United Nations Development Programme

Project title: Sixth Operational Phase of the GEF Small Grants Programme in Kenya		
Country: Kenya	**Implementing Partner: United Nations Office for Project Services (UNOPS)**	**Management Arrangements:** Agency Implemented
UNDAF/Country Programme Outcome: *Outcome 1: Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded*		
UNDP Strategic Plan Output: Output 1.3: Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste. Output 1.5: Inclusive and sustainable solutions adopted to achieve increased energy efficiency and universal modern energy access (especially off-grid sources of renewable energy)		
UNDP Social and Environmental Screening Category: Low Risk	**UNDP Gender Marker: GEN 2**	
Atlas Project ID/Award ID number: 00099179	**Atlas Output ID/Project ID number:** 000102488	
UNDP-GEF PIMS ID number: 5730	**GEF ID number: 9241**	
Planned start date: 1ˢᵗ July 2017	**Planned end date: 30ᵗʰ June 2020**	
LPAC date: Planned July 2017		
Brief project description: The objective of the project is to enhance the socio-ecological resilience of selected landscapes and seascapes through community-based initiatives. Building on prior experience and lessons from the implementation of the COMPACT and COMDEKS programs, SGP will create synergies between individual grants by adopting a landscape/seascape approach enhancing overall program impact. Among other approaches, SGP will promote the establishment and effective operation of multi-stakeholder platforms at each landscape/seascape and encourage local governments, civil society organizations and the private sector to partner with local communities for the implementation of participatory landscape/seascape strategies, plans and projects. It will also foster the establishment of partnerships between civil society organizations and the private sector for bringing renewable energy and energy efficient technologies to poor local communities in off-grid areas through proposals that demonstrate innovation, sustainability and the potential for growth. Three ecologically sensitive areas of global and national significance were selected for the implementation of this phase: the Kenya Lake System in the Great Rift Valley, the Sacred Mijikenda Kaya Forests - both protected under the World Heritage Convention - and the biodiversity-rich marine ecosystem of southern Kenya. While these areas provide important ecosystem services to the country and are essential for the livelihoods of pastoralist, agricultural, and fisher communities, they all present different levels of biodiversity loss and land degradation,		

exacerbated by climate change.

FINANCING PLAN	
GEF Trust Fund	USD 3,561,644
UNDP TRAC resources	USD 0.00
Cash co-financing to be administered by UNDP	USD 0.00
(1) Total Budget administered by UNDP	**USD 3,561,644**
PARALLEL CO-FINANCING (*all other co-financing that is not cash co-financing administered by UNDP*)	
UNDP in kind	USD 500,000
Grantees in kind	USD 3,200,000
Grantees in cash	USD 520,000
WWF in kind	USD 690,000
WWF in cash	USD 750,000
(2) Total co-financing	**USD 5,660,000**
(3) Grand-Total Project Financing (1)+(2)	**USD 9,221,644**

SIGNATURES		
Signature: print name below	**Agreed by Government**	**Date/Month/Year:**
Signature: print name below	**Agreed by Implementing Partner**	**Date/Month/Year:**
Signature: print name below	**Agreed by UNDP**	**Date/Month/Year:**

co-benefits by climate change.		
Financing Plan		
GEF Trust Fund	USD 3,341,446	
UNDP TRAC resources	USD 0	
Co-financing to be administered by UNDP	USD 0	
(1) Total Budget administered by UNDP	USD 3,341,446	
Parallel co-financing (all other co-financing that is not cash co-financing administered by UNDP)		
UNDP in kind	USD 500,000	
Germany in kind	USD 1,200,000	
Germany in cash	USD 150,000	
WWF in kind	USD 450,000	
WWF in cash	USD 250,000	
(2) Total co-financing	USD 5,000,000	
(3) Grand-Total Project Financing (1)+(2)	USD 8,341,446	

Signatures			
Signature: print name below	Agreed by Government	Date/Month/Year: 25/04/17	
Signature: print name below KIRK BAYLEDS	Agreed by Implementing Partner	Date/Month/Year: 21 SEPt 2017	
Signature: print name below Siddharth Chatterjee Resident Representative	Agreed by UNDP	Date/Month/Year: 13 Sep 2017	

PRINCIPAL SECRETARY
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Acronyms and abbreviations

ASAL	Arid and Semi-Arid Lands
BCCCA	Baringo County Community Conservancies Association
BMU	Beach Management Unit
CBO	Community-based Organization
CFA	Community Forestry Association
CMA	Community Managed Area (Fisheries Act)
COMDEKS	Community Development and Knowledge Management for the Satoyama Initiative
COMPACT	Community Management of Protected Areas Conservation project
CSO	Civil Society Organization
GEF	Global Environment Facility
GHG	Greenhouse Gases
GLECA	Greater Lake Elementaita Conservation Area
Ha	Hectare
IBA	Important Bird Area
ICCA	Indigenous Peoples and Community Conservation Area and Territory
JCMA	Joint Co-management Area
KWCA	Kenya Wildlife Conservancies Association
KWF	Kenya Wildlife Service
LMMA	Locally Marine Managed Area
LULUCF	Land Use, Land Use Change and Forestry
M&E	Monitoring and Evaluation
NGO	Non-governmental Organization
NMK	National Museums of Kenya
PIR	Project Implementation Review
RLCA	Rift Lakes Conservancies Association
SGP	Small Grants Programme
UCP	Upgraded Country Programme
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFCCC	United Nations Framework Convention on Climate Change
UNOPS	United Nations Office for Project Services
WHS	World Heritage Site
WRUA	Water Resources Users Association

II.   DEVELOPMENT CHALLENGE

Background

A) Target Land/seascapes

Kenya is endowed with globally significant terrestrial, freshwater and marine biodiversity. The country is home to over 6,500 plant species, more than 260 of which are found nowhere else in the world. With 1,083 bird species recorded and over 350 species of mammals, Kenya ranks second among African countries in species richness for these animal groups. More species of large mammals are concentrated in its rangelands than in virtually any other African country. Forests occupy about 2.6% of the land surface of Kenya of which an estimated 1.24 million hectares are indigenous closed-canopy forests. Forestlands, including some 139,000 ha of coastal forests and 53,000 hectares of mangroves, are the habitat of hundreds of plants and animal species and harbor high endemism. In spite of the small land surface covered by trees, forest ecosystem services are of paramount importance to the country. Wetlands occupy approximately 3-4% of Kenya's land area and play a critical role in sustaining the integrity of the country's water resources, agricultural productivity, and not least, significant biodiversity. They are nutrient rich and productive most of the year. During the dry seasons, wetlands are the only places where local communities are able to access quality pasture, and their margins support production of vegetables and other quick maturing crops for household consumption. They also control floods and remove pollutants from water through filtration.

The focus of the proposed project will be on three key ecologically important areas, which were selected based on their global environmental significance, as well as their cultural and socio-economic relevance to the local communities who are their custodians and are dependent on them. They are:

1) World Heritage Site of the Kenya Lake System in the Great Rift Valley

The Kenya Great Rift Valley Lake System (Figure 1), inscribed in the Natural World Heritage list in 2011, is composed of three inter-linked relatively shallow alkaline lakes – Lake Bogoria, Lake Nakuru and Lake Elementaita – and their surrounding territories. These lakes are found on the floor of the Great Rift Valley where major tectonic and/or volcanic events have shaped a distinctive landscape. The Rift Valley Lake System presents a range of geological and biological features of exceptional natural beauty, including falls, geysers, hot springs, open waters and marshes, forests, and grasslands concentrated in a relatively small area. The natural setting of all three lakes surrounded by the steep escarpment of the Rift Valley and associated volcanic features provides an exceptional experience of nature. The Lake System also illustrates ongoing ecological and biological processes that provide valuable insights into the evolution and the development of soda lake ecosystems and the related communities of plants and animals.

Some of the world's greatest diversity and concentrations of bird species, among which are 13 globally threatened bird species, are found within these relatively small lake ecosystems. It is the single most important foraging site in the world for the Lesser Flamingo (*Phoeniconaias minor*) with about 1.5 million individuals moving from one lake to the other and provides the main nesting and breeding grounds for the Great White Pelican (*Pelecanus onocrotalus*). The lakes' terrestrial zones also contain important populations of many mammal and bird species that are globally or regionally threatened including over 100 species of migratory birds with globally important populations of Black-Necked Grebe, African Spoonbill, Pied Avocet, Little Grebe, Yellow Billed Stork, Black Winged Stilt, Grey-Headed Gull and Gull Billed Tern. The Great Rift Valley is an integral part of the African-Eurasian flyway system where billions of birds travel from northern breeding grounds to African wintering places.

The lakes, with a combined area of 32,034 hectares, are protected under various categories: Lake Nakuru is a National Park, Lake Bogoria is a National Reserve, and Lake Elementaita is a Wildlife Sanctuary. The three sites have been declared as Important Bird Areas (IBAs) and are also Ramsar sites constituting wetlands of international importance.

Surrounding these areas and in between the lakes are settlements and rural communities with many of the local people eking out a living from pastoralism, farming, charcoaling, and small-scale mining. As a result of a rapidly

growing population, the lake system is under considerable pressure. Common threats include: siltation due to deforestation for timber, fuelwood and charcoal production, and soil erosion from inadequate farming practices; increased abstraction of water in the river catchments for irrigation and human and animal consumption; land degradation from overgrazing and unsustainable agricultural practices and systems; wildlife hunting and poaching; mismanaged tourism; and pollution coming from larger settlements such as Nakuru town and artisanal mining.

Figure 1: Kenya Great Rift Valley Lake System
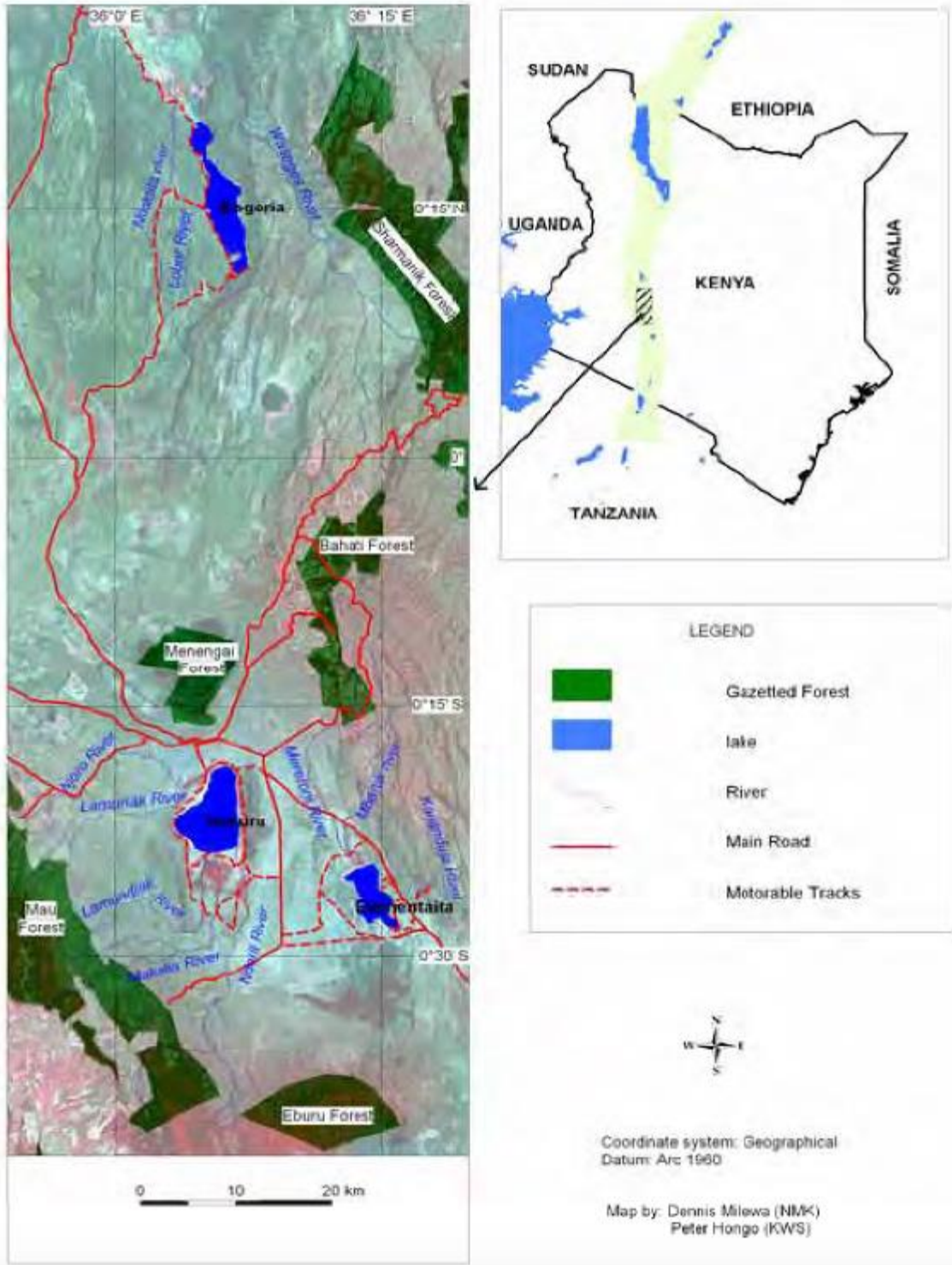
2) The MijiKenda Sacred Kaya Forests

The Kaya forests (Ma – Kaya) are situated in the coastal plains and hills of Kenya and regarded as sacred by the Mijikenda population. Occurring on a coastal strip approximately 50 km wide and over 300 km long, these are residual areas of a once extensive and diverse lowland forest inserted in a mosaic of land uses in the production landscape[1]. The forests are relatively small in size, ranging in area from 10 to over 400 hectares. To date, over 50 have been identified in the coastal Counties of Kwale, Mombasa and Kilifi of which, according to the National Museums of Kenya (NMK), 43 have been granted protection status as National Monument, Forest Reserve or both. Studies indicate that the Kaya forests are important not only for Kenya's cultural heritage but also for biodiversity conservation. The Kaya forest zone has a very high level of endemism for plants, birds, amphibians and invertebrates. More than half of Kenya's rare plants are found in the coastal region (over 3,000 taxa have been recorded), and a large proportion of these are found in the Kayas. Some notable threatened species include *Angylocalyx braunii*, *Canthium kilifiensis*, *Coffea pseudozanguebariae*, *Vitex zanzibarensi*, *Ziziphus robertsoniana*, and *Gigasiphon macrosiphon*. A survey of bird communities in the Kayas has resulted in four Kaya forests being listed as globally Important Bird Areas. Work on butterflies in the south coast showed that there are 112 species of butterfly and 165 species of moth in the Kayas, close to 13% of Kenya's total for both taxa. Similar patterns are noted in other natural groups such as the fungi.

In 2008, the Mijikenda Sacred Kaya Forests, represented by 9 sites covering some 1,508 hectares (Table 1 and Figure 2), were placed on the UNESCO World Heritage List under the World Heritage Convention. They were celebrated as an outstanding demonstration of the role of cultural values in contributing to the conservation of natural heritage.

Table 1: Mijikenda Sacred Kaya Forests included in UNESCO WHS in 2008

	Name	Protection Status	Gazetted/Demarcated Area (Hectares)	Year Gazetted
1	Kaya Fungo/Giriana	National Monument	204	1996
2	Kaya Mudzimuvya	National Monument	171	1998
3	Kaya Bomu & Fimboni	National Monument	409	1999
4	Kaya Gandini/Duruma	National Monument	150	1992
5	Kaya Kambe	Forest Reserve	75	N/A
6	Kaya Jibana	Forest Reserve	140	N/A
7	Kaya Ribe	Forest Reserve	36	N/A
8	Kaya Kauma	National Monument	75	1996
9	Kaya Mtswakara	National Monument	248	1997
	Total Area		**1,508**	

Source: National Museums of Kenya/Coastal Forest Conservation Unit – April 2017

These pockets of forests are found in a mosaic of land uses in the production landscape, separated by settlements and farmlands. They are typically found in the midst of densely populated rural farmlands dominated by coconut and cashew stands and clusters of thatched dwellings, in the homelands of the Mijikenda people.

Each Kaya Forest is under the control of a committee of Kaya Elders nominated by the surrounding community according to local traditions. The committee is responsible for protecting the Kaya, regulating access to the area and the use of resources. The standards of governance vary from one Kaya to another but generally the level of control and regulation has been declining.

The Kenya coastal region in which the kaya forests are located faces serious livelihood challenges. The majority of the people, over 70% in some areas, live below the poverty line on less than a dollar per day. Many rural households struggle to meet their basic needs, while the population continues to grow. This builds pressure to exploit local

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[1] The remaining closed canopy forest cover of the Kenya coast is estimated to be about 67,000 hectares of which Kaya forests are about 5%.

forest areas perceived as the only areas of 'abundant' and common natural resources. Often Kayas are the only common areas of land remaining in an environment where landlessness is rife, leading to encroachment on Kaya forestland for farming. Kaya forests are also the sole remaining areas with significant tree resources and villagers have no alternative materials for constructing their homes or for obtaining saw-timber. This is compounded by removal of biomass for energy.

In a mineral rich region, the kayas are often located in areas where various types of minerals are being extracted such as sand and iron ore. There is constant threat of Kaya encroachment by artisanal mineral extraction.

Figure 2: Kayas nominated to the World Heritage Site list
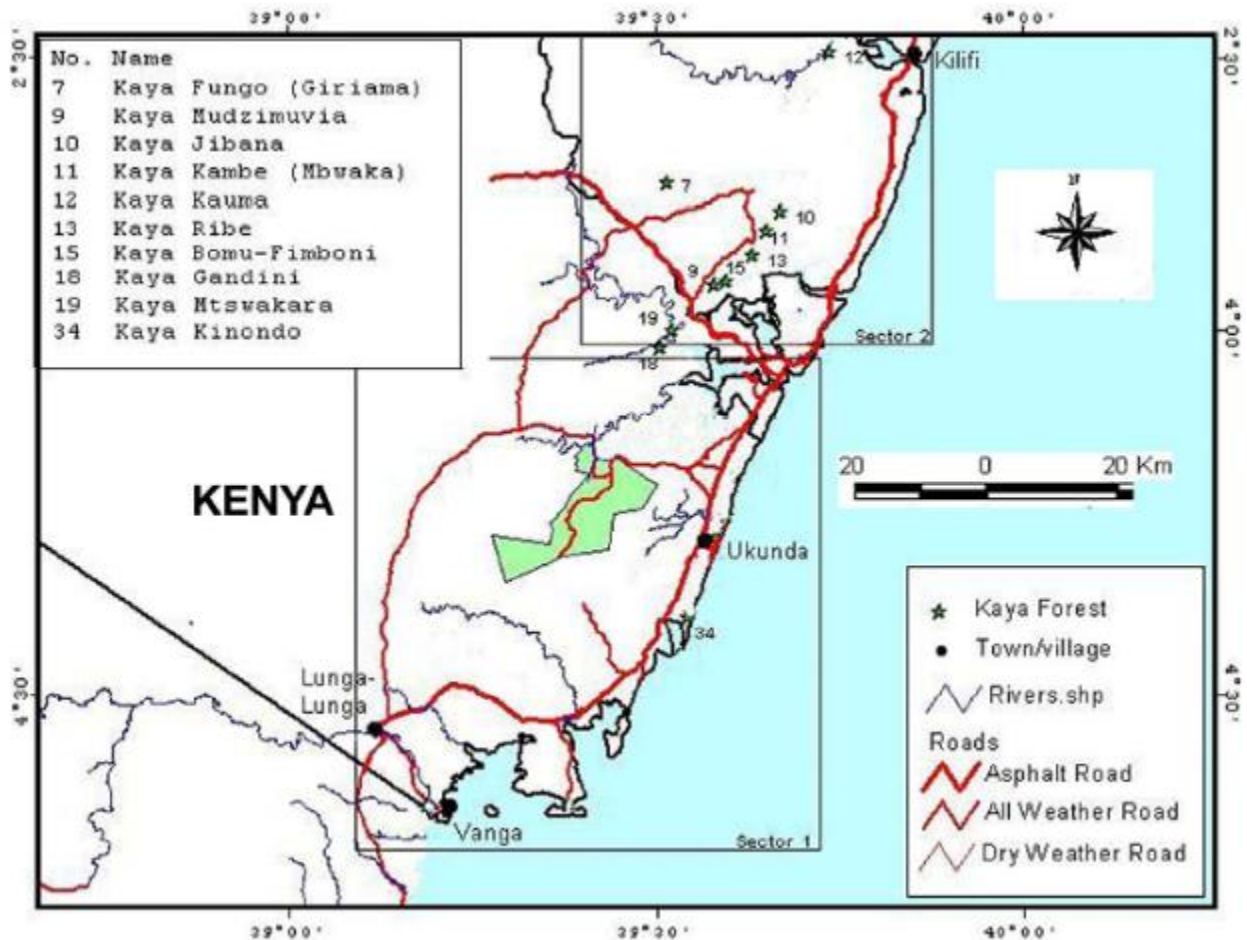
Source: Government of Kenya – Nomination Dossier for Inscription on the World Heritage List – The Sacred Mijikenda Kaya Forests – January 2008.

3) Marine ecosystem of southern Kenya

Kenya's coastline stretches 600 Km along the Western Indian Ocean. One of the most distinctive features of the Kenyan coastline is its almost continuous fringing coral reef that runs parallel to the coast. Coral reefs support a wide variety of reef dependent fish, which include important demersal finfishes such as emperors, snappers, rock cods and surgeonfish amongst others. They are also important habitats for crustaceans and invertebrates such as crabs, mollusks, lobsters, prawns, shells, sea cucumbers, squids and octopus. These fisheries are important to the artisanal fishermen mostly using low technology gear such as gillnets, shark nets, hook and line, beach seines, spear guns and basket and fence traps, and propelled by simple fishing vessels such as out-rigger canoes, sail boats and

low-powered engines. The artisanal fishing sector is estimated to employ over 10,000 fishers directly and indirectly may be providing a livelihood to another 60,000.[2]

Figure 3: Shimoni-Vanga area, fishing grounds and Community Management Areas in Kenya's south coast
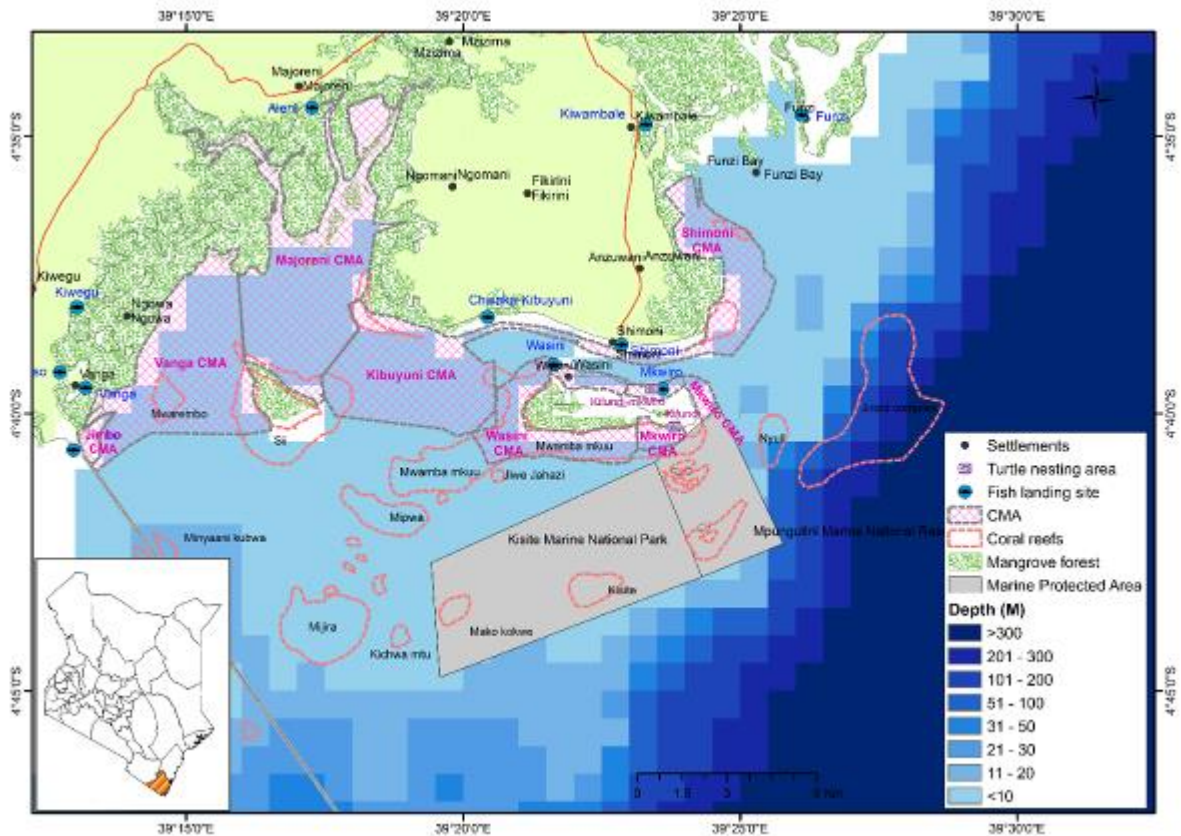
Source: The Shimoni-Vanga Joint Fisheries Co-management Area Plan (draft). Ministry of Agriculture, Livestock and Fisheries. January 2017.

Another distinction of the Kenya coastline is the mangrove stands scattered along the coastal belt in the inter-tidal zones in estuaries and along creeks. They are mainly concentrated on the northern coast but smaller mangrove forest patches are found in the mouths of semi-perennial and seasonal coastal rivers on the south coast, including in Shimoni-Vanga. The total area of mangroves in the country has been estimated to be about 45,590 ha, which represents a decline of 18% in area between 1985 and 2010[3]. Key threats causing degradation of mangroves in the country are: encroachment by settlements, mainly in urban centers; over-exploitation for wood products by local communities; clearance for alternative land use; pollution in the form of oil spills, and solid and effluent discharges; aquaculture development mainly by community-based groups; and siltation. The above is compounded by weak enforcement of laws to protect mangroves and the absence of mangrove management plans.

The Kenya State of the Coast Report[4] identified destructive fishing, overfishing, pollution, shoreline change and erosion, habitat alteration and destruction, invasive species and climate change as major threats to marine ecosystems in Kenya. Major human activities contributing to these threats are fishing, farming, shipping, coastal mining (including salt mining), coastal developments and tourism. Fishers along the coast continue using destructive gear, mainly seine net and ring net (in shallow waters) resulting in degradation of benthic habitats such as corals and sea grasses.

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[2] Ochiewo, 2004

[3] Kirui et al., 2012

[4] Gvernment of Kenya, 2009

B) Climate change

i) Energy Efficiency and Renewable Energy

According to Kenya's Second National Communication to the United Nations Framework Convention on Climate Change (UNFCCC) the Land Use, Land Use Change and Forestry (LULUCF) sectors contributed 20,000 Gg CO^2 equivalent of GHG emissions, which is approximately 38 percent of the total emissions, calculated at 54,955 Gg CO2 equivalent.[5] Although there is no precise and up-to-date data on the contribution of unsustainable and inefficient biomass utilization to deforestation and forest degradation there is consensus that it is a major factor in the depletion of the vegetative cover in all terrestrial ecosystems, making these and communities more vulnerable to climate change. Biomass fuels are the most important source of primary energy in Kenya with fuelwood (firewood and charcoal) accounting for over 68% of total primary energy consumption. Studies on biomass energy point to a widening gap between supply and demand for fuelwood, and despite past efforts to promote substitutes, the number of people relying on fuel wood is not decreasing.[6] Industries and institutions are the largest consumers of firewood while urban households are the main consumers of charcoal.

Firewood is financially attractive to industry as a source of heating energy because it is about six times cheaper than the energy equivalent of fuel oil. Unfortunately, there are few detailed studies of firewood use in industry. The most recent was done in 2000[7] and indicated that SME industries such as brick making, tobacco curing, milk processing, fish smoking, jaggeries, bakeries and restaurants consumed about 1.6 million tons of firewood annually. The tea sector is probably the single largest industrial consumer of firewood. With average annual tea production at about 405,000t and a firewood ratio (ton of made tea/ton of firewood) of 0.44,[8] annual firewood consumption for tea production countrywide is about 920,000 tons.

There are 82,889 educational institutions in Kenya, with a total enrollment of about 16.5 million students. There is no specific data on fuelwood consumption for these institutions, but estimates from a UNEP/GEF project[9] indicated an annual average consumption of 270 tonnes per institution. The significant amount of fuelwood used is the consequence of open fire cooking as the predominant form of meal preparation in these institutions.

With regard to biomass consumption at household level, the 2009 population census indicated that 5.6 million households use firewood for cooking, while 1.48 million households use charcoal. The use of traditional inefficient cook stoves is also harmful to the health of women and children because of the resulting in-door air pollution. Household charcoal consumption is estimated to range from 0.7-1.2kg/day[10,11]; considering that most charcoal is produced using earth kilns with 10-12% efficiency, this would translate into a firewood equivalent demand of 13.4 million tons.

Despite large government investments in grid infrastructure, electrification rates in rural areas of Kenya, particularly for households, remains quite low. A study conducted in 2013[12] found that although 90% of Kenya's major public facilities (i.e. markets, secondary schools and health clinics) are now electrified, with a very large number of communities now "under grid", this does not necessarily translate into rural home and business connection, which

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[5] National Environmental Management Authority – Kenya Second National Communication to the United Nations Framework Convention on Climate Change – 2015.

[6] National Energy Policy, Ministry of Energy, 2013

[7] Kamfor's Study on Kenya's Energy Demand, Supply and Policy Strategy for Households, Small Scale Industries and Service Establishments of the year 2000

[8] Analysis of Energy Utilization and RE Potential in KTDA Region 2 Tea Factories in Kenya, 2016 MSc Thesis (Inoti John Mwenda, JKUCAT)

[9] Market Transformation for Highly Efficient Biomass Stoves for Institutions and Medium-Scale Enterprises in Kenya (2007 – 2010)

[10] Karekezi S., Kimani J and Onguru O., Energy Access Among the Urban Poor (Energy for Sustainable Development, Volume XII, No. 4, December 2008)

[11] See: http://www.hedon.info/Kenya_HouseholdEnergySupply?bl=y

[12] Kenneth Lee et al., 2015 Electrification for "under grid" households in rural Kenya.

at the time and location of the study were 5% and 22% respectively. The most important reason is widespread poverty and a high price of connection to the grid (USD 412 at the time of the study). Additionally, there are still many "off-grid" communities in rural Kenya for which becoming "under grid" may take several years.

The above is not only hampering local socio-economic development but is a factor contributing to GHG emissions given the alternatives, including diesel generators, kerosene lamps, drycell batteries, and candles. Furthermore, communities pay a very high price for this poor-quality energy.[13]

On the other hand, there are signs that the uptake of renewable energy and energy efficient technologies is accelerating. An indicator is the number of private sector investments in both fields. For example, the demand for photovoltaic systems has continued to grow since the mid 1980s when Kenyan entrepreneurs realized that photovoltaics could meet rural demand to operate electric lights, radios, televisions, and phone charging stations at a lesser cost than grid connections, systems driven by generators, or by using kerosene and drycell batteries. According to the Energy Regulatory Commission of Kenya[14] there are 20 companies registered dealing exclusively in consumer solar devices such as solar lanterns, and 392 registered contractors, vendors and manufacturers of solar systems providing design, equipment, installation and maintenance services. However, other studies[15] have found that unsubsidized, market-driven approaches to rural PV service provision have bypassed poorer rural households. There is a clear need for financing options that allow users to pay for the systems over time and some private sector entrepreneurs such as M-Kopa Kenya Ltd are filling this gap.

ii) Climate Change Impacts and Vulnerability

According to the UNFCCC Second National Communication, Kenya is extremely susceptible to climate-related effects, and extreme weather events pose serious threats to the socio-economic development of the country. The key drivers of the economy are primarily natural resource based and therefore climate sensitive. The National Communication highlights the fact that cumulative impacts of climate change over the next two to three decades have the potential to reverse much of the progress made towards the attainment of the Millennium Development Goals (MDGs) and Vision 2030, the development blueprint of the country. The costs of climate change impacts, especially droughts and floods, could be equivalent to 2.6 per cent of Kenya's annual GDP by 2030, with devastating consequences for the environment, society and the wider economy.

While floods are generally associated with higher damage to public infrastructure assets, the burden of drought falls more heavily on communities and the private sector. The climate change impacts and risks to Kenya's economy for sectors particularly relevant to this project are summarized below.

Water Resources: Climate change may further reduce the availability of water resources through altered rainfall patterns, higher evaporation, lower lake levels, accelerated loss of glaciers and rising sea level.

Food Security: Agriculture, livestock and fisheries are key for Kenya in terms of employment, food security, livelihoods and economic development. Climate change has the potential to significantly affect agriculture-based livelihoods.

Coastal Zones: Increases in sea surface temperature, sea level rise and coastal erosion are likely to put additional pressure on coastal ecosystems, including islands, estuaries, beaches, coral reefs and marine biodiversity. Coral reef ecosystems are particularly vulnerable to climate change impacts, with associated consequences for the livelihoods of millions of people depending on those ecosystems for food, income and shoreline protection.

Forestry and Wildlife: Anticipated impacts of climate change on biodiversity include shifting of ecosystem boundaries, changes in natural habitats and sharp increases in extinction rates for some species.

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[13] A World Bank study carried out in 1994, 'Solar energy answer to rural power in Africa' by Robert van der Plas, found that drycell batteries provided electricity for about $3 to $10 per kWh. A candle or a kerosene wick lamp does provide high-quality light, but households need, respectively, about 60 or 20 of them to obtain the same amount of light emitted by a single 60 W incandescent lamp or a single 12W compact fluorescent. As a result, people who use candles or kerosene typically limit themselves to using only enough light points to enable walking around the home.

[14] See http://www.erc.go.ke

[15] Jacobson, A. 2007. Connective power: solar electrification and social change in Kenya. World Development 35(1), 144-162.

Arid and Semi-Arid Lands: Over the past few decades, transformations in the Arid and Semi-Arid Lands (ASALs) have impacted the livelihoods of the pastoralist communities. The migration of rural communities from the congested high-potential areas and the dry arid areas to cities has contributed to overpopulated slums and settlements that lack basic services. Implications for women include the additional burden of sustaining household food, water and human security. School attendance rates for children have decreased, child labor has increased and conflicts over resources have intensified.

Tourism: Climate variability and climate change, combined with broader environmental degradation, has the potential to significantly affect the tourism sector, including wildlife tourism. With its close connections to the environment and climate itself, tourism is considered to be a highly climate-sensitive industry.

The GEF Small Grants Programme in Kenya

GEF SGP started operations in Kenya in 1993 and since then has funded several hundred community projects in various parts of the country. Through these projects, SGP has delivered substantial global environmental benefits through implementation of a strategy that has continually evolved to reflect lessons learnt and to take advantage of emerging opportunities. Initially, Country Programme coverage was national, with a majority of grants addressing biodiversity conservation and sustainable livelihoods. Over the years, the number of climate change and land degradation projects has increased along with a smaller number of chemicals projects. In the early years of the program, community projects from different parts of the country were funded as individual projects, and had no relation to each other. The impact was localized and only the residents of the immediate area benefitted. Several years later, SGP adopted a more strategic approach; in a given year, the SGP Kenya team would select a site of ecological and social significance and plan together with the communities the projects that would be funded over a two-year period to enhance biodiversity conservation and sustainable use and to mitigate some of the threats. This approach was implemented in western Kenya on Rusinga Island, where various groups (women's groups, youth groups, schools, fisher groups, etc.) worked together to raise tree cover on the island through agro-forestry and forest rehabilitation projects. In a different year, in the southern part of the country along the Kenya-Tanzania border, an international waters project was collaboratively implemented by several community groups to protect the waters of Lake Jipe, which straddles the border of the two countries. This approach was adopted by the SGP Kenya program in modeling the COMPACT Initiative (further described below), and which the Program has continued to adapt and improve, learning from lessons that have emerged over the years.

In 2001, SGP Kenya became one of six Country Programmes piloting a landscape-level approach to biodiversity conservation in and around World Natural Heritage Sites (WHS) through the Community Management of Protected Areas Conservation (COMPACT) project. COMPACT, a partnership between SGP, the UN Foundation and UNESCO, promoted a rigorous approach to producing a bottom-up baseline assessment, conceptual model and site strategy for planning and future monitoring and evaluation purposes. The World Heritage Site selected in the country was Mount Kenya where SGP established a local consultative body (LCB) and a multi-stakeholder donor/partner forum bringing together the principal public, private and community-based stakeholders to steer the identification, planning and implementation of SGP activities around Mount Kenya. These activities are still operational after 15 years. SGP has funded the implementation of a large portfolio of multifocal community projects addressing the most pressing challenges faced by the Mt. Kenya forest ecosystem. While SGP cannot claim full credit, a UNEP and KFWG aerial survey four years after COMPACT establishment found that the rate of forest degradation and loss around Mt. Kenya WHS had significantly declined. Community awareness about the importance of Mt. Kenya's forests and the means to protect them was enhanced as a result of the multiple campaigns and capacity development activities.

During GEF 5, SGP has been consolidating the gains achieved in Mt. Kenya, expanding its coverage to other communities in the surrounding regions that had not received support in prior years, focusing on replication of best practices and the implementation of the Forest Act. It has also applied the COMPACT approach to community-managed conservation areas in both terrestrial and marine ecosystems and expanded its area of influence to the Laikipia ecosystem, where pastoral communities and their herds, as well as wildlife, depend on Mt. Kenya's ecosystem services and on the water management practices of stakeholders in the catchment area. Wildlife also depends on the maintenance of corridors between Mt. Kenya and the lower Laikipia rangelands, thus the need to work with communities in both ecosystems.

Communities supported by SGP Kenya can boast of many international and national awards among which are eight Equator Initiative Awards, three SEED awards, one Tusk Award, two NETFund Green Innovation Awards, and one Eco-Warrior Conservancy of the Year Award. In addition, persons working for organizations that implement SGP-funded projects have also won a range of awards, including scholarships and certificates of recognition.

Over the years, the Country Program has developed distinct series of projects with similar objectives, methods, and impacts. These groups of projects have begun to acquire a critical mass of practitioner organizations that provides fertile ground for collaboration and synergies. The adoption of the practice of a geographic focus from GEF 4 – 5 has enabled the synergistic approach which has not only achieved planned outcomes such as enhanced biodiversity conservation, but has also supported alternative income and employment for communities, leading to the evolution of empowered, self-confident communities capable of voicing their concerns about ecological and land management matters.

However, changing individual community projects to coordinated multi-community initiatives, where a critical mass of producers can achieve economies of scale and weight in the market, still requires support, as the growth in capacities of the community organizations involved proceeds from year to year with ecological and biological seasonality, analysis of experience and identification of lessons learned, and the ensuing adoption, testing and assessment of adaptive management measures.

The problem to be addressed

The problem to be addressed by this project is that global environmental degradation proceeds unimpeded in the three selected land/seascapes – the World Heritage Site of the Lakes System in the Great Rift Valley, the marine ecosystem of Southern Kenya in Kwale County, and the sacred MijiKenda Kaya forests of Coastal Kenya – due to the weaknesses in organizational capacities of communities and community organizations to collectively take action in building and maintaining the resilience of these socio-ecological landscapes. Current institutional support to counteract biodiversity loss, land degradation and carbon emissions is significantly weak, and where policies are appropriately targeted e.g. Community Managed Areas, financial support is unforthcoming and technical assistance is erratic and not holistically oriented (involving an integrated approach to social, economic and ecological factors). While the legal framework prohibits overexploitation of natural resources such as forests, mangroves and fish populations, enforcement is scattered or non-existent. Agricultural extension in the Lakes System and in the sacred Kaya forest landscapes is aimed at individual farmers and bypasses the smallholder organizations and their abilities to provide peer support or pressure to maintain the integrity of these ecosystems and their biodiversity. As a result, progress in making the necessary changes to production practices is insufficiently strong to create a critical mass of adopters and thus benefit ecosystem processes and biodiversity at scale.

Biodiversity conservation and sustainable land and resource management are integral building blocks of resilience. Rural communities draw on their experience and inherent resilience to mitigate and adapt to climate change, as they recognize the crucial importance of protecting natural resources and ecosystems that provide sustenance, however, with diminishing resources and without external support this remains an enormous challenge. Land/seascape resilience also requires strong civil society organizations and networks with the resources, commitment and capacities to carry out continuous, long-term processes of innovation and adaptive management. For these community actions to achieve sufficient scale to impact socio-ecological resilience in a meaningful way they must be adopted and implemented by communities across the landscape. Within the landscape, smallholder organizations must act within a common strategic framework that integrates ecological, social and economic outcomes with the goal of reaching a tipping point in adoption and implementation of individual and collective management leading to landscape resilience. Considering the on-going decentralization process in Kenya where responsibilities and financial resources have been devolved to the County level, it is of strategic importance to engage County Governments to help ensure community resilience approaches, and initiatives are mainstreamed in county development plans and budgets. County Government engagement in this project will also help build the capacities of local civil servants across a wide range of issues pertaining to sustainable land management, biodiversity conservation, marine resources management, climate change mitigation and adaptation, and community participation.

SGP grants have geared communities, community organizations and networks to take collective action while working within individual organizational frameworks. This strategy works well in building capacities through an

adaptive management process of analysis of their priorities and problems; identification of potential innovations to address them; project design, implementation, monitoring and evaluation of results and performance; and adaptation of the tested innovations to new or emerging circumstances and information. Awarding of grants to over 374 initiatives in the country demonstrates that SGP Kenya has built capacities and facilitated hands-on training to communities to meet the challenges of adaptive management practices in pursuit of landscape resilience. It has laid the foundation for this by organizing partner groups into networks for broader sharing and exchange of information and knowledge.

In summary, the essential problem to be addressed by this project is that the necessary collective action in Kenya for adaptive management of resources and ecosystem processes for resilience and sustainable development and contribution to global environmental benefits is hindered by the organizational weaknesses of the communities living and working in affected landscapes to act strategically and collectively in building social and ecological resilience.

The solution to the problem is for community organizations in rural areas of the Kenya Lakes System in the Great Rift Valley, the marine ecosystem of Southern Kenya, and the sacred MijiKenda Kaya forests to develop and implement adaptive land/seascape management strategies that enhance social, economic and ecological resilience built upon and maintained through the production of global environmental and local sustainable development benefits. To pursue the achievement of outcomes of these adaptive land/seascape management strategies, community organizations will implement grant projects reviewed and approved by the SGP National Steering Committee, supported by multi-stakeholder platforms involving local government, the private sector, NGOs, academia and other partners, and evaluated periodically and systematically as part of the broader collective process of adjusting management strategies to new information, knowledge, capacities and conditions. In order to meet the energy service needs of these rural communities, in particular of the poorest, the project will encourage private-CSO partnerships as the vehicle to expedite the adoption of renewable energy and energy efficient technologies and mitigate greenhouse gas emissions.

Barriers to achieving this solution include:

Barrier 1: *Community organizations lack the means and/or knowledge to plan, manage and coordinate their rural production landscapes with a long-term vision for the conservation of biodiversity, improvement in connectivity and increase in the productivity of ecosystem goods and services.*

Communities have uneven knowledge of ecosystem function and services provided, ecosystem stresses from land and resource degradation and the loss of biodiversity. Threats to biodiversity from land conversion, fragmentation, and unsustainable use, diminishing returns from farm plots, severe erosion and land degradation, and extreme climate variability is affecting these landscapes. The wetland sites pay a heavy price from encroachments from housing, industrialization, waste dumping, and water abstraction impeding biodiversity conservation and decreasing the productivity of ecosystem goods and services. The communities' lack of knowledge of the benefits to be gained from potential more sustainable economic activities, taking advantage of tangible and intangible ecosystem assets, hinders their uptake and implementation.

Barrier 2: *Community organizations have insufficient capacities to plan their initiatives, implement and evaluate them effectively, and systematically derive practical lessons from the experience.*

At present the capacity of community organizations to address ecological concerns must be supported and economic activities stabilized. The SGP Country Program has funded successful initiatives to develop a set of production systems and practices that have benefited both the global environment and local sustainable development, especially in rural areas. These include, among others, organic agriculture; livelihood opportunities for buffer zone communities living around protected areas and forest reserves, including eco-tourism; non-timber forest products; and addressing animal-human conflict. These practices and systems need to be disseminated and adapted by other smallholder communities throughout the landscape to create a critical mass of practitioners. For this to happen, it will be necessary to strengthen the capacities of community organizations to innovate,

experiment, evaluate results, identify lessons and best practice, and use this knowledge to adapt to changing circumstances and information.

Barrier 3: *Community organizations do not coordinate with others for collective action in favor of landscape resilience outcomes and for strengthening local social capital.*

To achieve meaningful impacts on ecosystem processes and functions to favor landscape resilience it is indispensable that community organizations act collectively and in synergy. This requires coordination among communities within an agreed strategic framework as well as recognition of the importance of developing social capital through organizational interactions within networks and with external agents. Currently, communities in the critical land/seascapes addressed by this project require significant support to form strong networks and interact with other stakeholders, given that communities in Lake Bogoria and the Kaya forests will be receiving support from SGP for the first time.

Barrier 4: *Community organizations and local NGOs lack the financial resources to motivate and innovate land and resource management practices, and sustain and scale up successful experiences.*

Community organizations rarely if ever have sufficient capital to take risks with innovations of untested or un-experienced technologies, methods or practices. At initial stages of familiarization and limited testing of new approaches, grant funding is sufficient to buy down most perceived risk, especially when accompanied by technical assistance. Once risk is perceived to have diminished sufficiently, and with a concomitant rise in capacities, community organizations may feel comfortable accepting low-interest loans. This is particularly true for the poorer segments of rural populations who, in the absence of some form of initial subsidy cannot tap into available (mostly private) technical and financial services to adopt reviewable energy and energy efficient technologies.

III. STRATEGY

Figure 4 provides a graphic representation of the project underlying theory of change. Below is a summary of the proposed principles and strategies:

A) Land/seascape approach as the overarching strategy

Land/seascape approach

Increasingly there is recognition that sectorial approaches to land management are no longer sufficient to meet global challenges such as poverty alleviation, biodiversity conservation, and food production[16], especially simultaneously. For example, WWF's assessment of freshwater management in Kenya[17] is that most lake basins are largely managed through fragmented policies such as those on forests, water, agriculture, tourism, wildlife and so on with isolated views and occasionally conflicting agenda for each sector. The translation of such fragmented policies into sustainable action on the ground is very difficult because the legal and institutional frameworks are also sectoral in nature. Similarly, SGP has come to the conclusion that while there is merit in funding individual community initiatives it is essential to help establish a framework that enables integration of multiple interventions in the land/seascape, as well as cross-fertilization, replication and up-scaling of successful experiences. According to Reed et al.,[18] "Integrated Landscape Approaches" provide a basic framework for balancing competing demands and integrating policies for multiple land uses within a given area." As such, integrated land/seascape approaches

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[16] Reed J., Deakin L. and Sunderland T. What are 'Integrated Landscape Approaches' and how effectively have they been implemented in the tropics: a systematic map protocol. Environmental Evidence: The official journal of the Collaboration for Environmental Evidence, 2015.

[17] WWF in the Lake Bogoria Basin – Synthesis of Status, Results and Lessons, 2012.

[18] Ibid.

involving a wide range of stakeholders allow for more inclusive and equitable development planning, reduced conflict, achieving economies of scale to boost production and market access, and addressing environmental challenges across political and community boundaries. This project is therefore adopting a land/seascape approach as its overarching strategy.

The project design has been inspired by SGP-Kenya's previous experience with COMPACT and by the "Community Development and Knowledge Management for the Satoyama Initiative" (COMDEKS) programme, implemented by twenty SGP Country Programs around the world. COMDEKS and COMPACT principles that SGP will integrate into its own programming for Phase VI are:

- Community-based organizations are the driving force in rural development strategies and must take the lead in project planning, landscape governance, project execution and monitoring;
- Participatory land/seascape governance represents an effective foundation for the organization of community-based, multi-stakeholder approaches to land and resource management;
- Integrated solutions are effectively addressed through action at the land/seascape level, as the scale is large enough to include various communities, processes and systems that underpin ecosystem services, rural economic production and local cultures.
- Coordinated community projects in the landscape will generate ecological, economic and social synergies that will produce greater and potentially longer-lasting global environmental benefits, as well as increased social capital and local sustainable development benefits. Multi-stakeholder platforms will also take experience, lessons learned, and best practices from prior initiatives and implement a number of potential scaling up efforts during this project's lifetime.

Geographic focus for SGP Phase VI

It is SGP's intention to achieve the project's long-term objective in the target land/seascapes as described in section II-A by providing SGP support during a minimum of two phases (6 years) and ideally three phases. Recognizing the limitations imposed by the available time and financial resources allocated to this phase, SGP, in consultation with key stakeholders and the National Steering Committee, has determined to narrow down the geographic coverage within the target land/seascapes as follows:

WHS of the Kenya Lake System of the Great Rift Valley: During the next three years SGP will focus on the Lake Bogoria production landscape, in particular the middle and lower parts of the basin, which are critical to the Greater Kudu dispersal corridor and to aquatic ecosystem species diversity. However, the project will also support community-based organizations and networks that cover the entire Lake Bogoria Basin such as the Water Resources Users Association and even a larger area, such as the Baringo County Community Conservancies Association (BCCCA) and the Rift Lakes Conservancies Association (RLCA), given their critical role for replication, up scaling and sustainability. During this operational phase, SGP will also establish the foundation for future work in the Lake Elementaita sanctuary production landscape by strengthening the association of conservancies in the area – the Greater Lake Elementaita Conservation Area, and ensuring that it will operate as a multi-stakeholder platform for this landscape. Working on Lake Nakuru's production landscape may not be possible for SGP earlier than in the third phase given the nature of the threats and the political context (Nakuru town's influence, land conflicts in the Mau Forests that form the catchment area of the Lake, among others).

Sacred Mijikenda Kaya Forests: As part of a long-term strategy for conserving all Kaya forests, this project will initially support the production landscape comprised of the nine WHS Kayas and their individual 5 Km^2 buffer zones. Gradually, the project will expand to additional Kayas as opportunities emerge. Nonetheless, the multi-stakeholder platform to be established and the support to an Elders Committee will encompass all Kaya communities willing to participate. It is also expected that the process to develop a Kaya participatory strategy and management plan will cover a large number of Kayas, beyond the nine selected for early interventions. It should be noted that during the consultation process it was made explicit that previous development initiatives with Kaya communities had not been successful. The main reason seems to be the extreme poverty of local communities, and the very low levels of CBO capacities to plan and manage projects, including the management of funds. SGP and other partners such as WWF will dedicate resources and efforts to build the capacities of CBOs to ensure grants are used efficiently and effectively.

Marine Ecosystem of the Southern Coast of Kenya: The area of the marine ecosystem in the southern coast is very large with many fisher associations. It was therefore decided that SGP would focus on the Shimoni-Vanga fisheries co-management area. There are many reasons, including the fact that the management plan for the area is very advanced and key stakeholders are committed to its implementation as soon as approved. SGP has several years of experience working in the southern coast and has built strong relationships with a number of CBOs beyond the Shimoni-Vanga area. Consequently, it has been decided that SGP may consider and approve projects outside Shimoni-Vanga if these initiatives help pilot initiatives and demonstrate improved management of marine resources that could be replicated or up-scaled in the target seascape.

B) Expanding Indigenous and Community Conserved Areas and Territories (ICCAs) and strengthening their networks

Kenya is a culturally and biologically diverse country with a wide range of customary and more recent, formalized community conservation arrangements across its landscapes. With more than three-quarters of Kenya's landscapes comprising semi-arid and arid rangelands and savannahs, traditional pastoralist land use and management practices based around transhumant livestock management are a central element of natural resource governance. Pastoralist communities have long protected important resources – such as forests, water sources, and dry season grazing refuges – through customary mechanisms[19]. The sacred Kaya forest groves are one of the country's most famous customary ICCAs, protected by the Mijikenda people for their spiritual and cultural value.

New community conservation areas termed 'conservancies' have been created in the last two decades in pastoralist areas of Kenya facilitated and supported by a wide range of government, NGO, private sector, and external donor resources and interests. The Wildlife Conservation and Management Act of 2013 recognizes and promotes conservancies both for conservation and as a mechanism for communities and private landowners' participation in natural resources management. The Act defines conservancies as land set aside by an individual landowner, corporate body, group of owners or a community for purposes of wildlife conservation. As a result of the Act, wildlife conservation is now a recognized form of land use. More recently, the 2016 Community Land Act regulates community land tenure and management in accordance with the 2010 Constitution.

To date there are 177 conservancies covering over 7.5 million acres across 22 Counties, benefiting a population of almost 700,000. Kenya conservancies have over 2,200 scouts protecting the conservancies' territory, wildlife and their inhabitants. A landowner-led national membership organization representing community and private conservancies in Kenya, the Kenya Wildlife Conservancies Association (KWCA), was registered in 2013. There are also 12 regional associations that bring together conservancies in each region. SGP has supported KWCA since its inception. Given the proven positive outcomes of conservancies in the country including improved security, conflict management, wildlife conservation, better land management, income, employment and support to community projects, SGP's strategy is to help strengthen and further expand the number of community conservancies.

Marine Community Managed Areas (formerly Locally Managed Marine Areas) is another form of ICCA that SGP has been piloting in various parts of the southern coast. With a more supportive policy (Fisheries Management Act of 2016) SGP sees significant potential in helping fisher communities realize the environmental and socio-economic benefits from marine resources.

C) Diversification, value addition to traditional products and access to markets and financial services

SGP's long experience in providing support to community-led natural resources management initiatives dictates that without new products, value addition to existing raw materials and access to financial services and traditional and new markets, the sustainability of those activities is unlikely in the absence of continued SGP and other donor support. Consequently, the project will undertake several capacity development and product development and marketing activities to further progress in each of these areas in partnership with specialized organizations and the private sector.

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[19] Nelson, F. 2012. Recognition and Support of ICCAs in Kenya. In: Kothari, A. with Corrigan, C., Jonas, H., Neumann, A., and Shrumm, H. (eds).

D) CSO – private sector partnerships

The SGP Kenya Country Program has from the initial phases of the GEF underscored the importance of forming partnerships with diverse groups, which has been a significant enabling factor for the success of the program over the years. The partnerships, largely built around specific themes, have engaged local governments, national agencies and Ministries, NGOs, the private sector, academics and others to provide support (e.g., policy support, technical assistance, strategic guidance, financing) to community-led initiatives. The promotion of this type of partnerships will continue during this operational phase but the emphasis will be on establishing trustworthy and durable partnerships between CSOs and the private sector. Such partnerships will be sought to support communities in many areas but they will be particularly prominent in meeting the climate change mitigation target of the project. Indeed CSO – private partnerships have been identified as the main strategy to deliver this outcome. Appendix 2 includes some of the areas in which SGP will promote CSO – private sector partnerships to deliver improved energy services to the poor that also contribute to mitigate climate change. The mechanisms to identify the most promising partnerships and activities will be through "challenge grants" in which CSOs will be invited to join with one or more private sector businesses and submit a proposal for SGP consideration. A set of draft criteria has been developed to guide the NSC in the review and approval of the proposals.

Figure 4: Theory of Change

LONG-TERM IMPACT: Great Rift Valley Lakes, Kaya Forests, and the southern marine production land/seascapes are sustainably managed, and ecologically and socially resilient

INTERMEDIATE STATE: Public and non-government organizations working towards common land/seascape objectives, coordinating & collaborating on activities related to biodiversity conservation and sustainable land management for the benefit of local communities; vibrant partnerships between CSOs and the private sector provide modern & sustainable energy services to un-served/under-served communities, as well as support for product innovation, access to financial services, and linkages to markets; policy-relevant sustainable land/seascape management experiences generated, systematized and disseminated

Drivers and assumptions: National policy and legal frameworks enable the participation of communities in decision making for sustainable management and production practices in target land/seascapes; best practices are available and can be replicated and up-scaled; county governments support community objectives and provide co-financing and other support to help achieve sustainability; the national political situation will be sufficiently stable to allow for land/seascape management plan implementation; private sector willing to take risks and partner with CSOs

OUTCOMES

| Multi-stakeholder platforms implementing adaptive land/seascape strategies & management plans | Ecosystem and biodiversity conservation enhanced through sustainable livelihoods | Flow of agro-ecosystem services to sustain food production & livelihoods enhanced | Community eco-friendly enterprises along the value chain with increased access to financial services and markets | Multi-stakeholder partnerships implementing initiatives for community integrated low-emission systems | Community and local CSOs with increased organizational and financial capacities and skills | Knowledge enhanced among community groups and CSOs; learning documented, disseminated and available to policy makers |

STRATEGIES

| Strong community role in decision-making for land/seascape management and promotion of community-managed areas | Multi-stakeholder platforms, strategies & plans to aggregate individual grant results | Sustainable community-based practices that reduce vulnerability and increase resilience | Diversification, value addition to traditional products & access to markets | Partnerships to leverage capacities of CSOs & private & public sectors in support of communities | Strategic grants to support NGOs at each landscape for coordination, mentoring & technical assistance | Knowledge management as a basis for replication, scaling up & policy advocacy |

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IV.   RESULTS AND PARTNERSHIPS

i.   Expected Results:

The following are the expected global environmental benefits to be generated by the project:

Corporate Results	Replenishment Targets	Project Targets
1. Maintain globally significant biodiversity and the ecosystem goods and services that it provides to society	Improved management of landscapes and seascapes covering 300 million hectares	156,000 hectares, of which 40,000 Ha in the Great Rift Valley Lakes; 30,000 Ha in the Kaya Forests production landscape; and 85,000 Ha in the Shimoni-Vanga seascape
2. Sustainable land management in production systems (agriculture, rangelands, and forest landscapes)	120 million hectares under sustainable land management	20,050 hectares in Lake Bogoria Basin and the Kaya forests production landscapes
3. Support to transformational shifts towards a low-emission and resilient development path	750 million tons of CO_2e mitigated (include both direct and indirect)	81,682 metric tons of CO_2e mitigated

Individual small grants, strategic grants and other project outputs and activities will combine to deliver the following seven outcomes:

- **Outcome 1.1** – Multi-stakeholder platforms established/strengthened to develop and execute participatory adaptive management landscape/seascape strategies and plans to enhance socio-ecological landscape resilience and global environmental benefits.

- **Outcome 1.2** – Ecosystem services and biodiversity conservation enhanced through sustainable livelihoods and other community-based interventions in the target landscapes and seascapes.

- **Outcome 1.3** – The flow of agro-ecosystem services to sustain food production and livelihoods in the target landscapes improved through community-based interventions.

- **Outcome 1.4** – Community-based eco-friendly enterprises formed/strengthened along the value chain with increased access to financial services and markets.

- **Outcome 1.5** – Multi-stakeholder partnerships develop and implement initiatives for community integrated low-emission systems.

- **Outcome 2.1** – Community and local civil society organizations increase their organizational and financial capacities and skills through on-going mentoring and training.

- **Outcome 2.2 –** Knowledge enhanced among community groups and CSOs, and learning is documented, disseminated and made available to policy makers at county and national level.

Outcome 1.1 – Multi-stakeholder platforms established/strengthened to develop and execute participatory adaptive management landscape/seascape strategies and plans that enhance socio-ecological landscape resilience and result in global environmental benefits. Total cost (USD) 770,000; GEF Funds 470,000; Co-financing 300,000

Outcome 1.1 is the foundation for the implementation of a "landscape/seascape" approach and key to the sustainability of project results at the land/seascape level. Two interrelated outputs designed to ensure maximum community participation, as well as coordination, collaboration and synergies between all stakeholders in the land/seascape, will help achieve this outcome:

Output 1.1.1 Formal multi-stakeholder platforms established/strengthened for each land/seascape. Multi-stakeholder platforms will bring together institutions, groups and individuals with interests in the target geographic areas to identify priorities, set goals, cooperate in the implementation of actions, monitor progress, and resolve conflicts at the land/seascape scale. While initially informal, the expectation is that these structures will evolve to become land/seascape governance structures with and for the communities. Platforms will be composed of county government representatives, relevant line ministries, civil society organizations present in the area, and community representatives. Decisions will be taken by consensus and democratically with no one group imposing its views. SGP will convene interested parties to form the Platform, convoke their initial meetings, and nurture these structures to develop their capacities to continue working independently and effectively. SGP will build on existing structures or coalitions of interested parties in the target land/seascapes.

Where a multi-stakeholder platform exists for a particular land/seascape, the following activities will take place:

- Gap analysis of civil society representation in the respective multi-stakeholder platform and the contribution communities and CSOs are making to the functioning of the respective body. This analysis will appraise aspects such as whether the community is adequately represented and is participating in platform activities, whether the platform members meet regularly and follow up on decisions taken, whether the platform is accountable to and informs the wider community about its activities. The analysis will identify areas that may require strengthening, for example, addition of representatives of community groups/sectors currently not represented (in particular, women), improvement of by-laws, improvement of the manner in which the platform conducts its business;
- Participatory development of concrete proposals that would lead to improved community and local CSO dialogue with government institutions and improved participation in multi-stakeholder platforms.

Where a multi-stakeholder platform does not exist, all the necessary actions for the establishment of a platform will be implemented. This includes:

- Identification of existing structures with the potential to evolve into a multi-stakeholder platform for land/seascape planning and management with community participation;
- Identification of key stakeholders for each land/seascape, including county government officials, relevant line ministries, traditional authorities, community groups, and national non-governmental organizations present in each area. Women's representatives will be activity sought;
- Rapid appraisal and mapping of CBOS (e.g., Self-help groups, cooperatives) and other civil society organizations present in each geographic area of intervention, among others, local environmental and natural resources management bodies promoted by Kenya's policies to enable community participation (e.g., Community Forest Associations, Water Resources Users Associations, wildlife conservancy associations, Beach Management Units, Locally Managed Marine Areas). The above process will ensure that community members often not included in environmental and socio-economic planning, such as women, youth and elders, are brought on board;
- Discussions with key individuals and groups to motivate their participation and to create ownership of the platform and a shared vision and purpose;
- Development of by-laws, including rules of procedure;
- Registration process according to Kenya regulations, if relevant/necessary.

For all multi-stakeholder platforms SGP will:

- Identify critical capacity needs and develop a capacity development plan for a two-year period;
- Facilitate capacity building activities for platform members in various subjects (e.g., biodiversity conservation, land degradation, climate change, democratic and accountable governance) with support from academic organizations, NGOs and other appropriate institutions as required. Training on monitoring and evaluation tools and process will be an important part of the capacity development process to ensure the multi-stakeholder platform is equipped to monitor the implementation of the land/seascape strategy and plan (see Output 1.1.3).

Output 1.1.2 Adaptive landscape and seascape strategy and management plan developed by multi-stakeholder platforms and local and national CBOs will be the basis not only for planning and managing the target areas but also for the decisions by the SGP National Steering Committee concerning grant approval. These strategies will build upon and complement other strategies and plans existing for the same landscapes, for example, Lake Bogoria National Reserve 2007 – 2012 Integrated Management Plan and the draft Shimoni-Vanga Joint Fisheries Co-management Area Plan 2017 -2021. The specific focus of the adaptive land/seascape strategies and plans is on actions that can be taken by the communities to address environmental and socio-economic challenges, increase ecosystems and communities' resilience, and generate global environmental benefits. SGP will use the Satoyama Indicators of Landscape Resilience during the baseline assessment and to monitor progress in implementing the land/seascape management plan, as relevant. To ensure that the strategy and management plan respond to the needs of the various segments of the population, in particular vulnerable groups, its development will use a gender-based approach. To ensure the continued relevance of the strategy and plan, the Multi-stakeholder Platforms will be invited to take stock of progress, assess challenges and emerging opportunities at least twice in the project lifetime. Recognizing that local institutions and communities may not have experience in strategy development and planning and that integrated land/seascape management is a new and complex approach, SGP will allocate a strategic grant[20] to a qualified NGO in each land/seascape via a competitive process to provide support throughout the planning process and during the plan's implementation to the respective multi-stakeholder platform.

The following are key activities for the participatory development of such strategies and plans:

- Identification of NGOs, CBO networks and other institutions with the capacity to provide participatory planning and implementation support at each land/seascape;
- Allocation of one strategic grant per landscape to bring on board the most qualified CSO to support the baseline assessment process and later the development of the areas' respective strategy and management plan;
- Development of an outline of contents to conduct the socio-ecological baseline assessments to be adapted at each land/seascape as needed;
- Collection of data through interviews and focus-group discussions as well as by conducting a literature review;
- Workshops with multi-stakeholder platform members, other interested community members and qualified individuals to discuss existing and new information about the socio-ecological condition of the respective land/seascape (using the Satoyama Toolkit for Indicators of Resilience used in the COMDEKS program[21], and ecosystem status, pressure-response method or other suitable approach to be determined), as well as analyzing socio-economic data (e.g., economic activity, employment, access to financial services, access to energy and information technology, education, demographics) disaggregated by sex and age to determine the situation and expectations of various segments of the local population;

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[20] SGP *strategic grants* are larger grants up to USD 150,000 that are approved by the National Steering Committee and cleared by the UNDP-SGP UCP Global Coordinator. This type of grant is considered when it demonstrates strategic value to meet the program's objectives. It is usually implemented by NGOs with a proven implementation track record.

[21] https://comdeksproject.files.wordpress.com/2014/11/toolkit-indicators-web.pdf

- Dissemination of the socio-ecological baseline assessment results within the respective land/seascape;
- Participatory workshops in each landscape to identify key common goals and objectives at the land/seascape scale and priorities for action by members of the multi-stakeholder platforms and communities that would lead to improved management of the land/seascape and their natural resources, as well as more resilient and sustainable livelihoods;
- Summary of conclusions of this participatory exercise in the form of an adaptive strategy and management plan focused on actions to be implemented by CSOs and co-funded by SGP in the land/seascape to be endorsed by the multi-stakeholder platform; this document will also include the means and indicators by which implementation progress will be measured. The contents of the strategy and plan will guide the NSC grant approval.

Outcome 1.2 – Ecosystem services and biodiversity conservation enhanced through sustainable livelihoods and other community-based interventions in the target landscapes and seascapes. Total Cost (USD) 2,760,733; GEF Funds 916,033; Co-financing 1,844,700

Outcome 1.2 addresses biodiversity conservation in the land/seascapes. SGP has identified Indigenous Peoples and Community Conserved Areas and Territories (ICCAs), including marine Community Managed Areas[22] (CMAs), community wildlife conservancies and the federation of individual conservancies in sub-regional, regional and national associations as key to achieving land/seascape conservation. There is strong evidence that pilot CMAs in Kenya have been successful in protecting marine resources. Similarly, wildlife conservancies and their associations have proven an effective tool in arid and semi-arid lands (ASAL) and other parts of the country for the protection of wildlife corridors, poaching control, management of grazing lands, and often, for the generation of income from tourism operations. ICCAs have also improved social cohesion, provided an avenue for conflict resolution among and between communities, and to advocate for and coordinate the delivery of social services at the local level. All ICCAs in the target land/seascapes will be represented in the multi-stakeholder platforms (Outcome 1.1.1), will participate in the development of the strategies and management plans (Output 1.1.2) and will be supported through sustainable livelihood grants (Output 1.2.4 below) and capacity development activities in Component 2. Activities under Outputs 1.2.1 to 1.2.3 will help establish and strengthen various types of ICCAs and their associations, including their ability to monitor and assess the results of conservation efforts.

Output 1.2.1 Community wildlife conservancies in Lake Bogoria formalized, operational and with an agreed management plan. There are three incipient community wildlife conservancies in the lower and middle Lake Bogoria basin that will be supported by the project in cooperation with the Baringo County Government and other partners: Kiborgoch Community Wildlife and Wetland Conservancy; Irong Community Conservancy; and Chuine Community Conservancy. The following are the planned activities to deliver this output:

- With support from the Kenya Wildlife Conservancies Association, review existing documentation for the establishment of the three wildlife conservancies and their registration consistent with Kenya's Wildlife Act and the Community Land Act;
- Establish the respective conservancy governing body;
- Develop by-laws for each conservancy;
- Facilitate a process by which each community will be able to determine the area to be set aside as a wildlife conservation area and their respective conservation objectives. Given land issues in Kenya, this is a sensitive process that may take time if community members are to achieve consensus. The establishment of the conservancies will likely restrict the availability, quality of and access to resources for certain groups or members of the communities, therefore, in accordance with UNDP's social and environmental safeguards (see Annex I), SGP will ensure that a participatory assessment takes place to understand the possible implications of conservancy management decisions that will

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[22] Formerly Locally Managed Marine Areas (LMMAs)

serve as a basis to develop measures to avoid or minimize possible negative effects in consultation with the affected parties, or to find ways in which affected community groups/members would be compensated;

- Once there is agreement on the conservancy area, production of basic maps and demarcation of each area on the ground;
- Calculation of the final number of hectares under conservation agreements;
- Registration of individual wildlife conservancies with the Kenya Wildlife Conservancies Association.
- Support to individual conservancies to develop their respective participatory management plan.

Output 1.2.2 Beach Management Units in Kwale County strengthened to facilitate the implementation of the management plans of marine Community Managed Areas, adhere to by-laws and monitor results of conservation efforts. Seven CMAs have been established by BMUs in the near-shore area of the Shimoni-Vanga seascape, which is critical to the conservation and sustainable use of marine resources and to the overall implementation of the Joint Fisheries Co-Management Area Plan developed under the leadership of the State Department for Fisheries. Each CMA has a management plan for its respective area which determines the area coverage, associated fishing grounds, and the allowed fishing gears and methods. Activities under this component are expected to strengthen the capacities of these BMUs and possibly others in the Kwale County to ensure the objectives of the CMA plans are met.

- In collaboration with the State Department of Fisheries, facilitate the prioritization of activities in support of CMA management plan implementation to be developed into project proposals for consideration by SGP and other donor support;
- Strengthen governance capacity of Beach Management Units to improve adherence to by-laws;
- Support BMUs to establish/strengthen community control of CMA areas (patrol/policing);
- Enable development and use of participatory monitoring tools to assess conservation efforts

Output 1.2.3 Capacities of ICCA associations, including the Rift Lakes Conservancies Association and the Baringo County Community Conservancies Association enhanced to engage with county governments, secure wildlife corridors, and protect lake, forests and marine habitats. In cooperation with the Kenya Wildlife Conservancies Association and the NGO providing support to the landscape planning process, SGP will undertake several activities to strengthen the Rift Lakes Conservancies Association and the Baringo County Community Conservancies Association. It will also strengthen the Committee of Kaya elders at County level and identify the barriers hindering the establishment of BMU associations in the Southern coast as a first step to promote collaboration among individual groups. The following activities are planned:

- Convening an initial meeting with the respective county governments and the emerging multi-stakeholder platform of the Lake Bogoria landscape to determine a joint agenda and work plan for the conservancies associations and their member organizations;
- Exploring the opportunity to establish an association of BMUs in the Southern Coast;
- Undertaking a participatory SWOT analysis with all ICCA associations in the target landscapes identifying critical capacity development needs and formulating a plan to address these capacity weaknesses via training, exchanges, mentoring or other means (also see Output 2.1.1)
- Implementing the capacity development plan (also see Output 2.1.1);
- Convening at least two additional meetings during the lifetime of SGP VI to assess progress and maintain the momentum with the county governments.

Output 1.2.4: Sustainable livelihood interventions that address biodiversity conservation in the target lands/seascapes identified, approved by the National Steering Committee and implemented. These interventions supported by SGP grants and co-financing are the means by which communities will implement the management plans of their conservation areas, both terrestrial and marine. Specific activities will be determined upon grant approval, however, possible types of interventions to be supported by SGP are: community patrolling and

poaching control of areas critical for the dispersal of the Greater Kudu around Lake Bogoria and that maintain connectivity between important habitats; conservation and restoration of indigenous forests through natural regeneration and sustainable use of non-timber forest products (e.g., honey, fibers, essential oils); ecotourism as a source of revenue to sustain community conservancies and other community-managed areas, both terrestrial and marine; documentation of traditional knowledge of Kaya vegetation and identification of potential products with market value; management of fish spawning areas including mangrove and coral reef protection; control of illegal fishing gear and respect of no-take zones. The following activities will take place to identify, approve, implement and monitor SGP biodiversity grants:

- Call for proposals for the individual land/seascapes using as a basis the adaptive community strategies and management plans developed by the multi-stakeholder platforms for the Lake Bogoria production landscape, the Sacred Mijikenda Kaya Forests production landscape, and the Shimoni-Vanga seascape
- NSC review and approval of the proposals as a portfolio, looking for synergies and facilitating coordination and complementarity among grantees and other land/seascape stakeholders working in each area;
- Implementation and monitoring of grants

Outcome 1.3 – The flow of agro-ecosystem services to sustain food production and livelihoods in the target landscapes improved through community-based interventions. Total Cost (USD) 1,525,147; GEF Funds 208,647; Co-financing 1,316,500

Outcome 1.3 addresses sustainable land management in the Lake Bogoria and Kaya forests production landscapes. It focuses on the needs of pastoral communities and smallholder farmers, particularly their food security. By adopting an integrated landscape management approach SGP will increase socio-economic and ecosystem resilience to drought and other climate-related shocks. SGP will support these communities to adopt and implement agroecological principles and practices in their production activities in cooperation with public, non-government organizations and research centers with the required experience and expertise.

Output 1.3.1: Agroecological principles and practices applied in agricultural production in the middle and lower Lake Bogoria basin, and in the Kaya forests production landscape. The project will take a step-by-step approach to expose smallholder farmers to agroecological production principles and practices, determine which products and practices may be implemented in their lands, and help them meet the incremental cost of establishing new crops and changing their production methods. Sustainable agricultural practices will be identified on a case-by-case basis, but they may involve intercropping, crop rotation, agro-forestry, organic fertilization, and reduced tillage. The following activities are planned to deliver this output:

- Invitation to farmers from the two landscapes (men and women) to visit relevant good practices elsewhere in Kenya
- Conduct needs assessment of farmers, identify barriers to adoption of agro-ecological practices and select actions of intervention by farmers
- Call for proposals for the Lake Bogoria and Kaya Forests production landscapes to identify projects that meet agro-ecological production principles and practices
- NSC review and approval of the proposals, looking for innovative and replicable sustainable farming practices that reduce land degradation and improve community resilience
- Implementation and monitoring of grants

Output 1.3.2: Sustainable grazing practices in community pastoral lands. Private ranches, ASAL conservancies and other institutions in Kenya have experimented with and often successfully adapted grazing practices that increase resilience of rangelands, improve productivity, and allow cattle herds to graze along wildlife. These practices include, among others, rotational grazing, grass banking, and holistic planned grazing (a strategy for managing

herds of domestic livestock to mimic those of wild herds to heal the grasslands). Access to markets is an important element of livestock management that needs to be considered for sustainable rangeland management, and which will be supported by SGP as required. While cattle grazing and management is traditionally considered a man's responsibility, women play an important role because they hold key knowledge of livestock conditions and teach the children how to care for cattle. SGP will encourage women to participate in project activities, particularly on having a say on rangeland management. The following are activities planned to deliver this output:

- Invitation to pastoral communities, in particular those from the lower Lake Bogoria basin to visit relevant good practices such as holistic grazing elsewhere in Kenya (e.g., Laikipia);
- Conduct a needs assessment of pastoralists (including men and women), identify barriers to adoption of improved grazing practices and select actions of intervention by pastoralists;
- Call for proposals to identify projects that meet sustainable grazing practices;
- NSC review and approval of proposals, looking for innovative and replicable sustainable grazing practices that reduce land degradation and improve community resilience;
- Implementation and monitoring of grants.

Output 1.3.3: Food products introduced or reintroduced in community production systems reducing community vulnerability to climate change and improving resilience. During the last decades, the variety and genetic diversity of food crops in Kenyan farms has decreased. A reduced number of commercial crops and varieties has replaced indigenous species that are adapted to local conditions[23] and used as nutrition supplements in times of food scarcity[24] [25]. This has made smallholder farmers more vulnerable to economic and climatic shocks and affected the quality of their land and biodiversity. SGP will therefore promote crop diversification and reintroduction of indigenous food crops neglected or underutilized[26] as a strategy to reduce smallholder farmers' vulnerability in the face of global environmental change, enhance agro-ecosystem productivity in semi-arid conditions, increase food security, and improve nutrition. Diversification also reduces price risk because it expands the number of potential crop types for the market at any given time. Traditional knowledge about indigenous crops and their uses, including much of the region's traditional cooking knowledge, has been lost or is in decline. Consequently, SGP will also consider proposals that help reverse this trend. The following are planned activities towards this output:

- With support from various national and international horticultural research institutions, identification of indigenous food species no longer harvested or cultivated in project areas that could be reintroduced or better utilized to diversify production systems and eating habits, improving food security and nutrition and increasing community resilience;
- Call for proposals for projects that would lead to increased food diversity in community production systems and cooking;
- NSC review and approval of proposals;
- Implementation and monitoring of grants.

Output 1.3.4: Actions to maintain water quantity and quality implemented in the Lake Bogoria basin. Water quality and quantity are essential to communities' livelihoods (both pastoral and agricultural) and for wildlife in the Lake Bogoria basin. However, poor management of the resource and over abstraction have often resulted in conflict, as water users compete for a scarce resource, particularly during dry spells. WWF worked in the Bogoria Lake basin until 2012 trying to advance the implementation of an ecosystem-based approach through the

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[23] Indigenous foods crops are more viable in a scenario of erratic rain patterns, and more resistant to prolonged drought and pests.

[24] NRC. Lost Crops of Africa: Volume II: Vegetables (National Academies Press, 2006)

[25] Abukutsa, M. O. O. African Indigenous Vegetables in Kenya: Strategic Repositioning in the Horticultural Sector (JKUAT, 2010).

[26] For example African nightshade (*Solanum scabrum*), amaranth leaves (*Amaranthus sp.*), Spider plant (*Cleome gynandra*), moringa (*Moringa oleifera*), Slenderleaf (*Crotolaria sp.*) as well as jute mallow (*Corchorus olitorius*) and the greens of cowpeas (*Vigna unguiculata*).

formulation and implementation of integrated management plans covering the entire basin. WWF's work was also instrumental in helping establish and consolidate community organizations such as Water Resources Users Associations (WRUAS) and Community Forest Associations (CFAs) to help resolve resource user conflicts and manage water resources more sustainably. The basin-wide WRUA and its sub-watershed WRUAs are still operating, however, they require technical assistance and financial support to both continue fulfilling their water resource planning and conflict resolution and to implement initiatives with local communities to address their water needs in a sustainable manner. SGP will therefore allocate grant resources to WRUAS and other relevant community organizations to support the implementation of, among other things, self-regulating communal water-intake systems that serve a large number of water users, maintain partnerships and collaborative arrangements for water management, plan at a basin scale to encourage co-operation between farming communities, and implement actions in the middle and lower basin such as restoration of river bank vegetation, relocation of cattle watering points, rainwater harvesting, more efficient irrigation agriculture for reduced water abstraction, and improved farming practices that reduce siltation. The following activities will take place:

- Meeting with Water Resources Users Associations and Community Forest Associations in the Lake Bogoria basin to assess the status of the watershed and identify priorities for action, building on prior work done by WWF
- Call for proposals to identify sustainable water resource management projects
- NSC review and approval of proposals
- Implementation and monitoring of grants

Outcome 1.4 – Community-based eco-friendly enterprises formed/strengthened along the value chain with increased access to financial services and markets. Total Cost (USD) 560,000; GEF Funds 160,000; Co-financing 400,000

Outcome 1.4 addresses the need to support communities in realizing the economic benefits of sustainably managing ecosystems and natural resources. This is an essential component of the project's sustainability and replication strategy. SGP recognizes that communities face significant challenges in identifying eco-friendly business opportunities on their own and when they do, they may lack the capacities to develop the product or access/develop a market for it. Communities also face significant challenges in obtaining credit or other forms of financial support to start their businesses. SGP's approach is to help communities address these challenges through three main strategies: i) help communities establish fair and equitable partnerships with the private sector; ii) identify goods or services that may add value to existing economic activities or that could be up-scaled/expanded and develop business plans; and iii) help communities access the necessary financial services.

Helping establish partnerships between local community entrepreneurs and the private sector will help transfer business skills that cannot be acquired through short-term training. NGOs do not usually possess the type of skills and competencies required for successful businesses, but they can be useful brokers in building the relationship between communities and business groups.

This outcome will be achieved by delivering three inter-related Outputs and their individual activities as follows:

Output 1.4.1: Community eco-enterprises of which at least two are in partnership with the private sector. The emphasis in this Output will be on the identification of promising eco-enterprises, building on existing community economic activities or activities for which communities have expressed a strong interest (for example, the Community Conservancies around Lake Bogoria and the County Government have expressed strong interest in developing an eco-tourism route that would take tourists around multiple locations with cultural and environmental values as a means to obtain revenue to implement the Conservancies management plans and also benefit the maximum number of communities around the Lake). Below are activities identified to achieve this Output:

- Identification of businesses interested in forming partnerships with community entrepreneurs for the production and marketing of sustainably produced goods and services

- Identification of and support to community-driven enterprises that have potential to improve and upscale. Identify weaknesses along the value chain and the means to address such weak points
- Identification of products already available to which value can be added and for which markets exist locally, nationally or internationally
- Development of business plans
- Training and capacity development in business administration
- Registering new business

Output 1.4.2: Community businesses marketing 2-4 sustainably produced goods and services of which two are in partnership with the private sector. Similarly, stakeholders are interested in identifying opportunities to add value to local products and obtain technical support for their production and marketing. Potential private sector partners are expected to help communities develop viable business plans and implement quality assurance for their products and processes, helping meet social and environmental standards. SGP may also engage specialized consultants or organizations to fill any capacity gaps. The following are the expected activities:

- Call for proposals in all three land/seascapes to identify the most promising products and groups (in particular women entrepreneurs)
- NSC review and approval of proposals
- Implementation and monitoring of grants
- Support entrepreneurs to meet social and environmental standards (national or international) for their products
- Support entrepreneurs in marketing their products

Output 1.4.3: Financial resources from banks and other financial service providers available to above enterprises to support replication, upscaling and sustainability. Successful community business ideas are often hampered by lack of access to capital and financial services. This is the case for establishing micro and small-scale businesses but also for scaling up existing businesses proven to be viable. SGP will engage the financial sector to assess the different situations and identify avenues for improved access to financial products and services or for establishing community revolving funds or other lending schemes building on the experience available in the country.

- Assessment of existing financial services that may be accessed by community entrepreneurs and businesses
- Feasibility study of the viability of helping to establish pilot revolving funds/other lending schemes for community groups
- Support entrepreneurs in accessing financial services for their businesses, as needed

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Outcome 1.5 – Multi-stakeholder partnerships develop and implement initiatives for community low-emission systems. Total Cost (USD) 1,749,185; GEF Funds 787,385; Co-financing 961,800

The private sector in Kenya is investing in a wide range of renewable energy (RE) and energy efficiency (EE) technologies, including related appliances, as well as financial modalities that help rural and urban un-served or under-served communities access modern energy services. However, the reach of these businesses is limited, particularly in the poorer rural areas. SGP's strategy during the sixth operational phase will be to pilot 5 to 7 promising CSO-private sector partnerships to demonstrate how such partnerships can accelerate the adoption and implementation of RE and EE for the benefit of the poorest rural communities. Such partnerships are also expected to contribute to the sustainability of SGP climate change interventions and lead to further replication in other geographic areas not covered by this project. SGP will build on prior successful initiatives that have demonstrated that this approach is promising. While every effort will be made to focus on the landscapes selected for this operational phase, it is possible that the best proposals may involve other parts of the country; therefore, no strict geographic criteria will be applied to this Outcome.

During the PPG implementation stage, in consultation with experts, SGP was able to determine a cost-effective overall GHG mitigation target, feasible with the available funds for this phase (81,682 metric tons of CO_2e). Such target is expected to be met by a mix of RE and EE interventions as described in the "disaggregated data sheet" in the CC Tracking Tool attached to the prodoc. Technologies/applications may include solar water pumping, biogas, bioethanol, household solar PV, briquettes from agro-waste for small/medium commercial fuel users, and PV micro-grids. SGP-funded interventions will help, among others, expand sales and distribution networks, implement models to make products more affordable such as by extending repayment periods, and mitigate barriers such as lack of information about the technology or barriers to uptake such as meeting up-front costs. Appendix 2 *'Renewable energy options and barriers for their wider adoption in Kenya'* presents a summary analysis of the state of play of some of these technologies and applications in the country.

SGP will call for "challenge grants" to be submitted by civil society organizations with their private sector partners. The NSC will approve the grants keeping in mind the need to invest in the most promising partnerships to meet or exceed the proposed mitigation target. Draft criteria for prioritizing and selecting viable grants have been included in Appendix 3. The NSC will finalize the criteria at project inception in consultation with experts and relevant CSOs. Private sector co-financing is a major requirement for the consideration and approval of these grants beyond the main 1:1 co-financing requirement of other SGP grants. While no specific target has been set, the expectation is that partners submitting the proposals will bring about two thirds of the project costs in kind or in cash.

The following two Outputs and related activities will take place to achieve this Outcome:

Output 1.5.1: CSO-private sector partnerships promoting and implementing low GHG emissions activities. As discussed in Section iii "Stakeholder engagement", SGP had an initial consultation meeting with a large number of NGOs, businesses, donors and programmes/projects during the project preparation phase. A representative of the Government of Kenya and one from the NSC also attended this consultation. At the meeting participants shared their experiences, activities and areas of expertise on RE and EE and discussed the challenges and opportunities of the proposed partnerships. The discussion on opportunities was informed by presentations made by former SGP grantees. The meeting participants agreed that further multi-stakeholder discussions would take place upon approval of the SGP project but that bilateral discussions between interested parties could commence immediately to prepare for an eventual call for proposals. The planned activities to deliver this Output are the following:

- Continuation of dialogue started at project preparation phase between SGP & CSOs and the private sector for the promotion and application of diverse RE and EE technologies that benefit households, businesses and institutions
- Finalization of terms of reference, criteria and template for a competitive process to identify the most innovative and scalable joint initiatives (challenge grants) that would help achieve the largest emissions reduction benefits
- NSC review and approval of strategic grants (up to USD 150,000) to CSO-private sector partnerships that meet criteria.

Output 1.5.2: GHG mitigation initiatives providing energy services to un-served communities. SGP's intention is to meet its GHG mitigation target by implementing "challenge grants" which may be in the range of USD 80,000 to USD 150,000. However, if not enough proposals of this type meet the quality criteria set by the NSC, the Committee may consider approval of regular grants (up to USD 50,000) to be implemented by NGOs and complement the larger grants. The planned activities are the following:

- Implementation of strategic and small grants (as determined by the NSC)
- Monitoring of GHG mitigation and success of CSO-private sector partnerships
- Promotion of results to help replicate and scale-up initiatives.

Outcome 2.1 – Community and local civil society organizations increase their organizational and financial capacities and skills through on-going mentoring and training. Total Cost (USD) 1,291,000; GEF Funds 721,000; Co-financing 570,000

Project Component 2 has two Outcomes of which the first one addresses capacity building. Enhancing the capacities of local communities and their organizations is a crucial project component and the foundation upon which the sustainability of results will be build. Capacity building activities will be tailored to meet the needs of the various groups and organizations involved in programme implementation and prioritized so that these help meet the overall program objectives at each land/seascape. SGP will therefore apply a bottom up and participatory approach to determine the topics and the best tools to create/enhance the capacities. NGOs engaged in the implementation of the land/seascape strategic grants would play a role in facilitating the capacity needs assessment and helping to deliver the related activities, including by mentoring communities during grant implementation. One Output is expected under this Outcome but it is composed of a large number of sub-outputs and activities that will be more detailed once the capacity needs assessment is completed.

Output 2.1.1: Training and mentoring system in place for enhancing capacities of community based organizations in target land/seascapes

- Compilation and prioritization of capacity development needs arising from other project activities and from consultations with community groups
- Identification of the best means to meet the capacity development needs, taking into account differences in educational levels, location, time availability for training activities (in particular women), language, and type of skills/knowledge to be acquired. The above two items will be summarized in a capacity needs assessment document
- Development of a training package designed to ensure transparent, democratic and accountable governance/management of multi-stakeholder platforms and key community organizations linked to this project implementation (e.g., Council of Elders, BMUs, CMAs, CFAs, Community Wildlife Conservancies and their associations).

Outcome 2.2 – Knowledge enhanced among community groups and CSOs, and learning is documented, disseminated and made available to policy makers at county and national level. Total Cost (USD) 225,977; GEF Funds 128,977; Co-financing 97,000

The importance of enhancing knowledge management at the programme, land/seascape and community level cannot be over-emphasized. SGP will be active in all aspects of knowledge management, including the generation of knowledge, its storage, dissemination, application and feedback. The following two Outputs help achieve Outcome 2.2:

Output 2.2.1: Case studies and analysis of best practices for adaptive landscape/seascape resilience. Case studies will be conducted at two levels: First, individual grantees will be supported to reflect on their grant implementation experience and distill lessons. An external expert will facilitate this activity including documenting community views. These case studies will be carried out in preparation of the evaluation of grants or as a part of the evaluation process to improve community ownership and participation. Second, NGOs implementing land/seascape strategic grants (possibly with external support) will prepare case studies summarizing the land/seascape planning and implementation efforts, including the contribution of individual grant activities to achieving the land/seascape objectives. These case studies will also apply a participatory approach involving all members of the multi-stakeholder platforms, grantees and their support organizations. Best practices will be identified and documented as part of the process. Understanding the extent to which community and environmental resilience has been enhanced will be an important aspect of case study preparation. Dissemination will be done at various levels including local, county, watershed, land/seascape and national levels within available resources. The means of dissemination will be identified as project implementation progresses, with the objective of reaching a large audience, but also through means adapted to specific target groups, in particular women and the youth. As noted in Output 1.5.2, the climate change mitigation experience will also include relevant activities to distill and document lessons and best practice.

- Preparation of participatory case studies documenting the reflection by SGP grantees about their project implementation experience facilitated by a consultant or UNV
- Preparation of case studies, at lease one per land/seascape with support from consultant and CSOs supporting land/seascape level coordination and capacity building summarizing knowledge gained from landscape planning and management
- Identification of policy relevant findings and preparation of a summary for policy makers
- Dissemination of results through various means (e.g., radio, video clips, news articles, brochures) at the watershed, seascape, county and national levels, as relevant.

Output 2.2.2: Feedback to county governments and line ministries about results, best practices, lessons and challenges. This component will help ensure that the knowledge gained will be available to policy makers and other practitioners. SGP will particularly target County governments, as they are now responsible for planning and implementing development priorities of their constituencies. Line Ministries will also be targeted to ensure SGP experiences inform future policies in the country, in particular, those directly supportive of community management of natural resources and the environment. SGP's National Steering Committee members will be key to support this Output and related activities. The NSC's involvement is critical because its members help the small grants programme learn, adapt and improve the overall programme performance for the benefit of local communities and the environment. The following activities are planned but this may change upon further consideration of the NSC and other project stakeholders, in particular county governments.

- Periodic meetings between SGP, CSOs and county governments to address emerging issues, coordinate with other relevant county government activities and investments, and to secure community priorities are integrated into county government planning and budget, as relevant
- Development of a policy-brief for each land/seascape for dissemination and discussion with relevant policy-making authorities at county and national level.
- Two meetings with line ministries involving NSC members to discuss policy-relevant issues and findings and obtain support for community based initiatives and organizations

2020 Aichi Biodiversity Targets

The project will also contribute to meet the five strategic goals of the 2020 Aichi Biodiversity Targets, by addressing at least one target in each category, as highlighted below:

Strategic Goal A; Target 1:

By 2020, at the latest, people are aware of the values of biodiversity and the steps they can take to conserve and use it sustainably.

Strategic Goal B; Target 5 and Target 6:

By 2020, the rate of loss of all natural habitats, including forests, is at least halved and where feasible brought close to zero, and degradation and fragmentation is significantly reduced.

By 2020 all fish and invertebrate stocks and aquatic plants are managed and harvested sustainably, legally and applying ecosystem-based approaches, so that overfishing is avoided, recovery plans are in place for depleted species, and vulnerable ecosystems are within safe ecological limits.

Strategic Goal C; Target 11:

By 2020, at least 17% of terrestrial and inland water, and 10% of coastal and marine areas, especially areas of particular importance for biodiversity and ecosystem services, are conserved through effectively and equitably-managed, ecologically representative and well connected systems of protected areas.

Strategic Goal D; Target 14:

By 2020, ecosystems that provide essential services, including services related to water and contribute to health, livelihoods and well-being, are restored and safeguarded, taking into account the needs of women, indigenous and local communities, and the poor and vulnerable.

Strategic Goal E; Target 18:

> By 2020, the traditional knowledge, innovations and practices of indigenous and local communities relevant for the conservation and sustainable use of biodiversity, and their customary use of biological resources, are respected, subject to national legislation and relevant international obligations.

    ii.   <u>Partnerships</u>:

As reflected in the Project Strategy section (Section III, page 16) it is envisaged that a number of government and non-governmental organizations, as well as private sector companies will partner with SGP to deliver the program outcomes. SGP will also coordinate with and utilize the experiences of complementary programs active in the target land/seascapes or working on similar thematic areas. The following key partnerships and programs have been identified[27]:

WWF-Kenya will be a key partner to deliver the proposed outcomes and outputs for the Kaya Forests production landscape and for the Shimoni-Vanga seascape. WWF has not only pledged significant cash and in-kind co-financing to the program but has a wealth of information about the socio-economic and environmental situation of both geographic areas (e.g., it prepared an Analysis of Kaya Forest Biodiversity in 2003) and has developed over the years a strong relation with local stakeholders. It should be noted that WWF participated in the development of the Shimoni-Vanga Joint Co-management Area Plan and in the draft Strategic Conservation and Management Plan for the Kayas.

The **Kenya Wildlife Conservancies Association** is a landowner-led national membership organization representing community and private conservancies in Kenya. KWCA works with conservancy landowners and regional conservancy associations to create an enabling environment for conservancies to deliver environmental and livelihood benefits**.** SGP will partner with the Association to ensure the experiences from the large movement of community conservancies in Kenya informs the development of the new conservancies in the Lake Bogoria landscape. The Association will also support training and provide advice on legal matters to new conservancies to help them meet the requirements of the Wildlife Act and other norms.

The **Global ICCA Support Initiative** (GSI) managed by the global SGP provides support to territories and areas conserved by indigenous peoples and local communities in different regions of the world. SGP Kenya was awarded a catalytic grant of USD 50,000 to carry out activities such as (i) strengthen a national ICCA Network; (ii) strengthen and establish regional ICCA chapters and provide a record of individual ICCA sites (iii) identify and train a set of community ICCA champions (iv| produce a policy brief (v) identify flagship sites and produce documentation. The outputs and outcomes of the ICCA GSI project will complement SGP's work around Lake Bogoria, the sacred Kaya forests and marine conservation in the Southern coast of Kenya.

Extractive industries are present in all geographic areas of intervention. These are causing environmental impacts, in particular land degradation and pollution. However, because of the limited funding available for this phase and the project's complexity, SGP has not included specific targets and activities addressing extractives. However, opportunities for cooperation with the GEF **Integrated Sound Management of Mercury in Kenya's Artisanal and Small-scale Gold Mining (ASGM)** Project currently under development will be sought.

SGP will endeavor to cooperate with **UN Women** as much as possible. UN Women Kenya has a number of programs and initiatives relevant to SGP, for example, their initiative to empower women economically and support gender sensitive solutions to credit and lending barriers. UN Women also has a program targeting women leaders and young potential female leaders to strengthen women's ability to participate effectively in governance structures and to influence the gender equality agenda.

Renewable energy and energy efficiency partnerships. As indicated in Section III - Strategy, SGP expects to achieve its climate change mitigation results mostly through CSO-private sector partnerships. Although specific private sector partners will only be identified once joint proposals have been received and appraised by the NSC

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[27] The list of possible partners in this section is not exhaustive but indicative. As implementation progresses opportunities to collaborate with other institutions, programs and donors may emerge.

against agreed criteria (see Appendix 3 for draft criteria for the selection of "challenge grants) a first consultation workshop that took place during project preparation confirmed that there are a large number of companies motivated to develop joint proposals to enable communities in un-served/underserved areas to benefit from modern and sustainable energy services.

The project **Support to Sustainable Bioenteprise Development in Healthy Rangelands in the Arid and Semi-Arid Lands of Kenya** is part of the GEF project Pipeline for GEF VI. It will be implemented by the UN Food and Agricultural Organization (FAO), the International Union for the Conservation of Nature (IUCN) and Government Departments. SGP will strive to cooperate with this project once approved given the relevance of its objectives to the Bogoria Lake landscape.

Another GEF project in the pipeline relevant to SGP objectives is the UNEP-implemented **"Scaling up sustainable land management and agro-biodiversity conservation to reduce environmental degradation in small-scale agriculture in Western Kenya"** project. This project will be implemented in a different region of the country, but SGP may learn from its application of participatory and experiential learning, innovation platforms and value chain approaches. Among other possible types of collaboration, there may be opportunities to organize community exchange visits.

The vision of the **World Agroforestry Centre (ICRAF)** is an equitable world where all people have viable livelihoods supported by healthy and productive landscapes. The Centre generates science-based knowledge about the diverse roles that trees play in agricultural landscapes, and uses its research to advance policies and practices, and their implementation that benefit the poor and the environment. SGP will partner with ICRAF for scientific and technical advice in the implementation of the landscape approach in the Lake Bogoria and Kaya Forests production landscapes.

Ecotourism Kenya is a national non-governmental organization promoting responsible tourism practices. The "Community Enterprise Development Program" implemented by Ecotourism Kenya aims at promoting the development of community-based tourism enterprises in the country. Ecotourism Kenya also manages a certification scheme for tourism accommodation facilities based on environmental and social criteria and is in the process of drafting guidelines for "green destinations" in Kenya, recognizing that certifying facilities is not sufficient and does not cover the wide range of tourism activities. SGP will partner with this organization to support community groups such as Community Wildlife Conservancies interested in developing tourism ventures.

Formed in 1995 the **Kenya Forest Working Group (KFWG)** is a forum of individuals, institutions (government and non-government, local and international) and community organizations concerned with forests, working together to promote sound forest management and conservation practices in Kenya through research, advocacy, networking and partnerships for improved livelihoods for all Kenyans. Key roles of KFWG are to monitor forests, undertake advocacy actions, influencing policy, as well as preparing communities for participatory forest management. SGP will work with KFWG to strengthen the capacities of community groups in the Bogoria and Kaya landscapes to sustainably manage their forests in accordance with Kenya's policies and laws. KFWG may also provide technical support for the development of landscape strategies and management plans.

Lakes Bogoria and Elementaita are both RAMSAR sites. SGP will invite **Wetlands International** to partner with national and local CSOs working to protect these important areas.

GIZ has several programs and activities in Kenya relevant to the objectives of SGP's sixth operational phase. In agriculture, GIZ activities focus on innovation to increase employment, food security and drought resilience. Other areas of support include renewable energy and good governance with a focus on combating corruption. During the inception phase, SGP will discuss with GIZ opportunities for collaboration in areas of mutual interest.

The **UN Food and Agriculture Organization (FAO)** collaboration in the country aims at creating a more competitive and productive agricultural sector and increase food security for Kenyans. FAO's assistance focuses on five outcomes: Agriculture-based livelihoods and sectors are supported by an enabling policy, strategy and investment environment that promotes equality and inclusivity; productivity of medium- and small-scale agricultural producers is increased, diversified and aligned to markets; management of land, water and other natural resources is improved for enhanced food security and socio-economic development at national, county and community levels; livelihood resilience of targeted, vulnerable populations is improved; access to and use of information, innovation and a global pool of knowledge and expertise drive holistic growth in the agricultural sector. FAO's

work to address climate change in the agriculture, forestry and fisheries sectors is also of relevance to SGP's sixth operational phase objective.

iii. Stakeholder engagement:

The primary beneficiaries and stakeholders of SGP's sixth operational phase are the communities and their organizations in the three target land/seascapes that will receive and implement SGP grants in accordance with priorities found in the participatory strategies and management plans. Additionally, national NGOs with proven skills and motivation to provide support services to local communities are also important stakeholders, and they too will receive SGP grants to help achieve the project objective and the outcomes set for each land/seascape.

Extensive consultations with individuals, institutions and the private sector took place in the capital and in the target land/seascapes during the project preparation phase. Two consultative meetings were held to explore opportunities for improving conservation of the World Heritage Sites of the Kenya Lake System in the Great Rift Valley - one meeting in Kabarnet town in Baringo County and another in Nakuru town, Nakuru County. The above two meetings and one-day trips to L. Elementaita and L. Bogoria to talk to members of the local community, allowed SGP to appraise the opportunities and challenges for each of the three Great Rift Valley Lakes (i.e., Lakes Nakuru, Elementaita and Bogoria) and were instrumental in making decisions about the geographic scope of the project in this phase. Two additional workshops were held in Mombasa to address marine ecosystem issues as well as the Sacred MijiKenda Kaya Forests. The project team also visited two Kaya forest sites (Rabai and Duruma Mtswakara) to meet with Kaya Elders and learn of their objectives, operations and vision for the Kayas (see Consultation Report in Appendix 1).

A third consultation process took place to help determine the focus and scope of the energy component. NGOs, donors and businesses working on renewable energy and energy efficiency were invited to a one-day brainstorming meeting to discuss the state of play of different technologies and approaches in the country and the most effective way of investing SGP climate change GEF resources.

The above meetings were complemented by extensive discussions with SGP National Steering Committee members, including an NSC consultation on the proposed project logframe.

These comprehensive consultations helped confirm the interest of the primary stakeholders and other support organizations as well as the willingness of the private sector to engage with CSOs to deliver specific outputs. Stakeholder groups and their expected roles are summarized in the table below:

Main stakeholders	Relevant roles
Communities and men and women within the communities	Communities own or manage the land in the target landscapes and use the natural resources in and around their lands. Their active participation in and ownership of the land/seascape planning process and the implementation of the management plan are indispensable
Community-based organizations, including: • Community Forest Associations (CFAs) • Community Wildlife Conservancies (CWCs) • Water Resources Users Associations (WRUAS) • Beach Management Units (BMUs) • Kaya Committees of Elders • Self-help groups	Organized community groups have been empowered by Kenyan policies and laws to be stewards of natural resources and ecosystems through participatory management. For example, while the Kenya Forest Service (KFS) retains ownership over the resource, CFAs can enter into management agreements with KFS and play a direct role in the management of the forest. Following the enactment of the Wildlife Act in 2013, wildlife conservation is now a recognized form of land use. A conservancy is land set aside by an individual landowner, corporate body, group of owners or a community for purposes of wildlife conservation. According to the Water Resources Management Rules of 2007 a WRUA is an association of water users, riparian land owners, or other stakeholders who have formally and voluntarily associated for the purposes of cooperatively sharing, managing and conserving a common water resource. WRUAS develop sub-catchment management plans to, among other things, address the needs of users and resolve any conflicts between different uses and users, and development of user agreements. BMUs are the backbone of fisheries co-management in Kenya. Key objectives of

	BMU establishment are to strengthen the management of fish-landing stations, fisheries resources and the aquatic environment. Since the enactment of BMU regulations in 2007 some 73 BMUs have been formed along the Indian Ocean coast. These are under the Fisheries Department of the Ministry for Fisheries Development. Elders have traditionally been the custodians of the sacred Kaya forests and will continue playing an important role in preserving the cultural values that have kept the Kaya forests standing. In some Kayas, there are Committees of Elders and according to the Kaya forest strategy there are some Elder Committees formed at the County level. Self-help groups registered by the Ministry of Gender, Children and Social Development have been common vehicles for women's savings and credit in Kenya. Started by women to pull together resources for self-help, they are now also popular among the youth as a tool to gain access to government funding support and for investment. The above community-based organizations and others present in the geographic areas of SGP intervention will be invited to be part of land/seascape multi-stakeholder platforms and to submit project proposals for funding.
National NGOs	These will be identified on a competitive basis through specific calls for proposals for projects that contribute to land/seascape planning, management and monitoring. Select NGOs will also contribute their experience and expertise to strengthening the institutional, financial and marketing capacities of community-based organizations
Governments of Baringo, Kilifi and Kwale Counties	Devolution is enshrined in Chapter 11 of the Kenya Constitution of 2010. In 2013, a new national Senate representing the 47 counties was elected, and 47 new county governors and county assemblies were elected and began the work of setting up new institutions and implementing their devolved responsibilities. Functions and funds have been transferred to the new counties, and new county institutions are gradually taking shape. County Governments are, therefore, key stakeholders for the sustainable management of the land and the natural resources within their jurisdiction. County government representatives at the highest possible level will be central to all multi-stakeholder platforms. There are also expectations that priorities identified in the land/seascape strategies and management plans will be mainstreamed in the respective County Annual Development Plan, which is a precondition to include project funding in the County Budget Proposal to be considered by Parliament.
National Government Ministries and Departments, in particular: • Ministry of Environment and Natural Resources; • National Environmental Management Authority (NEMA) • Kenya Forest Service (KFS) • Kenya Wildlife Service (KWS) • State Department of Fisheries • Ministry of Water Resources and Irrigation • Water Resources Management Authority (WRMA) • Ministry of Agriculture	Communities and CBOs are key to achieving national environmental and natural resources policy objectives and, therefore, national government institutions will be invited to participate in the land/seascape multi-stakeholder platforms and to contribute to CBO initiatives supported by SGP as relevant to their mandates. SGP will ensure these institutions are informed of any policy-relevant findings and experiences resulting from the implementation of SGP grants and activities at the land/seascape level.
National Museums of Kenya (NMK)	NMK is a state corporation responsible for collecting, preserving, studying, and documenting Kenya's past and present cultural and natural heritage; therefore, they are responsible for UNESCO World Heritage Sites in the country. As such, NMK is a key stakeholder in the management of the Scared Mijikenda Kaya forests along with KFS and the County Governments of Kilifi and Kwale. NMK will be invited to join the multi-stakeholder platform for the Kayas and contribute to and support

CBO activities funded by SGP

iv. <u>Mainstreaming gender</u>:

The Constitution of Kenya 2010 recognizes women as a special group deserving protection. The Constitution espouses the rights of women as being equal in law to those of men and affirms that women are entitled to enjoy equal opportunities in the political, social and economic spheres. Article 81 (b), which refers to the general principles of Kenya's electoral system, states that "not more than two-thirds of the members of elective public bodies shall be of the same gender." Article 27 obligates the government to develop and pass policies and laws, including affirmative action programs to redress any disadvantages that women or other groups have faced because of past discrimination. An Act of Parliament established a National Gender Equality Commission in August 2011 to promote gender equality and freedom from discrimination. The Commission is responsible for monitoring, facilitating and advising on the integration of the above equality principles in all national and county policies, laws, and administrative regulations. Since the Constitution was adopted a number of policies, guidelines and other measures have been taken such as the adoption of gender-responsive budgeting (2014) and the Guide for County Government Leadership for the Integration of Gender Equality and Inclusion in County Development that, among other things, sets standards for the integration of gender issues in the County's Integrated Development Plan.

Despite the rights-based progressive Constitution that provides a framework for advancing the cause of equality, according to UN Women Africa women still face challenges including the ability to participate effectively in decision making and leadership. The majority of female members of the national parliament and the county assemblies are new to the legislature, and lack of experience puts them at a disadvantage. The situation is compounded by the absence of a credible and vibrant women's movement to advocate for constitutional gender equality. Another example is the situation of rural women: while over 80% of Kenyan women are engaged in small holder farming, only 1% own land in their own right, access less than 10% of available credit, and less than 1% of agriculture credit. Traditional practices governing inheritance, acquisition of land and benefits accruing to land produce continue to favor men. Female poverty in the country is exacerbated by gender-based violence and the fact that women are disproportionately affected by HIV/Aids. Women's empowerment is hindered by polygamy, early marriage and other harmful cultural practices and their ability to access the justice system is limited by legal costs, traditional justice systems, illiteracy and ignorance of rights.

Given the situation described above, SGP will take a series of measures to contribute to empowering women in the areas of intervention and help address social and economic inequality, as follows:

a) *Women's representation in decision-making bodies*: SGP will strive for maximum representation and participation of women in the multi-stakeholder platforms to be established for each land/seascape and in any governing structure related to project implementation (e.g., boards of wildlife conservation associations). While it is not possible or desirable to determine the proportion of male and female representatives at this early stage, SGP will ensure that a minimum of two female leaders are appointed to each body.

b) *Mainstreaming gender needs, roles, perspectives and benefits in the land/seascape adaptive strategy and management plan:* SGP will use/adapt the "Guide to Conducting a Participatory Gender Analysis for projects supported by UNDP with GEF financing" when conducting the participatory assessment (see Output 1.1.2 and related activities) and collection of baseline data for each area. This will be the basis for a more detailed "Gender Action Plan" as required by UNDP project standards that fully takes into account the context and realities on the ground including, ethnic, cultural and religious issues.

c) *Ensuring that NGOs providing coordination and support services for capacity development at each land/seascape are gender-responsive:* This will be made an explicit requirement when calling for strategic grant proposals for NGOs interested in providing these support services. The NGOs' ability to be gender-responsive will be assessed by the NSC when considering the proposals for grant approval. NGO performance monitoring will review the extent to which gender-related aspects are being tackled.

d) *Ensuring that private sector partners engaged in SGP-supported activities understand and are committed to helping address gender inequalities and meet the needs of women*: This is relevant to all types of activities but is particularly important to energy related activities given private sector involvement in most energy grants.

e) *Taking affirmative action when calling for grant proposals:* Achieving some of the project logframe targets require the Country Program Team to proactively reach out to women's groups and organizations in each of the geographic areas. The SGP Country Program Team should also help such groups develop their ideas into quality proposals that may be funded by SGP.

f) *Implement capacity development activities specifically designed to meet women's needs and adapted to overcome women's time and participation constraints.*

g) *Reflecting project experiences and results related to gender equality and women's empowerment in knowledge management activities and products.*

v. South-South and Triangular Cooperation (SSTrC):

SGP-Kenya will share its experiences with other SGP participating countries implementing a Country Program with a landscape approach, and expects to benefit from the other countries' experiences via peer-to-peer support, exchange workshops and by reviewing documents that summarize their approaches and results. Via SGP's Central Program Management Team, Kenya's experiences and lessons will be made available to the Parties to the Convention on Biological Diversity, the UN Convention to Combat Desertification and the UN Framework Convention on Climate Change as well as other programs and initiatives with similar objectives around the world. If financial resources can be mobilized, SGP will support select grantees to participate in relevant South-South and Triangular Cooperation events organized by UNDP or other development partners.

V. FEASIBILITY

i. Cost efficiency and effectiveness:

SGP strives to be cost effective both at the program and individual grant level.

Grants: Cost-effectiveness is an important criterion for the approval of SGP grants by the NSC. The budgets of project proposals are compared with those of prior similar interventions and assessed against expected environmental and social benefits. In all cases, communities are expected to contribute substantial in-kind co-financing (i.e., labor, infrastructure, equipment, tools, land) and help mobilize other in-kind or cash resources from development partners and local government. The NSC also assesses whether there may be more cost-effective alternatives to achieving the same global environmental benefits before approving SGP grants. This ensures that GEF funds are applied in the most cost-effective manner. Partnerships to implement renewable energy and energy efficiency initiatives with the private sector will enable SGP grantees to benefit from private sector infrastructure, technologies, know-how, and financial services.

Program: NSC members provide vital scientific and technical inputs to the SGP that would be expensive to obtain via consultant contracts. In addition, the Country Programme Management Unit will establish partnerships with local institutions that are carrying out development initiatives in the target areas, as well as with international, development agencies and GEF-funded projects. The landscape and portfolio approach will help build synergies and achieve economies of scale in certain community-based interventions and also for training and other capacity development initiatives. The Country Program Team will be supplemented by three United Nations Volunteers, two of which will be based in the field. This will enable SGP to be close to communities and local stakeholders and keep sensible monitoring costs.

ii. Risk Management:

As per standard UNDP requirements, the Project Manager will monitor risks quarterly and report on the status of risks to the UNDP Country Office. The UNDP Country Office will record progress in the UNDP ATLAS risk log. Risks will be reported as critical when the impact and probablity are high (i.e. when impact is rated as 5, and when impact is rated as 4 and probability is rated at 3 or higher). Management responses to critical risks will also be reported to the GEF in the annual PIR.

Project risks					
Description	Type	Impact & Probability	Mitigation Measures	Owner	Status
Communities and their GEF-financed activities may be affected by climate-related events. Prolonged drought may particularly affect the success of projects in arid and semi-arid areas	Environmental	I = 4 P = 4	SGP's overall objective is to increase socio-ecological resilience in the target land/seascapes, therefore, a number of activities are designed to improve the health of ecosystems and the adaptive capacity of communities. The risk of severe weather events, in particular long periods of drought, is ever present and SGP will ensure that community project initiatives take into consideration such risk and identify the means to mitigate them at the project design stage	SGP Steering Committee Country Program Manager Grant Recipients	Consistent
Low capacity and awareness of local NGOs and CBOs to address global environmental problems	Programmatic	I = 3 P = 5	SGP is working in very poor areas of the country where community capacities are very low. This risk is particularly high in the Kaya Forests landscape. The main risk mitigation strategy is to engage NGOs to provide on-going support and training to the communities	Country Program Manager NGOs providing support to communities	Consistent
Land use changes for conservation purposes or restriction in the use of natural resources may affect some members of the communities	Programmatic	I = 2 P = 3	Communities will make the decision concerning whether or not they want to allocate land under a community wildlife conservancy category and will take a participatory approach to determining the rules governing access to natural resources within those areas	Community representatives NGOs providing support to communities	Consistent

The 2017 presidential elections may force a delay in calls for proposals and project approval, therefore reducing the time available for grant implementation	Political	I = 3 P = 3	If violence erupts and project activities have to be suspended temporarily, revision to extend project duration may become necessary to enable a realistic period of time for grant implementation.	UNDP CO UCP Global Coordinator UNOPS	Consistent
Multi-stakeholder platforms require a significant investment of time and commitment of all its members to function effectively. There is a risk that one or more platforms may not meet as frequently as necessary or may not attain quorum to make important decisions	Strategic	I = 5 P = 2	The benefits of an effective multi-stakeholder platform should be clear to all participants from program inception to ensure they will be willing to invest time in its operation. A yearly work plan would help members of the platform know in advance the amount of time they would need to set aside for its activities	Country Program Manager	Consistent
CSO-private sector partnerships for RE/EE initiatives may not materialize due to mistrust or failure to demonstrate benefits to both parties	Strategic	I = 5 P = 2	SGP will create an enabling environment for continued dialogue between CSOs and the private sector and will share positive examples of successful partnerships where both parties benefit. SGP will also ensure that the principles and rules governing the partnership are specified in an attachment to the grant proposal signed by both parties.	Country Program Manager	Consistent

iii.   Social and environmental safeguards:

Environmental and social grievances will be reported to the GEF in the annual PIR. Please also see Annex I which contains the Social and Environmental Screening Template.

iv.   Sustainability and Scaling Up:

SGP's land/seascape approach seeks to foster long-term sustainability by raising awareness among stakeholders of the inter-dependence of the three development pillars i.e., social, economic and environmental, and by promoting a sustainable livelihoods approach that integrates all the above elements in the implementation of a portfolio of community-driven initiatives. The project recognizes that there will be little uptake of more environmentally friendly practices unless beneficiaries perceive social and economic benefits.

The Kenya portfolio also promotes democratic and equitable governance as a pre-condition for the sustainable management of landscapes, community lands and natural resources. The involvement of County Governments will receive special attention during project implementation. As mentioned elsewhere in this document Kenya is undergoing a process of devolution of power from the central government to the counties. Local Governments are now responsible for the identification and implementation of development initiatives within their territories. Local communities need support to ensure their ideas and needs are mainstreamed in County Government Development Plans, as these are a precondition to County budget development. If communities succeed in integrating their initiatives in such plans and budgets it is very likely that they will be able to continue doing so in the future.
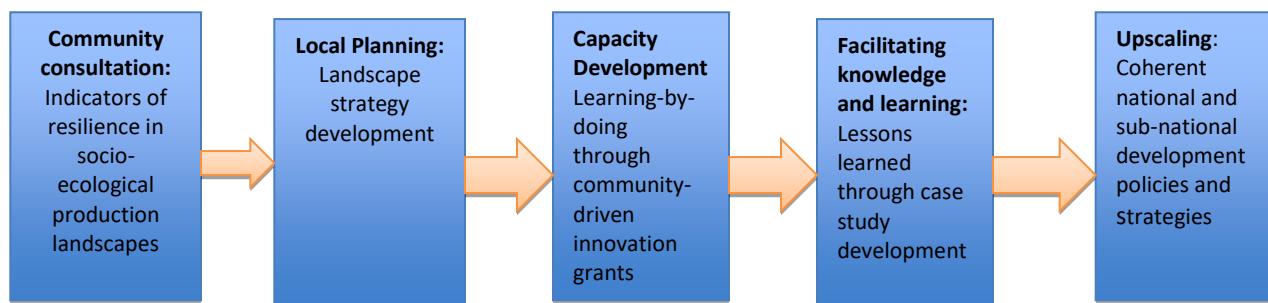
SGP also strives to create the conditions to bring to scale the adoption and implementation of sustainable practices, promoting a learning-by-doing approach with organizations receiving grants to test practices, achieve results and develop capacities in implementing their work. Through learning-by-doing they are able to build capacities that can be utilized in the long run, continuing to adapt and grow. Civil Society Organizations engaged in the implementation of strategic grants will contribute to identify, analyze and document such experiences as a foundation for their adaptation, replication and upscaling by the same or other communities. They will also help scale up and adapt prior SGP grantee best practices in the target and pave the way for upscaling best practice innovations from this phase in the future.

SGP will promote knowledge management with all its partners and grantees. It will maintain its online database, improving information on project experiences, and it will develop and disseminate select case studies, and promote peer-to-peer learning. The NSC, on behalf of SGP will share project results and lessons with policy makers and create a venue for discussion about their relevance to policies. SGP will also continue its engagement with national level networks such as the Kenya Wildlife Conservancies Association to help strengthen advocacy efforts for sustainable development in the country with and for local communities.

The NSC, line ministry representatives, and County Governments will be instrumental in making SGP experiences relevant to policy makers, which is another important element for sustainability.

The following diagram shows how the COMDEKS process addresses upscaling, which SGP has adopted for this operational phase.

Figure 5: Upscaling in the COMDEKS process

| Community consultation: Indicators of resilience in socio-ecological production landscapes | → | Local Planning: Landscape strategy development | → | Capacity Development Learning-by-doing through community-driven innovation grants | → | Facilitating knowledge and learning: Lessons learned through case study development | → | Upscaling: Coherent national and sub-national development policies and strategies |

VI. PROJECT RESULTS FRAMEWORK

This project will contribute to the following Sustainable Development Goal (s):				
SDG 7 "Ensure access to affordable, reliable, sustainable and modern energy for all"; SDG 14 "Conserve and sustainably use the oceans, seas and marine resources"; and SDG 15 Sustainably manage forests, combat desertification, halt and reverse land degradation, halt biodiversity loss.				
This project will contribute to the following country outcomes included in the UNDAF/Country Programme Document:				
NATIONAL PRIORITY OR GOAL: The Government will promote development of renewable energy as an alternative source of energy and also focus on the attainment of clean secure, and sustainable environment.				
RELATED STRATEGIC PLAN OUTCOME 1: Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded				
This project will be linked to the following output of the UNDP Strategic Plan:				
Output 1.3: Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste.				
Output 1.5: Inclusive and sustainable solutions adopted to achieve increased energy efficiency and universal modern energy access (especially off-grid sources of renewable energy)				
Applicable GEF Strategic Objective and Program: BD-4 program 9; LD-1 program 1; CCM-1 program 1				
Applicable GEF Expected Outcomes:				
BD Outcome 9.1 Increased area of production landscapes and seascapes that integrate conservation and sustainable use of biodiversity into management; LD Outcome 1.1 – Improved agricultural, rangeland and pastoral management; CCM Outcome A – Accelerated adoption of innovative technologies and management practices for GHG emission reduction and carbon sequestration				
Applicable GEF Outcome Indicators:				
BD Indicator 9.1 Production landscapes and seascapes that integrate biodiversity conservation and sustainable use into their management preferably demonstrated by meeting national or international third-party certification that incorporates biodiversity considerations (e.g. FSC, MSC) or supported by other objective data; LD Indicator 1.1 Land area under effective agricultural, rangeland and pastoral management practices and/or supporting climate-smart agriculture; CC Indicator 4 Deployment of low GHG technologies and practices				

	Objective and Outcome Indicators	Baseline	End of Project Target	Assumptions
Objective: Community-based initiatives enhance and maintain socio-ecological resilience in selected landscapes and seascapes in ecologically important and sensitive areas in Kenya	A. Increased area with improved community management	0 hectares. Communities' production practices in and around Lake Bogoria National Reserve are generally causing land degradation, decreased water quality and quantity, and biodiversity loss, as well as affecting carbon capture and storage, in spite of previous work by WWF to improve watershed governance with community participation in the area. However, communities are increasingly willing to address wildlife conservation if external support is made available to them. Kaya forest ecosystems are being	A total of 156,000 hectares with improved management in the following landscapes/seascapes: • Rift Valley Lakes: 40,000 hectares of Lake Bogoria's production landscape under improved community management. • Kaya Forests: 30,000 hectares, including the protected forests and surrounding production landscape under improved community management involving nine Sacred MijiKenda Sacred Kaya coastal forests in Kilifi and Kwale Counties.	National legal and policy frameworks enable the participation of communities in decision making for sustainable management and production practices in landscapes and seascapes Best practices are available and can be replicated and up-scaled in the targeted landscapes and seascapes

		degraded and community organization and traditional institutions are very weak. Ad hoc support provided by CSOs to communities has often been unsuccessful. Biodiversity loss and depletion of marine resources continue unabated, as available support to community-based organizations such as Beach Management Units is currently insufficient. However, awareness raising efforts and other initiatives in various parts of the coast have led to the establishment of Community Managed (marine) Areas (CMAs) and to the Joint Co-Management Area (JCMA) in the Shimoni-Vanga marine seascape.	• Southern Kenya marine ecosystem: 86,000 hectares of seascape under improved community management in the Shimoni-Vanga Fishery Area of Kwale County	National elections in 2017 will not disrupt extensively project and community activities County Governments will support community objectives and will provide co-financing and other support to help achieve sustainability
	B. Number of community groups practicing sustainable livelihood activities that meet national/international standards or in accordance with best practice	0 communities	At least 30 community groups in the target landscapes/seascape	
	C. Number of jobs created through sustainable management of land and natural resources, environmentally friendly economic activities that add value to resource extraction, and provision of or access to renewable energy services, disaggregated by sex, and rural and urban locations	Baseline not available for project areas	At least 30 part or full-time jobs, of which a minimum of 30% are for women and 90% are in rural areas, created.	
	D. Metric tons of CO_2e avoided as a result of increased community adoption of energy efficient and renewable energy systems	Baseline not available for project areas	81,682 metric tons of CO_2e avoided	

Component 1: Resilient rural land and seascapes for sustainable development and contribution to global environmental protection

Outcome 1.1 – Multi-stakeholder platforms established/strengthened to develop and execute participatory adaptive management	1.1.1 Number of multi-stakeholder platforms operating effectively with strong CSO participation and inputs in target landscapes	A multi-stakeholder platform for Lake Elementaita (Greater Lake Elementaita Conservation Area –GLECA) in the Rift Valley has been formed and registered but is not operating effectively.	Four multi-stakeholder platforms operating effectively with strong CSO participation as follows: • One platform each for Lake Elementaita and Lake Bogoria in the	Line ministries are willing to review existing strategies and plans to strengthen communities' input or to contribute to new bottom-up

landscape/seascape strategies and plans to enhance socio-ecological landscape resilience and global environmental benefits		No multi-stakeholder platform with community participation exists for the Kaya forests Shimoni-Vanga Joint Co-management Area (JCMA) Committee, a multi-stakeholder platform formed for the preparation and implementation of the seascape's management plan. The JCMA plan is yet to obtain final endorsement.	Rift Valley • A Kaya forest multi-stakeholder platform • A seascape multi-stakeholder platform for the Shimoni-Vanga Area working effectively with strong community input	participatory strategies and plans as required Stakeholders operating in the respective land and seascapes are willing to actively participate and engage in the multi-stakeholder platforms
	1.1.2 Number of participatory adaptive strategies and management plans developed	Strategic documents and management plans exist for all target landscapes/seascape, however, two require updating and all need further elaboration to incorporate CSO perspectives	An adaptive participatory strategy and plan with a socio-ecological baseline assessment and a typology of community interventions for each target landscape/seascape	
Outcome 1.2 – Ecosystem and biodiversity conservation enhanced through sustainable livelihoods and other community-based interventions in the target landscapes and seascapes.	1.2.1 Number of community conservancies established/strengthened in the Great Rift Valley Lakes Area	3 community conservancies registered in Lake Bogoria landscape but not aligned with the new Kenya Wildlife Act and the Community Land Act	3 community conservancies formalized, operational and with a respective management plan in Lake Bogoria: • Kiborgoch Community Wildlife and Wetland Conservancy • Irong Community Conservancy • Chuine Community Conservancy	Willingness of communities to allocate part of their collective land to wildlife conservancies and to work towards good governance and stewardship of the same. Willingness of the Baringo, Kwale and Kilifi County Governments to provide technical support to the communities in their conservation efforts and to strengthen conservancies associations
	1.2.2 Number of hectares under conservation agreements	0 hectares but communities have started the process of determining the area to be set aside for conservation within their communal lands	Conservancies in Lake Bogoria covering an area of at least 10,451 hectares and BMUs in Shimoni-Vanga managing 9,040 hectares as CMAs	
	1.2.3 Number of conservancy associations strengthened	A Rift Lakes Conservancies Association (RLCA) involving several ranches and conservancies from the Rift Valley lakes was registered in 2014 but membership is largely comprised of private rather than community conservancies. A Baringo County Community Conservancies Association (BCCCA) is in the process of being formed	Two conservancy associations strengthened: • Rift Lakes Conservancies Association • Baringo County Community Conservancies Association	

	1.2.4 Number of community interventions that specifically improve biodiversity conservation in the target landscapes/seascape and that are consistent with their respective management plans (see Outcome 1.1). Examples are: maintaining habitat connectivity between areas critical for the dispersal of the Greater Kudu around Lake Bogoria; poaching control; conservation and restoration of native forests through natural regeneration and sustainable use of non-timber forest products (e.g., honey, fibers, essential oils); ecotourism as a source of revenue to sustain community conservancies; documentation of traditional knowledge of Kaya vegetation; management of fish spawning areas including mangrove and coral reef protection; control of illegal fishing gear and respect of no-take zones.	0 community interventions addressing biodiversity conservation in the target areas	At least 8 community initiatives each in Lake Bogoria and the Kaya landscapes conserve biodiversity in accordance with priorities identified in the respective landscape strategies and management plans At least 15 community initiatives conserve coastal and marine biodiversity in the southern seascape of Kenya, consistent with priorities identified in the Shimoni-Vanga Joint Co-Management Area Plan and other conservation priorities identified by Beach Management Units (BMUs) for their Community Managed Areas (CMAs)	Willingness of the Kenya Wildlife Conservancies Association to provide support for community conservancy registration and establishment as well as technical assistance and capacity development support for all relevant conservancies and their associations
Outcome 1.3 – Flow of agro-ecosystem services to sustain food production and livelihoods in the target landscapes improved through community-based interventions.	1.3.1 Number of farmers adopting agroecological principles and practices and number of hectares of farmland under agroecological production systems	Baseline is 0 for Lake Bogoria and Kaya forest landscapes	40 farmers (at least 30% women) practicing agroecological production in the Lake Bogoria and Kaya forest landscapes with at least 50 hectares of farmland under agroecological production (e.g., practices such as intercropping, crop rotation, agro-forestry, organic fertilisation, reduced tillage)	Drought will not significantly affect project activities, specially in pastoral areas County government is supportive of strategies to change and improve farming and grazing practices
	1.3.2 Number of Lake Bogoria pastoral communities with improved grazing practices and number of hectares of land under improved, sustainable grazing	0 communities in the target production landscape	At least 4 community groups with improved grazing practices (e.g., holistic planned grazing) on at least 20,000 hectares	
	1.3.3 Number of communities with diversified food production systems improving resilience to drought and other causes of crop failure; and number of food crops and products introduced	Baseline not available for project areas. Baseline to be determined for individual community projects.	At least 3 community groups have each (re) introduced 2 to 3 indigenous or new food crops to their production systems	

	1.3.4 Number of community interventions in the Lake Bogoria basin contributing to improved water quantity and quality, including to reduce silt run-off, as well as to allow infiltration into aquifers to help maintain wetland biodiversity	Baseline for project areas not available	At least 4 community groups implementing actions such as restoration of river bank vegetation, relocation of cattle watering points, rainwater harvesting, reduced water abstraction for irrigation agriculture, as well as improved farming practices that reduce siltation	
Outcome 1.4 – Community-based eco-friendly enterprises formed/strengthened along the value chain with increased access to financial services and markets	1.4.1 Number of enterprises established/strengthened	Baseline for the project area not available but at lease 1 beekeeping enterprise and a few eco-camps for tourism in the Lake Bogoria area	At least 4 enterprises established/strengthened of which 30% of female entrepreneurs	Willingness of private sector entrepreneurs to partner with local communities to develop, produce and market eco-friendly products and services nationally and internationally
	1.4.2 Number of joint ventures with the private sector	0 joint ventures	At least 2 joint ventures formalized	
	1.4.3 Number of new products developed	0 products	2 to 4 new products developed and in production	NGOs with relevant skills willing and able to assist communities to form and manage their enterprises effectively
	1.4.4 Number of grant/micro-lending schemes established with credit-lending facilities and banks in support of above enterprises and number of pilot revolving funds/other lending schemes supporting replication, upscaling and sustainability of community-based production activities	0 schemes	At least 2 such schemes established/accessed and lending to community eco-businesses	
Outcome 1.5 – Multi-stakeholder partnerships develop and implement initiatives for community low-emission systems	1.5.1 Number of multi-stakeholder partnerships involving CSOs and the private sector promoting and facilitating the application of diverse RE and EE technologies that benefit households and institutions, including for commercial and production uses to ensure sustainability	No such partnership exists in the selected landscapes, however, both the private sector and CSOs have experience in developing and deploying a variety of RE & EE products in Kenya. This includes R&D, micro-finance including the use of mobile phone applications for micro lending, after sales maintenance, etc.	5 to 7 such partnerships established and functionally demonstrating how to deploy and scale-up RE and EE technologies	Trust between private sector companies and civil society organizations exists
	1.5.2 Number of renewable energy and fuel efficient systems for domestic, production and institutional uses disaggregated by energy source and type of beneficiary (sex, rural/urban and excluded groups). The aggregated CO_2 mitigation of such RE and EE systems should enable SGP to reach the CO_2e mitigation target for phase VI as per	Baseline not available for project areas but estimated to be very low in all landscapes/seascapes	Target to be determined at grant approval stage for each RE/EE technology to be deployed with SGP support, commensurate with the overall phase VI CO_2e emission mitigation target	The private sector recognizes the value of partnering with CSOs and is willing to take risks to make available their RE and EE technologies to un-served or underserved poor communities

	Objective Indicator D above.			

Component 2: Capacity building and knowledge management

Outcome 2.1 – Community and local civil society organizations increase their organizational and financial capacities and skills through on-going mentoring and training	2.1.1 Number of community institutions and community-based organizations such as the Kaya Council of Elders, the Lake Bogoria community conservancies and WRUAS, and the coast BMUs with improved governance and management, with women's participation and capacity to influence the community and external partners	Capacities of community institutions in the target landscapes are very weak	At least one community institution in each target landscape shows exemplary governance (e.g., registration, by-laws, inclusive democratic decisions, accountability, representation, equity, financial management, budget execution, administrative procedures)	NGOs will be willing to develop and implement eligible SGP strategic grants targeted at enhancing the capacities of community-based organizations in various organizational, financial and technical aspects as well as to help distil, document and disseminate knowledge and lessons
Outcome 2.2 – Knowledge enhanced among community groups and CSOs, and learning is documented, disseminated and made available to policy makers at county and national level	2.2.1 Number of case studies and analysis of best practices for adaptive landscape/seascape resilience, systematized and shared at watershed, county and/or national level	Concept of adaptive landscape/seascape resilience and management is new in all target areas. Currently there are no studies of participatory adaptive landscape management experiences in the region, however, WWF conducted an analysis of their experience in the Lake Bogoria Basin	Participatory case studies by SGP grantees reflecting on their project implementation experience One case study and publication directed at policy-makers and development partners produced and disseminated for each landscape summarizing knowledge gained from landscape planning and management	
	2.2.2 Number of meetings with relevant County Governments and government institutions providing feedback on policy effectiveness and SGP experience	No such meetings have taken place with respect to the target landscapes/seascape except for marine ecosystems where SGP has partner with CSOs to analyze current policies with respect to CMAs	Meetings at least twice a year with all County Governments involved and at least once during the lifetime of the project with line ministries with participation of SGP NSC members	

Outputs and Activities

Outputs	Activities
COMPONENT 1	
Outcome 1.1	
1.1.1: Formal multi-stakeholder platform established/strengthened for each land/seascape	Where a multi-stakeholder platform exists for a particular land/seascape, the following activities will take place: • Gap analysis of civil society representation in and contribution to the respective multi-stakeholder platform. This analysis will appraise aspects such as whether the community is adequately represented and is participating in platform activities, whether the platform members meet regularly and follow up on decisions taken, whether the platform is accountable to and inform the wider community about its activities. The analysis will identify areas that may require strengthening, for example, addition of representatives of community groups/sectors currently not represented (in particular women), improvement of by-laws, improvement of the manner in which the platform conducts its business, etc.; • Participatory development of concrete proposals that would lead to improved community and local CSO dialogue with government institutions and improved participation in multi-stakeholder platforms; Where a multi-stakeholder platform does not exist, all the necessary actions for the establishment and formalization of a platform will be implemented. This includes: • Identification of existing structures with the potential to evolve into a multi-stakeholder platform for land/seascape planning and management with community participation; • Identification of key stakeholders for each land/seascape, including county government officials, relevant line ministries, traditional authorities, community groups, and national non-governmental organizations present in each area. Women's representatives will be activity sought. • Rapid appraisal and mapping of CBOS (e.g., Self-help groups, cooperatives) and other civil society organizations present at each geographic area of intervention, among others, local environmental management bodies promoted by Kenya policies that enable community participation (e.g., Community Forest Associations, Water Resources Users Associations, wildlife conservancy associations, Beach Management Units, Locally Managed Marine Areas). • The above process will ensure that community members often not included in environmental and socio-economic planning such as women, youth and elders are brought on board. • Discussions with key individuals and groups to motivate their participation and to create ownership of the platform and a shared vision and purpose; • Development of by-laws, including rules of procedure; • Registration process according to Kenya regulations; For all multi-stakeholder platforms SGP will: • Identify critical capacity development needs and develop a capacity development plan for a two-year period; • Facilitate capacity building activities for platform members in various subjects (e.g., biodiversity conservation, land degradation, climate change, democratic and accountable governance) with support from academic organizations, NGOs and other appropriate institutions as required. Training on monitoring and evaluation tools and process will be an important part of the capacity development process to ensure the multi-stakeholder platform is equipped to monitor the implementation of the land/seascape strategy and plan (see Output 1.1.3)
1.1.2: Adaptive landscape and seascape strategy and management plan developed by multi-stakeholder platforms and local and	• Identification of NGOs, CBO networks and other institutions with the capacity to provide participatory planning and implementation support at each land/seascape • Allocation of one strategic grant per landscape to bring on board the most qualified CSO to support the baseline assessment process and later the development of the areas' respective strategy and management plan

Outputs	Activities
national CSOs	• Development of an outline of contents to conduct the socio-ecological baseline assessments to be adapted at each land/seascape as needed • Collection of data through interviews and focused-group discussions as well as by conducting a literature review • Workshops with multi-stakeholder platform members, other interested community members and qualified individuals to discuss existing and new information about the socio-ecological condition of the respective land/seascape (using the ecosystem status, pressure-response method or other suitable approach to be determined), as well as analyzing socio-economic data (e.g., economic activity, employment, access to financial services, access to energy and information technology, education, demographics) disaggregated by sex and age to determine the situation and expectations of various segments of the local population • Dissemination of the socio-ecological baseline assessment results within the respective land/seascape • Participatory workshops at each landscape to identify key goals and objectives at the land/seascape level and priorities for action by members of the multi-stakeholder platforms and communities that would lead to improved management of the land/seascape and their natural resources as well as more resilient and sustainable livelihoods; • Summary of conclusions of this participatory exercise in the form of an adaptive strategy and management plan focused on actions to be implemented by CSOs and co-funded by SGP in the land/seascape to be endorsed by the multi-stakeholder platform; this document will also include the means and indicators by which implementation progress will be measured. The contents of the strategy and plan will guide the NSC grant approval.
Outcome 1.2	
1.2.1: Community wildlife conservancies in Lake Bogoria formalized, operational and with an agreed management plan	• With support from the Kenya Wildlife Conservancies Association review of existing documentation for the establishment of the three wildlife conservancies (i.e, Kiborgoch Community Wildlife and Wetland Conservancy; Irong Community Conservancy; and Chuine Community Conservancy) and their registration consistent with Kenya's Wildlife Act and the Community Land Act; • Development of by-laws for each conservancy; • Establishment of the respective conservancy governing body • Facilitation of a process by which each conservancy will be able to determine the area to be set aside as a wildlife conservation area. Given land issues in Kenya, this is a sensitive process that may take time if community members are to achieve consensus; • Once there is agreement on the conservancy area, production of basic maps and demarcation of each area on the ground • Calculation of the final number of hectares under conservation agreements • Registration of individual wildlife conservancies with the Kenya Wildlife Conservancies Association. • Support to individual conservancies to develop their respective participatory management plan, prioritize activities, and formulate project proposals; • Enable development and use of participatory monitoring tools to assess conservation efforts.
1.2.2: Beach Management Units in Kwale County strengthened to facilitate the implementation of the management plans of marine Community Managed Areas, adhere to by-laws and monitor results of conservation efforts.	• In collaboration with the State Department of Fisheries, facilitate the prioritization of activities in support of CMA management plan implementation to be developed into project proposals for consideration by SGP and other donor support; • Strengthen governance capacity of Beach Management Units to improve adherence to by-laws; • Support BMUs to establish/strengthen community control of CMA areas (patrol/policing); • Enable development and use of participatory monitoring tools to assess conservation efforts
Output 1.2.3: Capacities of ICCA associations, including the Rift Lakes Conservancies Association and the Baringo County Community Conservancies Association	In cooperation with the Kenya Wildlife Conservancies Association and the NGO providing support to the landscape planning process, undertake the following activities to strengthen the Rift Lakes Conservancies Association and the Baringo County Community Conservancies Association, as follows: • Convening an initial meeting with the respective county governments and the emerging multi-stakeholder platform of the Lake Bogoria landscape to determine a joint agenda and work plan for the conservancies associations and their member organizations; • Undertaking a SWOT analysis and identifying critical capacity development needs of all ICCA associations in the target landscapes and formulate a plan to address these capacity weaknesses via training, exchanges, mentoring or other means (also see Output 2.1.1)

Outputs	Activities
enhanced to engage with county governments, secure wildlife corridors, and protect lake, forests and marine habitats.	• Implementing the capacity development plan (also see Output 2.1.1) • Convening at least 2 additional meetings during the lifetime of SGP VI to assess progress and maintain the momentum with the county governments
1.2.4: Sustainable livelihood interventions that address biodiversity conservation in the target lands/seascapes identified, approved by the National Steering Committee and implemented	• Call for proposals for the individual land/seascapes using as a basis the adaptive community strategies and management plans developed by the multi-stakeholder platforms for the Lake Bogoria production landscape, the Sacred Mijikenda Kaya Forests production landscape, and the Shimoni-Vanga seascape • NSC review and approval of the proposals as a portfolio, looking for synergies and facilitating coordination and complementarity among grantees and other land/seascape stakeholders working in each area; • Implementation and monitoring of grants
Outcome 1.3	
1.3.1: Agroecological principles and practices applied in agricultural production in the middle and lower Lake Bogoria basin, and in the Kaya forests production landscape	• Invitation to farmers from the two landscapes (men and women) to visit relevant good practices elsewhere in Kenya • Conduct needs assessment of farmers, identify barriers to adoption of agro-ecological practices and select actions of intervention by farmers • Call for proposals for the Lake Bogoria and Kaya Forests production landscapes to identify projects that meet agro-ecological production principles and practices • NSC review and approval of the proposals, looking for innovative and replicable sustainable farming practices that reduce land degradation and improve community resilience • Implementation and monitoring of grants
1.3.2: Sustainable grazing practices in community pastoral lands	• Invitation to pastoral communities, in particular those from the lower Lake Bogoria basin to visit relevant good practices such as holistic grazing elsewhere in Kenya (e.g., Laikipia) • Conduct a needs assessment of pastoralists, identify barriers to adoption of improved grazing practices and select actions of intervention by pastoralists • Call for proposals to identify projects that meet sustainable grazing practices • NSC review and approval of proposals, looking for innovative and replicable sustainable grazing practices that reduce land degradation and improve community resilience • Implementation and monitoring of grants
1.3.3: Food products introduced or reintroduced in community production systems reducing community vulnerability to climate change and improving resilience	• Identification of indigenous food crops no longer cultivated/produced in project areas that could be reintroduced or of non-indigenous food products that may help diversify production systems improving food security and nutrition and increasing community resilience • Call for proposals to identify projects that would increase food diversity in community production systems • NSC review and approval of proposals • Implementation and monitoring of grants
1.3.4: Actions to maintain water quantity and quality implemented in the Lake Bogoria basin	• Meeting with Water Resources Users Associations (WRUAS) and Community Forest Associations (CFAs) in the Lake Bogoria basin to assess the status of the watershed and identify priorities for action, building on prior work done by WWF • Call for proposals to identify sustainable water resource management projects • NSC review and approval of proposals • Implementation and monitoring of grants
Outcome 1.4	
1.4.1: Community eco-enterprises of which at least	• Identification of businesses interested in forming partnerships with community entrepreneurs for the production and marketing of sustainably produced goods and services

Outputs	Activities
2 in partnership with the private sector	• Identification of and support to community-driven enterprises that have potential to improve and upscale. Identify weaknesses along the value chain and the means to address such weak points • Identification of products already available to which value can be added and for which markets exist locally, nationally or internationally • Development of business plans • Training and capacity development in business administration • Registering new business
1.4.2: Community businesses marketing 2 to 4 sustainably produced goods and services of which two in partnership with the private sector	• Call for proposals in all three land/seascapes to identify the most promising products and groups (in particular women entrepreneurs) • NSC review and approval of proposals • Implementation and monitoring of grants • Support entrepreneurs meet social and environmental standards (national or international) for their products • Support entrepreneurs marketing their products
1.4.3: Financial resources from banks and other financial service providers available to above enterprises to support replication, upscaling and sustainability	• Assessment of existing financial services that may be accessed by community entrepreneurs and businesses • Feasibility study about the viability of helping establish pilot revolving funds/other lending schemes for community groups • Support entrepreneurs accessing financial services for their business, as needed
Outcome 1.5	
1.5.1: CSO-private sector partnerships promoting and implement low GHG emissions activities	• Continuation of dialogue started at project preparation phase between SGP & CSOs and the private sector for the promotion and application of diverse RE and EE technologies that benefit households and institutions • Finalization of terms of reference, criteria and template for a competitive process to identify the most innovative and scalable joint initiatives (challenge grants) that would help achieve the largest emission reduction benefits • NSC review and approval of strategic grants (up to USD 150,000) to CSO-private sector partnerships that meet criteria
1.5.2: GHG mitigation initiatives providing energy services to un-served communities	• Implementation of strategic and small grants • Monitoring of GHG mitigation and success of CSO-private sector partnerships • Promotion of results to help replicate and scale-up initiatives
COMPONENT 2	
Outcome 2.1	
2.1.1: Training and mentoring system in place for enhanced capacities of community based organizations in target land/seascapes	• Compilation and prioritization of capacity development needs arising from other project activities and from consultations with community groups • Identification of the best means to meet the capacity development needs, taking into account differences in educational levels, location, time availability for training activities (in particular for women), language, and type of skills/knowledge to be acquired. This and above item will be summarized in a capacity needs assessment document • Development of a training package designed to ensure transparent, democratic and accountable governance/management of multi-stakeholder platforms and key community organizations linked to this project implementation (e.g., Council of Elders, WRUAS, BMUs, CMAs, CFAs, Community Wildlife Conservancies and their associations) • Implementation of training
Outcome 2.2	
2.2.1: Case studies and analysis of best practices for	• Preparation of participatory case studies documenting the reflection by SGP grantees regarding their project implementation experiences facilitated by a consultant or UNV

Outputs	Activities
adaptive landscape/seascape resilience	• Preparation of landscape planning case studies, at lease one per land/seascape with support from consultant and CSOs supporting land/seascape level coordination and capacity building summarizing knowledge gained from landscape planning and management • Identification of policy relevant findings and preparation of a summary for policy makers • Dissemination of results through various means (e.g., radio, video clips, news articles, brochures) at the watershed, seascape, county and national levels, as relevant
2.2.2: Feedback to county governments and line ministries about results, best practices, lessons and challenges	• Periodic meetings between SGP, CSOs and county governments to address emerging issues, coordinate with other relevant county government activities and investments, and to secure community priorities are integrated into county government planning and budget, as relevant • Development of a policy-brief for each land/seascape for dissemination and discussion with relevant policy-making authorities at county and national level. • Two meetings with line ministries involving NSC members to discuss policy-relevant issues and findings and obtain support for community based initiatives and organizations

VII.   MONITORING AND EVALUATION (M&E) PLAN

The project results as outlined in the project results framework will be monitored annually and evaluated periodically during project implementation to ensure the project effectively achieves these results.

Project monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the UNDP POPP and UNDP Evaluation Policy. While these UNDP requirements are not outlined in this project document, the UNDP Country Office will work with the relevant project stakeholders to ensure UNDP M&E requirements are met in a timely fashion and to high quality standards. Additional mandatory GEF-specific M&E requirements (as outlined below) will be undertaken in accordance with the GEF M&E policy and other relevant GEF SGP policies.

In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Report. This will include the exact role of project target groups and other stakeholders in project M&E activities including the GEF Operational Focal Point and national institutes assigned to undertake project monitoring. The GEF Operational Focal Point will strive to ensure consistency in the approach taken to the GEF-specific M&E requirements (notably the GEF Tracking Tools) across all GEF-financed projects in the country. This could be achieved for example by using one national institute to complete the GEF Tracking Tools for all GEF-financed projects in the country, including projects supported by other GEF Agencies.

M&E Oversight and monitoring responsibilities:

Country Program Manager: The Country Program Manager is responsible for day-to-day project management and regular monitoring of project results and risks, including social and environmental risks. The Country Program Manager will ensure that all project staff maintain a high level of transparency, responsibility and accountability in M&E and reporting of project results. The Country Program Manager will inform the National Steering Committee, the UNDP Country Office and the UNDP-GEF Global Coordinator for the SGP Upgrading Country Programs of any delays or difficulties as they arise during implementation so that appropriate support and corrective measures can be adopted.

The Country Program Manager will develop annual work plans based on the multi-year work plan included in Annex A, including annual output targets to support the efficient implementation of the project. The Country Program Manager will ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality. This includes, but is not limited to, ensuring the results framework indicators are monitored annually in time for evidence-based reporting in the GEF PIR, and that the monitoring of risks and the various plans/strategies developed to support project implementation (e.g. gender strategy, KM strategy etc.) occur on a regular basis.

Project Board (SGP National Steering Committee): The National Steering Committee will take corrective action as needed to ensure the project achieves the desired results. The National Steering Committee will hold project reviews to assess the performance of the project and appraise the Annual Work Plan for the following year. In the project's final year, the NSC will hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. This final review meeting will also discuss the findings outlined in the project terminal evaluation report and the management response.

UNDP Country Office: The UNDP Country Office will support the Country Program Manager as needed, including through annual supervision missions. The annual supervision missions will take place according to the schedule outlined in the annual work plan. Supervision mission reports will be circulated to the project team and National Steering Committee within one month of the mission. The UNDP Country Office will initiate and organize key GEF M&E activities including the annual GEF PIR, the independent mid-term review and the independent terminal evaluation. The UNDP Country Office will also ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality.

The UNDP Country Office is responsible for complying with all UNDP project-level M&E requirements as outlined in the UNDP POPP. This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken annually; that annual targets at the output level are developed, and monitored and reported using UNDP corporate systems; the regular updating of the ATLAS risk log; and, the updating of the UNDP gender marker on an annual basis based on gender mainstreaming progress reported in the GEF PIR and the UNDP ROAR. Any quality concerns flagged during these M&E activities (e.g. annual GEF PIR quality assessment ratings) must be addressed by the UNDP Country Office and the Country Program Manager.

The UNDP Country Office will retain all M&E records for this project for up to seven years after project financial closure in order to support ex-post evaluations undertaken by the UNDP Independent Evaluation Office (IEO) and/or the GEF Independent Evaluation Office (IEO).

UNDP-GEF Unit: Additional M&E and implementation quality assurance and troubleshooting support will be provided by the UNDP-GEF Global Coordinator for the SGP Upgrading Country Programs and the UNDP-GEF Directorate as needed.

Audit: The project will be audited according to UNOPS Financial Regulations and Rules and applicable audit policies on UNOPS-implemented projects.

Additional GEF monitoring and reporting requirements:

The project will be monitored through the following M&E activities. The M&E budget is provided in the tables below.

Portfolio of Upgraded Country Programmes

The UNDP Global Coordinator for the SGP Upgrading Country Programs will monitor the implementation of the portfolio of upgraded the SGP Country Programs and will promote and support cross-fertilization and learning among Country Programs and with the SGP Global Program. The SGP Central Program Management Team (CPMT) will monitor the SGP Country Programs for compliance with the Operational Guidelines of the SGP as a GEF Corporate Programme. The SGP Global UCP Coordinator will bring together the Upgraded Country Programs at their inception stages to review existing monitoring and evaluation strategies and systems and propose relevant revisions to adapt them to the requirements of the upgrading country programmes and their approach to landscape planning and management for social and ecological resilience.

Project start:

Inception Workshop and Report: A project inception workshop will be held within two months after all relevant parties have signed the project document to, amongst others:

> a) Re-orient project stakeholders to the project strategy and discuss any changes in the overall context that influence project implementation;
> b) Discuss the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms;
> c) Review the results framework and finalize the indicators, means of verification and monitoring plan;
> d) Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national institutions to be involved in project-level M&E; discuss the role of the GEF OFP in M&E;
> e) Update and review responsibilities for monitoring the various project plans and strategies, including the risk log; Environmental and Social Management Plan and other safeguard requirements; the gender strategy; the knowledge management strategy, and other relevant strategies;
> f) Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the program audit; and

g) Plan and schedule National Steering Committee meetings and finalize the first year annual work plan.

The Country Program Manager will prepare the inception report no later than two months after the inception workshop. The inception report will be cleared by the UNDP Country Office and the UNDP Global Coordinator for the SGP Upgrading Country Programs, and will be approved by the NSC.

GEF Project Implementation Report (PIR): The Country Program Manager, the UNDP Country Office, and the UNDP Global Coordinator for the SGP Upgrading Country Programs will provide objective input to the annual GEF PIR covering the reporting period July (previous year) to June (current year) for each year of project implementation. The Country Program Manager will ensure that the indicators included in the project results framework are monitored annually in advance of the PIR submission deadline so that progress can be reported in the PIR. Any environmental and social risks and related management plans will be monitored regularly, and progress will be reported in the PIR.

The PIR submitted to the GEF will be shared with the NSC. The UNDP Country Office will coordinate the input of the GEF Operational Focal Point and other stakeholders to the PIR as appropriate. The quality rating of the previous year's PIR will be used to inform the preparation of the subsequent PIR.

Periodic monitoring through site visits:

UNDP CO and the SGP UCP Global Coordinator may conduct visits to project sites based on the agreed schedule in the project's Inception Report/Annual Work Plan to assess first hand project progress. The SGP UCP Global Coordinator may conduct joint visits with the Country Programme Manager to select project sites as an input to PIR preparation. Other members of the NSC may also join these visits. A Field Visit Report/BTOR will be prepared by the CO and UNDP UCP Global Coordinator and will be circulated no less than one month after the visit to the project team.

The Country Program Manager and the national SGP team will visit all individual grant projects twice in their lifetime to ascertain progress and provide technical assistance support as required. One or two NSC members may join the monitoring field trips. The Country Program Manager should make decisions on follow up actions resulting from the field visit available to the grantees within 15 days.

Learning and knowledge sharing:

Lessons learned and knowledge generation: Results from the project will be disseminated within and beyond the project intervention areas through existing information sharing networks and forums. The project will participate, as relevant and appropriate, in scientific, policy and/or any other networks, which may be of benefit to the project. The project will identify, analyse and share lessons that might be beneficial to the design and implementations of similar projects, and disseminate these lessons widely. There will be continuous information exchange between this project and other projects of similar focus in the same landscapes/seascapes, country and globally.

GEF Focal Area Tracking Tools: The following GEF Tracking Tools will be used to monitor global environmental benefit results:

The baseline/CEO Endorsement GEF Focal Area Tracking Tools – submitted in Annex D to this project document – will be updated by the Country Program Manager and Team and shared with the mid-term review and terminal evaluation consultants before the required review/evaluation missions take place. The updated GEF Tracking Tools will be submitted to the GEF along with the completed Mid-term Review report and Terminal Evaluation report.

Independent Mid-term Review (MTR): An independent mid-term review will begin after the second PIR has been submitted to the GEF, and the MTR report will be submitted to the GEF in the same year as the 3rd PIR. The MTR findings and responses outlined in the management response will be incorporated as recommendations for enhanced implementation during the final half of the project's duration. The terms of reference, the review

process and the MTR report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the UNDP Evaluation Resource Center (ERC). As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. The GEF Operational Focal Point and other stakeholders will be involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the UNDP-GEF Directorate. The final MTR report will be available in English and will be cleared by the UNDP Country Office and the SGP UCP Global Coordinator, and approved by the NSC.

Terminal Evaluation (TE): An independent terminal evaluation (TE) will take place upon completion of all major project outputs and activities. The terminal evaluation process will begin three months before operational closure of the project allowing the evaluation mission to proceed while the project team is still in place, yet ensuring the project is close enough to completion for the evaluation team to reach conclusions on key aspects such as project sustainability. The Country Program Manager will remain on contract until the TE report and management response have been finalized. The terms of reference, the evaluation process and the final TE report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the UNDP Evaluation Resource Center. As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. The GEF Operational Focal Point and other stakeholders will be involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the UNDP-GEF Directorate. The final TE report will be cleared by the UNDP Country Office and the SGP UCP Global Coordinator, and will be approved by the NSC. The TE report will be publically available in English on the UNDP ERC.

The UNDP Country Office will include the planned project terminal evaluation in the UNDP Country Office evaluation plan, and will upload the final terminal evaluation report in English and the corresponding management response to the UNDP Evaluation Resource Centre (ERC). Once uploaded to the ERC, the UNDP IEO will undertake a quality assessment and validate the findings and ratings in the TE report, and rate the quality of the TE report. The UNDP IEO assessment report will be sent to the GEF IEO along with the project terminal evaluation report.

Final Report: The project's terminal PIR along with the terminal evaluation (TE) report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the NSC during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

Communications and visibility requirements:

Full compliance is required with UNDP's Branding Guidelines. These can be accessed at http://intra.undp.org/coa/branding.shtml, and specific guidelines on UNDP logo use can be accessed at: http://intra.undp.org/branding/useOfLogo.html. Amongst other things, these guidelines describe when and how the UNDP logo needs to be used, as well as how the logos of donors to UNDP projects need to be used. For the avoidance of any doubt, when logo use is required, the UNDP logo needs to be used alongside the GEF logo. The GEF logo can be accessed at: http://www.thegef.org/gef/GEF_logo.   The UNDP logo can be accessed at http://intra.undp.org/coa/branding.shtml.

Full compliance is also required with the GEF's Communication and Visibility Guidelines (the "GEF Guidelines"). The GEF Guidelines can be accessed at:
http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08_Branding_the_GEF%20final_0.pdf.
Amongst other things, the GEF Guidelines describe when and how the GEF logo needs to be used in project publications, vehicles, supplies and other project equipment. The GEF Guidelines also describe other GEF promotional requirements regarding press releases, press conferences, press visits, visits by Government officials, productions and other promotional items.

Where project partners have provided support through co-financing, their branding policies and requirements should be similarly applied.

Mandatory GEF M&E Requirements and M&E Budget:

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget[28] (US$)		Time frame
		GEF grant	**Co-financing**	
Inception Workshop	UNDP Country Office (CO) & Country Program Manager	USD 5,500	USD 100	Within two months of project document signature
Inception Report	Country Program Manager	None	None	Within two weeks of inception workshop
Standard UNDP monitoring and reporting requirements as outlined in the UNDP POPP	UNDP Country Office	None	None	Quarterly, annually
Monitoring of indicators in project results framework	Country Program Manager	None	None	Annually
GEF Project Implementation Report (PIR)	Country Program Manager, UNDP CO, & SGP Upgraded Country Programs (UCP) Global Coordinator	None	None	Annually
Audit	UNOPS	USD 18,700	None	Once in the lifetime of project
Lessons learned and knowledge generation	Country Program Manager	None	None	Annually
Monitoring of environmental and social risks, and corresponding management plans as relevant	Country Program Manager & UNDP CO	None	None	On-going
Addressing environmental and social grievances	Country Program Manager, UNDP CO & BPPS as needed	None for time of Country Program Manager & UNDP CO	None	As required
Project Board meetings	National Steering Committee (NSC), UNDP Country Office & Country Program Manager	USD 19,800 (12 approx. @$1,650 per meeting)	USD 1,200 (12 approx. @ $100 per meeting)	Quarterly
Supervision missions	UNDP Country Office	None[29]	USD 1,500 ($500 per mission)	Annually
Oversight missions	UCP Global Coordinator	None[29]		Troubleshooting as needed
Knowledge management as outlined in	Country Program	USD 15,000	USD 15,000	On-going

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[28] Excluding project team staff time and UNDP staff time and travel expenses.
[29] The costs of UNDP Country Office and UNDP-SGP UCP Global Coordinator's participation and time are charged to the GEF Agency Fee.

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget[28] (US$)		Time frame
		GEF grant	**Co-financing**	
Outcome 2	Manager			
GEF Secretariat learning missions/site visits	UNDP Country Office and Country Program Manager & UCP Global Coordinator	None	None	To be determined
Mid-term GEF Tracking Tool to be updated	Country Program Manager	USD 6,000	USD 1,000	Before mid-term review mission takes place
Independent Mid-term Review (MTR) and management response	UNDP Country Office, Project team & UCP Global Coordinator	USD 22,000	USD 0.00	Between 2nd and 3rd PIR.
Terminal GEF Tracking Tool to be updated	Country Program Manager	USD 10,000	USD 2,000	Before terminal evaluation mission takes place
Independent Terminal Evaluation (TE) included in UNDP evaluation plan, and management response	UNDP Country Office and Project team, and UCP Global Coordinator	USD 27,500	USD 0.00	At least three months before operational closure
SUB-TOTAL indicative COST Excluding project team staff time, and UNDP staff and travel expenses		**USD 124,500**	**USD 20,800**	

SGP M&E requirements for individual grants (*Approximately 59 projects of which 49 small grants and 10 strategic grants*)	Primary responsibility	Indicative costs to be charged to the Project Budget[30] (US$)		Time frame
		GEF grant	**Co-financing**	
Ex-ante visit	Country Program Manager & NSC member as relevant	USD 3,300 (Average of $550 per project)	USD 100	Risk based (10% of total number of grants, Approx. 6 projects)
Field monitoring visit	Country Program Manager & NSC member as relevant	USD 44,000 (Average of $440 per project if accompanied by 1 NSC member)	USD 10,000	Twice in the lifetime of each project (Approx. 50 projects)
Monitoring of and technical support to community application of M&E methods and tools	Country Program Manager, National consultant (preparation of training materials and training delivery) & NSC members as required	USD 6,000 to hired local consultant for training & support communities	USD 4,000	As required, but most grantees should benefit from training

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[30] Excluding project team staff time and UNDP staff time and travel expenses.

SGP M&E requirements for individual grants (*Approximately 59 projects of which 49 small grants and 10 strategic grants*)	Primary responsibility	Indicative costs to be charged to the Project Budget[30] (US$)		Time frame
		GEF grant	**Co-financing**	
Progress Reports	Beneficiary Organization & Country Program Manager	None	None	Half-Yearly
Final Report	Beneficiary Organization & Country Program Manager	None	None	End of project
Final Evaluation	National Consultant, Country Program Manager & Beneficiary Organization	Included in project grant budget	None	End of project
Audit	Local consultant & Country Program Manager	Included in project grant budget	None	Risk Based
SUB-TOTAL indicative costs of grants M&E M&E of grants. Excluding project team staff time and costs included in project grant budget		**USD 53,300**	**USD 14,100**	

TOTAL Indicative Cost of M&E		**USD 177,800**	**USD 34,900**	

VIII.   GOVERNANCE AND MANAGEMENT ARRANGEMENTS

<u>Roles and responsibilities of the project's governance mechanism</u>: The project will be implemented following UNDP's agency implementation modality.

The **Implementing Partner** for this project is the United Nations Office for Project Services (UNOPS).   The Implementing Partner is responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources. The project organisation structure is as follows:

Figure 6: Project organizational structure
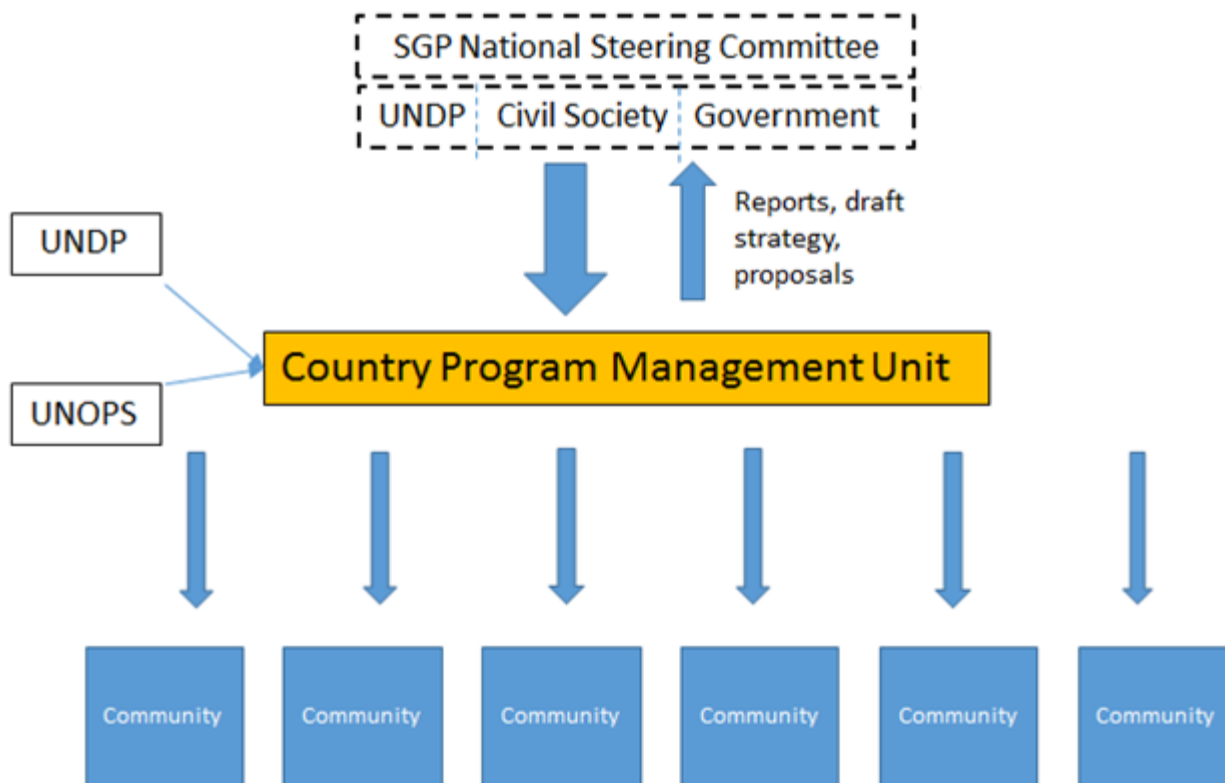
The diagram above shows the project organizational structure (Fig.6). The roles and responsibilities of the various parties to the project are described in the SGP Operational Guidelines. UNDP will provide overall program oversight and take responsibility for standard GEF project cycle management services beyond assistance and oversight of project design and negotiation, including project monitoring, periodic evaluations, troubleshooting, and reporting to the GEF. UNDP will also provide high-level technical and managerial support from the UNDP GEF Global Coordinator for the SGP Upgrading Country Programs, who is responsible for project oversight for all Upgraded Country Program projects. The SGP Central Program Management Team (CPMT) will monitor upgraded country programs for compliance with GEF SGP core policies and procedures.

In accordance with the global **SGP Operational Guidelines** (**Annex G**) that will guide overall project implementation in Kenya, and in keeping with past best practice, the UNDP Resident Representative will appoint the **National Steering Committee** (NSC) members. The NSC, composed of government and non-government organizations with a non-government majority, a UNDP representative, and individuals with expertise in the GEF Focal Areas, is responsible for grant selection and approval and for determining the overall strategy of the SGP in the country. NSC members serve without remuneration and rotate periodically in accordance with its rules of procedure. The Government is usually represented by the GEF Operational Focal Point or by another high-level representative of relevant ministries or institutions. The NSC assesses the performance of the Country Program Manager (formerly National Coordinator) with input from the UNDP RR, the SGP UCP Global Coordinator, and UNOPS. The NSC also contributes to bridging community-level experiences with national policy-making.

The **Country Office** is the business unit in UNDP for the SGP project and is responsible for ensuring the project meets its objective and delivers on its targets. The Resident Representative signs the grant agreements with

beneficiary organizations on behalf of UNOPS. Grants will follow the UNDP Micro-capital grants policy. The Country Office will make available its expertise in various environment and development fields as shown below. It will also provide other types of support at the local level such as infrastructure and financial management services, as required. UNDP will be represented in the NSC, and will actively participate in grant monitoring activities.

The **Country team** composed of a Country Program Manager, a Technical Assistant, and a Program Associate recruited through competitive processes, is responsible for the day-to-day operations of the program. This includes supporting NSC strategic work and grant selection by developing technical papers, undertaking ex-ante technical reviews of project proposals; taking responsibility for monitoring the grant portfolio and for providing technical assistance to grantees during project design and implementation; mobilizing cash and in-kind resources; preparing reports for UNDP, GEF and other donors; implementing a capacity development program for communities, CBOs and NGOs, as well as a communications and knowledge management strategy to ensure adequate visibility of GEF investments, and disseminating good practices and lessons learnt.

Grants will be selected by the NSC from proposals submitted by CBOs and NGOs through calls for proposals in specific thematic and geographic areas relevant to the SGP VI project, as embodied in this document. Civil society organization networks will also benefit from SGP grants. Although government organizations cannot receive SGP grants, every effort will be made to coordinate grant implementation with relevant line ministries, decentralized institutions, universities and county government authorities to ensure their support, create opportunities for co-financing, and provide feedback on policy implementation on the ground. Contributions from and cooperation with the private sector will also be sought, particularly but not exclusively, for the Climate Change component, which will be implemented through CSO-private sector partnerships through strategic grants to be allocated on a competitive basis.

SGP utilizes **consultants** for specialized services, mostly for baseline data collection, tracking tool monitoring and update, capacity development activities, business development support, and to assist grantees when specialized expertise is required, or for tasks that require an external independent view such as the mid-term and terminal evaluations.

UNOPS will provide Country Programme implementation services, including human resources management, budgeting, accounting, grant disbursement, auditing, and procurement. UNOPS is responsible for SGP's financial management and provides periodic financial reports to UNDP. The UNOPS SGP Standard Operating Procedures guide the financial and administrative management of the project.

A key service of UNOPS is the contracting of SGP staff as needed and required by the programme, and once contracted, UNOPS provides guidance and supervision, together with the UNDP CO acting on behalf of UNOPS, to the SGP country staff in their administrative and finance related work. UNOPS also provides other important services (as specified in the GEF Council document C.36/4) that include:

- A. Oversight and quality assurance: (i) coordinate with the Upgrading Country Programme (UCP) Global Coordinator on annual work plan activities and (ii) undertake trouble-shooting and problem-solving missions;
- B. Project financial management: (i) review and authorize operating budgets; (ii) review and authorize disbursements, (iii) monitor and oversee all financial transactions, (iv) prepare semi-annual and annual financial progress reports and (v) prepare periodic status reports on grant allocations and expenditures;
- C. Project procurement management: (i) undertake procurement activities, and (ii) management of contracts;
- D. Project assets management: (i) maintain an inventory of all capitalized assets;
- E. Project risks management: (i) prepare and implement the audit plan and (ii) follow up on all audit recommendations; and
- F. Grants management: (i) administer all grants, (ii) financial grant monitoring and (iii) legal advice.

Under its legal advice role, UNOPS takes the lead in investigations of UNOPS-contracted SGP staff. UNOPS services also include transactional services: (1) personnel administration, benefits and entitlements of project personnel contracted by UNOPS; (2) processing payroll of project personnel contracted by UNOPS, (3) input transaction instruction and automated processing of project personnel official mission travel and DSA; (4) input transaction instruction and automated processing of financial transactions such as Purchase Order, Receipts, Payment Vouchers and Vendor Approval and (5) procurement in UN Web Buy.

UNOPS will continue with a number of areas for enhancing execution services started in the previous the SGP OP5, including: inclusion of co-financing below $500,000; technical assistance to high risk/low performing countries; developing a risk-based management approach; strengthening the central structure to make it more suitable for an expanded program; resolving grant disbursement delays; enhancing country program oversight; improving monitoring & evaluation; increasing the audit volume and quality assurance work; and optimizing program cost-effectiveness.

UNOPS will not make any financial commitments or incur any expenses that would exceed the budget for implementing the project as set forth in this Project Document. UNOPS shall regularly consult with UNDP concerning the status and use of funds and shall promptly advise UNDP any time when UNOPS is aware that the budget to carry out these services is insufficient to fully implement the project in the manner set out in the Project Document. UNDP shall have no obligation to provide UNOPS with any funds or to make any reimbursement for expenses incurred by UNOPS in excess of the total budget as set forth in the Project Document.

UNOPS will submit a cumulative financial report each quarter (31 March, 30 June, 30 September and 31 December). The report will be submitted to UNDP through the ATLAS Project Delivery Report (PDR) system and follow the established ATLAS formats and PDR timelines. The level of detail in relation to the reporting requirement is indicated in the Project Document budget, which will be translated into the ATLAS budget. UNDP will include the expenditure reported by UNOPS in its reconciliation of the project financial report.

Upon completion or termination of activities, UNOPS shall furnish a financial closure report, including a list of non-expendable equipment purchased by UNOPS, and all relevant audited or certified financial statements and records related to such activities, as appropriate, pursuant to its Financial Regulations and Rules.

Title to any equipment and supplies that may be furnished by UNDP or procured through UNDP funds shall rest with UNDP until such time as ownership thereof is transferred. Equipment and supplies that may be furnished by UNDP or procured through UNDP funds will be disposed as agreed, in writing, between UNDP and UNOPS. UNDP shall provide UNOPS with instructions on the disposal of such equipment and supplies within 90 days of the end of the Project.

The arrangements described in this Project Document will remain in effect until the end of the project, or until terminated in writing (with 30 days' notice) by either party. The schedule of activities specified in the Project Document remains in effect based on continued performance by UNOPS unless it receives written indication to the contrary from UNDP. The arrangements described in this Agreement, including the structure of implementation and responsibility for results, shall be revisited on an annual basis and may result in the amendment of this Project Document.

If this Agreement is terminated or suspended, UNDP shall reimburse UNOPS for all costs directly incurred by UNOPS in the amounts specified in the project budget or as otherwise agreed in writing by UNDP and UNOPS.

All further correspondence regarding this Agreement, other than signed letters of agreement or amendments thereto should be addressed to the UNDP-GEF Executive Coordinator and the UNDP Resident Coordinator.

UNOPS shall keep UNDP fully informed of all actions undertaken by them in carrying out this Agreement.

Any changes to the Project Document that would affect the work being performed by UNOPS shall be recommended only after consultation between the parties. Any amendment to this Project Document shall be effected by mutual agreement, in writing.

If UNOPS is prevented by force majeure from fulfilling its obligations under this Agreement, it shall not be deemed in breach of such obligations. UNOPS shall use all reasonable efforts to mitigate the consequences of force majeure. Force majeure is defined as natural catastrophes such as but not limited to earthquakes, floods, cyclonic or volcanic activity; war (whether declared or not), invasion, rebellion, terrorism, revolution, insurrection, civil war, riot, radiation or contaminations by radio-activity; other acts of a similar nature or force.

Notwithstanding anything to the contrary, UNOPS shall in no event be liable as a result or consequence of any act or omission on the part of UNDP, the government and/or any provincial and/or municipal authorities, including its agents, servants and employees.

UNDP and UNOPS shall use their best efforts to promptly settle through direct negotiations any dispute, controversy or claim which is not settled within sixty (60) days from the date either party has notified the other party of the dispute, controversy or claim and of measures which should be taken to rectify it, shall be referred to the UNDP Administrator and the UNOPS Executive Director for resolution.

This project will be implemented by UNOPS in accordance with UNOPS' Financial Rules and Regulations provided these do not contravene the principles established in UNDP's Financial Regulations and Rules.

UNOPS as the Implementing Partner shall comply with the policies, procedures and practices of the United Nations security management system.

Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information: In order to accord proper acknowledgement to the GEF for providing grant funding, the GEF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GEF will also accord proper acknowledgement to the GEF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy[31] and the GEF policy on public involvement[32].

IX. KNOWLEDGE MANAGEMENT

Knowledge management is an important element of the SGP Kenya Country Programme. Indeed project Component 2 is dedicated to capacity building and knowledge management including the dissemination of best practices and lessons learned. SGP will help create knowledge among communities and stakeholders at the land/seascape level through grant implementation, will help individuals and communities learn from each other, and will create opportunities for local-level discussions among those working on similar types of intervention to agree what is best practice. Best practices will be documented in a simple and easy to use format (e.g., short video clips, short documents) for dissemination to other communties. While printed materials and videos are useful, these will be complemented by exchange visits. A feedback mechanism to ascertain whether communities find the materials useful and the extent to which the knowledge is being applied will be established, for example, by requesting grantees to include this aspect in their periodic reports.

Knowledge products will focus on sharing experiences on a wide range of topics linked to SGP-funded interventions including the following: community wildlife conservancies and community managed marine areas; know-how to enhance productivity and food security while contributing to sustainable landscapes; how to

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[31] See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/

[32] See https://www.thegef.org/gef/policies_guidelines

strengthen community participation in land/seascape governance schemes, in particular women's participation; sustainable water and land management practices; experiences in brining together CSOs and the private sector to accelerate rural communities' access to renewable energy and energy efficiency; community experience in accessing new markets and financial services; scaling up innovative businesses.

At the land/seascape level, SGP's knowledge management approach will have as primary outputs case studies summarizing lessons learned and best practices based on evaluation of implementation results and their contributions to global environmental benefits, local development objectives and landscape level outcomes, including the development of social capital and socio-ecological resilience. The case studies will discuss the processes of stakeholder participation during land/seascape planning, as well as the progress towards a select number of Satoyama Resilience Indicators to be agreed upon during land/seascape planning. A detailed analysis will be produced of the successes and failures in each landscape with regards to the generation of synergies between individual community projects around land/seascape level outcomes. The case studies will also discuss opportunities and challenges for upscaling and sustainability. NGOs involved in the implementation of strategic grants will have an important role in identifying topics of interest, best practices and lessons learned. SGP will also document, analyse and share the experience of promoting CSO-private sector partnerships to make available modern energy services to un-served/underserved communities.

Knowledge will be disseminated at the landscape level through policy and innovation platforms, community land/seascape management networks and multi-stakeholder partnerships, as wells as knowledge fairs and other exchanges. At the national level knowledge will be disseminated through the National Steering Committee, strategic partners and their networks, and national knowledge fairs where appropriate. At the global level, lessons and experiences will be shared through the SGP global network of Country Programs and UNDP's knowledge management system.

X. FINANCIAL PLANNING AND MANAGEMENT

The total cost of the project is USD 9,221,644. This is financed through a GEF grant of USD 3,561,644, and USD 5,660,000 in parallel co-financing. UNDP, as the GEF Implementing Agency, is responsible for the execution of the GEF resources and the cash co-financing, if any, transferred to UNDP bank account only.

Parallel co-financing: The actual realization of project co-financing will be monitored during the mid-term review and terminal evaluation process and will be reported to the GEF. The planned parallel co-financing will be used as follows:

Co-financing source	Co-financing type	Co-financing amount	Planned Activities/Outputs	Risks	Risk Mitigation Measures
UNDP Country Office	In kind	USD 500,000	Technical support in all thematic areas; NSC participation; liaising with line ministries at the national level; liaising with county governments; coordination with other GEF-funded projects in the country; communications & knowledge management.	UNDP Officers usually have heavy workloads and there is a risk that the advisory and support services may not be provided on time	The Country Program Manager will prepare a quarterly plan to be agreed upon with the responsible parties within UNDP

			Outputs 1.1.1; 1.2.4; 1.3.1; 1.3.2; 1.3.3; 1.3.4; 1.4.2; 1.5.1; 1.5.2; 2.2.1; & 2.2.2		
SGP grantees	In cash	USD 520,000	Inputs for the implementation of grant activities, as specified in the grant project document Outputs: 1.2.1; 1.2.2; 1.2.3; 1.2.4; 1.3.1; 1.3.2; 1.3.3; 1.3.4; 1.4.1; 1.4.2; & 1.5.2	Communities and CSOs may allocate their own resources or mobilize cash co-financing from third parties. However, failure to obtain the funding is an ongoing risk, particularly among CBOs, that may jeopardize the completion of project activities	The Country Program Team will monitor periodically to ascertain on a timely basis whether financial resources are available and will support the community in obtaining parallel financing from third parties, including from County Governments, as necessary
SGP grantees	In kind	USD 3,200,000	Inputs such as land, facilities, labour, seeds, equipment necessary for the implementation of activities as specified in the respective grant project documents Outputs: 1.2.1; 1.2.2; 1.2.3; 1.2.4; 1.3.1; 1.3.2; 1.3.3; 1.3.4; 1.4.1; 1.4.2; & 1.5.2	CBOs may underestimate the amount of in kind resources required by the project in the project design phase	The Country Program Team and the NSC should ensure that grant project proposals realistically estimate project requirements and monitor those communities
WWF Kenya	In cash	USD 750,000	Contribution to the implementation of CBO activities in the Kaya landscape and Shimoni-Vanga seascape Outputs: 1.2.4; 1.3.1; 1.3.3; 1.4.1; & 1.4.2;	There is no risk perceived at this stage as WWF has secured the resources and committed to the allocation of such funds as parallel financing to CBO activities	Periodically meet WWF staff responsible for each geographic area and WWF management in Nairobi to plan and follow up on the allocation of committed co-

					financing
WWF Kenya	In kind	USD 690,000	Participation in the multi-stakeholder platform for the Kaya forests and the Shimoni-Vanga seascape; provision of technical support for strategic planning, CBO grant implementation, training, and policy advocacy with respect to the Kaya landscape and Shimoni-Vanga seascape Outputs: 1.1.1; 1.1.2; 1.2.2; 2.1.1; 2.2.1; & 2.2.2	WWF has a large contingent of staff in the area with the necessary skills for these activities, therefore, the risk is very low	Periodically meet WWF staff responsible for each geographic area and WWF management in Nairobi to ensure adequate coordination and efficient use of human resources

Budget Revision and Tolerance: As per UNDP requirements outlined in the UNDP POPP, the National Steering Committee will agree on a budget tolerance level for each plan under the overall annual work plan allowing the Country Program Manager to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the National Steering Committee. Should the following deviations occur, the Country Program Manager and UNDP Country Office will seek the approval of the UNDP-GEF team as these are considered major amendments by the GEF:

- Budget re-allocations among components in the project with amounts involving 10% of the total project budget or more;
- Introduction of new budget items/or components that exceed 5% of original GEF allocation.

Any over expenditure incurred beyond the available GEF grant amount will be absorbed by non-GEF resources (e.g. UNDP TRAC or cash co-financing).

Refund to Donor: Should a refund of unspent funds to the GEF be necessary, this will be managed directly by the UNDP-GEF Unit in New York.

Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP. On an exceptional basis only, a no-cost extension beyond the initial duration of the project will be sought from in-country UNDP colleagues and then the UNDP-GEF Executive Coordinator.

Operational completion: The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Terminal Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review NSC meeting. The Implementing Partner will notify the UNDP Country Office when operational closure has been completed. At this time, the relevant parties will have already agreed and confirmed in writing the arrangements for the disposal of any equipment that is still the property of UNDP.

Financial completion: The project will be financially closed when the following conditions have been met:

a) The project is operationally completed or has been cancelled;
b) The Implementing Partner has reported all financial transactions to UNDP;
c) UNDP has closed the accounts for the project;
d) UNDP and the Implementing Partner have certified a final Combined Delivery Report (which serves as final budget revision).

The project will be financially completed within 12 months of operational closure or after the date of cancellation. Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the UNDP-GEF Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

XI. TOTAL BUDGET AND WORK PLAN

Total Budget and Work Plan										
Atlas Proposal or Award ID:		00099179				Atlas Primary Output Project ID:			000102488	
Atlas Proposal or Award Title:		Sixth Operational Phase of the GEF Small Grants Programme in Kenya								
Atlas Business Unit		KEN10								
Atlas Primary Output Project Title		Sixth Operational Phase of the GEF Small Grants Programme in Kenya								
UNDP-GEF PIMS No.		5730								
Implementing Partner		United Nations Office for Project Services (UNOPS)								

GEF Component/Atlas Activity	Responsible Party (Atlas Implementing Agent)	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Total (USD)	See Budget Note:
COMPONENT 1 **Resilient rural landscape sustainable development and contribution to global environmental protection**	UNOPS	**62000**	**GEF**	61100	Personnel	$125,500	$125,500	$125,600	$376,600	1
				71200	International Consultants	$0	$33,400	$20,000	$53,400	2
				71300	Local Consultants	$8,100	$10,200	$2,000	$20,300	3
				71600	Travel	$13,200	$13,200	$13,200	$39,600	4
				72600	Grants to Institutions	$460,000	$1,265,000	$187,000	$1,912,000	5
				75700	Training, Workshops & Conferences	$22,500	$22,500	$27,500	$72,500	6
				74200	Audio visual and Printing Production Costs	$0	$3,864	$3,800	$7,664	7
					Total Outcome 1	**$629,300**	**$1,473,664**	**$379,100**	**$2,482,064**	
COMPONENT 2: **Capacity building and knowledge management**	UNOPS	**62000**	**GEF**	61100	Personnel	$47,500	$47,500	$47,500	$142,500	1
				71200	International Consultants	$0	$5,800	$10,200	$16,000	2
				71300	Local Consultants	$0	$10,000	$12,000	$22,000	3
				71600	Travel	$9,500	$10,500	$12,500	$32,500	4
				72600	Grants to Institutions	$225,000	$328,000	$72,600	$625,600	5
				75700	Training, Workshops & Conferences	$12,000	$15,000	$12,000	$39,000	6
				74200	Audio visual and Printing Production Costs	$0	$16,200	$16,177	$32,377	7
					Total Outcome 2	**$294,000**	**$433,000**	**$182,977**	**$909,977**	

				61100	Personnel	$24,300	$24,300	$24,300	$72,900	1
				71200	International Consultants	$0	$1,500	$0	$1,500	2
				71300	Local Consultants	$0	$1,300	$1,803	$3,103	3
PROJECT MANAGEMENT	**UNOPS**	**62000**	**GEF**	71400	Equipment, Operations & Maintenance	$7,000	$7,000	$7,000	$21,000	8
				73100	Rental and Maintenance Premises	$23,700	$23,700	$23,700	$71,100	9
					Total Management	**$55,000**	**$57,800**	**$56,803**	**$169,603**	
					PROJECT TOTAL	**$978,300**	**$1,964,464**	**$618,880**	**$3,561,644**	

Budget Notes

0	6% UNOPS fee and Centrally Managed Direct Costs (CMDC) are incorporated in each individual budget line.
1	Technical assistance and inputs for the formulation and delivery of grant initiatives by local communities and other CBOs, coordination at the land/seascape level, ongoing monitoring, implementation of knowledge management by Country Programme Manager, Technical Assistant, and Programme Associate, as well as three United Nations Volunteers to be based at each of the target landscapes/seascapes. Costs reflect the proportion of time to be dedicated by each staff on overall project management, M&E, coordination with and among stakeholders, knowledge management activities, reporting, and resources mobilization.
2	International consultants for the mid-term and final evaluation as well as for audit purposes. M&E and audit costs allocated proportionally to each project component and focal area
3	Technical advisory services for CBOs and NGOs in the areas of renewable energy and energy efficiency, biodiversity, land degradation, as well organizational, financial and marketing advisory services in accordance with expected project outputs and outcomes.
4	Ex-ante project site visits, field-monitoring visits (yearly monitoring visits to approximately 50 grants), travel for technical assistance purposes and the application by grantees of M&E methods.
5	Small grants to community-based organizations and strategic grants to NGOs to implement activities that would enable the project to achieve its objective and outcomes for each land/seascape
6	Project inception meeting, periodic meetings of the National Steering Committee to review and approve small and strategic grants, training activities, and coordination and experience exchange workshops at the land/seascape level.
7	Production, layout, translation, printing and dissemination of SGP knowledge products and communications materials including website, factsheets, news articles, poster, radio programs, video clips, case studies, etc., particularly for policy advocacy, replication and upscaling.
8	Purchase, rental, maintenance and insurance of equipment (office furniture and communications equipment for UNVs, replacement of computers and printers, maintenance of photocopier, rental of audiovisual equipment for workshops and training activities)
9	Office rent, as well as utilities, security, cleaning, meeting space and maintenance of office compound. It also includes ICT services and phone access billed by UNDP CO.

Summary of Funds:

	Amount Year 1	Amount Year 2	Amount Year 3	Total
GEF	$978,300	$1,964,464	$618,880	$3,561,644
Donors – Parallel financing (cash and in-kind)	$1,680,000	$2,130,000	$1,850,000	$5,660,000
TOTAL	**$2,658,300**	**$4,094,464**	**$2,468,880**	**$9,221,644**

XII.   LEGAL CONTEXT

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement (SBAA) between the Government of Kenya and UNDP, signed on 17 January 1991. All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

This project will be implemented by the United Nations Office for Project Services ("Implementing Partner") in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

Any designations on maps or other references employed in this project document do not imply the expression of any opinion whatsoever on the part of UNDP concerning the legal status of any country, territory, city or area or its authorities, or concerning the delimitation of its frontiers or boundaries.

XIII.   RISK MANAGEMENT

UNOPS as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS).

UNOPS as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient that is not a UN entity:

a.   Consistent with the Article III of the SBAA [or the Supplemental Provisions to the Project Document], the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNOPS' property in such responsible party's, subcontractor's and sub-recipient's custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:

   i.   put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;

   ii.   assume all risks and liabilities related to such responsible party's, subcontractor's and sub-recipient's security, and the full implementation of the security plan.

b.   UNOPS reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible party's, subcontractor's and sub-recipient's obligations under this Project Document.

UNOPS agrees to undertake all reasonable efforts to ensure that none of the project funds are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution   1267   (1999).   The   list   can   be   accessed   via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml.

Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental   Standards   (http://www.undp.org/ses)   and   related   Accountability   Mechanism (http://www.undp.org/secu-srm).

The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. The Implementing Partner will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.

The Implementing Partner and UNDP will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement.

Where such funds have not been refunded to UNDP, the Implementing Partner agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to the Implementing Partner for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.

Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

The Implementing Partner shall ensure that all of its obligations set forth under this section entitled "Risk Management Standard Clauses" are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled "Risk Management" are included, mutatis mutandis, in all sub-contracts or sub-agreements entered into further to this Project Document.

XIV. MANDATORY ANNEXES

A. Multi year Workplan

B. Monitoring Plan

C. Evaluation Plan

D. GEF Tracking Tools at baseline

E. Terms of Reference for National Steering Committee, Country Program Manager, Programme Associate, Technical Assistant & United Nations Volunteers

F. UNDP Project Quality Assurance Report

G. SGP Operational Guidelines

H. Project Co-financing Letters

I. UNDP Social and Environmental Screening Template (SESP)

Annex A: Multi Year Work Plan

Task	Responsible Party	Year 1				Year 2				Year 3			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Output 1.1.1: Formal multi-stakeholder platform established/strengthened for each land/seascape	Country Program Team	■	■	■			■				■		
Output 1.1.2: Adaptive landscape and seascape strategy and management plan developed by multi-stakeholder platforms and local and national CBOs	Country Program Team; Multi-stakeholder Platform		■	■									
Output 1.2.1: Community wildlife conservancies in Lake Bogoria formalized, operational and with an agreed management plan	Country Program Team; Baringo County Government; KWCA		■	■	■								
1.2.2: Beach Management Units in Kwale County strengthened to facilitate the implementation of the management plans of marine Community Managed Areas, adhere to by-laws and monitor results of conservation efforts.	Country Program Team; Kwale County Government; Fisheries Department; WWF-Kenya		■	■	■			■			■		
Output 1.2.3: Capacities of ICCA associations, including the Rift Lakes Conservancies Association and the Baringo County Community Conservancies Association enhanced to engage with county governments, secure wildlife corridors, and protect lake, forests and marine habitats.	Country Program Team; County Governments; NGO providing support services	■			■						■		
Output 1.2.4: Sustainable livelihood interventions that address biodiversity conservation in the target lands/seascapes identified, approved by the National Steering Committee and implemented	Country Program Team; WWF-Kenya; NSC			■		■	■	■	■	■	■	■	■
Output 1.3.1: Agroecological principles and practices applied in agricultural production in the middle and lower Lake Bogoria basin, and in the Kaya forests production landscape	Country Program Team; WWF-Kenya; NSC	■		■		■	■	■	■	■	■	■	■

Task	Responsible Party	Year 1				Year 2				Year 3			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Output 1.3.2: Sustainable grazing practices in community pastoral lands	Country Program Team NSC	X		X		X	X	X	X	X	X	X	X
Output 1.3.3: Food products introduced or reintroduced in community production systems reducing community vulnerability to climate change and improving resilience	Country Program Team NSC		X			X	X	X	X	X	X	X	X
Output 1.3.4: Actions to maintain water quantity and quality implemented in the Lake Bogoria basin	Multi-stakeholder Platform Country Program Team NSC		X			X	X			X	X	X	X
Output 1.4.1: Community eco-enterprises of which at least 2 in partnership with the private sector	Country Program Team NSC			X	X	X							
Output 1.4.2: Community businesses marketing 2 to 4 sustainably produced goods and services of which two in partnership with the private sector	Country Program Team NSC							X	X	X			
Output 1.4.3: Financial resources from banks and other financial service providers available to above enterprises to support replication, upscaling and sustainability	Country Program Team NSC									X			
Output 1.5.1: CSO-private sector partnerships promoting and implement low GHG emissions activities	Country Program Team NSC	X	X										
Output 1.5.2: GHG mitigation initiatives providing energy services to un-served/underserved communities	Country Program Team			X	X	X	X	X	X	X	X		
Output 2.1.1: Training and mentoring system in place for enhanced capacities of community based organizations in target land/seascapes	Country Program Team		X	X	X		X	X					
Output 2.2.1: Case studies and analysis of best practices for adaptive landscape/seascape resilience	Country Program Team NSC Multi-stakeholder Platform									X	X	X	X

Task	Responsible Party	Year 1				Year 2				Year 3			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Output 2.2.2: Feedback to county governments and line ministries about results, best practices, lessons and challenges	Country Program Team NSC Multi-stakeholder Platform				▩				▩				▩

Annex B: Monitoring Plan

The Country Program Manager and her team will collect results data according to the following monitoring plan.

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
Project objective Community-based initiatives enhance and maintain socio-ecological resilience in selected landscapes and seascapes in ecologically important and sensitive areas in Kenya	*Indicator A* Increased area with improved community management Targets: • 40,000 ha under improved community management in Lake Bogoria. • 30,000 ha of forests and surrounding production landscape under improved community management in the Kayas. • 86,000 ha of seascape under improved community management in Shimoni-Vanga	This indicator will monitor changes (both positive and negative) in the production and other land use practices of participating communities with respect to the baseline for each target land/seascape, as described in the individual land/seascape strategies. Such changes will be geo-referenced to a particular geographic area	Field observations Interviews to assess community perceptions about reduced vulnerability and enhanced resilience Third party assessments Grantee reports	Annually Reported in DO tab of the GEF PIR	Country Program Team, in particular, the Technical Assistant who will be responsible for monitoring and the Nairobi-based UNV responsible for data management NGOs providing coordination and technical support to local communities at the land/seascape level Members of the Multi-stakeholder platform will be requested to provide inputs in accordance with their roles/mandate	SGP team field monitoring reports Reports from support NGOs at each land/seascape	NGOs will have the capacity to assess quantitative and qualitative changes in production and land use practices and aggregate data at the land/seascape level consistently and accurately Community perceptions about reduced vulnerability and enhanced resilience may not be sufficient to determine the extent to which improved management of land/seascapes is contributing to this objective but given project time-frame and resources available this method has been adopted as a proxy
	Indicator B Number of community groups practicing sustainable livelihood	SGP will make explicit the criteria and standards for each	Field observations Checklists to assess	Annually Reported in	Country Program Team	SGP team field monitoring	Sustainability (socio-economic and environmental)

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
	activities that meet national/international standards or in accordance with best practice Target: At least 30 community groups in the target land/seascape	type of activity and these will be used to approve, monitor and evaluate the projects	whether activities meet the relevant criteria and standards Grantee reports	DO tab of the GEF PIR		reports Grantee reports	standards exist for all sustainable livelihood activities to be supported by SGP
	Indicator C Number of jobs created through sustainable management of land and natural resources, environmentally friendly economic activities that add value to resource extraction, and provision of or access to renewable energy services Target: At least 30 part or full-time jobs of which a minimum of 30% are for women and 90% are in rural areas	SGP has adopted a flexible definition of what constitutes a "job" for this indicator. It may be full-time or part-time, with or without a salary. Creation of a job will be interpreted as a new economic activity performed continuous or periodically by an individual as a result of an SGP-funded initiative SGP will disaggregate the data by type of job, by sex, and rural and urban location	Grantee reports	Annually Reported in DO tab of the GEF PIR	Country Program Team	SGP team field monitoring reports Grantee reports	There is a risk that jobs created may not continue after project completion. NSC screening should ensure this risk is taken into consideration and provide recommendations to improve the likelihood of sustainability
	Indicator D Metric tons of CO_2e avoided as a result of increased community adoption of energy efficient and renewable energy systems	This indicator monitors the aggregated GHG emissions reduction from the implementation of individual RE/EE initiatives	Grantee reports will allow to determine the number of units installed and the date they started operation A consultant or the	Annually Reported in DO tab of the GEF PIR	Country Programme Team RE/EE consultant NSC member(s) specialist in CC	SGP team field monitoring reports Consultant reports Grantee reports	SGP will contract a RE/EE expert to provide program monitoring support

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
	Target: 81,682 metric tons of CO_2e avoided	Emissions reduction factors are provided in the tracking tool	SGP Technical Assistant will calculate CO_2e avoided				
Outcome 1.1 Multi-stakeholder platforms established/strengthened to develop and execute participatory adaptive management landscape/seascape strategies and plans to enhance socio-ecological landscape resilience and global environmental benefits	*Indicator 1* Number of multi-stakeholder platforms operating effectively with strong CSO participation and inputs in target landscapes	SGP has a set of draft criteria to determine whether multi-stakeholder platforms and other community-based organizations have appropriate governance and operate effectively (these are also relevant to Outcome 2.1). These criteria will be reviewed and revised at project inception by the NSC	Check list to monitor progress of individual multi-stakeholder platforms	Annually	NGO providing support services at each land/seascape Country Program Team, in particular, UNV assigned to the area	NGO reports SGP team field monitoring reports	SGP will validate the extent to which the criteria are effective to monitor the governance and effectiveness of the multi-stakeholder platforms
	Indicator 2 Number of participatory adaptive strategies and management plans developed	In addition to monitoring the indicator, SGP will make a qualitative assessment of each strategy/plan. It will also check the extent to which the strategy/plan is being adapted to changing circumstances, as required	Review of strategy/plan	Annually	NGO providing support services at each land/seascape Country Program Team	Strategy/plan documents NGO reports NSC comments	The NGO providing support services at each land/seascape will periodically assess the extent to which the Strategy/Plan remains relevant and will support multi-stakeholder platforms review and adapt the strategy/plan as required
Outcome 1.2 Ecosystem services and	*Indicator 1* Number of community	Progress in	SWOT analysis	Annually	NGO providing	Conservancy	SGP and the support

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
biodiversity conservation enhanced through sustainable livelihoods and other community-based interventions in the target landscapes and seascapes.	conservancies established/strengthened in the Great Rift Valley Lakes Area	strengthening individual conservancies will be monitored against the results of a SWOT assessment at inception			support services at each land/seascape Country Program Team, in particular, UNV assigned to the area	registration documentation SWOT report Minutes of conservancy meetings	NGO at each landscape will have the financial and technical resources to provide support on key areas that need strengthening
Indicator 2 Number of hectares under conservation agreements	Community wildlife conservancies and other groups willing to set aside land for conservation will make explicit the areas under conservation and the measures they intent to take to conserve the areas	Community agreements	Annually	NGO providing support services at each land/seascape Country Program Team, in particular, UNV assigned to the area	Minutes of conservancy meetings Grantee reports	
Indicator 3 Number of conservancy associations strengthened	Progress in strengthening individual conservancy associations will be monitored against the results of a participatory SWOT analysis at inception and their individual capacity development plan	SWOT analysis	Annually	NGO providing support services at each land/seascape Country Program Team	SWOT analysis report Minutes of conservancy association meetings	
Indicator 4 Number of community interventions that specifically improve	Individual grants will develop specific outcome indicators to	Project document of individual grants SGP project	Annually	The NSC will review and approve grant	Project proposals NSC meeting	Grantees have the capacity to monitor their projects

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
	biodiversity conservation in the target landscapes/seascape and that are consistent with their respective management plans	assess the extent to which biodiversity conservation objectives as set in the land/seascape strategy/plan are being met	database		projects and will determine the extent to which these are consistent with the land/seascape strategies and plans Country Program Team	minutes Grant reports SGP team field monitoring reports	effectively and provide quality reports with the necessary detail
Outcome 1.3 Flow of agro-ecosystem services to sustain food production and livelihoods in the target landscapes improved through community-based interventions.	*Indicator 1* Number of farmers adopting agroecological principles and practices and number of hectares of farmland under agroecological production systems	This indicator will disaggregate data by type of agroecological practice. Data on number of farmers will be disaggregated by sex	Project document of individual grants Grant reports SGP project database	Annually	Country Program Team, in particular, Technical Assistant and UNV responsible for data management	Grant reports SGP team field monitoring reports	Grantees have the capacity to meet SGP monitoring standards and provide quality reports
	Indicator 2 Number of Lake Bogoria pastoral communities with improved grazing practices and number of hectares of land under improved, sustainable grazing	Data for this indicator will include information on the type of grazing practice implemented by each community	Project document of individual grants Grant reports SGP project database	Annually	Country Program Team, in particular, Technical Assistant and UNV responsible for data management	Grant reports SGP team field monitoring reports	Grantees have the capacity to meet SGP monitoring standards and provide quality reports
	Indicator 3 Number of communities with diversified food production systems improving resilience to drought and other causes of crop failure; and number of food crops and products introduced	Baseline data regarding local food production systems at each location will be collected at program inception	Project document of individual grants Grant reports SGP project database	Annually	Country Program Team, in particular, Technical Assistant and UNV responsible for data management	Grant reports SGP team field monitoring reports	Grantees have the capacity to meet SGP monitoring standards and provide quality reports

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
	Indicator 4 Number of community interventions in Lake Bogoria's basin contributing to improved water quantity and quality	Data for this indicator will be disaggregated by type of water management intervention	Project document of individual grants Grant reports SGP project database	Annually	Country Program Team, in particular, Technical Assistant and UNV responsible for data management	Grant reports SGP team field monitoring reports	Grantees have the capacity to monitor their projects effectively and provide quality reports with the necessary detail
Outcome 1.4 Community-based eco-friendly enterprises formed/strengthened along the value chain with increased access to financial services and markets	*Indicator 1* Number of enterprises established/strengthened	Data for this indicator will be disaggregated by type of business, and enterprise members will be disaggregated by sex and age group	Grant reports SGP project database	Annually	Country Program Team, in particular, Technical Assistant and UNV responsible for data management	Grant reports SGP team field monitoring reports Enterprise registration documents, if relevant	Grantees have the capacity to monitor their projects effectively and provide quality reports with the necessary detail
	Indicator 2 Number of joint ventures with the private sector	Data for this indicator will be disaggregated by type of business and type of partnership (e.g., joint venture for production, marketing, distribution)	Grant reports SGP project database	Annually	Country Program Team, in particular, Technical Assistant and UNV responsible for data management	Grant reports SGP team field monitoring reports Partnership agreements, if relevant	Grantees have the capacity to monitor their projects effectively and provide quality reports with the necessary detail
	Indicator 3 Number of new products developed	A description of each product will be required in grantee reports	Grant reports SGP project database	Annually	Country Program Team, in particular, Technical Assistant and UNV responsible for data management	Product photo Grant reports SGP team field monitoring reports	Grantees have the capacity to monitor their projects effectively and provide quality reports with the necessary detail

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
	Indicator 4 Number of grant/micro-lending schemes established with credit-lending facilities and banks in support of above enterprises and number of pilot revolving funds/other lending schemes supporting replication, upscaling and sustainability of community-based production activities	Data for this indicator will be disaggregated by financial product as well as sex and age group of beneficiary	Grant reports SGP project database	Annually	Country Program Team, in particular, Technical Assistant and UNV responsible for data management	Grant reports Banking/financial partner reports, if relevant/feasible	
Outcome 1.5 Multi-stakeholder partnerships develop and implement initiatives for community integrated GHG low-emission systems	*Indicator 1* Number of multi-stakeholder partnerships involving CSOs and the private sector promoting and facilitating the application of diverse RE and EE technologies that benefit households and institutions, including for commercial and production uses to ensure sustainability	Data for this indicator will specify the private sector partner, the type of partnership, and the product/technology	Project document of individual grants Grant report SGP project database	Annually	Country Program Team NSC who will review the proposed partnership at project grant approval stage	Project document Partnership agreement (a copy of which in principle should be attached to the grant project document)	Private sector partners are willing to disclose full partnership agreement
	Indicator 2 Number of renewable energy and fuel efficient systems for domestic, production and institutional uses	Data to be disaggregated by energy source and type of beneficiary (sex, rural/urban and excluded groups). The aggregated CO_2 mitigation of such RE	Project document of individual grants Grant report SGP project database	Annually	Country Program Team, in particular, Technical Assistant and UNV responsible for data management	Grant reports SGP team field monitoring reports	

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
		and EE systems should enable SGP to reach the CO_2e mitigation target for phase VI as per Objective Indicator D above					
Outcome 2.1 Community and local civil society organizations increase their organizational and financial capacities and skills through on-going mentoring and training	*Indicator 1* Number of community institutions and community-based organizations with improved governance and management, with women's participation and capacity to influence the community and external partners	SGP has a set of draft criteria to determine whether community-based organizations have appropriate governance and operate effectively (see Outcome 1.1, Indicator 1). These criteria will be reviewed and revised at project inception by the NSC Progress in improved governance and management effectiveness of each group will be assessed against a SWOT analysis to be done at inception	SWOT analysis Capacity needs assessment	Annually	NGOs/individual experts providing capacity development support Country Program Team	SWOT report Consultant reports Capacity development materials Grant reports SGP team field monitoring reports	
Outcome 2.2 Knowledge enhanced among community groups and CSOs, and learning is documented, disseminated and made available to policy makers at county and	*Indicator 1* Number of case studies and analysis of best practices for adaptive landscape/seascape resilience, systematized and shared at watershed, county and/or national	Data for this indicator will specify how and when was each case study/analysis disseminated	Meeting reports Document distribution data	Annually	Country Program Team	Case Study Reports Analysis of best practices reports	

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
national level	level						
	Indicator 2 Number of meetings with relevant County Governments and government institutions providing feedback on policy effectiveness and SGP experience	Data for this indicator will be disaggregated by type of institution and issue discussed	Minute of meetings List of participants	Annually	Country Programme Team	Minutes of meetings List of participants	
Mid-term GEF Tracking Tool Biodiversity Land Degradation Climate Change	N/A	N/A	Standard GEF Tracking Tool available at www.thegef.org Baseline GEF Tracking Tool included in Annex.	After 2nd PIR submitted to GEF	Consultant for each focal area	Completed GEF Tracking Tool	
Terminal GEF Tracking Tool Biodiversity Land Degradation Climate Change	N/A	N/A	Standard GEF Tracking Tool available at www.thegef.org Baseline GEF Tracking Tool included in Annex.	After final PIR submitted to GEF	Consultant for each focal area	Completed GEF Tracking Tool	
Mid-term Review (if FSP project only)	N/A	N/A	To be outlined in MTR inception report	Submitted to GEF same year as 3rd PIR	Independent evaluator	Completed MTR	
Environmental and Social risks and management plans, as relevant.	N/A	N/A	Updated SESP and management plans	Annually	Project Manager UNDP CO	Updated SESP	

Annex C: Evaluation Plan

Evaluation Title	Planned start date Month/year	Planned end date Month/year	Included in the Country Office Evaluation Plan	Budget for consultants	Other budget (i.e. travel, site visits etc…)	Budget for translation
Terminal Evaluation	May 2020	July 2020	Yes	USD 24,200	USD 3,300	N/A
			Total evaluation budget	USD 27,500		

Annex D: GEF Tracking Tools at baseline (see attached)

Annex E: Terms of Reference

A.   National Steering Committee

NSC Functions and Duties

The SGP National Steering Committee (NSC) composition and operation will conform to the relevant sections of the GEF-SGP Operational Guidelines.

The principal functions and duties of the NSC include:

- Participation in the development and periodic revision of the Country Program Project Document in line with the global guidance from UNDP-GEF and national environmental priorities, and oversee its implementation;
- Provide overall strategic guidance and direction to the Country Program and contribute to development and implementation of strategies for Country Program sustainability;
- Review and approve project proposals, submitted to the SGP by NGOs/CBOs and pre-screened by the Country Program Manager, in accordance with established criteria and procedures;
- Ensure transparency and impartiality of NSC activities striving to avoid appearance of conflict of interest or undue influence.

NSC members are also encouraged to actively participate in site visits and ongoing monitoring and evaluation activities associated with the SGP and its projects, and to provide technical assistance and advice to the SGP projects and NGO/CBO project proponents. Travel to project site visits is paid for by the SGP.

The NSC may wish to elaborate a set of project selection criteria based on the Country Program strategy as elaborated in the Project Document to help guide decisions and provide additional consistency to project selection.

The NSC shall decide whether it will consider and approve project concepts and planning grants or will rather leave these tasks to the Country Program Manager. In the case of the latter, the CPM will keep the NSC informed of concepts received and approved and planning grants awarded.

NSC Terms of Office and Appointment

Members of the NSC serve on a voluntary basis and without financial compensation. Reimbursement of reasonable and necessary expenses such as long-distance travel to project sites and NSC meetings will be provided. Reimbursement of expenses such as travel should be approved prior to the actual expenditure and follow standard the SGP procedures.

The NSC should consist of between six and twelve members, with the majority of members from civil society. Efforts should be made to ensure gender and ethnic diversity in the committee.

Members of the NSC are appointed by the UNDP Resident Representative in consultation with the CPM. Appointments to the NSC are subject to endorsement by the Global Coordinator of the Upgrading Country Programs. Members may also be removed from the NSC by the UNDP Resident Representative for cause.

The UNDP Resident Representative, or his/her delegate, represents the UNDP on the NSC.

The SGP Country Program Manager serves ex officio on the NSC, participating in deliberations, but not voting in the project selection process. The CPM also serves as Secretariat to the NSC.

The term of office of each NSC member is for a period of three years. Ideally the NSC would have a three-year rolling membership with members serving staggered terms. In the event that a member fails to complete a full term of office, a new member shall be appointed by the UNDP Resident Representative. NSC members may be reappointed to serve additional two terms based on service and commitment to the Country Program and the principles of the GEF-SGP overall.

NSC Meetings and Rules of Order

The NSC meets on a biannual basis (or as determined by the NSC) to provide strategic guidance to the Country Program, review and approve grant proposals and to conduct other activities within its terms of reference.

The NSC nominates a Chair from among its regular members, preferably by consensus. Neither the UNDP Resident Representative (nor his/her delegate) nor the SGP Country Program Manager may serve as the Chair. The Chair presides at NSC meetings in accordance with the rules of order which have been adopted and facilitates the process of consensus-building in NSC deliberations. The position of Chair is not permanent and rotates every year.

Where possible, the NSC operates on the basis of consensus rather than formal voting. Specific procedures and rules of order for NSC deliberations, including voting procedures and quorum requirements, should be proposed by the Country Program Manager and NSC members and adopted by the NSC prior to any substantive deliberations or determinations.

Regular meetings of the NSC ordinarily include the following agenda items:
- Report on status and progress of the Country Program;
- Status reports and updates on projects and activities under implementation;
- Financial report on execution of grant allocations;
- Presentation of project proposals for consideration

NSC minutes concerning meetings in which projects are approved should be as detailed and specific as possible, listing each project considered and including all NSC recommendations or observations about each project. The NSC decision about each project should be clearly noted, including any reformulations required before final approval. The list of approved projects should include the budget amount approved. The minutes should be signed by all NSC members present.

The NSC should review and sign-off on project proposals that are reformulated or adjusted after being provisionally approved by the NSC, prior to submitting them to the UNDP Resident Representative for MOA signature. A formal meeting is not required, and the review may be done on a no-objection basis.

Upon accepting appointment to the NSC, members commit themselves to ensuring the complete objectivity and transparency of the NSC, both in fact and in appearance. The NSC must avoid the

appearance of self-dealing, conflict of interest, or undue influence. NSC members cannot benefit directly from the SGP grants. No member of the NSC shall participate in the review or approval of any project in which that member, or an organization with which that member is associated, has an interest. In such cases, the member shall be excused from both the discussion and decision on the project.

As a matter of principle, the NSC (and the SGP as a whole) must operate in as transparent a manner as possible. The CPM should maintain an official record of each NSC meeting, which is available to the public. However, to protect NSC members from external pressures, neither the identities of NSC members, nor the attributed statements of NSC members during deliberations, shall be disclosed.

Country Program Manager Responsibilities:

The CPM is the Secretariat for the NSC, and is responsible for managing communication between and among NSC members, for sending out notices of meetings, and for maintaining substantive records of all meetings and actions taken. In addition, the CPM shall present to the NSC substantive reports on the status and progress of the SGP and its activities, as well as project proposals for consideration.

Meetings of the NSC shall be convened by the CPM. Notice is to be given at least fifteen days in advance of the meetings, except in the case of special or emergency meetings, for which the notice requirement may be waived. Notice shall include the agenda for the meeting, a list of all projects to be considered at the meeting, and copies of all relevant documents and proposals.

The CPM shall prepare and present meeting minutes for review and signature by the NSC after every meeting. Once signed by the NSC members involved, the original should be filed in the SGP office and a copy sent to the UNDP SGP focal point.

B.   Country Program Manager

% of Time		Key Results Expected / Major Functions
20%	1.	**Managerial Functions**
		• Supervise the national SGP team members and provide necessary guidance and coaching;
		• Promote and maintain a suitable environment for teamwork with the SGP team, the National Steering Committee (NSC), and the UNDP CO team:
		• Prepare annual work plans, including strategic and /or innovative initiatives to be undertaken/explored, and set delivery and co –financing targets;
		• Set annual performance parameters and learning objectives for the SGP team, assess their performance and provide feedback;
		• Build and maintain an effective relationship with key partners and stakeholders, and keep the NSC UNDP/GEF, UNOPS and UNDP CO informed as appropriate.
50%	2.	**Program/portfolio Development and Management**
		• Keep abreast of national environmental and sustainable development concerns and priorities as well as the socio-economic conditions and trends as they relate to the GEF-SGP and its focal areas, and assess their impact on the SGP's work and program.
		• Contribute to the formulation of the Upgrading Country Program Project Document and its annual Project Implementation Reviews;
		• Exercise quality control over the development of a portfolio of project ideas and

		concepts, and closely monitor the program's implementation progress and results; • Organize periodic stakeholder workshops and project development sessions for NGOs, Community Based Organizations (CBO) and local communities, and other stakeholders to explain the SGP and to assist potential applicants in making the link between local environment and development problems and global concerns of the GEF focal areas; • Work closely with NGOs and CBOs in preparation of project concepts and proposals to ensure that individual projects fit the strategic framework of the Project Document; • Authorize and manage project planning grants, as required. • Conduct periodic program monitoring visits to the field and provide technical and operational support and guidance to the SGP grantees as required; • Work closely with and support the National Steering Committee and its deliberations during project proposal selection and approval, especially the initial appraisal of proposals and assessment of eligibility. • Foster operational and policy linkages between the GEF-SGP and the large or medium-sized GEF projects, planned or underway in the country, as well as those of other donors and development partners. • Manage annual work plan and budgeting (administrative and grants), maintain the financial integrity of the program, ensure most effective use of the SGP resources; • Report periodically to the UNDP/GEF Global Coordinator of the Upgrading Country Programs on program implementation status, including financial reporting, and update relevant global SGP databases.
20%	3.	**Resource Mobilization** • Establish and maintain close working relationships with stakeholders, advocate SGP policies, comparative advantages and initiatives, and ensure visibility. • Assess program interest and priorities of key donors and other development partners, develop SGP advocacy campaigns and develop/update the SGP Country Program resource mobilization strategy; • Identify opportunities and areas eligible for GEF-SGP support, and mobilize resources from the Government, donors and other partners to best leverage the SGP resources.
10%	4.	**Knowledge Management** • Assist in the preparation of the SGP project/program evaluation and the Annual Monitoring Review; • Document lessons learned and best practices in SGP program/project development, implementation, and oversight; • Raise awareness of SGP Country Program Team on corporate strategic issues, plans and initiatives to maximize highest impact and effectiveness; • Access UNDPs world-wide and regional knowledge, distill best practices and facilitate their dissemination within the CO and to counterparts and partners; • Access global best practices, share them with other local and international stakeholders and ensure their incorporation into the SGP portfolio and project design process.

C.   Programme Associate

% of Time		Key Results Expected / Major Functions

30%	**1.**	**Support to Program Implementation**
		Contribute to day-to-day support to program/project implementation and ensure conformity with expected results, outputs, objectives and work-plans;
		• Assist the Country Program Manager (CPM) in prescreening project concepts and project proposals, and evaluate the financial part of the project proposals; • Assist the CPM in development and amendment of application forms and other management tools and requirements of the program and other SGP documents; • Advise potential grantees on technical project preparation issues, and report to CPM and NSC on project development activities, as required; • Provide day-to-day support to new and already approved projects and the grantees, as required; • Assist the CPM in project implementation and monitoring, including participation in field visits; • Organize the SGP advocacy events, workshops, round-tables, missions for CPM and other SGP events; • Maintain working-level contacts with NGOs, governmental institutions, donors, other SGP stakeholders, and participate at events for SGP information dissemination purposes; • Draft progress reports and other reporting material to the Global Coordinator of the Upgrading Country Programs, UNOPS and UNDP CO, and assist CPM in preparation of semi-annual and bi-annual progress reports; • Draft articles, publications, speeches, letters, memos and other documents on behalf of CPM, and respond to queries on SGP program matters; • Create and maintain the SGP project database and the SGP stakeholder database; • Support and assist CPM with other ad hoc duties as and when needed
40%	**2.**	**Financial Management** • Review and process payment requests from grantees and vendors by obtaining necessary clearances and authorizations and ensuring payments are effected promptly; • Maintain financial integrity of the Country Program, implement and monitor accounting system and databases of the SGP Country Program budget; • Prepare and maintain the grant disbursement table and calendar; • Review financial reports submitted by grantees and advise the CPM, as required; • Draft administrative budget proposals; • Enter, extract, transfer data from ATLAS and the SGP database and produce reports as required; • Provide other financial reports as required
25%	**3.**	**Administrative Functions** • Procure office equipment and furniture (including communication and audio equipment, supplies etc.); • Manage and organize everyday office work; • Establish a proper filing system and maintain files and documentation in good order; • Draft routine correspondence and communications; • Prepare background information and documentation, update data relevant to the program areas and compile background material for the CPM and NSC; • Ensure flow of information and dissemination of materials with all concerned; • Follow up on travel arrangements and DSA payments for the CPM and NSC members;

% of time		Key Results Expected/Major Functions
		• Maintain personnel files, performance evaluation reports, leave records, and other pertinent personnel/consultant records; • Ensure all reporting and/or submission deadlines from UNDP-GEF (HQ) are met; • Provide logistical and other support to the local SGP team and visiting missions, as required
5%	4.	**Knowledge Management** • Actively support the SGP and NSC teams in their efforts towards knowledge management and knowledge networking.

D. <u>Technical Assistant</u>

% of time		Key Results Expected/Major Functions
15%	**1.**	**Managerial Functions**
		• Work closely with the Country Programme Manager (CPM) to ensure smooth and efficient operations of the office. • Support the CPM to effectively deliver expected results • Supervise UNV staff and provide guidance as needed • Support in developing workplans for the SGP secretariat and the field staff
60%	**2.**	**Monitoring and evaluation**
		• Develop tools to facilitate collection, storage analysis and dissemination of information • Develop a comprehensive M&E strategy, incorporating reporting and learning. • Develop tools for monitoring gender and other key indicators as per the project Monitoring Plan • Lead development of consolidated quarterly semi-annual and annual progress implementation reports for the programme including PIR • Work closely with multi-stakeholder platforms to assess and monitor implementation of portfolio at landscape or seascape level • Organize landscape/seascape annual grantee workshops for cross-learning, information exchange and networking • Coordinate preparation for Mid-term review (MTR) and Terminal Evaluation (TE). • Develop community-based monitoring tools to be applied at project level to meet project Monitoring Plan needs • Coordinate joint monitoring field visits to assess and validate progress reports • Ensure GEF SGP global database is regularly updated • Develop tools for tracking the amount of co-financing raised at programme level and project level. • Keep track of funds committed and spent per GEF focal area
25%	**3.**	**Knowledge Management and Communications**
		• Assist to develop a knowledge management and communications plan • Support knowledge management by documenting lessons learnt and earmarking best practices • Contribute to the development of communications products including project fact sheets, documentaries, briefs, and project reports. • Promote vibrancy and relevance of SGP Kenya website • Write success stories and features for the SGP Kenya website.

% of time		Key Results Expected/Major Functions
		• Assist in the production of an e-quarterly newsletter • Enhance presence of SGP Kenya on social media • Support media personnel to produce newspaper features • Facilitate development of a digital photo library

E. United Nations Volunteers

    a. Nairobi-based volunteer

% of time		Key Results Expected/Major Functions
65%	1.	**Knowledge Management and Communications**
		• Input data in the GEF SGP global database on a regular and frequent basis and ensure the database is up-to-date. • Work closely with the technical assistant to develop and implement the M & E strategy • In collaboration with the technical assistant, develop and implement a knowledge management and communications strategy • Develop communications products including fact sheets, documentaries, briefs, banners and posters. • Ensure GEFSGP website is vibrant and social media accounts are active and regularly up-dated. • Collaborate with GEF SGP staff in the field to collate information and produce newsletters and success stories for the website. • Develop landscape/seascape-wide KM and communications material in collaboration with the multi-stakeholder platforms • Collaborate with the UNDP Communications team to avail material for UNDP website and to strengthen linkage between UNDP website and SGP website • Document lessons learnt and best practices and package in a user-friendly way • Organize SGP advocacy events, workshops, field visits and other publicity events. • Work with the technical assistance to develop a matrix that tracks submission of financial and narrative reports, MTR and evaluations, and baseline assessments • Ensure all publicity material is correctly labeled and branded. • Communicate frequently with SGP grantees and other key stakeholders on current events and key accomplishments
35%	2.	**Support to Programme Implementation**
		• Assist the Programme Associate to process payments on time to suppliers of products and services • Ensure financial integrity of the Programme • Support the Programme Associate to expedite the process of starting a project in oneUNOPS once it has been approved by the NSC. • Assist Programme Associate with filing, and maintain files and documentation in good order.

    b. Land/seascape field-based volunteers

% of time		Key Results Expected/Major Functions

15%	1.	**Portfolio development at landscape/seascape**
		• Be the face of GEF SGP at the site. • Attend meetings and workshops at the landscape/seascape on behalf of GEF SGP. • Keep the SGP secretariat informed of the progress and challenges at the site • Work with and support the NSC and its deliberation during the process of project proposals selection and approval. • Work closely with the strategic partner and multi-stakeholder platform at the landscape/seascape to ensure programme and project work-plans are adhered to and revised when need arises.
55%	2.	**Monitoring and evaluation**
		• Assist grantees to write progress and financial reports as per expectations of GEF SGP and submit them on time. • Support writing of end-of-project reports • Work with strategic partner to develop quarterly and annual reports on the progress of implementation of the portfolio • Liaise closely with the Technical Assistant to ensure the GEF SGP Monitoring Plan is adhered to • Attend PIC/TAC meetings of projects to discuss progress, address challenges and agree on activities and financing for next quarter. • Attend NSC meetings when called upon to do so, to give NSC members update of the progress of portfolio implementation at the landscape/seascape. • Visit projects on a regular basis to monitor progress and assess accomplishment of milestones • Collaborate with Technical Advisor to develop community-based monitoring tools and assist to build capacity of grantees to use them effectively. • Engage grantee and communities in a mid-term review and an end-of-project evaluation. • Track co-financing as project is implemented
30%	3.	**Knowledge Management and Communications**
		• Keep the County government and other key stakeholders informed and up-to-date with the progress of project implementation and resulting outcomes • Organize field visits for key stakeholders based within the county and out • Work with strategic partner to organize grantee workshops for experience exchange and information sharing as well as eco-fairs to display and communicate the outcomes of the complementary projects. • Establish rapport with staff and journalists of local and national media houses to promote coverage of project outputs and outcomes • Work with the strategic partner to mobilize grantees and communities to celebrate/observe international environment days, such as World Water Day, International Day of Biodiversity, World Environment Day, World Desertification day, World Ocean Day, etc • Ensure proper branding of all KM and communications material. • Develop a photo library for the landscape/seascape • Write stories and provide photos for GEF SGP website • Keep GEF SGP social media accounts active and updated

Annex F: UNDP Project Quality Assurance Report

PROJECT MONITORING QA ASSESSMENT GUIDANCE				
OVERALL PROJECT				
EXEMPLARY (5) ◉◉◉◉◉	**HIGH (4)** ◉◉◉◉○	**SATISFACTORY (3)** ◉◉◉○○	**NEEDS IMPROVEMENT (2)** ◉◉○○○	**INADEQUATE (1)** ◉○○○○
At least three criteria are rated Exemplary, and all criteria are rated High or Exemplary.	All criteria are rated Satisfactory or higher, and at least three criteria are rated High or Exemplary.	At least six criteria are rated Satisfactory or higher, and only one may be rated Needs Improvement. The SES criterion must be rated Satisfactory or above.	At least three criteria are rated Satisfactory or higher, and only four criteria may be rated Needs Improvement.	One or more criteria are rated Inadequate, or five or more criteria are rated Needs Improvement.

DECISION

- **APPROVE** – the project is of sufficient quality to continue as planned. Any management actions must be addressed in a timely manner.
- **APPROVE WITH QUALIFICATIONS** – the project has issues that must be addressed before the project document can be approved. Any management actions must be addressed in a timely manner.
- **DISAPPROVE** – the project has significant issues that should prevent the project from being approved as drafted.

RATING CRITERIA

STRATEGIC

	Rating Score
1. **Does the project's Theory of Change specify how it will contribute to higher level change? (Select the option from 0-4 that best reflects the project):** • **4:** The project has a theory of change <u>backed by credible evidence</u> specifying how the project will contribute to higher level change through the programme outcome's theory of change. The project document clearly describes why the project's strategy is the best approach at this point in time. • **3:** The project has a theory of change, specifying how the project will contribute to higher level change through the programme outcome's theory of change, but this <u>backed by relatively limited evidence</u>. The project document clearly describes why the project's strategy is the best approach at this point in time. • **2:** The project has a theory of change describing how the project intends to contribute to development results, but it is <u>not supported by evidence nor linked to higher level results</u> through the programme outcome's theory of change. There is some discussion in the project document that describes why the project's strategy is the best approach at this point in time. • **1:** The project does not have a theory of change, but the project document describes in generic terms how the project will contribute to development results. It does not make an explicit link to the programme outcome's theory of change. The project document does not clearly specify why the project's strategy is the best approach at this point in time. • **0:** The project does not have a theory of change, and the project document does not specify how the project will contribute to higher level change, or why the project's strategy is the best approach at this point in time. *Note: Management Action or strong management justification must be given for scores of 0 or 1	3

Evidence

The project document outlines how the sustainable livelihood grants to be provided to community organizations, in a given land/seascape, in the areas of climate change, biodiversity conservation and land degradation will facilitate larger scale and long-term changes. The SGP by design focuses on local scale operations to bring about changes in a limited geographic scope but also strives to effect change at a larger scale by: a) planning and monitoring change at the land/seascape level; and b) establishing networks and associations that help engage government and other stakeholders with the ability to use SGP experiences to inform policy at county, sector and national level. It also works with partners that help implement SGP best practices at a larger scale. Encouraging and providing incentives for private sector involvement is another strategy towards larger-scale impacts. While SGP cannot be held accountable for achieving global environmental benefits through broader adoption of grant-level results, SGP outcomes achieved under the SGP can extend beyond the individual grant level by scaling up and using successful projects as demonstration to extend lessons learned to other communities and inform policy dialogue.

The evidence supporting this "theory of change" is embedded in the GEF programming framework for the SGP, the COMDEKS approach, the COMPACT experience, UNDP's strategic programming on low-emission and climate resilient development strategies, the emerging work on green growth indicators and the post-2015 Sustainable Development Goals.

	Rating Score
2. **Is the project aligned with the UNDP Strategic Plan? (select the option from 0-4 that best reflects the project):**	
• **4:** The project responds to one of the three areas of development work (1. Sustainable development pathways; 2. Inclusive and effective democratic governance; 3. Resilience building) as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging areas (sustainable production technologies, access to modern energy services and energy efficiency, natural resources management, extractive industries, urbanization, citizen security, social protection, and risk management for resilience); an issues-based analysis has been incorporated into the project design; And the project's RRF includes at least one SP output indicator.	
• **3:** The project responds to one of the three areas of development work (1. Sustainable development pathways; 2. Inclusive and effective democratic governance; 3. Resilience building) as specified in the Strategic Plan; an issues-based analysis has been incorporated into the project design; and the project's RRF includes at least one SP output indicator.	**4**
• **2:** The project responds to one of the three areas of development work (1. Sustainable development pathways; 2. Inclusive and effective democratic governance; 3. Resilience building) as specified in the Strategic Plan. The project's RRF includes at least one SP output indicator, if relevant.	
• **1:** While the project responds to one of the three areas of development work (1. Sustainable development pathways; 2. Inclusive and effective democratic governance; 3. Resilience building) as specified in the Strategic Plan, none of the relevant SP indicators are included in the RRF.	
• **0:** The project does not respond to one of the three areas of development work (1. Sustainable development pathways; 2. Inclusive and effective democratic governance; 3. Resilience building) as specified in the Strategic Plan	

Evidence

The project responds to all three areas of development work per the UNDP Strategic Plan. The evidence for this is through the various project activities that will integrate global environmental criteria and indicators into sustainable development planning frameworks, and that enhance communities and landscape resilience while building governance capacities. The project addresses sustainable production techniques and approaches, natural resources management, renewable energy and energy efficiency, and social protection by empowering marginalized and indigenous communities and their livelihoods.

RELEVANT

	Rating Score
3. **Does the project have strategies to effectively identify and engage targeted groups/areas? (select the option from 0-4 that best reflects this project):**	

	Rating Score
• **4:** The target groups/areas are appropriately specified. The project has an explicit strategy to identify and engage specified target groups/areas throughout the project. Beneficiaries will be identified through a rigorous process based on evidence (if applicable.) The project plans to solicit feedback from targeted groups regularly through project monitoring. Representatives of the target group/area will be included in the project's governance mechanism (i.e., NSC.) • **3:** The target groups/areas are appropriately specified. The project has an explicit strategy to identify and engage the target groups/areas throughout the project. Beneficiaries will be identified through a rigorous process based on evidence (if applicable.) The project plans to solicit feedback from targeted groups through project monitoring. Representatives of the target group, will contribute to the project's decision making, but will not play a role in the project's formal governance mechanism. • **2:** The target groups/areas are appropriately specified and engaged in project design. The project document is clear how beneficiaries will be identified and engaged throughout the project. Collecting feedback from targeted groups has been incorporated into the project's RRF/monitoring system, but representatives of the target group will not be involved in the project's decision making. • **1:** The target groups/areas are specified, but the project does not have a written strategy to identify or engage the target groups/areas throughout the project. • **0:** The project has not specified any target group/area that is the intended beneficiary of the project's results.	**4**
*Note: Management Action must be taken for scores of 0 or 1	

Evidence

Target groups in the land/seascapes have been identified through PPG consultations. The GEF 2020 Strategy emphasizes the requirement that stakeholder representatives actively engage in the full project life cycle in order to facilitate the strategic adaptation of project activities in keeping with project objectives. For this reason, there was wide-ranging participation by local stakeholders and community groups during the project design phase. Once approved, the project document will be shared widely through the NSC to ensure that there is ongoing communication and collaboration with key partners. Call for proposals will target the identified groups, in particular women. This project proposes to carry out participatory, multi-stakeholder, management in the land/seascapes, and in the areas of RE and EE innovations. Participatory monitoring will take place regularly at the grant and land/seascape levels and periodic monitoring of implementation progress will be undertaken by the UNDP CO. Furthermore, specific meetings will be scheduled between the National Steering Committee, the UNDP/CO and other pertinent stakeholders as deemed appropriate and relevant.

	Rating Score
4. **Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design? (select the option from 0-4 that best reflects this project):** • **4:** Knowledge and lessons learned backed by credible evidence from evaluation, analysis and monitoring have been explicitly used, with appropriate referencing, to develop the project's theory of change and justify the approach used by the project over alternatives. • **3:** The project design references knowledge and lessons learned backed by credible evidence from evaluation, analysis, monitoring and/or other sources, but these references have not been explicitly used to develop the project's theory of change or justify the approach used by the project over alternatives. • **2:** The project design mentions knowledge and lessons learned backed by relatively limited evidence/sources, but these references have not been explicitly used to develop the project's theory of change or justify the approach used by the project over alternatives. • **1:** There is only scant mention of knowledge and lessons learned informing the project design. These references are not backed by evidence. • **0:** There is no evidence that knowledge and lessons learned have informed the project design.	**4**
*Note: Management Action or strong management justification must be given for scores of 0 or 1	

Evidence

The project is built on several programme cycles of experience and strong institutional memory through which lessons learned have been generated, adapted and applied, and effective partnerships have been established. In Kenya the most relevant experience has been the implementation of the COMPACT programme around Mount Kenya over several years, which pioneered a community-based approach to landscape planning and monitoring within the SGP. COMPACT has been evaluated several times and a number of case studies and publications have been produced summarizing challenges, results and lessons. This project's design builds on these lessons.

	Rating Score
5. Does the project use gender analysis in the project design and includes special measures/ outputs and indicators to address gender inequities and empower women?	
• <u>4:</u> Gender analysis has been conducted on the differential impact of the project's development situation on gender relations, women and men, with constraints identified and clearly addressed in the design of gender-specific measures/outputs and indicators, where appropriate	
• <u>3:</u> Gender analysis has been conducted on the differential impact of the project's development situation on gender relations, women and men, with constraints identified but only partially addressed in the design of gender-specific measures/ outputs and indicators, where appropriate	
• <u>2:</u> Partial gender analysis has been conducted on the differential impact of the project's development situation on gender relations, women and men with constraints identified, but these have <u>not</u> been explicitly addressed in the design of gender-specific measure/outputs and indicators.	3
• <u>1:</u> The project design mentions information and/or data on the differential impact of the project's development situation on gender relations, women and men but the constraints have <u>not</u> been identified and gender-specific intervention has not been considered.	
• <u>0:</u> No gender analysis has been conducted on the differential impact of the project's development situation on gender relations, women and men.	

Evidence

A gender situation analysis was carried out during the project design. Project activities take into account which activities will benefit women and improve their socioeconomic circumstances. Improved gender participation in the governing bodies and other decision-making mechanism supported by the project will take place. Targets for a large number of indicators make it compulsory to disaggregate by gender. Calls for proposals will target women groups and networks in all geographic areas to ensure maximum participation and benefits.

	Rating Score
6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national partners, other development partners, and other actors? (select from options 0-4 that best reflects this project):	
• **4:** An analysis has been conducted on the role of other partners in the area that the project intends to work, and <u>credible evidence</u> supports the proposed engagement of UNDP and partners through the project. Options for south-south and triangular cooperation have been considered, as appropriate.	
• **3:** An analysis has been conducted on the role of other partners in the area that the project intends to work, and relatively <u>limited evidence</u> supports the proposed engagement of UNDP and partners through the project. Options for south-south and triangular cooperation have been considered, as appropriate.	
• **2:** Some analysis has been conducted on the role of other partners in the area that the project intends to work, and relatively <u>limited evidence</u> supports the proposed engagement of UNDP and partners through the project. Options for south-south and triangular cooperation have <u>not</u> been explicitly considered.	4
• **1:** No clear analysis has been conducted on the role of other partners in the area that the project intends to work, and relatively limited evidence supports the proposed engagement of UNDP and partners through the project. Options for south-south and triangular cooperation have <u>not</u> been considered.	
• **0:** <u>No analysis</u> has been conducted on the role of other partners in the area that the project intends to work to inform	

the design of the role envisioned by UNDP and other partners through the project.		
*Note: Management Action or strong management justification must be given for scores of 0 or 1		

Evidence

UNDP's mandate, relationship with government, and long-standing engagement in the country gives it a comparative advantage in facilitating government partnerships especially for GEF grant financed projects.

MANAGEMENT AND MONITORING

	Rating Score
7. **Does the project have a strong results framework? (select from options 0-4 that best reflects this project):** • **4:** The project's selection of outputs and activities are an appropriate level and relate in a clear way to the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators that measure all of the key expected changes identified in the theory of change, each with credible data sources, and populated baselines and targets, including gender sensitive, sex-disaggregated indicators where appropriate. • **3:** The project's selection of outputs and activities are an appropriate level and are consistent with the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators, with specified data sources. Most baselines and targets populated. Some use of gender sensitive, sex-disaggregated indicators. • **2:** The project's selection of outputs and activities are at an appropriate level, but do not reference the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources are not fully specified. Some use of gender sensitive, sex-disaggregated indicators. • **1:** The project's selection of outputs and activities are not at an appropriate level. Outputs are <u>not</u> accompanied by SMART, results-oriented indicators that measure the expected change, and have not been populated with baselines and targets. Data sources are not specified. No gender sensitive, sex-disaggregation of indicators is used. • **0:** The project's selection of outputs and activities are not accompanied by appropriate indicators that measure the expected change. *Note: Management Action or strong management justification must be given for scores of 0 or 1	**4**

Evidence

Project outcomes will be measured through a set of output, process, and performance indicators that have been constructed using SMART design criteria.

8. **Is there a comprehensive and costed M and E plan with specified data collection sources and methods to support evidence-based management and monitoring of the project?**	**Yes (2)**	

	Rating Score
9. **Is the project's governance mechanism clearly defined in the project document, including planned composition of the NSC?** • **4:** The project's governance mechanism is fully defined in the project composition. Individuals have been specified for each position in the governance mechanism (esp. all members of the NSC), and full terms of reference of the NSC has been attached to the project document. A conversation has been held with each board member on their role and responsibilities, and all members agree on the terms of reference. • **3:** The project's governance mechanism is almost fully defined in the project document. Individuals have been specified for each position in the governance mechanism (esp. all members of the NSC). While full terms of reference of the NSC may not be attached, the project document describes the responsibilities of the NSC, project director/manager and quality assurance roles. • **2:** The project's governance mechanism is partially defined in the project document; specific institutions are noted as holding key governance roles, but individuals have not yet been specified. The project document lists the most important responsibilities of the NSC, project	**4**

director/manager and quality assurance roles, but full terms of reference are not included. • **1:** The project's governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism. • **0:** The governance mechanism is not clearly defined in the project document *Note: Management Action or strong management justification must be given for scores of 0 or 1	

Evidence

The governance mechanism is fully defined in the project document and in accordance with the SGP Operational Guidelines. The NSC terms of reference are appended to the prodoc. The project document clearly describes the responsibilities of the National Steering Committee and those of UNDP and UNOPS.

	Rating Score
10. Have the project risks been identified with clear plans stated to manage and mitigate each risk? (select from options 0-4 that best reflects this project): • **4:** Project risks fully described in the project risk log, based on comprehensive analysis that references key assumptions made in the project's theory of change. Clear and complete plan in place to manage and mitigate each risk. • **3:** Project risks identified in the project risk log. Clear plan in place to manage and mitigate risks. • **2:** Some risks identified in the initial project risk log. While some general mitigation measures have been identified, they do not adequately and fully address all the identified risks. • **1:** Some risks identified in the initial project risk log, but no clear risk mitigation measures identified. • **0:** Risks not clearly identified. No initial project risk log included with the project document. *Note: Management Action must be taken for scores of 0 or 1	**3**

Evidence
An assessment of internal and external risks based on extensive consultations and review of background documentation has been completed. Risks and assumptions have been fully identified in the project. Measures to mitigate the risk have been considered and addressed in the project document. This includes the completion of the social and environmental screening template.

EFFICIENT

11. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include using the theory of change analysis to explore different options of achieving the maximum results with the resources available.	**Yes (2)**	
12. Are plans in place to ensure the project links up with other relevant on-going projects and initiatives, whether led by UNDP, national or other partners, to achieve more efficient results (including, for example, through sharing resources or coordinating delivery?)	**Yes (2)**	
13. Is the budget justified and supported with valid estimates?	**Yes (2)**	
14. Is the Country Office fully recovering its costs involved with project implementation?	**Yes (2)**	

EFFECTIVE

	Rating Score
15. Is the chosen implementation modality most appropriate? (select from options 0-4 that best reflects this project): • **4:** The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted, and there is evidence that options for implementation modalities have been thoroughly considered. There is a strong justification for choosing the selected modality, based on the development context.	**N/A**

• **3:** The required IP assessments (capacity assessment, HACT micro assessment) have been conducted, and there is evidence that options for implementation modalities have been considered. There is justification for choosing the selected modality, based on the development context. • **2:** The capacity of the IP has been assessed, but the HACT micro assessment has not been done due to external factors outside of UNDP's control. There is evidence that options for implementation modalities have been considered. There is justification for choosing the selected modality, based on the development context. • **1:** The required assessments have not been conducted, but there is evidence that options for implementation modalities have been considered. • **0:** The required assessments have not been conducted, and there is no evidence that options for implementation modalities have been considered. *Note: Management Action or strong management justification must be given for scores of 0 or 1	

Evidence

This project will be implemented through UNOPS execution. The choice of modality is based on an agreement between the Government of Kenya, UNOPS, and UNDP and follows prior practice.

16. Have targeted groups, including marginalized populations that will be affected by the project, been engaged in the design of the project?	**Yes (2)**	
17. Does the project have explicit plans for evaluation or other lesson learning, timed to inform course corrections if needed during project implementation?	**Yes (2)**	

18. The project budget at the output level reflects adequate financial investments contributing to the advancement of gender equality. This can include outputs that have adequately mainstreamed gender (GEN2), and/or outputs for gender specific or stand-alone intervention (GEN3).
    • **4:** The project budget reflects outstanding financial investments contributing to gender equality as evidenced by 100% of the project budget at the output level with the gender marker score GEN2+GEN3.
    • **3:** The project budget reflects adequate financial investments contributing to gender equality as evidenced by at least 75% of the project budget at the output level with the gender marker score GEN2+GEN3.
    • **2:** The project budget reflects partial investments contributing to gender equality as evidenced by at least 50% of the project budget at the output level with the gender marker score GEN2+GEN3.
    • **1:** The project budget reflects limited financial investments contributing to gender equality as evidenced by at least 25% of the project budget at the output level with the gender marker score GEN2+GEN3.
    • **0:** The project budget reflects no financial investments contributing to gender equality
 	
*Note: Management Action or strong management justification must be given for scores of 0 or 1
	Rating Score	

	1	

Evidence

Gender targets for participation of women indicate that a portion of the budget will be specifically allocated to women's' inclusion. However, the actual amount invested will depend on the grants proposals to be received from consideration and the decisions of the NSC. SGP will make every effort to enhance the capacities of women's groups to successfully compete for grants.

19. Is there a realistic multi-year work plan and budget to ensure outputs are delivered on time and within allotted resources? (select from options 0-4 that best reflects this project):	Rating Score	
• **4:** The project has a realistic multi-year work plan and multi- year budget at the activity level to ensure outputs are delivered on time and within the allotted resources. • **3:** The project has a multi-year work plan at the activity level and multi-year budget at the output level.	**NA**	

• **2:** The project has a multi-year work plan and a multi-year budget at the output level. • **1:** The project has an output level multi-year work plan, but not a multi-year budget • **0:** The project does not yet have a multi-year work plan.	
Evidence The multi-year workplan was prepared at the Output level and not at the activity level. This is consistent with past practice given the small grants programme implementation modality.	

SOCIAL AND ENVIRONMENTAL STANDARDS

20. Has the project ensured that both women and men have equitable access to project resources and comparable social and environmental benefits? (select from options 0-4 that best reflects this project):	Rating Score
• **4:** Credible evidence that the project fully reflects a consistent strategy that provides equitable access to and control over project resources and social and environmental benefits (e.g., security, health, water, and culture) through project rationale, strategies and results framework. • **3:** Credible evidence that the project partially reflects a strategy that provides equitable access to and control over project resources and social and environmental benefits (e.g., security, health, water, and culture) through project strategies and the results framework. • **2:** Credible evidence that the project design includes a set of activities that provide equitable access to and control over project resources and social and environmental benefits (e.g., security, health, water, and culture) although project activities are not part of a consistent strategy. • **1:** Credible evidence that the project design includes some scattered activities that provide equitable access to and control over project resources and social and environmental benefits (e.g., security, health, water, and culture) • **0:** The project has no interventions to ensure a fair share of opportunities and benefits for women and men or reduce gender inequalities in access to and control over resources and social and environmental benefits (e.g., security, health, water, and culture) ***Note: Management Action or strong management justification must be given for scores of 0 or 1**	**3**
Evidence Gender sensitivity and gender considerations have been taken into account in the formulation of the project. Every effort will be made to address gender concerns in its implementation. Roles of men and women to participate in project activities will be assigned without any discrimination. The project has been designed to target women's needs for improved livelihoods.	
21. Did the project apply a human rights based approach?	Rating Score
• **4:** Credible evidence that opportunities to integrate human rights in the project and prioritize the principles of accountability, meaningful participation, and non-discrimination were fully considered. Any potential adverse impacts on enjoyment of human rights were rigorously assessed and identified with appropriate mitigation and management measures incorporated into project design and budget. • **3:** Partial evidence that opportunities to integrate human rights in the project and the principles of accountability, meaningful participation, and non-discrimination were considered. Potential adverse impacts on enjoyment of human rights were assessed and identified and appropriate mitigation and management measures incorporated into the project design and budget. • **2:** Limited evidence that opportunities to integrate human rights in the project and the principles of accountability, meaningful participation and non-discrimination were considered. Potential adverse impacts on enjoyment of human rights were assessed and identified and appropriate mitigation and management measures incorporated into the project design and budget. • **1:** No evidence that opportunities to integrate human rights in the project and the principles of accountability, meaningful participation and non-discrimination were considered. Limited evidence that potential adverse impacts on enjoyment of human rights were considered.	**4**

• **0:** No evidence that opportunities to integrate human rights in the project were considered. No evidence that the potential adverse impact on the enjoyment of human rights have been considered. *Note: Management action or strong management justification must be given for scores of 0 or 1	
Evidence The project supports the meaningful participation and inclusion of all stakeholders, during the design, implementation, monitoring, and adaptive collaborative management of the project. During the project formulation phase, consultation sessions and meetings were undertaken with a diverse group of stakeholders in order to construct as holistic as possible an understanding of the challenges and barriers related to the management of natural resources in the three selected sites. The project design makes the assumption that the extensive consultations during project formulation strengthens the transparency and legitimacy of the proposed project activities, notwithstanding that during project implementation, activities can and should be adapted to ensure that the human rights of stakeholders are preserved and/or reinforced. The extensive stakeholder consultations, learning-by-doing activities, and knowledge exchanges are intended to engage as many people as possible in order to reduce the risks of marginalizing stakeholders and incorporating their diverse perspectives in as many project activities as possible. For each grant, potential adverse impacts on the enjoyment of human rights will be rigorously assessed and identified with appropriate mitigation and management measures incorporated into project design and budget.	
22. Did the project consider potential environmental opportunities and adverse impacts, applying a precautionary approach?	Rating Score
• **4:** Credible evidence that <u>opportunities to enhance</u> environmental sustainability and integrate poverty-environment linkages were fully considered. Identified opportunities fully integrated in project strategy and design. Credible evidence that potential adverse environmental impacts identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. • **3:** Limited evidence that opportunities to enhance environmental sustainability and poverty-environment linkages were considered. Credible evidence that potential adverse environmental impacts identified and assessed and appropriate management and mitigation measures incorporated into project design and budget. • **2:** No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Credible evidence that potential adverse environmental impacts assessed and appropriate management and mitigation measures incorporated into project design and budget. • **1:** No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Limited evidence that potential adverse environmental impacts were adequately considered. • **0:** No evidence that potential adverse environmental impacts have been considered. Note: Management action or strong management justification must be given for scores of 0 or 1	**4**
Evidence The entire focus of the project is on enhancing environmental sustainability and livelihoods of local communities. In the technologies and innovations considered thus far (both in SGP-05 and planned for SGP-OP6), there are no adverse environmental impacts detected.	

23. If the project is worth $500,000 or more, has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks?	**Yes**
	Yes

SUSTAINABILITY AND NATIONAL OWNERSHIP

	Rating Score
24. Have national partners led, or proactively engaged in, the design of the project? (select from options 0-4 that best reflects this project): • **4:** National partners have full ownership of the project and led the process of the development of the project. • **3:** The project has been developed jointly by UNDP and national partners, with equal effort. • **2:** The project has been developed by UNDP in close consultation with national partners. • **1:** The project has been developed by UNDP with limited engagement with national partners. • **0:** The project has been developed by UNDP with no engagement with national partners.	4
Evidence The priorities have been determined through a consultative process involving community-based partner organizations, the National Steering Committee and others such as County Governments, NGOs and academia that have expertise in local sustainable development and the GEF focal areas. In selecting grantee projects, the criteria for consideration include their fit with the GEF focal areas to ensure that global environmental benefits are generated while sustaining local level development benefits, especially enhanced incomes, and food security. In addition, proposed activities needed to be aligned with and/or contribute to national priorities as outlined in national policy documents.	

	Rating Score
25. Are key institutions and systems identified, and is there a strategy for strengthening specific/ comprehensive capacities based on capacity assessments conducted? (select from options 0-4 that best reflects this project): • **4:** The project has a comprehensive strategy for strengthening specific capacities of national institutions based on a systematic and detailed capacity assessment that has been completed. • **3:** A capacity assessment has been completed, although it is not systematic or detailed. The project document has identified activities that will be undertaken to strengthen capacity of national institutions, but these activities are not part of a comprehensive strategy. • **2:** A capacity assessment is planned after the start of the project. There are plans to develop a strategy to strengthen specific capacities of national institutions based on the results of the capacity assessment. • **1:** There is mention in the project document of capacities of national institutions to be strengthened through the project, but no capacity assessments or specific strategy developments are planned. • **0:** Capacity assessments have not been carried out and are not foreseen. There is no strategy for strengthening specific capacities of national institutions.	3
Evidence Project activities are designed to increase the capacity of key institutions and communities on a wide range of issues. Through a learning-by-doing and adaptive collaborative management approach, the project will strengthen targeted institutional and technical capacities. The project will also support the implementation of training, mentoring and peer-exchanges on various topics to be determined through a detailed capacity needs assessment to be conducted at the project's inception. This is fully described in the Project document	

26. Is there is a clear plan for how the project will use national systems, and national systems will be used to the extent possible?	**Yes (2)**	No (0)
27. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilization strategy)?	Yes (2)	No (0)

Annex G: SGP Operational Guidelines

GEF SMALL GRANTS PROGRAMME (SGP) OPERATIONAL GUIDELINES

Purpose of this Document

These Operational Guidelines are intended to assist GEF SGP National Coordinators/Sub-Regional Coordinators (NCs/SRCs), National Steering Committees (NSCs), Sub-regional Steering Committees (SRSCs), National Focal Groups (NFGs), UNDP Country Offices and National Host Institution (NHI) staff as well as the SGP Central Programme Management Team (CPMT) and the Global Coordinator of the SGP Upgrading Country Programmes in programme implementation. They are based on the experience and knowledge gained both at the country and global levels through years of GEF SGP programme implementation. They provide the basic framework for operations in relation to the structure, implementation, and administration of the programme. They also address the project cycle and grant disbursement. Programme and project monitoring, evaluation, and reporting are covered in the GEF SGP Monitoring and Evaluation Framework.

The guidelines and models set forth herein are meant to apply generally to all GEF SGP Country Programmes. It is recognized, however, that different contexts and situations will require different responses and adaptations. Any questions about the application of particular provisions of the guidelines or need for adaptation should be referred to the GEF SGP Global Manager and Central Programme Management Team (CPMT) or the Global Coordinator of the SGP Upgrading Country Programmes. On administrative and financial matters, questions may be answered by the UNOPS SGP Standard Operating Procedures and, if necessary, to the respective UNOPS SGP Portfolio Manager.

List of Acronyms

BAC	Budget Account Classification Code
CBO	Community-based Organization
CCF	Country Cooperation Framework
CO	Country Office
COA	Chart of Account (ATLAS)
COB	Country Operating Budget
CPMT	Central Programme Management Team
CPS	Country Programme Strategy
GEF	Global Environment Facility
IOV	Inter-office Voucher
MandE	Monitoring and Evaluation
MOA	Memorandum of Agreement
MOD	Miscellaneous Obligation Document
NC	National Coordinator
NFP	National Focal Person
NFG	National Focal Group
NGO	Non-governmental Organization
NHI	National Host Institution
NPFE	GEF National Portfolio Formulation Exercise
NSC	National Steering Committee
OP	Operational Programme
PA	Programme Assistant
PO	Purchase Order (ATLAS)
REQ	Requisition (ATLAS)
SBAA	Standard Basic Assistance Agreement
SGP	GEF Small Grants Programme
SOPs	Standard Operating Procedures
SRC	Sub-Regional Coordinator
SRSC	Sub-Regional Steering Committee
SPS	Sub-Regional Programme Strategy
TOR	Terms of Reference
UCP	Upgrading Country Programme
UNCBD	United Nations Convention on Biological Diversity
UNCCD	United Nations Convention to Combat Desertification
UNDP	United Nations Development Programme
UNOPS	United Nations Office for Project Services
UNFCCC	United Nations Framework Convention on Climate Change

Part I: GEF SGP Programme Structure

1.   The structure of the GEF Small Grants Programme (SGP), implemented by UNDP, is decentralized and country-driven. Within the parameters established by the GEF Council and reflected in the Project Document for an Operational Phase, the programme seeks to provide for maximum country and community-level ownership and initiative. This decentralization is balanced against the need for programme consistency and accountability across the participating countries for the achievement of the GEF's global environmental objectives, and the SGP's particular benchmarks as stated in the Project Document for each Operational Phase.

2.   The SGP is a global and multi-focal area GEF project, approved for funding by the GEF Council on a rolling replenishment, implemented by UNDP on behalf of the GEF partnership, and executed by UNOPS. In the case of Upgraded Country Programmes, UNOPS execution is the recommended option although a country-specific execution modality utilizing a national non-governmental organization or a consortium of non-governmental organizations, selected by UNDP through a competitive process, can be utilized[33]. Within the UNDP framework, the SGP, as a global programme, is handled differently from UNDP core national or regional programmes.[34]

3.   The GEF Council approves SGP Project Information Form (PIF), GEF CEO Endorsement request, and SGP Project Document for the SGP Global Programme as well as for all Upgrading Country Programmes for each GEF Operational Phase. The SGP Project Document, whether for the global program or upgrading country programmes, provides the framework for SGP operations in accordance with the GEF mandate, including specific benchmarks for project achievements. It also sets forth many of the programme and financial reporting requirements for which UNDP has legal responsibility.

4.   Globally, the SGP brings together country programmes of participating countries across all world regions. The key eligibility criteria for countries to participate in SGP are:

- ✓ Existence of environmental needs and threats in GEF focal or thematic areas;
- ✓ Ratification of at least one of the global environmental conventions including the United Nations Convention on Biological Diversity (CBD); the United Nations Framework Convention on Climate Change (UNFCCC); the Stockholm Convention on Persistent Organic Pollutants; and United Nations Convention to Combat Desertification (UNCCD);
- ✓ Government commitment in the participating country and support for the programme's implementation modality according to the operational guidelines;
- ✓ Potential for strong government-NGO relations and positive support for local Civil Society Organizations;[35]
- ✓ Commitment to resource mobilization: the UNDP/CO and government share available funding for SGP delivery from both GEF and non-GEF sources, and support efforts to attract other co-funding sources;
- ✓ Positive enabling environment.

SGP Headquarters Structure

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[33] As per policy approved by the GEF Council Meeting (November 10-12, 2009, Washington DC) based on GEF/C.36/4 Small Grants Programme: Execution Arrangements and Upgrading Policy for GEF-5 (see para 19 and paras 52 - 53). This has been reaffirmed through the approval of the GEF Council Paper GEF/C.46/13 of April 30, 2014 "GEF Small Grants Programme: Implementation Arrangements for GEF-6.

[34] For more information about global programming, please see the UNDP Programming Manual, especially Section 8.3. The Programming Manual is available in UNDP Country Offices and at the following website: http://www.undp.org/osg/pm/index.htm

[35] For the purpose of the SGP and its grant making, CSOs refer to national and local non-governmental organizations (NGOs) with priority on community-based organizations (CBOs), indigenous peoples, farmers, scientific community, women's groups, and youth and children organizations.

5.   A UNDP/GEF Unit at UNDP Headquarters in New York provides fiduciary oversight for all of its GEF activities, including the SGP. Key UNDP Headquarters staff include the UNDP GEF Executive Coordinator, and his/her Deputy, who are legally accountable to UNDP and to the GEF Council for the utilisation of GEF resources.

6.   Overall management of the SGP Global Programme, including operational guidance and support to the country programmes, as well as the identification and establishment of SGP Country Programmes in new countries, are conducted by the SGP Central Programme Management Team (CPMT). The CPMT is composed of a Global Manager and Deputy Global Manager; Programme Specialists responsible for matrixed country support and focal area guidance, knowledge management, and monitoring and evaluation; Programme Associates; as well as external consultants, as needed. The SGP Upgrading Country Programmes (UCPs), given their financing modality as GEF Full-Size Projects, are managed by a UNDP-GEF UCP Global Coordinator, who provides technical assistance, strategic advice, and resource mobilization support and promotes substantive and strategic alignment and coordination of the UCPs with the Global SGP Programme.

7.   The United Nations Office for Project Services (UNOPS) provides programme execution services including administrative, financial, legal, operational, procurement and project management for the SGP as described in detail in the UNOPS SGP Standard Operating Procedures (SOPs).[36] The UNOPS SGP Cluster Coordinator and his/her team work closely with the SGP Deputy Global Manager and CPMT staff, as well as with the SGP UCP Global Coordinator.

8.   The SGP Global Manager and his/her alternate, the SGP Deputy Global Manager, are ultimately responsible for the overall management, strategic direction, policy development and resource mobilization efforts of the SGP Global Programme. The Programme Specialists are primarily responsible for guidance on GEF focal areas and thematic directions, Country Programme support, regional coordination responsibilities, knowledge sharing, partnership development and networking. As necessary, the Global Manager and Deputy Global Manager may delegate certain functions to the Programme Specialists.

9.   SGP regional teams, composed of at least one staff member from CPMT and from UNOPS, as well as the regional senior SGP National Coordinator as needed, may provide a range of technical advice, operational, management and administrative support to country programmes in each of the six SGP world regions,[37] divided as follows:

- o   Africa
- o   Arab States
- o   Asia
- o   Europe and CIS
- o   Pacific
- o   Latin America and the Caribbean

10.   While for the Global Programme, the CPMT regional focal point focuses primarily on GEF technical and programmatic matters, and the UNOPS regional focal point is responsible for administrative and financial issues, the SGP regional team works collaboratively in advising country programmes with regard to all substantive and operational matters. The regional teams also review the annual SGP country staff performance and recommend ratings for review by the Deputy Global Manager, and his/her counterpart in UNOPS, prior to endorsement and finalisation by the Global Manager.

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[36]https://intrafed.unops.org/ORGANIGRAMME/NAO/SGP/SGP_MANUAL/Pages/default.aspx

[37] For a full list of participating SGP countries see:

http://www.sgp.undp.org//index.cfm?module=ActiveWebandpage=WebPageands=contry_profile

11.   For the Upgrading Country Programmes, the division of labour between the SGP UCP Global Coordinator and UNOPS is similar to those above, as are the collaborative arrangements between UNDP-GEF and UNOPS.

12.   SGP Programme Associates are responsible for daily administration, filing and archive management; financial record-keeping and reporting to donors; human resources support; external communications; organisation of meetings; and responses to routine requests for information. The Programme Associates monitor completion of SGP work-plans, and assist in CPMT activities, correspondence, and other assigned tasks.

SGP Country Programme Structure

13.   The SGP operates in a decentralized and country-driven manner through a National Coordinator or Sub-regional Coordinator (both hereafter to be referred as NC) and National Steering Committee or National Focal Group for those in sub-regional programme modality (both hereafter abbreviated to NSC) in each participating country, with some modification in the case of countries in a sub-regional programme modality[38], with financial and administrative support provided by the UNDP Country Office (CO). In some countries, a National Host Institution (NHI) or host NGO[39] is responsible for programme implementation in conjunction with the NC and NSC. At the country level, the SGP operates under the overall UNDP SBAA agreement, although the SGP Global Programme is not considered a part of the CCF or UNDP core functions at the country level.

14.   The NSC is composed of voluntary members from NGOs, academic and scientific institutions, other civil society organizations, the UNDP CO, and government, with a majority of members coming from the non-governmental sector. The NSC provides overall guidance and direction to the Country Programme, and contributes to developing and implementing strategies for Country Programme sustainability.

15.   The technical capacity of the individual NSC members is an important criterion in determining its composition, and to the maximum extent possible the NSC membership should include experts in the relevant GEF focal areas of biodiversity; climate change mitigation; international waters; sustainable land management; sustainable forest management and REDD; persistent organic pollutants/ chemicals; as well as capacity development. The inclusion of the government GEF Operational Focal Point (OFP) or relevant Convention Focal Point in the NSC is also recommended.

16.   The NSC is responsible for the review, selection and approval of projects, and for ensuring their technical and substantive quality as regards the strategic objectives of the SGP. In collaboration with the NC, the NSC contributes to the development of the Country Programme Strategy (CPS)[40] in accordance with the relevant GEF Project Document for the Operational Phase and national environmental priorities, and oversees its implementation. NSC members are expected to support the Country Programme in resource mobilization and in mainstreaming SGP lessons learned and successes in national development planning and policy-making. NSC members are encouraged to participate in pre-selection project site visits and in project monitoring and evaluation.

17.   The NSC may also constitute a Technical Advisory Groups (TAG) with a pool of voluntary experts on call to serve as a technical sub-committee, for review of proposals and in relation to specific areas of programming and partnership development. The TAG can also be tasked by the NSC to provide specific technical guidance in specialised areas of work, such as carbon measurement, payments for ecosystem services, marketing and certification of

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[38]In the case of SGP Sub-regional Programmes, the Sub-Regional Coordinator (SRC) may manage the programme, while projects are reviewed and approved by a voluntary National Focal Group (NFG) with part-time facilitation by a National Focal Person (NFP). Some countries, with substantial grant making, may decide to shift to a Country Programme modality still linked to the subregional group with a full-time NC or a Community Program Officer and the SRC providing subregional coordination and technical support.

[39] National Host Institution or NHI and host NGO are used interchangeably in this document because SGP Country Programmes commonly employ both terms.

[40] An Upgrading Country Programme is not required to produce a Country Programme Strategy since it produces a Project Document for the Full Size Project financing their Country Programme for the relevant Operational Phase.

products, transboundary diagnostic analysis, and other relevant fields. In addition, the TAG may also be formed in response to donor and co-financing requirements mobilised for the SGP country programme.

18.   The SGP NC has lead responsibility for managing the development and implementation of the country or sub-regional programme, for ensuring that grants and projects meet GEF and SGP criteria, and for planning and implementation of upscaling strategies. The NC's primary functions include inter alia: (i) assisting CSOs in the formulation of project proposals; (ii) serving as the ex officio secretariat for the NSC; (iii) ensuring sound programme monitoring and evaluation, including periodic project site visits; (iv) resource mobilization; (v) communication and dissemination of SGP information; and (v) global reporting to CPMT, UNOPS, responding to audits, and other tasks as stipulated in their ToR.[41]

19.   The UNDP CO provides management support to the SGP Country Programme as outlined in this document. The UNDP Resident Representative/Resident Coordinator (hereafter abbreviated to UNDP RR) in each UNDP CO assigns a senior staff person (typically the Environment Focal Point or head of the Sustainable Development Cluster) to serve as the SGP focal point. The UNDP RR participates in the NSC or may designate the focal point as his/her delegate in the NSC. Each UNDP CO also contributes to monitoring programme activities – usually through broad oversight by the designated focal point as part of NSC responsibilities - facilitates interaction with the host government, and develops links with other in-country financial and technical resources.

20.   The UNDP CO is also responsible for providing operational support – the RR signature of grant project MOAs (on behalf of UNOPS); appointment letters of NSC members (on behalf of CPMT); local grant disbursements; HR administration; as well as assisting in audit exercises for the programme. The detailed steps for each operational aspect are described in the UNOPS SGP SOPs. The UNDP CO also plays a fundamental role in launching a new SGP Country Programme in terms of endorsement of the government application to be a participating SGP country and in helping CPMT organize the start-up mission. The UNDP CO also plays a critical role in the proper closing of an SGP Country Programme.

Part II Implementation and Administration of SGP Country Programmes

In-country institutional arrangements

21.   The SGP operates at the country level under the overall UNDP SBAA agreement, however, the SGP Global Programme remains the responsibility of the CPMT/UNOPS SGP Cluster at Headquarters and, like the Upgrading Country Programmes, is accountable to UNDP-GEF in New York, and ultimately, the GEF Council. There are two basic modalities for SGP hosting arrangements for the country programme that, in consultation with country stakeholders, will be decided by CPMT or the UCP Global Coordinator. In most countries, the programme is hosted by the UNDP CO, although this may also mean that the SGP office is physically located outside CO premises. Where there are issues of accessibility and based on consultations with stakeholders, the programme could be hosted in a National Host Institution (NHI), which may be an NGO or academic institution.

22.   In case of NHI hosting, UNOPS issues and administers a sub-contract with the NHI that outlines the technical support and administrative services to be provided, as well as the applicable operating budget. In all cases, the UNDP CO provides needed support for SGP in-country operations in coordination with the CPMT or UCP Global Coordinator and UNOPS. Whatever the hosting arrangements, all Country Programmes respond equally to the relevant Operational Phase Project Document (global or national upgrading) and the global SGP Operational Guidelines.

23.   As noted above, NCs of Country Programmes in the Global SGP Programme are guided by CPMT regional focal points for the majority of operational and technical matters, whilst reporting ultimately to the SGP Global Manager. NCs of Upgrading Country Programmes are guided by the Global UCP Coordinator. NCs are also accountable to the

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[41] See full-length version of SGP CPM ToRs.

UNDP RR for country-level programme expenditures and on matters regarding meeting the ethical and professional standards of the UNDP. The UNDP RR, in consultation with members of the NSC, is responsible for preparing the annual evaluation of NC performance and recommendation concerning contractual status for review by either CPMT or the Global UCP Coordinator, and UNOPS.

24.　In keeping with the spirit and mandate of the SGP to develop and foster the capacities of CSOs in participating countries, it is expected that as individual Country Programmes mature it will be possible to transfer the hosting arrangements from the UNDP CO to NHIs. Any decision for transfer should be based on a full consultative process and analysis of key factors, and must be approved by the CPMT or Global UCP Coordinator in consultation with the UNDP RR. In certain cases, where the selected NHI does not fully meet performance expectations, and upon consultation with country stakeholders, the contract may be terminated by the CPMT or Global Coordinator, and UNOPS, and hosting will be transferred either to the UNDP CO or to another NHI.

25.　The relationship with an NHI may range from the provision of physical office space, with the NC and NSC carrying full responsibility for programme management; one in which the NHI is responsible for providing specifically agreed services, such as technical advice and support; through to one where the NHI carries full responsibility for managing the SGP programme. The extent of responsibility will be clearly defined in the contract for services signed by UNOPS and the NHI and may evolve over time.

26.　The identification of a pool of suitable NHIs may be carried out through a process of competitive bidding, or by gradually accumulating a list of available and interested organizations in consultation with key stakeholders. Local representation of international NGOs would not normally be eligible. The legitimacy and neutrality of potential NHIs within the national NGO community are essential qualifications to carry out SGP grant-making activities. Once a pool of organizations has been established, the following factors will be considered by the CPMT or Global UCP Coordinator, and UNDP CO to select the best candidate:

- ✓ National stature and credibility;
- ✓ Good working relationships with other CSOs, including participation in environment/ development networks;
- ✓ Demonstrated compatibility with the procedures, objectives, and grant-making functions of the SGP, GEF, and UNDP;
- ✓ Significant experience in community-based, participatory environment and development;
- ✓ Substantial involvement and technical expertise in environmental issues related to the GEF focal areas and the Rio conventions;
- ✓ Proven programme management and administrative capacity with systems in place.

27.　The NC is normally an employee of UNOPS whereas the contract is administered locally by the UNDP CO on behalf of UNOPS. In some cases, the NC contract administration can be covered under the terms of the contract with the NHI. The selection of the NC is done through a publicly advertised and competitive selection process. As a general rule, the recruitment process for the NC is managed on behalf of UNOPS by the UNDP CO under the overall supervision of the UNDP RR. This is ordinarily the case even if the NC will be placed in an NHI; however, the NHI, as appropriate and upon approval of CPMT, may manage the NC recruitment. The selection panel submits three of the top applicants to the SGP Global Manager for final selection and decision. The recruitment process and related guidelines are described in more detail in the UNOPS SGP Standard Operating Procedures (SOPs).
28.
29.　Typically, NHIs do not normally administer grant funds. As Country Programmes evolve and/or upgrade, however, it may become desirable to include direct grants administration as part of NHI responsibilities under UNOPS-issued contracts or other mechanisms, thereby increasing the level of country ownership of, and civil society participation in, the programme. Administrative procedures will need to be devised to ensure that the administration of grant allocations and their transferal to grant recipients remain transparent, accountable and fluid. NHIs cannot be awarded nor use SGP grant funds.

SGP country staff roles and responsibilities

30.   The NC is responsible for the overall functioning of the SGP in each participating country, and for the achievement of the benchmarks established for Country Programme implementation in the CPS (Global Programme) or Project Document (UCP) for the relevant Operational Phase. The NC is expected to have full-time dedication to the SGP.[42] The NC is responsible for ensuring sound programme and project monitoring and evaluation, and laying the foundation for programme upscaling and sustainability. In project development, the NC may work directly to assist the proponent CSO to access needed support, including the recommendation of support through planning grants. The NC, jointly with the UNDP CO, bear direct responsibility for all local programme expenditures. A critical aspect of the NC job performance is to carefully monitor and supervise these expenditures under the overall supervision of UNOPS and to ensure accountability and transparency.

31.   The NC usually represents the SGP in local and national meetings, workshops, and other events, and may be accompanied by members of the NSC. However, for legal and financial purposes, only the UNDP RR or his/her Officer in Charge (OIC) may represent the SGP in-country (on behalf of UNOPS). Only the UNDP RR or his/her Officer in Charge (OIC) can sign SGP grant Memoranda of Agreement (MOAs) and for signing any co-financing arrangements on behalf of SGP. While the NC may initiate and undertake co-financing and other negotiations for the programme, s/he should never officially sign such agreements. The NC, however, may sign non-binding collaborative agreements between SGP and other projects and programs. The NC should consult the CPMT or the Global UCP Coordinator, and the UNOPS SGP Cluster if there is any doubt on signing rules and procedures.

32.   The performance of NCs is evaluated annually. The evaluation is undertaken through an online Performance and Results Assessment (PRA) in two parts: a self-assessment by the NC, and a performance evaluation with NSC inputs under the charge of the UNDP RR. These two parts of the evaluation should be completed shortly after the completion of the reporting period. The completed and signed evaluations are submitted to the CPMT or the Global UCP Coordinator. The PRA evaluations are reviewed by the CPMT or Global UCP Coordinator, with UNOPS inputs, and final decisions are then taken for the Global Programme Country Programmes by the SGP Global Manager and Deputy Global Manager on contract renewal, or by the Global UCP Coordinator, as well as other actions that might need to be taken.

33.   In most countries, the NC works with a Programme Assistant/Associate (PA). On behalf of UNOPS, the UNDP CO may hire a PA with technical and/or administrative skills and functions depending on local needs. The NC shall be involved in the selection process and the panel recommendation will be forwarded to CPMT and UNOPS for final approval. The NC will be in charge of the supervision and PRA for the PA. In certain cases, consultants with a technical background, especially in the GEF focal areas, may be recruited to contribute to project design, implementation, and monitoring and evaluation, and can be delegated by the NC to provide these services to CSOs and SGP projects as necessary. The recruitment process and related guidelines are highlighted in detail in the UNOPS SGP SOPs.

National Steering Committee procedures

34.   The NSC is a central element of the SGP and provides the primary substantive contribution and oversight to the programme, in coordination with the NC. While staffing and operational management of the SGP is undertaken through UNDP/UNOPS structures, no SGP project may be undertaken at the country level without the approval of the NSC. As such, the NSC must do its best to ensure the technical and substantive quality of SGP grants, and the administrative and financial capacity, either actual or potential, of the CSO grant recipients. The UNDP RR, or his/her delegate, as well as other members of the NSC, are encouraged to provide any relevant information about these concerns, especially the financial and organizational integrity of CSOs. Operationally, the decisions of the NSC are considered final provided they are consistent with these operational guidelines, the SGP Project Document for the GEF Operational Phase and the Country Programme Strategy (or UCP Project Document). However, neither the NSC

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[42] The NC should not accept any other functions unless a cost-sharing arrangement can be negotiated with the UNDP CO or host NGO and validated by CPMT/UNOPS.

nor its individual members as programme volunteers, hold any legal or fiduciary responsibility for the SGP or its activities.

35.   The selection of NSC members is normally done by the NC in consultation with the UNDP RR. For new country programmes, the NSC is often established as a result of a preparatory mission or in the initial stages of launching the programme. NSC members should have an abiding interest and commitment to working with communities and share a vision of what sustainable development and "thinking globally, acting locally" might mean in terms of linking the GEF focal areas with community needs and concerns. NSC non-governmental members must have high credibility and wide experience working with local communities and CSOs in the country and thus can represent their needs and interests in committee discussions. Strong, experienced, and technically competent civil society representation on the NSC is crucial as a means of keeping the SGP responsive to its mandate to work with CSOs, CBOs and indigenous peoples. These members must also have the requisite knowledge of GEF Focal Areas and/or specific themes such as gender, sustainable livelihoods, and knowledge management. Governmental and donor agency members should hold positions relevant to the work of the SGP and at a level where they could make decisions on behalf of their agencies, particularly when assessing proposals which they are being asked to fund. NSC members on the whole must be able and willing to discuss constructively and develop consensus decisions. The NSC, with the NC, are responsible for ensuring participatory, democratic, impartial, and transparent procedures for project review and approval, as well as all other aspects of programme implementation at the country level in accordance with the SGP Project Document for the relevant Operational Phase.

36.   The composition of a newly established NSC is subject to ratification by the SGP Global Manager or the Global UCP Coordinator while subsequent appointments can be ratified by the responsible CPMT Regional Focal Point for global programme countries and by the Global UCP Coordinator for upgrading country programmes. In general, only one government representative on the NSC is required. However, depending on the circumstances, country programmes can have additional government representatives such as Convention focal points, although whatever the case, the majority of members must be non-governmental. The UNDP RR provides the appointment letters on behalf of the SGP.

37.   NSC members usually serve for a period of three years. Each country or sub-regional programme must decide whether this term is renewable, and how eligibility for renewal is determined. In general, periodically inviting new members is a sound and healthy policy that brings new ideas and expertise to programme implementation, and roughly one quarter of NSC members may rotate in any given year. Changing the entire membership at any one time should be avoided.

38.   Participation in the NSC is without monetary compensation. Travel expenses for project site visits or to NSC meetings can be covered by the SGP country operational budget.

39.   NSCs adopt decisions under the principle of consensus and rarely resort to voting to determine whether a project is approved or a particular course of action is taken. To facilitate meetings, the NSC may decide to select its Chairperson(s) in the following way: (i) one of the most committed expert members to Chair for a particular period of time; (ii) members to chair meetings on a rotating basis to enhance each member's participation; and (iii) on a co-chair approach with government and non-government representation to promote civil society leadership and CSO-government collaboration which are institutional objectives of the programme.

40.   The NC serves ex officio on the NSC, participating in deliberations, but not in decisions in the project selection process. The NC usually convenes the NSC and functions as its secretariat, including preparing minutes of meetings and maintaining a historical record of programme decisions and implementation. A copy of NSC minutes, signed by the members, and other pertinent material should be filed at the UNDP CO.

41.   In as wide a consultation as possible with country stakeholders, the NC shall prepare a long list of possible volunteers to the NSC. From this, the NC in consultation with the UNDP RR prepares the list of NSC members to be nominated for approval by the SGP Global Manager by considering both the expertise and qualifications of the individual candidates, and the overall composition and balance of the committee. While certain institutions (the

UNDP, and appropriate governmental ministry or agencies, the NHI) must be represented in the NSC, members should also be chosen who as individuals, including from the private sector and donor community, would contribute significantly to the committee and the programme's various expertise needs (e.g. on GEF focal areas, sustainable livelihoods, gender considerations, communications, resource mobilization, capacity development). The NC, after due consultation with other NSC members of good standing and the UNDP RR, may recommend changes in the composition of the committee to CPMT if it becomes clear that a particular member's participation is not contributing to the programme.

42.   The objectivity, transparency and credibility of the NSC is of paramount importance to the success of the Country Programme, and to maintaining good relations among stakeholders. As a general rule, Country Programmes cannot consider proposals associated with organizations of sitting NSC members. A CSO may nonetheless submit proposals when its representative has finished the term of service and is no longer on the Committee. On an exceptional basis, and under specified conditions pre-approved by CPMT or the UCP Global Coordinator, CSOs with members in the NSC can submit proposals.

Country Programme Strategy

43.   Before any grant-making or other programme activities may take place, each SGP participating country must have an approved Country Programme Strategy or Sub-regional Programme Strategy (abbreviated here to CPS). The development/revision of the CPS is designed to ensure congruence with the SGP Project Document for the relevant Operational Phase; the strategic planning frameworks associated with the relevant Rio Conventions;[43] as well as with the GEF National Portfolio Formulation Exercise (NPFE) where relevant.

44.   For Upgrading Country Programmes, a standard UNDP-GEF Project Document is produced that reflects the Country Program strategy that is broadly coherent with the SGP Global strategic initiatives announced at the commencement of each Operational Phase. The Project Document is formulated after approval of the corresponding PIF and is approved by UNDP and the GEF CEO as per standard GEF and UNDP procedures. In the development of the Project Document, the same multi-stakeholder, participatory approach is followed as that of Country Program Strategy development.

45.   For new SGP Country Programmes, the development of a CPS is one of the first tasks to be undertaken by the NC and newly-formed NSC. In both new and continuing SGP Country Programmes, it is important to involve key stakeholders in the CPS revision/elaboration process, and to fully engage and involve the NSC. In this regard, the CPS may be considered a living document, and shall be revised or updated in every operational phase of SGP, or as deemed necessary by the NSC, to align country programme priorities with GEF policies and priorities, and those included in the relevant SGP Project Document.

46.   As described in the CPS Guidance framework, the development or revision of the CPS serves several broad purposes to:

   ✓ Identify the national circumstances and priorities of the country vis-à-vis the Project Document for the relevant Operational Phase;
   ✓ Provide stakeholders with a framework document to understand the priorities for SGP funding for strengthened country relevance and ownership;
   ✓ Provide a strategic framework for allocating resources, especially selection of SGP projects, through a bio-geographic and/or thematic focus;
   ✓ Serve as the framework for Country Programme operations and guiding programme implementation;
   ✓ Constitute the basis for the assessment of country programme achievements and impact.

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[43] These include the GEF National Capacity Self-Assessment (NCSA) process; the CBD National Biodiversity Strategies and Action Plans (NBSAPs); the UNFCCC National Communications; the UNCCD National Actions Programmes (NAPs); and the Stockholm Convention National Implementation Plans (NIPs).

47. The development/revision of the CPS (or UCP Project Document) should be undertaken as a participatory process that engages the full range of non-governmental and government stakeholders in the country. The CPS preparation should be seen not only as a document to satisfy global programmatic requirements, but as a country-led process which has value in its own right. The key players in the process are the NC (who facilitates the process, and is responsible for the majority of the drafting), and the NSC (which provides input and guidance throughout the process, and endorses the end product).

48. The CPS should contain: (a) background situation of the country which the SGP country programme has to consider; (b) key objectives vis-a-vis the country situation and the objectives of the global SGP Prodoc for the operational phase; (c) geographic (with maps) and/or thematic focal areas; (d) priority activities to be supported by grantmaking; and (e) expected outcomes, indicators, and M & E plan. For formulation of a UCP Project Document (ProDoc), the standard UNDP-GEF format is followed.

49. Recommended steps to developing the CPS or ProDoc are as follows:

   ✓ NC prepares an initial CPS or ProDoc draft for consultation with the NSC based on the current SGP Project Document or the approved PIF in the case of UCPs;
   ✓ Wide stakeholder consultations held with key CSO, government, academic and other concerned parties to discuss relevant issues (where possible, these consultations to be linked to the National Portfolio Formulation Exercise (NPFE) of the GEF in the country);
   ✓ Incorporation of stakeholder inputs into the draft CPS or ProDoc by the NC, and initial approval of the document by the NSC;
   ✓ Submission of the draft CPS to the CPMT Regional Focal Point for comment and review; draft ProDoc submitted to the UCP Global Coordinator for comment and review;
   ✓ Further CPS or ProDoc revision as necessary based on comments and recommendations by the CPMT or UCP Global Coordinator, respectively;
   ✓ Submission of the revised CPS or ProDoc by the NC for formal endorsement by the NSC;
   ✓ Final approval of the endorsed CPS by the SGP Global Manager, or delegated CPMT Regional Focal Point; final approval of the endorsed ProDoc by the UCP Global Coordinator and submission to the GEF for CEO Endorsement and to UNDP for approval;
   ✓ Posting and circulation of the final version of the CPS as a public document; posting of ProDoc on GEF Website.

Country Operating Budget

50. The Country Operating Budget or Sub-regional Operating Budget (abbreviated here to COB) is the financial provision for country, or sub-regional, programme implementation. The COB is prepared by the NC, and reviewed and approved by the CPMT and UNOPS. The COB should allow the effective operation of the country or sub-regional programme in implementing activities in support of the objectives of the Project Document, as well as to be responsive to specific country circumstances and needs, as reflected in the CPS. In countries where a NHI hosts the SGP, the COB is generally covered by the terms of the contract for services between the organization and UNOPS. The COB process and related guidelines are highlighted in detail in the UNOPS SGP SOPs.

51. The budget for operations of Upscaling Country Programmes is approved as part of the Project Document and is subject to revision on an annual basis along with approval of Annual Work Plans and requests for annual Authorized Spending Limits. UNOPS, as executing agency, manages the budget in direct contact with the National Coordinator and in collaboration with the relevant UNDP Country Office.

Part III   Implementation and Administration of SGP Grants

SGP grants and project cycle

52.   Each SGP Country Programme should, after adopting or revising its CPS or Project Document, prepare and issue an SGP programme announcement. Information in the call for proposals should clearly state that the SGP makes grants to eligible CSOs[44], or to individuals, as in the case of fellowships, with priority for the poor and vulnerable in the GEF focal areas, with a maximum grant amount for a project of US$50,000[45.] The subsequent process of developing an SGP grant project should then take place in a transparent manner covering the: (i) project preparation guidelines setting forth the eligibility criteria; (ii) application/proposal review process and calendar; (iii) formats for project concept and proposal development, and; (iv) co-financing requirements in cash and/or in-kind.

53.   Project concepts from eligible CSOs may be screened by the NC or jointly with the NSC. Each country programme should determine which screening modality it will follow, and periodically review this decision to make sure that the modality chosen is working well. In both cases, project concept selection should be done on the basis of established eligibility and selection criteria in accordance with the CPS or UCP Project Document At the very least, project concepts should be relevant to one or several of the GEF focal areas and reflect the needs of the community or communities and/or stakeholders that would be involved. Once the concepts have been selected, the proponent organizations will be notified of this decision and asked to develop complete project proposals.

54.   It is critical for all project proposals to meet the GEF and SGP criteria. While it is an important part of the NC responsibilities to assist CSOs in proposal development, sometimes, additional assistance is nonetheless required. In such cases, two options may be considered: (i) a local consultant may be hired or a capable "assisting NGO" may be contacted to help the CSO/CBO/communities according to terms of reference that the NC elaborates in coordination with the proponent organization; and (ii) the SGP planning grant modality may be used.

55.   In support of regional or global scaling up, mainstreaming, replication, and broader adoption of SGP successes and lessons learned, as well as to leverage resources and utilize strategic opportunities at these levels, grants for regional or global initiatives[46] can be provided. For the Global SGP, guidance for proactive or responsive modalities as well as procedures for this will come from the SGP CPMT in consultation with involved SGP Country Programmes and/or relevant Programme stakeholders and partners.

Planning Grants

56.   The NC or NSC may authorize planning grants[47] once project concepts have been selected. CSOs such as CBOs, indigenous peoples' organisations and communities with little experience in project design and management receive priority to benefit from this assistance. Hence, the planning grant has an important capacity-building function which in

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[44] The term civil society organization (CSO) herein refers to the definition of major groups agreed by Governments at the United Nations Conference on Environment and Development in 1992 to include non-governmental organizations (NGOs), farmers, women, the scientific and technological community, youth and children, indigenous peoples and their communities, business and industry, workers and trade unions and local authorities. For SGP, their eligibility for grants follows the practice of the GEF (for the purpose of CSOs attending/observing Council meetings) which defines them as 'non-profit organizations". Local authorities shall include traditional or indigenous governance units and their proposals to be eligible should refer to meeting the needs of communities under their jurisdiction. Furthermore, international NGOs and for-profit business and industry groups are not directly eligible for SGP support, but may co-finance the Programme's grant projects. Priority grant-making should also be directed at grassroots groups such as community-based organizations (CBOs), indigenous peoples, farmers, women, youth and children, and workers. Those that are especially vulnerable because of poverty, social exclusion, or disability should also be provided priority.

[45] The SGP Country Programme could provide grants above this maximum amount for "Strategic Grants" that can be up to $150,000 under a special provision for this category of grants and following guidance from CPMT or the Global UCP Coordinator as relevant.

[46] The allocated funds for this should not exceed 10% of the available GEF global core grant allocation for an operational phase.

[47] Planning grants are usually in the range of $2,000 to $5,000 depending on the capacity of the proponent and additional work that has to be done. The NSC should decide how to make the provision of planning grants in the most facilitative way such as allowing the NC to make planning grant decisions and reporting on these in NSC meetings.

itself is an important SGP objective. The NC makes recommendations to the NSC about which proponent organizations would require a planning grant.

57.   A planning grant can be used by an eligible CSO to organize stakeholder workshops or meetings to design the project in a participatory manner. The planning grant can be used to contract an experienced NGO or local consultant to work with the project proponents to elaborate the project, to undertake baseline assessments, develop a business plan (for projects with strong sustainable livelihood elements), and through learning-by-doing, build capacity in proposal design including the development of indicators and a monitoring and evaluation plan.

58.   Administratively, a planning grant is a grant like any other SGP grant, and therefore can only be made to eligible CSOs. The project document for the planning grant specifies the activities to be undertaken, and the responsibilities of the parties concerned. The NSC generally approves the planning grant, although the NSC can in certain instances also delegate approval to the NC for certain exceptional cases (e.g. time-sensitive activities, smaller amounts). The process follows the modus operandi of SGP facilitative grant-making and is explained in detail in the UNOPS SGP SOPs.

Project proposals

59.   SGP provides grants to support activities that help achieve the programme objectives outlined in the CPS and the global SGP project document or the UCP Project Document for the Operational Phase. In terms of helping achieve global environmental benefits, the SGP's starting point is to ensure that each project proposal fits the GEF criteria and that each proposal clearly articulates how project objectives and activities would have a positive effect in the relevant GEF focal areas. To create sustainability and impact beyond the project, SGP projects can combine demonstration, capacity-building, network building, awareness raising, and dissemination of lessons learned as integral components. Given this comprehensive approach, while a logical framework is not formally required, it would be advisable to include a Monitoring and Evaluation work plan in each proposal (see SGP M & E Framework).

60.   As a demand-driven programme, SGP projects endeavour to address both the GEF criteria, as well as community needs and initiatives. The SGP usually works with communities and localities that confront a multitude of social and economic development problems that impact on concerns related to global environmental conventions. For SGP interventions to have relevance and utility at the community level, these non-GEF circumstances are taken into account in project design. A key guiding philosophy of the programme has been to reach the marginalized poor and vulnerable communities, especially when there are no other donors present, and where development baseline conditions have not been met. Typically, the SGP will therefore need to mobilize additional resources to help provide the co-financing, technical assistance, capacity-building, gender training, income-generation component, or whatever non-GEF element may be necessary for a project's success. These project components are vital to achieving local acceptance, ownership, and sustainability of SGP interventions.

Funds disbursement

61.   The maximum amount for an SGP grant is $50,000 per project.[48] In special cases, grants for "strategic projects" that consolidate efforts of several communities and CSOs could be provided at a maximum of $150,000. SGP grants generally only cover a portion of project costs, with other components provided by the CSO partner, the community itself, or by other donors. Since SGP grants fund activities that are directly relevant to the GEF criteria, co-financing must be sought for community baseline or sustainable development needs. However, since it would be unrealistic to require a baseline/incremental cost exercise for each individual project, each country should instead endeavour to mobilize enough funding in cash or in kind to "match" the GEF country grant allocation[49].

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[48] In many cases, it may however be advisable to provide smaller initial amounts when the grantee-partners have lower implementation capacity.

[49] The matching of GEF funds with co-financing is finally reckoned at the global programme level so as not to disadvantage new

62. Once the NSC has approved a project for SGP funding support, a Memorandum of Agreement (MOA) is signed on behalf of UNOPS between the grantee and the UNDP CO. SGP projects normally have a duration of between one and three years. The amounts and schedules may differ, contingent upon the nature and length of project activities, but in no case should the first disbursement be more than 50% of the total project grant amount (except when justified and prior approval from UNOPS has been received). The MOA and grant disbursement process, the applicable templates, and all related guidelines are found in detail in the UNOPS SGP SOPs.

63. A grantee may submit another proposal upon successful completion of an initial project but no grantee can receive funds exceeding US$50,000 in a given operational phase. Any grantee that has received the maximum $50,000 in one Operational Phase, may however submit another funding request in the following Operational Phase if the evaluation of project outcomes are positive.

Part IV Reporting and Communications

64. The NC has lead responsibility for communications between the Country Programme and the CPMT or UCP Global Coordinator. In general, the NC reports on substantive and technical matters to the CPMT or UCP Global Coordinator and on administrative and financial issues to the UNOPS portfolio manager. The NC should keep the UNDP CO informed of progress in programme implementation, usually through the RR and SGP focal point in the UNDP CO. In particular, the NC and PA are expected to maintain a close working relationship with the UNDP CO regarding the COB and grants disbursements, which serves to keep the UNDP abreast of SGP developments.[50] The NC should also endeavour to share relevant SGP reports with the GEF Operational and Political Focal Points as well as global environmental convention focal points.

65. Communications among Country Programmes are facilitated through the global, regional, and sub-regional list servers, the SGP global database and workspace, and the SGP website. Recurring global reporting requirements, such as annual reports, are complemented by periodic requests by the CPMT, UCP Global Coordinator and/or UNOPS for information on specific subjects, such as reports under preparation for the GEF Council, or for the relevant global environmental conventions. Full guidance on all project and programme reporting is provided in the SGP Monitoring and Evaluation Framework.

66. SGP country teams are responsible for entering detailed information for all prior and current Operational Phases into the SGP database, including the upload of grant project MOAs. Since the database is the foundation for all reporting and communications at the global level, it is imperative that NCs and PAs input the database as soon as projects are approved by the NSC, and keep it regularly updated on the progress of projects. The SGP database and website also includes visual documentation of SGP projects and Country Programmes, accounts of lessons learned, and case studies. Project briefs should be stored in the files of every project for easy use and sharing.

67. The NC is required to report on technical and substantive project and programme progress through the Annual Country Report (GEF Project Implementation Review for UCPs). The ACR complements the information that is entered in the SGP database and should cover progress in meeting the year's deliverables as well as other important information including: (i) assessment of the overall progress for the country programme portfolio; (ii) results of project monitoring and evaluation; (iii) key outcomes of SGP-sponsored events; (iv) progress in strengthening working relationships with CSOs, as well as with government agencies and donors; (v) results of resource mobilization efforts; (vi) development of SGP visibility as a GEF programme and activities to share lessons learned and influence policy; and (vii) any special challenges and difficulties faced.

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country programmes or those in difficult situations.

[50] SGP Country Programmes are required to monitor the funds (grants and COB amounts) and expenditures allocated to them. Reporting tools and relevant guidelines are provided by the UNOPS SGP SOPs.

68.	The NC shall take all necessary measures to ensure the visibility of the GEF financing. Such measures shall be in accordance with the need to give adequate publicity to the action being implemented as well as to the support from the GEF. A communication and visibility plan shall be outlined in each project document. This should include, *inter alia*, the compulsory use of the GEF logo on all material, publications, leaflets, brochures and newsletters, websites, business cards, signage, vehicles, supplies and equipment, display panels, commemorative plaques, banners, promotional items, photographs, audiovisual productions, public events and visits and information campaigns. The plan should also include press releases, press conferences and press visits to project sites.

69.	The Programme Review is an overall assessment of the Country Programme performance to be undertaken by the NC and the NSC, in consultation with SGP grantees and other stakeholders, at the completion of an SGP Operational Phase. The purpose of the Programme Review is to assess the cumulative progress of the Country Programme in a particular Operational Phase and provide strategic recommendations on the direction for the programme in the next Operational Phase. Once finalized, the Programme Review should be shared by the SGP country team with the country GEF Operational and Political Focal Points and also the relevant Rio Convention focal points.

70.	Audits of SGP Country Programmes will be conducted in accordance with the internationally accepted auditing standards, and applicable financial rules and regulations. The SGP audit exercises are designed to improve the transparency, accountability and quality of SGP country and global operations. The audits will cover management, financial, and administrative issues as they relate to the country programme as a whole, and will not normally include provisions for project-level inspection. The principles and processes governing SGP audit operations can be found in the UNOPS SGP SOPs.

Annex H: Co-financing letters (attached)

Annex I: Social and Environmental Screening template

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the [Social and Environmental Screening Procedure](#) and [Toolkit](#) for guidance on how to answer the 6 questions.

Project Information

Project Information	
1. Project Title	Sixth Operational Phase of the GEF Small Grants Programme in Kenya
2. Project Number	5730
3. Location (Global/Region/Country)	Kenya

Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?
Briefly describe in the space below how the Project mainstreams the human-rights based approach
The project will advance principles of inclusion and participation to help redress inequality and discriminatory practices that hinder sustainable development by promoting the engagement and capacity of men and women, especially youth, and of community groups and local organizations in all its activities. In particular, the project will work towards gender equality, by implementing interventions that are directly under women's control and which benefit them, and by promoting the participation of women in the governing structures of local organizations. The project is designed to meet local community needs for more resilient land/seascapes in some of the poorest areas of the country in the face of climate change impacts, biodiversity loss, and land degradation. In establishing/strengthening the land/seascapes multi-stakeholder platforms, SGP will contribute to mainstreaming a human rights based approach to Kenya's decentralization process by strengthening the capacities of rights-holders to make their claims and of duty-bearers to meet their obligations, particularly, but not exclusively, those enshrined in the Kenya 2010 constitution with respect to women.
Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment
Although cultural and capacity barriers make it quite unlikely that the project will achieve parity in the participation of men and women in SGP-supported activities, processes and organizations during the lifetime of the project, SGP will strive to advance women's empowerment through a number of actions such as: (i) making sure that women have as much representation as possible in the multi-stakeholder platforms in all three target geographic areas and that consultations to formulate the land/seascape adaptive strategy and management plan include women from all age groups and communities within the geographic areas covered; (ii) ensuring that women have a say and strong participation in the implementation of the management plans, even with respect to economic sectors traditionally under men's control such as livestock management and fisheries; (iii) the project logframe has set specific targets related to women; (iv) SGP will require that the situation analysis section of individual grant proposals consider human-rights in particular those of women; (iv) several project indicators as shown in the project logframe require collecting disaggregated data for men and women; (v) the NSC will take into consideration all of the above when approving the grants; (vi) SGP will ensure that women benefit to the greatest extent possible from all capacity building and training activities.
Briefly describe in the space below how the Project mainstreams environmental sustainability
Environmental sustainability is at the core of project design. The project will support a wide range of government and non-government stakeholders in the target land/seascapes to take collective action for ecosystem conservation and for the sustainable utilization of natural resources to achieve global environmental benefits and sustainable livelihoods. This will be achieved by strengthening the organizational, financial, and technical capacities of communities obtaining a living from these land/seascapes to change their production practices and to act strategically and collectively in building social and ecological resilience. The project will also encourage CSO - private sector partnerships to promote the adoption of more sustainable technologies and practices, particularly the use of renewable energy and energy efficient technologies in areas where modern energy services are not available.

Part B. Identifying and Managing Social and Environmental Risks

| QUESTION 2: What are the Potential Social and Environmental Risks?

Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any "Yes" responses). If no risks have been identified in Attachment 1 then note "No Risks Identified" and skip to Question 4 and Select "Low Risk". Questions 5 and 6 not required for Low Risk Projects. | | | QUESTION 3: What is the level of significance of the potential social and environmental risks?

Note: Respond to Questions 4 and 5 below before proceeding to Question 6 | QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)? |
|---|---|---|---|---|
| Risk Description | Impact and Probability (1-5) | Significance (Low, Moderate, High) | Comments | Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks. |
| Risk 1: The Project may restrict the availability, quality of and access to resources for certain groups or members of the communities when decisions are made to establish community wildlife conservancies or implement other conservation measures that imply limiting access to natural resources such as no-fishing zones | I = 2 P = 3 | M | Several project interventions aiming at biodiversity conservation and sustainable land management involve community decisions to restrict access to certain areas or to reduce the utilization of certain natural resources | To mitigate the risk decisions about land and resource use will be taken in an inclusive and participatory manner by the multi-stakeholder platforms and other community-based organizations. Land/seascape strategies and management plans will be adapted as implementation progresses. SGP's management team and support organizations on the ground will monitor that vulnerable groups or individuals will not be negatively affected by land/resource management decisions and will endeavor to increase the benefits to be derived from sound and sustainable resource use. The Project involves several activities to strengthen the governance and inclusiveness of decision-making. |
| Risk 2: There is a risk that the Project may exacerbate water-related conflicts, in particular in the Lake Bogoria area | I = 3 P = 2 | M | Some project interventions will contribute to strengthening Water Resources Users Associations (WRUAS) in the Lake Bogoria Basin where there has been a | An important factor to enhance resilience in Lake Bogoria's production landscape is to use water resources equitably and sustainably. SGP will build on prior work done by WWF with communities in the Waseges River watershed to further strengthen the WRUAS and to implement projects towards improved water quality and quantity. Project Output 1.3.4 addresses |

			history of conflict around the use of water resources, particular by tomato farmers who are using wasteful irrigation systems and affecting communities downstream	water issues and Output 2.1.1 addresses capacities of WRUAS. It is expected that through dialogue and participatory approaches to water management the risk of exacerbating conflict will not materialize.
Risk 3: Project activities are proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas	I = 1 P = 5	L	The purpose of the project's interventions is to improve the management of the production land/seascapes in ecologically sensitive areas, which include or are adjacent to several legally protected and community conservation areas.	The project purposefully targets ecologically sensitive areas with significant biodiversity. Mainstreaming knowledge and public awareness is anticipated to increase local communities' understanding of the fragile nature of natural resources and how best to conserve them and build their resilience. Community-improved management of land/seascapes around protected areas will generate several environmental benefits such as the protection of animal migration corridors or that of spawning areas.
Risk 4: The Project involves changes to the use of land and resources that may have adverse impacts on livelihoods	I = 1 P = 5	L	As mentioned in Risk 1 some project interventions that change the use of land or limit access to resources (e.g., from livestock grazing area to wildlife conservation) may have a short-term adverse impact on the livelihoods of individuals that were dependent on such resources	The local planning process should identify which stakeholders may be impacted negatively and ensure that the project supports alternative sustainable livelihood activities that compensate for any losses resulting from the change in land use or forgone resources and that will secure the long term of ecosystem services for all.
Risk 5: The Project involves harvesting of non-timber forest products and may include reforestation	I = 1 P = 5	L	Sustainable land and biodiversity interventions will very likely involve harvesting of non-timber forest products, as well as reforestation and agroforestry	Reforestation activities will help restore degraded areas and increase the availability of biomass to meet the energy needs of poor communities. Only indigenous species will be utilized. Sustainable use of non-timber forest products is a strategy for communities to realize the value of forest without their destruction. Best available standards will be applied to ensure that overharvesting does not occur.
Risk 6: The Project involves the harvesting of fish populations and other aquatic species such as mollusks However the project does involve initiatives supporting fishermen to carry out	I = 1 P = 5	L	SGP activities in the target seascape will involve sustainable fisheries among other management activities	The Shimoni-Vanga seascape adaptive strategy and management plan to be implemented by local communities are the primary vehicles to help ensure that harvesting of fish populations and other aquatic species will be sustainable.

more sustainable practices				
Risk 7: Potential project outcomes may be subject to climate change	I = 2 P = 4	M	Project outcomes regardless of level of resilience-building may be impacted by climate change.	Climate change and increasing weather unpredictability will particularly impact semi-arid landscapes. Even though project outcomes will build resilience, activities will be affected by climate change, especially droughts. The project will seek to reduce the vulnerability of communities and their projects by considering this factor at the grant proposal design and approval stages.
Risk 8: The Project involves interventions in and around the Sacred Kaya Forests that have been declared a Cultural World Heritage Site and are of religious importance to local communities	I = 2 P = 2	L	Sacred Kaya Forests are being degraded and the authority of elders who are the custodians of the forests and related traditions is being eroded	SGP will strengthen the Council of Elders, i.e., the traditional authorities of the Sacred Kaya Forests, and will work with them and other stakeholders such as women and the youth to help increase the protection and sustainable use of forest resources. SGP's aim is to help transmit the cultural and spiritual values and beliefs related to the Kayas to the younger generations as a crucial tool for the long-term survival of these important remnants of Kenya's coastal forest.
Risk 9: Although physical relocation will not take place, the Project may possibly result in economic displacement (e.g. loss of assets or access to resources due to land use change and access restrictions	I = 1 P = 3	L	See Risks 1 & 4 above	
Risk 10: The Project may affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources	I = 2 P = 3	M	See Risks 1 & 4 above. Formal establishment of Community Wildlife Conservancies will have implications on what livelihood activities can take place in community lands and there is a slight possibility that it may affect customary rights	As explained above, communities will make the decision about whether or not they want to set aside land for wildlife conservancies, determine the area to be included, and the rules that will govern land and resource use within the conservancies. This will help reduce adverse consequences to the community.
Risk 11: There are indigenous peoples in the area of influence of the project and project activities may take place on lands and territories claimed by indigenous peoples	I = 2 P = 2	L	The Endorois indigenous people has a court case claiming that the Government of Kenya violated their rights when they gazetted Lake Bogoria Reserve on their communal lands	SGP is well aware of the situation and will ensure that any project activities in or around areas that are part of the territory claimed by them will fully be consulted with the Endorois community and its leaders.

QUESTION 4: What is the overall Project risk categorization?		
Select one (see SESP for guidance)		**Comments**
Low Risk	☐X	**Risks have proven to be very low since SGP started implementation in Kenya in 1993. This is due to the program's sustainable development objectives to benefit vulnerable and poor communities, and its proven modus operandi.**
Moderate Risk	☐	
High Risk	☐	

QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?		
Check all that apply		**Comments**
Principle 1: Human Rights	☐X	The project will adopt a human-rights based approach in all its interventions
Principle 2: Gender Equality and Women's Empowerment	☐X	SGP will support interventions that address the needs of women in all project areas and will ensure that women have adequate representation and participate in the multi-stakeholder platforms' decision-making processes and activities
1. Biodiversity Conservation and Natural Resource Management	☐	
2. Climate Change Mitigation and Adaptation	☐	
3. Community Health, Safety and Working Conditions	☐	
4. Cultural Heritage	☐	
5. Displacement and Resettlement	☐X	This refers to possible economic displacement resulting from land use change or natural resource use restrictions.
6. Indigenous Peoples	☐	
7. Pollution Prevention and Resource Efficiency	☐	

Final Sign Off

Signature	Date	Description
QA Assessor		UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms

		they have "cleared" the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

Checklist Potential Social and Environmental <u>Risks</u>	
Principles 1: Human Rights	**Answer (Yes/No)**
1. Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2. Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? [51]	No
3. Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	Yes
4. Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5. Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
6. Is there a risk that rights-holders do not have the capacity to claim their rights?	No
7. Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
8. Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	Yes
Principle 2: Gender Equality and Women's Empowerment	
1. Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2. Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
3. Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
4. Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? *For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being*	No
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below	

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[51] Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management	
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? *For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes*	No
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	Yes
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	Yes
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species? However the project does involve initiatives supporting fishermen to carry out more sustainable practices.	Yes
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction*	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area?	No
Standard 2: Climate Change Mitigation and Adaptation	
2.1	Will the proposed Project result in significant[52] greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	Yes
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)?	No
Standard 3: Community Health, Safety and Working Conditions	
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No

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[52] In regards to CO_2, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	Yes
5.3	Is there a risk that the Project would lead to forced evictions?[53]	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	Yes
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	Yes
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	Yes
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?	No
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No

[53] Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? *For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol*	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

APPENDIX 1: SGP Project Preparation Consultations in the Great Rift Valley and in the Coast

See attached

APPENDIX 2: Renewable energy options and barriers for their wider adoption in Kenya

Considering recent private sector initiatives that promote fuelwood alternatives for industry, institutions and urban households, as well as photovoltaic technologies and applications the following are options that show some promise for community-based interventions in partnership with the private sector:

Biomass for Industrial, Institutional and Household Applications

a) Briquettes

Non-carbonized briquettes are mostly made from biomass residues (i.e. from field agricultural crops such as stalks, branches, leaves, straw, pruning waste etc. or the by-products of the processing of agricultural products). The largest centralized source of biomass residue in Kenya is bagasse. Sugarcane production in Kenya in 2015 was 6.8 million tonnes[4], which would result in 884,000t of dry bagasse. Assuming 70% of this is used by the sugarcane factories for electricity and heat generation, then the theoretical annual potential for briquette production would be about 260,000t/year.

Using a calorific value of 11.5MJ/kg for bagasse and 15.5MJ/kg for fuelwood, 260,000t of bagasse could potentially replace 196,000t of fuelwood per year (NB: this annual value does not consider the significant amount of bagasse still available from previous years. Most sugarcane factories have been operational since the late 1960's and have been stacking or burning their bagasse, which is now discouraged for environmental reasons). Large agricultural plantations (e.g. maize, pineapple) and large-scale agro-processing industries (e.g. timber, coffee) are also good sources of biomass residue for briquette production.

Some Energy Service Companies (e.g. Lean Energy) have managed to develop and implement successful fuel substitution business models based on bagasse briquettes and targeting industries that use fuel oil. As most fuelwood is unsustainably sourced, it is not sold at its real price. For this reason biomass briquettes are not financially competitive with fuel wood. In addition technical challenges linked to the use of briquettes (i.e. related to the production of ash and clinker in the furnace) also make it less preferable to fuelwood. Therefore for briquettes to become technically and economically competitive alternative to fuel wood, technical, financial and policy innovations to bridge the gap between briquettes and unsustainable fuel wood will be required.

b) Bio-ethanol

Bio-ethanol is a liquid fuel that can be produced from a variety of sugar and starch containing crops, such as sugar cane and grains. Ethanol can be produced from sugar crops, such as sugarcane and sweet sorghum and grains, such as corn and wheat. The basic production process involves extracting sugars from the biomass, which is much easier and cheaper for sugar crops than grains, and then fermenting the sugar in the presence of yeast. Kenya has produced ethanol from sugarcane since the early 1980s and for a time even blended it with petrol as part of a gasohol program. Ethanol also has good potential as a cooking fuel as shown through experience from private companies such as Safi International (operating in Kibera, Kenya), Consumer Choice and Moto Poa (operating in Tanzania).

One of the main barriers to the uptake of bio-ethanol for cooking was since ethanol is also used for production of alcoholic drinks; it attracted a sin tax equivalent to 120Ksh per litre. Which meant that it could not compete with charcoal or kerosene. However, the Excise Duty Act of 2015, listed 'denatured spirits for use in the manufacture of gasohol or as a heating fuel' in the list of non-excisable goods. Subsequently making it a more affordable alternative to charcoal and kerosene. However, the challenges of creating sufficient awareness to mobilize uptake, reducing the

upfront investment required to purchase an ethanol stove and developing an effective distribution to make sure the ethanol fuel is readily available, also need to be addressed.

The ethanol production capacity in Kenya is estimated to be 64,000m^3/year[54, 55], 20,000m^3 of which is exported to the East African market. The Kenyan beverage market demand is 48,000m^3/year, which indicates a deficit of 4,000m^3 (although there is potential for an additional production capacity of 80,000m^3). As there is already an established market for ethanol, a potential market share of 10% (6,400m^3/year) for ethanol for cooking could potentially serve 71,000 households (considering that households currently using ethanol for cooking are consuming about 90 litres annually).

The cost of producing sugar is significantly higher in Kenya than in other Eastern and Southern African countries. For this reason Kenya has had to rely on Common Market for Eastern and Southern Africa (COMESA) safeguards for the last decade, which prevent a free market scenario that would see cheaper regional sugar enter the market. In 2016, these safeguards were further extended to 2019 to enable Kenya to privatize the sugar industry in a bid to become more competitive. One option for sugar factories, if they can't produce sugar competitively, is to instead focus on producing ethanol, which has significantly lower energy, equipment and maintenance requirements and costs. This would mean that all or most of the harvested sugarcane would be used for ethanol production instead of sugar production. A growth in demand for ethanol for cooking could potentially support such a switch.

c) Biogas

Biogas is a very specialized sector especially in terms of the market. The potential market for biogas systems is defined by those with sufficient feedstock (primarily animal manure or vegetable waste) which is relatively easy to aggregate and those with a regular expenditure on fuel to meet their thermal energy needs (i.e. can justify the expenditure on a biogas system and are able to pay). With increasing population especially in areas with high agricultural population, on farm fuel wood resources are diminishing with households now having to spend 20-30$/month on fuel wood, LPG, kerosene or charcoal (or a combination of these).

Dairy farmers serving the formal diary sector represent the most interesting market segment for biogas. In Kenya, smallholder dairy farmers are estimated at >1 million[56]; smallholders each have 2-5 head of cattle yielding about 5 kg of milk per cow per day. The areas (as per the old provincial boundaries) with the largest milk production are Rift Valley, Central, Eastern and Nyanza.

The biogas sector is not commercially mature; although there are a number of players (a hundred or so contractors, and a handful of biogas equipment suppliers), the majority are not fully dependent on biogas business and very few are running a profitable biogas business. Biogas sales are relatively low as illustrated by the donor funded Kenya Domestic Biogas Programme which worked through commercial channels and, even with a subsidy of about 270$/system, only managed to support the installation of 17,000 systems since 2009.

Consumer financing has been identified as necessary to increase the uptake of biogas systems. The key challenge has been that the most common system design has been the fixed dome biogas digester, which is a permanent stone/brick construction. It has been difficult to specifically price this type of system as the cost of construction materials vary significantly depending on the location. In addition, once the system is installed, it is not possible to remove and relocate in the event of default in loan repayments; making it difficult to structure consumer financing for these types of systems.

There has been a recent evolution toward digester designs that are not fixed and whose costs can be standardized. Companies like Kentainers, SimGas, Takamoto and Biogas International have pioneered such designs with varying levels of success. 2-3 biogas companies in Kenya currently offer consumer financing for standardized biogas digesters. The consumer financing package comprises a 150$ deposit and monthly repayments of 27-65$ per month depending on the repayment duration and company/product. These companies have recorded annual sales in the range of 200-300 systems per company per year.

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[54] http://afrinol.com/ethanol-market-in-kenya/

[55] http://www.kenyasugar.co.ke/downloads/KSI%20Strategic%20plan.pdf

[56] Smallholder Dairy (Research and Development) Project (SDP)

In 2016, the government removed tax on LP Gas and cylinders, bringing down the upfront cost of a cylinder and burner to 90$ and the refilling cost to 18-20$, which has made LPG competitive with biogas. Although LPG prices are still likely to increase in the future as fuel prices rise, this still represents a challenge for the biogas businesses that are trying to grow their market share through consumer financing.

Biogas has primarily been marketed as a clean and affordable alternative to firewood and charcoal, although it does have additional benefits i.e. slurry, the by-product of the anaerobic digestion of animal manure, is an excellent organic fertilizer. However, some awareness raising, training and marketing has to be developed around this component. To make biogas a more interesting alternative to LPG, this may have to be combined with approaches that make digesters more affordable e.g. increasing the repayment duration so as to bring the monthly repayment cost. Such an approach would have implications on the cash flow of these businesses, and longer loan tenures could also result in increased risk of default. Some external support to cushion these new businesses from the impacts of these risks may therefore be required.

Solar PV for Water Pumping and Rural Electrification

Technological advancements and cost reduction in solar PV and balance of system components have significantly increased the technical and economic viability of solar PV based technologies, resulting in their increased adoption for both off-grid and on-grid applications. However, the upfront costs of these technologies compared to grid and fuel based alternatives remains a key barrier to uptake.

a) Water Pumping

Water pumping (on-grid and off-grid) is well suited to solar PV since there are no energy storage requirements i.e. water is pumped during the day when solar energy is available and elevated water storage tanks used to store the pumped water (when required). Kenya has 94 regulated water utilities country-wide producing 429 million m^3 of water annually[57], with an average energy usage of 0.56kWh/m^3 of water supplied. With electricity costs ranging from 16-21US¢/kWh for grid electricity and 0.4-1$/kWh for electricity from diesel generators, substitution of these electricity sources with solar PV whose costs range from 12-14US¢/kWh provides an interesting opportunity for water utilities to reduce their energy costs. Which would contribute to their sustainability and profitability.

Solar PV water pumping technologies can also substitute fuel based water pumping for agricultural applications e.g. for irrigation or watering livestock. An estimated 300,000 smallholder farmers in Kenya with an average of 1 acre of land are currently farming in areas with potential for irrigation[58].

b) Solar PV for rural electrification

i. Low cost off-grid lighting applications

The IFC/WB Lighting Africa programme (which started in 2009) successfully stimulated the commercialization of off-grid lighting products in sub-Saharan Africa. Kenya was one of the main beneficiaries of this programme with annual sales of quality verified off-grid lighting products increasing exponentially from 57,000 in 2010 to 970,000 in 2014 as the retail price of pico-solar lighting products dropped to as low as 6-10$ in 2016 from about 60$ in 2012.

However, solar businesses marketing these products have primarily focused on easily accessible markets i.e. where population density is high, households have regular access to disposable income, and road and transport infrastructure is relatively good. Households in more difficult markets, especially in the arid and semi-arid lands, have therefore been unable to readily access these products. Considering the difficulties these markets pose, some incentives may be required to support off-grid lighting product suppliers to venture into these challenging markets and develop and offer tailored solutions suited for these markets.

The Kenya National Electrification Strategy estimates that in the geographic area outside of the Kenya Power and Lighting Company footprint, there are approximately 1.3 million households, 50% of which are within 15km of the nearest grid connection and are best served through a grid connection. The strategy posits that the remaining 650,000 are best served through off-grid solutions.

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[57] Water Services Regulatory Board Impact Report (2014- 2015) & Energy Audits for Water Service Providers (2014)

[58] FAO and AFDB

ii. Mini-grids

Mini-grids are typically in the 10kW-10MW capacity range with micro-grids in the 1-10kW range (those below 1kW can be considered nano-grids). Grids can either supply AC or DC electricity (DC grids are usually in the micro/nano-grid range). Private solar mini/micro-grids usually serve 20 – 400 customers. These grid systems are technically most effective when a large number of customers can be connected within a 1km radius. However, a mix of mini, micro and nano-grids can be used for sparsely populated clusters of customers.

Most micro-grids provide up to Tier 2 level of service[59]. Some micro-grids can technically provide up to Tier 3 but not optimally. Mini-grids can provide Tier 4 and higher. The main advantage of grid systems over stand-alone solar systems is that they enable customers to increase their power and energy consumption without having to invest in additional capacity. The entry barrier is also relatively low (connection/joining fees in the range of 0.1-40$).

Solar PV based mini/micro grids have a high capital cost; installed solar PV mini-grid costs for systems < 40kW, range from 6,000 – 13,000$/kW. While technology advancements (e.g. remote monitoring and control, pre-paid metering, mobile money based transactions) have made it possible to manage grids with little or no on-site staff and significantly reduce on site operational costs, most mini/micro-grid sites are remote and there are still unavoidably high costs associated with site visits (when required).

Mini-grids are expected to have a key role in expanding energy access to rural and peri-urban areas and in recent years there has been a lot of investment from development partners (AfD, DFID, GIZ and KfW) and the private sector in Kenya to develop business models and an enabling environment to make mini/micro grids a commercially viable venture.

The 2017 Kenya National Electrification Strategy estimates approximately 200 small towns and housing clusters that have more than 50 houses and businesses within a 2 kilometer radius and that these communities and housing clusters (approximately 50,000 houses in total) represent the areas most suited for mini-grids in Kenya.

When it comes to implementing mini-grids, the public and private sectors have different and complementary strengths. The government/electrification authorities can mobilize large amounts of public funding to implement mini-grids at scale (both in terms of number of systems and size of systems). In addition, this type of public investment is considered a social investment; governments are not looking for a financial return on investment. On the other hand, the private sector's strength lies in speed, efficiency, cost effectiveness and the ability and flexibility to innovate (i.e. quickly adopt or adapt new technologies as they emerge). One could therefore expect that the most effective mini-grid models would be based on well-designed public-private partnerships.

Key policy and regulatory barriers to private sector investment in mini-grids are around:
- How private sector would continue to operate or be compensated for their investment in the event that the national grid is extended. As private mini-grid developers cannot compete with electricity prices offered by the main grid, the extension of the main grid therefore represents a business risk for private mini-grid developers.
- Clarity with regards to the government's rural electrification plans. Government is typically ambitious with regard to its rural electrification plans (e.g. in Kenya the plan is to achieve universal electrification by 2020). In the absence of a formal collaboration with private sector to achieve this target and considering that the payback period for private mini-grids is in the range of 5-10 years, this is effectively a signal to private sector that they should not invest in mini-grids (however unrealistic the government targets may be)

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[59] Beyond Connections: Energy Access Redefined (Multi-tier framework) Conceptualization Report (2015)

APPENDIX 3: Draft criteria for the selection of 'challenge grants' to CSO-private sector partnerships for renewable energy and energy efficiency interventions.

Potential activities for support by SGP:

- Provide sustainable alternatives to fuel wood use in institutional and industrial applications e.g. by addressing the technical, financial or policy barriers to uptake of non-carbonized briquettes from biomass residues
- Provide sustainable, affordable alternatives to charcoal and kerosene for cooking for low income urban households e.g. bio-ethanol, carbonized briquettes, pellets
- Support the use of solar PV (or other RE based solutions) for on-grid and off-grid water pumping applications for water service provision and agriculture (i.e. irrigation or livestock watering)
- Support consumer financing programs for household biogas, especially approaches that make systems more affordable (e.g. through extending the repayment duration and reducing the deposit amount) and initiatives that develop and promote the value propositions for slurry
- Supporting the establishment of mini/micro-grids and/or policy initiatives that create a more suitable environment for private sector participation in mini/micro-grids. Applicants should demonstrate that community and key stakeholder engagement (e.g. county/local government and Energy Regulatory Commission as applicable) and detailed site assessments have already been undertaken
- Support the distribution and sale of low cost off-grid lighting products (single light or single light with phone charging) in new and challenging markets e.g. remote, un-served households in arid and semi-arid areas
- Support the engagement of vulnerable groups; such as persons with disabilities, youth and children-headed households with opportunities to engage in renewable-energy enterprises
- Address market barriers associated with the above focus areas e.g.:
  - Awareness and acceptability – providing information to customers that facilitate making informed purchases e.g. information on economics (e.g. cost saving potential), health (e.g. reducing indoor air pollution), safety (e.g. reducing risk of fire or burns), quality of service (e.g. brighter light output, reduced time for preparation of meals) and other additional non-financial benefits
  - Access – developing sales and distribution networks and/or expanding into new un-served or underserved areas
  - Affordability – developing and implementing innovative consumer financing models that target low income households or developing and implementing smart subsidies (proof must be provided that these subsidies would not result in market distortion and the market growth can continue after removal of the subsidy)
  - After-sale service – provide training to persons who may carry out various levels of after-sale service, from simple to complicated tasks.

Applicants should demonstrate how their proposed activities would result in sustainable business models.

Screening Criteria	Aspects to consider	Comments
Quality of project Idea	▪ Credibility and viability (technical) of the project idea ▪ Implementation readiness (most of the project preparation work has been done or little preparation work is required)	
Capability of the	▪ Operational and technical	▪ Reputational risk for the SGP

applicant and proof of partnership	qualifications, • Track record (effectiveness, financial management, social and environmental responsibility)	needs to be assessed
Development Impact	• Potential CO2 emission reductions • Number of households benefitting • Number of businesses or institutions benefitting and estimated financial value of this (where applicable) • Jobs to be created (disaggregated by gender)	
Innovation and added value	• Is the proposed idea new for the sub-sector? • How much additional value to the sub-sector would the implementation of the project bring?	• Higher score for the projects showing significant added value to the sub-sector
Economic viability and scale-up/replication potential	• The extent to which the results of the project can be sustained or scaled-up after the SGP project • Potential to mobilize future investment • Does the applicant intend to scale up their activities if the project is successful and can they demonstrate that they have sufficient capacity to do so?	• Higher score for projects that are expected to be commercially viable and scalable. • Lower score for projects that are unlikely to scale but will continue to be operationally sustainable
Financial leverage	• Co-financing share (%) • Type of co-financing (in-kind or cash)	• Higher score for higher co-financing share (above the mandatory minimum) • Higher score for cash financing (applicant has more skin in the game)