Joint Evaluation of the GEF Small Grants Programme

JUNE 2008

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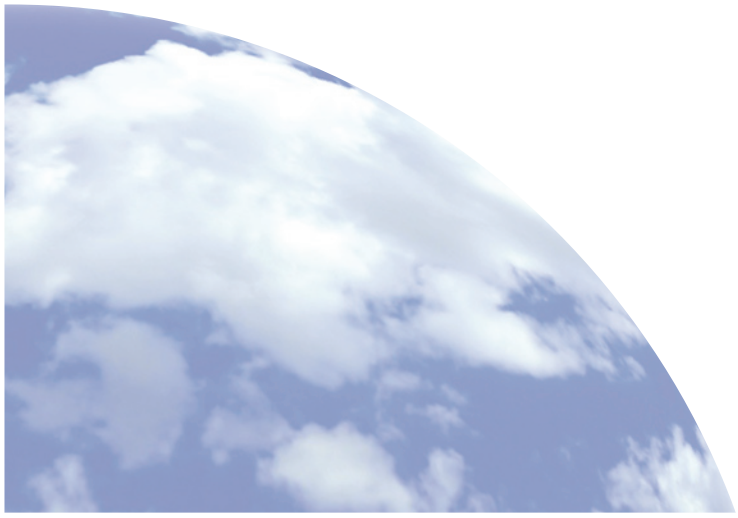

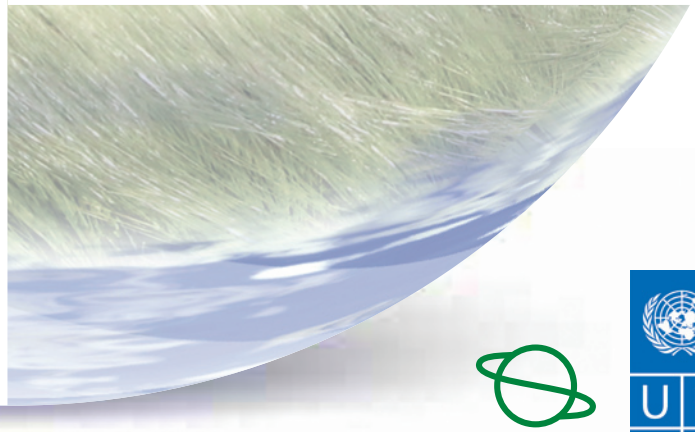

Conclusions et recommandations en français.
Conclusiones y recomendaciones en español.

GEF

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Joint Evaluation of the GEF Small Grants Programme

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(The main findings and recommendations of this evaluation were presented to the GEF Council in November 2007.)

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Avant-propos

En juin 2006, le Conseil du Fonds pour l'environnement mondial (FEM) a demandé que le Bureau de l'évaluation du FEM effectue une évaluation indépendante du Programme de microfinancements (PMF). Le Bureau de l'évaluation du FEM a invité le Bureau de l'évaluation du Programme des Nations Unies pour le développement (PNUD) à prendre part à l'évaluation, étant donné qu'il met en pratique le PMF et il y s'engage fortement. Le point de vue supplémentaire du Bureau de l'évaluation du PNUD devait enrichir l'évaluation en apportant une compréhension approfondie du système du PNUD.

Le but de l'évaluation conjointe du PMF était d'évaluer la pertinence, l'efficacité, l'efficience, la viabilité et l'efficacité par rapport au coût du Programme en fonction du mandat général du FEM. De plus, l'évaluation a estimé les résultats du PMF, les facteurs qui influent sur ces résultats, de même que les systèmes du suivi et de l'évaluation du Programme. Elle a retracé l'évolution du PMF, les changements qui y ont eu lieu et les éléments moteurs de ces changements. Des études nationales pratiques ont été préparées dans le cadre de l'évaluation ; bien que chacune d'elles ait été unique en son genre et propre à un pays donné, elles ont été réalisées dans un cadre analytique commun pour permettre la comparaison et, dans la mesure du possible, le regroupement des données.

A la demande du Conseil, une évaluation *ex ante* de la politique de reclassement automatique des bénéficiaires du PMF (transmise par le Directeur général du FEM aux agents de liaison nationaux le 15 décembre 2006) a été réalisée. Cette évaluation a également permis d'estimer les niveaux de dépenses auxquels les programmes nationaux sont propices à d'être les plus efficaces par rapport à leur coût.

L'évaluation conjointe, a été réalisée de novembre 2006 à septembre 2007. Elle inclut 20 études de cas, l'examen d'un échantillon aléatoire composé de 229 subventions, un examen des portefeuilles et des examens spécialisés sur diverses questions. Plus de 25 spécialistes des évaluations, notamment des consultants et des membres du personnel des bureaux de l'évaluation du FEM et du PNUD, ont contribué à l'initiative. La nature conjointe de l'évaluation a renforcé le processus, présentant à la fois des défis et des possibilités.

Dans l'ensemble, l'évaluation conjointe a permis de constater que le PMF est un moyen efficace par rapport à son coût qui aide le FEM à obtenir des avantages mondiaux pour l'environnement, tout en se mettre aux priorités des pays et aux besoins des populations locales. Elle a également permis de déterminer que le modèle actuel de gestion a atteint ses limites, qu'il ne convient pas à une nou-

velle phase de croissance et que les procédures de gouvernance et d'audit du PMF doivent être renforcées.

Le Conseil du FEM a discuté le rapport d'évaluation conjointe au moment de sa réunion de novembre 2007 et il a décidé que le PMF doit se mettre aux constatations de l'évaluation comme suit :

- Proposer que le niveau du coût de gestion soit établi sur la base des services dispensés et de l'efficacité par rapport au coût plutôt que sur un pourcentage fixé ;
- Commencer un processus de modifier le système de gestion centrale du PMF pour l'adapter à la nouvelle phase de croissance et tenir compte des risques liés à une complexité croissante ;
- Renforcer la surveillance des programmes nationaux ;
- Renforcer le suivi l'évaluation ;
- Proposer que les critères en vigueur pour l'accès aux ressources du PMF soient révisés pour que celui-ci reste efficace par rapport à son coût ;
- Développer plus la politique de reclassement des bénéficiaires des programmes nationaux du PMF pour tenir compte des risques pesant sur les réalisations du FEM et sur leur efficacité par rapport à leur coût, en particulier dans les petits états insulaires en développement et les pays les moins avancés.

Le Bureau de l'évaluation du PNUD a l'intention de faire connaître le présent rapport au Conseil d'administration du PNUD en juin 2008.

Rob D. van den Berg
Directeur, Bureau de l'évaluation du FEM

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Remerciements

Le présent rapport a été rédigé par Aaron Zazueta, agent d'évaluation principal, Bureau de l'évaluation du Fonds pour l'environnement mondial (FEM), et directeur du projet d'évaluation, et par Neeraj Kumar Negi, spécialiste de l'évaluation, Bureau de l'évaluation du FEM. Howard Stewart, conseiller en évaluation au Bureau de l'évaluation du Programme des Nations Unies pour le développement, a dirigé plusieurs études de cas de l'évaluation et en a coordonné d'autres, faisant des commentaires à divers moments de la conception de l'évaluation et pendant la préparation du rapport.

Les autres membres de l'équipe qui ont géré les études de cas et fait d'autres commentaires comprennent Nadia Ahlsten, Ines Angulo, Claudio R. Volonté, Soledad Mackinnon, Jyotsna Puri, Lee Risby, David Todd et Siv Tokle. Les consultants suivants ont collaboré à la préparation des études nationales : Nurit Bodemann-Ostow, Eliyah Yaw Danso, Tarek Genena, Mahe Nau Hader, Alejandro Imbach, Elizabeth K. Lang, Violet Matiru, Patricia B. Mendoza, Ivo Morawski, Hugo Navajas, Carl Robichaud, Aysin Tektas et NORDECO Consultants.

L'équipe d'évaluation souhaite remercier l'équipe du Bureau des Nations Unies pour les services d'appui aux projets, chargée de coordonner le Programme de microfinancements (PMF), qui a facilité l'accès aux parties prenantes du PMF, de même que les coordonnateurs nationaux et les autres membres du personnel du PMF pour leur temps et leur rétroaction pendant cette évaluation. La responsabilité finale du présent rapport revient évidemment au Bureau de l'évaluation du FEM.

1. Les antécédents, les conclusions et les recommandations

1.1 Antécédents

Le Fonds pour l'environnement mondial (FEM) a créé le Programme de microfinancements (PMF) en 1992 afin de développer des stratégies communautaires et de mettre en pratique des technologies de manière à réduire les menaces à l'environnement mondial, à recueillir et communiquer les leçons tirées de l'expérience communautaire, à créer des partenariats et des réseaux avec des organisations de proximité et non gouvernementales (ONG), ainsi qu'à d'assurer que les stratégies et projets de conservation et de développement durables qui protègent l'environnement mondial soient compris et mis en pratique par les communautés et d'autres parties prenantes clés.

Le PMF a subi quatre reconstitutions pendant trois phases opérationnelles. La **phase pilote** (1992–1996) a démontré la viabilité de la démarche. La **période de consolidation** (1997–2002) s'est accompagnée d'une expansion relativement mineure mais a confirmé le rôle du PMF à titre de programme entreprise du FEM. La **période d'expansion** (2003–2007) a été marquée par une augmentation du financement et du nombre de pays participants. Actuellement, le PMF traverse une transition qui le mènera à sa quatrième période. Celle-ci s'inspire surtout de la mise en pratique du **Dispositif d'allocation des ressources du FEM** (DAR) ; de l'élargissement rapide du programme à de nouveaux pays, tout spécialement aux petits états insulaires en développement (PEID) et des pays les moins avancés (PMA) ; et des discussions en cours portant sur le reclassement automatique des bénéficiaires des anciens programmes nationaux. Un comité directeur interorganismes a été créé et, grâce à lui, le Secrétariat du FEM et d'autres organisations participent de plus en plus à la prise de décisions quant au PMF.

Le plafond des subventions applicables à des projets ordinaires est de US $ 50 000 mais, généralement, la plupart des subventions du PMF est d'entre US $ 20 000 à US $ 35 000. Depuis les débuts du programme, une proportion considérable des subventions de projet a été versée dans le domaine d'intervention de la biodiversité. Pourtant, cette part s'amoindrit constamment : elle représentait 65 pour cent pendant la phase pilote et 47 pour cent au cours de la phase opérationnelle 3. La part des projets dans le domaine du changement climatique est demeurée stable, est restée prés de 16 pour cent ; et la dégradation des sols, incluse comme nouveau domaine d'intervention pendant la phase opérationnelle 3, constitue 17 pour cent des subventions du PMF.

Trois évaluations du programme du PMF ont été réalisées, en 1995, 1998 et 2002. Elles ont porté sur améliorer les opérations et la conception du PMF, ainsi qu'à distiller les leçons apprises. Elles ont également servi de bases des décisions du Conseil du FEM quant à l'élargissement du programme

et les exigences pour des remplissements. Pourtant, elles n'étaient pas entièrement indépendantes et n'ont pu permettre d'apprécier quels avantages mondiaux pour l'environnement avaient été acquis, si le programme était efficace par rapport à son coût ou s'il y avait des compromis à faire entre les projets du PMF et d'autres projets du FEM.

Lors de sa réunion de juin 2006, le Conseil a demandé au Bureau de l'évaluation du FEM de réaliser une évaluation indépendante du Programme de microfinancements, pour laquelle il a consenti à lui verser US $ 290 000. Par ailleurs, US $ 110 000 ont été transférés des fonds du PMF à l'évaluation, en échange de quoi le PMF n'était pas tenu d'effectuer une évaluation finale à la fin de sa phase courante de remplissement. Le Bureau de l'évaluation du FEM a invité le Bureau de l'évaluation du Programme des Nations Unies pour le développement (PNUD) à participer à l'évaluation. Un document d'orientation sur l'étude, paru sur le site Web du Bureau de l'évaluation du FEM en février 2007, a été conçu en collaboration. Les études sur site liées à l'évaluation ont eu lieu de mars à juin 2007. La première ébauche du rapport d'évaluation a été transmise au PMF le 18 septembre 2007, afin qu'il vérifie les erreurs de fait et d'analyse.

Les premiers objectifs de l'évaluation étaient d'apprécier la pertinence des résultats du PMF au regard du FEM, de même que des priorités nationales et environnementales. Par ailleurs, l'évaluation devait apprécier l'efficacité de ce programme à produire des avantages mondiaux pour l'environnement et l'efficience du PMF à s'engager aux groupes de proximité et aux ONG, ainsi que les principaux facteurs qui influent sur ses résultats et les systèmes du suivi de l'évaluation.

Les bureaux de l'évaluation du FEM et du PNUD ont effectué cette évaluation en partenariat et 25 évaluateurs y ont participé à différents niveaux. L'évaluation a permis de recueillir des données qualitatives et quantitatives et de tirer des conclusions sur le PMF. Elle reposait sur les éléments que voici :

- Une **révision de la documentation** a été faite : les documents du Conseil du FEM, une vaste gamme de documents du PMF et des documents existants pertinents.
- Des **études de cas des programmes nationaux** ont eu lieu, 12 étaient des études sur site intensives et 10 autres ont été principalement analysées grâce à des examens au bureau.
- Une **enquête sur un échantillon de projets** a été réalisée : 180 subventions de projets ont été évaluées pour ce qui est des résultats du projet ; ça inclut ses réalisations, ses risques, les leçons apprises et l'interaction avec les parties prenantes ; 191 ont été évaluées à l'égard des questions liées au suivi et à l'évaluation ; et 187 ont été évaluées pour déterminer les groupes de la population que ciblaient les subventions du projet. La performance de 107 subventions de projets a été vérifiée sur le terrain par des évaluateurs. Les données recueillies présentent une image équilibrée du portefeuille mondial des projets.
- Des **entretiens** ont été faits avec une vaste gamme de parties prenantes.
- Une **enquête en ligne** a été mise en pratique et elle s'est adressée aux coordonnateurs nationaux des programmes nationaux du PMF. Soixante-douze coordonnateurs nationaux y ont pris part.

1.2 Conclusions

Conclusion 1 : Autant qu'accomplir des avantages mondiaux pour l'environnement, le PMF a une réussite un peu plus meilleureque cel-

les des projets de la moyenne et de la grande envergure, et il a un taux significativement plus haut à l'égard de les soutenir.

Selon les constatations de l'évaluation, le PMF possède un carnet de notes impressionnant. Quatre-vingt-treize pour cent des subventions de projet de la phase opérationnelle 3 ont obtenu une note satisfaisante (modérément satisfaisante et plus) pour ce qui est des réalisations totales. À titre de comparaison, 82 pour cent des subventions de projet de la phase pilote et de la phase opérationnelle 1 et 91 pour cent de celles de la phase opérationnelle 2 ont été classées dans la catégorie satisfaisante. Si on les regroupe tous les projets de toutes les phases, 90 pour cent des subventions de projet du PMF qui ont été examinées ont été jugées satisfaisantes (voir le tableau 1.1).

Tableau 1.1

Note accordée pour les réalisations totales des subventions de projet évaluées

Classement	Pourcentage des projets
Très satisfaisant	24
Satisfaisant	43
Moyennement satisfaisant	23
Catégorie satisfaisante	**90**
Moyennement insatisfaisant	6
Insatisfaisant	3
Très insatisfaisant	0
Catégorie insatisfaisante	**10**

Nota : Projets examinés = 180 ; projets notés = 167 ; projets qui n'ont pu être évalués = 13.

La note accordée pour la viabilité des réalisations est un indice de la probabilité que les avantages découlant de la subvention d'un projet se poursuivent une fois que cette subvention aura pris fin. Selon l'évaluation, la viabilité des réalisations d'environ 80 pour cent des subventions présentait peu de risques, tandis que les réalisations des 20 pour cent restants affichaient des niveaux de risque considérables ou élevés (voir le tableau 1.2). Puisque le profil des risques des subventions à toutes les phases du PMF reste stable, les avantages qu'offre la plupart des projets achevés sont propices pour se poursuivre à l'avenir.

Tableau 1.2

Risques liés à la viabilité des réalisations

Catégorie de risque	Pourcentage des projets
Aucun risque ou peu de risque	41
Risque moyen	39
Risque faible	**80**
Risque considérable	18
Risque élevé	2
Risque élevé	**20**

Nota : Projets examinés = 180 ; projets notés = 159 ; projets qui n'ont pu être évalués = 21.

Comparativement aux projets de grande envergure (PGE) et aux projets de moyenne envergure (PME) achevés du FEM, qui ont été notés par le Bureau de l'évaluation du Fonds à l'aide de critères semblables, une proportion légèrement plus grande de projets du PMF entre dans la catégorie satisfaisante pour les réalisations des projets et une proportion bien plus grande, pour la viabilité.

Conclusion 2 : Le PMF a contribué à de nombreuses réformes institutionnelles et àdes changements politiques dans les pays bénéficiaires pour s'adresser à des questions environnementales mondiales.

Depuis le début de la phase opérationnelle 1, on souligne reproduire, l'accroissement graduel, et l'intégration des activités communautaires locales. L'évaluation a permis de constater que dans tous les 22 programmes nationaux examinés, le PMF a contribué à la formulation et/ou à la mise en pratique des politiques. Il le fait en entretenant des relations avec des organisations de la société civile, des administrations locales, provinciales et natio-

nales, des établissements d'enseignement, d'autres organisations mondiales et le secteur privé. Les programmes nationaux cherchent à influer sur les politiques et les institutions en augmentant la sensibilisation, en partageant des connaissances et en créant ou renforçant les capacités institutionnelles. Voici comment le PMF a collaboré aux changements institutionnels et de politiques dans les 22 programmes nationaux examinés :

- Tous les programmes nationaux examinés ont collaboré à des **outils d'intervention locaux**, comme des ordonnances municipales environnementales.
- Treize programmes nationaux ont favorisé la **formulation de politiques nationales**.
- Cinq programmes nationaux ont facilité **l'accès à des marchés plus vastes**.
- Un programme a servi d'**incubateur** de plusieurs initiatives qui, par la suite, ont été adoptées à grande échelle au pays.

Conclusion 3 : Le PMF contribue aux avantages mondiaux directs pour l'environnement tout en s'adressant aux besoins des moyens de subsistance des populations locales.

Selon les preuves découlant des études nationales et de l'échantillon de subventions vérifié sur site, les avantages pour l'environnement et/ou la contribution du PMF aux processus qui probablement résulteront à des avantages mondiaux pour l'environnement sont considérables. Néanmoins, l'évaluation a également permis de constater que, des 22 programmes nationaux examinés, 3 auraient peut-être donné plus d'avantages mondiaux pour l'environnement s'ils avaient porté sur des domaines d'intervention où la biodiversité revêtait une importance mondiale relativement plus grande. À l'exception des substances destructrices de l'ozone, le PMF était actif dans tous les domaines d'intervention du FEM.

- **Préservation de la biodiversité.** Les 22 programmes nationaux examinés lors de l'évaluation comportent des activités dans le domaine de la biodiversité. Les programmes nationaux contribuent à la préservation des espèces en voie d'extinction et la réduction des menaces posées aux écosystèmes et aux zones protégées. Les activités de préservation du PMF s'engagent généralement aux groupes de proximité et procurent un avantage direct aux populations locales.
- **Atténuation du changement climatique.** Dix-sept programmes nationaux du PMF des 22 qui ont été examinés collaborent à la réduction des émissions de gaz à effet de serre en instaurant des sources d'énergie renouvelable et des solutions de rechange économes en énergie telles que des panneaux solaires, des systèmes de chauffage solaire, de petites centrales hydroélectriques et des génératrices d'électricité qui utilise la biomasse.
- **Protection des eaux internationales.** Huit des 22 programmes nationaux contribuent à la réduction des stress environnementaux sur les eaux internationales, souvent en collaboration avec des projets du FEM plus grands dans ce domaine d'intervention.
- **Prévention de la dégradation des sols.** Dans cinq des 22 programmes nationaux examinés, le PMF instaure des méthodes agricoles, de gestion des pâturages et des forêts écologiquement rationnelles qui aident à conserver les sols et à améliorer la productivité. Dans certains environnements désertiques, le PMF met à l'essai des façons de protéger les écosystèmes des oasis en collaboration avec les communautés locales.

- **Élimination des polluants organiques persistants.** Dans six pays, les projets du PMF aident à réduire les polluants organiques persistants grâce à l'introduction de produits de remplacement et en favorisant l'adoption de pratiques plus écologiques dans la gestion des pesticides.

Les données d'enquête sur les projets confirment aussi que les programmes nationaux produisent des avantages mondiaux pour l'environnement considérables. Un grand pourcentage des subventions examinées a été classé dans la catégorie satisfaisante pour la pertinence des réalisations (96 pour cent) et pour l'efficacité des réalisations (94 pour cent) (voir le tableau 1.3). Par conséquent, la vaste majorité des subventions dans le portefeuille du PMF contribue directement aux avantages mondiaux pour l'environnement. Pour certaines subventions, on a constaté un compromis entre les avantages locaux et mondiaux, la subvention étant d'abord axée sur les avantages locaux afin de créer le contexte dans lequel on peut obtenir des avantages mondiaux, par exemple, au moyen de l'écotourisme.

Tableau 1.3

Pertinence et efficacité des réalisations
Pourcentage des projets

Classement	Pertinence des réalisations	Efficacité des réalisations
Très satisfaisant	50	37
Satisfaisant	34	42
Moyennement satisfaisant	11	15
Catégorie satisfaisante	**96**	**94**
Moyennement insatisfaisant	3	4
Insatisfaisant	1	2
Très insatisfaisant	0	0
Catégorie insatisfaisante	**4**	**6**

Nota : Pour la pertinence : projets examinés = 180, projets notés = 180, projets qui n'ont pu être évalués = 0 ; pour l'efficacité : projets examinés = 180, projets notés = 167, projets qui n'ont pu être évalués = 13.

Conclusion 4 : Le PMF a fait des progrès significants en orientant ses efforts d'assistance vers les pauvres.

Selon l'évaluation, depuis le début du PMF, 60 pour cent de ses projets ont ciblé directement ou indirectement les pauvres ou les plus pauvres. Comparativement aux phases précédentes (57 pour cent pendant la phase pilote et la phase opérationnelle 1 et 55 pour cent pendant la phase opérationnelle 2), une plus grande proportion des projets de la phase opérationnelle 3 (72 pour cent) ciblait directement ou indirectement les pauvres ou les plus pauvres.

Au moins 15 pour cent des subventions du PMF pendant la phase opérationnelle 3 ciblent explicitement les populations autochtones. Néanmoins, l'évaluation a permis de constater que, dans la plupart des cas, les populations autochtones profitaient des subventions de projet du PMF parce qu'elles étaient généralement établies dans des zones éloignées où la biodiversité est riche et qui est l'emplacement géographique où sont concentrés les programmes nationaux du PMF au lieu d'être la cible explicite des programmes. Vingt-six pour cent des subventions du PMF s'adressent aux femmes. Bien que de nombreuses autres subventions de projet ne s'adressent pas particulièrement aux femmes, ces dernières prennent part à la mise en pratique de ces projets à titre de membres de la communauté locale. Selon l'évaluation, même si les femmes représentent un groupe prioritaire du PMF dans presque tous les pays examinés, dans certains de ces pays, le contexte socioculturel local peut restreindre leur participation et, dans d'autres, leur participation peut se limiter à des rôles qui renforcent peu leur autonomie. Dans l'ensemble, les efforts consentis actuellement par le PMF pour rejoindre les populations les plus pauvres et les plus marginales semblent être indiqués.

Conclusion 5 : Les programmes nationaux du PMF, en particulier les plus anciens, contribuent à promouvoir le programme du FEM.

L'évaluation a permis de constater que les 22 programmes nationaux examinés réussissaient à s'étendre aux organisations de la société civile et à influencer les politiques environnementales à l'échelle locale. Toutefois, des gains importants ont été observés lorsque les politiques nationales ont été influencées. Parmi les programmes nationaux examinés, on a signalé que 13 (11 des 15 anciens programmes et 2 des 7 programmes plus récents2) ont eu une incidence majeure sur les politiques à l'échelle nationale. Le PMF peut créer des alliances stratégiques avec des établissements d'enseignement, des gouvernements, des organisations mondiales et le secteur privé. En outre, il est effective à s'étendre à toutes les parties prenantes, à les sensibiliser et à partager des connaissances avec elles.

La nature décentralisée du PMF, les vérifications et l'équilibre qui favorisant la transparence dans la prise de décisions et sa présence continue dans les pays participants ont aidé le PMF à promouvoir le programme du FEM.

Conclusion 6 : Tous les programmes nationaux examinés ont des échanges avec d'autres projets du FEM.

Selon l'examen des 22 programmes nationaux, on a constaté des échanges mutuellement appuyantes entre le PMF et les opérations plus larges du FEM dans tous les pays, ce qui représente une amélioration par rapport aux 53 pour cent (pour 34 pays) déclarés en 1998 dans une étude sur les liens opérationnels et/ou consultatifs entre les projets du PMF et du FEM[2]. Les échanges entre les projets du PMF et du FEM varient de par leur formalité opérationnelle, mais la plupart peut être classés comme suit :

- **Le PMF appuie les petits projets qui s'alignent aux objectifs des PME et des PGE.** Selon dix-huit des 22 études nationales, le PMF avait versé des subventions qui appuyaient directement les objectifs des projets plus grands du FEM.
- **Le PMF appuie la conception des PGE et des PME ou y contribue.** Presque tous les programmes nationaux examinés (21) ont indiqué que le PMF est un intervenant majeur dans la transmission de renseignements sur la conception de projets des PGE et PME du FEM.
- **Le PMF met en pratique une composante d'un projet du FEM.** On a constaté que cinq programmes nationaux a mis en pratiques des subventions à l'aide des fonds provenant de projets plus grands du FEM.
- **Le PMF produit des réalisations qui s'accroissent graduellement ou qui sont généralisées plus tard dans les PME ou les PGE.** Dans cinq des programmes nationaux examinés, les grands projets du FEM ont profité des capacités organisationnelles des bénéficiaires d'une subvention du PMF et certaines petites subventions ont été reclassées automatiquement pour devenir des PME.

La bonne communication, la capacité de créer des réseaux et le partage des connaissances semblent permettre la création de liens productifs entre les projets du PMF et d'autres projets du FEM. La nature proactive et l'expérience des coordonnateurs nationaux à l'égard des grands projets du FEM, de même que la coopération et le soutien qu'offre l'agent de liaison du FEM dans le PNUD, semblent être essentiels. Deux autres facteurs semblent être également utiles : la participation de l'agent de liaison du FEM et des représentants des agents d'exécution au comité directeur national et le mécanisme de coordination nationale établi

par les agents de liaison du FEM pour réagir au DAR. Inversement, le manque de connaissances et de sensibilisation sur les programmes du FEM , la divergence entre le domaine d'intervention et l'emplacement géographique et les retards dans la préparation de PME/PGE semblent réduire la probabilité que des liens solides soient tissés entre le PMF et d'autres programmes du FEM.

Conclusion 7 : L'action du PMF en matière de partage des connaissances est satisfaisante.

Les connaissances produites à l'intérieur du PMF par l'entremise des processus centralisés et décentralisés sont partagées dans tous les programmes nationaux grâce à des groupes de discussion sur l'Internet, à des publications, à des visites sur site et au site Web du PMF; ainsi qu'à l'occasion d'ateliers nationaux, régionaux et internationaux. Une stratégie de communication élaborée par le PMF en 2001 oriente ses activités de partage des connaissances.

En général, les programmes nationaux trouvent utiles les produits de connaissance conçus par l'équipe centrale de gestion du PMF (ECGP). Trois des quatre coordonnateurs nationaux ont signalé que les produits de connaissance préparés par l'ECGP, incluant des publications, des présentations et des vidéos, sont « souvent » ou « toujours » utiles pour répondre aux besoins de leur programme national. Trois des quatre coordonnateurs nationaux ont dit avoir adopté un outil, une technologie, une pratique ou une leçon qui avait d'abord été élaboré, testé ou signalé par un autre programme national du PMF. Une grande proportion (97 pour cent) des projets examinés a été classée dans la catégorie « satisfaisante » pour ce qui est de l'apprentissage des projets. Bien que ce niveau de performance soit encourageant, les processus de partage des connaissances n'ont pas encore intégré le système de rétroaction qui permettrait au PMF de profiter des points de vue des utilisateurs prévus.

Conclusion 8 : En dépit de progrès majeurs, le suivi et l'évaluation pourraient encore être améliorés.

Les preuves recueillies pendant l'évaluation démontrent que 81 pour cent des subventions de projet incluaient des activités du suivi et de l'évaluation pendant la conception. Comparativement à 14 pour cent au cours de la phase pilote et de la phase opérationnelle 1 et à 39 pour cent pendant la phase opérationnelle 2, 54 pour cent des subventions de projets achevés pendant la phase opérationnelle 3 avaient précisé des indicateurs pertinents suffisants et rendu compte de tous (ou presque tous) ces indicateurs dans les rapports d'achèvement des projets. Néanmoins, il y a lieu d'autres améliorations dans ces domaines.

Selon les données d'enquête sur les projets, l'équipe des programmes nationaux a visité 96 pour cent des subventions de projet au moins une fois pendant le cycle de vie d'un projet et plus de la moitié des subventions de projet ont été visitées trois fois ou plus. Ces visites sur site offrent aux équipes des programmes nationaux l'occasion de vérifier les progrès physiques et financiers des projets et de surveiller l'avancement en vue d'obtenir les réalisations attendues. Or, sauf peu d'exceptions, comme l'Équateur, la plupart des programmes nationaux ne documentent pas les constatations des visites sur le terrain de façon systématique.

L'ECGP suit les progrès des programmes nationaux surtout en examinant les rapports financiers trimestriels et l'outil d'appréciation de la performance et des résultats. Ce dernier surveille la performance des coordonnateurs nationaux dans plusieurs domaines clés. Toutefois, il est loin de s'agir d'un moyen idéal pour surveiller la performance mondiale d'un programme national, car il

peut arriver que la performance du coordonnateur national et celle du programme national ne concordent pas. De plus, le fait d'établir un lien entre la performance d'un programme national et celle du coordonnateur national dissuade les coordonnateurs de rendre franchement compte de la performance du programme national. L'évaluation a permis de constater que les rapports financiers trimestriels se compilent et s'utilisent de manière efficiente à des fins de planification et de réglementation.

L'ECGP est chargé de concevoir et de maintenir la base de données du PMF, de donner aux programmes nationaux des directives sur l'entrée des données, et de maintenir la qualité des données. Le public a accès à la base de données qui comporte des caractéristiques plus avancées que celles de la base de données du FEM. Néanmoins, des améliorations sont nécessaires dans de nombreux domaines, notamment la structure de la base de données, la qualité des données, et la rapidité du téléchargement de l'information.

Conclusion 9 : Le PMF constitue pour le FEM un outil efficace par rapport à son coût, lui permettant de produire de avantages mondiaux pour l'environnement par l'entremise des ONG et des organisations de proximité.

L'évaluation a permis de constater que, dans l'ensemble, le PMF convertissait efficacement les intrants en extrants, tant au niveau des projets que des programmes nationaux. Puisque les subventions de projet et les programmes nationaux du PMF sont aussi efficaces à produire des avantages mondiaux pour l'environnement, le PMF est un instrument efficace par rapport à son coût, grâce auquel le FEM crée de tels avantages en faisant intervenir des ONG et des organisations de proximité.

- **Coût de gestion.** Le coût de gestion engagé par le PMF semble bien correspondre aux services qu'il rend. Pendant la phase opérationnelle 3, le coût de gestion du PMF, y compris les frais de projet versés au PNUD par le FEM pour accueillir le PMF et les subventions de projet versées par le PMF afin de répondre à des questions de gestion de programme dans les pays bénéficiaires (subventions de gestion), représentait 31 pour cent des dépenses totales, soit une amélioration par rapport aux 37 pour cent estimés pour la phase opérationnelle 2. Pendant la phase opérationnelle 3, il y a également eu une réduction de la pratique non transparente d'octroi de subventions à des projets qui répondaient à des questions de gestion de programme, le financement de ces subventions étant ramené de 4 pour cent du financement total du FEM pendant la phase opérationnelle 2 à 3 pour cent au cours de la phase opérationnelle 3. Le document technique sur le coût de gestion du Programme de microfinancements (Bureau de l'évaluation du FEM, 2007), inclus dans le CD-ROM qui accompagne le présent rapport, traite en détail du coût de gestion du PMF.
- **Cofinancement.** Le PMF devait mobiliser US $ 1 de cofinancement de plus pour chaque US $ 1 de financement provenant du FEM. Jusqu'en mars 2007, le PMF a déclaré avoir mobilisé environ US $ 0,90 à même les sources autres que le FEM pour chaque US $ 1 de financement provenant du FEM. Il est peu probable que l'objectif de la mobilisation de cofinancement ait été atteint entièrement à la fin de juin 2007, moment où la phase opérationnelle 3 a terminé. Or, il faut reconnaître que la phase opérationnelle 3 s'est terminée plus tôt que prévu au départ.
- **Comparaison avec les composantes des petites subventions des PME et des PGE.** Selon un examen des portefeuilles des PGE et des PME du FEM (à l'exclusion du PMF), compara-

tivement aux US $ 282 millions investis dans le PMF jusqu'à la phase opérationnelle 3, le FEM a investi au moins US $ 440 millions dans la composante des petites subventions des PGE et des PME. Par comparaison avec le PMF, les composantes des petites subventions des PME et des PGE semblent éprouver des difficultés opérationnelles parce que les projets sous-estiment le temps qu'il faut pour assurer le bon fonctionnement d'un mécanisme de versement de petites subventions ; les composantes des petites subventions comprennent souvent une petite partie du projet total et reçoivent donc peu d'attention de la part de la direction ; l'apprentissage institutionnel n'est pas conservé ; et il n'existe souvent pas de structure permanente de versement, de supervision, et de compte rendu des subventions une fois qu'un projet est terminé.

- **Cycle de vie des projets.** Selon l'évaluation, la durée moyenne des subventions du PMF depuis la présentation de la proposition jusqu'au début du projet est d'environ six mois. Bien que les deux tiers des projets soient réalisés sans retard, en moyenne, un retard dans l'achèvement d'un projet ajoute cinq mois à son cycle. On estime que la durée moyenne du cycle des projets du PMF, depuis la présentation de la proposition d'un projet jusqu'à son achèvement, est d'environ 2,5 ans.
- **Efficience de la subvention des projets.** Quatre-vingt-quatorze pour cent des subventions de projet ont été classées comme étant moyennement satisfaisantes ou ont obtenu une meilleure note pour l'efficience des réalisations. Les notes accordées à l'efficience des réalisations liées aux subventions du PMF semblent être meilleures que celles des PGE et des PME examinés par le Bureau de l'évaluation du FEM : pour le rapport annuel 2006 de la performance, seulement 77 pour cent des PGE/PME ont été classés dans la catégorie satisfaisante. Lorsqu'elle était appréciée avec l'efficacité des réalisations (94 pour cent dans la catégorie satisfaisante), la performance des projets du PMF en ce qui concerne l'efficience des réalisations (94 pour cent dans la catégorie satisfaisante) indiquait que les subventions de projet sont efficaces par rapport à leur coût, en ce sens qu'elles produisent des avantages mondiaux pour l'environnement.

Conclusion 10 : Le reclassement automatique des bénéficiaires des programmes nationaux de plus de huit ans risque de réduire l'efficience économique mondiale du portefeuille de projets du FEM.

Lors de sa réunion de juin 2007, le Conseil du FEM a demandé à son Bureau de l'évaluation « d'inclure dans son évaluation constante du Programme de microfinancements…une analyse de la politique de reclassement automatique des bénéficiaires du PMF et, en particulier, de l'impact de cette politique sur les PMA et les PEID » (FEM, 2007). En réaction à cette demande, la présente partie contient une analyse ex ante de la politique de reclassement automatique des bénéficiaires des programmes nationaux du PMF.

Les lignes directrices sur l'accès au Programme de microfinancements du FEM, envoyées par le Directeur général du FEM sous la forme d'un communiqué daté du 15 décembre 2006 à l'attention des agents de liaison nationaux, contient la politique du FEM sur le reclassement automatique des bénéficiaires des programmes nationaux du PMF. On y mentionne qu'à « compter de 2007, tous pays ayant profité du PMF du FEM pendant plus de huit ans seront exigés de présenter un plan de reclassement automatique des bénéficiaires du financement du FEM (ressources de base et du DAR) à l'achèvement du cycle du FEM-4 » (DG du FEM, 2006). La nécessité de la politique de reclassement automatique des bénéficiaires s'ex-

plique par les limites de financement imposées au PMF dans l'accord de remplissement du FEM-4 (2006–2010).

La politique actuelle mènera au reclassement automatique des bénéficiaires de plus de 40 pays recevant un financement du FEM d'ici juillet 2010. Son principal avantage tient dans le fait qu'elle permet à l'ECGP de se concentrer sur les nouveaux programmes nationaux et sur la création de programmes dans des pays qui n'ont pas encore reçu de fonds du PMF. Toutefois, il est probable que la structure des programmes du PMF établie dans les pays participants qui subissent un reclassement automatique sera démantelée, sinon ils risquent de chercher d'autres sources de financement pouvant correspondre ou non aux objectifs environnementaux à l'échelle mondiale. Puisque la plupart des programmes nationaux qui subiraient automatiquement un reclassement comptent parmi les meilleurs, le FEM risque de perdre des programmes qui, en règle générale, sont plus efficaces par rapport à leur coût que son portefeuille de PGE et de PME. Par conséquent, le reclassement automatique des bénéficiaires des vieux programmes nationaux du PMF à partir du financement du FEM devrait mener à une réduction minime de l'efficacité du portefeuille mondial du FEM par rapport à son coût.

Dans les PEID, où les pays bénéficiaires ont une capacité d'absorption limitée, les petites subventions représentent, dans la plupart des cas, une mesure indiquée à partir de laquelle le FEM peut faire des interventions pour obtenir des avantages mondiaux pour l'environnement. Dans les PMA, bien que ces pays aient en général grandement besoin d'aide, les capacités des institutions nationales et locales sont souvent une contrainte. L'évaluation a permis de constater que le PMF collabore au développement des capacités institutionnelles dans les PMA et qu'il s'y ajoutait, leur permettant ainsi de réaliser des PGE et des PME de manière plus effectivement. Par conséquent, le reclassement automatique des bénéficiaires des vieux programmes nationaux du PMF dans les PEID et les PMA à partir du financement du FEM ne semble pas être dans l'intérêt institutionnel du FEM.

Conclusion 11 : Les programmes nationaux relevant du PMF ont une plafond de l'efficacité par rapport à leur coût, avec des dépenses annuelles de l'ordre de US $ 1 à US $ 1,1 million.

Selon l'analyse des données sur les dépenses des programmes nationaux du PMF pour les exercices 2006 et 2007 dans les pays participants[3], si l'on tien compte des pays dont la capacité d'absorption est une contrainte, le coût de gestion moyen est le plus bas lorsque les dépenses annuelles des programmes nationaux sont de l'ordre de US $ 1 million à US $ 1,1 million. S'inspirant du plafond du budget de base mondial du PMF qui apparaît dans l'accord de remplissement, le Comité directeur du PMF a décidé, en décembre 2006, qu'à partir de juillet 2007, les allocations financières aux pays participants provenant des allocations indicatives du DAR faisant partie des fonds nationaux et de base du PMF seraient réglementées. Le plafond de la contribution du FEM aux programmes nationaux du PMF a été établi à US $ 600 000 par année. En raison de ce plafond, 34 programmes nationaux n'auront plus la possibilité de fonctionner à un niveau où le versement d'une subvention est plus efficient par rapport au coût de gestion.

Les pays qui reçoivent des allocations nationales indicatives du DAR allant jusqu'à US $ 15 millions dans le domaine d'intervention du changement climatique ou de la biodiversité peuvent obtenir la plafond de US $ 300 000 du budget de base du PMF chaque année, un financement de contrepartie étant attendu de leur allocation du DAR. Le plafond du montant pouvant être versé à même le financement de base du PMF évite que

des ressources des PMA/PEID et de pays d'un autre groupe d'allocation ne soient transférées à ceux qui ont une allocation indicative distincte du DAR. Toutefois, en raison du plafond général fixé à US $ 600 000 et du critère de contrepartie exacte, les pays qui ont une allocation indicative du DAR allant jusqu'à US $ 15 millions dans le domaine d'intervention du changement climatique ou de la biodiversité n'ont pas la possibilité d'affecter au PMF une plus grande proportion de leur allocation indicative du DAR.

Conclusion 12 : L'augmentation des dotations du FEM au PMF pendant la phase opérationnelle 3 lui a permis d'être plus efficace par rapport à son coût que pendant les phases 1 et 2.

Pendant la phase opérationnelle 3, les investissements du FEM dans le PMF ont considérablement augmenté par rapport aux phases antérieures. Au cours de la phase 2, le FEM a investi environ US $ 26 millions par année et environ US $ 430 000 par pays participant (tous les chiffres sont rajustés en fonction de l'inflation et incluent les frais des projets versés au PNUD). Pendant la phase opérationnelle 3, les investissements du FEM ont beaucoup augmenté et sont passés à environ US $ 49 millions par année et à environ US $ 500 000 par pays participant. Au cours de la phase 4, même si le total des investissements annuels affectés ait augmenté à environ US $ 57 millions, les investissements par pays participant diminueront àd' environ US $ 430 000.

Le PMF a réussi à réduire le coût de gestion de 37 pour cent pendant la phase opérationnelle 2 à 31 pour cent au cours de la phase 3, tout en respectant le désir du Conseil du FEM de faire augmenter des services de programme tels que le suivi et l'évaluation et le partage des connaissances. Le PMF a pu réaliser ces améliorations parce que, de la phase opérationnelle 2 à la phase 3, les investissements du FEM dans le PMF se sont accrus beaucoup, tant en chiffres absolus que par pays participant. L'augmentation des investissements annuels totaux a permis à l'ECGP d'avoir un niveau d'efficacité plus grand par rapport à son coût. De même, grâce à l'accroissement des investissements par pays participant, les programmes nationaux ont pu afficher un niveau plus efficace par rapport à leur coût. Les gains ainsi réalisés se reflètent dans la réduction de la proportion du coût de gestion nécessaire pendant la phase opérationnelle 3.

Le Conseil s'attend à ce que le PMF réduise davantage le coût de gestion au cours de la phase 5. Toutefois, parce que les investissements du FEM par pays participant diminueront, le niveau de fonctionnement des programmes nationaux du PMF sera moins efficace par rapport au coût. Ainsi, pour réduire le coût de gestion, il faudra faire des compromis. Le document intitulé « Le Programme de microfinancements : Phase opérationnelle Quatre » (FEM 4) contient la liste des mesures que le PMF prendra pour réduire le coût de gestion (paragraphe 175). Selon la rétroaction des coordonnateurs nationaux, il semble que seules quelques-unes des mesures prévues—éliminer les ateliers internationaux et renégocier la location des bureaux dans les pays—feront diminuer le coût de gestion sans avoir d'incidence sur la performance générale des programmes. L'efficacité des autres mesures, notamment la réduction des allocations pour le partage des connaissances, le suivi et l'évaluation, la construction des capacités des équipes nationales, l'assistance technique et l'audit des programmes nationaux, entraînera probablement une réduction de la performance des programmes.

Conclusion 13 : Le modèle actuel de gestion du PMF a atteint ses limites et ne convient pas à une nouvelle phase de croissance.

À l'exception de certaines modifications relativement mineures, la structure de gestion générale

du PMF reste plus ou moins le même depuis sa phase pilote. Au cours de cette période, les demandes imposées au PMF se sont accrues, les besoins des programmes nationaux se sont différenciés et l'élargissement du programme a compliqué la consultation avec les programmes nationaux du PMF.

Les services de programme que le Conseil du FEM a demandés au PMF se sont accrus, notamment la création de liens avec des projets plus grands du FEM, l'élargissement du programme de manière à inclure de nouveaux domaines d'intervention, l'augmentation des ressources mobilisées grâce au cofinancement et l'amélioration du suivi, de l'évaluation et du partage des connaissances. En même temps, le Conseil a demandé la réduction du coût de gestion. Le nombre de pays où le PMF se réalise a augmenté de 50 en 1995 à 101 en 2006. La combinaison de pays où le PMF opére maintenant comprend une plus grande proportion de pays présentant des défis opérationnels. En outre, dans un nombre considérable de pays du portefeuille, le programme est arrivé à maturité et ces pays nécessitent peu de soutien et de directives de la part de l'ECGP. Le modèle actuel de gestion ne permet pas de répondre aux besoins particuliers de ces programmes nationaux. La demande du Secrétariat du FEM d'élargir rapidement le programme à 23 autres pays, qui a accru la charge de travail du personnel du Bureau des Nations Unies pour les services d'appui aux projets (UNOPS), fera passer le nombre de programmes nationaux à 124. Par le passé, lorsque le nombre de programmes nationaux était moins grand, il était possible de discuter d'approches éventuelles avec eux et d'élaborer des mesures adaptées pour répondre aux demandes du Conseil. Or, le nombre même de pays où le PMF est en activité complique d'autant plus les communications et la consultation pendant l'élaboration de lignes directrices et de systèmes. Cette situation a entraîné une tendance à la centralisation décisionnelle et à la réduction de la communication bidirectionnelle.

Des tensions latentes et manifestes dans la relation entre le PMF et d'autres organisations influent aussi sur son fonctionnement. Sa relation avec les programmes nationaux du PNUD s'est, en général, améliorée depuis que les représentants des résidents comprennent mieux le mandat du PMF, soit produire des avantages pour l'environnement mondial. Au niveau des programmes nationaux, la relation du PMF avec des organisations telles que la Banque mondiale et le Programme des Nations Unies pour l'environnement (PNUE) s'est améliorée, ce qui a accru la collaboration entre le PMF et d'autres organisations au niveau des programmes nationaux et/ou au niveau local. A l'échelle mondiale, les rapports entre le PMF et d'autres organisations du FEM sont distants et, parfois, compétitifs.

1.3 Recommandations

Recommandation 1 : Le niveau du coût de gestion doit être établi en fonction des services dispensés et de l'efficacité par rapport aux coûts plutôt que sur un pourcentage fixé.

Selon l'évaluation du coût de gestion du PMF, un facteur important a aidé le programme à réduire ses coûts pendant la phase opérationnelle 3 : les investissements du FEM dans le programme ont considérablement augmenté en chiffres absolus et par le nombre de pays participants, ce qui a permis au PMF d'être plus efficace par rapport à son coût. Par conséquent, le PMF a pu réduire son coût de gestion sans diminuer des services de programme tels que le suivi et l'évaluation, le partage des connaissances, la supervision et l'assistance technique. Le Conseil du FEM s'attend à ce que, pendant la phase opérationnelle 4, le PMF puisse réduire encore plus son coût de gestion. Or, bien que les ressources du FEM qui sont allouées cha-

que années pour la phase 4 soient plus grandes, l'allocation annuelle par pays participant a diminué, ce qui implique que le PMF devra réduire davantage son coût de gestion, même si les investissements du FEM sont moins efficaces par rapport à leur coût. Certains services de programme offerts par le PMF devront être restreints, ce qui mettra en péril la concrétisation des avantages mondiaux pour l'environnement. L'analyse du plan proposé de réduction du coût de gestion démontre que de nombreuses activités restreintes sont essentielles au bon fonctionnement du PMF. Pour que l'efficacité générale du PMF ne souffre pas pendant la phase opérationnelle 4 en raison de la diminution des ressources par pays participant, il faut rajuster le coût de gestion que le Conseil du FEM attend du PMF.

Jusqu'à maintenant, le coût de gestion du PMF auquel le Conseil s'attend repose sur des chiffres arbitraires : 25 pour cent par le passé et 24 pour cent aujourd'hui. Même si le coût de gestion déclaré tend à tourner autour de la proportion prescrite, sa méthode de calcul n'est ni uniforme ni transparente, ce qui complique les choses pour le Conseil lorsqu'il donne des directives. Par exemple, pendant la phase opérationnelle 2, le cofinancement était inclus dans le calcul du pourcentage du coût de gestion, pratique qui a été abandonnée au cours de la phase 3. Pendant ces deux phases opérationnelles, les subventions de projet s'appliquaient à certaines questions liées au coût de gestion des programmes nationaux. Cette pratique doit prendre fin parce qu'elle empêche diverses parties prenantes de connaître la proportion des investissements du FEM qui est versée aux détenteurs d'une subvention du PMF pour des questions liées à l'environnement mondial. Le véritable coût de gestion afférent à la mise en œuvre du PMF doit être pris en compte et le coût de gestion prévu doit être rajusté en conséquence. Par ailleurs, les activités au niveau national qui produisent des avantages mondiaux—par exemple, au moyen de produits de partage des connaissances—devraient également être reconnues comme telles et être finançables sans être classées comme des frais administratifs.

Recommandation 2 : On doit commencer un processus de modifier le système de gestion centrale du PMF pour l'adapter à la nouvelle phase de croissance et tenir compte des risques liés à une complexité croissante.

À mesure que le PMF s'achemine vers sa prochaine phase de croissance et devient de plus en plus complexe, son système général de gestion doit être repensé. A cette fin, le PMF a subi des changements importants, comme la création d'équipes régionales de l'ECGP et de l'UNOPS, la détermination de nœuds régionaux pour aider à élaborer le programme et la nomination de coordonnateurs sous-régionaux des PEID. Mais le système est déjà surchargé. Le rythme de croissance prévue et les défis que pose l'entrée d'un plus grand nombre de PMA et de PEID dans le programme vont certainement submerger la structure de gestion actuelle et il sera difficile de maintenir le niveau actuel d'efficacité du programme, à moins que les membres du personnel du siège social ne soient beaucoup plus nombreux. Cette expansion pourrait mener à une hausse importante du coût de gestion.

Une autre possibilité à envisager consiste à déléguer à l'échelle régionale certaines des fonctions qui sont actuellement exécutées au niveau de l'ECGP et à préconiser des liens plus étroits avec les équipes techniques régionales des domaines d'intervention du PNUD qui s'occupent des projets financés par le FEM. Bien que cette possibilité puisse, elle aussi, faire augmenter le coût de gestion, elle répondra mieux aux besoins en matière d'assistance technique des programmes nationaux. Il faudrait veiller à ce que les programmes

nationaux aient leur mot à dire dans le processus décisionnel du PMF.

La nouvelle répartition des rôles devrait être clairement définie pour éviter les dédoublements, favoriser la prise de décisions efficaces, et apporter un soutien aux programmes nationaux. Il faudrait tenir compte des questions particulières que voici pendant l'examen du nouveau système de gestion possible :

- Déterminer comment répondre aux besoins à court terme, étant donné le grand nombre de nouveaux programmes nationaux qui sont créés, tout en continuant d'apporter un soutien à ceux qui sont encore en développement.
- Déléguer certaines fonctions à l'échelle régionale pour combler des besoins précis des PEID et des PMA et pour mieux tirer parti des équipes techniques régionales du PNUD, après avoir évalué les répercussions de l'efficacité de la mesure par rapport à son coût.
- Intégrer des leaders d'opinion parmi les coordonnateurs nationaux en poste ou qui viennent de prendre leur retraite au Comité directeur général du PMF afin que le point de vue des programmes nationaux soit pris en compte dans les décisions.
- Repenser et redéfinir les relations entre l'équipe de gestion de base et le Secrétariat du FEM, le PNUD et l'UNOPS, ainsi que les autres organisations du FEM.
- Veiller à ce que les postes de l'ECGP soient bien dotés. Il faudrait abolir la pratique actuelle qui consiste à ne pas combler des postes afin d'atteindre les objectifs de réduction du coût de gestion et le nouveau système devrait intégrer une évaluation réaliste des services et des fonctions que l'ECGP doit assurer.
- Établir des directives à l'intention des PME et des PGE sur le renforcement des liens avec les programmes nationaux du PMF.

Recommandation 3 : On doit renforcer le réglementation des programmes nationaux.

Il faudrait prêter plus d'attention à la définition des procédures régissant les conflits d'intérêts appliquées par les programmes nationaux et à la surveillance de l'exécution de ces procédures. Le système devrait être renforcé pour permettre la surveillance suffisant des conflits d'intérêts ou d'autres observations liées à la gouvernance qui sont faites pendant des audits. Il faudrait établir un calendrier pour veiller à ce que l'audit de tous les programmes nationaux soit fait au moins une fois pendant chaque phase opérationnelle et que les fonds destinés aux audits soient affectés pendant chacune de ces phases. Conformément aux politiques sur la divulgation du FEM, les audits devraient être publiques. Des procédures indépendantes de règlement des griefs devraient être établies et publiées. Le médiateur du bureau national du PNUD (si existe) et celui du FEM devraient être prêts à recevoir les plaintes de manière à y réagir ou à les réorienter vers les bons canaux.

Recommandation 4 : Le suivi et l'évaluation doivent être renforcées.

Selon l'évaluation, de nombreuses pratiques de suivi et de l'évaluation sont mises en œuvre par les divers programmes nationaux du PMF, ce qui démontre qu'il est possible de faire le suivi l' évaluation des petits projets de manière efficace. Bien que, dans l'ensemble, les projets soient bien supervisés et qu'un suivi des résultats attendus soit fait, il y a lieu d'apporter des améliorations dans certains domaines. Par exemple, la tenue de livres sur les visites de projets a tendance à être insuffisante. Souvent, des indicateurs pertinents suffisants ne sont pas précisés et, lorsqu'ils le sont, ils ne sont pas constatés comme il se doit. Le contrôle de la qualité de l'information dans la base de données du PMF est un autre domaine qui nécessite des améliorations. L'information dans la base de données

comporte de nombreuses erreurs et est téléchargée avec un retard considérable. Le PMF doit également apprécier la performance des programmes nationaux séparément de celle des coordonnateurs nationaux parce que, bien que ces questions soient reliées, elles ne sont pas interchangeables.

Recommandation 5 : Les critères en vigueur pour l'accès aux ressources du PMF doivent être révisés pour que celui-ci reste efficace par rapport à son coût.

La décision du Comité directeur du PMF de limiter à US $ 600 000 le montant annuel moyen auquel un pays participant a accès pendant le FEM-4 permettra très probablement de répartir plus équitablement les fonds du FEM. Toutefois, il se pourrait aussi que cette situation ait une incidence négative sur l'efficacité du portefeuille de programmes nationaux du PMF par rapport au coût parce que ce plafond empêchera le PMF d'avoir un fonctionnement efficient. Si le plafond actuel augmente, il y a des chances que des gains d'efficience soient réalisés. Néanmoins, sans une hausse du budget mondial versé au PMF, les gains d'efficience élevés qui permettraient au programme de combler les attentes du Conseil du FEM à l'égard du coût de gestion ne se concrétiseront peut-être pas. Les possibilités d'accroître l'efficacité par rapport au coût en réduisant les activités de gestion, sans influer sur l'efficacité du programme, sont limitées. On pourrait augmenter le budget mondial du PMF en mobilisant d'autres ressources provenant de sources autres que le FEM et/ou en accroissant les allocations du FEM destinées au PMF.

Depuis toujours, le PMF mobilise presque un dollar pour chaque dollar d'investissement du FEM, au niveau général et/ou à celui des programmes nationaux et au niveau des subventions de projet. Le cofinancement mobilisé au niveau général/des programmes nationaux est plus pertinent dans le contexte de l'efficacité par rapport au coût puisqu'il permet au bureau général et aux programmes nationaux d'être plus efficaces par rapport à leur coût, tandis que les ressources mobilisées au niveau des subventions de projet se répercutent principalement sur le coût de gestion des organisations subventionnées. Pour le moment, seulement 10 pour cent du cofinancement total du PMF (environ de US $ 6 à US $ 7 millions par année) sont mobilisés au niveau général/des programmes nationaux. Pour réaliser des gains d'efficience importants, ce cofinancement devrait passer à environ US $ 15 à US $ 20 millions. Le PMF aura besoin d'aide pour atteindre ces niveaux, ce qui n'est peut-être pas réaliste pour les PEID et les PMA.

Une façon de régler le problème consiste à permettre aux pays de recevoir un financement plus élevé à même les allocations du DAR. Actuellement, les pays qui ont des allocations nationales indicatives du DAR de plus de US $ 15 millions dans le domaine d'intervention du changement climatique ou de la biodiversité ont le droit d'accéder aux ressources du PMF uniquement au moyen du DAR et ce, jusqu'à concurrence de US $ 600 000 par année. Pour les pays participants dont les allocations indicatives du DAR vont jusqu'à US $ 15 millions, les contributions du PMF de base doivent correspondre aux ressources du DAR, le plafond étant fixé à US $ 300 000. Si ces limites augmentent et que le critère de la correspondance exacte est aboli, les pays auront la possibilité d'affecter au PMF une plus grande proportion de leur allocation indicative du DAR.

Recommandation 6 : La politique de reclassement des bénéficiaires des programmes nationaux du PMF doit être révisée en vue du FEM-5 pour tenir compte des risques pesant sur les réalisations du FEM et sur leur efficacité par rapport à leur coût, en particulier dans les

petits états insulaires en développement et les pays les moins avancés.

La politique de reclassement automatique des bénéficiaires des programmes nationaux du PMF est en constante évolution et les recommandations présentées ici, de même que l'analyse sur laquelle elles reposent, est le reflet des lignes directrices de décembre 2006, qui constituent le seul énoncé officiel formulé jusqu'à maintenant sur le reclassement automatique des bénéficiaires des programmes nationaux du PMF. Ces lignes directrices stipulent que les programmes nationaux du PMF qui ont profité du financement du PMF du FEM pendant plus de huit ans (en 2007) doivent abandonner le financement total du FEM (ressources de base et du DAR) d'ici juillet 2010.

L'argument en faveur du reclassement automatique à partir du financement de base du PMF est convaincant. Étant donné le budget mondial du programme et les dépenses optimales par programme national, le reclassement automatique des bénéficiaires est une façon censée de veiller à ce que le programme rejoigne de nouveaux pays et que son succès soit repris ailleurs. Cependant, il est probable qu'avec le reclassement automatique des bénéficiaires, les structures de programmes nationaux soient démantelées ou que les travaux portent sur des questions prioritaires pour leurs nouveaux bailleurs de fonds. Cette situation risque de se répercuter sur le maintien des mêmes avantages mondiaux pour l'environnement pour le même prix dans ces pays, étant donné que les programmes nationaux du PMF obtiennent constamment de meilleures notes pour leurs réalisations et la viabilité que d'autres modalités du FEM et que la concrétisation de ces réalisations est efficace par rapport à son coût.

La présente recommandation propose d'envisager une manière de permettre aux pays de continuer de financer de petites subventions du FEM sur leur territoire après le reclassement automatique des bénéficiaires du PMF. Une approche possible consisterait à convertir la modalité d'un programme national du PMF en une « franchise » indépendante qui pourrait poursuivre le succès national du PMF mais non sous la direction de l'ECGP et sans recevoir de financement de base du PMF. Le financement d'un tel programme de franchises devrait être autorisé à même les allocations du DAR, après le reclassement automatique des bénéficiaires du programme de base du PMF. Il faudrait élaborer un mécanisme de calcul des plafonds de ces allocations et une manière d'aborder le financement à partir des allocations de groupe. Ce calcul devrait reposer sur les dépenses optimales, en tenant compte de l'avantage comparatif du PMF à l'atteinte des buts des domaines d'intervention. Il faudrait prendre des mesures spéciales pour vérifier que ces programmes nationaux indépendants continuent de partager leurs connaissances et leur expérience avec le PMF et la communauté plus large du FEM. En outre, il faudrait instaurer un système de reconstitution du financement des programmes nationaux fondé sur la performance et qui ne nuirait pas aux opérations en cours.

Il faut régler les détails d'un programme de petites subventions versées à des franchises pour que cette mesure soit une solution de remplacement valable de l'actuelle politique de reclassement automatique des bénéficiaires. Voici quelles sont les principales questions auxquelles il faut répondre :

- Comment ces programmes cadreront-ils dans les stratégies des domaines d'intervention dans les pays visés?
- Quels mécanismes seront instaurés pour garantir l'indépendance à l'égard de l'établissement de programmes et de subventions des nouvelles franchises?
- Le PNUD serait-t-il l'agent d'exécution de ces programmes de franchises?

- Qui nommerait le coordonnateur national et les membres du CDN?
- Qui assurerait la surveillance des questions juridiques et financières?
- Ces programmes suivront-ils les mêmes procédures que les PME et les PGE, ou une procédure plus facile sera-t-elle instaurée?

Les meilleures pratiques actuelles dans le PMF au niveau des pays pourraient être converties en un cadre de franchise adapté à la situation locale mais contenant les caractéristiques minimales à appliquer pour pouvoir devenir une « modalité du PMF ». En étant adoptée comme modalité nationale, la franchise pourrait être chargée de mettre en pratique les composantes des PME et des PGE du PMF, qui sont souvent sousperformants aujourd'hui.

Les programmes de franchises devraient développer des cadres de résultats pour les relier aux stratégies des domaines d'intervention et rendre compte de leur contribution aux buts de ces stratégies. Selon les preuves recueillies pendant l'évaluation, les cadres de résultats de plusieurs vieux programmes nationaux, comme ceux du Vietnam et du Mexique, correspondent déjà aux stratégies des domaines d'intervention.

Pour les PEID et les PMA, il est impératif d'avoir un investissement plus à long terme du FEM au moyen du PMF. Les PEID participants ont une capacité d'absorption limitée et, dans la plupart des cas, de petites subventions constituent une mesure indiquée qui permet au FEM de faire des interventions afin de créer des avantages mondiaux pour l'environnement. Bien qu'en général, les PMA aient un grand besoin pour l'aide, les capacités de leurs institutions nationales et locales représentent souvent une contrainte. Le PMF contribue à développer et à supplementer les capacités institutionnelles et permet ainsi aux PMA de réaliser des PGE et des PME de manière plus efficace. Il y a lieu d'espérer que la présente analyse et la présente recommandation se fraieront un chemin dans l'élaboration continue de la politique de reclassement automatique des bénéficiaires du PMF.

Notes

1. Les « vieux » programmes sont ceux qui ont débuté avant 1999.
2. L'étude a été commandée par l'Unité de coordination du FEM/PMF du PNUD.
3. L'exercice du FEM va du 1er juillet au 30 juin.

Prólogo

En junio de 2006, el Consejo del Fondo para el Medio Ambiente Mundial (FMAM) solicitó que la Oficina de Evaluación del FMAM emprendiera una evaluación independiente del Programa de Pequeñas Donaciones (PPD). La Oficina de Evaluación del FMAM invitó a la Oficina de Evaluación del Programa de las Naciones Unidas para el Desarrollo (PNUD) a participar en dicha evaluación, dado que el PNUD implementa el PPD y está estrechamente vinculado al mismo. Se consideró que la perspectiva adicional de la Oficina de Evaluación del PNUD enriquecería la evaluación al proporcionar un profundo entendimiento del sistema del PNUD.

El propósito de la Evaluación Conjunta del PPD fue evaluar la relevancia, eficacia, eficiencia, sostenibilidad y eficacia del PPD en función de los costos, en relación con el mandato global del FMAM. Además, se evaluaron los resultados del PPD, los factores que afectan tales resultados y los sistemas de vigilancia y evaluación del programa. También examinó la evolución del PPD, los cambios que ha sufrido el programa y los factores determinantes de dichos cambios. Como parte de la evaluación, se prepararon estudios de caso en los países. Aunque cada uno de los estudios fue único y particular para ese país específico, los mismos se desarrollaron dentro de un marco analítico común que permitió la comparación y, cuando fue posible, la agrupación de datos.

A pedido del Consejo, se llevó a cabo una evaluación ex ante de la política de graduación del PPD (como lo comunicara el Presidente del FMAM a los puntos focales nacionales el 15 de diciembre de 2006). La evaluación estimó también los niveles de gastos en los cuales los programas nacionales podrían lograr una mayor eficacia basada en los costos.

La evaluación conjunta se llevó a cabo desde noviembre de 2006 a septiembre de 2007. La misma incluyó 20 estudios de casos, una revisión de una muestra aleatoria de 229 donaciones, el examen de una cartera y revisiones especializadas sobre varios temas. Contribuyeron a la iniciativa más de 25 especialistas en evaluación, incluyendo consultores y personal de las Oficinas de Evaluación del FNAM y del PNUD. La naturaleza conjunta de la evaluación fortaleció el proceso y planteó tanto desafíos como oportunidades.

En general, la evaluación reveló que el PPD es una manera eficaz en función de los costos para que el FMAM genere beneficios para el medio ambiente mundial, abordando a la vez las prioridades de los países y respondiendo a las necesidades de las poblaciones locales. La evaluación mostró también que el modelo actual de gestión ha alcanzado sus límites y no es adecuado para una nueva fase de crecimiento, y que es necesario fortalecer la gobernabilidad del PPD y los procesos de auditorías.

El informe de evaluación conjunta fue tratado por el Consejo del FMAM en su reunión de noviembre de 2007. El Consejo decidió que el PPD debería abordar las conclusiones de la evaluación de la siguiente manera:

- proponiendo un nivel de costos de administración sobre la base de los servicios prestados y la eficacia en función de los costos, y no a partir de un porcentaje arbitrario;
- comenzando un proceso que cambie el sistema de gestión central del PPD, de modo que éste sea adecuado para la nueva fase de crecimiento y aborde los riesgos del aumento de la complejidad;
- reforzando la supervisión de los programas en los países;
- fortaleciendo más aún el seguimiento y la evaluación;
- proponiendo una revisión de los criterios actuales de acceso a los recursos del PPD para mantener la eficacia en función de los costos;
- desarrollando más aún una política de graduación para los programas nacionales del PPD, que tenga en cuenta los riesgos identificados para los logros y la eficacia en función de los costos del FMAM, especialmente en los pequeños estados insulares en desarrollo y en los países menos avanzados.

La Oficina de Evaluación del PNUD planea compartir este informe con la Junta Directiva del PNUD en junio de 2008.

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Otros miembros del equipo que revisaron estudios de casos y realizaron aportes adicionales al informe son Nadia Ahlsten, Inés Angulo, Claudio R. Volonté, Soledad Mackinnon, Jyotsna Puri, Lee Risby, David Todd y Siv Tokle. Los siguientes consultores colaboraron en la preparación de los estudios de casos en los países: Nurit Bodemann Ostow, Eliyah Yaw Danso, Tarek Genena, Mahe Nau Hader, Alejandro Imbach, Elizabeth K. Lang, Violet Matiru, Patricia B. Mendoza, Ivo Morawski, Hugo Navajas, Carl Robichaud, Aysin Tektas y consultores de NORDECO.

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1. Antecedentes, Conclusiones y Recomendaciones

1.1 Antecedentes

El Fondo para el Medio Ambiente Mundial (FMAM) creó el Programa de Pequeñas Donaciones (PPD) en 1992 para desarrollar estrategias a nivel comunitario e implementar tecnologías a fin de reducir las amenazas al medio ambiente mundial, recopilar y comunicar lecciones de las experiencias a nivel comunitario, crear asociaciones y redes con organizaciones basadas en la comunidad (OBC) y con organizaciones no gubernamentales (ONG), y asegurar que las comunidades y otros participantes interesados clave comprendan y apliquen las estrategias y los proyectos de desarrollo sostenible y conservación que protegen el medio ambiente mundial.

El PPD ha pasado por cuatro reposiciones en tres fases operativas (FO). La **fase piloto** (1992–1996) demostró la viabilidad del enfoque. El **período de consolidación** (1997–2002) mostró una expansión relativamente pequeña, pero confirmó la función del PPD como programa corporativo del FMAM. El **período de expansión** (2003–2007) ha visto un aumento en la financiación y en el número de países participantes. Actualmente, el PPD está atravesando la transición hacia un cuarto período. Este nuevo período está determinado principalmente por la ejecución del **Marco de Asignación de Recursos** (MAR) del FMAM; una expansión rápida del programa a nuevos países, sobre todo a pequeños estados insulares en desarrollo (PEID) y a países menos adelantados (PMA); y discusiones continuas en cuanto a la graduación de los programas nacionales de mayor antigüedad. Se ha formado un comité directivo compuesto por varios organismos, a través del cual la Secretaría del FMAM y otros Organismos están cada vez más involucrados en la toma de decisiones relacionadas con el PPD.

Para proyectos regulares, el monto máximo de donación es de $50.000[1], pero la mayoría de las donaciones del PPD por lo general se encuentran entre los $20.000 y $35.000. Desde el inicio del programa, gran parte de las donaciones para los proyectos ha sido en el área focal de la biodiversidad. Sin embargo, esta proporción ha venido disminuyendo constantemente — durante la fase piloto fue del 65% y durante la tercera fase operativa (FO3) fue del 47%. La porción de proyectos relacionados con el cambio climático ha permanecido estable en un valor aproximado del 16%; la degradación de la tierra, que se incluyó como nueva área focal durante la FO3, da cuenta del 17% de las donaciones del PPD.

Hubo tres evaluaciones de los programas del PPD, que se realizaron en 1995, 1998 y 2002. Estas evaluaciones fueron destinadas principalmente a mejorar las operaciones y el diseño del PPD y a extraer lecciones. El Consejo del FMAM también se ha basado en ellas para tomar decisiones en cuanto a la expansión de programas y a la

necesidad de reposiciones. No obstante, las mismas no fueron completamente independientes y no pudieron evaluar cuáles fueron los beneficios que se lograron en el medio ambiente mundial, si el programa fue rentable o si hubo interrelación entre el PPD y otros proyectos del FMAM.

En su reunión de junio de 2006, el Consejo solicitó que la Oficina de Evaluación del FMAM emprendiera una evaluación independiente del Programa de Pequeñas Donaciones, para lo cual el Consejo acordó poner a disposición la suma de $290.000. Además, de los fondos del PPD se transfirieron $110.000 para la evaluación, a cambio de lo cual el PPD no tendría que emprender una evaluación final cuando finalizara su fase de reposición actual. La Oficina de Evaluación del FMAM invitó a la Oficina de Evaluación del Programa de las Naciones Unidas para el Desarrollo (PNUD) a que participara en la evaluación. El documento de enfoque para el estudio, que se publicó en el sitio Web de la Oficina de Evaluación del FMAM en febrero de 2007, se desarrolló conjuntamente. Los estudios de campo para la evaluación se llevaron a cabo de marzo a junio de 2007. El primer borrador del informe de evaluación se compartió con el PPD el 18 de septiembre de 2007, a fin de revisarlo para asegurar que no tenía errores de contenido ni de análisis.

El objetivo principal de la evaluación fue analizar la importancia de los resultados del PPD para el FMAM y para las prioridades ambientales y de los países. Además, se debía evaluar la eficacia del PPD para generar beneficios para el medio ambiente mundial, así como su eficiencia para comprometer la participación de agrupaciones comunitarias y ONG, y los factores clave que afectan los resultados del PPD y sus sistemas de seguimiento y evaluación.

Esta evaluación fue realizada conjuntamente por las Oficinas de Evaluación del FMAM y del PNUD, y hubo 25 evaluadores involucrados en los diversos niveles. La evaluación recopiló datos tanto cualitativos como cuantitativos para hacer inferencias sobre el PPD y se basó en los siguientes componentes:

- Se llevó a cabo una **revisión de la literatura**, examinando los documentos del Consejo del FMAM y una amplia variedad de documentos del PPD, así como literatura existente relevante.
- Se elaboraron **estudios de casos sobre los programas en 22 países**, 12 de los cuales fueron estudios de campo intensivos y otros 10 fueron analizados principalmente mediante exámenes documentales.
- Se realizó el **estudio de una muestra de proyectos**, en la que se evaluaron 180 donaciones para proyectos en términos de los resultados de los mismos, incluso los efectos de los proyectos, sus riesgos, el aprendizaje y la interacción con las partes interesadas; 191 fueron evaluados por cuestiones relacionadas con el seguimiento y la evaluación y 187 para determinar los grupos demográficos a los que se dirigen las donaciones. Los evaluadores verificaron en el campo el desempeño de 107 donaciones. Los datos recopilados proporcionan una reflexión justa de toda la cartera de proyectos.
- Se realizaron **entrevistas** con una amplia variedad de partes interesadas.
- Se ejecutó una **encuesta en línea**, destinada a los coordinadores nacionales de los programas en los países en el marco del PPD. Fueron 72 los coordinadores nacionales que participaron en la encuesta.

1.2 Conclusiones

Conclusión 1: Los resultados del PPD son ligeramente superiores a los de los proyectos

de tamaño mediano y los proyectos de gran escala del FMAM en lo que respecta a generar beneficios para el medio ambiente mundial, y considerablemente superiores en lo referente a la sostenibilidad de dichos beneficios.

Las conclusiones de la evaluación sugieren una alta reputación del PPD. En lo que respecta a los resultados generales, el 93% de las donaciones para proyectos correspondientes a la FO3 fueron calificadas como satisfactorias (moderadamente satisfactorias y superiores). En comparación, el 82% de las donaciones de la fase piloto y de la primera fase operativa (FO1), y el 91% de la segunda fase operativa (FO2), fueron calificadas como satisfactorias. Si se consideran los proyectos de todas las fases juntas, el 90% de las donaciones para proyectos del PPD que se examinaron fueron calificadas como satisfactorias (ver tabla 1.1).

Tabla 1.1

Calificación de las donaciones para los proyectos analizados en lo que respecta a los resultados generales

Calificación	% de proyectos
Altamente satisfactoria	24
Satisfactoria	43
Moderadamente satisfactoria	23
Dentro del rango satisfactorio	**90**
Moderadamente insatisfactoria	6
Insatisfactoria	3
Altamente insatisfactoria	0
Dentro del rango insatisfactorio	**10**

Nota: Proyectos examinados = 180; proyectos calificados = 167, proyectos que no se pudieron evaluar = 13.

La calificación en lo que respecta a la sostenibilidad de los resultados ofrece una indicación de la probabilidad de que los beneficios de la donación continúen por mucho tiempo luego de cerrarla. La evaluación encontró que la sostenibilidad de los resultados de aproximadamente el 80% de las donaciones se encontró en el rango de bajo riesgo, mientras que el resultado correspondiente al 20% restante afrontó significativos niveles de riesgo (ver tabla 1.2). El perfil de riesgo de las donaciones en todas las fases del PPD ha permanecido estable. Por lo tanto, es probable que los beneficios de la mayoría de los proyectos terminados continúen en el futuro.

Tabla 1.2

Riesgos de la sostenibilidad de los resultados

Categoría de riesgo	% de proyectos
Ningún riesgo o muy poco	41
Riesgo moderado	39
Bajo riesgo	**80**
Riesgo significativo	18
Alto riesgo	2
Alto riesgo	**20**

Nota: Proyectos examinados = 180; proyectos calificados = 159, proyectos que no se pudieron evaluar = 21.

Cuando se comparan con los proyectos a gran escala (PGE) y de tamaño mediano (PTM) del FMAM ya terminados, que se califican aplicando criterios similares a los de la Oficina de Evaluación del FMAM, una proporción ligeramente mayor de proyectos del PPD recibe una calificación en el rango satisfactorio en función de los resultados del proyecto y una proporción considerablemente mayor en función de la sostenibilidad.

Conclusión 2: En los países receptores, el PPD ha contribuido a llevar a cabo numerosas reformas institucionales y cambios en las políticas que abordan problemas ambientales de alcance mundial.

La reproducción, el aumento y la incorporación de actividades comunitarias locales en la formulación de políticas se ha enfatizado desde el principio de la FO1. La evaluación encontró que en los 22 programas nacionales analizados, el PPD ha contribuido a la formulación y/o aplicación de políticas.

Lo hace mediante el establecimiento de relaciones con organizaciones de la sociedad civil; gobiernos locales, provinciales y nacionales; instituciones académicas; otras organizaciones internacionales y el sector privado. Los programas nacionales procuran influir las políticas y las instituciones a través de la concientización de la población, el intercambio de conocimientos y el desarrollo o fortalecimiento de la capacidad institucional. En los 22 programas nacionales analizados, el PPD estaba contribuyendo a los cambios institucionales y de políticas del siguiente modo:

- Todos los programas de país analizados contribuyeron con los **instrumentos de políticas locales**, tales como las ordenanzas ambientales municipales.
- Trece programas de país contribuyeron a la **formulación de políticas nacionales**.
- Cinco programas de país contribuyeron al **acceso de mercados más amplios**.
- Un programa contribuyó como **incubador** de varias iniciativas que posteriormente se adoptaron extensamente en el país.

Conclusión 3: El PPD ha contribuido a generar beneficios para el medio ambiente mundial en forma directa al mismo tiempo que se abordan las necesidades de subsistencia de las poblaciones locales.

Los datos disponibles de los casos de los países y de la muestra de donaciones verificadas en el campo indican que los beneficios y/o las contribuciones ambientales del PPD y/o su aporte a procesos que probablemente generen beneficios de esa naturaleza, son considerables. Sin embargo, la evaluación también encontró que de los 22 programas de país analizados, 3 podrían haber generado mayores beneficios a nivel mundial si se hubieran concentrado en áreas de conservación de la biodiversidad de alcance global . A excepción de las sustancias que agotan la capa de ozono, el PPD actuó en todas las áreas focales del FMAM.

- **Conservación de la biodiversidad.** Los 22 programas nacionales analizados por la evaluación desarrollan actividades en el campo de la biodiversidad. Los programas de país contribuyen a la conservación de especies en peligro y a la reducción de amenazas para los ecosistemas en peligro y las áreas protegidas. Las actividades de conservación que realiza el PPD normalmente cuentan con la participación de grupos comunitarios y producen beneficios directos para las poblaciones locales.
- **Mitigación del cambio climático.** Diecisiete de los 22 programas nacionales del PPD analizados están contribuyendo a reducir las emisiones de gases de efecto invernadero mediante la introducción de fuentes de energía renovables y alternativas eficaces en el uso de la energía como por ejemplo paneles solares, calentadores solares, pequeñas centrales hidroeléctricas y generadores a partir de biomasa.
- **Protección de aguas internacionales.** Ocho de los 22 programas nacionales contribuyen a la reducción de tensiones ambientales de aguas internacionales, a menudo en colaboración con proyectos del FMAM, de mayor escala, en esta área focal.
- **Prevención de la degradación de la tierra.** En 5 de los 22 programas nacionales analizados, el PPD está introduciendo prácticas ambientalmente sanas de manejo forestal, agrícola y de pasturas, que ayudan a conservar el suelo y mejorar la productividad. En algunos entornos de tierras incultivables, el PPD esta probando nuevos modos de proteger los ecosistemas en los oasis en colaboración con comunidades locales.

- **Eliminación de contaminantes orgánicos persistentes (COP).** En seis países, los proyectos del PPD contribuyen a la reducción de los COP a través de la introducción de productos sustitutos y promoviendo la adopción de prácticas más ecológicas en el manejo de pesticidas.

Los datos del análisis de los proyectos también confirman que los programas de país están generando beneficios sustanciales en el medio ambiente mundial. Un porcentaje muy alto de las donaciones analizadas fueron calificadas como satisfactorias en cuanto a la importancia del resultado (96%) y en lo referente a la eficacia del mismo (94%) (ver tabla 1.3). Por lo tanto, una gran mayoría de las donaciones en la cartera del PPD contribuyen directamente a beneficiar el medio ambiente mundial. En algunas donaciones, se encontró una solución de compromiso entre los beneficios locales y mundiales, con la donación concentrándose al principio en los beneficios locales a fin de crear las circunstancias bajo las cuales se podrían lograr beneficios mundiales, por ejemplo, a través del ecoturismo.

Tabla 1.3

Importancia y eficacia de los resultados
porcentaje de proyectos

Calificación	Importancia de los resultados	Eficacia de los resultados
Altamente satisfactorio	50	37
Satisfactorio	34	42
Moderadamente satisfactorio	11	15
Dentro del rango satisfactorio	**96**	**94**
Moderadamente insatisfactorio	3	4
Insatisfactorio	1	2
Altamente insatisfactorio	0	0
Dentro del rango insatisfactorio	**4**	**6**

Nota: Proyectos analizados en cuanto a la importancia = 180, proyectos calificados = 180, proyectos que no se pudieron evaluar = 0; proyectos analizados en función de la eficacia = 180, proyectos calificados = 167, proyectos que no se pudieron evaluar = 13.

Conclusión 4: El PPD ha realizado grandes avances en lo que respecta a la orientación de sus esfuerzos para ayudar a los pobres.

La evaluación encontró que, desde el inicio del PPD, el 60% de sus proyectos han estado orientados directa o indirectamente a los pobres o a los más pobres. En comparación a las fases iniciales (57% de los proyectos correspondientes a la fase piloto y FO1, y 55% de los proyectos correspondientes a la FO2), una mayor proporción de proyectos correspondientes a la FO3 (72%) estuvieron dirigidos directa o indirectamente a los pobres o a los más pobres.

Al menos el 15% de las donaciones del PPD correspondientes a la FO3 están dirigidas explícitamente a los pueblos indígenas. No obstante, la evaluación encontró que, en la mayoría de los casos, los pueblos indígenas se beneficiaban de las donaciones para los proyectos del PPD porque generalmente están ubicados en las áreas remotas ricas en biodiversidad que son el foco geográfico de los programas nacionales del PPD y no por que los programas estuvieran dirigidos explícitamente a ellos. El 26% de las donaciones del PPD están dirigidas a las mujeres. Aunque muchas otras donaciones no están dirigidas específicamente a las mujeres, éstas participan en la ejecución de dichos proyectos como miembros de la comunidad local. La evaluación encontró que aunque las mujeres son un grupo prioritario para el PPD en casi todos los países analizados, en algunos de ellos, el contexto sociocultural local puede inhibir su participación; en otros, su participación puede estar relegada a funciones que contribuyen poco a su autonomía. En general, el nivel actual del esfuerzo del PPD para acercarse a las poblaciones más pobres y marginales parecen apropiados.

Conclusión 5: El PPD, especialmente en los países que han estado en el programa por más

tiempo, promueve eficazmente el programa del FMAM.

La evaluación encontró que los 22 programas nacionales analizados fueron eficaces para acercarse a las organizaciones de la sociedad civil e influenciar las políticas ambientales a nivel local. Sin embargo, se observaron mayores ganancias cuando influenciaron las políticas nacionales. De los programas nacionales examinados, se determinó que en 13 (11 de los 15 programas antiguos y 2 de los 7 más nuevos[2]) el PPD ha ejercido gran influencia en las políticas nacionales. El PPD ha sido capaz de crear alianzas estratégicas con instituciones académicas, gobiernos, organismos internacionales y el sector privado. Además, ha sido eficaz para acercarse a todas las partes interesadas, creando conciencia y compartiendo los conocimientos.

La estructura descentralizada del PPD, un sistema de control que facilita la transparencia en la toma de decisiones, y su presencia continua en los países participantes han contribuido a la eficacia del PPD en la promoción del programa del FMAM.

Conclusión 6: En todos los países examinados se observaron distintos tipos de interacción entre el PPD y otros proyectos del FMAM.

La revisión de los 22 programas nacionales encontró casos de interacciones mutuamente solidarias entre el PPD y operaciones del FMAM de mayor escala en todos los países. Esto representa una mejora sobre la calificación del 53% (para 34 países) revelada en 1998 por un estudio que examinó los vínculos operacionales y/o consultivos entre los proyectos[3] del PPD y del FMAM. Las interacciones entre los proyectos del PPD y del FMAM varían en función de su formalidad operacional, pero la mayoría se puede clasificar de la siguiente manera:

- **El PPD respalda pequeños proyectos que tienen los mismos objetivos que los PTM y PGE.** Dieciocho de los 22 estudios de casos en los países encontraron que el PPD había proporcionado donaciones que directamente apoyaban los objetivos de los proyectos del FMAM de mayor escala.
- **El PPD respalda o contribuye con el diseño de los PGE y PTM.** Casi todos los programas de país examinados (21) identificaron al PPD como un actor significativo en la información del diseño de los PGE y PTM del FMAM.
- **El PPD ejecuta un componente de un proyecto del FMAM.** Se encontró que cinco programas de país implementaban donaciones con fondos provenientes de proyectos del FMAM de mayor escala.
- **El PPD genera resultados que posteriormente se aplican en mayor escala en proyectos PTM o PGE o se incorporan a ellos.** En cinco de los programas nacionales analizados, los proyectos grandes del FMAM se han beneficiado de las capacidades organizativas de los beneficiarios del PPD, y algunas pequeñas donaciones se han graduado para pasar a ser PTM.

La comunicación eficaz, la capacidad de crear redes y el intercambio de conocimientos parecen posibilitar vínculos productivos entre el PPD y otros proyectos del FMAM. La proactividad y la experiencia de los coordinadores nacionales con proyectos más grandes del FMAM, y la cooperación y el apoyo disponible del punto focal del FMAM en el PNUD, parecen ser críticos. Otros dos factores que también parecen ayudar son: la participación del punto focal del FMAM y los representantes del Organismo de Ejecución del Comité Directivo Nacional (CDN), y el mecanismo de coordinación nacional establecido por los puntos focales del FMAM para responder al MAR. Inversamente, la falta de conocimiento y conciencia sobre los programas del FMAM, la divergencia entre área focal

y ubicación geográfica, y los atrasos en la preparación de los PTM / PGE parecen reducir la probabilidad de fuertes vínculos entre el PPD y otros programas del FMAM.

Conclusión 7: Las prácticas del PPD relativas al intercambio de conocimientos han sido satisfactorias.

Los conocimientos generados en el marco del PPD tanto por medio de procesos centralizados como descentralizados, se difunden a todos los programas en los países a través de foros por Internet, publicaciones, visitas sobre el terreno, el sitio Web del PPD y la organización de talleres a nivel nacional, regional e internacional. Una estrategia de comunicación desarrollada por el PPD en 2001 dirige sus esfuerzos de intercambio de conocimientos.

En general, los programas nacionales encuentran que los productos de conocimiento desarrollados por el Equipo Central de Dirección del Programa (CPMT) del PPD son útiles. Tres de cada cuatro coordinadores nacionales informaron que los productos de conocimiento preparados por el CPMT (que incluyen publicaciones, presentaciones y videos), son "con frecuencia" o "siempre" útiles para atender las necesidades del programa de su país. Tres de cada cuatro coordinadores nacionales informaron que han adoptado una herramienta, una tecnología, una práctica o una lección que primero fue desarrollada, probada o reportada por otro programa nacional del PPD. Una proporción muy alta (97%) de proyectos analizados fue calificada en el rango "satisfactorio" en cuanto al aprendizaje del proyecto. Mientras este nivel de desempeño es alentador, los procesos de intercambio de conocimientos aún tienen que incorporar el sistema de retroalimentación que permitiría que el PPD se beneficie de las perspectivas de los usuarios previstos.

Conclusión 8: Aunque se han registrado grandes avances en materia de seguimiento y evaluación, es posible mejorar aún más ese aspecto.

Los datos recabados durante esta evaluación muestran que el 81% de las donaciones para proyectos incorporaron actividades de este tipo en el diseño de los mismos. Comparado con el 14% en la fase piloto y la FO1 y el 39% en la FO2, el 54% de las donaciones para proyectos terminados correspondientes a la FO3 han especificado indicadores relevantes suficientes y han informado sobre todos (o casi todos) estos indicadores en los informes de finalización del proyecto. Sin embargo, es posible mejorar aún más en estas áreas.

Los datos del análisis de los proyectos muestran que el equipo del programa de país visitó el 96% de los proyectos al menos una vez durante el ciclo de vida correspondiente; más de la mitad de los proyectos fueron visitados tres veces o más. Estas visitas brindan a los equipos de los programas nacionales la oportunidad de verificar el progreso físico y financiero de los proyectos y de supervisar el progreso hacia el logro de los resultados esperados. Sin embargo, con pocas excepciones tales como Ecuador, la mayoría de los programas de país no documentan sistemáticamente las conclusiones de las visitas a los sitios.

El CPMT rastrea el progreso de los programas nacionales principalmente por medio de la revisión de informes financieros trimestrales y de la herramienta de evaluación de desempeño y resultados. Ésta rastrea el desempeño de los coordinadores nacionales en varias áreas claves. No obstante, está lejos de ser una herramienta ideal para rastrear el desempeño total de un programa de país, ya que se pueden presentar situaciones en las cuales el desempeño del coordinador nacional y del programa no son congruentes. Además, la vinculación del desempeño del programa nacional

con el del coordinador nacional crea desincentivos para que los coordinadores informen francamente sobre el desempeño del programa. En cuanto a los informes financieros trimestrales, la evaluación encontró que éstos se están compilando y usando con eficacia para planificación y control.

El CPMT es responsable de diseñar y mantener la base de datos del PPD, proporcionando orientación a los programas nacionales sobre el ingreso de datos y el mantenimiento de la calidad de los mismos. La base de datos es públicamente accesible y tiene algunas funciones que son más avanzadas que las de la base de datos del FMAM. Sin embargo, hay muchas áreas, tales como la estructura de la base de datos, la calidad de los datos y la prontitud en la carga de la información, donde se requieren mejoras.

Conclusión 9: El PPD es un instrumento eficaz en función de los costos para que el FMAM genere beneficios para el medio ambiente mundial por medio de ONG y organizaciones basadas en la comunidad.

La evaluación encontró que, en general, el PPD convertía eficazmente insumos en productos, tanto a nivel de proyecto como al nivel del programa nacional. Como los programas nacionales y las donaciones para proyectos del PPD también han sido eficaces para generar beneficios para el medio ambiente mundial, el PPD es un instrumento eficaz en función de los costos para que el FMAM genere beneficios para el medio ambiente mundial comprometiendo la participación de ONG y OBC.

- **Costos de administración.** Los costos de administración incurridos por el PPD parecen coincidir bien con los servicios que proporciona. Durante la FO3, los costos de administración del PPD, incluso los honorarios de proyecto que el FMAM pagó al PNUD para patrocinar el PPD y las donaciones para los proyectos que hizo el PPD para atender las cuestiones relacionadas con la dirección del programa en los países receptores (donaciones para gestión), fueron el 31% del gasto total — una mejora sobre el 37% estimado para la FO2. Durante la FO3, hubo también una reducción en la práctica no transparente de hacer donaciones que tenían en cuenta las cuestiones de dirección del programa — la financiación de tales donaciones disminuyó del 4% de la financiación total del FMAM en la FO2 al 3% en la FO3. En el documento titulado "Technical Paper on Management Costs of the Small Grants Programme" (GEF EO 2007), incluido en el CD-ROM que acompaña este informe, se ofrece una discusión detallada sobre los costos de administración del PPD.
- **Cofinanciación.** Se esperaba que el PPD movilizara 1 dólar adicional para cofinanciación, por cada dólar de financiación del FMAM. Hasta marzo de 2007, el PPD informó haber movilizado aproximadamente $0,90 de fuentes distintas del FMAM por cada dólar de financiación del FMAM. Es poco probable que se haya logrado cabalmente el objetivo para la movilización de cofinanciación antes de fines de junio de 2007, cuando cerró la FO3. No obstante, se debe reconocer que la FO3 cerró antes de lo que se había planeado en un principio.
- **Comparación con componentes de pequeñas donaciones de PTM y PGE.** Una revisión de las carteras de PGE y PTM del FMAM (excluyendo el PPD) muestra que, comparado a los $282 millones invertidos en el PPD hasta la FO3, el FMAM ha invertido al menos $440 millones en el componente de pequeñas donaciones correspondientes a los proyectos PGE y PTM. Comparado al PPD, los componentes de pequeñas donaciones de los PTM y PGE aparentemente afrontan dificultades operativas

porque los proyectos subestiman el tiempo que se necesita para poner en funcionamiento un mecanismo de desembolso de pequeñas donaciones que funcione bien; los componentes de las pequeñas donaciones a menudo comprenden una pequeña parte del proyecto total y por lo tanto reciben poca atención de la dirección; el aprendizaje institucional no se retiene; y a menudo no hay ninguna estructura permanente para pagar, supervisar e informar sobre las donaciones una vez que un proyecto se termina.

- **Ciclo de vida del proyecto.** La evaluación encontró que las donaciones del PPD, en promedio, toman aproximadamente seis meses desde la presentación de la propuesta hasta el inicio del proyecto. Aunque las dos terceras partes de los proyectos se completan sin demora, en promedio, los retrasos en la finalización de los mismos agregan aproximadamente cinco meses más a su ciclo de vida. Se estima que la duración promedio del ciclo de vida de los proyectos del PPD — desde la presentación de la propuesta del proyecto hasta la finalización del mismo — es de aproximadamente 2,5 años.
- **Eficiencia de las donaciones para los proyectos.** El 94% de las donaciones para los proyectos recibió una calificación de moderadamente satisfactorio o mejor en términos de la eficiencia de los resultados. Las calificaciones de eficiencia de los resultados de las donaciones del PPD parecen ser mejores que las que recibieron los PGE y PTM examinados por la Oficina de Evaluación del FMAM para el Informe Anual de Desempeño 2006: sólo el 77% del los PGE / PTM fueron calificados como satisfactorios. El desempeño de los proyectos del PPD en términos de la eficiencia de los resultados (94% en el rango satisfactorio), cuando se evalúa junto con la eficacia de los resultados (94% en el rango satisfactorio), indica que las donaciones para los proyectos son eficaces en función de los costos para generar beneficios para el medio ambiente mundial.

Conclusión 10: Con la política de graduación automática de los programas nacionales del PPD que tienen más de ocho años de antigüedad, se corre el riesgo de reducir la eficacia en función de los costos de toda la cartera del FMAM.

Durante su reunión de junio de 2007, el Consejo del FMAM pidió a la Oficina de Evaluación que "incluya en la evaluación que estaba realizando del Programa de Pequeñas Donaciones…un análisis de la política de graduación del PPD, y en particular, el impacto de la política sobre los PMA y PEID" (FMAM 2007). En respuesta, esta sección presenta un análisis ex ante de la política de graduación para los programas en los países en el marco del PPD.

Las "Guidelines for Access to the GEF Small Grants Programme" (Directrices para Acceder el Programa de Pequeñas Donaciones del FMAM) que el Director General del FMAM puso en circulación en los puntos focales nacionales, como comunicado de fecha 15 de diciembre de 2006, articula la política del FMAM sobre la graduación de los programas nacionales del PPD. El comunicado declara que "a partir de 2007, todo país que se haya beneficiado con el PPD del FMAM durante más de 8 años, debe presentar un plan para graduarse de los fondos del FMAM (recursos básicos y del MAR) a la finalización del cuarto ciclo del FMAM" (GEF CEO 2006). Esta política de graduación fue necesaria debido a los límites de financiación establecidos sobre el PPD en el cuarto acuerdo de reposición del FMAM (2006–10).

Esta política se traducirá en que, para julio de 2010, más de 40 países dejarán de recibir financiación del FMAM. La ventaja principal de la misma

es que permite que el CPMT se concentre en programas más recientes y en el establecimiento de programas en países que aún no están incluidos en el PPD. Sin embargo, es probable que las estructuras del programa PPD establecidas en los países participantes que se van a graduar se disuelvan, o de lo contrario busquen otras fuentes de financiación, que pueden o no, tener los mismos objetivos ambientales de alcance mundial. Dado que la mayoría de los programas nacionales que se van a graduar automáticamente están entre los mejores, el FMAM corre el riesgo de perder otros que, en términos generales, son más eficaces en función de los costos que su cartera de PGE y PTM. Por lo tanto, la graduación automática de los programas nacionales del PPD que cuentan con mayor antigüedad, de la financiación del FMAM, es probable que lleve a una decadencia marginal en la eficacia en función de los costos de toda la cartera del FMAM.

En los PEID, donde los países receptores cuentan con una capacidad de absorción limitada, las pequeñas donaciones son, en la mayoría de los casos, una escala apropiada en la cual el FMAM puede emprender intervenciones a fin de generar beneficios para el medio ambiente mundial. En los PMA, a pesar de tener generalmente una alta necesidad de ayuda, la capacidad de las instituciones nacionales y locales son, a menudo, una limitación importante. La evaluación encontró que el PPD está contribuyendo al desarrollo y la complementación de las capacidades institucionales en los PMA, permitiéndoles de esa manera emprender proyectos PGE y PTM con mayor eficacia. Por lo tanto, la graduación de programas nacionales del PPD con mayor antigüedad en PEID y PMA de la financiación del FMAM no parece ser de interés institucional para el FMAM.

Conclusión 11: Los programas nacionales del PPD operan a máxima eficacia en función de los costos cuando el nivel de gastos anuales se encuentra entre $1 millón y $1,1 millones.

Un análisis de los datos sobre los gastos de los programas en los países en el marco del PPD correspondientes a los ejercicios de 2006 y 2007 para los países participantes[4], revela que la mayor eficacia en función del costo se alcanza cuando el nivel de gastos se sitúa entre $1 millón y $1,1 millones, teniendo en cuenta los países donde la capacidad de absorción es limitada. Inspirado por el tope al presupuesto básico global del PPD en el convenio de reposición, el Comité Directivo del PPD decidió, en diciembre de 2006, que a partir de julio de 2007 se regularían las asignaciones financieras a los países participantes de las asignaciones indicativas nacionales del MAR y de los fondos básicos del PPD. El tope para las aportaciones del FMAM a los programas nacionales del PPD se estableció en $600.000 por año. A causa de este tope, 34 de ellos perderán la oportunidad de operar a un nivel de máxima eficiencia de las aportaciones en lo que respecta a la administración de los costos.

Los países que tienen asignaciones indicativas del MAR de hasta $15 millones, ya sea en el área focal de cambio climático o de biodiversidad, pueden disponer de hasta $300.000 del presupuesto básico del PPD por año, con una cantidad proporcional esperada de sus asignaciones del MAR. El tope sobre la cantidad que podría proporcionarse desde la donación básica del PPD evita el flujo de recursos desde los PMA / PEID y otros países con asignación en el grupo hacia aquellos países que tienen asignaciones indicativas individuales del MAR. Sin embargo, debido al tope global de $600.000 y al criterio de proporcionalidad exacta, los países que tienen asignaciones indicativas del MAR de hasta $15 millones, ya sea en el área focal de cambio climático o de biodiversidad, no tienen la opción de asignar una mayor proporción de sus asignaciones indicativas del MAR al PPD.

Conclusión 12: El mayor nivel de inversiones del FMAM en el PPD durante la FO3 permitió alcanzar una operación más eficaz en función de los costos que en la FO1 y la FO2.

Durante la FO3, hubo un aumento significativo de las inversiones del FMAM en el PPD en comparación con las fases anteriores. Para la FO2, el FMAM invirtió aproximadamente $26 millones por año y alrededor de $430.000 por país participante (todas las cifras están ajustadas por inflación e incluyen los honorarios del proyecto pagados al PNUD). Durante la FO3, las inversiones del FMAM aumentaron significativamente a aproximadamente $49 millones anuales y a alrededor de $500.000 por país participante. Para la FO4, aunque la inversión total anual asignada ha aumentado a aproximadamente $57 millones, la inversión por país participante disminuirá a alrededor de $430.000.

El PPD logró una reducción en los costos de administración del 37% en la FO2 al 31% en la FO3, satisfaciendo las expectativas del Consejo del FMAM de impulsar servicios del programa tales como el seguimiento y la evaluación y el intercambio de conocimientos. Un factor trascendental que permitió que el PPD logre estas mejoras fue que, de la FO2 a la FO3, las inversiones del FMAM en el PPD aumentaron significativamente, tanto en términos absolutos como en función de los países participantes. El aumento en la inversión total anual permitió que programas nacionales tuvieran mayor eficacia en función de los costos. De manera similar, el aumento en las inversiones por país participante también permitió programas nacionales con mayor eficacia en función de los costos. Las ganancias que se logran de esa manera se reflejan en la proporción reducida de costos de administración durante la FO3.

El Consejo espera que el PPD reduzca más aún los costos de administración durante la FO5. Sin embargo, debido a que la inversión del FMAM por país participante disminuirá, los programas nacionales del PPD operarán con menores niveles de eficacia en función de los costos. Por lo tanto, la reducción de los costos de administración implicará realizar concesiones recíprocas. El "Documento de Proyecto del Programa de Pequeñas Donaciones: Cuarta Fase Operativa (FMAM-4)" enumera las medidas que adoptará el PPD para reducir los costos de administración (párrafo 175). En base a la retroalimentación de los coordinadores nacionales, parece que sólo algunas de las medidas planificadas –como eliminar los talleres globales y renegociar el alquiler de los locales de oficinas nacionales– reducirán los costos de administración sin afectar el rendimiento global del programa. La eficacia de otras medidas, tales como la reducción en las asignaciones para el intercambio de conocimientos, el seguimiento y la evaluación, el fortalecimiento de la capacidad de los equipos en los países, la asistencia técnica y las auditorías de los programas en los países, conducirán probablemente a una disminución del nivel del rendimiento del programa.

Conclusión 13: El modelo de gestión actual del PPD ha llegado a su límite y no es adecuado para una nueva fase de crecimiento.

Con excepción de algunas modificaciones relativamente pequeñas, la estructura global de gestión del PPD ha permanecido prácticamente intacta desde su fase piloto. Durante este período, la demanda de los servicios del PPD ha aumentado, las necesidades de los programas en los países son ahora más diferenciadas y la ampliación del programa hace más difíciles las consultas con los programas en los países en el marco del PPD.

Han aumentado los servicios del PPD solicitados por el Consejo del FMAM, tales como el establecimiento de vínculos con proyectos del FMAM de mayor escala, la expansión del programa para que

incluya nuevas áreas focales, el aumento del nivel de recursos movilizados a través de la cofinanciación, y la mejora del seguimiento y la evaluación y del intercambio de conocimientos. Al mismo tiempo, el Consejo ha solicitado una reducción de los costos de administración. El número de países en los que opera el PPD aumentó de 50 en 1995 a 101 en 2006. El conjunto de países en los que el PPD opera actualmente incluye una mayor proporción de países difíciles de operar. Hay también un número significativo de países de la cartera en los que el programa ha madurado y que requieren escaso apoyo y conducción por parte del CPMT. El modelo actual de gestión no es adecuado para abordar las necesidades diferenciadas de estos programas nacionales. La solicitud de la Secretaría del FMAM de expandir rápidamente el programa a 23 países adicionales –lo que ha aumentado el volumen de trabajo del personal de la Oficina de las Naciones Unidas de Servicios para Proyectos (UNOPS)– elevará el número de programas nacionales a 124. En el pasado, cuando el número de programas en los países era menor, era posible discutir enfoques potenciales con éstos y desarrollar medidas apropiadas para abordar las solicitudes del Consejo. No obstante, el número cada vez mayor de países en los cuales opera hoy el PPD ha dificultado la comunicación y la consulta para el desarrollo de directrices y sistemas. Esto ha llevado a una tendencia hacia la centralización en la toma de decisiones y a un debilitamiento en las comunicaciones bilaterales.

Las tensiones latentes y manifiestas en la relación entre el PPD y otras Organismos afectan también el funcionamiento del PPD. En general, la relación del PPD con los programas del PNUD en los países ha mejorado a medida que el mandato del PPD de generar beneficios ambientales globales ha sido mejor comprendido por los representantes residentes. Al nivel de programa de país individual, ha ido mejorando la relación del PPD con Organismos tales como el Banco Mundial y el Programa de las Naciones Unidas para el Medio Ambiente (PNUMA). Esto ha dado como resultado mayores instancias de colaboración entre el PPD y otros Organismos al nivel de programa de país y/o local. A nivel internacional, las relaciones entre el PPD y otros Organismos del FMAM han sido distantes y, en ocasiones, competitivas.

1.3 Recomendaciones

Recomendación 1: El nivel de los costos de administración debería establecerse sobre la base de los servicios prestados y la eficacia en función de los costos, y no a partir de un porcentaje arbitrario.

La evaluación de los costos de administración del PPD indica que un factor que ayudó al programa a reducir notablemente estos costos durante la OP3 fue que las inversiones del FMAM en el programa habían aumentado significativamente tanto en términos absolutos como de número de países participantes. Este permitió que el PPD opere con mayor eficacia en función de los costos. Consecuentemente, el PPD pudo reducir sus costos de administración sin tener que reducir sus servicios programáticos tales como el seguimiento y la evaluación, el intercambio de conocimientos, la supervisión y la asistencia técnica. El Consejo del FMAM espera que, durante la FO4, el PPD pueda reducir más aún sus costos de administración. No obstante, aun cuando los recursos anuales de FMAM asignados a la FO4 son más elevados, ha disminuido la asignación anual por país participante, lo que implica que el PPD tendrá que reducir aún más sus costos de administración, aunque esté operando a un menor nivel de eficacia basada en los costos de inversión del FMAM. Algunos de los servicios programáticos provistos por el PPD deberán reducirse, con los contingentes riesgos para el logro de beneficios

para el medio ambiente mundial. Un análisis del plan propuesto para reducir los costos de administración muestra que muchas de las actividades que se están reduciendo son críticas para el funcionamiento eficaz del PPD. Para asegurar que la efectividad global del PPD no se vea afectada en la FO4 por la reducción del nivel de recursos por país participante, es necesario ajustar las expectativas del Consejo del FMAM respecto de los costos de administración del PPD.

Hasta ahora, las expectativas del Consejo en cuanto a los costos de administración del PPD se han visto ancladas por cifras arbitrarias –25% en el pasado y 24% ahora. Aunque los costos de administración informados tienden a situarse alrededor de la proporción señalada, el método por el cual se calculan no ha sido uniforme ni transparente, haciendo difícil que el Consejo pueda proporcionar orientación al respecto. Por ejemplo, durante la FO2, se incluyó la cofinanciación al calcular el porcentaje de costos de administración –una práctica que se abandonó durante la FO3. En ambas fases operativas, las donaciones del proyecto abordaron algunas cuestiones relacionadas con el costo de gestión del programa en los países. En necesario poner fin a esta práctica, dado que no permite que varias de las partes interesadas conozcan la proporción de inversiones del FMAM que se están proveyendo a los beneficiarios del PPD para abordar problemas ambientales de alcance mundial. Se deben reconocer los costos reales de dirección para la ejecución del PPD y ajustar en función de ellos las expectativas delos costos de administración. Asimismo, las actividades a nivel de país individual que generan beneficios globales –por ejemplo, a través de los productos de intercambio de conocimientos– también se deben reconocer como tales y deben poder financiarse sin que se las clasifique como costos administrativos.

Recomendación 2: Es preciso poner en marcha un proceso para modificar el sistema de gestión central del PPD de una manera que se adecue a la nueva fase de crecimiento y permita abordar los riesgos del aumento de la complejidad.

A medida que el PPD avanza hacia su próxima fase de crecimiento y se vuelve cada vez más complejo, debe repensarse su sistema global de gestión. Con este fin, el PPD ha hecho algunos cambios importantes, tales como la creación de equipos regionales en el CPMT y la UNOPS, la identificación de centros regionales que asistan al desarrollo del programa y la designación de coordinadores subregionales en el caso de los PEID. Pero el sistema ya está sobrecargado. El ritmo de crecimiento proyectado y los desafíos de incorporar más PMA y PEID al programa abrumarán seguramente la estructura actual de gestión, y será difícil mantener el nivel actual de eficacia del programa, a menos que se incremente significativamente el personal del programa en la sede central. Esta expansión podría llevar a un aumento significativo de los costos de administración.

Otra opción que podría explorarse es delegar al nivel regional algunas de las funciones que actualmente se llevan a cabo a nivel del CPMT y propiciar vínculos más estrechos con los equipos técnicos regionales de las áreas focales del PNUD involucrados en los proyectos subvencionados por el FMAM. Aunque esta opción puede provocar también mayores costos de administración, permitirá abordar mejor las necesidades de asistencia técnica de los programas en los países. Deben hacerse esfuerzos para asegurar que los programas en los países tengan voz en el proceso de toma de decisiones del PPD.

La nueva división de funciones debe definirse claramente a fin de evitar superposiciones, facilitar las decisiones eficaces y proporcionar apoyo a los

programas en los países. Al explorar las opciones para la ejecución de un nuevo sistema de gestión, es preciso abordar las siguientes cuestiones específicas:

- Determinar cómo satisfacer las necesidades a corto plazo –dado el gran número de nuevos programas que se están estableciendo– sin dejar de proporcionar apoyo a los que están todavía en desarrollo.
- Delegar algunas funciones al nivel regional para satisfacer necesidades específicas de los PEID y los PMA y para recurrir más eficazmente a los equipos técnicos regionales del PNUD, después de evaluar las implicaciones de eficacia en función de costos de la medida.
- Incorporar, al Comité Directivo global del PPD, líderes de opinión entre los coordinadores nacionales actuales o recientemente retirados, como medio para asegurar que las perspectivas de los programas en los países informen las decisiones.
- Repensar y redefinir las relaciones entre el equipo central de dirección y la Secretaría del FMAM, el PNUD y la UNOPS, así como otros Organismos del FMAM.
- Asegurar que el CPMT tenga la cantidad adecuada de personal. Debe discontinuar la práctica actual de no llenar los puestos para satisfacer los objetivos de reducción de costos de administración, y el nuevo sistema debe incorporar una evaluación realista de los servicios y las funciones que el CPMT debe proporcionar.
- Desarrollar orientación para los PTM y PGE en su relación con los programas PPD en los países.

Recomendación 3: Se debe reforzar la supervisión de los programas en los países.

Debe prestarse más atención a la definición de los procedimientos de conflictos de intereses de los programas en los países y a la supervisión de la aplicación de los procedimientos para conflictos de intereses. El sistema debe fortalecerse para asegurar un seguimiento adecuado de los conflictos de intereses y otras observaciones relacionadas con la gobernabilidad hechas por las auditorías. Debe establecerse un calendario de trabajo que asegure que todos los programas en los países puedan ser auditados por lo menos una vez durante cada fase operativa; los fondos para las auditorías deben asignarse en cada fase operativa. De conformidad con las políticas de revelación del FMAM, las auditorías deben ser de público conocimiento. Deben establecerse, y hacerse públicos, procedimientos independientes de presentación de quejas. Tanto el defensor del pueblo de la oficina de país del PNUD (de haberlo) como el defensor del pueblo del FMAM deben estar disponibles para recibir quejas y poder tratarlas o redirigirlas a los canales adecuados.

Recomendación 4: Se deben seguir mejorando las actividades de seguimiento y evaluación.

La evaluación encontró numerosas instancias de buenas prácticas de seguimiento y evaluación que eran implementadas por los diversos programas nacionales del PPD, lo que demuestra que es posible contar con buen seguimiento y evaluación en pequeños proyectos. Mientras que los proyectos están, en general, bien supervisados y se está llevando a cabo una seguimiento de los resultados esperados, hay áreas que aún son susceptibles de mejoras. Por ejemplo, la conservación de registros de las visitas del proyecto tiende a ser insuficiente. Es frecuente que no se especifique una cantidad suficiente de indicadores relevantes y, de especificarse, que éstos no se informen adecuadamente. Otra área susceptible de mejoras es el aseguramiento del control de calidad de la información en la base de datos del PPD. La información en la base de datos tiene numerosos errores y se carga

con considerable retraso. El PPD necesita evaluar también el rendimiento del programa en los países, separadamente de la evaluación de los coordinadores nacionales ya que, aunque las medidas se correlacionan entre sí, no son equivalentes.

Recomendación 5: Se deberían examinar los criterios actuales para acceder a los recursos del PPD a fin de mantener la eficacia en función de los costos.

Es muy probable que la decisión del Comité Directivo del PPD de limitar a $600.000 la cantidad promedio anual a la que accederá un país participante durante el FMAM-4 distribuya más equitativamente los fondos del FMAM. Sin embargo, es probable también que tenga un efecto negativo sobre la eficacia basada en los costos de la cartera de programas PPD en los países, porque este costo máximo admisible limitará la eficacia operativa del PPD. Si se aumenta el límite actual, será probable obtener ganancias de rentabilidad. No obstante, sin un aumento en el presupuesto global disponible al PPD, pueden no darse ganancias de rentabilidad significativas que permitan que el programa satisfaga las expectativas del Consejo del FMAM en cuanto a los costos de administración. Son limitadas las oportunidades de aumentar la eficacia basada en los costos a través del cese de las actividades de gestión sin afectar la efectividad del programa. El presupuesto global del PPD podría aumentarse movilizando recursos adicionales de fuentes distintas del FMAM y/o aumentando las asignaciones del FMAM al PPD.

Históricamente, el PPD moviliza casi un dólar adicional por cada dólar de inversión del FMAM. Esta movilización ocurre a nivel del programa global y/o de país y a nivel de donaciones para los proyectos. La cofinanciación movilizada a nivel de programa global y/o de país es más relevante en este contexto de eficacia basada en los costos, ya que permite a la oficina global y los programas nacionales operar a niveles más eficaces basados en los costos, mientras que los recursos movilizados a nivel de donaciones para los proyectos tienen implicaciones fundamentalmente para los costos de administración de las organizaciones beneficiarias. Actualmente, sólo el 10% de la cofinanciación total del PPD (alrededor de $6 a $7 millones por año) se moviliza a nivel de programa nacional / global. Para obtener ganancias de rentabilidad mayores, puede ser necesario aumentar esta cofinanciación a aproximadamente $15–$20 millones. El PPD necesitará apoyo para alcanzar estos niveles, que pueden no ser realistas para los PEID y los PMA.

Una manera de resolver esta situación es conceder a los países una cantidad mayor de donaciones de las asignaciones del MAR. Actualmente, los países que tienen asignaciones indicativas del MAR de más de $15 millones en el área focal de cambio climático o de biodiversidad pueden acceder a los recursos del PPD sólo a través del MAR, con un límite máximo de $600.000 por año. Para los países participantes que tienen asignaciones indicativas del MAR de hasta $15 millones, es necesario ajustar las contribuciones del PPD básico en función de los recursos del MAR, con un límite superior de $300.000. Si estos límites aumentan y se suprime el criterio de proporcionalidad exacta, los países tendrán la opción de asignar al PPD una mayor proporción de sus asignaciones indicativas del MAR.

Recomendación 6: Para el FMAM-5 se debe revisar la política de graduación de los programas nacionales del PPD a fin de abordar los riesgos para los logros y la eficacia en función de los costos del FMAM, especialmente en los pequeños estados insulares en desarrollo y los países menos adelantados.

La política de graduación para los programas nacionales del PPD está todavía en evolución, y

la recomendación aquí presentada, así como en el análisis en el que sea basa, refleja las directrices de diciembre de 2006, que son la única declaración formal hasta el momento sobre la graduación de los programas nacionales del PPD. Estas directrices establecen que aquellos programas nacionales del PPD que se han beneficiado de donaciones del FMAM/PPD durante más de 8 años (a 2007) dejarán de recibir toda donación del FMAM (recursos básicos y del MAR) en julio de 2010.

El argumento para la graduación de las donaciones básicas del PPD es persuasivo. Dado el presupuesto global del programa y los niveles de gastos óptimos por programa nacional, la graduación es una manera sensata de asegurar que el programa se extienda a nuevos países y que su éxito pueda replicarse en otro lugar. Sin embargo, es probable que, tras la graduación, las estructuras de programas en los países se disuelvan o que el trabajo se transforme en cuestiones que sean prioritarias para los nuevos patrocinadores. Esto conlleva un riesgo para la continuación del mismo nivel de beneficios para el medio ambiente mundial por el mismo precio en estos países, dado que los programas nacionales del PPD obtienen puntuaciones consistentemente más altas en términos de resultados y sostenibilidad que otras modalidades del FMAM y son eficaces en función de los costos en el logro de estos resultados.

Esta recomendación propone explorar cómo podría permitirse que los países continúen subvencionando pequeñas donaciones del FMAM en sus países luego de la graduación del PPD. Un enfoque posible sería convertir la modalidad de un programa PPD nacional en una "franquicia" independientes que continúe el éxito nacional del PPD pero que no esté bajo la gestión del CPMT ni reciba donación básica alguna del PPD. Los fondos para tal programa de franquicias deberían provenir de las asignaciones del MAR después de la graduación del programa básico del PPD. Sería necesario poner a punto un mecanismo que permita calcular máximos admisibles para tales asignaciones y la manera de enfocar la financiación a partir de las asignaciones del grupo. Este cálculo debería basarse en niveles óptimos de gasto, teniendo en cuenta la ventaja comparativa del PPD para lograr los objetivos de las áreas focales. Sería necesario poner un especial cuidado para que estos programas nacionales independientes continúen intercambiando conocimientos y experiencias con el PPD y la comunidad más amplia del FMAM. Debería implementarse también un sistema que permita restituir las donaciones del programa en los países a través de formas que se basen en el rendimiento y que no sean perjudiciales para las operaciones en curso.

Es necesario desarrollar los detalles de un programa de pequeñas donaciones basado en franquicias, a fin de que ésta sea una alternativa válida a la política de graduación propuesta actualmente. A continuación se mencionan las principales preguntas que aguardan respuesta:

- ¿Cómo encajarán estos programas en las estrategias del área focal de los países implicados?
- ¿Qué mecanismos se implementarán para asegurar la independencia programática y de concesión de donaciones de las nuevas franquicias?
- ¿Sería el PNUD la Agencia de Ejecución de tales programas de franquicias?
- ¿Quién designaría al coordinador nacional y al Comité Directivo Nacional?
- ¿Quién proporcionaría supervisión en cuestiones legales y financieras?
- ¿Se someterán estos programas a los mismos procedimientos que los Las mejores prácticas actuales del PPD a nivel de país individual

podrían transformarse en un marco de franquicias que podría adaptarse a las circunstancias locales, pero que incluiría las características mínimas que necesitan aplicarse para que se lo califique como una "modalidad PPD". Al adoptar este marco como una modalidad nacional, dicha operación de franquicia también se podría cargar a fin de implementar componentes del PPD de los PTM y PGE, que suelen tener con frecuencia un rendimiento inferior.

Los programas de franquicias deberían desarrollar marcos de resultados que los vinculen con estrategias de área focal y deberían informar sobre su contribución a los objetivos de dichas estrategias. Los datos recopilados durante esta evaluación indican que los marcos de resultados de varios programas nacionales de más antigüedad, tales como Vietnam o México son ya congruentes con las estrategias del área focal.

Para los PEID y los PMA, resulta imperiosa una inversión del FMAM a mayor plazo a través del PPD. Los PEID participantes tiene una capacidad de absorción limitada y, en la mayoría de los casos, las pequeñas donaciones representan una escala apropiada en la cual el FMAM puede emprender intervenciones que generen beneficios para el medio ambiente mundial. Aunque los PMA tienen generalmente una alta necesidad de asistencia, las capacidades de sus instituciones nacionales y locales representan a menudo una limitación importante. El PPD contribuye a desarrollar y a complementar las capacidades institucionales y, de este modo, permite que los PMA emprendan proyectos PGE y PTM con mayor eficacia. Se espera que este análisis y estas recomendaciones contribuyan al desarrollo continuo de la política de graduación de los PPD.

Notas

1. Todos los montos en dólares se refieren a dólares estadounidenses, a menos que se indique lo contrario.
2. Los programas de mayor "antigüedad" son aquellos que comenzaron antes de 1999.
3. El estudio fue encargado por la Unidad de Coordinación del FMAM / PPD del PNUD.
4. El ejercicio del FMAM se extiende del 1 de julio al 30 de junio.

Foreword

In June 2006, the Global Environment Facility (GEF) Council requested that the GEF Evaluation Office undertake an independent evaluation of the Small Grants Programme (SGP). The GEF Evaluation Office invited the Evaluation Office of the United Nations Development Programme (UNDP) to participate in the evaluation, given that UNDP implements, and is strongly involved in, the SGP. The added perspective of UNDP's Evaluation Office would enrich the evaluation by providing a thorough understanding of the UNDP system.

The purpose of the Joint Evaluation of the SGP was to assess the relevance, effectiveness, efficiency, sustainability, and cost effectiveness of the SGP in relation to the overall mandate of the GEF. In addition, the evaluation assessed the results of the SGP, the factors that affect these results, and the program's monitoring and evaluation systems. It traced the evolution of the SGP, the changes that have taken place in the program, and the drivers of these changes. Country field studies were prepared as part of the evaluation; although each was unique and particular to the specific country, they were undertaken within a common analytical framework to enable comparison and, where possible, aggregation of data.

At the Council's request, an ex ante evaluation of the SGP graduation policy (as communicated by the GEF Chief Executive Officer to the national focal points on December 15, 2006) was conducted. The evaluation also estimated the levels of expenditure at which country programs are likely to be most cost efficient.

The joint evaluation was carried out from November 2006 to September 2007. It included 20 case studies, a review of a random sample of 229 grants, a portfolio review, and specialized reviews on several topics. Over 25 evaluation specialists, including consultants as well as staff in the GEF and UNDP Evaluation Offices, contributed to the initiative. The joint nature of the evaluation strengthened the process, posing challenges as well as opportunities.

Overall, the joint evaluation found that the SGP is a cost-effective way for the GEF to generate global environmental benefits while addressing country priorities and responding to the needs of local populations. It also found that the current management model has reached its limits and is not suitable for a new phase of growth and that SGP governance and audit procedures need to be strengthened.

The joint evaluation report was discussed by the GEF Council at its November 2007 meeting. The Council decided that the SGP should address the evaluation findings by

- starting a process to change the SGP's central management system to ensure its suitability for the new phase of growth and to address the risks of growing complexity;
- strengthening country program oversight;
- further strengthening monitoring and evaluation;
- proposing a revision of the current criteria for access to SGP resources to maintain cost efficiency;
- further developing a graduation policy for the SGP country programs that takes into account the identified risks to GEF achievements and cost effectiveness, especially in small island developing states and least developed countries.

The UNDP Evaluation Office plans to share this report with the UNDP Executive Board in June 2008.

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This report was written by Aaron Zazueta, Senior Evaluation Officer, Global Environment Facility (GEF) Evaluation Office, who also served as the task manager of the evaluation; and Neeraj Kumar Negi, Evaluation Specialist, GEF Evaluation Office. Howard Stewart, Evaluation Advisor at the United Nations Development Programme Evaluation Office, led several of the evaluation case studies and coordinated others, providing comments at various points in the design of the evaluation and during the drafting of the report.

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The evaluation team extends its appreciation to the United Nations Office for Project Services team charged with coordinating the Small Grants Programme (SGP) for its help in facilitating access to SGP stakeholders, and to the SGP national coordinators and other staff for their time and input during the course of this evaluation. The final responsibility for this report remains firmly with the GEF Evaluation Office.

Abbreviations

BP	British Petroleum
CBO	community-based organization
COMPACT	Community Management of Protected Areas for Conservation
CPMT	Central Programme Management Team
FSP	full-size project
FY	fiscal year
GEF	Global Environment Facility
LDC	least developed country
M&E	monitoring and evaluation
MSP	medium-size project
NGO	nongovernmental organization
NSC	national steering committee
OP	operational phase
POP	persistent organic pollutant
RAF	Resource Allocation Framework
SGP	Small Grants Programme
SIDS	small island developing states
UNDP	United Nations Development Programme
UNEP	United Nations Environmental Programme
UNOPS	United Nations Office for Project Services

1. Background, Conclusions, and Recommendations

1.1 Background

The Global Environment Facility (GEF) created the Small Grants Programme (SGP) in 1992 to develop community-level strategies and implement technologies to reduce threats to the global environment, to gather and communicate lessons from community-level experience, to build partnerships and networks with community-based organizations (CBOs) and nongovernmental organizations (NGOs), and to 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 SGP has gone through four replenishments in three operational phases (OPs). The **pilot phase** (1992–1996) demonstrated the viability of the approach. The **period of consolidation** (1997–2002) showed relatively little expansion but confirmed the role of the SGP as a corporate program of the GEF. The **period of expansion** (2003–2007) has seen an increase in funding and in the number of participating countries. Presently, the SGP is going through a transition to a fourth period. This new period is driven mainly by the implementation of the **GEF Resource Allocation Framework** (RAF); a rapid expansion of the program to new countries, especially to small island developing states (SIDS) and least developed countries (LDCs); and ongoing discussions regarding graduation of older country programs. A multiagency steering committee has been formed, and, through this committee, the GEF Secretariat and other Agencies are increasingly involved in decision making regarding the SGP.

The maximum grant size for regular projects is $50,000,[1] but most of the SGP grants are generally in the range of $20,000 to $35,000. Since the program's inception, a substantial proportion of project grants have been in the biodiversity focal area. However, this share has been consistently declining: it was 65 percent during the pilot phase and 47 percent during OP3. The share of climate change projects has been stable at around 16 percent; land degradation, which was included as a new focal area during OP3, accounts for 17 percent of SGP grants.

There have been three program evaluations of the SGP, performed in 1995, 1998, and 2002. These evaluations were primarily oriented toward improving SGP operations and design and toward distilling lessons. They have also been the basis for GEF Council decisions regarding program expansion and requirements for replenishments. However, they were not completely independent and were not able to assess which global environmental benefits had been achieved, whether the program was cost effective, or whether there were trade-offs between the SGP and other GEF projects.

At its meeting in June 2006, the Council requested that the GEF Evaluation Office undertake an independent evaluation of the Small Grants Programme, for which the Council agreed to make $290,000 available. In addition, $110,000 was transferred from SGP funds to the evaluation, in lieu of which the SGP would not be required to undertake a final evaluation at the end of its current replenishment phase. The GEF Evaluation Office invited the United Nations Development Programme (UNDP) Evaluation Office to participate in the evaluation. The approach paper for the study, which was published on the GEF Evaluation Office Web site in February 2007, was developed jointly. The field studies for the evaluation were conducted from March to June 2007. The first draft of the evaluation report was shared with the SGP on September 18, 2007, in order to check for factual errors and errors of analysis.

The primary objectives of the evaluation were to assess the relevance of the SGP results to the GEF and to country and environmental priorities. Furthermore, the effectiveness of the SGP in generating global environmental benefits was to be assessed, as well as the efficiency of the SGP in engaging community-based groups and NGOs, and key factors affecting SGP results and its monitoring and evaluation (M&E) systems.

This evaluation was conducted jointly by the Evaluation Offices of the GEF and UNDP, and 25 evaluators were involved at various levels. The evaluation collected both qualitative and quantitative data to make inferences about the SGP. The evaluation was based on the following components:

- A **literature review** was conducted, examining GEF Council documents and a wide range of SGP documents as well as relevant existing literature.
- **Country program case studies** were undertaken, 12 of which were intensive field studies; another 10 were analyzed primarily through desk reviews.
- A **project sample survey** was conducted, in which 180 project grants were assessed in terms of their project results, including project outcomes, risks, learning, and interaction with stakeholders; 191 were assessed for M&E-related issues; and 187 were assessed to determine the population groups targeted by the project grants. The performance of 107 project grants was field-verified by evaluators. The gathered data provide a fair reflection of the overall project portfolio.
- **Interviews** were held with a wide variety of stakeholders.
- An **online survey** was implemented, targeted to the national coordinators of the SGP country programs. Seventy-two national coordinators participated in the survey.

1.2 Conclusions

Conclusion 1: The SGP has a slightly higher success rate in achieving global environmental benefits and a significantly higher rate in sustaining them than GEF medium- and full-size projects.

The evaluation findings suggest an impressive track record for the SGP. Ninety-three percent of the project grants from OP3 have been rated in the satisfactory range (moderately satisfactory and higher) in terms of overall outcome. In comparison, 82 percent of the project grants from the pilot phase and OP1, and 91 percent from OP2, were rated in the satisfactory range. If projects from all the phases are considered together, 90 percent of the SGP project grants reviewed were rated by the evaluation in the satisfactory range (see table 1.1).

Sustainability of outcome rating provides an indication of the likelihood that benefits from the proj-

Table 1.1

Overall Outcome Ratings for Reviewed Project Grants

Rating	Percentage of projects
Highly satisfactory	24
Satisfactory	43
Moderately satisfactory	23
Satisfactory range	**90**
Moderately unsatisfactory	6
Unsatisfactory	3
Highly unsatisfactory	0
Unsatisfactory range	**10**

Note: Projects reviewed = 180, projects rated = 167, projects unable to assess = 13.

ect grant will continue long after the project grant is closed. The evaluation found that outcome sustainability of about 80 percent of the grants was in the low-risk range, while the outcome of the remaining 20 percent faced significant or high levels of risk (see table 1.2). The risk profile of grants across all SGP phases has remained stable. Thus, benefits from most of the completed projects are likely to continue in the future.

Table 1.2

Risks to Sustainability of Outcomes

Risk category	Percentage of projects
No or little risk	41
Moderate risk	39
Low risk	**80**
Significant risk	18
High risk	2
High risk	**20**

Note: Projects reviewed = 180, projects rated = 159, projects unable to assess = 21.

When compared to completed GEF full-size projects (FSPs) and medium-size projects (MSPs), which are rated using similar criteria by the GEF Evaluation Office, a slightly higher proportion of SGP projects are rated in the satisfactory range for project outcomes and a significantly higher proportion for sustainability.

Conclusion 2: The SGP has contributed to numerous institutional reforms and policy changes in the recipient countries to address global environmental issues.

Replicating, scaling up, and mainstreaming local community activities have been emphasized since the beginning of OP1. The evaluation found that in all 22 country programs reviewed, the SGP has contributed to policy formulation and/or implementation. It does so by cultivating relationships with civil society organizations; local, provincial, and national governments; academic institutions; other global organizations; and the private sector. Country programs seek to influence policies and institutions through awareness raising, sharing of knowledge; and developing or strengthening of institutional capacities. In the 22 country programs reviewed, the SGP was contributing to institutional and policy change in the following ways:

- All examined country programs contributed to **local policy instruments**, such as municipal environmental ordinances.
- Thirteen country programs contributed to **national policy formulation**.
- Five country programs contributed to **access to broader markets**.
- One program contributed as **an incubator** of several initiatives that were subsequently widely adopted in the country.

Conclusion 3: The SGP has contributed to direct global environmental benefits while also addressing the livelihood needs of local populations.

Evidence from the country cases and from the field-verified grant sample indicates that the SGP's environmental benefits and/or contribu-

tion to processes that are likely to result in global environmental benefits are considerable. However, the evaluation also found that of the 22 country programs reviewed, 3 might have generated more global environmental benefits if they had focused on areas with relatively higher globally significant biodiversity. With the exception of ozone-depleting substances, the SGP was active in all GEF focal areas.

- **Biodiversity conservation.** All 22 country programs examined by the evaluation have activities in biodiversity. Country programs are contributing to the conservation of endangered species and to the reduction of threats to endangered ecosystems and protected areas. SGP conservation activities normally involve community groups and result in direct benefit to local populations.
- **Climate change mitigation.** Seventeen out of the 22 SGP country programs reviewed are contributing to the reduction of greenhouse gas emissions by introducing renewable energy sources and energy-efficient alternatives such as solar panels, solar heaters, small hydroelectric plants, and biomass-based generators.
- **Protection of international waters.** Eight of the 22 country programs are contributing to the reduction of environmental stresses on international waters, often in collaboration with larger GEF projects in this focal area.
- **Prevention of land degradation.** In 5 of the 22 country programs reviewed, the SGP is introducing environmentally sound agricultural, pasture, and forest management practices that help conserve soil and improve productivity. In some desert environments, the SGP is testing ways to protect oasis ecosystems in collaboration with local communities.
- **Elimination of persistent organic pollutants (POPs).** In six countries, SGP projects are contributing to a reduction in POPs by introducing substitutes and promoting adoption of more environmentally friendly practices in the management of pesticides.

The project survey data also confirm that country programs are generating substantial global environmental benefits. A very high percentage of the reviewed grants were rated in the satisfactory range for outcome relevance (96 percent) and for outcome effectiveness (94 percent) (see table 1.3). Thus, a vast majority of grants in the SGP portfolio are contributing directly to global environmental benefits. In some grants, a trade-off between local and global benefits was found, with the grant at first focusing on local benefits in order to create the circumstances in which global benefits could be achieved—for example, through ecotourism.

Table 1.3

Relevance and Effectiveness of Outcomes
percentage of projects

Rating	Outcome relevance	Outcome effectiveness
Highly satisfactory	50	37
Satisfactory	34	42
Moderately satisfactory	11	15
Satisfactory range	**96**	**94**
Moderately unsatisfactory	3	4
Unsatisfactory	1	2
Highly unsatisfactory	0	0
Unsatisfactory range	**4**	**6**

Note: For relevance, projects reviewed = 180, projects rated = 180, projects unable to assess = 0; for effectiveness, projects reviewed = 180, projects rated = 167, projects unable to assess = 13.

Conclusion 4: The SGP has made significant progress in targeting its efforts to help the poor.

The evaluation found that, since SGP inception, 60 percent of its projects have directly or indirectly targeted the poor or the poorest. Compared to the

earlier phases (57 percent in the pilot phase and OP1, and 55 percent in OP2), a greater proportion of OP3 projects (72 percent) either directly or indirectly target the poor or poorest.

At least 15 percent of OP3 SGP grants explicitly target indigenous people. However, the evaluation found that, in most instances, indigenous people were benefiting from the SGP project grants because they are generally settled in the remote biodiversity-rich areas that are the geographic focus of the SGP country programs rather than being explicitly targeted by the programs. Twenty-six percent of the SGP grants target women. Though many other project grants do not specifically target women, women participate in implementation of such projects as members of the local community. The evaluation found that, although women are a priority group for the SGP in almost all countries reviewed, in some countries, the local sociocultural context may constrain their participation; in others, their participation may be in roles that contribute little to their empowerment. Overall, SGP current levels of effort to reach out to the poorest and most marginal populations seem appropriate.

Conclusion 5: The SGP country programs, especially the older ones, are effective in promoting the GEF agenda.

The evaluation found that all 22 reviewed country programs were effective at reaching civil society organizations and influencing environmental policies at the local level. However, major gains were observed when national policies were influenced. Of the reviewed country programs, 13 (11 of 15 older programs and 2 of the 7 younger ones[2]) were reported to have influenced policies at the national level in a substantive manner. The SGP has been able to build strategic alliances with academic institutions, governments, global agencies, and the private sector. In addition, it has been effective at reaching out to all stakeholders, raising awareness, and sharing knowledge.

The decentralized structure of the SGP, checks and balances that facilitate transparency in decision making, and its continued presence in the participating countries have contributed to the SGP's effectiveness in promoting the GEF agenda.

Conclusion 6: All country programs reviewed had interaction with other GEF projects.

The review of the 22 country programs found instances of mutually supportive interactions between SGP and larger GEF operations in all countries. This represents an improvement over the 53 percent rating (for 34 countries) reported in 1998 by a study that surveyed operational and/or advisory links between SGP and GEF projects.[3] Interactions between SGP and GEF projects vary in terms of their operational formality, but most can be classified as follows:

- **The SGP supports small projects that are aligned with the objectives of MSPs and FSPs.** Eighteen out of 22 country case studies found that the SGP had provided grants that directly supported the objectives of larger GEF projects.
- **The SGP supports or contributes to the design of FSPs and MSPs.** Almost all of the country programs reviewed (21) identified the SGP as a significant player in informing the project design of GEF FSPs and MSPs.
- **The SGP implements a component of a GEF project.** Five country programs were found to implement grants with funds originating from larger GEF projects.
- **The SGP generates outcomes that are subsequently scaled up by or mainstreamed into MSPs or FSPs.** In five of the country programs examined, large GEF projects have benefited

from the organizational capacities of SGP grantees, and some small grants have graduated to become MSPs.

Effective communication, networking capacity, and knowledge sharing seem to enable productive links between the SGP and other GEF projects. The proactiveness and experience of the national coordinators with larger GEF projects, and the cooperation and support available from the GEF focal point in UNDP, seem to be critical. Two other factors seem to help as well: participation of the GEF focal point and Implementing Agency representatives on the national steering committee (NSC), and the national coordination mechanism established by the GEF focal points to respond to the RAF. Conversely, lack of knowledge and awareness of GEF programs, divergence between focal area and geographic location, and MSP/FSP preparation delays seem to decrease the likelihood of strong linkages between the SGP and other GEF programs.

Conclusion 7: The SGP's knowledge-sharing practices have been satisfactory.

Knowledge generated within the SGP through both centralized and decentralized processes is shared across the country programs through Internet-based forums, publications, field visits, and the SGP Web site; as well as through national, regional, and global workshops. A communication strategy developed by the SGP in 2001 guides its knowledge-sharing efforts.

In general, country programs find the knowledge products developed by the SGP Central Programme Management Team (CPMT) useful. Three of four national coordinators reported that knowledge products prepared by the CPMT—which include publications, presentations, and videos—are "frequently" or "always" useful in addressing their country program needs. Three of four national coordinators reported they have adopted a tool, technology, practice, or lesson that was first developed, tested, or reported by another SGP country program. A very high proportion (97 percent) of the reviewed projects was rated in the "satisfactory" range with regard to project learning. While this level of performance is encouraging, the knowledge-sharing processes have yet to incorporate a feedback system that would allow the SGP to gain from the perspectives of the intended users.

Conclusion 8: Although monitoring and evaluation has improved significantly, there is scope for further improvements.

The evidence gathered during this evaluation shows that 81 percent of the project grants incorporated M&E activities in the project design. Compared to 14 percent in the pilot phase and OP1 and 39 percent for OP2, 54 percent of the completed project grants in OP3 had specified sufficient relevant indicators and reported on all (or almost all) of these indicators in the project completion reports. Nonetheless, there is room for further improvement in these areas.

The project survey data show that the country program team visited 96 percent of the project grants at least once during a project's life cycle; more than half of the project grants were visited three times or more. These field visits provide the country program teams with an opportunity to verify the physical and financial progress of the projects and to monitor progress toward achievement of expected outcomes. However, with few exceptions, such as Ecuador, most country programs do not document the findings of field visits in a systematic manner.

The CPMT tracks progress of the country programs primarily through review of quarterly financial reports and the performance and results

assessment tool. The latter tracks performance of national coordinators in several key areas. However, it is far from an ideal proxy for tracking the overall performance of a country program, as there may be situations in which the performance of the national coordinator and of the country program are not congruent. Further, linking country program performance to that of the national coordinator creates disincentives for the coordinators to report frankly on country program performance. With regard to quarterly financial reports, the evaluation found that these are being compiled and are used effectively for planning and control.

The CPMT is responsible for designing and maintaining the SGP database, providing guidance to the country programs on data entry, and maintaining data quality. The database is publicly accessible and has some features that are more advanced than those of the GEF database. However, there are many areas—such as database structure, data quality, and promptness in uploading of information—where improvements are required.

Conclusion 9: The SGP is a cost-effective instrument for the GEF to generate global environmental benefits through NGOs and community-based organizations.

The evaluation found that, overall, the SGP was efficiently converting inputs into outputs at both the project and country program levels. Since SGP project grants and country programs have also been effective in generating global environmental benefits, the SGP is a cost-effective instrument for the GEF to generate global environmental benefits by engaging NGOs and CBOs.

- **Management costs.** Management costs incurred by the SGP seem to match well with the services it provides. During OP3, SGP management costs, including the project fees paid by the GEF to UNDP for hosting the SGP and project grants made by the SGP to address program management issues in the recipient countries (management grants), were 31 percent of the total expenditure—an improvement over the 37 percent estimated for OP2. During OP3, there was also an abatement in the nontransparent practice of making project grants that addressed program management issues—the funding to such grants declined from 4 percent of total GEF funding in OP2 to 3 percent in OP3. A detailed discussion on SGP management costs is provided in "Technical Paper on Management Costs of the Small Grants Programme" (GEF EO 2007), included on the CD-ROM accompanying this report.
- **Cofinancing.** The SGP was expected to mobilize an additional $1 in cofinancing for every $1 of GEF financing. Until March 2007, the SGP reported it had mobilized about $0.90 from non-GEF sources per $1 of GEF financing. It is unlikely that the target for mobilization of cofinancing would have been fully met by the end of June 2007, when OP3 closed. However, it should be recognized that OP3 closed earlier than originally planned.
- **Comparison with small grant components of MSPs and FSPs.** A review of the GEF's FSP and MSP portfolios (excluding the SGP) shows that, compared to $282 million invested in the SGP up to OP3, the GEF has invested at least $440 million in the small grant component of FSPs and MSPs. Compared to the SGP, the small grant components of the MSPs and FSPs apparently face operational difficulties because projects underestimate the time it takes to make a well-functioning small grant disbursement mechanism operational; small grant components often comprise a small portion of the overall project and therefore receive little management attention; institutional learning is not retained; and there is often no permanent

structure to disburse, supervise, and report on grants after a project ends.

- **Project life cycle.** The evaluation found that SGP grants on average take about six months from proposal submission to project start. Although two-thirds of the projects are completed without any delay, on average, delay in project completion adds about five more months to the project cycle. The average duration of the SGP project cycle—from project proposal submission to project completion—is estimated to be about 2.5 years.
- **Project grant efficiency.** Ninety-four percent of the project grants were rated moderately satisfactory or better in terms of efficiency of outcomes. The efficiency of outcome ratings of SGP grants seems to be better than those for the FSPs and MSPs reviewed by the GEF Evaluation Office for the *GEF Annual Performance Report 2006*: only 77 percent of the FSPs/MSPs were rated in the satisfactory range. The performance of the SGP projects in terms of efficiency of outcomes (94 percent in the satisfactory range), when assessed together with the effectiveness of the outcomes (94 percent in the satisfactory range), indicates that project grants are cost effective in generating global environmental benefits.

Conclusion 10: Automatic graduation from the SGP of country programs older than eight years risks reducing the cost effectiveness of the overall GEF portfolio.

During its June 2007 meeting, the GEF Council asked the GEF Evaluation Office "to include in its on-going evaluation of the Small Grants Programme…an analysis of the graduation policy of the SGP, and in particular, the impact of the policy on LDCs and SIDS" (GEF 2007). In response, this section presents an ex ante analysis of the graduation policy for the SGP country programs.

The "Guidelines for Access to the GEF Small Grants Programme," which was circulated as a communiqué dated December 15, 2006, by the Chief Executive Officer of the GEF to the national focal points, articulates the GEF policy on graduation of SGP country programs. It states that "beginning 2007, any country which has benefited from the GEF SGP for more than 8 years will be required to present a plan to graduate from GEF funding (core and RAF resources) on completion of the GEF-4 cycle" (GEF CEO 2006). This graduation policy has been necessitated by the funding limits placed on the SGP in the GEF-4 (2006–10) replenishment agreement.

The present policy will lead to the graduation of more than 40 countries from GEF funding by July 2010. The policy's key advantage is that it allows the CPMT to concentrate on newer country programs and on establishing programs in countries that have not been covered by the SGP thus far. However, the SGP program structures established in the graduating participating countries are likely to be disbanded, or else they are likely to pursue other sources of funding that may or may not be aligned with global environmental objectives. Since most of the country programs that would automatically graduate are among the better ones, the GEF risks losing programs that—generally speaking—are more cost effective than its FSP and MSP portfolio. Thus, automatic graduation of the older SGP country programs from GEF funding is likely to lead to a marginal decline in the cost effectiveness of the overall GEF portfolio.

In SIDS, where recipient countries have limited absorptive capacity, small-size grants are, in most situations, an appropriate scale at which the GEF may undertake interventions to generate global environmental benefits. In LDCs, despite generally having a high need for assistance, the capacities of the national and local institutions are often

a major constraint. The evaluation found that the SGP is contributing to developing and complementing institutional capacities in LDCs, thereby enabling them to undertake FSPs and MSPs more effectively. Thus, graduating older SGP country programs in SIDS and LDCs from GEF funding does not seem to be in the institutional interests of the GEF.

Conclusion 11: SGP country programs operate at maximum cost efficiency at an annual expenditure level of $1.0 to $1.1 million.

Analysis of the SGP country program expenditure data for fiscal year (FY) 2006 and 2007 for participating countries,[4] controlling for countries for which absorptive capacity is a constraint, shows that the average management costs are lowest when country programs operate at an annual expenditure level of $1 million to $1.1 million. Inspired by the cap on the overall core SGP budget in the replenishment agreement, the SGP Steering Committee decided in December 2006 that, from July 2007, financial allocations to the participating countries from indicative RAF allocations of the country and core SGP funds would be regulated. The GEF contribution to the SGP country programs was capped at $600,000 per year. Because of this cap, 34 country programs will lose the opportunity to operate at a level where grant making is more efficient with respect to management costs.

The countries that have indicative RAF country allocations up to $15 million in either the climate change or biodiversity focal area can draw up to $300,000 from the SGP core budget each year, with a matching amount expected from their RAF allocations. The cap on the amount that could be provided from SGP core funding prevents flow of resources from the LDCs/SIDS and other group allocation countries to those that have individual indicative RAF allocations. However, because of the overall cap of $600,000 and the exact matching criterion, countries that have indicative RAF allocations up to $15 million in either the climate change or biodiversity focal area do not have the option of allocating a greater proportion of their indicative RAF allocations to the SGP.

Conclusion 12: The higher level of GEF investments in the SGP during OP3 facilitated more cost-efficient operation than in OP1 and OP2.

During OP3, there was a substantial increase in GEF investments in the SGP as compared to earlier phases. For OP2, the GEF invested about $26 million per year and about $430,000 per participating country (all figures are inflation adjusted and include project fees paid to UNDP). During OP3, GEF investments increased substantially to about $49 million annually and to about $500,000 per participating country. For OP4, although the total annual allocated investment has increased to about $57 million, the investment per participating country will decline to about $430,000.

Reduction in management costs from 37 percent in OP2 to 31 percent in OP3 was accomplished by the SGP, concurrent with its meeting the GEF Council's expectations for increasing program services such as M&E and knowledge sharing. A major factor that allowed the SGP to accomplish these improvements was that, from OP2 to OP3, the GEF investments in the SGP increased substantially, both in absolute and in per participating country terms. Increase in the total annual investment allowed the CPMT to operate at a greater cost-efficiency level. Similarly, increased investments per participating country allowed the country programs to operate at a more cost-efficient level. The gains thus made are reflected in the reduced proportion of management costs during OP3.

The Council expects the SGP to further reduce management costs during OP5. However, because the GEF investment per participating country will decline, the SGP country programs will be at less cost-efficient levels of operation. Therefore, reducing management costs will involve making trade-offs. "The Small Grants Programme Project Document: Fourth Operational Phase (GEF 4)" lists the measures the SGP will adopt to reduce management costs (paragraph 175). Based on feedback from the national coordinators, it seems that only a few of the planned measures—eliminating global workshops and renegotiating rent of country office premises—will reduce management costs without affecting overall program performance. The efficacy of other measures, such as reduction in allocations for knowledge sharing, M&E, capacity building of country teams, technical assistance, and country program auditing, will likely lead to a reduced level of program performance.

Conclusion 13: The current management model of the SGP has reached its limits and is not suitable for a new phase of growth.

Except for some relatively minor modifications, the overall management structure of the SGP has remained more or less the same since its pilot phase. During this period, the demands on the SGP have increased, the needs of the country programs have become more differentiated, and expansion of the program has made consultation with the SGP country programs more difficult.

Program services requested by the GEF Council of the SGP, such as establishing links with larger GEF projects, expanding the program to include new focal areas, increasing the level of resources mobilized through cofinancing, and improving M&E and knowledge sharing, have increased. Concurrently, the Council has requested reduction of management costs. The number of countries in which the SGP is operational increased from 50 in 1995 to 101 in 2006. The mix of countries in which the SGP now operates includes a greater proportion of operationally challenging countries. There is also a substantial number of countries in the portfolio where the program has matured and that require little support and guidance from the CPMT. The present management model is not suited to address the differentiated needs of these country programs. The request from the GEF Secretariat to quickly expand the program to 23 additional countries—which has increased the workload of United Nations Office for Project Services (UNOPS) staff—will raise the number of country programs to 124. In the past, when the number of country programs was lower, it was possible to discuss potential approaches with country program staff and to develop appropriate measures to address Council requests. However, the sheer number of countries in which the SGP now operates has made communication and consultation in the development of guidelines and systems more difficult. This has resulted in a trend toward centralization of decision making and decreased two-way communication.

Latent and manifested tensions in the relationship between the SGP and other Agencies also affect the functioning of the SGP. The SGP relationship with UNDP country programs has in general improved as the SGP mandate to generate global environmental benefits is better understood by resident representatives. At the country program level, the SGP relationship with Agencies such as the World Bank and United Nations Environment Programme (UNEP) has been improving. This has resulted in increasing instances of collaboration between the SGP and other Agencies at the country program and/or local level. At the global level, relationships between the SGP and other GEF Agencies have been distant and, at times, competitive.

1.3 Recommendations

Recommendation 1: The level of management costs should be established on the basis of services rendered and cost efficiency rather than on the basis of a stated percentage.

The assessment of SGP management costs shows that a major factor that helped the program reduce these costs during OP3 was that GEF investments in the program had increased substantially both in absolute terms and in terms of number of participating countries. This allowed the SGP to operate at a more cost-efficient level. Consequently, the SGP was able to reduce its management costs without also reducing its programmatic services such as M&E, knowledge sharing, supervision, and technical assistance. The GEF Council expects that during OP4 the SGP will be able to reduce its management costs even further. However, even though the annual allocated GEF resources for OP4 are higher, the annual allocation per participating country has declined, which implies that the SGP will have to further reduce its management costs, even though it will be operating at a less cost-efficient level of GEF investment. Some of the programmatic services provided by the SGP will need to be curtailed, with contingent risks for the achievement of global environmental benefits. An analysis of the proposed plan for reducing management costs shows that many of the activities being curtailed are critical to effective functioning of the SGP. To ensure that overall SGP effectiveness does not suffer in OP4 due to a reduced level of resources per participating country, the GEF Council's management cost expectations of the SGP need to be adjusted.

So far, Council expectations regarding SGP management costs have been anchored by arbitrary figures—25 percent in the past, and 24 percent now. Although reported management costs tend to be around the prescribed proportion, the method by which they are calculated has not been uniform and transparent, thus making it difficult for the Council to provide guidance. For example, during OP2, cofinancing was included when calculating the percentage of management costs—a practice that was abandoned during OP3. In both operational phases, project grants addressed some country program management cost–related issues. This practice needs to be stopped, because it does not allow various stakeholders to know the proportion of GEF investments that are being provided to the SGP grantees for addressing global environmental issues. The real management costs of implementing the SGP need to be recognized and management cost expectations adjusted accordingly. Furthermore, activities at the country level generating global benefits—for example, through knowledge-sharing products—should also be recognized as such and should be fundable without being classified as administrative costs.

Recommendation 2: A process to make the SGP central management system suitable for the new phase of growth and address the risks of growing complexity needs to begin.

As the SGP moves into its next phase of growth and becomes increasingly complex, its overall management system should be rethought. To this end, the SGP has made some important changes, such as the creation of regional teams in the CPMT and UNOPS, the identification of regional hubs to assist in program development, and the appointment of subregional coordinators in the case of SIDS. But the system is already overburdened. The projected pace of growth and the challenges of bringing more LDCs and SIDS into the program are certain to overwhelm the current management structure, and it will be difficult to maintain the present level of program effectiveness unless the program staff at headquarters is substantially expanded. This expansion could lead to a significant increase in management costs.

Another option that could be explored is to devolve some of the functions that are presently performed at the CPMT level to the regional level and to encourage closer links with the UNDP focal area regional technical teams involved in GEF-funded projects. Although this option too may lead to higher management costs, it will better address the technical assistance needs of the country programs. Efforts should be made to ensure that country programs have a voice in the SGP decision-making process.

The new division of roles should be clearly defined in order to prevent overlaps, facilitate effective decisions, and provide support to country programs. In exploring the options for a new management system, the following specific issues should be addressed:

- Determine how to meet short-term needs given the large number of new country programs being established while continuing to provide support to those still under development.
- Devolve some functions to the regional level to meet specific needs of SIDS and LDCs and to draw more effectively on UNDP regional technical teams, after assessing the cost-effectiveness implications of the measure.
- Incorporate opinion leaders among current or recently retired national coordinators to the global SGP Steering Committee as a means of ensuring that country program perspectives inform decisions.
- Rethink and redefine the relations among the core management team and the GEF Secretariat, UNDP, and UNOPS, as well as the other GEF Agencies.
- Ensure that the CPMT is adequately staffed. The current practice of not filling positions so as to meet management cost-reduction targets should be discontinued, and the new system should incorporate a realistic assessment of services and functions that need to be provided by the CPMT.
- Develop guidance for MSPs and FSPs on linking with SGP country programs.

Recommendation 3: Country program oversight needs to be strengthened.

More attention should be given to the definition of conflict of interest procedures by country programs and oversight of enforcement of conflict of interest procedures. The system should be strengthened to ensure proper follow-up of conflict of interests or other governance-related observations made by audits. A schedule that ensures that all country programs can be audited at least once during every operational phase should be established, and funds for audits should be allocated in each operational phase. In accordance with GEF disclosure policies, audits should be publicly available. Independent grievance procedures should be established and made public. Both the ombudsman in the UNDP country office (if present) and the GEF Ombudsman should be available to receive complaints, so that they can either address these or redirect them to the appropriate channels.

Recommendation 4: Monitoring and evaluation needs to be strengthened further.

The evaluation found numerous instances of good M&E practices being implemented by the various SGP country programs, which demonstrates that good M&E is possible for small projects. While projects are, on the whole, well supervised and monitoring of expected results is taking place, there are areas where there is scope for further improvements. For example, recordkeeping on project visits tends to be insufficient. Often, sufficient relevant indicators are not specified, and,

where they are specified, they are not adequately reported upon. Another area for improvement is to ensure quality control of information in the SGP database. The information in the database has numerous errors and is uploaded with a considerable time lag. The SGP also needs to assess country program performance separately from that of the national coordinators because, although correlated, they are not appropriate proxies.

Recommendation 5: The current criteria for access to SGP resources should be revised to maintain cost efficiency.

The decision of the SGP Steering Committee to limit the average annual amount accessed by a participating country to $600,000 during GEF-4 will most likely spread GEF funds more equitably. However, it is also likely to have a negative effect on the cost efficiency of the SGP country program portfolio because this cost ceiling will constrain the SGP from efficient operation. If the present limit is increased, cost-efficiency gains are likely. However, without an increase in the overall budget available to the SGP, the substantial cost-efficiency gains that allow the program to meet GEF Council management cost expectations may not be realized. Opportunities are limited for increasing cost efficiency through the curtailment of management activities without affecting program effectiveness. The overall SGP budget could be increased by mobilizing additional resources from non-GEF sources and/or by increasing GEF allocations to the SGP.

Historically, the SGP mobilizes almost an additional dollar per dollar of GEF investment. This is mobilized at the global and/or country program level and at the project grant level. The cofinancing mobilized at the global/country program level is most relevant in this context of cost efficiency, since it allows the global office and country programs to operate at more cost-efficient levels, while the resources mobilized at the project grant level have implications primarily for the management costs of the grantee organizations. Presently, only 10 percent of total SGP cofinancing (about $6 to $7 million per year) is mobilized at the global/country program level. To make major cost-efficiency gains, this cofinancing may need to increase to about $15 to $20 million. The SGP will need support to achieve these levels, which may not be realistic for SIDS and LDCs.

One way to resolve the situation is to allow countries a higher amount of funding from RAF allocations. Currently, the countries that have indicative RAF country allocations of more than $15 million in the climate change or biodiversity focal area are allowed to access SGP resources only through RAF to a maximum limit of $600,000 per year. For participating countries that have indicative RAF allocations up to $15 million, the contributions from the core SGP need to be matched by RAF resources, with an upper limit of $300,000. If these limits are increased and the criterion of exact matching is abolished, countries will have the option of allocating a greater proportion of their indicative RAF allocations to the SGP.

Recommendation 6: The intended SGP country program graduation policy needs to be revised for GEF-5 to address the risks to GEF achievements and cost effectiveness, especially in small island developing states and least developed countries.

The graduation policy for SGP country programs is still evolving, and the recommendation presented here and the analysis on which it is based reflects the December 2006 guidelines, which are the only formal statement thus far on graduation of SGP country programs. These guidelines state that those SGP country programs that have benefited from GEF SGP funding for more than eight years (as of 2007) are to graduate from all GEF funding (core and RAF resources) by July 2010.

The argument for graduation from SGP core funding is persuasive. Given the overall budget of the program and the optimum spending levels per country program, graduation is a sensible way to ensure that the program reaches out to new countries and that its success is replicated elsewhere. However, it is likely that, upon graduation, country program structures will be disbanded or that work will be shifted to issues that are of priority to their new backers. This presents a risk to the continuation of the same level of global environmental benefits for the same price in these countries, given that SGP country programs score consistently higher in outcomes and sustainability than other GEF modalities and are cost effective in their achievement of these outcomes.

This recommendation proposes exploring how countries could be allowed to continue to fund small grants from the GEF in their countries after graduation from the SGP. One possible approach is to turn the modality of an SGP country program into an independent "franchise" that would continue the national success of the SGP but not be under the management of the CPMT nor receive any core funding from the SGP. Funding for such a franchise program should be allowed from RAF allocations after graduation from the SGP core program. A mechanism would need to be developed to calculate ceilings for such allocations and how to approach funding from group allocations. This calculation should be based on optimum levels of spending, taking into account the comparative advantage of the SGP to achieve focal area goals. Special care would need to be taken that these independent country programs would continue to share knowledge and experiences with the SGP and the broader GEF community. A system should also be put in place to replenish country program funding in ways that are performance based and not disruptive to ongoing operations.

The details of a franchise small grants program need to be developed in order for this to be a valid alternative to the present proposed graduation policy. The main questions to be answered are as follows:

- How will these programs fit into focal area strategies in the countries concerned?
- What mechanisms will be set in place to ensure the new franchises' programmatic and grant-making independence?
- Would UNDP be the Implementing Agency for these franchise programs?
- Who would appoint the national coordinator and NSC?
- Who would provide oversight on legal and financial issues?
- Will these programs go through the same procedures as MSPs and FSPs, or will a facilitated procedure be initiated?

The current best practices in the SGP at the country level could be turned into a franchise framework that could be adapted to local circumstances but contain minimum characteristics that need to be applied in order to qualify as an "SGP modality." By adopting this as a national modality, such a franchise operation could also be charged to implement SGP components of MSPs and FSPs, which are now frequently underperforming.

The franchise programs would need to develop results frameworks that link them with focal area strategies and would need to report on their contributions to the goals of focal area strategies. The evidence gathered during this evaluation indicates that the results frameworks of several older country programs, such as Vietnam and Mexico, are already congruent with the focal area strategies.

For SIDS and LDCs, a longer term investment of the GEF through the SGP is imperative. Participating SIDS have limited absorptive capacity, and, in most situations, small-size grants are an appropriate scale at which the GEF may undertake interventions to generate global environmental benefits. Although LDCs generally have a high need for assistance, the capacities of their national and local institutions often pose a major constraint. The SGP contributes to developing and complementing institutional capacities and thereby enables LDCs to undertake FSPs and MSPs more effectively. It is hoped that this analysis and recommendation will feed into the continued development of the SGP graduation policy.

Notes

1. All dollar amounts are U.S. dollars unless otherwise indicated.
2. Older programs are those started before 1999.
3. The study was commissioned by the UNDP GEF/SGP Coordination Unit.
4. The GEF fiscal year runs from July 1 to June 30.

2. Context of the Evaluation

The Global Environment Facility created its Small Grants Programme in 1992. The report *Hands-on Action for Sustainable Development 1992–2002*, which documents the SGP's 10 years of history, summarizes the program's principal objectives as follows (UNDP/GEF SGP 2003):

- Develop community-level strategies and implement technologies that could reduce threats to the global environment if they are replicated over time.
- Gather lessons from community-level experience and initiate the sharing of successful community-level strategies and innovations among community-based organizations and nongovernmental organizations, 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.

While the main objectives of the program have evolved over time to become more specific, the SGP has always functioned as a means of directly financing NGO and CBO initiatives that generate global environmental benefits in ways that address a country's sustainable development priorities. The SGP also seeks to reach poor and marginalized populations, including women and indigenous peoples. Since its inception, the SGP has been implemented by the United Nations Development Programme on behalf of the three GEF Implementing Agencies—UNDP, UNEP, and the World Bank. The United Nations Office for Project Services is the executing agency for the SGP. Within UNOPS, SGP management functions are largely divided along the lines of global and country program functions. At the global level, the SGP is managed by the Central Programme Management Team, which is led by a global manager. Each country program is led by a national coordinator. Country programming, grant review and approval, and overall program oversight is handled by a national steering committee within each country.

2.1 SGP Operational Phases

The SGP has gone through four replenishments in three periods. In each of these three operational phases, SGP objectives with regard to the generation of global environmental benefits and links with other GEF operations have been gradually defined and made more specific.

The **pilot phase** (June 1992 to December 1996) demonstrated the viability of the small grants approach and the potential contributions of community-based activities to the GEF mission. In five years, the program expanded to 50 countries. Features such as decentralization, stakeholder participation, and flexibility were introduced during the pilot phase and have since been mainstreamed into the program.

The **period of consolidation** included OP1 (January l997 to February 1999) and part of OP2 (March 1999 to December 2002). During this period, the GEF Council required that SGP-funded activities be linked to existing GEF focal areas (biodiversity, climate change, and international waters) and to other GEF projects. A strategic framework, operational guidelines, and country program strategies were developed to address links to other GEF projects and to align country programs with priorities of the participating countries. Initial steps were taken to put into place a monitoring and evaluation system to track and assess global environmental benefits. Compared to the program's growth in its pilot phase, the SGP expanded relatively little over this six-year period: from 50 countries in 1996, it had grown to 61 countries by the end of 2002. On the approval of OP2, the GEF Council made the SGP a corporate program of the GEF. This change was consistent with the Council's intentions to link SGP operations more closely with other GEF activities and has resulted in smoother transitions with GEF operational programs; it has also necessitated annual SGP progress reporting.

The **period of expansion** corresponds to the latter part of OP2 (January 2003 to February 2005) and OP3 (March 2005 to June 2007) when the SGP expanded into 41 new countries, increasing the total number of participating countries to 101.[1] Of the new countries, 68 percent (28) were least developed countries and/or small island developing states. Two new GEF focal areas were introduced during this period—land degradation and persistent organic pollutants—and overall program management systems were further developed. The SGP was required to develop strategic country portfolios, further strengthen links with other GEF projects, and establish knowledge-sharing mechanisms. The GEF Council also placed greater emphasis on some requests made during previous phases, including a reduction in the proportion of costs allocated to management, an increase in the monitoring of global environmental results, an increase in cofinancing mobilized by the SGP, and development of country program sustainability frameworks.

Presently, the SGP is transitioning to a fourth period. This new period is driven mainly by implementation of the GEF Resource Allocation Framework, a rapid expansion of the program to new countries—especially SIDS and LDCs—and ongoing discussions regarding the graduation of mature programs. A multiagency steering committee has been formed, through which the GEF Secretariat and other Agencies are increasingly involved in decision making regarding the SGP.

2.2 SGP Grants

The maximum grant size for regular SGP projects is $50,000, but most SGP grants are generally in the range of $20,000 to $35,000; the average full grant made during OP3 was about $28,000. Grants are awarded directly to NGOs and CBOs. When needed, grantees may be awarded a planning grant, generally of less than $2,000, to prepare a proposal for a full grant.[2] From the program's inception through the end of OP2, NGOs implemented 70 percent of SGP project grants, with CBOs implementing another 27 percent; the remainder was implemented by other institutions. During OP3, which placed a greater emphasis on

building the institutional capacities of local communities, a larger proportion of projects were implemented through CBOs (39 percent).

A substantial proportion of project grants have been in the biodiversity focal area, but this area's share has been declining, dropping from 65 percent during the pilot phase to 47 percent during OP3. The share of climate change projects has been stable at around 16 percent, whereas that for land degradation—which was included as a new focal area during OP3—increased significantly to 17 percent (see table 2.1).

Table 2.1

SGP Project Portfolio by Focal Area
percent

Focal area	Pilot phase	OP1	OP2	OP3	All phases
Biodiversity	65	61	57	47	**54**
Climate change	14	15	17	16	**16**
Int'l waters	6	6	5	6	**6**
Multifocal	12	15	16	11	**14**
POPs	0	0	0	4	**2**
Land degradation	3	3	4	17	**8**

Source: SGP database.

2.3 Past Evaluations

There have been three program evaluations of the SGP. The first, conducted in 1995, was managed by the UNDP Evaluation Office; the subsequent two evaluations, in 1998 and 2002, were jointly conducted by UNDP and the GEF. These evaluations, particularly the latter two, were primarily aimed at improving SGP operations and design and at distilling lessons. These evaluations were also the basis for GEF Council decisions regarding program expansion and requirements for replenishments. The SGP has implemented Council decisions pertaining to program consolidation and expansion during various stages in its evolution; it has also incorporated the recommendations of the three evaluations. However, from the GEF corporate perspective, these evaluations were not completely satisfactory in that they did not assess

- the extent to which SGP grants and country programs contribute to the generation of global environmental benefits;
- SGP cost effectiveness;
- exchanges, complementarities, and other links between SGP and other GEF projects;
- trade-offs between global environmental benefits and benefits to local populations in SGP grants.

Notes

1. During this period, the Polish government decided to graduate from all GEF assistance. As a result, the Polish SGP is closing, and its operations will be completed by early 2008.
2. Planning grants are thus similar in purpose to the project development facility funding awarded for larger GEF projects.

3. Scope and Methodology

At its meeting in June 2006, the GEF Council requested that the GEF Evaluation Office undertake an independent evaluation of the Small Grants Programme, for which the Council agreed to make available $290,000. An additional $110,000 was transferred from SGP funds to the evaluation, with the understanding that the SGP would not be required to undertake an evaluation at the end of its current replenishment phase. The GEF Evaluation Office invited the UNDP Evaluation Office to participate in the initiative. The approach paper for the study, which was posted on the GEF Evaluation Office Web site in February 2007, was jointly developed by the two Evaluation Offices. The field studies were conducted from March to June 2007. The first draft of the evaluation report was shared with the SGP Central Programme Management Team on September 18, 2007, for the due process of checking for factual errors and errors of analysis.

The evaluation's primary objectives were to assess the

- relevance of SGP results to the GEF mandate and operations, and to country sustainable development and environmental priorities;
- effectiveness of the SGP in generating global environmental benefits;
- efficiency of the SGP in engaging CBOs and NGOs to address global environmental concerns;
- key factors affecting SGP results;
- SGP M&E systems.

The evaluation was conducted jointly by the GEF and UNDP Evaluation Offices; in total, 25 evaluators were involved at different levels. The evaluation assessed the results of the SGP, the factors that affect these results, and the program's M&E systems. It also traced the evolution of the SGP, the changes that have taken place in the program, and the drivers of these changes. The findings were interpreted to draw conclusions and make recommendations to the GEF Council.

Both quantitative and qualitative data were collected to make inferences about the SGP. The quantitative data were used primarily to determine the prevalence of observable facts across the SGP portfolio. The qualitative methods focused on identifying and understanding the factors affecting results.

Data sets for analysis were generated from the evaluation activities, which included a literature review, country program case studies, a project sample survey, interviews, and an online survey. The data sets generated through these various approaches were related and complementary. The inferences about the SGP have been drawn using these approaches. On issues for which data were gathered using more than one approach, the data were first analyzed in isolation and then triangu-

lated to identify points of convergence and divergence. This was done to reduce threats to the validity of inferences. The remainder of this chapter describes the evaluation approaches; annex A provides more information about the methodology.

3.1 Literature Review

A review of GEF Council documents, documents pertaining to CPMT guidance on various aspects of the SGP, the SGP database, past evaluation reports of the SGP, country program strategy documents, project documents, and progress and completion reports was conducted to determine Council expectations from the SGP, guidance provided to the country programs, the evolution of the SGP, and the challenges it continues to face. The SGP database was analyzed to determine characteristics of the SGP project portfolio. Expenditure statements of the SGP country programs were analyzed to identify factors affecting their management costs. A literature review pertaining to non-SGP small grant programs was conducted, along with interviews of these programs' staff, to learn about the relative efficiency of the SGP.

3.2 Case Studies

Twenty-two case studies were prepared to assess the performance of selected country/subregional programs in achieving expected results, factors affecting the achievement of results, and country M&E system. In making the case study selections, the country programs were classified into two groups, the first comprising those 28 countries that had implemented an SGP project before 1997 and were among the top 35 SGP country programs in terms of total number of SGP GEF projects conducted and number of total grants made. The second group consisted of all the remaining subregional and country programs. Ten programs were randomly selected from each group. For the first group, intensive field studies were carried out by teams including an evaluation officer from the GEF or UNDP and a country consultant who invested from 30 to 40 days in each study. Desk studies, supported in most cases by field verification, were conducted for the studies in the second group. Another two country programs were included in the first group—Mexico, in order to study its experience in adopting regional targeting of the SGP; and the Philippines, which was the subject of a then-ongoing GEF country portfolio evaluation.

3.3 Project Sample Survey

To assess performance at the project grant level, the evaluation aimed to study a random sample of six closed and six still-under-implementation SGP projects in each of the 20 original countries selected for case study.[1] In all, 229 grants (110 closed and 119 still under implementation) were selected.[2] For various reasons, not all project grants selected were reviewed.[3] In all, 180 grants were assessed on project results including project outcomes, risks, learning, and interaction with stakeholders; 191 grants were assessed for M&E-related issues; and 187 were assessed to determine the population groups targeted. Performance of 107 project grants was field verified by evaluators. Since none of the project grants that were eventually dropped from the sample were dropped due to performance-related issues, the gathered data provide a fair reflection of the overall project portfolio.

The analysis of the data was done after taking into account the probability weights of the assessed project grants. Due to lack of sufficient projects from the pilot phase and OP1, whenever comparisons have been made across operational phases, the sampled projects from these phases have been classified into one group. In this regard, the project grant sample was drawn from grants listed in the

SGP database. Since not all of the grants that have been made so far, especially those from OP3, have been recorded in the database, the unrecorded project grants remain unverified. Resource constraints allowed only for a total of about 200 projects to be reviewed (see annex B). While this number is sufficient to make broad conclusions at the global portfolio level, it is not sufficient to make conclusions at the country program level and across regions. Similarly, the number is not sufficient to capture smaller variations in program performance across operational phases.

3.4 Interviews

A series of interviews was conducted with CPMT officials, country program teams, members of the national steering committees, ex-staff members of the SGP, grantees, SGP program partners, UNDP officials, UNOPS officials, and beneficiary groups to gather information on issues pertaining to program performance. Structured instruments were used to document factual information on performance of the SGP and its projects. Semi-structured instruments were used primarily to assess the factors that affect achievement of project and program results.

3.5 Online Survey

After collating information collected from the above-specified sources, some data gaps were identified. An online survey was designed to address some of these gaps. The survey was targeted to the national coordinators of the SGP country programs; it was made available online from August 29 to September 7, 2007. Seventy-two national coordinators participated in the survey, 60 of whom completed it, and 12 of whom dropped out. The survey gathered additional information on issues related to country program strategy, knowledge management, program support provided by the CPMT, partnerships, and interaction of country programs with other SGP stakeholders.

Notes

1. The team determined that six projects per field visit country was a reasonable number for making inferences at the global portfolio level and feasible for evaluation given time and money constraints. It was anticipated that it might not be possible to assess all of the sampled project grants.

2. The overall number was lower than expected (240 projects in all, 120 each closed and under implementation) because, in some country programs, completed or under-implementation SGP projects numbered fewer than six.

3. The evaluation was not able to visit Iran and was unable to get a translator in time for translating the project documents and reports from Farsi; thus, Iran's sampled projects were not assessed. Apologies are extended to the Iran SGP country program, which was ready to receive the evaluation. The project grants selected from the Vietnam country program were assessed only on M&E-related issues. Eleven projects were dropped due to inaccessibility of the project grant site and unavailability of sufficient secondary information. Another 14 projects were determined to have been funded as management cost–related grants and were therefore dropped from consideration.

4. SGP Relevance and Results

4.1 Achieving and Sustaining Global Environmental Benefits

Conclusion 1: The SGP has a slightly higher success rate in achieving global environmental benefits and a significantly higher rate in sustaining them than GEF medium- and full-size projects.

The evaluation findings suggest an impressive track record for the SGP. Ninety-three percent of the project grants from OP3 have been rated in the satisfactory range (moderately satisfactory and above) in terms of overall outcome. In comparison, 82 percent of the project grants from the pilot phase and OP1, and 91 percent from OP2, received a similar rating. If projects from all phases are considered together, 90 percent of all SGP project grants reviewed were rated by the evaluation in the satisfactory range (see table 4.1). SGP project grants are on target to meet and exceed the benchmark of 75 percent of GEF projects achieving a satisfactory outcome rating that was established in the GEF-4 (2006–10) replenishment agreement.

Rating of sustainability of outcomes provides an indication of the likelihood that benefits from the project grant will continue long after the grant is closed. Risks to project outcome sustainability were assessed in four dimensions: financial, sociopolitical, institutional framework and governance, and environmental. The evaluation found that the outcome sustainability of about 80 percent of the grants reviewed was in the low-risk range; the remaining 20 percent faced significant or high levels of risk (see table 4.2). The risk profile of grants

Table 4.1

Overall Outcome Ratings for Reviewed Project Grants

Rating	Percentage of projects
Highly satisfactory	24
Satisfactory	43
Moderately satisfactory	23
Satisfactory range	**90**
Moderately unsatisfactory	6
Unsatisfactory	3
Highly unsatisfactory	0
Unsatisfactory range	**10**

Note: Projects reviewed = 180, projects rated = 167, projects unable to assess = 13.

Table 4.2

Risks to Sustainability of Outcomes

Risk category	Percentage of projects
No or little risk	41
Moderate risk	39
Low risk	**80**
Significant risk	18
High risk	2
High risk	**20**

Note: Projects reviewed = 180, projects rated = 159, projects unable to assess = 21.

has remained stable over time (see table 4.3). Thus, benefits from most of the completed projects are likely to continue in future.

Table 4.3

Trends in Risks to Sustainability of Outcomes
percentage of reviewed projects

Risk category	Pilot phase/OP1	OP2	OP3
Not risky	78	81	81
Risky	22	19	19

Note: Projects reviewed = 180, projects rated = 159, projects unable to assess = 21.

When compared to completed GEF full-size projects and medium-size projects, which are rated using similar criteria by the GEF Evaluation Office, SGP projects are rated slightly higher for project outcome and significantly higher for sustainability.[1]

4.2 Contributing to Country Change and Reform

Conclusion 2: The SGP has contributed to numerous institutional reforms and policy changes in the recipient countries to address global environmental issues.

Replicating, scaling up, and mainstreaming local community activities have been emphasized since the beginning of OP1. The SGP has made important contributions to the development of country capacities to address global environmental issues in ways that also contribute to a country's sustainable development priorities. Almost all country programs reviewed include among their achievements some form of replication or mainstreaming of practices or technologies that SGP projects have introduced, whether at the local, provincial, or national level; this is true even for those countries in which the SGP is relatively new.

In all 22 country programs reviewed, the evaluation found that the SGP has contributed to the formulation and/or implementation of policies either by cultivating relationships with civil society organizations; local, provincial, and national governments; academic institutions; other global organizations; or the private sector. Country programs seek to influence policies and institutions through awareness raising, sharing of knowledge, and developing or strengthening of institutional capacities.

Following are specific findings related to this conclusion.

Development of Local Policy Instruments

The SGP influenced local policy in the reviewed country programs. In Vietnam, lessons from SGP project grants have been included in municipal guidelines. In the Philippines, lessons from SGP project grants became a basis for drafting municipal environmental ordinances, including the establishment of marine sanctuaries, bans on hunting, and the deputation of fish wardens and forest protection volunteers.

Contribution to National Policy Formulation

A majority (13 of 22) of the country studies reported examples on how the SGP has provided input to national policies. In Poland, SGP projects were instrumental in developing the national agrobiodiversity plan, which focuses on traditional species and products; this plan supports both environmental measures of the European Union and the United Nations Convention on Biological Diversity. In Ghana, the SGP has made contributions to several national policies, including the National Biodiversity Strategy, National Strategic Energy Plan, and National Wildfire Policy. In Turkey, the SGP contributed to the country's first conservation-oriented management plan for a salt lake (see box 4.1).

Box 4.1

Tuzla Lake Project Influenced Turkey's National Legislation

Palas Lake in Tuzla, Turkey, is seasonal home to five bird species designated by BirdLife International as Species of European Conservation Concern; several of these breed at the lake. In addition, several endangered or threatened mammal species rely on the lake's resources, and an endemic tulip variety (Tulipa armena) grows in the surrounding hills. Salt extraction degrades and threatens the habitat; it has been in practice here since the Ottoman Empire.

Working with biology faculty from Erciyes University, a recent SGP project, Environmentally, Socially, and Economically Sustainable Salt Extraction in Palas Lake, devoted an initial two-year phase to researching biodiversity, bird habitats, land tenure systems, and salt extraction practices. These studies guided the National Society for the Conservation and Documentation of Nature in mapping priority conservation areas and drafting a salt lake management plan for sustainable salt extraction and the protection of nesting sites. This scientific validation of the area's biodiversity value, combined with the management plan and subsequent organization of a stakeholder committee, was instrumental in attracting the interest of Turkey's National Wetlands Commission of the Ministry of Environment. The commission recently visited the lake and has taken global positioning system coordinates for its declaration as a protected area.

The Palas Lake project has directly influenced national policy in Turkey; furthermore, it has improved existing wetlands legislation, which now recognizes salt lakes as a natural resource. Previously, salt extraction had been subject to mining laws, and the National Wetlands Commission did not include salt lakes within its mandate. Once approved, the proposed sustainable salt extraction plan will be the country's first conservation-oriented management plan for a salt lake. The plan and the process look to be eminently replicable.

Facilitation of Access to Broader Markets

Five of the 22 country studies report that the SGP has supported market expansion for products generated by SGP projects. In four of these countries, the private sector is a program partner and plays a critical role in scaling up. In Ghana, an SGP project led to Japan International Cooperation Agency assistance for women's groups with new technologies to produce shea butter soap for the Japanese market. Another Ghana project, Bioprospecting of *Thaumatococcus danielli*—which involves the sustainable harvesting of this natural sweetener and other nontimber forest products in order to conserve tropical forests—attracted the interest of Smartext Timber, which, with funding from a private bank in Germany, transformed it into a processing company producing sweeteners for pharmaceutical companies. In Mexico, the SGP supported an umbrella organization through which community groups of individuals could access credit and technical assistance aimed at enabling their export of organic honey (see box 4.2).

Incubative Role

In Mexico, the SGP is seen as an "incubator of initiatives," and several significant processes under wide implementation today originally began as small actions funded and promoted by the SGP. One such initiative is the Local Risk Management Programme, in which the SGP played a catalytic role in lowering community risks when natural disasters occur (see box 4.3).

4.3 Addressing Livelihood Needs

Conclusion 3: The SGP has contributed to direct global environmental benefits while also addressing the livelihood needs of local populations.

Evidence from the country studies and the field-verified grant sample suggests that the SGP's global environmental benefits, or contribution to processes that are likely to result in global environmental benefits, are considerable. However, the evaluation also found that of the 22 country pro-

Box 4.2

Scaling up Small Projects: Organic Honey in Yucatan, Mexico

For several decades, the Yucatan Peninsula, where the Mexico SGP concentrates its activities, has produced a high-quality honey that is recognized by its name. It has well-established marketing channels and has captured about 12 percent of the global honey market. However, while Yucatan honey production has had only modest negative environmental impacts (related to chemical byproducts and non-indigenous bees), the honey production did not generate any particular environmental benefits.

The Mexico SGP identified production of organic honey as an alternative that could significantly contribute to the conservation of biodiversity while improving the income and livelihood of local families. Since organic beehives must be two kilometers from any source of pollution, the certification process creates a powerful incentive for conservation. An emerging demand in Europe for premium organic products made the shift especially promising. In addition, organic honey provides prices up to 50 percent higher than conventional honey, as well as offering an alternative to markets dominated by traditional local brokers, which pay low prices to the Mayan beekeepers. The SGP promoted the participation and collaboration of local honey producers in the elaboration of the Yucatan State Apiculture Promotion and Protection Law of 2004, which specifically addresses its support of organic honey production.

Shifting to organic production, however, is technically difficult and expensive because the entire process from farm to consumer must be independently certified. Certification entails the expensive requirement of bringing in an Institute for Marketecology–certified inspector. The organic process requires measurements from beehives to crops and sampling and analysis of every honey container and every piece of equipment along the chain for an absence of pesticides or other prohibited contaminants. To facilitate small producers, the Mexico SGP made grants to local community groups and linked them with universities, NGOs, and private experts for technical assistance. For example, in anticipation of a regional organic honey certification, the SGP is supporting the creation of the Honey Institute of the Caribbean, an NGO that will offer technical assistance for honey producers of Central America, which will significantly lower certification costs. The program has also provided technical and financial training for local cooperatives to process, package, and export organic honey to the European market, having initiated the process in Germany and France.

Aiming at linking organic production with the conservation and restoration of habitats that border protected areas, the SGP has negotiated with producers so they would prioritize their work in the buffer zones of the Petenes, Celstun, Rio Lagartos, Ballam Kax, Calakmul, and Sian Kaan protected areas. Thus, the honey industry is contributing to the expansion of natural habitats and the protection of wild species. In addition, the SGP has been providing training in basic financial accounting for the local organizations; seeding funds to local groups to finance the collection and storage of honey prior to processing and marketing; and funding knowledge-sharing activities, such as exchange events to share techniques and best practices. The SGP has been able to attract other funding sources (including the Swiss Embassy; the federal Department of Social Development; and the Campeche, Yucatan, and Quintana Roo governments) to sustain the effort.

Eleven years after the initiative's start-up, the cooperatives export 677 tons of quality honey annually. Most of these exports go to the fair trade market, an intermediate step on the road toward organic certification. There are 457 producers marketing their products through the cooperatives and another 922 closely linked through the Yucatan Peninsula Apicultural Coordination (a mechanism that serves both conventional and organic producers). Each producer has an average of 20 hives, and the target is to expand to 50 each in the next three years and to 100 three years after that.

grams reviewed, the SGP might have generated more global environmental benefits in OP3 if its grants were not as dispersed across the country, and/or the country program had chosen to focus on a region with relatively higher globally significant biodiversity.

Across the country programs reviewed, the SGP was active in all GEF focal areas except ozone-depleting substances.

The following presents more detail on this conclusion by focal area.

Box 4.3

Reaching out: SGP Mexico Local Risk Management Program

The Yucatan Peninsula lies in the hurricane corridor of the Caribbean Sea and every year suffers the effects of multiple hurricanes and tropical storms, either directly or peripherally in terms of torrential rains and massive waves. In 2002, Hurricane Isidoro pummeled the northern part of the peninsula, destroying or seriously affecting 74 SGP-supported projects. This was the first time that the SGP had suffered devastating effects of this scale.

In the aftermath of Isidoro, it became clear that future SGP projects would need to account for the Yucatan's violent weather patterns. In response, the SGP initiated a new Local Risk Management Programme that focused on helping communities with SGP-supported projects adapt to extreme effects of climate change, such as hurricanes and other hazards. The program consisted of several components., notably a network of local risk management committees linked by a radio-based early warning and tracking system to notify communities as to when hurricanes and tropical storms were about to hit the region. The committees also facilitated a number of prevention measures, including coordination with the governmental civil protection system (including official refuge and evacuation protocols), the creation of safe storage places for valuables, and the establishment of reporting mechanisms so communities could learn about road conditions and other critical information in the event of a hurricane.

The benefits of the program in general, and the early warning system in particular, are numerous. The system allows vulnerable populations to protect not only their lives, but also some of their natural resources and livelihood strategic assets. With adequate warning and training, local NGOs and CBOs managing GEF projects can protect their investments by implementing simple and low-cost preparation activities. The system also facilitates the flow of information out of the region during a crisis, permitting relief groups to better coordinate their efforts. Finally, the program opens the door to longer term mitigation measures, such as developing native seed reserves of key agricultural species. These stocks mean that in the event of a hurricane, crops could be replanted immediately, thus shortening dependence on external support and conserving local agrobiodiversity.

In practice, after Hurricanes Wilma and Dean (in 2005 and 2007, respectively) struck the peninsula, extended damage evaluation showed that, although the general impact was intense, those communities that had participated in the program were much better prepared. Fishermen took their boats to designated spots in the mangroves and stored them there. Radio warnings helped communities follow the hurricanes' path and alert people in the most vulnerable areas to seek shelter. Just 24 hours after both storms, the program produced the first damage assessment of the hurricane and provided local/national governments, as well as SGP headquarters, with timely information on critical needs and the condition of access routes.

These positive impacts led communities to approach the SGP not only for environmental grants but also for inclusion in the program. The high levels of demand soon exceeded the capacities of the Mexico SGP, which decided to spin off the program to allow it to grow. The SGP was instrumental in attracting resources from UNDP's Bureau for Crisis Prevention and Recovery and the federal and state governments to make significant investments in hurricane mitigation.

As of this writing, the program covers 12 microregions across four states (Quintana Roo, Yucatan, Campeche, and Tabasco), a total of 534 communities in 38 municipalities. Negotiations are under way to extend the system to an additional 12 microregions, including the nearby Chiapas and Oaxaca States, which lie on Mexico's Pacific Coast and are regularly subject to Pacific hurricanes and tropical storms. This case is an example of the SGP's potential to address issues affecting the communities in which it is active in an innovative manner. Moreover, it shows how the SGP can incubate successful processes within the strategic GEF focal areas (such as climate change adaptation) and then hand them off to partners so they can be scaled up and grow independently.

Biodiversity Conservation

All 22 country programs examined by the evaluation have activities in biodiversity; these contribute to the conservation of endangered species, the reduction of threats to endangered ecosystems, and the conservation of protected areas. In Turkey, an SGP grant resulted in significant reduction of illegal fishing of pearl mullet, which is on the Red

List of the International Union for the Conservation of Nature and Natural Resources. In Ghana, the program has placed 250,000 hectares of land outside the gazetted protected forests under effective community management. These areas include globally significant biodiversity areas, important bird areas, biological corridors, and traditional protected areas (see box 4.4). In Romania, several projects are improving the protection of key species, such as Black Sea dolphins, white storks, and golden eagles; and of local reserves and protected areas.

SGP conservation activities normally involve community groups and result in direct benefits to local populations. For example, country programs supported management of forest buffer zones of protected areas and promoted the conservation of agrobiodiversity, resulting in economic gains for the local populace. SGP country programs also supported ways to add economic value to biodiversity conservation through ecotourism or development of specialty markets. Projects in Cuba, Ecuador, Malaysia, Mexico, Niger, Romania, and Vietnam have contributed to the control of invasive species affecting local production or have supported the conservation of agricultural biogenetic resources or medicinal plants.

Climate Change Mitigation

Seventeen of the 22 SGP country programs reviewed have contributed to the reduction of greenhouse gas emissions by introducing renewable energy sources and energy-efficient alternatives. These include solar panels, solar heaters,

Box 4.4

The Case of Mount Kenya

The Mount Kenya World Heritage site, an internationally recognized biosphere reserve, consists of a national park, natural forest, and several adjacent natural forests. The forest zone hosts important populations of several threatened animal species, including an endemic mole rat, the green ibis, Ayre's hawk eagle, the Abyssinian long-eared owl, the scaly francolin, and the alpine meadow lizard. The forest around Mount Kenya is threatened by numerous activities facing other indigenous forests in the country, including illegal logging, firewood collection, poaching, charcoal production, destructive honey collecting, settlement and agricultural encroachment, and the cultivation of marijuana.

Under the stewardship of the Community Management of Protected Areas Conservation (COMPACT), a joint SGP–United Nations Foundation initiative, the Mount Kenya Donor/Partner Forum has been established as a major institutional innovation bringing together more than 20 key stakeholders to attract and plan investment initiatives and generate a common set of objectives for the conservation of this World Heritage site. The forum meets regularly to address such priority issues as forest policy, the Mount Kenya Management Plan, water use and management, charcoal production and policy, human-wildlife conflict and agroforestry. The forum introduced the concept of a "conservation levy" by which major beneficiaries of Mount Kenya resources, such as the large horticultural farms and electricity and water utility companies, would pay a levy to be reinvested in ecosystem conservation. Kenya's minister for Environment and Natural Resources recently announced that plans for such a levy were under way. The forum has also established a Charcoal Task Force to include representatives from several NGOs, the Ministry of Energy, the Ministry of Environment and Natural Resources, the private sector, and charcoal producers.

The UNDP country office convenes and chairs the forum, which contributes significantly to its success. UNDP sees the forum as an "agency best practice" and has developed similar forums in the country. The Mount Kenya forum has also become an important coordinating mechanism for other environmental initiatives in the area. For example, the GEF Mount Kenya East Pilot Project for Natural Resource Management, jointly conducted by UNEP and the International Fund for Agricultural Development, is collaborating with the forum, and, as a result of its forum-related interactions, the Netherlands Embassy has offered $200,000 for environmental governance projects at Mount Kenya, to be managed by COMPACT.

small hydroelectric plants, and fuel-efficient stoves (see box 4.5). Another alternative used is biomass-based generators, which are mostly installed in remote off-grid areas to provide marginal populations with a more reliable energy source, save labor, and improve health conditions. In Poland, for example, SGP grants have contributed to the replacement of inefficient and polluting heating systems in private houses and public buildings with more efficient systems based on renewable sources of energy (particularly biomass). In the Philippines, 26 hydropower plants with an average 21-kilowatt generation capacity have been established in rural areas. These plants have reduced the use of kerosene-wick lamps by thousands in communities located in off-grid areas and have led to a decrease in carbon dioxide emissions by local communities: a 25-kilowatt microhydropower plant at full operation displaces about 170 tons of carbon dioxide per year. In Vietnam, the SGP tested rice paddy irrigation methods, which were found to reduce methane emissions by 15 percent.

Box 4.5

Success of Fuel-Efficient Stoves in Pakistan

The Escorts Foundation in Pakistan has worked for over a decade to improve health, education, and income generation in targeted villages around the Changa Manga forest outside Lahore. Through their work, foundation staff noticed that families regularly—and illegally—pillaged the forest for firewood to be used in kitchens. The local women subsequently spent long hours stooped over smoky stoves, developing lifelong respiratory and eye problems. The situation posed threats to all concerned: the immense pressure for firewood damages the forest; while the smoke emitted contributes to greenhouse gas emissions, damages the atmosphere, and affects global climate change.

With SGP funding, the foundation touted a modified version of a previously introduced cooking stove, whose use had failed to catch on earlier primarily because of a lack of training and because it required a blacksmith to make the stove's steel chimney. The new stove featured a mud chimney and was introduced in 24 villages. In each village, the stove's construction was demonstrated and local women were trained as *chullah* mechanics, who could then make the stoves for others in their village for a nominal fee. The mud-built smokeless stoves need only half the fuel required for traditional ones. Checkups conducted every month to ensure their maintenance revealed a success rate for the smokeless stoves of almost 80 percent. Additionally, an SGP evaluation found other, unexpected benefits. Women enjoy better relationships as they spend less time cooking. School attendance is higher, since children spend less time collecting firewood; they also appear cleaner. The average time spent by a family in foraging for wood has been cut by 70 percent, while the overall consumption of fuelwood in the area has been halved.

International Waters

Eight of the 22 country programs have contributed to the reduction of environmental stresses of international waters, often in collaboration with larger GEF projects in this focal area. In Romania, for example, the SGP supported the adoption of agricultural techniques to reduce runoff of agricultural nutrients and other contaminants. In Jordan, the SGP helped reduce stress in the Gulf of Aqaba by introducing environmentally friendly fishing practices and marine ecotourism, and by raising awareness and knowledge of threats to the gulf. Two SGP projects (aimed at introducing a glass-bottom boat for marine ecotourism) regulated the supply of tourist services and improved income for operators.

Elimination of POPs

In six countries, SGP projects are contributing to a reduction in the use of persistent organic pollutants by introducing POP substitutes and promoting adoption of more environmentally friendly practices in pesticide management. In Iran, the SGP promotes the elimination of pesticides and

herbicides through integrated pest management approaches. SGP projects in Guatemala have introduced methods of growing organic crops that substitute for the use of POPs. In Niamey, Niger, an SGP project has raised awareness about the health and environmental hazards of chemicals used in clothes dying.

Land Degradation

In five of the reviewed countries, the SGP is introducing environmentally sound agricultural, pasture, and forest management practices that help conserve soil and improve productivity. In some desert environments, the SGP is testing ways to protect oasis ecosystems in collaboration with local communities. In Niger, where land degradation and desertification are identified by the government as the country's main environmental problems, the SGP is focusing on projects related to dune stabilization, soil protection, land restoration, and protection of oasis basins in order to increase the productivity of arable and pastoral lands. In Kenya, the SGP supported an NGO promoting the sustainable harvesting, processing, and sale of gum arabic as one strategy for ensuring that the respective trees—especially the *Acacia senegal*—were less targeted by unsustainable practices such as charcoal production. The SGP also has introduced forest management and community-based water conservation practices in the Jordan River Valley and Ajloun.

Summary

Project survey data strongly support the finding that country programs are directly generating global environmental benefits or are promoting processes that contribute to global environmental benefits. The survey assessed the extent to which the expected outcomes of project grants were relevant to global environmental priorities (relevance) of the GEF and the extent to which the sampled project grants were actually achieving the expected outcomes (effectiveness). Very high percentages of the reviewed grants were rated in the satisfactory range for outcome relevance (96 percent) and outcome effectiveness (94 percent). Thus, a vast majority of the grants in the SGP portfolio contribute directly to global environmental benefits (see table 4.4).

Table 4.4

Relevance and Effectiveness of Outcomes
percentage of projects

Rating	Outcome relevance	Outcome effectiveness
Highly satisfactory	50	37
Satisfactory	34	42
Moderately satisfactory	11	15
Satisfactory range	**96**	**94**
Moderately unsatisfactory	3	4
Unsatisfactory	1	2
Highly unsatisfactory	0	0
Unsatisfactory range	**4**	**6**

Note: For relevance, projects reviewed = 180, projects rated = 180, projects unable to assess = 0; for effectiveness, projects reviewed = 180, projects rated = 167, projects unable to assess = 13.

The evaluation found that some projects involved trade-offs between local and global benefits. For example, the design of some SGP projects in Belize, Dominica, and Jordan included livelihood components that did not directly lead to global environmental benefits but were critical in mobilizing local communities for environmental conservation activities.[2]

In particular, many of the project grants aimed at ecotourism involve such trade-offs. However, the majority of grant project activities generated both local and global benefits simultaneously.

4.4 Targeting the Poor

Conclusion 4: The SGP has made significant progress in targeting its efforts to help the poor.

While there is room for improvement in targeting the poor, indigenous peoples, and women, the extent to which SGP grants target these groups seems adequate given overall program objectives. Focusing on poor populations has been an important objective of the SGP. According to the SGP's OP3 project proposal (GEF-UNDP 2005, p. 5), "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)." While formal documents submitted to the GEF Council do not claim that, overall, the SGP targets the poorest and most vulnerable, the SGP has made a case in other formal documents that it indeed explicitly targets these groups.[3]

This evaluation assessed the target beneficiaries of the sampled project grants. It found that, since the inception of the SGP, 60 percent of its projects directly or indirectly targeted the poor or poorest (see table 4.5). Compared to earlier phases, a greater proportion of OP3 projects (72 percent) either directly or indirectly target the poor or poorest. A greater percentage of project grants target poor communities in regions where poverty rates are higher. It can be inferred that the significant gains made during OP3 in targeting the poor are also driven by the rapid expansion of the SGP program into LDCs.

As per the SGP database, at least 15 percent of SGP grants in OP3 explicitly target indigenous peoples. The evaluation confirmed that the reviewed country programs were indeed reaching indigenous peoples and other ethnic minorities, but this was due less to explicit targeting than to the fact that these populations are generally settled in remote, biodiversity-rich areas that have been selected as a geographic focus area by the respective SGP country program. The evaluation also found that a high proportion of the project grants in Latin America are benefiting indigenous peoples. Guatemala is one of several SGP country programs that have developed specific tools to promote participation among marginal populations (see box 4.6); in this regard, the Malaysia SGP has implemented processes for developing video-based grant proposals. The SGP has presented tools and lessons learned relevant to indigenous peoples at several regional and global forums.

According to the SGP database, 26 percent of SGP grants target women. Though many other project grants do not specifically target this group, women participate in SGP project implementa-

Table 4.5

Percentage of SGP Project Grants Focused on the Poor by Operational Phase and Region/Country Type

	By phase				By region/country type					
Focus	**Pilot/ OP1**	**OP2**	**OP3**	**All**	**Africa**	**Asia**	**ECA**	**LAC**	**SIDS**	**LDCs**
Directly targets the poorest	5	14	21	14	30	20	4	2	2	21
Directly targets the poor	27	31	42	34	35	46	28	30	17	62
Indirectly targets the poor or the poorest	25	10	9	13	11	8	4	26	20	6
Targets the poor directly or indirectly	**57**	**55**	**72**	**60**	**76**	**74**	**36**	**58**	**39**	**89**

Note: Projects reviewed = 200, projects rated = 187, projects unable to assess = 13; ECA = Europe and Central Asia; LAC = Latin America and the Caribbean

Box 4.6

Guatemala Community Project Planning: Almanario

The SGP in Guatemala has developed an innovative project management tool—Almanario—to help beneficiary groups, particularly women and those with limited education, prepare SGP proposals and plan, implement, and monitor resulting SGP projects. Almanario functions initially as a project proposal document and is later printed in a wall-size version that serves as a tool for coordinating the group's planning, monitoring, and reporting work. It guides the group in deciding what they want to achieve, what actions need to be taken, what resources (time, money, and materials) are required, and who will take responsibility for various tasks. Once the project has been approved, the wall-size Almanario is posted in a communal room and acts as a self-assessment tool to help the community track activities and intermediate outputs, as well as meeting times and reporting deadlines.

Almanario use requires some training, and the Guatemala SGP has used this requirement to empower local women. Specifically, once a group's initial concept proposal has been selected by the SGP Steering Committee, the SGP requests that the group send a woman to attend a training event. The women are then trained by the SGP staff in the use of Almanario. They then return to their groups to facilitate completion of the project proposal through a participatory process. The women continue to serve as the liaisons between the SGP and the respective community group. They also facilitate use of Almanario in their group. This application of Almanario has raised the standing of women in their community by providing them with opportunities to assume new leadership roles and by allowing them to act as brokers for SGP resources.

Almanario's advantages include the following:

- It is easy to learn and designed for use by people with only a basic education level (reading and writing are the only requirements). A simple users' guide provides basic orientation and examples.
- It is easily translated and can help bridge language gaps. In Guatemala, two versions are available: one in Spanish and another in one of the country's main Mayan languages.
- It can been used to facilitate gender empowerment, as described above.
- It is designed to be sufficiently flexible for use in projects other than SGP proposals. Individuals who have mastered the SGP can thus transfer their expertise to other challenges.
- It provides an agreed-upon reference for reporting at the time of SGP staff supervision visits and provides a visual record of group agreements and other information.
- It can be used in electronic formats for distribution and printing.

tion as members of the local community. Of the 22 country strategies reviewed, only one did not consider women to be a priority target group. This country program also had a very small number of projects focused on women. The evaluation found that, in another country, the SGP is working with a large number of women's groups, sometimes involving heavy manual work, with a few men in the community assisting.

In conclusion, the SGP is targeting the poor but not specifically the poorest and most marginal groups. Reaching these populations, however, is extremely challenging and entails numerous additional costs. While some of the poorest and most marginal populations live in remote and isolated places that have control of natural resources and robust social organizations that make them logical targets of GEF interventions, other such populations are difficult to locate and identify, especially since many are migrant or itinerant laborers, lack access to natural resources, and have fluid forms of social organization. They thus may not be a legitimate target group for the SGP. Given that the GEF's primary mandate is to address global environmental concerns rather than poverty alleviation, the SGP's current level of efforts in reaching

out to the poorest and most marginal populations seems appropriate.

4.5 Promoting the GEF Agenda

Conclusions 5: The SGP country programs, especially the older ones, are effective in promoting the GEF agenda.

The evaluation found that the 22 reviewed country programs were effective at reaching civil society organizations and influencing local policies; many also influenced national policies, thus effecting major gains. Of the reviewed programs, 13 (11 of the 15 that started before 1999 and 2 of the 7 that started in or after that year) reported to have influenced policies at the national level in a substantial manner. The SGP has been able to build strategic alliances with academic institutions, governments, global agencies, and the private sector. In addition, it has been effective at reaching out to all stakeholders, raising awareness, and sharing knowledge. The program's decentralized structure, checks and balances that facilitate transparency in decision making, and continued presence in the participating countries have all contributed to SGP effectiveness in promoting the GEF agenda.

Developing/Strengthening Institutional Capacity

The evaluation found that in all 22 country programs examined, the SGP has contributed to capacity development of civil society organizations (NGOs, CBOs, their networks, universities, research centers). In 13 cases, including 9 of the older programs and 4 of the younger, the program contributed to the strengthening of government institutions. Support of a symposium on the sustainable development of northern Kenya and support to the Kenya Forest Working Group for the creation of its Web site and for publicity are examples of how the SGP has been instrumental in providing timely institutional support to key organizations and networks lobbying for better management of the environment. Similarly, the SGP in Cuba has succeeded in strengthening local institutional capacity to scale up and mainstream global environmental concerns.

Reaching out to Stakeholders, Raising Awareness, and Sharing Knowledge

In all 22 countries examined, the projects supported by the SGP promoted outreach activities at the local and national levels through publications, mass media, learning events, and—in Barbados, Jordan, and Niger—information technology. In Ecuador, local communities of the Las Brisas wetlands were interested in formal declaration of their region as a protected area because of the potential for generating tourism activities and income to the communities. They worked to achieve this goal through community mobilization, promotion of environmental awareness, and education. In Poland, some NGOs are training police and customs officers in the implementation of the Convention on International Trade in Endangered Species of Wild Fauna and Flora, thus transferring their knowledge of biodiversity in order to combat smuggling and illegal trade.

Factors in SGP Success

Country contexts provide the opportunities—and the constraints—for SGP program success. Legal and institutional frameworks, market conditions, prevailing attitudes toward environmental regulation, availability of partners—such as capable civil society organizations—and sources of financing comprise the country context variables that affect SGP performance. In all cases examined, the SGP country programs seemed to be well adapted to country conditions; the SGP has been flexible in

its overall approach, and its staff—notably the national coordinators—have demonstrated high levels of skills and commitment. Most SGP country programs are cost-effective instruments that engage community groups in global environmental concerns and contribute to the livelihood needs of local populations.

The six following aspects of the SGP approach to establishing and supporting national country programs have been critical to its success.

Decentralized Decision Making

Since its inception, the United Nations Office for Project Services has worked closely with resident representatives of the UNDP to select countries that have the right conditions for a grants program.4 Once a country is selected, the Central Programme Management Team negotiates with the government on the overall orientation of the program and creates an independent structure with a locally based national coordinator and a national steering committee. Throughout this process, the UNDP resident representative offers guidance. The NSC and national coordinator are responsible for developing a country program strategy on the basis of a set of guidelines provided by the CPMT and, frequently, in consultation with country program stakeholders.

Governance

Several checks and balances are critical to effective decentralized decision making:

- During program start-up, the UNDP resident representative selects a national coordinator based on criteria developed by the CPMT and who must ultimately be approved by the CPMT.
- The national coordinator is accountable to the CPMT on substantive and programmatic issues and is accountable to UNOPS and the UNDP resident representative on administrative and financial management issues.
- The NSC is composed of respected individuals from civil society, government, academia, the private sector, and the media. NSC members serve on a voluntary basis, and they bring transparency and credibility to the programmatic and grant-making processes. Active involvement of the government in national steering committees is particularly helpful in influencing policies.[5]

Independence

Country programming and grant review and approval are carried out by the NSC, including the national coordinator, with oversight from the UNDP resident representative. This governance structure has worked because it is (1) transparent and (2) generally considered to be fair by civil society organizations, government agencies, and other stakeholders.

Stakeholder Participation

Stakeholder participation has been one of the strengths of the SGP since its inception. Ninety-seven percent of the projects reviewed during this evaluation were rated in the satisfactory range in terms of stakeholder participation, and performance on this parameter has been stable across all operational phases. Project grantees engage with the relevant GEF FSPs and MSPs, government agencies, and other civil society institutions to foster linkages and learn from their experience. They also incorporate mechanisms for conflict resolution in the project design. At the country program level, the NSC has representation from a diverse set of stakeholders including NGOs, government agencies, UNDP, the private sector, and academia. The country programs also actively seek the participation of policy advocacy groups, government agencies, multilateral organizations, global

environmental convention representatives of the recipient countries, and GEF FSPs and MSPs in developing the country program strategy.

Partnerships

SGP partnerships vary in terms of their objective, complexity, intensity of engagement, geographic scope, size, and diversity. They contribute in-kind or financial resources that, in most cases, are critical to the success of the projects. Many partnerships are established at the local level by the grantees as part of the project preparation process, often with support from the SGP national coordinator. Partnerships with universities, research institutions, government agencies, and NGOs have provided technical support on new technologies, production practices, and/or marketing. Partnerships with volunteer services and NGOs have helped the program provide better monitoring and supervision of project activities. Partnerships with other governments, other donors, and the private sector have provided financial resources for regular program activities or have enabled the conduct of other activities that, even though essential in meeting the needs of local populations, cannot be undertaken with GEF funds.

Other partnerships are initiated at the central level, some of which are managed globally by the CPMT and others of which are managed at the national level. In this regard, the CPMT has identified 20 top global partners that it holds as representative of the partnerships the SGP highly values and pursues (see annex C). These primary partners, all of which are currently involved in SGP projects, have or will be contributing in-kind and/or financial resources to the program. Of the 20 primary partnerships, 7 were established with other GEF operations, either regional or global; 5 with other United Nations agencies; and 8 with bilateral agencies and international organizations. Several of these partnerships support GEF international waters operations; other key partnerships, such as those with the United Nations Foundation and the International Coral Reef Action Network, emphasize an ecosystem approach and allow for a broader programmatic operational outlook.

In many instances, SGP partnerships were found to be critical to the sustainability of results, since they link community groups with institutions and organizations that can provide ongoing support once the SGP grant ends. An example of such a partnership is that of the Pakistan SGP with British Petroleum (BP) (see box 4.7). Partnerships have also been important in mainstreaming the lessons and knowledge generated by SGP projects. In Vietnam, for example, an important factor contributing to the adoption of SGP lessons by provincial governments is SGP involvement with local governments in project financing and implementation.[6] Also in Vietnam, active involvement of the Environment Ministry in the SGP's NSC contributed to the adoption of SGP project lessons in drafting a national law on ecotourism.

In interviews with representatives of major global and regional SGP partners, the evaluation found that most of the partners established alliances with the SGP because of the program's knowledge and experience in working directly with communities as a means of influencing national policies. Furthermore, in most cases, the partners had initiated contact with the SGP. Concerns expressed by the partners about the SGP involve the following:

- Delays due to administrative problems, contract templates that were not acceptable to UNDP, financial modalities, and other bureaucratic procedures; one partner stated that "although SGP has given support to overcome problems, they still persist"
- Unclear communication that produced different expectations and capabilities at the outset of the agreement

Box 4.7

Pakistan SGP Partnership with British Petroleum

British Petroleum's Social Responsibility Department plays a very active role in Pakistan's Badia District, focusing on the environment, energy, and education. The potential synergies of this BP focus with SGP initiatives centered in the area are obvious, and a partnership was established between the two, with BP agreeing in July 2006 to commit $200,000 to be matched by the SGP. Four projects were subsequently begun, under the auspices of various civil society organizations:

- **Pakistan Fisher Folk Forum**—provision of safe drinking water to 5,800 community members through desalination plants run by wind and solar energy at Village Zero Goongro (Ahmed Rajo Union Council) and Village Kandri (Bhugra Memon Union Council)
- **Mehran Social Welfare and Development Organization—**improving the livelihoods of fishing communities of Union Council Kothi in Taluka Jati, district Thatta, by introducing energy-efficient products including fuel-efficient stoves, *fanoos* to replace existing kerosene oil lanterns, and efficient fish storage
- **Laar Development Association—**introduction and promotion of energy-efficient technologies in 15 villages of U/C Bhughra Memon in the Coastal Belt of Badin
- **Integrated Agriculture Developers—**introduction of crop production on saline soils with saline waters in the coastal belt of Badin to alleviate poverty

Most project objectives have already been met, and BP senior officials have expressed their satisfaction with the results. The SGP is currently negotiating with BP for a further $1 million in funding for small grants environmental projects.

Although the partnership has some potential disadvantages (for example, the risk of becoming tied to a particular region/area and the reputational risk of operating alongside a major petroleum company), to date both partners have benefited from the collaboration. BP has gained an umbrella mechanism for its corporate social responsibility portfolio as well as some extremely positive public relation benefits. Moreover, civil society in this area has been mobilized by the SGP projects. For its part, the SGP has received substantial funding, which has been very helpful in setting the stage for graduation. The BP cofinancing has also brought the SGP to the attention of other potential private sector cofinancing organizations.

- Lack of visibility for the partners, for example, no explicit mention on the SGP Web site

Programmatic Approach

SGP programs that establish good track records and demonstrate that they are "there to stay" are in a better position to influence broader processes—sometimes with far-reaching impacts. Further, after completion of their start-up phases, programs learn from their experience and retain institutional knowledge. Consequently, they do not have to "reinvent the wheel," which is very often the case for the small grant components of the GEF FSPs and MSPs, which lack such a corporate memory.

Notes

1. The *GEF Annual Performance Report 2006* reports that 84 percent of GEF FSPs and MSPs were rated with outcomes moderately satisfactory or above; 61 percent had sustainability ratings of moderately likely or above (GEF EO 2008a).

2. These projects are, respectively, Belize's Gales Point Preservation and Conservation Project, and Capacity Building and Infrastructure for Sarteneja Wildlife Environment and Ecotourism Team; Dominica's Wammae Letang Fresh Water Lake Ecotourism and Site Conservation, Petite Savanne Integrated Project, and Giraudel Environment Conservation and Economic Development; and Jordan's Women in Natural Resource Management and Improved Community Livelihood in Um Ayyash.

3. May 14, 2007, communication of the SGP Global Manager to the SGP evaluation team.

4. A resident representative is the highest ranking diplomat of the UNDP staff in any country.

5. While this system has worked well for most programs, it created problems in 3 of the 22 reviewed countries. In one, the selection of the NSC seemed to be explicitly controlled by the national coordinator; in two others, there were reports of potential conflicts of interest during grant allocation.

6. The government of Vietnam has approved a law under which 1 percent of the country's national budget is assigned to provincial governments. The link with the SGP allows local government to partner with projects that qualify for central government financing at the same time that they qualify for SGP grants.

5. SGP Efficiency and Cost Effectiveness

5.1 Efficiency

Conclusion 6: All country programs reviewed had interaction with other GEF projects.

In most instances, the SGP assists other GEF projects by providing inputs to their design and by implementing components. Collaboration also takes place when there is congruence in location and focus of operations. Due to a lack of guidance in promoting interaction between SGP and GEF projects, cooperation between them takes place in an ad hoc manner. Proactive national coordinators and the participation of GEF focal points and managers of other GEF projects in the NSC or a similar mechanism facilitate collaboration.

The review of the 22 country studies included in this evaluation shows that in all countries there are instances of mutually supportive interactions between SGP and larger GEF operations. In comparison, a 1998 study commissioned by UNDP's GEF SGP Coordination Unit found that only 53 percent of the 34 countries surveyed reported operational and/or advisory links between SGP and GEF projects.

In general, the SGP tends to cooperate more with GEF projects implemented by UNDP. Of the examples identified in the country case studies, 52 percent of the GEF projects that had interaction with the SGP were implemented by UNDP, followed by 34 percent implemented by the World Bank; the remaining 14 percent were implemented by UNEP.

Interactions between SGP and GEF projects vary in terms of their operational formality, but most can be characterized as follows.

- **The SGP supports small projects that are aligned with MSP and FSP objectives.** Eighteen of 22 country case studies reported that the SGP had provided grants that directly supported the objectives of larger GEF projects. In Kenya, such initiatives include the SGP–United Nations Foundation's COMPACT program and the GEF MSP Mount Kenya East Pilot Project for Natural Resource Management, which is jointly implemented by UNEP and the International Fund for Agricultural Development. Poland features similar examples of direct synergies, as the SGP there has contributed to the launching of MSPs in the sustainable transport and renewable energy sectors. One of these projects addresses sustainable transport through the promotion of bicycle ways, and has led to the development of an MSP in Gdansk focused on the development of an urban cycle way. Similarly, the SGP supported the preparation of technical documentation for a biomass MSP. In Iran, SGP grants have complemented larger GEF projects aimed at conserving globally endangered species such as the Asiatic cheetah and Siberian crane.

- **The SGP supports or contributes to the design of MSPs and FSPs.** All but one of the country programs reviewed identified the SGP as a significant player in informing the project design of FSPs and MSPs, particularly through lessons learned on ways to involve community groups in environmental projects. In Mauritania and Mexico, the GEF and the World Bank have used SGP tools to develop a manual for microgrants (World Bank Small Grants Program and International Youth Foundation 2003) and use SGP monitoring tools in analyzing and selecting microgrant proposals. In Ghana, the Northern Biodiversity Conservation FSP was designed with strong inputs from the SGP; and the SGP national coordinator participated in project design, inception, and implementation. In Egypt, the NGO that implemented the SGP project Conservation of Biodiversity in Rangelands of the Northwestern Coastal Zone contributed to the preparatory activities that led to the FSP Conservation and Sustainable Use of Medicinal Plants Project in Arid and Semi-Arid Ecosystems. In some cases, the process is reversed—for example, when an SGP country program takes on spin-offs from MSPs. In Romania, three SGP international waters projects were built on the World Bank GEF initiative Control of Agricultural Pollution and Strategic Partnership for Nutrient Reduction in the Danube/Black Sea Basin. In the Philippines, the SGP project Biodiversity Conservation in Mount Isarog Natural Park was a spin-off of the UNDP GEF MSP Sustainable Management of Mount Isarog Territories.

- **The SGP implements a component of a GEF project.** Five country programs have implemented grants with funds originating from larger GEF projects. In this way, SGP experience in creating community-based measures and incentives is effectively captured within a larger initiative. The SGP country programs in Egypt and Kenya are currently implementing small grant components of the GEF Nile Basin Initiative which is jointly implemented by UNDP and the World Bank (see box 5.1).

- **SGP generates outcomes that are subsequently scaled up or mainstreamed into MSPs or FSPs.** In five of the examined country programs, large GEF projects have benefited from the organizational capacities of SGP grantees, and some small grants have graduated to become MSPs. In Saint Lucia, an SGP grant was catalytic in creating the regional FSP Organization of Eastern Caribbean States Protected Areas and Livelihoods Project. In Pakistan, the SGP Torghar Conservation Project was scaled up to become a GEF MSP with a budget of $1.2 million for Sustainable Use of Biodiversity in Balochistan. In Kenya, an MSP on Commercial Insects encapsulates the lessons from several SGP grants. In some cases, FSPs have supported the sustainability of SGP grants. For example, the Community Investment Fund in Ghana funded some earlier SGP grantees to expand their activities to commercial levels (cocoa and seedlings in the Tarkwa District). Two small SGP grants in the north of Ghana laid the foundations for an FSP that aims at expanding elephant corridors and developing local medicinal plants.

Effective communication, networking capacity, and knowledge sharing seem to enable productive links between SGP and other GEF projects. The proactiveness and experience of the national coordinators with larger GEF projects, and the cooperation and support available from the GEF focal point in UNDP, seem to be critical. SGP interaction with individual agencies greatly depends on how active each is in a country or the geographical locations in which the GEF operates. For example, in Kenya there is significant collaboration between

Box 5.1

Nile Basin Initiative: The SGP Interacts with Larger GEF Projects in Egypt and Kenya

The Nile Basin Initiative establishes an institutional mechanism, shared vision, and set of agreed policy guidelines to provide a framework for cooperative action aimed at environmentally sustainable socioeconomic development of the Nile River Basin. One element of the initiative is providing microgrant support for community-level land (agriculture), forest, and water conservation activities. These microgrants are processed through the country SGP in Egypt and Kenya (the other countries involved in the initiative, which include Burundi, Democratic Republic of Congo, Ethiopia, Rwanda, Sudan, Tanzania, and Uganda, do not have SGP country programs and thus have established their own national steering committees to process grant applications).

In Kenya and Egypt, microgrants worth a maximum of $25,000 are approved by the respective NSC. In Kenya, as of November 2006, the SGP had processed 14 microgrants worth $344,549. The country evaluation team visited one of these projects; it aimed to reduce threats to forests in Western Kenya caused by fuelwood use for tobacco processing and domestic use. Mixed results have been achieved. On the one hand, the project has increased awareness of global warming and greenhouse gas emissions by schools and communities; has increased the number of households and institutions using energy-efficient technologies; and has enhanced community knowledge and capacity to produce, service, and sell energy-saving equipment and biogas plants—all of which has led to a reduction in the amount of fuelwood used at the household level and has enhanced conservation of biodiversity through a reduced demand for forest products. On the other hand, the project was unable to address the major cause of deforestation: use of fuelwood in drying tobacco leaves.

As of February 2007, the Egypt SGP had processed some 24 microgrants totaling approximately $550,000. Several grants were visited by the country evaluation team in Egypt; these addressed agricultural and household waste contributing to the problem of nutrient runoff into the Nile. The initiative appears to have raised awareness about the connection between agricultural and household waste and water quality in the Nile and associated canals, and communities reported that they were now composting waste to produce fertilizer. Interestingly, communities and government officials reported that the microgrants were the most visible and tangible benefits gained so far from the Nile Transboundary Environmental Action Project, which is the largest of the eight projects under the Nile Basin Initiative's Shared Vision Program.

the SGP and UNEP, mainly because UNEP is headquartered in that country. Two other factors seem to foster interaction: (1) participation of the GEF focal point and Implementing Agency representatives on the NSC and (2) the national coordination mechanism established by GEF focal points to respond to the RAF. Conversely, lack of knowledge about and awareness of GEF programs, divergence between focal area and geographic location, and MSP and FSP preparation delays seem to decrease the likelihood of strong linkages between SGP and other GEF programs. For example, in Ecuador and Mexico, interaction has been limited by the small number of GEF projects that are implemented in areas in which the SGP is working. There are also misunderstandings regarding GEF policies on interaction among Agencies. Some project managers believed that GEF projects were not allowed to include funds for other GEF activities such as the SGP. Several national coordinators and managers of FSPs and MSPs also indicated during interviews for the evaluation that there is a need for clearer guidance to facilitate collaboration with larger projects. Thus, while some interactions between the SGP and larger GEF projects are taking place, they have not been adequately institutionalized. Interactions tend to be ad hoc and largely dependent on individual initiative. There is no clear guidance or requirement for GEF Agencies to interact with the SGP.

Conclusion 7: The SGP's knowledge-sharing practices have been satisfactory.

Knowledge sharing encompasses the generation, organization, and dissemination of past relevant knowledge. Effective knowledge sharing is critical if the SGP is to function as a flexible and adaptive organization. Knowledge generation takes place within the SGP both through centralized and decentralized processes, including field testing of new technologies, evaluation of new operational procedures, maintenance of the SGP database, documentation of the experiences of project grants, and conduct of focal area or geographically focused evaluation studies. Much of the knowledge generated through these processes is converted into written, pictorial, and/or video records. This information is shared with the country program teams through Internet-based forums, publications, field visits, and the SGP Web site as well as through national, regional, and global workshops. A communication strategy developed by the SGP in 2001 guides its knowledge management efforts. As per the SGP expenditure statement for OP3, a majority of the reported expenses on knowledge-sharing activities were incurred by the CPMT. Although only a small proportion of reported program management expenditures by country programs goes for knowledge-sharing activities, a considerable proportion of expenses on such activities is met through management grants.

CPMT knowledge-sharing activities are geared toward meeting the needs of a varied set of audiences. This evaluation looked at how these activities are meeting the needs of the SGP country programs. Available data suggest that, in general, country programs find the knowledge products developed by the CPMT to be useful. Three out of four national coordinators reported that knowledge products prepared by the CPMT—which include publications, presentations, and videos—are "frequently" or "always" useful for addressing their country program needs. National coordinators also reported that, among these products, the CPMT-developed PowerPoint presentations, the guidance documents on SGP strategies and policies, and the SGP database were especially useful. They judged CPMT videos, guidance on how to make a video project proposal, and advice on publishing articles in scientific journals as not useful. Currently, there is no mechanism in place to seek feedback on a systematic basis from intended users on the utility of SGP knowledge products. This prevents the CPMT from assessing the demand for and effectiveness of these products.

This evaluation also looked at the extent to which SGP country programs were sharing experiences with each other. Three out of four national coordinators reported that they were adopting a tool, technology, practice, or lesson that was first developed, tested, or reported in another SGP country program. For example, the country program in Belize is using an adapted version of Guatemala's Almanario tool for facilitating the project design process. The national coordinators also stated that regional and global workshops, exchange visits, and Internet-based forums helped them learn about the experiences of other country programs. On the other hand, some coordinators found these workshops and exchange visits to be costly options for knowledge sharing.

The evaluation assessed the extent to which generated knowledge was being adopted at the project level and rated project grants on a six-point scale. The scale ranked how projects incorporated learning from past SGP and other GEF projects and, when required, demonstrated flexibility in using approaches developed elsewhere to address unexpected implementation challenges. A very high proportion (97 percent) of the reviewed projects was rated in the satisfactory range on project learning (see table 5.1).

Table 5.1

Rating of Project Learning

Rating	Percentage of projects
Highly satisfactory	14
Satisfactory	72
Moderately satisfactory	12
Satisfactory range	**97**
Moderately unsatisfactory	3
Unsatisfactory	0
Highly unsatisfactory	0
Unsatisfactory range	**3**

Note: Projects reviewed = 180, projects rated = 151, projects unable to assess = 29.

Although these results are encouraging, adopting a system that integrates feedback from intended users on SGP knowledge products would further strengthen the knowledge management system.

Conclusion 8: Although monitoring and evaluation has improved significantly, there is scope for further improvements.

Compared to earlier operational phases, the performance of the SGP in M&E during OP3 has shown significant improvements at the project grant level. There is, however, room for further improvement in tracking progress of country programs and improving the structure and quality of information in the SGP database.

The evidence gathered during this evaluation shows that 81 percent of the project grants reviewed incorporated M&E activities in their project design. Significant improvements were observed in the specification of sufficient relevant indicators, availability of completion reports, and reporting on the specified indicators in the completion reports. Compared to 14 percent for the pilot phase and OP1 and 39 percent for OP2, 54 percent of the completed project grants in OP3 had both specified sufficient relevant indicators and had reported on all or almost all of these indicators in the project completion reports (see table 5.2). Despite the gains made in specification of sufficient relevant indicators and in reporting on these indicators, there is scope for further improvement in these areas.

Table 5.2

Percentage of Grants for Which Sufficient Relevant Indicators Were Specified and Adequately Reported on in the Completion Report

Data available	Pilot phase/ OP1	OP2	OP3	All phases
Sufficient relevant indicators specified	38	57	69	**58**
Completion reports covering all or almost all specified indicators	42	69	91	**64**
Sufficient relevant indicators specified and completion reports covering all or almost all specified indicators	14	39	54	**34**

The country programs are responsible for monitoring the overall progress of the country project portfolio, updating entries pertaining to the country program in the SGP database, and conducting country program–level thematic and portfolio evaluations. To monitor project progress, the country program teams interact with the grantees and other stakeholders through field visits, telecommunications, and workshops and meetings. The project survey data show that the country program teams visited 96 percent of project grants at least once during a project's life cycle, and more than half of the project grants were visited three or more times. These field visits provide country program teams with an opportunity to verify the physical and financial progress of the project and to monitor progress toward achievement of expected outcomes. However, most country pro-

grams do not document the findings of field visits in a systematic manner (Ecuador is a notable exception). Although the use of telecommunications for communicating with grantees is not new to the SGP, reliance on this mechanism of interaction increased substantially during OP3. This has made communication swifter and more cost efficient for many country programs, especially those where geographic constraints limit access to particular project sites (such as the Eastern Caribbean subregional program based in Barbados).

Workshops and meetings conducted at the country program level that require the participation of grantees is another platform for monitoring progress of the project grant portfolio. It is estimated that during OP3, the total expenditure on workshops and meetings conducted at the country program level was about 5 percent of SGP total management costs.[1] During OP3, the country programs also tracked the outcomes of completed SGP project grants by conducting post-completion evaluations.

The CPMT tracks progress of the country programs primarily through review of quarterly financial reports and the performance and results assessment tool. The latter tracks performance of national coordinators in several key areas.[2] However, it is far from an ideal proxy for tracking the overall performance of a country program, as there may be situations in which the performance of the national coordinator and of the country program are not congruent. Further, linking country program performance to that of the national coordinator creates disincentives for the coordinators to report frankly on country program performance. With regard to quarterly financial reports, the evaluation found that these are being compiled and are used effectively for planning and control.

The CPMT is responsible for designing and maintaining the SGP database; the country programs are responsible for entering data on a rolling basis and for ensuring the quality of these data. The CPMT provides guidance to the country programs on data entry and on maintaining data quality. The database contains fairly detailed information on project objectives and results. It is linked to Google Earth, which helps locate the geographical coordinates of project sites and provides a photo gallery with pictures pertaining to individual projects. Keyword searches through the database's public interface make it easily accessible. Thus, the SGP database has numerous positive features, some of which are more advanced than that of the GEF database. Nevertheless, there are many areas in which there is room for improvement, the most important of which regards the quality of information maintained in the database. Since there are multiple sources of entry, the database is prone to error; a high incidence of errors in the uploaded data limits the extent to which the database can be used for monitoring and reporting purposes. Other areas that require attention include linking planning grants with their respective full projects so that they are reported as part of these; gathering information on important dates pertaining to the project life cycle; distinguishing among approved, expected, and actual cofinancing and between approved and actual SGP financing; and reducing the time lag in uploading the data.

5.2 Cost Effectiveness

Conclusion 9: The SGP is a cost-effective instrument for the GEF to generate global environmental benefits through NGOs and community-based organizations.

The efficiency of the SGP was assessed by evaluating its performance in terms of management costs, mobilization of cofinancing, efficiency of country programs, efficiency in grant delivery, delays through the project grant life cycle, and

efficiency of project outcomes. To determine the SGP's overall cost effectiveness, its performance in these issues was looked at simultaneously with an assessment of the effectiveness of SGP grants and country programs in generating global environmental benefits. It was found that, overall, the SGP was efficiently converting inputs into outputs both at the project and country program levels. Since SGP project grants and country programs have also been effective in generating global environmental benefits, it is a cost-effective instrument for the GEF to generate global environmental benefits by engaging NGOs and CBOs.

Management Costs

The management costs incurred by the SGP seem to match well with the services that it provides. During OP3, SGP management costs, including the project fees paid by the GEF to UNDP for hosting the SGP and project grants made by the SGP to address program management issues ("management grants") in the recipient countries, were 31 percent of the total program expenditure. Using the same methodology, management costs during OP2 were 37 percent of total expenditure. Thus, there has been a significant reduction in the proportion of SGP management costs during OP3; this has been achieved alongside improvements in reporting, M&E, and knowledge management. The analysis of management costs incurred at the country program level and by the CPMT shows that if the SGP were to operate at a higher program expenditure level, the average management costs would be likely to decline as a result of efficiency gains. Overall SGP management costs seem to be consistent with those reported by other small grant programs. Given the differences in management cost–related reporting practices, scale of operation, and geographical focus areas of reviewed programs, any attempt at comparison of SGP management costs with those of other programs will be imprecise. Acknowledging this limitation, the assessment of reported management costs of 11 programs reviewed by the evaluation shows that such costs generally account for 20 to 35 percent of total program expenditure. Thus, SGP management costs fall in the upper middle range of programs for which data could be reliably gathered. However, the SGP provides more services for these costs than do other programs. For example, the SGP devotes more attention to building capacity of grantee institutions and to conducting program-level M&E. It also has a more substantial presence in its program countries than do the other programs that are global in scope.

To date, the GEF Council's expectation from the SGP with regard to management costs has been anchored by arbitrary figures: 25 percent for OP3 and 24 percent for OP5. Although the reported management costs tend to be around the prescribed proportion, the method by which they are calculated has not been uniform and transparent. For example, during OP2, the proportion of management costs was calculated by dividing those management costs charged to GEF funding by the sum of total GEF investments and cash cofinancing. However, a review of UNOPS expenditure records shows that during this period, management costs were covered by both GEF funds and cofinancing mobilized at the global and country program levels. In addition, part of the management cost requirement has been met through management grants, which accounted for 4 percent of total GEF funding in OP2. In OP3, although management costs were reported only as a proportion of GEF investments, management grants still accounted for 3 percent of total GEF funding. Such reporting of management grants as project grants is not a good practice because it conceals the true management costs of the program. A detailed discussion of SGP management costs is provided in "Technical Paper on Manage-

ment Costs of the Small Grants Programme" (GEF EO 2007).

Mobilization of Cofinancing

The SGP was expected to mobilize an additional dollar in cofinancing for every dollar of GEF financing provided. Until March 2007, the program was reported to have mobilized about $0.90 from non-GEF sources per $1.00 of GEF financing. The reported cofinancing is evenly split between cash and in-kind contributions. About 88 percent of the total reported cofinancing has been mobilized at the project grant level. The evaluation found that almost all of the cofinancing reported by the SGP for OP3 conforms to the manner in which the term is defined by the GEF. However, reported cofinancing mobilized until March 2007 suggests that mobilization is slightly behind target. It is unlikely that the target for mobilization of cofinancing would have been fully met by the close of OP3 (end of June 2007). However, it should be recognized that OP3 closed earlier than was originally planned.

Efficiency of the Country Programs

The analysis of SGP management costs shows that there are significant variations across recipient countries. The key determinants of this variation include total investment in grants, cost of living, and whether the program is in the start-up phase. Among the regions where the SGP operates, after accounting for management costs incurred at the global program level on a pro rata basis,[3] the program management costs were, on average, 27 percent in Asia, 30 percent in Africa, 33 percent in Europe and Central Asia, and 35 percent in Latin America and the Caribbean. Management costs were especially high for SIDS country programs.

The evaluation found that when the country-specific context is taken into account, program management is either efficient or very efficient in all cases reviewed. The efficiency of outcomes of SGP country programs is enhanced considerably by the results of their contributions to broader processes, such as the development of organizational capacities to address global environmental threats, expansion of green markets, and/or inputs in the formulation of environmental policy instruments. While the results of these broader processes, or of most grants for that matter, cannot be fully and exclusively attributed to the respective SGP country programs, it was evident during the field visits and interviews with institutional partners that these initiatives are often started or promoted by SGP country programs and that their contributions are often sought and acknowledged as important.

Efficiency in Grant Delivery

The GEF engages NGOs and CBOs to generate global environmental benefits through FSPs and MSPs, as well as through the SGP. A review of the GEF's FSP and MSP portfolios (excluding the SGP) shows that 37 percent of such projects include a small grants component;[4] the GEF has invested at least $440 million in these (compared to $282 million invested in the SGP through OP3). An estimated 22 percent of this investment entailed the establishment of trust funds. Many of these trust funds are governed by a steering committee mainly made up of NGO and CBO representatives.

A portfolio review of completed GEF-financed FSPs implemented by the World Bank in the biodiversity focal area shows that, of the amount allocated for the small grants components, an average of about 62 percent of the allocation had been disbursed by the projects' end.[5] The nondisbursed amount from the small grants component of FSPs and MSPs that establish a trust fund is generally spent on the small grants. For projects that do not

establish a trust fund, the nondisbursed amount is either allocated to other components of the project or remains unspent. In comparison, four months before the close of OP3, 98 percent of the funds that had been allocated to the SGP had been committed and 53 percent had been disbursed. Since the SGP operates in a programmatic manner, it is expected that within a year of the end of OP3, almost all of the amount allocated for grants will have been disbursed. Moreover, in contrast to the SGP, there is little reporting on the performance of individual grants funded through the small grants components of FSPs and MSPs. Overall, the SGP appears to be more effective than other GEF instruments in reaching NGOs and CBOs through small grants.

The terminal evaluation reports of the completed GEF projects with small grants components provide insights as to why FSPs and MSPs face greater problems in implementing small grants than does the SGP. Four factors seem to affect disbursement of small grants in FSPs and MSPs:

- Most projects underestimate the time it takes to make a well-functioning small grants disbursement mechanism operational. For a small grants mechanism to work, executing organizations have to be identified; steering committees put in place; grant review protocols, accounting, supervision, and monitoring systems developed; and eligible grantees identified. By the time these prerequisites are met, grant making is often well behind schedule.
- For about 60 percent of GEF projects that have a small grants component, this component comprises less than a third of total project expenditure. Consequently, in many projects, the small grants receive less management attention, contributing to poorer performance of this component.
- The SGP country programs benefit from the program's overall learning process, which has enabled it to address the operational difficulties faced in the start-up stage; the institutions involved in implementing FSP/MSP small grants components did not have a similar opportunity.
- In instances where no endowment for small grants has been created, there are no structures in place after the project ends to disburse grants from the unspent amount and supervise the performance of grants made.

Delays through the Project Life Cycle

The evaluation examined life cycle duration for SGP projects using the data gathered on the projects sampled to assess project performance. It found that the average time lag for approved project grant proposals from submission to NSC approval is three months (see table 5.3). Project start-up took an additional three months on average. Thus, SGP grants take, on the whole, about six months from submission to project implementation. Although two-thirds of the projects are completed without any delay, on average, delay in project completion adds about five more months to the project cycle (see table 5.4).[6] The average duration of the project cycle—from proposal submission to project completion—is estimated to be about 2.5 years.

Table 5.3

Time Lag between Project Proposal Submission and Approval

Time lag	Pilot phase/ OP1	OP2	OP3	All phases
Projects approved within 2 months (%)	26	44	57	**47**
Projects approved within 6 months (%)	89	91	90	**90**
Average (months)	4	3	3	**3**

Table 5.4

Delays in Project Completion

Delay	Pilot phase/ OP1	OP2	All phases
Projects with no delay (%)	72	63	**66**
Projects delayed 1–6 months (%)	11	1	**4**
Projects delayed 6–12 months (%)	3	16	**12**
Projects delayed >12 months (%)	15	20	**19**
Average (months)	6	5	**5**

Efficiency of Project Outcomes

To assess the cost effectiveness of the project grants, it is essential to know the extent to which efficient technologies and processes were used to achieve project outcomes. Ninety-four percent of the project grants were rated as moderately satisfactory or better in terms of efficiency of outcomes (see table 5.5). The efficiency of outcome ratings for the SGP grants appear to be better than those for the FSPs and MSPs reviewed by the GEF Evaluation Office for the 2006 Annual Performance Report: only 77 percent of the FSPs/MSPs reviewed were rated in the satisfactory range (GEF EO 2008a). SGP project performance in terms of efficiency of outcomes (94 percent in the satisfactory range), taken together with the effectiveness of the outcomes (94 percent in the satisfactory range), indicates that project grants are cost effective in generating global environmental benefits.

Table 5.5

Efficiency of Outcomes

Rating	Percentage of projects
Highly satisfactory	34
Satisfactory	45
Moderately satisfactory	15
Satisfactory range	**94**
Moderately unsatisfactory	5
Unsatisfactory	1
Highly unsatisfactory	0
Unsatisfactory range	**6**

Note: Projects reviewed = 180, projects rated = 164, projects unable to assess = 16.

Conclusion 10: Automatic graduation from the SGP of country programs older than eight years risks reducing the cost effectiveness of the overall GEF portfolio.

During its June 2007 meeting, the GEF Council asked the GEF Evaluation Office "to include in its on-going evaluation of the Small Grants Programme…an analysis of the graduation policy of the SGP, and in particular, the impact of the policy on LDCs and SIDS" (GEF 2007). In response, this section presents an ex ante analysis of the graduation policy for the SGP country programs.

The "Guidelines for Access to the GEF Small Grants Programme," which was circulated as a communiqué dated December 15, 2006, by the Chief Executive Officer of the GEF to the national focal points, articulates the GEF policy on graduation of SGP country programs. It states that "beginning 2007, any country which has benefited from the GEF SGP for more than 8 years will be required to present a plan to graduate from GEF funding (core and RAF resources) on completion of the GEF-4 cycle" (GEF CEO 2006). This graduation policy has been necessitated by the funding limits placed on the SGP in the GEF-4 (2006–10) replenishment agreement.

The present policy will lead to the graduation of more than 40 countries from GEF funding by July 2010. The policy's key advantage, as outlined in the communiqué, is that it allows the CPMT to concentrate on newer country programs and on establishing programs in countries that have not been covered by the SGP thus far. However, the SGP program structures established in the graduating participating countries are likely to be disbanded, or else they are likely to pursue other

sources of funding that may or may not be aligned with global environmental objectives. During interviews conducted as part of this evaluation, national coordinators of the countries that will graduate noted that, while resource mobilization from non-GEF sources will not be difficult after graduation, it will be difficult to mobilize resources that allow them to focus on generating global environmental benefits. This presents a risk to the long-term investments made by the GEF in these countries through the SGP. The policy has therefore generated much concern among various GEF stakeholders and was discussed during the June 2007 GEF Council meeting. The Council decided to postpone its decision, pending consideration of the present analysis.

Cost effectiveness is one of the basic principles outlined in the *Instrument for the Establishment of the Restructured Global Environment Facility*. According to the instrument, "the GEF shall ensure the cost-effectiveness of its activities in addressing the targeted global environmental issues" (GEF 2004, paragraph 4). Graduation of mature country programs from GEF funding is likely to have cost-effectiveness implications for GEF operations. The evaluation found that the GEF SGP portfolio is as or more cost effective as the FSP/MSP portfolio or the small grants components within its FSP/MSP portfolio. Further, since the country programs that would automatically graduate are among the better performing SGP country programs, it is likely that the GEF will lose programs that are, generally speaking, more cost effective than its FSP/MSP portfolio. Thus, automatic graduation of the old SGP country programs is likely to lead to a marginal decline in the cost effectiveness of the overall GEF portfolio.

The evaluation found that its continued presence has allowed the SGP to cultivate partnerships, gain credibility based on its project grant implementation experience, and communicate its experience to inform the environmental policy dialogue in recipient countries. Often, SGP country programs have also been effective in raising awareness and supporting other voices in addressing global environmental concerns at the national level; they have frequently established strong linkages with government agencies by eliciting participation of government officials in country program NSCs. Thus, if older country programs were to graduate, the GEF would lose an effective instrument in influencing country policy dialogues.

Additional considerations come into play for old SGP country programs in SIDS and LDCs. In SIDS, where recipient countries have limited absorptive capacity, small-size grants are, in most situations, an appropriate scale at which the GEF may undertake interventions to generate global environmental benefits. For example, the GEF Country Portfolio Evaluation of Samoa concluded that the modalities that require a smaller scale of investment are appropriate for Samoa, which is both a small island developing state and an LDC (GEF EO 2008b). This is underscored by the fact that in many SIDS, such as Barbados, Dominica, Fiji, Micronesia, St. Kitts and Nevis, and St. Vincent and the Grenadines, no single-country FSP has been implemented so far.

In LDCs, despite generally having a high need for assistance, the capacities of the national and local institutions are often a major constraint. The evaluation found that the SGP is contributing to developing and complementing institutional capacities in LDCs, thereby enabling them to undertake FSPs and MSPs more effectively. For example, in Mauritania, based on the lessons learned through implementation of project grants, the SGP has provided inputs to the design and implementation of GEF-funded MSPs and FSPs. In Niger, the SGP is assisting the Niger Basin Authority administer

and implement a microcredit component of a GEF-funded FSP, Reversing Land and Water Degradation Trends in the Niger River Basin.

Conclusion 11: SGP country programs operate at maximum cost efficiency at an annual expenditure level of $1.0 to $1.1 million.

Up to the GEF-3 (2003–06) cycle, financial allocations to participating SGP countries were not regulated. Within the GEF resources allocated to the SGP, the CPMT determined the allocations for each country. In December 2006, the SGP Steering Committee decided that, beginning July 2007, financial allocations to the participating countries from indicative RAF allocations of country and core SGP funds will be regulated by five criteria.

The **first criterion** puts a cap on the GEF contribution to the SGP country programs of $2.4 million, or $600,000 per year, regardless of whether this contribution is accessed through RAF country allocations or the core SGP grant allocation. The advantage of a cap on maximum expenditure for country programs is that, if set at an appropriate level, it allows GEF resources to be spread more equitably among participating countries. Further, it prevents participating countries from diverting resources from other GEF priorities to the SGP. However, a cap that is set too low may have a negative impact on overall program efficiency.

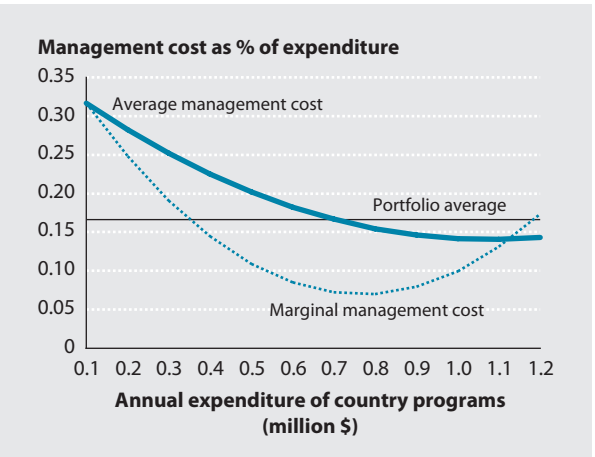
Analysis of the country program expenditure data for participating countries in the SGP for FY 2006 and 2007 shows that the cap of $600,000 is likely to have a negative effect on the overall efficiency of the SGP portfolio. Expenditures incurred at the country program level involve two major components: country program management costs and project grants. The emphasis of past Council decisions has been on keeping the ratio of program management costs low vis-à-vis the project grants made. Management costs incurred at the country program level include fixed costs, such as staff salaries and rent; and variable (or semivariable) costs such as M&E, travel, and publications. Since the aim is to reduce management costs as a proportion of total expenditure, both average management costs (total management costs/total expenditure) and marginal management costs (incremental management cost per unit of incremental expenditure) are important.

Figure 5.1 is a schematic presentation of how management costs of SGP country programs vary with changes in their total expenditure.[7] Marginal costs are lowest at the $800,000 expenditure level. At levels higher than this, the marginal cost increases as capacity constraints of the country program team begin to appear. However, since marginal costs are still lower than average costs, operations at a higher level continue to lower average costs. The most desirable level of country program operation is reached when average and marginal costs are equal.

Analysis of SGP country program expenditure data for FY 2006 and 2007 for participating countries shows that the average management costs are

Figure 5.1

SGP Country Program Total Expenditures versus Management Costs, FY 2006 and 2007



lowest when the country programs operate at an annual expenditure level of $1.0 to $1.1 million. While estimates for country programs differ based on SIDS/LDC status, age, level of cofinancing mobilization, and so on, the relationship between management costs and total program expenditure is similar (see annex D).

The $600,000 cap on country program expenditure means that more than 34 countries will lose the opportunity to operate at a level of more efficient grant making with respect to management costs. The point where average management costs are lowest may differ slightly depending on the model used; across all models, however, that point is substantially higher than the proposed cap of $600,000 per year.

The **second criterion** underscores the preferential treatment of group allocation countries under the RAF in accessing SGP core funding. It specifies that for countries that are under group allocation, the maximum limit for SIDS/LDC countries is $600,000 per year versUS $400,000 for non-SIDS/LDC countries. This preferential treatment enables these countries to gain access to additional GEF resources without drawing on their RAF allocations. On the other hand, as discussed above, these caps are likely to affect some countries that have been spending more than the specified cap.

The **third criterion** specifies that the countries that have indicative RAF country allocations up to $15 million in either the climate change or biodiversity focal area can draw up to $300,000 from the SGP core budget each year with a matching amount expected from their RAF allocations. This arrangement thus puts a cap on the amount that could be provided from SGP core funding and prevents the flow of resources from SIDS/LDCs and other group allocation countries to those that have individual indicative RAF allocations. However, due to the overall cap of $600,000 and the exact matching criterion, such countries do not have the option of allocating a greater proportion of their indicative RAF allocations to the SGP.

The **fourth criterion** requires those countries that have indicative country allocations of more than $15 million in either the climate change or biodiversity focal area in GEF-4 to meet all the SGP funding requirements through their RAF allocations.

The second, third, and fourth criteria aim to provide greater support to the countries that have less access to RAF funding through SGP core funds. Countries that have greater access to GEF funds through the RAF are required to commit more—thus, these criteria institutionalize country drivenness of GEF operations through the SGP modality.

The **fifth criterion** makes an exception for new participating countries by entitling them to $150,000 through core SGP funds for their first year in the program regardless of their RAF allocation status. Such countries may use a matching amount from their individual indicative RAF allocation during the first year. The criterion thus has the effect of putting a cap of $150,000 for group allocation countries and of $300,000 for individual allocation countries during the first year of SGP operation. After that time, the fifth criterion becomes irrelevant. The past experience of the SGP shows that during the first year of operation the focus of the country program is more on setting up mechanisms, and identifying and approaching grantees, than on making grants. Even though the criterion places a low cap during the first year, it forces the country team to focus more on establishing systems than on making grants. This is a desirable outcome from the GEF's perspective.

In terms of their effect on cost efficiency, the implications of the first criterion are most conse-

quential inasfar as it places limits on the second, third, and fourth criteria.

Conclusion 12: The higher level of GEF investments in the SGP during OP3 facilitated more cost-efficient operation than in OP1 and OP2.

Level of GEF Investment in SGP

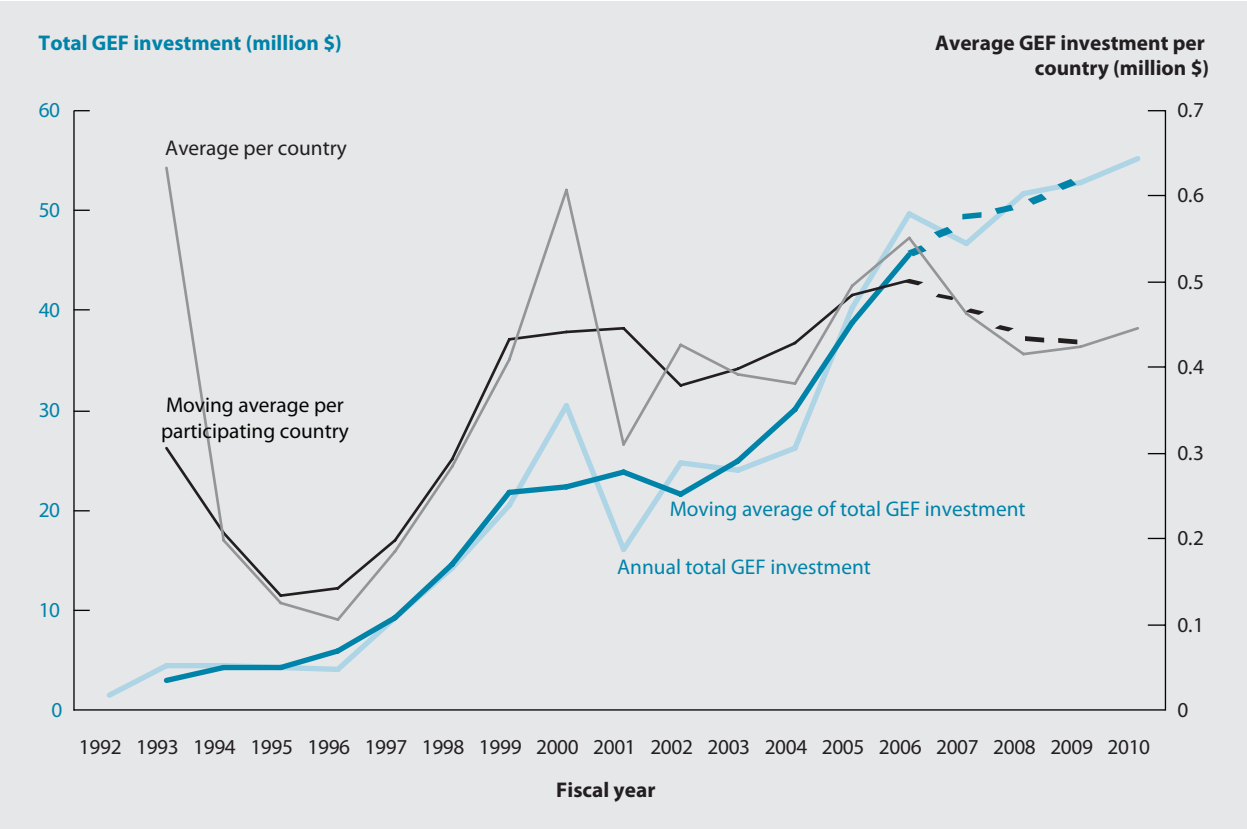
Compared to earlier phases, during OP3 there was a substantial increase in GEF investments in the SGP. For OP2, the GEF invested about $26 million per year and about $430,000 per participating country (all figures are inflation adjusted and include project fees paid to UNDP). During OP3, GEF investments increased substantially, rising to about $49 million per year and about $500,000 per participating country. For OP4, although the total allocated investment per year has increased to about $57 million, the investment per participating country will decline to about $430,000 annually. Figure 5.2 presents the real annual investment of the GEF in the SGP both in absolute (left Y axis) and per participating country (right Y axis) terms over time. Although the allocated GEF investments per participating country are lower in OP4 than in OP3, they are either similar to or higher than the level of investments per participating country during other operational phases.

Reduction in Management Costs

Compared to earlier phases, SGP management costs dropped during OP3. For OP1, OP2, and OP3, UNDP had committed to keeping SGP management costs under 25 percent of the GEF

Figure 5.2

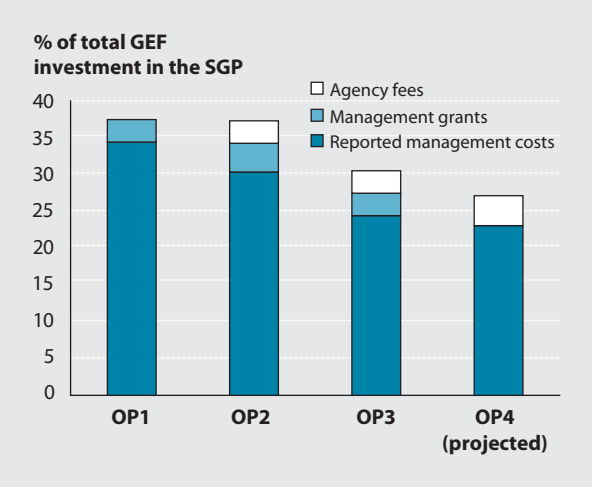
Annual GEF Investment in the SGP



grant amount (excluding project fees to UNDP). For OP1 and OP2, management costs financed by GEF funding were reported as a percentage of an amount that included SGP grants and management costs financed from GEF funding, and cash cofinancing from non-GEF sources invested in SGP grants. In comparison, for OP3 and OP4, management costs financed by GEF funding are reported as a percentage of total GEF funding for the SGP. Thus, management cost–related reporting practices changed between OP2 and OP3. After adjusting for changes in reporting practices, management cost estimates—including project fees paid to UNDP and management grants (project grants made to address country program management issues)—were 37 percent of total GEF funding for OP1 and OP2, and 31 percent for OP3 (see figure 5.3). Allocations for management costs for OP4 are expected to be about 27 percent.[8] Thus, from OP1 to OP3, program management costs dropped substantially, and the GEF Council expects costs to drop still further during OP4.

Figure 5.3

SGP Management Costs as a Percentage of Total GEF Investment in the SGP



Factors Affecting Reductions in Management Costs

The reduction in management costs from OP2 to OP3 was achieved along with meeting Council expectations for increasing program services such as M&E and knowledge sharing. A major factor that allowed the SGP to accomplish these improvements was that from OP2 to OP3 GEF investments in the SGP, both in absolute and per participating country terms, increased substantially (see figure 5.2). An increase in the total annual investment allowed the CPMT to operate at a higher level of cost efficiency. Similarly, an increase in investments per participating country allowed the country programs to operate more cost efficiently (see figure 5.1). The gains thus made are reflected in the reduced proportion of management costs during OP3.

The Council expects the SGP to further reduce management costs during OP5. However, because the GEF investment per participating country will decline, the SGP country programs will be at less cost-efficient levels of operation. Therefore, reducing management costs will involve making trade-offs. "The Small Grants Programme Project Document: Fourth Operational Phase (GEF 4)" lists the measures the SGP will adopt to reduce management costs (paragraph 175). Based on feedback from the national coordinators, it seems that only a few of the planned measures—eliminating global workshops and renegotiating rent of country office premises—will reduce management costs without affecting overall program performance. The efficacy of other measures, such as reduction in allocations for knowledge sharing, M&E, capacity building of country teams, technical assistance, and country program auditing, will likely lead to a reduced level of program performance.

Conclusion 13: The current management model of the SGP has reached its limits and is not suitable for a new phase of growth.

UNDP is the Implementing Agency and UNOPS the executing agency for the SGP. SGP management functions are largely divided along the lines of country and global program functions. Country programming and grant allocations—including country program priority setting and grant selection, and overall supervision, monitoring, and evaluation of grants—takes place at the country level. Generally, each recipient country has an SGP national coordinator; some of the smaller countries, such as the island states in the Caribbean and Pacific, have been organized into subregional programs and are administered through a subregional coordinator. The national coordinator is often associated with and supported by the local UNDP resident office. For 83 participating countries, the SGP country program is hosted by the local UNDP office; in all but 22 of these countries, the program is operated physically within the UNDP country office. For 18 participating countries, environmental trust funds and NGOs act as the national host institutions. National steering committees provide a major substantive contribution to program oversight; these typically are composed of representatives from local NGOs, government, academia, UNDP, and (occasionally) cofunding donors, indigenous peoples' organizations, the private sector, and the media. The main responsibilities of the NSC are to develop the country program strategy, provide advice on the design of grant proposals, approve grants, ensure M&E, and champion the SGP at national forums.

Global-level functions are carried out by the New York–based CPMT and UNOPS support team. The functions performed by the CPMT include, among others, management of the relationship with the GEF Secretariat, development of overall program strategy, guidance to the country programs, establishment of new country programs, support and troubleshooting, development of global partnerships, and knowledge management. The UNOPS support team attends to the program's financial arrangements, including grant disbursements and other payments, legality of grant agreements, and hiring of country program staff.

Except for some relatively minor modifications noted below, the overall SGP management structure has remained more or less intact since the program's pilot phase. During this period, the number of countries in which the SGP is operational has expanded from 50 (in 1995) to 101 (in 2006). There is a wide variation in capacity across the country programs. Additionally, in response to GEF Council requests, the SGP has in recent years been paying greater attention to cofinancing, M&E, and knowledge sharing. All these factors have added to the complexity of SGP operations.

About 83 percent of the SGP national coordinators who responded to the online questionnaire rate quality of support provided by the CPMT to be satisfactory or better. However, national coordinators in 5 of the 22 country programs reviewed felt that they were not receiving adequate guidance from the CPMT.

Increasing Demands on the CPMT

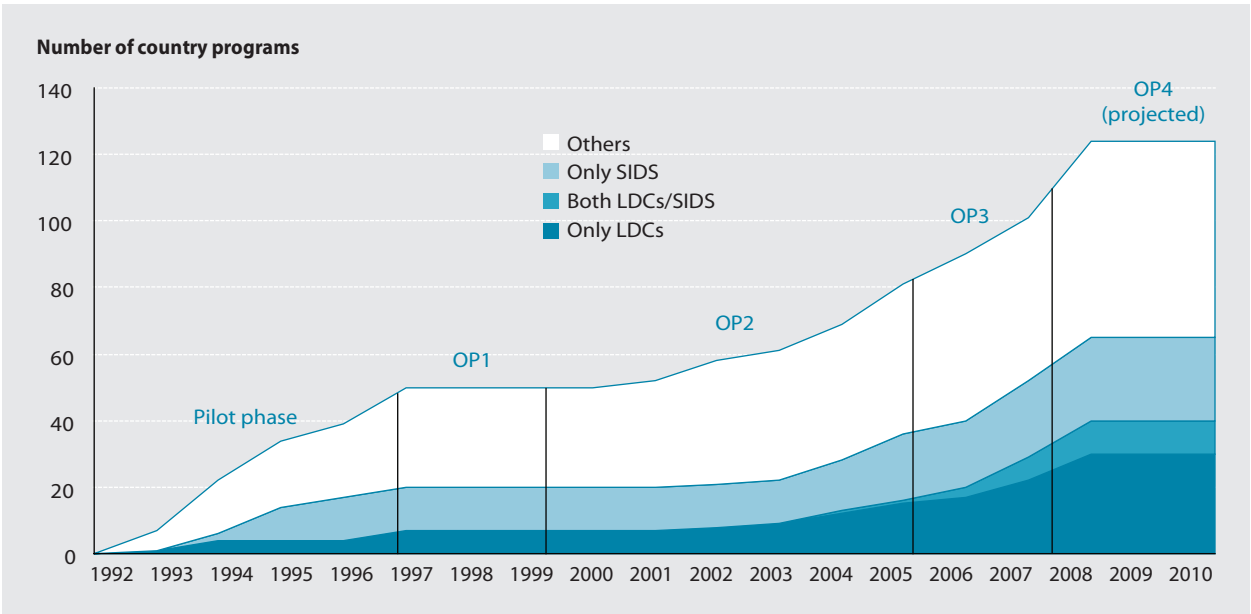
During OP1, OP2, and OP3, the GEF Council asked the SGP to, wherever possible, establish links with larger GEF projects, expand the program to include new focal areas, increase the level of resources mobilized through cofinancing, and improve M&E and knowledge management. Since 2003, the program has expanded rapidly to include many new countries from around 60 in mid-2002 to 101 by the end of 2006. The implementation of the RAF has brought more requirements and constraints to the SGP; these and a

request from the GEF Secretariat to quickly bring 23 additional countries into the program during OP4 have increased the workload of CPMT and UNOPS staff. Additionally, the increased proportion of SIDS and LDCs among SGP participating countries poses significant operational challenges. In 1996, SIDS and LDCs together accounted for about 40 percent of SGP country programs; they represented 52 percent in 2007 (see figure 5.4).

The SGP has sought to address these growing and changing program demands with staff increases in the CPMT and UNOPS support team. There were three professional staff positions dedicated to SGP during most of OP1 and OP2, and eight by 2006. UNOPS increased its staff from two to five over the same period. However, evidence indicates that these increases have not been sufficient to ensure adequate functioning. Although national coordinators find CPMT support to country programs satisfactory (with 83 percent rating this as satisfactory or higher), according to the CPMT's own staff in 2006–07, the team was unable to keep up with the growing number of country reports and to provide timely feedback on country program strategies.[9] The evaluation also found numerous references by national coordinators to disbursement delays by UNOPS. Within the last year, an attempt has been made to streamline work by forming regional teams composed of CPMT and UNOPS staff and by assigning some regional functions to senior national coordinators. The CPMT has also made country program reporting more efficient by abolishing semiannual and biannual reports, and introducing performance and results assessments instead. UNOPS has put new systems into place that have reduced its administrative burden and simplified disbursements. Nevertheless, CPMT staff collectively and individually noted to the evaluators that their current workload was more than they could manage and did not know how they would be able to

Figure 5.4

Active SGP Country Programs over Time, by Country Type



meet the demands imposed by the new guidelines established by the SGP Steering Committee to access SGP core and RAF GEF funds and include all new countries within the first year of the OP4 cycle. A considerable increase in human resources will be required in order to respond efficiently to the management needs of a growing number of diverse country programs and an increasingly complex program organization.

Differentiated Needs of Country Programs

Many country programs initiated in the earlier operational phases have developed very robust structures and reputations in their respective countries and no longer need intensive support from the CPMT. For such mature programs, the benefits of remaining with the global SGP are sometimes outweighed by the limitations thereby imposed. Rules that are reasonable for new and less experienced country programs might sometimes prevent mature programs from exploring options that might improve their effectiveness. For example, the $50,000 limit for individual regular grants prevents many mature country programs from undertaking promising projects that may require higher levels of investment from the GEF. And while from the perspective of the overall global program, new procedures and protocols are necessary, for seasoned country program offices—already burdened by a complex portfolio, interactions with government and other GEF projects, and a large array of partners—these requirements imply more administration, planning, and reporting but add little to the country program content. New country programs tend to welcome and seek the guidance and support of the CPMT and UNOPS on procedural, administrative, and substantive issues; more mature programs do not share this tendency.

The increasing proportion of SIDS and LDCs in the SGP country program portfolio makes for additional complexities for the program. SIDS country programs have special characteristics in that these countries have low absorptive capacity and high management costs. In some cases, their institutional and human capacities need strengthening. To operate in some SIDS, the SGP has established subregional offices, headed by subregional coordinators. These coordinators supervise several part-time country coordinators. While this is a step in the right direction, there are indications that the SGP needs to better tailor its services to SIDS. For example, it is very likely that at least some of the smaller SIDS will require more technical and administrative support and follow-up than that provided by the current structure. In the case of LDCs, capacities tend to be consistently low. Answering to this will entail more support than is provided to other countries.

Trend toward Less Consultation with the Country Programs

Since its inception, the CPMT has functioned largely to provide guidance and support to the country programs. The expansion of the SGP implies the need for more protocols and requirements to address the management, financial, and political support requirements of the global systems. Some of these requirements are driven directly by Council requests, such as to increase cofinancing, improve M&E, increase reporting on environmental global benefits, and reduce management costs. In the past, when the number of country programs was lower, it was possible to discuss potential approaches with the country programs and develop appropriate measures to address Council requests. However, the sheer number of countries in which the SGP now operates has made communication and consultation in developing guidelines and systems more difficult. This has resulted in a trend toward centralization of decision making and less two-way communica-

tion. Since the creation of the SGP Steering Committee, centralized decision making has increased still more, and some decisions seem to have been taken without sufficient consideration of their potential consequences across the system. In-depth knowledge of SGP operational issues continues to reside with the national coordinators and NSCs, and—as structured today—the SGP is not benefiting enough from their insights.

Tensions between the SGP and Other GEF Institutions

During the pilot phase and OP1, UNDP implemented the SGP on behalf of the other GEF Agencies. At this time, the SGP was often well coordinated with other UNDP activities, such as Africa 2000 and the Local Initiative for Urban Environment (LIFE), both of which had a very similar—and sometimes shared—structure to the SGP. The close involvement of UNDP country resident representatives in selecting countries, national coordinators, and NSC members contributed to close working relations between SGP and UNDP country programs. This was, and still is, a mutually beneficial relationship in that the SGP benefits from UNDP credibility based on its long-standing presence in most countries, political support, and administrative backstopping. In some cases, the link to the United Nations has also proven to be critical given its aura of neutrality. On the other hand, UNDP country resident representatives have sometimes tried to administer the SGP as another country program. Over time, and with strong support from UNDP regional bureaus and from the UNDP-GEF Executive Coordinator to the SGP, this problem has subsided. It does occasionally but briefly reemerge with new resident representatives who are unfamiliar with UNDP and the SGP.

At the global level, the relationship between the SGP and other GEF Agencies has been distant and, at times, competitive. Part of the problem lies in a lack of definition for this relationship from the outset. Since OP1, the GEF Council has reiterated the need for the SGP to interact more with other GEF projects. However, until 2006, when the SGP Steering Committee was established, the most significant input of other GEF Agencies to the SGP was—as with any other GEF project—during discussion and approval of operational phase project documents. Thus, any sense of ownership of the SGP by other GEF Agencies was low and interaction was limited. Moreover, as the funding and profile of the SGP grew over time, tensions between the SGP (UNDP) and other GEF Agencies became more apparent. At times, focal area team leaders in the GEF Secretariat and some focal area specialists in Implementing Agencies (including some in UNDP) expressed skepticism about "taxing" focal area resources without requiring the same type of monitoring of outcomes expected by the Council from the respective focal areas. This critique led to the requirement of having the SGP monitor environmental results during OP3.

Since competition for GEF funding has been a constant issue and the program is required to report to the GEF Council prior to disbursement of each annual tranche, the CPMT has sought to reach out to GEF focal points, conventions, NGOs, and other global networks and constituencies to provide information on SGP accomplishments and build support for continued funding. Sometimes, the SGP has sought to distinguish itself in ways that are not fully accurate, contributing to further tensions with other GEF Agencies. For example, in a written statement, the CPMT states that "SGP is the GEF funding mechanism for NGOs and CBOs where NGOs and CBOs take the lead in program management." In reality, there are many GEF projects in which NGOs and CBOs have a strong role in program priority setting, grant allocation, grant monitoring, and so forth. Some GEF-financed

environmental funds have been experimenting with this type of mechanism since the GEF pilot phase (GEF 1998). A more recent publication (Yacob and Hisas 2006) draws on the experiences of NGOs and CBOs in the GEF small grants, MSP, and FSP modalities, highlighting the realities of challenging work in various partnership mechanisms that enable enhanced implementation and a greater voice for communities in advocating for environmental protection, poverty reduction, and local empowerment. The report notes that from 1996 to 2006, 309 MSPs received a total GEF allocation of $254.98 million; an NGO was the lead executing agency in 102 of these projects. From 1991 to 2006, 959 FSPs have received GEF allocations totaling $7.8 billion; an NGO was the lead executing agency in 22 of these projects. The CPMT portrayal of the SGP as unique in its relations with NGOs and CBOs by implication downplays other similar GEF efforts.

At the country program level, the relationship between the SGP and UNDP has been highly collaborative. Relations with other Agencies, although collaborative, are distant. This is underscored by the fact that some GEF FSPs implemented by the World Bank did not have linkages with the SGP even though they were implemented in countries where the program was operational.

Notes

1. It is estimated that the expenditure on management cost–related grants was about $3 million during OP3. Of this, more than 30 percent was spent on meetings and workshops with grantees. In addition, $350,000 of reported management costs was spent on national-level workshops and meetings.

2. The key performance areas tracked include knowledge management; improving accessibility of the SGP; partnerships; country program governance; shift to impact orientation; grant delivery; cofinancing; corporate program; project sustainability strategies and plans; and networking, scaling up, replication, and mainstreaming.

3. Management costs incurred at the global program level have been allocated to each country program as a fixed proportion of the total investments in project grants.

4. These components are often referred to as subgrants, subprojects, microprojects, pilot projects, alternative livelihoods, community grants, and/or village grants in the FSP/MSP project documents.

5. The data set used for this analysis was made available to the evaluation by the World Bank, which compiled these data as part of a targeted review of the small grants components within its biodiversity FSPs. Comparable data are not available for the other GEF Implementing Agencies or focal areas.

6. It is too soon to assess delays in completion of OP3 project grants, since a significant proportion of these projects are still under implementation. Data on project grants from earlier phases show that implementation of about two-thirds of project grants is completed without any delay, and, on average, delays during project grant implementation add about five more months to the project cycle. Overall, it seems that various milestones in the project life cycle are accomplished without much delay, contributing to efficient implementation of project grants.

7. The figure is based on FY 2006 and 2007 financial data for SGP country programs. It excludes management costs incurred by the CPMT and UNOPS but adjusts reported management costs to include management grants. Annex D presents the model used; note, however, that other models were also used, and it was determined that the findings presented here are not sensitive to any one model.

8. The allocation for management costs is 24 percent of the SGP budget excluding project fees paid to UNDP; this increases to 27 percent when project fees are included.

9. Interviews with CPMT staff conducted July 19–20, 2007.

Annex A. Methodological Notes

A.1 Approach for Rating Project Performance

Project performance in terms of outcome achievement (results), sustainability of achieved outcomes, learning, and interaction with other stakeholders, was assessed using a rating scale. The criteria and scales used are described in this section.

Outcomes

The Evaluation Office rated project outcomes based on the level of achievement of project objectives and expected outcomes. The criteria used to assess level of achievement included assessment of ex ante outcome relevance, actual effectiveness in achievement of outcomes, and efficiency in achievement of outcomes.

- **Relevance.** Were the project's outcomes consistent with focal area/operational program strategies and country priorities?
- **Effectiveness.** Were the actual project outcomes commensurate with the original or modified project objectives?
- **Efficiency.** Was the project cost effective? Was the project the least-cost option? Was project implementation delayed, and, if it was, did that affect cost effectiveness?

Performance was assessed on a six-point scale (listed below). For the overall rating on outcome achievement, relevance and effectiveness were considered critical criteria—that is, the overall rating on achievement of outcomes cannot be higher than the lower rating attained on either or both of the critical criteria. The overall outcome rating was less than or equal to the lower rating on relevance and effectiveness, and/or the average of the rating on the three criteria. Of the three criteria, to have an overall outcome rating, a project must have been rated on at least relevance and effectiveness.

- **Highly satisfactory.** The project had no shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency.
- **Satisfactory.** The project had minor shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency.
- **Moderately satisfactory.** The project had moderate shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency.
- **Moderately unsatisfactory.** The project had significant shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency.
- **Unsatisfactory.** The project had major shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency.
- **Highly unsatisfactory.** The project had severe shortcomings in the achievement of its objec-

tives in terms of relevance, effectiveness, or efficiency.

Risks to Sustainability of Achieved Outcomes

Risks to sustainability of achieved outcomes were assessed based on financial, sociopolitical, institutional framework and governance, and environmental risks.

- **Financial resources.** Are there any financial risks that may jeopardize sustainability of project outcomes?
- **Sociopolitical.** Are there any social or political risks that may jeopardize sustainability of project outcomes?
- **Institutional framework and governance.** Do the legal frameworks, policies, and governance structures and processes pose risks that may jeopardize sustainability of project benefits?
- **Environmental.** Are there any environmental risks that may jeopardize sustainability of project outcomes?

The overall sustainability of project outcomes was rated based on a four-point scale:

- **Likely.** There are no or negligible risks affecting sustainability of project results.
- **Moderately likely.** There are moderate risks that affect sustainability of project results.
- **Moderately unlikely.** There are significant risks that affect sustainability of project results.
- **Unlikely.** There are severe risks that affect sustainability of project results.

Project Learning and Interaction with Other Stakeholders

Project performance was rated on learning and on interaction with other stakeholders on a six-point scale analogous to that used for outcomes.

A.2 Instruments Used

Project Performance

Information on the following was collected:

- **Project data—**project name, country, grantee, GEF focal area, GEF operational program, funding cycle (operational phase)
- **Project dates—**planning grant submission to the NSC, planning grant approval by the NSC, project proposal submission to the NSC, project approval by the NSC, project start, proposed closing, actual closing
- **Financial (both approved and actual amount)—**planning grant, project grant, cash cofinancing, in-kind cofinancing, total project cost
- **Project objectives—**as stated in the project document
- **Outcomes—**relevance (project relevance to GEF objectives and focal areas and to national priorities), effectiveness (achieved outcomes and outputs of the project, and capacity development achievements of the project), efficiency (justification for the project costs when compared to other options, win-wins and trade-offs involved in the project)
- **Project learning—**incorporation of lessons from other SGP projects, adaptive management by the project—flexibility in operation
- **Interaction with other stakeholders—**interaction with MSPs and FSPs, interaction with government agencies, and interaction with nongovernment agencies including private sector organizations, civil society organizations, and international NGOs
- **Risks to sustainability of achieved outcomes (results)—**financial risks, sociopolitical risks, governance and institutional risks, and environmental risks

- **M&E**—inclusion of monitoring activities, results indicators specified, relevance of specified indicators, supervision visits to the project site by members of the country program team, availability of annual performance report and coverage of the specified indicators in the annual report

Country Program M&E

Country program performance on monitoring and evaluation was assessed by collecting information on the following issues:

- Does supervision of project progress include review of project M&E and funding expenditures?
- Was the SGP GEF country portfolio (in terms of projects) visited during FY 2005 and 2006?
- What were the most common issues addressed during the site visits? Explain.
- Did all projects closed in FY 2005 and 2006 provide a final project report?

Online Survey

An online survey administered to national SGP coordinators was conducted to fill in information gaps in the data collected through other approaches. The following issues were covered in the online survey:

- **Classification**—region, age of program, SIDS/LDC status
- **Country program strategy**—strategy status, time taken for preparation, effectiveness of strategy for the country programs and areas for improvement, strategy for geographical targeting, targeting of the poor[1]
- **CPMT**—quality of support provided by the CPMT (on a six-point scale), significant contributions by the CPMT to the country program, areas for improvement for the CPMT
- **Knowledge sharing**—adoption of tools, techniques, and technology across country programs; usefulness of the knowledge products developed by the CPMT; identification of products that are useful or not useful
- **Partnerships and cofinancing**—classification of partners by their functional importance to the SGP, relative importance of the partners to the country programs, cofinancing criteria followed by the grantees
- **Interaction with other stakeholders**—interactions with national focal points of global environment conventions, quality of support from the UNDP country office, areas for improvement

Note

1. Targeting of the poor was assessed on a four-point scale: 1 = directly targets the poorest; 2 = directly targets the poor; 3 = indirectly targets the poor or poorest; 4 = does not target the poor or poorest.

Annex B. Sampled Projects

Table B.1

Profile of Sampled Projects

No.	Project code	Project name	Country	Project start	Project close	Field verification	Issues assessed		
							Project performance	Targeting of poor	M&E
1	GEF-STV-94-G05	Ance Cayenne River Project - Clare Valley	Barbados	11/94	12/00	No	Yes	Yes	Yes
2	BAR/05/05	Strengthening Environmental Stewardship among Major Stakeholders in the Grenadines Islands	Barbados	4/05	UI	No	Yes	Yes	Yes
3	GEF-BAR-94-G06	The Cornerstone	Barbados	5/96	12/00	No	Yes	Yes	Yes
4	GEF-STL-94-G04	Building Capacity and Capability for Sustainable Environmental Action in the Communities of Praslin and Mamiku While Meeting Specific Strategic Needs	Barbados	11/94	5/95	No	Yes	Yes	Yes
5	BAR/05/19	Community Based Coral Reef Monitoring and Management	Barbados	12/05	UI	Yes	Yes	Yes	Yes
6	BAR/OP3/06/06/04	Ecological Aquaculture for Environmentally Friendly and Sustainable Food Production in Antigua and Barbuda	Barbados	6/06	UI	No	Yes	Yes	Yes
7	GEF-BAR-00-G29	Ostins Fisheries Co-Management Pilot Project	Barbados	6/01	12/06	Yes	Yes	Yes	Yes
8	GEF-STL-94-G03	Popular Education for Community Based Coastal and Marine Management	Barbados	11/94	10/95	No	Yes	Yes	Yes
9	GEF-ANT-00-G31	Sanitation, Solid Waste and the Caribbean Sea Increasing Local Capacity for Information Gathering and Problem Solving	Barbados	1/01	12/01	No	Yes	Yes	Yes
10	BZE/OP3/1/06/07	Capacity Building and Infrastructure for Sarteneja Wildlife Environment and Ecotourism Team	Belize	2/06	UI	Yes	Yes	Yes	Yes
11	BZE/05/04	Alternative Livelihoods through Education and Honey Production	Belize	9/05	UI	Yes	Yes	Yes	Yes
12	BZE/UNF-GEF/05/01	Updating of the Baseline Assessment for the Belize Barrier Reef Reserve System World Heritage Site	Belize	9/05	4/07	Yes	Yes	Yes	Yes
13	BZE/UNF-GEF/04/04	Strengthening Fisheries Monitoring & Data Gathering Capacity for Co-Management of the Lighthouse Reef Atoll Marine Protected Area	Belize	11/04	UI	No	Yes	Yes	Yes
14	BZE/04/05	The Promotion of Community-Based Tourism Enterprise to Regional and International Markets	Belize	11/04	5/05	Yes	Yes	Yes	Yes

No.	Project code	Project name	Country	Project start	Project close	Field verification	Issues assessed		
							Project performance	Targeting of poor	M&E
15	BZE/UNF-GEF/04/03	Community Field Studies at Laughing Bird Caye National Park	Belize	8/04	UI	Yes	Yes	Yes	Yes
16	BZE/UNF-GEF/02/06	Assessment of Commercially Important Species in Bacalar Chico Marine Reserve Utilizing Traditional Commercial Fishermen	Belize	8/02	8/05	Yes	Yes	Yes	Yes
17	BZE/UNF/02/05	The Belize Zoo Reef Outreach Education Program	Belize	6/02	3/03	Yes	Yes	Yes	Yes
18	BZE/UNF/02/07	Training Component of Capacity-Building for Self-Sustainability Project	Belize	6/02	7/04	Yes	Yes	Yes	Yes
19	BZE/97/13	Gales Point Preservation and Conservation Project	Belize	12/97	11/02	Yes	Yes	Yes	Yes
20	BZE/93/04	Conservation Management Community Development in the Rainforest	Belize	9/93	12/94	Yes	Yes	Yes	Yes
21	MAU/CWI/06/02	Projet d'Approvisionnement en Eau Potable de Belel Ournguel	Mauritania	5/06	12/06	No	Yes	Yes	Yes
22	MAU/CWI//03	Projet De Réseau D'adduction D'eau Potable Pour Le Village De PK6	Mauritania	9/06	3/07	No	Yes	Yes	Yes
23	MAU/SGP/OP3/06/13	Projet De Lutte Contre La Dégradation Des Terres Dans La Commune De Mâle Par Des Travaux De CES/DRS	Mauritania	2/06	UI	No	Yes	Yes	Yes
24	MAU/SGP/OP3/06/15	Projet De Protection Des Ecosystèmes Pastoraux Dans Les Commune De Boghé, Aére Mbar Et El Vraa Contre Les Feux De Brousse	Mauritania	2/06	10/06	No	Yes	Yes	Yes
25	MAU/SGP/OP3/06/19	Protection Des Oasis De Chinguity (Abbere, Tindewali, Tekemkent) Contre L'ensablement Et Réhabilitation De L'écosystème Environnant a Base d'Aristida Pungens) Sbatt	Mauritania	1/06	UI	No	Yes	Yes	Yes
26	MAU98/G52/04/05/03	Projet De Revalorisation Des Ressources forectières Par l'introduction De Techniques Apicoles Améliorés	Mauritania	10/04	12/04	No	Yes	Yes	Yes
27	Mau/98/G52/03/12	Action De Développement Des Plantes Médicinales En Mauritanie:Jardin Et Atelier De Transformation a Maata Moulana	Mauritania	3/04	12/06	No	Yes	Yes	Yes
28	Mau98/G52/03/07	Appui a La Réserve De Jekh Mrah Naam	Mauritania	10/03	3/07	No	Yes	Yes	Yes
29	Mau98/G52/03/01	Projet De Développement Ecotouristique Du Site El Khair De Tigmatine	Mauritania	10/05	UI	No	Yes	Yes	Yes
30	Mau98/G52/02/13	Diffusion Des Equipepements Photovoltaiques Dans Le Milieu Rural En Mauritanie	Mauritania	1/03	2/04	No	Yes	Yes	Yes
31	Mau98/G52/02/14	Préservation Et Restauration De La foret De Mbeidia 2	Mauritania	4/03	1/07	No	Yes	Yes	Yes
32	DMA/UNF/02/11	Wammae Letang Fresh Water Lake Ecotourism and Site Conservation	Dominica	12/04	1/06	No	Yes	Yes	Yes
33	DMA/UNF/02/12	Petite Savanne integrated Project	Dominica	9/03	10/05	No	Yes	Yes	Yes
34	DMA/UNF/03/01	La Plaine Hi Grade Pork Processing Project	Dominica	3/03	11/05	No	Yes	Yes	Yes
35	DMA/UNF/03/02	Giraudel Environment Conservation and Economic Development	Dominica	8/03	11/05	No	Yes	Yes	Yes

No.	Project code	Project name	Country	Project start	Project close	Field verification	Issues assessed		
							Project performance	Targeting of poor	M&E
36	DMA/ UNF/02/02	Cockrane Eco Village Transformation Project	Dominica	7/02	3/04	No	Yes	Yes	Yes
37	DMA/ UNF/02/03	Community Mobilization and Awareness About COMPACT	Dominica	6/02	12/02	No	Yes	Yes	Yes
38	GEF-DMA-94-G09	Ecological Agricultural Methods in Weed and Pest Control On Small Farms	Dominica	10/95	10/96	No	Yes	Yes	Yes
39	NER/OP3/2/ 06/05	Projet De Lutte Contre Les Feux De Brousse Et De Preservations Des Diversites Biologiques Da Ns La Commune Rurale De Chetimari Departement De Diffa	Niger	7/06	UI	No	Yes	Yes	Yes
40	NER/OP3/ Y2/06/07	Les Plantes Medicinales Au Service Des Populations Demunies (Communauté Urbaine De Niamey)	Niger	7/06	2/07	No	Yes	Yes	Yes
41	NER/OP3/ Y2/06/08	Projet De Lutte Contre La Pollution Du Fleuve Et Préservation De La Santé Des Femmes Teinturières Contre Les Effets Nocifs Des Pops Dans La Communauté Urbaine De Niamey	Niger	7/06	UI	No	Yes	Yes	Yes
42	NER/OP3/1/ 06/07	Projet D'équipement En Energie Solaire De Dispensaire, Classes Et Lampadaires Dans La Commune Rurale De Gabi (Département De Madarounfa, Région De Maradi)	Niger	3/06	10/06	No	Yes	Yes	Yes
43	NER/OP3/1/ 06/09	Projet De Protection/Réhabilitation Des Terres De Culture Dans La Vallée De Bilandaou (Commune Rurale De Doguéraoua/Département De Konni)	Niger	3/06	2/07	No	Yes	Yes	Yes
44	NER/05/03	Réhabilitation Des Terres Dégradées De La Zone De Pâturage De La Communauté Rurale De Farin Guémé (Département De Dogon-Doucthi)	Niger	5/05	4/06	No	Yes	Yes	Yes
45	NER/OP3/ Y1/05/06	Fixation Des Dunes Et Restauration De La Biodiversité a Garmaga Dans La Commune Rurale De Tadress	Niger	4/05	4/06	No	Yes	Yes	Yes
46	NER/04/01	Projet De Récupération Des Terres Dégradées Et De Fixation Des Dunes Pour La Protection Du Chenal Et De La Mare Multifonctionnelle De La Commune Rurale De Toumour (Région De Diffa)	Niger	11/04	1/06	No	Yes	Yes	Yes
47	NER/04/02	Projet D'appui a La Lutte Contre La Dégradation Des Terres Autour Des Retenues D'eau De La Commune Rurale De Kourthèye, Tillabéry	Niger	10/04	1/06	No	Yes	Yes	Yes
48	NER/04/03	Projet De Lutte Contre La Dégradation Des Terres Et La Désertification Par La Récupération De La Jacinthe D'eau Et Sa Transformation a Des Fins De Protection Environnementale Et De Développement Socio-Economique Dans La Communauté Rurale De SÉNO (Tillabéry)	Niger	10/04	1/06	No	Yes	Yes	Yes
49	NER/04/05	Projet De Réhabilitation Des Eoliennes De Pompage D'eau Pour La Diversification Des Cultures Et Le Reboisement Dans Les Trois Communes Rurales De Chanyassou, Illéla Et Lokoko (Filingué)	Niger	10/04	1/06	No	Yes	Yes	Yes
50	NER/04/09	Projet d'Appui a La Réhabilitation Et a l'Aménagement Des Terroirs Pastoraux De Dadin Sarki, Angoual Maloumeye Et Angoual Dan Boursa (Commune Rurale De Miiriah)	Niger	10/04	1/06	No	Yes	Yes	Yes
51	POL/06/OP3/24	Active Bat Protection in Pomorskie Voivodship	Poland	1/07	UI	No	Yes	Yes	Yes

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							Project performance	Targeting of poor	M&E
52	POL/06/OP3/26	Promotion of Natura 2000 Warminskie Bociany (Warmia White Storks)	Poland	1/07	UI	Yes	Yes	Yes	Yes
53	POL/06/OP3/14	Elimination of Invasive Alien Plants as an Element of Active Protection of Native Flora in Wigry National Park	Poland	11/06	UI	Yes	Yes	Yes	Yes
54	POL/06/OP3/06	Bio - Rozanystok	Poland	7/06	UI	Yes	Yes	Yes	Yes
55	POL/06/OP3/13	Clean Krzyzowki	Poland	7/06	UI	Yes	Yes	Yes	Yes
56	POL/05/13	Black Stork Habitats Protection in Bialowieza Primeval Forest	Poland	8/05	11/06	Yes	Yes	Yes	Yes
57	POL/04/21	Poverty and Environment	Poland	1/05	10/05	No	Yes	Yes	Yes
58	POL/01/01	Ecological Heating System	Poland	7/01	10/03	Yes	Yes	Yes	Yes
59	POL/00/22	Renaturalization and Protection of Fish Ponds in Kiszkowo	Poland	12/00	1/02	Yes	Yes	Yes	Yes
60	POL/00/02	Protection of Barn Owl and Bats in Sacral Buildings on the Area of Mazovian Lowland	Poland	3/00	12/00	Yes	Yes	Yes	Yes
61	POL/95/03	Coal to Gas Conversion and Complex Modernization of Heating System	Poland	5/95	9/95	Yes	Yes	Yes	Yes
62	POL/03/10	Introduction of Agrobiodiversity in Wigry National Park and Its Buffer Zone	Poland	4/03	11/05	Yes	Yes	Yes	Yes
63	ECU/OP3/1/06/017	Manejo Sostenible De Lbosque Bollarrumi-Paccha	Ecuador	4/06	UI	Yes	Yes	Yes	Yes
64	ECU/05/008	Promoción De La Participación Comunitaria En La incidencia Poítica Para La Conservación De La Biodiversidad	Ecuador	8/05	UI	Yes	Yes	Yes	Yes
65	ECU/04/003	Apoyo Al Manejo Sustentable De Los Recursos Naturales Del Bosque Achuar	Ecuador	2/05	UI	Yes	Yes	Yes	Yes
66	ECU/00/002	Management of the Shrimp Post-Larva Fishery and Initiatives for Alternative Crops in the San Pedro-Valdivia-Manglaralto Special Management Area	Ecuador	9/00	6/02	Yes	Yes	Yes	Yes
67	ECU/98/006	Agroforestry Recovery in the Chaupitranca Communities	Ecuador	11/98	11/00	Yes	Yes	Yes	Yes
68	ECU/97/014	Fish Re-introduction and Sustainable Management of the Vinoyacu Grande River Watershed Amautanan Foundation	Ecuador	4/97	4/98	Yes	Yes	Yes	Yes
69	ECU/97/015	Re-introduction of Alpacas and Conservation of Native Tree Species in the Sangay National Park Buffer Zone (Sisid)	Ecuador	4/97	4/98	Yes	Yes	Yes	Yes
70	ECU/95/009	Recycling and Management of Green Areas Casa Para Todos Cooperative	Ecuador	4/95	4/96	Yes	Yes	Yes	Yes
71	ECU/95/012	Community Management of Highland Areas COCAP Community	Ecuador	4/95	4/96	Yes	Yes	Yes	Yes
72	ECU/95/007	Training in Wildlife Management	Ecuador	4/95	4/96	Yes	Yes	Yes	Yes
73	ECU/04/015	Alleviate Negative Impacts of the Artisanal Mining Industry in Chinapintza Region South Condor Range	Ecuador	2/05	4/07	Yes	Yes	Yes	Yes

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							Project performance	Targeting of poor	M&E
74	PAK/OP3/05/08	Environmental Education for Youth through Nature Study Camps in Protected Areas	Pakistan	11/05	UI	Yes	Yes	Yes	Yes
75	PAK/04/64	Promotion and Demonstration of Appropriate Building Designs for Urban Multan	Pakistan	1/05	UI	Yes	Yes	Yes	Yes
76	PAK/04/62	Cotton Plus and Environment	Pakistan	7/04	3/07	Yes	Yes	Yes	Yes
77	PAK/03/52	Installation of Five Micro-Hydel Power Units in Tirah Valley (Khyber Agency)	Pakistan	11/03	4/04	No	No	No	No
78	PAK/03/46	Ecosystem Management through Community Participation	Pakistan	7/03	12/06	No	Yes	Yes	Yes
79	PAK/01/31	Fuel Efficient Stove Project	Pakistan	11/01	10/02	Yes	Yes	Yes	Yes
80	PAK/01/30	Community Fire Brigade in Soon Sakesar Valley	Pakistan	10/01	12/04	Yes	Yes	Yes	Yes
81	PAK/01/17	Environmental Protection with Increase in Income	Pakistan	5/02	5/04	Yes	Yes	Yes	Yes
82	PAK/01/21	Fuel Efficient Stoves Project	Pakistan	6/01	12/06	Yes	Yes	Yes	Yes
83	PAK/00/15	Khura Forest Training & Development Centre	Pakistan	12/00	2/03	No	Yes	Yes	Yes
84	PAK/99/05	Conservation of Blind Indus Dolphin through Eco-Tourism at Taunsa Barrage	Pakistan	1/00	6/04	Yes	Yes	Yes	Yes
85	PAK/97/12	Establishment of Nursery for Social Forestry	Pakistan	8/97	10/98	Yes	Yes	Yes	Yes
86	JOR/OP3/Y2/06/04	Sustainable Rangeland Management in Al Fais-aliyeh Area/Madaba Governorate	Jordan	10/06	UI	Yes	Yes	Yes	Yes
87	JOR/OP3/Y2/06/05	Pilot Project for the Conservation of Biodiversity in Azraq Oasis Using Information Technology	Jordan	10/06	UI	Yes	Yes	Yes	Yes
88	JOR/05/10	Women in Natural Resource Management and Improved Community Livelihood in Um Ayyash	Jordan	11/05	UI	Yes	Yes	Yes	Yes
89	JOR/OP3/05/01	Enhancement of Water Efficiency and Improved Local Environment in Al Msheirfeh Area/Karak Government	Jordan	6/05	UI	Yes	Yes	Yes	Yes
90	JOR/04/09	Improved Natural Resource Management and Community Livelihood in Dogara	Jordan	2/05	UI	Yes	Yes	Yes	Yes
91	JOR/04/02	Community Livelihood and Improved Land Resource Management in Tubnah Village, North Jordan	Jordan	10/04	10/06	Yes	Yes	Yes	Yes
92	JOR/04/04	Conservation of Historical Olive Trees in Ajloun Governorate	Jordan	10/04	10/06	Yes	Yes	Yes	Yes
93	JOR/02/10	Upgrading Glassboat Sector in Aqaba Gulf	Jordan	11/02	10/04	Yes	Yes	Yes	Yes
94	JOR/01/06	Role of Women in Integrated Management of Water and Land Resources in the Jordan Valley	Jordan	9/01	9/04	Yes	Yes	Yes	Yes
95	GEF-JOR-95-G52-18	Promotion of Important Bird Areas in Jordan	Jordan	12/98	12/00	Yes	Yes	Yes	Yes
96	GEF-JOR-95-G52-15	Participation of Women in Integrated Pest Management/Mafraq	Jordan	7/98	12/00	Yes	Yes	Yes	Yes
97	GUA/CWI/OP3/02/06/15	Safe Drinking Water for the Community of Belén, Tacaná, San Marcos, Guatemala	Guatemala	11/06	UI	No	No	Yes	No
98	GUA/P3/02/06/08	Ecological Park in Coatepeque, Quetzaltenango, Guatemala	Guatemala	11/06	UI	Yes	Yes	Yes	Yes

No.	Project code	Project name	Country	Project start	Project close	Field verification	Issues assessed		
							Project performance	Targeting of poor	M&E
99	GUA/OP3/02/06/03	Organic Agriculture with Potatoes, Corn, Native and Faba Beans; Establishment of a Tree Nursery for Selling Saplings and Reforesting Alder, Cypress, Oak and Pine Trees in Caserío Tuiscajchis, Comitancillo, San Marcos, Guatemala	Guatemala	10/06	UI	No	Yes	Yes	Yes
100	GUA/05/12	Organic Agriculture with the Use of Native Crops of Broad Beans, Potatoes, Beans, Colors Corns, Native Pumpkin and Soil Preservation in Aldea Toj Pac, Sibinal, San Marcos	Guatemala	11/05	11/05	Yes	Yes	Yes	Yes
101	GUA/05/10	Rescue, Conservation and Sustainable Use of the Ujuxte (Brosimum Alicastrum) in the Community Agraria La Bendición, Patulul, Suchitepéquez	Guatemala	7/05	UI	Yes	Yes	Yes	Yes
102	GUA/04/19	Production of Pacaya, Beans and Hot Peppers through Organic Agriculture in Aldea Toquián Chico, Tajumulco, San Marcos	Guatemala	12/04	12/05	No	No	Yes	No
103	GUA/04/20	Organic Agriculture through Training in Paraje Poxotojá, Aldea Xesaná, Santa María Chiquimula, Totonicapán	Guatemala	10/04	5/06	No	Yes	Yes	Yes
104	GUA/02/02	Establishment of Agro-Forestry Systems for the Conservation and Recovery of Local Biodiversity in Comitancillo, San Marcos	Guatemala	10/02	10/04	No	No	Yes	No
105	PPS-01-2000	Avocado and "Pacaína" Farming as Means of Conservation of Flora and Fauna of the Volcán Pecul Rainforest in Nahualá, Sololá	Guatemala	6/00	6/02	No	Yes	Yes	Yes
106	PPS-06-98	Feasibility Study for the Ecotouristic Center at La Guadalupana Association Headquarters in Santa Lucía Utatlán, Sololá	Guatemala	10/98	6/99	Yes	Yes	Yes	Yes
107	PPS-07-98	Forest Enrichment and Sustainable Management Barrio La Cienega, San Cristobal	Guatemala	10/98	8/00	No	No	Yes	No
108	PPS-08-98	Agroecological Production and Commercialization in San Lucas Toliman, Sololá	Guatemala		2/00	Yes	Yes	Yes	Yes
109	GHA/06/100	Capacity Development and Training for Local Organizations for Effective and Efficient Operations in GEF/SGP Focal Areas and Poverty Reduction	Ghana	7/06	UI	Yes	Yes	Yes	Yes
110	GHA/05/082	Self Initiated Community Wild Life Management for Ecotourism Promotion and Restoration of Degraded Lands in Duasidan Community	Ghana	7/05	UI	Yes	Yes	Yes	Yes
111	GHA/05/077	Fian Community Biodiversity and Utilization Project	Ghana	5/05	UI	Yes	Yes	Yes	Yes
112	GHA/05/078	Enchi Sacred Grove Conservation Project	Ghana	5/05	UI	Yes	Yes	Yes	Yes
113	GHA/05/080	Sustainable Environmental Resource Management and Livelihood Technology and Systems Demonstration/Learning Centre for Rural Women in the Akuapem North District	Ghana	5/05	4/07	Yes	Yes	Yes	Yes
114	GHA/00/040	Conservation of Elephants and Their Habitats Along the Red Volta River	Ghana	9/00	5/03	Yes	Yes	Yes	Yes
115	GHA/98/025	Conservation of Biodiversity in East Mamprusi	Ghana	5/98	5/01	Yes	Yes	Yes	Yes
116	GHA/98/028	Rainforest for Health: a Traveling Expedition	Ghana	2/98	12/98	Yes	Yes	Yes	Yes
117	GHA/98/027	Propagation of Rare Medicinal Plants	Ghana	1/98	12/99	No	No	Yes	Yes
118	GHA/93/009	Reviving the Biodiversity in the Sango Lagoon and Adjacent Wetlands	Ghana	12/93	6/96	Yes	Yes	Yes	Yes

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119	GHA/93/010	Sustainable Agro Forestry and Wood Fuel Usage	Ghana	2/94	7/98	Yes	Yes	Yes	Yes
120	GHA/06/105	Community Based Integrated Wild Fire Management and Livelihood Development Enterprises for Six Vulnerable and High Fire Prone Communities in Afram Plains	Ghana	7/06	UI	Yes	Yes	Yes	Yes
121	KEN-GEF-05-006	Kaketa River Rehabilitation Project	Kenya	7/06	UI	No	Yes	Yes	Yes
122	KEN-GEF-05-007	Mbuu Dam Desilting Project	Kenya	7/06	UI	Yes	Yes	Yes	Yes
123	KEN/NTEAP/06/010	Fish Farming in Kuria District	Kenya	8/06	UI	Yes	Yes	Yes	Yes
124	KEN/NTEAP/06/013	Western Community Energy and Technology Project	Kenya	8/06	UI	Yes	Yes	Yes	Yes
125	KEN/UNF-GEF/04/09	Community Action for Mount Kenya Forest, the Environment and Sustainable Livelihoods of Adjacent Communities	Kenya	11/04	UI	Yes	Yes	Yes	Yes
126	KEN/UNF-GEF/02/07	Brush against Power Saw - Murals for Mount Kenya Conservation Issues	Kenya	2/03	UI	Yes	Yes	Yes	Yes
127	KEN-GEF-99-001	Nkunga Sacred Lake Ecotourism Project	Kenya	11/99	11/02	Yes	Yes	Yes	Yes
128	KEN/UNF/01/08	COMPACT Document and Publicity Project	Kenya	6/01	11/03	No	Yes	Yes	Yes
129	KEN-GEF-01-025	Conservation and Management of Traditional Groves and Sites of Unique Biological, Cultural and Aesthetic Value in Kenya	Kenya	8/01	8/03	Yes	Yes	Yes	Yes
130	KEN-GEF-94-012	Sustainable Agriculture and Traditional Knowledge and Herbal Medicines	Kenya	12/94	6/96	No	No	No	No
131	KEN-GEF-93-003	Protection & Conservation of Biodiversity through Demonstration Centres	Kenya	8/93	2/95	Yes	Yes	Yes	Yes
132	MAL/OP3/2/06/FP-53	Empowering Urban Communities to Reduce Their Contribution to Climate Change and Biodiversity Loss	Malaysia	10/06	UI	No	Yes	Yes	Yes
133	MAL/05/FP-1-49	Mainstreaming Efforts to Sustain the Mangrove Ecosystem Biodiversity in Providing Livelihood for Local Communities in Sematan, Sarawak, Malaysia	Malaysia	10/05	UI	No	Yes	Yes	Yes
134	MAL/04/FP-01/36	Community Support and Action for Environmental and Biodiversity Conservation and Sustainable Use	Malaysia	8/04	2/06	No	Yes	Yes	Yes
135	MAL/04/FP-08/43	Increasing Biodiversity Based Sustainable Opportunities for Single Mothers in Kelantan, Focusing on Essential Oils and Medicinal Herbs and Plants	Malaysia	8/04	8/06	No	Yes	Yes	Yes
136	MAL/04/FP-12/47	Supporting the Sustainable Livelihood of Local Inshore Fishing Communities via Sustainable Indigenous Fisheries while Promoting the Conservation and Sustainable Use of Fishery and Mangrove Ecosystem Biodiversity-Moving from Critical Awareness to Remedial	Malaysia	8/04	2/06	No	Yes	Yes	Yes
137	MAL/03/FP-08/35	Developing Community-based Ecotourism for the Indigenous Semelai Community in a Wetland Area of International Importance-Tasek Bera, Pahang: Phase II, Enhancing the Skills and Capacity of SABOT (Semelai Association for Boating and Tourism) to Promote, Implement and Manage their own Eco-tourism Enterprises	Malaysia	4/04	2/06	No	Yes	Yes	Yes

No.	Project code	Project name	Country	Project start	Project close	Field verification	Issues assessed		
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138	MAL/03/FP-01/28	Promoting Demonstrational Plots for Medicinal Plants and Herbs Biodiversity and Their Related Traditional Knowledge	Malaysia	2/03	UI	No	Yes	Yes	Yes
139	MAL/03/FP-03/30	Conservation and Sustainable Use of Agro-Biodiversity - an Integrated Pilot Project on Rice Farming in Sarawak, Malaysia	Malaysia	1/03	12/04	No	Yes	Yes	Yes
140	MAL/02/23	Indigenous Local Community (Orang Asli Temuan Tribe) Working Together to Conserve and Sustainably Use Their Environment Via Sustainable Livelihoods	Malaysia	6/02	3/05	No	Yes	Yes	Yes
141	MAL/01/20	Local Community-Based Biodiversity Conservation, Sustainable Use and Management in Sabah	Malaysia	3/02	3/04	No	Yes	Yes	Yes
142	MAL/01/17	Local Community-Based Ecotourism and Conservation Training among the indigenous Semai of Ulu Geroh, Gopeng, Perak	Malaysia	1/02	4/05	No	Yes	Yes	Yes
143	MAL/01/18	Pilot Local Community Action Plan for Stream/Pond Conservation and the Sustainable Use of Its Biodiversity	Malaysia	1/02	UI	No	Yes	Yes	Yes
144	Nam-04-10	Building Advisory Services for Clayhouse Construction in Central and Northern Namibia	Namibia	4/05	3/06	No	Yes	Yes	Yes
145	Nam-04-13	Construction and Promotion of Bio-Gas Digesters	Namibia	8/05	4/07	No	Yes	Yes	Yes
146	NAM-04-01	Problem Animal Management in Kasika Conservancy	Namibia	7/04	6/06	No	Yes	Yes	Yes
147	NAM-04-02	Biological Management of Black Rhino in the Palmwag Concession	Namibia	4/03	3/04	No	Yes	Yes	Yes
148	NAM-03-01	Reducing Human-Elephant Conflicts in the Khoadi//Hoas (Elephants' Corner) Conservancy	Namibia	8/03	3/06	No	Yes	Yes	Yes
149	NAM-03-02	Outase Biogas Energy Supply Project	Namibia	8/03	7/05	No	Yes	Yes	Yes
150	ROM/OP3/2/06/07	Project Proposal for the Decrease of the Diffuse Water Pollution Sources, through the Promotion and Implementation of the Best Agricultural Techniques—PRO-APE	Romania	11/06	UI	No	Yes	Yes	Yes
151	ROM/OP3/2/06/03	Partnership for Conservation and Sustainable Use of Varghis Gorge Nature Reserve	Romania	5/06	UI	No	Yes	Yes	Yes
152	ROM/OP3/2/06/04	Communty Partnership in Order to Promote the Sustainable Tourism in Csomad-Balvanyos Micro-Region	Romania	6/06	UI	Yes	Yes	Yes	Yes
153	ROM/OP3/2/06/05	Biodiversity Conservation through Alternative Economic Activities in the Retezat National Park	Romania	5/06	UI	No	Yes	Yes	Yes
154	ROM/05/11	Sustainable Management of Natural Reserve 'Tur River's Natural Values	Romania	7/05	12/06	No	Yes	Yes	Yes
155	ROM/05/16	Long Term Bats Protection Together With Local Communities in Eastern Carpathians and Apuseni Mountains	Romania	7/05	2/07	No	Yes	Yes	Yes
156	ROM/05/13	Sustainable Development and Biodiversity Conservation in Rarau-Giumalau Massif	Romania	7/05	11/06	No	Yes	Yes	Yes
157	ROM/05/14	Dolphin By-Catch Diminishing in Romanian Coastal Water through Fishermen Communities Involvement and Tourists Awareness Raising	Romania	7/05	2/07	No	Yes	Yes	Yes

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							Project performance	Targeting of poor	M&E
158	ROM/05/15	Green Steps for Biodiversity Conservation in the Marsh Area of Olt River Meadow of the North-West Part of Ciomat-Balvanyos Microregion	Romania	7/05	7/06	Yes	Yes	Yes	Yes
159	ROM/05/18	Steps Towards Conservation	Romania	7/05	8/06	No	Yes	Yes	Yes
160	ROM/05/01	Natural Grasslands: Habitats for White Storks and Resources for Communities	Romania	4/05	5/06	Yes	Yes	Yes	Yes
161	ROM/05/04	Integrated Biodiversity Conservation through Development of Alternative Income Generation Methods for the Communities around the Creasta Cocosului Reserve"	Romania	4/05	7/06	Yes	Yes	Yes	Yes
162	TUR/OP3/2/06/06Pu	Publication of Turkey's Key Biodiversity Areas Book	Turkey	12/06	1/07	Yes	Yes	Yes	Yes
163	TUR-05-09Pu	Publication of Life and Nature in Ulus Kure Mountains	Turkey	4/06	12/06	Yes	Yes	Yes	Yes
164	TUR-05-13	Energy and Forest Conservation by Improving Insulation of Wooden Houses in Camili, Artvin	Turkey	2/06	UI	No	No	Yes	No
165	TUR-05-07	Sustainable Fishing and Consumption of Pearl Mullet - 2nd Phase	Turkey	11/05	5/07	Yes	Yes	Yes	Yes
166	TUR-04-14	Awareness Raising and Sustainable Land Management in Sarayonu District	Turkey	1/05	12/06	No	No	Yes	No
167	TUR-04-02	Environmentally, Socially, and Economically Sustainable Salt Extraction in Palas Lake	Turkey	6/04	UI	Yes	Yes	Yes	Yes
168	TUR-03-11	Protection of Wildlife through Use of Kangal Shepherd Dogs in Traditional Animal Husbandry	Turkey	3/04	5/06	Yes	Yes	Yes	Yes
169	TUR-03-13	Eco-Agro Tourism and Voluntary Knowledge and Skills interchange On Organic Farms	Turkey	3/03	3/06	Yes	Yes	Yes	Yes
170	TUR-02-23PU	Publication for Balik Lake	Turkey	3/04	3/04	Yes	Yes	Yes	Yes
171	TUR-98-06	Inventory of Endemic Plant Species in the GAP Region (South-East Anatolia), in Turkey	Turkey	9/98	12/00	Yes	Yes	Yes	Yes
172	TUR-95-01	Widespread Organization for Urban Environment	Turkey	12/95	6/96	Yes	Yes	Yes	Yes
173	EGY-05-232	Mitigation of Climate Change by Using the Technology of Solar Heater	Egypt	1/06	UI	Yes	Yes	Yes	Yes
174	EGY-05-252	Energy Conservation of Mitigation of Climate Change	Egypt	1/06	UI	Yes	Yes	Yes	Yes
175	EGY-05-171	Recycling the Agricultural Wastes	Egypt	7/05	UI	Yes	Yes	Yes	Yes
176	EGY-04-148	Recycling Agricultural Wastes in Sharkia (6)	Egypt	8/04	4/06	Yes	Yes	Yes	Yes
177	EGY-03-114	Protecting International Water	Egypt	5/04	6/06	Yes	Yes	Yes	Yes
178	EGY-02-64	Solar Energy-Friendly Energy for Environment	Egypt	3/03	3/06	Yes	Yes	Yes	Yes
179	EGY-01-32	The Improvement of Energy Efficiency	Egypt	1/02	12/02	Yes	Yes	Yes	Yes
180	EGY-00-20	Sustainable Use of Renewable Energy	Egypt	11/00	12/03	Yes	Yes	Yes	Yes
181	EG-PP-03	A Pilot Demonstration for Sustainable Desert Development	Egypt	1/94	7/97	Yes	Yes	Yes	Yes
182	EG-PP-07	Community Tree Planting in El Shorouk City, East Cairo	Egypt	2/94	10/96	Yes	Yes	Yes	Yes
183	EG-PP-05	Introducing Neem Trees in Maadi Area and in Old Cairo	Egypt	2/94	6/97	Yes	Yes	Yes	Yes

No.	Project code	Project name	Country	Project start	Project close	Field verification	Issues assessed		
							Project performance	Targeting of poor	M&E
184	CUB/OP3/2/06/02	Support to Environment Conservation and Improvement of Corralillo Popular Council Economy	Cuba	7/06	UI	Yes	Yes	Yes	Yes
185	CUB/OP3/2/06/06	New Livelihood Opportunities for the Zabalo Rural Community, Premise for the Sustainable Management of a Ramsar Site	Cuba	7/06	UI	Yes	Yes	Yes	Yes
186	CUB/05/008	Direct Sowing, New Conservationist Approach to Improve Soil Conditions, Promoting a Sustainable Agriculture for Small Farmers	Cuba	11/05	UI	Yes	Yes	Yes	Yes
187	CUB/05/005	Apoyo La Proteccion Del Ecosistema De Montantide; a Y L Economia Local En La Comunidad De Victorino	Cuba	10/05	UI	No	No	No	No
188	CUB/05/006	Support to Agro Biodiversity Conservation and Rural Development in Peralejo Community	Cuba	10/05	UI	Yes	Yes	Yes	Yes
189	CUB/05/007	Rescue and Conservation of Cuban Creole Goat	Cuba	10/05	UI	Yes	Yes	Yes	Yes
190	CUB/05/009	Photovoltaic Electrification in San Narciso Rural Settlement in the Mountain Ecosystem in Guamuhaya	Cuba	8/05	UI	Yes	Yes	Yes	Yes
191	VN/05/005	Conservation and Sustainable Use of Indigenous Fruit Tree Varieties of the Low-Lying Delta Agricultural Ecosystem in Ly Nhan District, Ha Nam Province	Vietnam	3/06	UI	No	No	No	Yes
192	VN/05/012	Promoting the Use of Traditional Knowledge in Biodiversity Conservation in Tourism Development in Sapa	Vietnam	3/06	UI	No	No	No	Yes
193	VN/04/013	Sustainable Use of indigenous Bamboo Forest Resources in Ngoc Lac District, Thanh Hoa Province	Vietnam	2/05	UI	No	No	No	Yes
194	VN/04/014	Training Workshop on Collecting and Documenting Indigenous Knowledge in Biodiversity Conservation the Farmers' Association of Lao Cai Province	Vietnam	2/05	2/06	No	No	No	Yes
195	VN/04/011	Preventing and Controlling Land Degradation and Desertification through Sustainable Production of Grafted Cashew in Semi-Arid Areas	Vietnam	2/05	UI	No	No	No	Yes
196	VN/04/005	Developing a Model in Management, Protection and Rational Utilisation of the Environment and Natural Resources of Chi Lang Nam Bird Area	Vietnam	1/05	UI	No	No	No	Yes
197	VIE/01/002	Developing a Community Project to Prevent Soil Degradation and Desertification in Coastal Sandy Area in Thach Ha District, Ha Tinh Province	Vietnam	11/02	12/05	No	No	No	Yes
198	VIE/01/007	Developing a Community Project to Restore and Conserve Semi-Arid Ecosystem and Shorea Falcata in Coastal Sandy Area in Song Cau District, Phu Yen Province	Vietnam	2/02	6/05	No	No	No	Yes
199	VIE/01/008	Developing a Community Project to Contribute to Biodiversity Conservation of Van Long Wetland Nature Reserve in Gia Vien District, Ninh Binh Province	Vietnam	2/02	6/04	No	No	No	Yes
200	SGP/VN/98/001	Conservation of Endemic Medicinal Plants in Vinh Tuong District	Vietnam	1/99	2/01	No	No	No	Ye

Note: UI = under implementation.

Table B.2

Data on Sampled Projects

No.	Project code	Prob-ability weight	RR	ER	EFR	OR	LR	IR	RR	TP	M&E	IND	FV	#FV	CR	CCR
1	GEF-STV-94-G05	0.0035	4	2	2	2	3	4	UA	4	3	1	UA	UA	1	
2	BAR/05/05	0.0017	5	UA	3	UA	UA	4	UA	4	3	3	UA	UA	2	
3	GEF-BAR-94-G06	0.0035	5	4	3	4	UA	4	3	4	3	3	UA	UA	1	
4	GEF-STL-94-G04	0.0035	5	4	4	4	UA	4	UA	4	3	1	UA	UA	3	3
5	BAR/05/19	0.0017	5	2	3	2	UA	4	2	4	3	3	3	UA	2	
6	BAR/OP3/06/06/04	0.0017	5	UA	UA	UA	UA	5	3	4	3	3	3	UA	2	
7	GEF-BAR-00-G29	0.0035	5	2	3	2	UA	UA	UA	2	3	3	3	UA	1	
8	GEF-STL-94-G03	0.0035	5	4	4	4	UA	5	UA	4	3	1	UA	UA	3	3
9	GEF-ANT-00-G31	0.0035	4	1	1	1	UA	UA	UA	3	3	3	UA	UA	1	
10	BZE/OP3/1/06/07	0.0015	4	4	4	4	5	5	3	2	3	3	3	2	2	
11	BZE/05/04	0.0015	5	6	5	5	6	6	4	1	3	3	3	UA	2	
12	BZE/UNF-GEF/05/01	0.0015	6	4	4	4	4	5	4	4	3	3	3	UA	UA	
13	BZE/UNF-GEF/04/04	0.0015	6	4	4	4	4	5	3	2	1	1	3	30	2	
14	BZE/04/05	0.0054	5	5	5	5	4	5	4	3	3	3	3	UA	3	3
15	BZE/UNF-GEF/04/03	0.0015	5	4	2	4	3	3	2	4	3	1	3	10	2	
16	BZE/UNF-GEF/02/06	0.0054	6	5	6	5	5	5	4	4	1	1	3	UA	3	3
17	BZE/UNF/02/05	0.0054	5	5	5	5	5	6	4	4	3	3	3	UA	3	3
18	BZE/UNF/02/07	0.0054	4	4	4	4	4	5	2	2	1	1	3	1	3	3
19	BZE/97/13	0.0054	5	4	4	4	3	4	2	3	1	1	3	UA	3	3
20	BZE/93/04	0.0054	5	4	3	4	4	3	1	4	1	1	3	4	3	3
21	MAU/CWI/06/02	0.0037	2	5	UA	2	5	5	4	2	3	3	3	UA	3	3
22	MAU/CWI//03	0.0037	2	5	UA	2	5	5	4	2	3	3	3	UA	3	3
23	MAU/SGP/OP3/06/13	0.0037	5	5	5	5	5	5	UA	2	3	3	3	UA	2	
24	MAU/SGP/OP3/06/15	0.0036	5	5	5	5	5	5	3	2	3	3	3	UA	3	3
25	MAU/SGP/OP3/06/19	0.0037	5	5	5	5	5	5	2	2	3	3	3	UA	2	
26	MAU98/G52/04/05/03	0.0037	5	3	5	3	5	UA	2	2	3	3	3	UA	2	
27	Mau/98/G52/03/12	0.0037	5	4	5	4	5	5	2	2	3	3	3	UA	3	3
28	Mau98/G52/03/07	0.0036	5	5	5	5	5	5	3	2	3	3	3	UA	3	3
29	Mau98/G52/03/01	0.0036	5	5	5	5	5	UA	3	4	3	3	3	UA	2	
30	Mau98/G52/02/13	0.0036	5	5	5	5	5	5	2	4	3	3	3	UA	3	3
31	Mau98/G52/02/14	0.0036	5	5	5	5	5	5	3	2	3	3	3	UA	3	3
32	DMA/UNF/02/11	0.0008	4	5	5	4	UA	5	2	4	3	3	3	UA	1	
33	DMA/UNF/02/12	0.0008	4	5	5	4	UA	5	2	4	3	2	3	UA	1	
34	DMA/UNF/03/01	0.0008	4	3	3	3	UA	5	3	4	3	3	3	UA	1	
35	DMA/UNF/03/02	0.0008	4	4	4	4	UA	5	3	4	3	3	3	UA	1	
36	DMA/UNF/02/02	0.0008	3	5	5	3	UA	5	2	4	3	3	3	UA	1	
37	DMA/UNF/02/03	0.0008	5	5	4	5	UA	5	UA	4	3	3	3	UA	1	

No.	Project code	Prob-ability weight	RR	ER	EFR	OR	LR	IR	RR	TP	M&E	IND	FV	#FV	CR	CCR
38	GEF-DMA-94-G09	0.0008	5	5	5	5	UA	5	3	4	3	3	3	UA	1	
39	NER/OP3/2/06/05	0.0039	5	6	6	5	5	6	3	1	3	3	3	1	2	
40	NER/OP3/2/06/07	0.0039	3	4	3	3	UA	1	1	3	1	2	3	1	2	
41	NER/OP3/2/06/08	0.0039	5	6	6	5	5	4	4	2	3	2	3	1	2	
42	NER/OP3/1/06/07	0.0039	5	6	6	5	5	5	4	2	3	3	3	3	3	3
43	NER/OP3/1/06/09	0.0039	5	5	5	5	5	6	2	1	3	3	3	2	1	
44	NER/05/03	0.0009	5	5	5	5	5	6	1	2	3	2	3	3	3	3
45	NER/05/06	0.0039	5	5	5	5	5	6	2	1	3	3	3	2	1	
46	NER/04/01	0.0009	5	6	6	5	5	5	2	2	3	3	3	3	3	3
47	NER/04/02	0.0009	5	5	5	5	5	4	4	1	3	2	3	4	3	3
48	NER/04/03	0.0009	5	5	4	5	5	4	2	1	3	2	3	3	3	2
49	NER/04/05	0.0009	5	5	5	5	5	5	3	4	1	3	3	3	3	3
50	NER/04/09	0.0009	5	5	5	5	5	5	2	1	3	2	3	2	3	3
51	POL/06/OP3/24	0.0052	6	5	5	5	5	5	4	4	3	3	1	UA	2	
52	POL/06/OP3/26	0.0052	6	6	5	6	5	5	3	4	3	3	3	2	2	
53	POL/06/OP3/14	0.0052	6	5	5	5	5	5	3	4	3	3	1	UA	2	
54	POL/06/OP3/06	0.0052	6	5	5	5	5	6	4	2	1	1	3	1	2	
55	POL/06/OP3/13	0.0052	6	5	5	5	5	5	4	4	3	3	3	1	2	
56	POL/05/13	0.0052	6	6	5	6	5	5	4	4	3	3	3	3	3	3
57	POL/04/21	0.0195	6	5	5	5	5	5	4	2	1	1	3	2	3	3
58	POL/01/01	0.0195	6	6	6	6	5	6	4	4	1	1	3	2	3	3
59	POL/00/22	0.0195	6	6	6	6	5	5	4	4	3	3	3	2	1	
60	POL/00/02	0.0195	5	6	5	5	5	5	4	4	1	1	3	2	1	
61	POL/95/03	0.0195	6	6	6	6	5	6	4	2	1	1	3	3	3	2
62	POL/03/10	0.0195	6	5	5	5	5	5	4	4	3	3	1	UA	3	3
63	ECU/OP3/1/06/017	0.0049	6	6	6	6	6	6	3	4	3	3	3	8	2	
64	ECU/05/008	0.0049	5	6	5	5	5	6	3	3	3	3	3	6	2	
65	ECU/04/003	0.0049	6	6	6	6	6	UA	3	3	3	3	3	10	2	
66	ECU/00/002	0.0090	6	2	4	2	4	4	UA	4	3	3	3	3	1	
67	ECU/98/006	0.0049	6	6	5	6	5	5	2	4	3	3	3	UA	3	3
68	ECU/97/014	0.0090	5	5	5	5	5	5	3	4	3	3	3	3	3	3
69	ECU/97/015	0.0090	6	5	6	5	5	5	2	4	3	3	3	UA	3	2
70	ECU/95/009	0.0090	3	5	5	3	5	6	3	4	3	3	3	UA	1	
71	ECU/95/012	0.0090	6	UA	6	UA	6	6	4	4	3	1	3	UA	3	3
72	ECU/95/007	0.0090	4	6	6	4	6	6	4	3	3	3	3	UA	3	2
73	ECU/04/015	0.0049	6	6	6	6	5	6	2	4	3	3	3	8	2	
74	PAK/OP3/05/08	0.0041	5	6	5	5	5	6	4	4	1	1	3	1	2	
75	PAK/04/64	0.0041	4	3	3	4	3	5	2	4	3	2	3	4	2	
76	PAK/04/62	0.0041	5	3	5	3	UA	5	2	3	3	2	3	2	3	2

No.	Project code	Prob-ability weight	RR	ER	EFR	OR	LR	IR	RR	TP	M&E	IND	FV	#FV	CR	CCR
77	PAK/03/52	0.0091														
78	PAK/03/46	0.0041	6	4	3	4	4	5	1	4	3	2	3	UA	2	
79	PAK/01/31	0.0091	6	6	6	6	6	5	4	1	3	3	3	1	3	3
80	PAK/01/30	0.0041	5	4	4	4	4	6	2	4	3	3	3	2	1	
81	PAK/01/17	0.0091	5	4	4	4	5	5	2	2	3	3	3	6	3	3
82	PAK/01/21	0.0041	6	6	6	6	5	5	4	1	3	3	3	3	3	3
83	PAK/00/15	0.0091	5	4	4	4	5	4	2	4	3	1	3	3	3	3
84	PAK/99/05	0.0091	6	6	5	6	5	6	4	4	3	3	3	4	3	3
85	PAK/97/12	0.0091	4	3	5	4	UA	5	UA	3	1	1	3	3	1	1
86	JOR/OP3/Y2/06/04	0.0025	6	UA	5	UA	5	4	2	2	3	2	3	1	2	
87	JOR/OP3/Y2/06/05	0.0025	6	5	5	5	5	5	3	2	3	2	3	1	2	
88	JOR/05/10	0.0025	6	5	6	5	5	5	4	2	3	2	3	1	2	
89	JOR/OP3/05/01	0.0025	5	5	5	5	4	4	4	2	3	3	3	5	2	
90	JOR/04/09	0.0025	6	5	4	5	6	4	4	2	3	2	3	1	2	
91	JOR/04/02	0.0080	6	5	5	5	5	5	3	2	3	2	3	2	3	3
92	JOR/04/04	0.0025	6	5	5	5	6	5	3	2	3	3	3	1	UA	
93	JOR/02/10	0.0080	4	5	6	4	5	5	4	1	3	3	3	7	3	3
94	JOR/01/06	0.0080	6	5	5	5	4	6	3	2	1	2	3	3	3	3
95	GEF-JOR-95-G52-18	0.0080	6	5	6	5	6	5	3	2	3	2	1	UA	3	3
96	GEF-JOR-95-G52-15	0.0080	5	5	5	5	5	5	3	2	3	2	3	7	3	2
97	GUA/CWI/OP3/02/06/15	0.0031								1						
98	GUA/OP3/02/06/08	0.0031	4	5	5	4	UA	UA	4	4	3	3	3	1	2	
99	GUA/OP3/02/06/03	0.0031	4	5	5	4	4	5	2	2	3	3	3	1	2	
100	GUA/05/12	0.0031	5	UA	UA	UA	UA	UA	UA	2	3	3	3	2	2	
101	GUA/05/10	0.0031	3	4	5	3	UA	5	2	2	3	2	3	3	2	
102	GUA/04/19	0.0132								2						
103	GUA/04/20	0.0031	4	5	5	4	5	4	2	2	3	3	3	2	3	3
104	GUA/02/02	0.0132								2						
105	PPS-01-2000	0.0132	4	5	5	4	4	4	3	2	3	3	3	3	3	3
106	PPS-06-98	0.0132	3	6	6	3	5	6	4	3	3	2	3	5	3	3
107	PPS-07-98	0.0132								2						
108	PPS-08-98	0.0132	4	5	6	4	6	6	4	3	3	3	3	3	3	3
109	GHA/06/100	0.0041	6	5	5	5	5	UA	3	4	3	3	3	3	2	
110	GHA/05/082	0.0041	6	5	UA	5	5	6	3	2	3	3	3	4	2	
111	GHA/05/077	0.0041	5	6	5	5	5	6	UA	2	3	3	3	4	2	
112	GHA/05/078	0.0041	5	4	4	4	5	5	3	2	3	3	3	4	2	
113	GHA/05/080	0.0041	5	UA	5	UA	5	6	3	1	3	3	3	4	2	
114	GHA/00/040	0.0049	6	6	UA	6	5	6	4	3	3	3	3	6	3	3
115	GHA/98/025	0.0049	6	5	5	5	5	4	4	3	3	3	3	6	3	2

No.	Project code	Prob-ability weight	RR	ER	EFR	OR	LR	IR	RR	TP	M&E	IND	FV	#FV	CR	CCR
116	GHA/98/028	0.0049	4	UA	UA	UA	UA	6	UA	4	UA	2	3	1	3	2
117	GHA/98/027	0.0049								3	3	3	3	6	2	
118	GHA/93/009	0.0049	5	UA	UA	UA	4	5	4	4	3	2	3	5	3	2
119	GHA/93/010	0.0049	6	5	UA	5	3	4	4	2	3	2	3	2	3	2
120	GHA/06/105	0.0041	5	5	5	5	5	5	3	2	3	3	3	3	2	
121	KEN-GEF-05-006	0.0067	6	5	5	5	5	5	3	1	3	3	3	1	2	
122	KEN-GEF-05-007	0.0067	6	4	5	4	5	5	3	2	3	3	3	1	2	
123	KEN/NTEAP/06/010	0.0067	6	4	5	4	5	5	2	1	3	3	3	3	2	
124	KEN/NTEAP/06/013	0.0067	6	4	4	4	3	3	3	4	3	3	3	3	2	
125	KEN/UNF-GEF/04/09	0.0067	6	4	5	4	4	5	3	4	3	3	3	3	2	
126	KEN/UNF-GEF/02/07	0.0067	6	5	6	5	5	5	4	4	3	3	3	3	2	
127	KEN-GEF-99-001	0.0078	6	3	4	3	5	5	2	1	3	3	3	5	2	
128	KEN/UNF/01/08	0.0078	6	5	5	5	5	5	4	3	3	3	3	5	3	3
129	KEN-GEF-01-025	0.0078	6	6	6	6	6	6	4	4	3	3	3	4	1	
130	KEN-GEF-94-012	0.0078														
131	KEN-GEF-93-003	0.0078	6	5	5	5	4	5	2	4	3	3	3	2	1	
132	MAL/OP3/2/06/FP-53	0.0036	5	4	3	4	4	5	UA	4	3	3	UA	UA	2	
133	MAL/05/FP-1-49	0.0036	5	6	4	5	4	5	UA	2	3	3	UA	UA	2	
134	MAL/04/FP-01/36	0.0021	5	5	5	5	5	5	3	2	3	3	UA	UA	3	3
135	MAL/04/FP-08/43	0.0036	5	5	5	5	5	5	3	1	3	3	UA	UA	3	3
136	MAL/04/FP-12/47	0.0036	5	4	5	4	5	5	3	2	3	3	UA	UA	3	3
137	MAL/03/FP-08/35	0.0021	5	4	5	4	5	UA	3	1	3	3	UA	UA	3	3
138	MAL/03/FP-01/28	0.0036	5	5	5	5	5	4	3	2	3	3	UA	UA	2	
139	MAL/03/FP-03/30	0.0021	5	5	5	5	5	4	2	2	3	3	UA	UA	3	3
140	MAL/02/23	0.0021	5	6	5	5	5	5	3	1	3	1	UA	UA	3	3
141	MAL/01/20	0.0021	5	6	5	5	5	UA	3	2	3	1	UA	UA	3	3
142	MAL/01/17	0.0021	5	5	5	5	UA	UA	3	1	UA	1	UA	UA	3	3
143	MAL/01/18	0.0036	5	UA	5	UA	5	5	3	4	UA	1	UA	UA	2	
144	Nam-04-10	0.0024	6	4	UA	4	UA	UA	UA	2	3	2	UA	UA	UA	
145	Nam-04-13	0.0024	5	UA	UA	UA	UA	UA	UA	3	3	3	UA	UA	UA	
146	NAM-04-01	0.0024	4	3	UA	3	UA	UA	UA	3	3	2	UA	UA	UA	
147	NAM-04-02	0.0024	6	UA	UA	UA	UA	UA	2	4	3	3	UA	UA	UA	
148	NAM-03-01	0.0024	5	5	5	5	5	3	2	4	1	1	UA	UA	1	
149	NAM-03-02	0.0024	6	4	3	4	4	UA	UA	4	3	1	UA	UA	UA	
150	ROM/OP3/2/06/07	0.0019	5	UA	UA	UA	5	UA	UA	4	3	3	3	1	2	
151	ROM/OP3/2/06/03	0.0019	5	5	UA	5	5	5	3	2	3	3	3	2	2	
152	ROM/OP3/2/06/04	0.0019	6	5	5	5	5	6	4	4	3	3	3	2	2	
153	ROM/OP3/2/06/05	0.0019	5	UA	UA	UA	5	5	3	2	3	2	3	1	2	
154	ROM/05/11	0.0015	5	6	5	5	5	6	4	4	3	3	3	1	3	3

No.	Project code	Prob-ability weight	RR	ER	EFR	OR	LR	IR	RR	TP	M&E	IND	FV	#FV	CR	CCR
155	ROM/05/16	0.0019	5	5	5	5	5	5	4	4	3	3	3	3	UA	
156	ROM/05/13	0.0015	5	5	5	5	5	5	4	2	3	3	3	2	3	3
157	ROM/05/14	0.0019	5	5	6	5	5	5	4	4	3	3	3	3	3	3
158	ROM/05/15	0.0015	5	5	5	5	5	5	4	4	3	3	3	3	3	3
159	ROM/05/18	0.0015	5	5	5	5	5	5	3	4	3	2	3	2	3	3
160	ROM/05/01	0.0015	5	5	5	5	5	5	4	2	3	2	3	2	3	3
161	ROM/05/04	0.0015	6	6	5	6	5	6	4	4	3	3	3	2	3	3
162	TUR/OP3/2/06/06PU	0.0018	6	6	5	6	UA	UA	4	4	3	3	3	UA	3	3
163	TUR-05-09PU	0.0018	5	5	4	5	5	6	2	4	3	2	3	UA	3	3
164	TUR-05-13	0.0018								2						
165	TUR-05-07	0.0018	6	6	6	6	5	5	3	4	3	3	3	5	2	
166	TUR-04-14	0.0087								3						
167	TUR-04-02	0.0018	6	5	5	5	5	5	2	2	3	2	3	2	2	
168	TUR-03-11	0.0087	5	5	3	4	5	4	3	1	3	2	3	3	3	2
169	TUR-03-13	0.0087	6	6	4	5	5	4	3	2	3	2	3	5	3	3
170	TUR-02-23PU	0.0087	4	4	4	4	5	5	UA	4	3	2	3	UA	3	2
171	TUR-98-06	0.0087	5	5	4	5	UA	3	4	4	3	2	3	UA	3	
172	TUR-95-01	0.0087	5	6	4	5	5	5	3	4	3	2	3	UA	3	
173	EGY-05-232	0.0099	6	6	6	6	5	6	3	1	3	2	3	2	2	
174	EGY-05-252	0.0099	6	6	6	6	6	5	3	2	3	2	3	2	2	
175	EGY-05-171	0.0099	6	6	6	6	6	6	3	1	1	2	3	2	2	
176	EGY-04-148	0.0099	6	6	6	6	6	6	3	1	1	2	3	2	3	3
177	EGY-03-114	0.0099	6	6	6	6	5	5	3	2	3	2	3	2	3	3
178	EGY-02-64	0.0099	6	6	6	6	5	6	3	1	3	3	3	2	3	3
179	EGY-01-32	0.0050	6	6	6	6	6	5	3	2	1	2	3	2	3	3
180	EGY-00-20	0.0050	6	6	6	6	5	5	3	2	3	2	3	2	3	3
181	EG-PP-03	0.0050	5	3	4	3	5	5	2	4	3	1	3	2	1	
182	EG-PP-07	0.0050	5	6	6	5	5	5	3	1	3	1	3	1	3	1
183	EG-PP-05	0.0050	6	6	6	6	5	5	3	1	3	3	3	2	1	
184	CUB/OP3/2/06/02	0.0008	5	5	5	5	5	5	3	3	3	3	3	2	2	
185	CUB/OP3/2/06/06	0.0016	6	5	5	5	5	5	4	3	3	3	3	2	2	
186	CUB/05/008	0.0016	5	5	5	5	5	5	3	3	3	3	3	2	2	
187	CUB/05/005	0.0016														
188	CUB/05/006	0.0016	5	5	6	5	5	6	2	3	3	3	3	2	2	
189	CUB/05/007	0.0016	5	6	6	5	5	6	4	3	3	3	3	2	2	
190	CUB/05/009	0.0016	6	6	6	6	6	6	3	4	3	3	3	2	2	
191	VN/05/005	0.0036									3	3	3	6	2	
192	VN/05/012	0.0036									3	3	3	3	2	
193	VN/04/013	0.0036									3	3	3	6	2	

No.	Project code	Prob-ability weight	RR	ER	EFR	OR	LR	IR	RR	TP	M&E	IND	FV	#FV	CR	CCR
194	VN/04/014	0.0052									UA	3	3	1	3	3
195	VN/04/011	0.0036									3	3	3	6	2	
196	VN/04/005	0.0036									3	3	3	6	2	
197	VIE/01/002	0.0052									3	3	3	6	3	3
198	VIE/01/007	0.0052									3	3	3	6	3	3
199	VIE/01/008	0.0052									3	3	3	6	3	3
200	SGP/VN/98/001	0.0052									3	2	3	4	3	3

Note: **RR** = relevance rating (six-point scale); **ER** = effectiveness rating (six-point scale); **EFR** = efficiency rating (six-point scale); **OR** = outcome rating (six-point scale); **LR** = learning rating (six-point scale); **IR** = interaction rating (six-point scale); **RR** = risk rating (four-point scale); **TP** = targeting of the poor (four-point scale); **M&E** = inclusion of M&E activities (Yes = 3, No = 1); **IND** = Are/were sufficient relevant results indicators identified for the project objectives? (Mostly = 3, Partially = 2, No = 1); **FV** = Have project field supervision visits been conducted by the national coordinator and consultants or personnel deputed by the national coordinator so far? (Yes = 3, No = 1); **#FV** = How many field supervision visits were conducted?; **CR** = If the project is closed, is the project completion report available? (Yes = 3, project has not been closed = 2, No = 1); **CCR** = Does the project completion report assess the extent to which project objectives/results were attained? (Mostly = 3, Only for some objectives/results = 2, No = 3); **UA** = unable to assess. A blank cell indicates that the project was not evaluated on the specified parameter.

Annex C. The SGP 20 Primary Partners

	Partner	Country/region	Type	Focal area	Contribution
1	European Commission Program to Promote Tropical Forests	Philippines, Poland, Kenya, Belize, Pakistan, Vietnam	Bilateral	BD	€15,132,500
2	New Zealand Aid Agency	Philippines	Bilateral	BD	$6,147,555 over 3 years
3	Partnerships in Environmental Management in the Seas of South East Asia	Philippines, Vietnam	GEF/UNDP	IW	$1 million target (from local government and private sector partners)
4	Reversing Land and Water Degradation Trends in the Niger Basin Project	Niger River Basin	GEF/WB	IW	Cash and technical assistance; GEF IA mainstreaming (World Bank, UNDP)
5	Nile Basin Initiative	Egypt	GEF/WB	IW	Cash and technical assistance
6	Mediterranean Action Plan	Coastal areas of Mediterranean Sea	GEF/WB	IW	GEF IA mainstreaming (UNDP)
7	Nile Transboundary Environmental Action Project	Egypt, Kenya	GEF	IW	Cash and technical assistance
8	Japan Council on the UN Decade of Education for Sustainable Development	Pakistan	Int'l NGO		In kind
9	International POPs Elimination Network	Global	Int'l NGO	POPs	In kind
10	Biodiversity International	Asian Pacific	Int'l NGO	BD	In kind
11	Royal Society for the Protection of Birds	Europe, CIS	Int'l NGO	BD	Parallel
12	Regional Program to Promote Household and Alternative Energies in the Sahel	Mauritania, Niger	Regional program	CC	Parallel
13	International Coral Reef Action Network	Caribbean Sea, Indian Ocean, Persian Gulf, Southeast Asia, Pacific	UN agency	BD	$300,000 (UN Foundation) + in kind
14	Community Water Initiative	Mauritania, Kenya, Guatemala	UN agency	IW	$3,135, 569
15	UNEP/Indigenous Populations		UN agency		Cash
16	UNEP/Ministry of Water, Lands and Environment	Uganda, Tanzania, Mozambique	UN agency		Cash

	Partner	Country/region	Type	Focal area	Contribution
17	Traditional Knowledge and the Convention for Biological Diversity (UNESCO World Heritage Centre)	Global	UN agency	BD	Joint or parallel
18	UNESCO/International Labor Organization	Barbados, Belize, Dominica, Mauritania	UN agency	BD	Parallel
19	United Nations Foundation	Mauritania, Kenya, Dominica, Mexico, Belize, Philippines	UN agency	BD	≈$7 million since 2000
20	United Nations Convention to Combat Desertification	Global	UN convention	LD	$250,000

Note: Organizations were identified by the CPMT. BD = biodiversity; CIS = Commonwealth of Independent States; IW = international waters; LD = land degradation; UN = United Nations.

Annex D. Country Program Management Costs Assessment

Results of the multiple variable linear regression model that estimates average management costs of country programs are presented below. The marginal cost estimates are derived from the average cost estimates. Among the variables included, **totalexp** represents total annual expenditure of the country program and **totalexp2** is the squared value of the total expenditure; **lac**, **eca**, **asia**, **sids**, **ldc**, and **compact** are dummy variables. **Year** is the variable for the number of years after an SGP country program was established, and **Year^2** is the squared value of the **Year** variable. The variable **ppp** indicates the purchasing power parity indexes of the participating country—how many dollars (in U.S. currency) are required to purchase a basket of goods and services that are worth a dollar in the United States. The data used are from Heston, Summers, and Aten (2006). The data for the majority of countries are for 2004. For countries for which data were not available for 2004, data for 2003 or 2002 have been used. Only those country programs that were at least two years old were considered. The subregional programs were treated as country programs.

Parameter	Value
Multiple R	0.682935
R square	0.4664
Adjusted R square	0.371729
Standard error	0.054959
Observations	74

Variable	Coefficient	Standard error	*t* statistic	P-value	Lower 95%	Upper 95%	Lower 95.0%	Upper 95.0%
intercept	0.315524	0.049496	6.37473	2.56 x 10-08	0.216583	0.414466	0.216583	0.414466
totalexp	-3.8×10^{-07}	1.08×10^{-07}	-3.47002	0.000953	-5.9×10^{-07}	-1.6×10^{-07}	-5.9×10^{-07}	-1.6×10^{-07}
totalexp2	1.67×10^{-13}	7.35×10^{-14}	2.273104	0.026496	2.01×10^{-14}	3.14×10^{-14}	2.01×10^{-14}	3.14×10^{-14}
lac	0.020085	0.021486	0.934788	0.353524	-0.02287	0.063036	-0.02287	0.063036
eca	0.023397	0.02406	0.972437	0.334612	-0.0247	0.071492	-0.0247	0.071492
asia	-0.01149	0.017933	-0.64083	0.523996	-0.04734	0.024356	-0.04734	0.024356
Year	0.000842	0.007012	0.120018	0.904857	-0.01318	0.014859	-0.01318	0.014859
Year^2	-0.00045	0.000531	-0.83924	0.404557	-0.00151	0.000616	-0.00151	0.000616
ldc	-0.00401	0.019334	-0.20725	0.836497	-0.04265	0.03464	-0.04265	0.03464
sids	0.01723	0.020714	0.831825	0.4087	-0.02418	0.058637	-0.02418	0.058637
compact	-0.02556	0.025163	-1.01587	0.313641	-0.07586	0.024738	-0.07586	0.024738
ppp	0.083734	0.052432	1.597007	0.115349	-0.02108	0.188544	-0.02108	0.188544

Annex E. Management Response

This is the management response to the *Joint Evaluation of the GEF Small Grants Programme*, prepared by the GEF Evaluation Office. Because the Small Grants Programme is a corporate program of the GEF, the management response has been prepared by the GEF Secretariat.

The primary objectives of the evaluation were to assess the following:

- Effectiveness of the SGP in generating global environmental benefits
- Efficiency of the SGP in engaging community-based groups and NGOs to address global environmental concerns
- Key factors affecting results of the SGP
- M&E systems of the SGP

We agree with most of the recommendations provided by the GEF Evaluation Office and are pleased with quite a few conclusions provided in the report. However, we have reservations on a few of the recommendations as elucidated in our response below.

E.1 Evaluation Conclusions

The evaluation was conducted at the recommendation of the GEF Secretariat. It is the first time that the SGP, which has been receiving GEF funding for the past 15 years, has been evaluated by the GEF Evaluation Office. We welcome the work carried out by the evaluation team to look at the portfolio of over 8,000 small grants with an estimated GEF investment of over $280 million.

We are encouraged by the conclusions reached on the relevance and results of GEF support to the SGP, although we are concerned with the dependence of the SGP on long-standing countries to maintain cost-effectiveness and cofinance ratios.

Conclusion 1: The SGP has a slightly higher success rate in achieving global environmental benefits and a significantly higher rate in sustaining them than GEF medium- and full-size projects.

We are pleased that small grants are rated as satisfactory and considered slightly better performing than the full-size and medium-size projects funded by the GEF in the same period.

Conclusion 2: The SGP has contributed to numerous institutional reforms and policy changes in the recipient countries to address global environmental issues.

We appreciate the positive impact of the SGP on local and national policy, and occasionally also on the markets. This is indeed a good indicator of the program's capacity to scale up its modest activities.

Conclusion 3: The SGP has contributed to direct global environmental benefits while also addressing the livelihood needs of local populations.

This is an important conclusion pointing to SGP activities resulting in global environmental benefits. Even allowing for uncertainties in verifying such benefits arising from small activities, the evaluation at the minimum establishes that global environmental objectives remain central to the SGP.

Conclusion 4: The SGP has made significant progress in targeting its efforts to help the poor.

This conclusion indicates that the majority of SGP small grants are aiming to mainstream global environmental objectives with poverty eradication, which is a very good outcome for the GEF. Management will identify such SGP projects to offer as examples to help mainstream larger MSPs and FSPs.

Conclusion 5: The SGP country programs, especially the older ones, are effective in promoting the GEF agenda.

We are pleased to know that the SGP is having a positive impact on national policy in the more mature countries. Fully cognizant that newer programs take time to build capacity and establish a track record that can help influence policy makers, the SGP Steering Committee will review how to replicate these impacts in a shorter time frame for newer countries, which include mainly LDCs and SIDS.

Conclusion 6: All country programs reviewed had interaction with other GEF projects.

The evaluation removes one of the misgivings regarding the link between the SGP and the rest of the GEF portfolio in the country. Therefore, we are delighted to learn that all country programs established a relationship with other GEF-funded projects in the country, as this has always been our intention.

Conclusion 7: The SGP's knowledge-sharing practices have been satisfactory.

The evaluation confers another satisfactory rating for the SGP, and we expect this rating to further improve with the recent strengthening of its knowledge management capacity.

Conclusion 8: Although monitoring and evaluation has improved significantly, there is scope for further improvements.

We value the progress made in strengthening the monitoring and evaluation procedures of the SGP, with the recognition that further scope for improvements in this critical aspect of SGP management still remains.

Conclusion 9: The SGP is a cost-effective instrument for the GEF to generate global environmental benefits through NGOs and community-based organizations.

We are pleased to note the generally positive conclusion of the evaluation team regarding increasing cost effectiveness of the SGP. The SGP Steering Committee will try to identify ways to reduce management costs, fully recognizing that the newer countries entering the SGP will be primarily LDCs and SIDS, which will require more support than existing SGP countries.

The finding on cofinancing trends is not very encouraging, and the SGP Steering Committee will take this matter into consideration at its next meeting, fully noting that the decrease in the 1:1 cofinancing trend started with the introduction of more LDCs and SIDS.

The evaluation finding that the SGP performs better in disbursement of funds compared to the

small grant component of MSPs and FSPs is well appreciated, though this finding comes with a qualifier that the comparison is based solely on the World Bank's analysis of its biodiversity projects that included small grants. The World Bank criteria for rating small grants by FSPs and MSPs may also have differed from the norm used for evaluating the SGP.

Conclusion 10: Automatic graduation from the SGP of country programs older than eight years risks reducing the cost effectiveness of the overall GEF portfolio.

We observe the concern expressed by the Evaluation Office regarding the likely impact of graduation from the SGP anticipated at the end of GEF-4. It should be noted that no graduation has taken place until now, and countries have still to submit their strategy for graduating from the SGP. These graduation strategies are to be discussed at a global workshop to work out the way forward. It is envisaged that countries that graduate in 2010 would have completed at least 14 to 18 years in the SGP, gaining significant capacity within their civil society.

As the evaluation points out, countries that are likely to graduate have a good track record in raising cofinancing and also are confident of raising funds to continue the SGP. Based on such standard norms to measure the capacity of civil society, it can be determined that these countries are in a reasonable position to graduate from the SGP, thereby allowing the SGP to concentrate more on providing critical services to LDCs and SIDS, where the capacities of civil society on global environmental protection are quite limited.

An issue to be worked out is how the GEF could assist graduating countries somehow to maintain the SGP delivery mechanism, which includes the SGP national committee, the networks organized, and the partnerships built. The objective would be to safeguard significant GEF investments in the SGP in the countries concerned.

Conclusion 11: SGP country programs operate at maximum cost efficiency at an annual expenditure level of $1.0 to $1.1 million.

The evaluation concedes that the SGP national allocation is dependent on the absorptive capacity of the civil society as well as the potential of the country to provide global environmental benefits. The GEF Resource Allocation Framework is an indicator of the potential for providing global environmental benefits.

The SGP Steering Committee Guidelines state that "The maximum amount of the GEF contribution to the SGP per country should be a cumulative total of $2.4 million for GEF-4 at an average of $600,000 per year…" However, as the SGP will disburse grants in the last three years of GEF-4, the cumulative total divided by three would lead to an average of $800,000 grants per country per year and not $600,000 as stated earlier.

Conclusion 12: The higher level of GEF investments in the SGP during OP3 facilitated more cost-efficient operation than in OP1 and OP2.

We appreciate the reduction in the share of management costs in the past few years. However, we are not persuaded that the only way to maintain a low share of management costs is to escalate average funding to countries. Other avenues, including the ones identified by the evaluation report, need to be explored to keep a check on management costs while enhancing the quality of outcomes.

Conclusion 13: The current management model of the SGP has reached its limits and is not suitable for a new phase of growth.

We agree that the current management model of the SGP will need modifications to enable it

to meet evolving country demands, and the SGP Steering Committee will look into this matter.

E.2 Recommendations

Recommendation 1: The level of management costs should be established on the basis of services rendered and cost efficiency rather than on the basis of a stated percentage.

We support the recommendation of the evaluation report and recognize that an identical management structure irrespective of the size of national allocation is not cost efficient.

While recognizing that in many cases the presence of a national coordinator to support a national steering committee is essential to demonstrate national and civil society ownership within the country, the SGP Steering Committee will review the management structure for countries having smaller allocations and explore extending multi-country management support systems that serve the purpose of assisting countries without losing cost efficiency of operations.

Management notes with concern the practice of providing small grants solely to pay SGP management costs over and above the funds provided by the GEF. Such action would appear to be a violation of the GEF funding agreement. SGP management has considered these to be legitimate expenses (knowledge management products and capacity building) for helping deliver global environmental benefits. In order to resolve this point, the issue will be taken up at the next meeting of the SGP Steering Committee.

Recommendation 2: A process to make the SGP central management system suitable for the new phase of growth and address the risks of growing complexity needs to begin.

We agree on the recommendation to review the central management system of the SGP and will take it up and provide a report to the Council at its next meeting.

Recommendation 3: Country program oversight needs to be strengthened.

Management takes note of this recommendation and will consider a system to regularly audit the country programs.

The GEF Ombudsman will also be involved in handling complaints related to the SGP, and this would be appropriately announced on the SGP and GEF Web sites.

Recommendation 4: Monitoring and evaluation needs to be strengthened further.

The M&E system will be reviewed and strengthened as per the recommendation made by the Evaluation Office.

Recommendation 5: The current criteria for access to SGP resources should be revised to maintain cost efficiency.

Funding for the LDCs and SIDS has been made possible as resources have been freed up after placing a cap on the allocations provided to existing SGP countries. The consequence of removing such a cap will be to push the SGP back to the status quo, shutting out most of the LDCs and several SIDS based on the approved funding by the Council.

A modification in the project cycle of the SGP lifted the highest cap on a per year basis from $600,000 to $800,000 for countries (as explained above).

The SGP Steering Committee agreed to review the graduation status of the affected LDCs and SIDS and report to the Council at its next meeting.

Recommendation 6: The intended SGP country program graduation policy needs to be revised for GEF-5 to address the risks to GEF achievements and cost effectiveness, especially in small island developing states and least developed countries.

The concept of graduation was first introduced in 1995. Following the June 1995 evaluation of the GEF/SGP pilot phase, the SGP developed a strategy and a two-year work plan (1996–97) which included, among other things, implementation of a strategy for transforming the GEF/SGP over time from a GEF program to a sustainable country-based facility supported by non-GEF contributions. The first phase of this process was to focus on developing a conceptual framework and strategy for program sustainability at the country level.[1]

The second phase (1996–97) was to focus on initiating activities in targeted country programs that lead to a "graduation process," whereby mature GEF/SGP national networks could move beyond the GEF to become ongoing country facilities in the mainstream of sustainable development efforts and funded by bilateral donors, national endowments, environmental trust funds, and other financial resources. Some possible models that country programs could evolve toward included: (1) an independent entity along the lines of a foundation or trust fund, (2) becoming attached to a national environment fund, or (3) becoming a program of a national NGO or NGO network. The time frame to establish this was 1997.[2]

The graduation issue was followed up by the second evaluation conducted in June 1998.[3] The evaluation recognized that the national GEF/SGP teams have all taken some steps toward program sustainability but stated that the idea of country program sustainability remained unclear to most—if not all—national coordinators and national steering committee members in terms of goals, time frame, options, and procedures. It stated that in 1998 most country programs would require several years or more before they could expect to be financially and/or institutionally independent from the GEF, and they would require significant guidance on how to achieve this. However, it was clear from the evaluation that such guidance was not provided by the SGP at that time.

In August 1998, the SGP used a consultant to prepare a resource mobilization and financial strategy, but the graduation matter was not considered by the consultant.[4]

The SGP Steering Committee revived this matter in 2006 and identified countries that could graduate from the SGP in 2010. These countries will have built significant institutional capacity by that time after having executed the SGP for a minimum of 14 years and in some cases up to 18 years.

Graduation should help utilize the institutional capacity that will have been built in civil society in the country through SGP funding for 14 to 18 years prior to graduation from the program. It is expected that due to this enhanced capacity, civil society will be able to submit medium-size project proposals to the GEF while raising financing from government and other sources inside and outside the country.

In this context, the GEF Secretariat agrees to work with the GEF focal points in countries graduating from the SGP to help ensure that the SGP delivery mechanisms established with GEF funding are not dismantled but rather fully utilized in their new graduated stage. This would further enhance the capacity of civil society in the country while strengthening its interaction with the government.

The evaluation report suggests an alternative of initiating "independent franchises" to continue the SGP outside the SGP management. This is

possible and will be investigated by the SGP Steering Committee.

Notes

1. "The objectives will be to define more sharply the issue of program sustainability, to identify and examine alternative models, and to outline a process for testing and demonstrating the potential for transforming GEF/SGP country programs into self-sustaining entities."

2. UNDP/GEF Small Grants Programme (1996–97)–INT/95/G52/A/1G/31 (requested funding: $24 million).

3. "Report of the Second Independent Evaluation of the GEF SGP (1996–98)," prepared by Michael P. Wells, Delfin J. Ganapin, and Francine Trempe.

4. "Resource Mobilization and Financial Sustainability: Goals and Strategy for GEF/SGP," by Joan Shapiro (August 11, 1998).

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GEF Evaluation Office Publications

Number	Title	Year
Evaluation Reports		
39	Joint Evaluation of the GEF Small Grants Programme	2008
38	GEF Annual Performance Report 2006	2008
37	GEF Country Portfolio Evaluation: Samoa (1992–2007)	2008
36	GEF Country Portfolio Evaluation: The Philippines (1992–2007)	2008
35	Evaluation of the Experience of Executing Agencies under Expanded Opportunities in the GEF	2007
34	Evaluation of Incremental Cost Assessment	2007
33	Joint Evaluation of the GEF Activity Cycle and Modalities	2007
32	GEF Country Portfolio Evaluation: Costa Rica (1992–2005)	2007
31	GEF Annual Performance Report 2005	2006
30	The Role of Local Benefits in Global Environmental Programs	2006
29	GEF Annual Performance Report 2004	2006
28	Evaluation of GEF Support for Biosafety	2006
	Third Overall Performance Study	2005
	GEF Integrated Ecosystem Management Program Study	2005
	Biodiversity Program Study	2004
	Climate Change Program Study	2004
	International Waters Program Study	2004
Evaluation Documents		
ED-2	GEF Evaluation Office Ethical Guidelines	2008
ED-1	The GEF Evaluation and Monitoring Policy	2006

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