p> <p>- Raise CBO and community level awareness on the value of biodiversity (including primary and secondary school learners)</p> <p>(Approx. 8 projects)</p>
SGP OP5 Immediate Objective 2: Mainstream biodiversity conservation and sustainable use into production landscapes, seascapes and sectors through community initiatives and actions			

<p>SGP BD Outcome 2.1: Improved community-level sustainable use of biodiversity in production landscapes/seascapes through community-based initiatives, frameworks and market mechanisms, including recognized environmental standards that incorporate biodiversity considerations</p>	<p>Hectares of production landscapes / seascapes applying sustainable use practices</p> <p>Total value of biodiversity products/ecosystem services produced (US dollar equivalent)</p>	<p>GEF SGP database</p> <p>Project reports</p> <p>Monitoring visits</p>	<p>- Facilitate market linkages for community biodiversity products</p> <p>- Facilitate sustainable management of resources in production landscapes</p> <p>- Promote sustainable agricultural practices in production landscapes</p> <p>- Facilitate development of community-based landscape management strategies and plans</p> <p>(Approx. 5 projects)</p>
<p>SGP OP5 Immediate Objective 3: Promote the demonstration, development and transfer of low carbon technologies at the community level</p>			
<p>SGP CC Outcome 3.1 Innovative low GHG technologies deployed and successfully demonstrated at community level</p> <p>SGP CC Outcome 3.2 GHG emissions avoided</p>	<p>Tonnes CO2 avoided</p> <p># communities engaged in low GHG technologies</p> <p>Value (in US\$) of energy or technological services provided</p>	<p>GEF SGP project database</p> <p>Project reports and monitoring visits</p> <p>SGP case studies</p>	<p>- Demonstration of renewable energy technologies at community level</p> <p>- Promote use of energy efficient technologies at domestic and institutional levels</p> <p>- Promote sustainable use of biomass energy at community and institutional levels e.g briquettes</p> <p>- Capacity building to remove barriers to low-carbon technologies</p> <p>(Approx. 2 projects)</p>
<p>SGP OP5 Immediate Objective 5: Support the conservation and enhancement of carbon stocks through sustainable management and climate proofing of land use, land use change and forestry</p>			
<p>SGP CC Outcome 5.1: Sustainable landuse, land use change, and forestry management and climate proofing practices adopted at the community level for forest and non-forest land-use types</p> <p>SGP CC Outcome 5.3: GHG emissions mitigated</p>	<p>Hectares under improved sustainable land management and climate proofing practices</p> <p>Hectares of forests and non-forest lands with restoration and enhancement initiated</p>	<p>GEF SGP project database</p> <p>Project reports and monitoring visits</p> <p>SGP case studies</p>	<p>- Facilitate afforestation of bare lands in fragile landscapes</p> <p>- Support tree planting initiatives in schools and communities</p> <p>- Facilitate designation and valuation of village forest areas</p> <p>- Promote sustainable Neem and Moringa production, processing, use and marketing</p>

			(Approx. 12 projects)
SGP OP5 Immediate Objective 6: Maintain or improve flow of agro-ecosystem and forest ecosystem services to sustain livelihoods of local communities			
<p>SGP LD Outcome 6.1: Improved community-level actions and practices, and reduced negative impacts on agro-, and forest ecosystems and ecosystem services demonstrated to sustain ecosystem functionality</p> <p>SGP LD Outcome 6.2: Community-based models of sustainable forestry management developed, and tested, linked to carbon sequestration for possible up-scaling and replication where appropriate, to reduce GHG emissions from deforestation and forest degradation and enhance carbon sinks from land use, land use change, and forestry activities</p>	<p>Number of national and international agencies or partners are aware of successful SGP demonstrations and innovative approaches</p> <p>Number of national/local governments or international policy making processes with SGP influence</p>	<p>GEF SGP Database</p> <p>Project reports and monitoring visits</p> <p>SGP case studies</p>	<p>- Promote sustainable agricultural practices including agro-forestry</p> <p>- Promote sustainable and participatory forest management among communities</p> <p>- Promote community participation in carbon sequestration projects</p> <p>- Build capacity for communities and schools to raise and plant own tree seedlings and manage their own woodlots</p> <p>(Approx.8 projects)</p>
SGP OP5 Immediate Objective 7: Reduce pressures at community level from competing land uses (in the wider landscapes)			
<p>SGP LD Outcome 7.1: Improved community-level actions and practices, and reduced negative impacts in land use frontiers of agro-ecosystems and forest ecosystems (rural/urban, agriculture/forest)</p>	<p>Number of community members with improved actions and practices that reduce negative impacts on land uses</p>	<p>GEF SGP Database</p> <p>Project reports and monitoring visits</p>	<p>- Promote conservation farming</p> <p>- Promote natural regeneration in degraded areas and designation of village forest areas</p> <p>(Approx. 8 projects)</p>
SGP OP5 Immediate Objective 9: Promote and support phase out of POPs and chemicals of global concern at community level			
<p>SGP CH Outcome 9.1: Improved community-level initiatives and actions to prevent, reduce and</p>	<p>Tons of POPs waste avoided from burning</p> <p>Tons of obsolete pesticides disposed of</p>	<p>GEF SGP Database</p> <p>Project reports and</p>	<p>- Raise awareness on POPs and harmful chemicals</p> <p>- Facilitate participation of CSOs</p>

phase out POPs, harmful chemicals and other pollutants, manage contaminated sites in an environmentally sound manner, and mitigate environmental contamination	appropriately Number of countries where SGP is contributing to the implementation of national plans and policies to address POPs, harmful chemicals and other pollutants	monitoring visits	<i>in the International POPs Elimination Network</i> <i>- Facilitate POPs Online Training for stakeholders</i> <i>(Approx. 5 projects)</i>
SGP OP5 Immediate Objective 10: Enhance and strengthen capacities of CSOs (particularly community-based organizations and those of indigenous peoples) to engage in consultative processes, apply knowledge management to ensure adequate information flows, implement convention guidelines, and monitor and evaluate environmental impacts and trends			
SGP CD Outcome 10.1: Active participation of NSCs and NFGs in GEF focal areas at the national level SGP CD Outcome 10.3: Increased public awareness and education at the community-level regarding global environmental issues SGP CD Outcome 10.6: Evaluation of SGP projects and programs against expected results strengthened, including increased capacity of CBOs and CSOs to apply relevant evaluation methodologies	Number of SGP representatives participating in national GEF coordination meetings Quantity and quality of SGP knowledge base, and use of knowledge base, quantity and quality of contributions to knowledge fairs, conferences, publications and research Number of CBOs and CSOs demonstrating understanding of the role of evaluation through application of relevant evaluation methodologies	GEF SGP project database Project reports and monitoring visits SGP case studies	<i>- Facilitate participation of NSC members in GEF focal areas at national level</i> <i>- Raise public awareness on global environmental issues</i> <i>- Build CSO capacity for community-based project monitoring and evaluation</i> <i>- Build community capacity in resource mapping and documentation</i> <i>- Build capacity of SGP grantees in basic project management</i> <i>- Build capacity for SGP grantees in soil and water conservation</i> <i>(Approx. 2 project)</i>
SGP Country Programme OP5 Immediate Objective 11: Support the integration of cross-cutting issues in delivery of development results by both CSOs and the Country Team: Poverty reduction, livelihoods and gender			
SGP CD Outcome 11.1: Increased integration of gender issues in SGP programming and operations	Percentage of women representation in National Steering Committee Number of women and youth in leadership positions	GEF SGP project database Project reports and monitoring visits SGP case studies	<i>- Orient SGP grantee network on gender issues</i> <i>- Support initiatives for marginalized gender groups, incorporating women, children, the elderly, youth,</i>

	in project committees Number of projects with women and/or youth as core project team.		<i>disability and HIV & AIDS related issues</i> <i>- Promote gender appropriate technologies aimed at reducing gender burden</i> <i>(Integrated into other projects)</i>
SGP CD Outcome 11.2: Improved livelihoods among project beneficiaries (food security, incomes, appropriate technologies, etc)	Changes in household incomes resulting from the SGP Project Number of projects with livelihood improvement components	GEF SGP project database Project reports and monitoring visits SGP case studies	<i>- Support income generating activities for community groups</i> <i>- Integrate livelihoods support components in the design of SGP projects</i> <i>- Promote use of appropriate technologies that lead to improved wellbeing (10 projects – included in specific focal areas)</i>
SGP CD Outcome 11.3: Enhanced sustainability of SGP Country Programme	Number of partnership established Percentage of management cost to grants Number of personnel working in the SGP Office Amount of cost-sharing resources mobilized	GEF SGP project database Project reports and monitoring visits SGP case studies	<i>- Engage with other SGP stakeholders, including development partners and the private sector</i> <i>- Negotiate for SGP participation in GEF FSPs</i> <i>- Deliver community components of funds from other programmes (Integrated in programme operations)</i>

5.0 MONITORING AND EVALUATION PLAN

Monitoring and evaluation will be conducted through a participatory approach to ensure that the program remains focused. Monitoring and evaluation will be a key role for all SGP stakeholders – Country Team, National Steering Committee, government departments, grantees and participating communities. The exercise will be conducted at both project and programme levels with each level having its own clear role. The different roles are summarized below.

5.1 Project Level Monitoring and Evaluation

In order to make project level monitoring and evaluation effective, it shall involve the SGP Country Team, grantees and communities (direct beneficiaries) performing

individual or joint tasks as appropriate and at different stages of each project. In OP5, CSOs with accepted concept papers will be oriented in proposal writing in the SGP format and these M & E considerations will be a key feature of new proposals. In addition, collection of key baseline data and end of project evaluation will be mandatory for all projects in order to ensure proper capturing of project results and impacts. Specific details are outlined in Table 5 below:

Table 5: Project Level Monitoring and Evaluation Plan

SGP Individual Project Level		
M&E Activity	Responsible Parties	Timeframe
Participatory project monitoring	Grantees	Duration of project
Baseline data collection ¹	Grantees, NC	Project concept planning, proposal stage and/or start of project
Prepare project description to be incorporated into global project database	PA, NC	At start of project, and ongoing as appropriate
Project progress and financial reports	Grantees, NC	At each disbursement request (3-4 times during life of project as per agreed disbursement schedule)
Project workplans	Grantees, NC	At start of project (whole project) At each disbursement request (as per reporting period)
Project Proposal Site Visit (Field Appraisal of Grantee)	NC	Before project approval, at least once (<i>as necessary/ cost effective</i> ²)
NC Project Monitoring Site Visit	NC	Once every 6 months for each project, as appropriate
NC Project Evaluation Site Visit	NC	At end of project, as appropriate (<i>multiple projects per visit to leverage costs, as necessary</i>)
Project Final Report	Grantees	Following completion of project activities
Project Evaluation Report	NC, NSC, External party	Following completion of project activities (<i>multiple projects per visit to leverage costs, as necessary</i>)

5.1.1 The role of communities

The role of communities in project level M&E will continue to be enormous in OP5, as was the case in OP4. The project level committee and subcommittees will be the primary custodians of data. They record daily attendance to scheduled activities, milestones reached, challenges faced and general progress of implementation. They will also keep

¹ Capacity-development workshops and M&E trainings may be organized in relation to innovative techniques for community monitoring, including new technologies (i.e. GPS-enabled cameras, aerial photos, participatory GIS, etc.); as well as in response to guidelines for “climate proofing” of GEF focal area interventions; REDD+ standards; and/or other specific donor/co-financing requirements.

² To ensure cost-effectiveness, project level M&E activities, including project site visits, will be conducted on a discretionary basis, based on internally assessed criteria including (but not limited to) project size and complexity, potential and realized risks, and security parameters.

the visitors log book and will provide feedback to CSO personnel or directly to SGP Country Team as appropriate.

During missions (field visits) to their sites, communities will continue to conduct delegates through to various activities under implementation in their village. Grantee representatives will only speak to clarify points already attempted by the community leaders or to respond to questions directed to them. SGP aims at enhancing full project ownership at community level as this also creates a conducive environment for community innovation.

5.2 Programme Level Monitoring and Evaluation

Local stakeholders will participate in setting project objectives and outputs, participate in monitoring using various tools and shall document findings and report them at agreed intervals, using agreed reporting tools. A summarized M&E Plan is presented in Table 6 below:

Table 6: Monitoring and Evaluation Plan at the Programme Level

SGP Country Programme Level		
M&E Activity	Responsible Parties	Timeframe
Country Programme Strategy Review	NSC, NC, CPMT	2011
Strategic Country Portfolio Review	NSC, NC	2013
NSC Meetings	NSC, NC, UNDP CO	3 times a year as a minimum
NSC Field Monitoring visits	NC, NSC	2011, 2012, 2013, 2014
Interim progress reports	NC	Quarterly
SGP Grantee Workshop	NC, NSC	2012, 2014
Performance and Results Assessment (PRA) of NC Performance	NC, NSC, UNDP CO, CPMT, UNOPS	2012, 2013, 2014
Country Programme Review resulting in Annual Country Report ³	NC presenting to NSC and CPMT	2012, 2013, 2014
Financial 4-in-1 Report	NC/PA	Quarterly

For the M&E Plan to be achieved, it will be integrated into the SGP Country Programme Annual Workplan to be developed at the beginning of each year. The Annual Workplan will be endorsed by the SGP National Steering Committee. A capacity building and knowledge management project grant will be made to the SGP to ensure that minimum resources are available for some of these activities. This will compliment operational resources from the country operating budget.

³ The annual Country Programme Review exercise should be carried out in consultation with the national Rio Convention Focal Points and the associated reporting requirements.

5.3 Consolidating Results for Individual Project at Programme Level

The SGP is a global programme and therefore consolidates individual country programme results to constitute a global picture. The same strategy is applied at country level, where results from individual projects are consolidated to create a picture of SGP results. The following strategy, Table 7 below, will be used in OP5 for generating and consolidating country level results:

Table 7: Strategy for Generation and Consolidation of Country Level Results

Strategic Area	Implementation Approach	Key Indicators	Responsibility	Remarks
1. Project linkages with country level outcomes	Ensure project application tools clearly link planned projects to OP5 Immediate Objectives	Grant application documents	NC NSC	Update current tools for concept paper and proposal development
2. Periodic project reporting	Grantees to submit progress reports based on revised reporting templates	Minimum 3 reports as per agreed schedule	NC	Templates designed to capture both interim and cumulative results
3. Mid-point project performance	<ul style="list-style-type: none"> Conduct mid-term and end-of-project evaluations 	<ul style="list-style-type: none"> Evaluation report Project images (photo gallery) 	NC Grantees	Revise implantation strategy to ensure compliance and generation of impacts
4. Annual programme level results	<ul style="list-style-type: none"> Technical documentation of annual results at programme level Grantee forum organized annually to validate results 	3 Annual reports (2012, 2013 and 2014)	NC	Annual reporting to integrate cumulative statistics for 2012, 2013 and 2014
5. Capacity of CSOs	Build capacity for CSOs in specialized data capture tools such as GIS, aerial photos, climate proofing, ecosystem services, REDD+, LULUCF and participatory M&E, etc	<ul style="list-style-type: none"> Training reports Project images 	NC	Training sessions will be designed to equip communities with skills that would still be used even after project funding phase

6.0 KNOWLEDGE MANAGEMENT PLAN

Knowledge management (KM) comprises a range of strategies and practices used in an organization to identify, create, represent, distribute and enable adoption of insights and experiences. KM efforts typically focus on organizational objectives such as improved performance, competitive advantage, innovation, lessons learned, integration and continuous improvement. To be effective, KM should be seen as a strategic asset focusing on the sharing of knowledge. KM will be a key feature of SGP Malawi's operations in OP5 especially in view of the great need for accountability, visibility, innovation, replication and scaling up.

The detailed KM Plan is presented in Table 8 below and is based on three key KM results areas for OP5 – documentation and dissemination of lessons learned, policy influence

and replication and up-scaling. The Country Programme will put special emphasis on documenting lessons learned and best practices and disseminating the same to community, national and international audiences through various knowledge sharing fora. This is aimed at creating a high level of awareness among various SGP Stakeholders on the achievements of the Country Programme. This should in turn attract more interest in the SGP and can help in building more effective partnerships with other development players.

Table 8: SGP Knowledge Management Plan

KM Result Area	Data Collection	Knowledge Products	Dissemination
1. Lessons learned	<ul style="list-style-type: none"> • Interim surveys • Progress reports • Field visits • End of project evaluation 	<ul style="list-style-type: none"> • Case studies • Leaflets • Posters • Calendars • Project profiles • Country reports • Briefing kits • Technology demonstration sites 	<ul style="list-style-type: none"> • Knowledge fairs • Stakeholder workshops • Poster presentations • Print media columns • Annual country reports • Websites – GEF, SGP (global & country) • Facebook page
2. Policy influence	<ul style="list-style-type: none"> • Impact assessment • Demonstration 	<ul style="list-style-type: none"> • Best community practices • Community empowerment model • Appropriate technology 	<ul style="list-style-type: none"> • Rainwater harvesting Association of Malawi • Coordination Union for the Rehabilitation of the Environment • National Commission for Science & Technology • SGP participation in national policy dialogues and policy formulation processes
3. Replication and Up-scaling	<ul style="list-style-type: none"> • The lessons learned from successful SGP projects will be integrated into the grants management guidelines. For example, best practices in honey processing and marketing would inform the training of communities engaging in the same or similar enterprises • Such successful interventions will be candidates for replication into new areas and/or extending the reach by increasing the geographical spread of the project area. • Both replication and up-scaling can happen with either a new grantee or the same grantee receiving a new grant, provided they still qualify as per eligibility criteria 		

7.0 RESOURCE MOBILIZATION PLAN

Based on OP4 experiences where it became clear that the SGP needs more than one source of funding, increased efforts will be applied in OP5 to secure additional programme financing from diversified sources for both community grants and operations so as to achieve greater programme impact. To achieve this, a three-pronged approach will be implemented as follows:

7.1 Diversification of Funding Sources

- a. Continued engagement with Government and UNDP to secure SGP funding for grants and/or operational resources. Allocations from Government’s STAR and UNDP TRAC and/or cost-sharing resources are still potential possibilities in OP5. One other position of strength is to lobby both Government and UNDP to “integrate” SGP in their multilateral or bilateral partnerships.
- b. Positioning SGP as a delivery mechanism for community components of other UNDP and Government led projects and programmes
 - a. Engage with other GEF Implementing Agencies (ADB, FAO, UNEP and World Bank) by bringing some into the NSC as an entry point
 - b. Exiting the comfort zone and engage with new potential donors in Malawi – Irish AID, NORAD, USAID, UKAID, JICA, WFP and EU.
 - c. Engage with the private sector on the corporate social responsibility platform.
 - d. Engage in proactive new programme development drive.

7.2 Cost Recovery Consideration to Co-Finance Management Costs

In order to sustain the operations of the Country Programme without over-burdening the GEF budget, the SGP shall negotiate for a corporate management fee from the donor/partner. The management cost to grants ratio will be kept at a permissible level of less than 10% as a key indicator used to assess country programme sustainability by the GEF SGP. However, these levels can be reached by many ways, including negotiation with partners, the use of real costs for managing the projects once the necessary corporate level fees have been taken care of by “off the top” of an agreed funding level. Such cost recovery efforts would therefore help keep this ratio low, keeping the programme on a sustainable platform.

7.3 Developing strategic partnerships with other institutions

There are possibilities for the SGP to develop strategic partnerships with many institutions from within and outside Malawi. Targeted institutions in OP5 are presented in Table 9 below. Suffice to say that this list is not exhaustive, and therefore the programme will aim at casting its net as wide as possible.

To realize this, the Country Programme shall use a number of strategies including organized joint field visits with potential partners, participation in events organized by potential partners, responding to requests for partnerships and dissemination of SGP results, impacts and aspirations through various for a including newsletters, briefs, posters, responding to call for proposals and contribution to national dialogue.

Table 9: Potential Strategic Partnerships

Institutions	Relevant Mandate/Objective (s)	SGP Niche
1. Malawi Government <i>- Agriculture, forestry, fisheries, National parks & wildlife reserves Water, land resources, etc</i>	Conservation of the natural resource base	- Building local organizations’ and community capacity in positive environmental action. - Providing community grants - Delivery mechanism for community components of big projects
2. UNDP	Conservation of the natural resource base	- Feeding/Testing UNDP’s upstream activities with a local touch

		- Taking UNDP to the people thereby promoting UNDP visibility and relevance at grassroots
3. FAO	Agriculture and land management activities	Furthering the work by local organizations on afforestation and prevention of land degradation
	GEF Implementing Agency	SGP work with grassroots communities can enhance success and relevance of the GEF full-size project
4. World Bank	Provision of small grants to community organizations	SGP as a delivery mechanism for such grants
	GEF Implementing Agency	SGP work with grassroots communities can enhance success and relevance of the GEF full-size projects
5. Foreign Embassy missions and programmes - NORAD, UKAID, USAID, EU, JICA, Irish AID, AfDB, etc	Various programmes in a number of sectors, climate change, agriculture, natural resources management, enterprise development, etc	- Ability to reach out to the remotest community groups - A cost-effective delivery mechanism for small funding
6. Private sector - Tobacco companies, banks, manufacturers, etc	- Philanthropic activities - Corporate social responsibility	- A cost-effective delivery mechanism for small funding amounts. - Good publicity as a friend of the SGP and the Environment.
7. Training and Research institutions - <i>Universities & colleges, research centres, commission for science and technology, etc.</i>	Technology development and dissemination	- Capacity building and technology demonstration grants - Dissemination of appropriate technologies and providing consolidated grassroots feedback

8.0 REFERENCES

Environmental Affairs Department 2006. National Biodiversity Strategy and Action Plan. Government Printer, Lilongwe

GEF Small Grants Programme 2008. OP4 Country Programme Strategy for Malawi.

Reserve Bank of Malawi 2012. Financial and Economic Review, Volume 43, Issue Number 2

9.0 LIST OF ANNEXES

Annex 1: GEF SGP OP 5 Project Level Indicators

These indicators are in line with OP5 strategic objectives and outcomes. They provide a practical strategy of ensuring that project results at local level can easily be consolidated into global results. Further, these indicators represent a specific measurement of parameters necessary in establishing empirical evidence. Projects designed will ensure that activities contribute to the achievement of results that can be measured by some of these indicators. This would enhance the relevance of the projects to global programming as well as reflecting the achievement of local needs.

SGP OP5 results indicators	
Biodiversity (BD)	
BD1	<ul style="list-style-type: none"> ○ Hectares of indigenous and community conserved areas (ICCAs) influenced ○ Hectares of protected areas influenced ○ Hectares of significant ecosystems with improved conservation status
BD2	<ul style="list-style-type: none"> ○ Hectares of production landscapes / seascapes applying sustainable use practices ○ Number of significant species with maintained or improved conservation status ○ Total value of biodiversity products/ecosystem services produced (US dollar equivalent)
Climate Change (CC)	
CCM1	<ul style="list-style-type: none"> ○ Tonnes of CO2 avoided by implementing low carbon technologies: <ul style="list-style-type: none"> ▪ Renewable energy measures (please specify) ▪ Energy efficiency measures (please specify) ▪ Other (please specify) ○ Number of community members demonstrating or deploying low-GHG technologies ○ Total value of energy or technology services provided (US dollar equivalent)
CCM4	<ul style="list-style-type: none"> ○ Tonnes of CO2 avoided by implementing low carbon technologies: <ul style="list-style-type: none"> ▪ Low carbon transport practices (please specify) ○ Total value of transport services provided (US dollar equivalent)
CCM5	<ul style="list-style-type: none"> ○ Hectares of land under improved land use and climate proofing practices ○ Tonnes of CO2 avoided through improved land use and climate proofing practices
Land degradation (LD) & Sustainable Forest Management (SFM)	
LD1	<ul style="list-style-type: none"> ○ Hectares of land applying sustainable forest, agricultural and water management practices ○ Hectares of degraded land restored and rehabilitated
LD3	<ul style="list-style-type: none"> ○ Number of communities demonstrating sustainable land and forest management practices
International Waters (IW)	
IW	<ul style="list-style-type: none"> ○ Hectares of river/lake basins applying sustainable management practices and contributing to implementation of SAPs ○ Hectares of marine/coastal areas or fishing grounds managed sustainably ○ Tonnes of land-based pollution avoided
Persistent Organic Pollutants (POPs)	
POPS	<ul style="list-style-type: none"> ○ Tons of solid waste prevented from burning by alternative disposal ○ Kilograms of obsolete pesticides disposed of appropriately

SGP OP5 results indicators	
	<ul style="list-style-type: none"> ○ Kilograms of harmful chemicals avoided from utilization or release
Capacity Development, Policy and Innovation (all focal areas)	
CD	<ul style="list-style-type: none"> ○ Number of consultative mechanisms established for Rio convention frameworks (please specify) ○ Number of community-based monitoring systems demonstrated (please specify) ○ Number of new technologies developed /applied (please specify) ○ Number of local or regional policies influenced (level of influence 0 – 1 – 2 – 3 – 4 – 5) ○ Number of national policies influenced (level of influence 0 – 1 – 2 – 3 – 4 – 5) ○ Number of people trained on: project development, monitoring, evaluation etc. (to be specified according to type of training)
Livelihoods, Sustainable Development, and Empowerment (all focal areas)	
Cross-cutting	<p>Livelihoods & Sustainable Development:</p> <ul style="list-style-type: none"> ○ Number of participating community members (gender disaggregated) (Note: mandatory for all projects) ○ Number of days of food shortage reduced ○ Number of increased student days participating in schools ○ Number of households who get access to clean drinking water ○ Increase in purchasing power by reduced spending, increased income, and/or other means (US dollar equivalent) ○ Total value of investments (e.g. infrastructure, equipment, supplies) in US Dollars (Note: estimated economic impact of investments to be determined by multiplying infrastructure investments by 5, all others by 3). <p>Empowerment:</p> <ul style="list-style-type: none"> ○ Number of NGOs/CBOs formed or registered ○ Number of indigenous peoples directly supported ○ Number of women-led projects supported ○ Number of quality standards/labels achieved or innovative financial mechanisms put in place