

United Nations Development Programme

Country: Global

PROJECT DOCUMENT



*Empowered lives.
Resilient nations.*

Project Title: Strengthening Environmental Governance by Building the Capacity Of Non-Governmental Organizations (NGOs)

UNDP Strategic Plan, Environment and Sustainable Development Primary Outcome: Mainstreaming Environment and Energy

UNDP Strategic Plan Secondary Outcome: Mobilizing Environmental Financing

Responsible Party: United Nations Office for Project Services (UNOPS)

Responsible Party: UNDP Bratislava Regional Centre (BRC)

Implementing Partner: United Nations Development Programme (UNDP)

Brief Description

The proposed project will improve NGOs capacity to participate in an informed and skilled manner in environmental policy formulation and natural resource management, collaborate in decision-making on key issues, and represent the interests of citizens and communities in the environment and sustainable development arenas. By promoting coordination and knowledge exchange among NGOs and other partners the project aims to have a wider influence on civil society capacity to engage with governments in the task of environmental governance. The project will work through the established grant-making capacity and decentralized, country-driven programming of the GEF Small Grants Programme (SGP), implemented by UNDP. The results expected include significant capacity improvement of at least three NGOs per participating country to engage in environmental governance. The project will be implemented in two phases, including the following group of countries: Armenia, Belarus, Ukraine, Egypt, Jordan, Lebanon, occupied Palestinian territory, Tunisia (phase 1); Azerbaijan, Georgia, Moldova, Algeria, and Morocco (phase 2). The project will be implemented through UNDP Execution over a period of four years, starting from 2012. The project budget is estimated at USD 3,300,000 (EUR 3,000,000) EU Contribution and UNDP GEF-SGP, UNDP.

Atlas Award ID: 00069249 Atlas Project ID: 00083925	Total resources required: USD 3,850,000 (EUR 3,500,000)
Start date: 28 August 2012 End Date: 27 August 2016	Allocated resources: <ul style="list-style-type: none">Grant EU: USD 3,300,000 (EUR 3,000,000)
PAC Meeting Date: 9 May 2013 Management Arrangements: DIM	Parallel Funding: <ul style="list-style-type: none">Grant GEF-SGP: USD 174,324 (EUR 158,477)In-kind GEF-SGP: USD 375,675 (EUR 341,523)

Cleared by:

Signature:

Date:

Name: Ms. Adriana Dinu

Title: UNDP-GEF Officer-in-Charge and Deputy Executive Coordinator

Approved by:

Signature:

Date:

Name: Mr. Magdy Martínez-Solimán

Title: Officer-in-Charge
Deputy Assistant Administrator and Deputy Director
Bureau for Development Policy

ACRONYMS AND ABBREVIATIONS

AWP	Annual Work Plan
BRC	UNDP Bratislava Regional Centre
CPMT	Central Programme Management Team
CRS	Community Resilience and Sustainability
DIM	Direct Implementation Modality
EC	European Commission
EEG	Energy and Environment Group
ENP	European Neighbourhood Policy
EU	European Union
GEF	Global Environment Facility
M&E	Monitoring and Evaluation
MIO-ECSDE	Mediterranean Information Office for Environment, Culture and Sustainable Development
NC	National Coordinator
NCS	SGP National Steering Committee
NGO	Non-Governmental Organization
PPR	Project Progress Reports
QPR	Quarterly Review Report
RBM	Results Based Management
REC	Regional Environmental Centre
RTA	Regional Technical Advisor
SBAA	Standard Basic Assistance Agreement
SGP	GEF Small Grants Programme
UN	United Nations
UNDP	United Nations Development Programme
UNOPS	United Nations Office for Project Services
UPL	Universal Price List

TABLE OF CONTENTS

I.	Situation Analysis	05
II.	Strategy.....	06
III.	Logical Framework.....	15
IV.	Annual Work Plan	17
V.	Total Budget and Work Plan.....	19
VI.	Management Arrangements.....	21
VII.	Monitoring and Evaluation Framework.....	22
VIII.	Legal Context.....	23
IX.	Annexes	23
	1. UNDP – EU Agreement	
	2. Terms of Reference for key project personnel	
	3. SGP Operational Guidelines	

I. SITUATION ANALYSIS

The project aims to promote sustainable development and improved environmental management through more effective civil society participation in environmental governance. The action will be implemented in two phases and will target countries from two neighbouring regions to the European Union, the Arab States and Europe and CIS, namely: Armenia, Belarus, Ukraine, Egypt, Jordan, Lebanon, occupied Palestinian territory, Tunisia (phase 1); Azerbaijan, Georgia, Moldova, Algeria, Morocco (phase 2).

Notwithstanding, many national and local authorities in the two regions view NGOs with a certain degree of suspicion regarding potential political conflicts and are wary of a perceived tendency to oppose economic development in favour of environmental conservation (although the sustainable development approach joins the two). Yet most governments do concede a role for civil society in environmental governance, and given their own financial, technical, and personnel constraints in the face of increasing environmental challenges, many would welcome assistance from NGOs. With support for constructive dialogue and creating spaces for collaboration with national governments and other competent authorities, NGOs would be able to make inroads towards becoming valuable participants in developing, implementing, and monitoring environmental and sustainable development policies and programs.

Although democratization and participatory processes have made significant headway in both regions in recent years, civil society participation in environmental governance remains weak, the pace of environmental degradation relentless, and sustainable development only a promise. There is undoubtedly a small cadre of well-qualified, experienced NGOs from the regions who have been active internationally and nationally in environmental governance and representing civil society perspectives on the quandaries of environment and development. However, the vast majority of NGOs in the two regions are deeply rooted in their local and national contexts and tend to work on nature protection and environmental management at the community level. They are generally small organizations with modest funding, minimal staff, and weak institutional capacity, and are often reliant on in-kind contributions, local networks, and volunteers. However, they are key to providing technical assistance to communities and supporting environment and development programs at the local levels, while providing policy recommendations to the local and national governments based on knowledge produced through local actions and facilitating policy communications between the government and local actors. As such, with sufficient capacity development, they would have great potential to contribute significantly to environmental governance at the local level and beyond.

Environmental governance, broadly speaking, refers to the institutions, policies, rules, and practices that mediate how the international community, nation-states, corporations, and citizens interact with the environment at different levels – global, national, and local. Since the United Nations Conference on Environment and Development, or Rio Earth Summit, in 1992 and the promulgation of Agenda 21, the engagement of civil society actors, primarily NGOs, has become accepted practice for environmental governance in the international arena and in many world regions and countries. The GEF Small Grants Programme (SGP), implemented by UNDP, was launched in 1992 as a result of RIO Summit precisely as a grant window to support NGOs and community-based organizations in seeking local solutions to global environmental problems.

Effective environmental governance means the participation and cooperation of all actors – governments, NGOs, the private sector, civil society and community groups, ordinary citizens – in collaborative efforts towards sustainable development and environmental improvement. Thus environmental governance constitutes an alternative to the conventional top-down governmental policy-making and regulation that have prevailed in the two regions in question, because it involves citizens and civil society organizations in identifying, creating, and monitoring environment and sustainable development policies and processes. The rationale is at least twofold: citizens and communities should have a voice in articulating the environmental problems and policies that affect them, and a role in managing natural public goods and the environmental commons. In other words, the diverse stakeholders who are affected by environment and sustainable development policies and impacts should be able to participate in devising and

monitoring them.

In this context, the project would build the internal and external capacities of NGOs in each of the selected countries so that they are able to participate more fully in environmental governance at different levels. Internal capacities refer to strengthening organizational, financial, staffing, knowledge, and strategic planning aspects within the NGO itself. External capacities mean improving advocacy, communications and outreach, technical / scientific skills, and networks and alliances with other civil society groups to enable informed NGO participation in policy analysis, dialogue, and negotiation; coalitions and campaigns; and monitoring and assessment activities. Although essentially a capacity-building grants programme targeting a relatively small number of NGOs, because of its scope and emphasis on sharing experience and knowledge in networks, the influence of this project is expected to extend to the wider civil society and to have a multiplier effect on other NGOs.

II. STRATEGY

The prospects for achieving sustainable development and overall environmental quality in EU neighbour countries of the target regions have suffered as a consequence of climate change, biodiversity loss, water scarcity, land degradation, deforestation, and pollution from residential, industrial and commercial sources. Governments, bound by financial, technical, political, and bureaucratic limitations, find it increasingly difficult to address the variety and complexity of environment and development issues. As climate changes and populations increase, tastes and patterns of consumption shift, and economies grow with the attendant contradictions, environmental governance takes on new urgency, particularly in light of the role of civil society in the recent democratization drives.

Good environmental governance is contingent upon civil society actors cooperating with governments and monitoring government decision-making. With sufficient capacity development and space to act, NGOs can step in to help deliver services and support government policy and management functions, including taking independent action as well as working collaboratively with government agencies at different levels on policy formation and implementation, conducting research, monitoring environmental quality, participating in environmental education, raising awareness about pressing environmental problems and seeking solutions, and directly managing natural resources – such as protected areas – together with communities and citizen groups. In the absence of other channels, environmental NGOs can also represent and serve as a conduit for vulnerable and marginalized populations and minority views in policy debate, thereby contributing to a diverse and promising civil society.

UNDP and SGP experience in the two regions has been that NGOs have had good success with demonstration projects that produce local benefits and build community capacities for biodiversity conservation, climate change mitigation and adaptation, sustainable land management, international waters protection, and abatement of persistent organic pollutants (to name the broad areas in the SGP's purview). However, they may have been less successful in promoting participatory policy-making and in influencing decision-making processes. There tends to be a capacity gap between on-the-ground activities and transforming the lessons from good practices into policies and regulatory norms.

Similarly, while environmental NGOs in both regions have also made substantial achievements in working with communities on environmental education, raising awareness, and organizing campaigns for nature protection, a related capacity gap occurs between the tangible results and lived experience of local environmental actions and rendering them into knowledge and information that can be readily understood and accepted by the public and directly used by policy-makers. These critical external capacity gaps are exacerbated by the internal organizational, financial, and administrative capacity deficiencies that plague the majority of NGOs.

With this project, and with the support of UNDP and its strength in promoting the development of social capital and democratic governance, SGP will build upon and leverage its experience in the two regions to target specifically the capacity needs of NGOs to allow them to participate more effectively in environmental management and policy processes and in environmental governance, broadly speaking. By providing targeted grants for training, capacity building, and knowledge exchange, the project will build the internal and external capacities of NGOs in each of the selected countries so that they are able to influence policy-making and to engage more fully in environmental governance at different levels.

The project is aligned with the European Commission's recognition of the significance of civil society action in environmental protection and resource management and the European Neighbourhood Policy (ENP) national action plans, which emphasize effective environmental governance and the role of NGOs. The proposal responds to the Commission's positive assessment of capacity building for environmental NGOs in the European Union and the importance of extending this process to neighbouring countries and regions.

Project Outcome:

Promoted sustainable development and improved environmental management in neighbour countries to the East and to the South of the European Union through more effective civil society participation in environmental governance.

Project Output:

Developed capacities of the NGOs in neighbour countries to the East and to the South of the European Union to engage in environmental governance.

Expected Results:

The expected results are that at project termination at the end of year four at least three (3) NGOs per country will have had a substantial improvement in their internal and external capacities and professional skills for environmental governance through grants designed for this purpose. These are the results to be obtained through direct grants. However, through the training seminars and other capacity building workshops that are contemplated in each country, it is probable that a significantly higher number of NGOs will have the opportunity to increase their capacities and to participate in experience and knowledge exchanges, coordinate efforts, and create working alliances with partners. Therefore, the influence of this project is expected to have a multiplier effect on other NGOs and to extend to the wider civil society.

Project activities to achieve the expected results will be concentrated in grant-making and associated capacity building, training, and exchanges in the selected countries. It is expected that grants will cover both internal capacity building (strengthening organizational, financial, staffing, knowledge, and strategic planning aspects within the NGO itself) and external capacity building (improving advocacy, communications and outreach, technical / scientific skills, and networks and alliances with other civil society groups) that will enable informed NGO participation in environmental governance processes, inter alia, policy analysis, dialogue, and negotiation; research, monitoring and assessment; and coalitions and campaigns.

Grants will be administered through the proven grant-making facility of the SGP, relying on its decentralized country programmes in the countries where the programme is present or can be started up. Over nearly two decades of grant-making experience, SGP has demonstrated unequivocally that small grants can achieve significant results. Therefore, the modest SGP grant ceiling of \$US 50,000 will be maintained.

Each country programme has a voluntary National Steering Committee, composed of governmental and majority non-governmental members, which reviews and selects NGO grant proposals. SGP structure and operations are presented in the next section.

The project will be conducted in **two phases**. The first phase may be considered a pilot phase in which the project strategy is applied in eight (8) countries: Armenia, Belarus, and Ukraine in the Eastern region; and Egypt, Jordan, Lebanon, the occupied Palestinian territory, and Tunisia in the Southern region. The SGP has well-established country programmes, strong UNDP Country Office support, and existing relations with civil society organizations and networks in all of these countries. Additionally, the country programmes and previous grantees in each of the two regions have a history of cooperation and networking among themselves, which will be helpful in supporting the proposed capacity-building activities. The lessons learned in the first year of project implementation will help initiate the second phase in Year 2.

The second phase will take place in five (5) countries, three in the Eastern region – Azerbaijan, Georgia, and Moldova – and two countries in the Southern region – Algeria and Morocco. SGP does not have a Country Programme at present in Azerbaijan and has only recently established Programmes in Georgia, and Moldova, while the programme in Algeria is just commencing its first year of activity and remains to be firmly established. While Azerbaijan is included within the Phase 2 countries, feasibility for grant making will need to be carefully assessed in early 2014, based on programmatic and cost-effectiveness considerations, in order to determine whether SGP grant making can be extended to it, or alternative grant-making arrangements can be initiated. The lessons learned from the Year 1 countries will be particularly helpful. As circumstances change in the two sets of countries and depending on risk and opportunity assessments by the project steering committee, the composition of these two groups may be modified for greater overall project efficiency or effectiveness.

The primary **target group** is legally registered NGOs in the selected countries with an environmental mission, environmental track record or a strong interest in environmental policy in relation to their mission. Environmental NGOs with demonstrated capacity needs are the preferred target group, but all NGOs and even community-based organizations would be in principle eligible to apply for grants if they are in alignment with project objectives.

A secondary target group are the local and national government authorities and policy- and decision-makers who would potentially be affected by prospective partners and allies in environmental governance that are participating in this project.

A final target group is all citizens concerned with environment and sustainable development in their localities and countries, who may benefit from NGOs better equipped to make changes in environmental policies and governance.

The project will be implemented by UNDP Bratislava Regional Centre, which will support project implementation using the existing mechanism of the GEF Small Grants Programme (SGP) in the target countries, including grant approval by the National Steering Committee and day-to-day management by the SGP Country Programme Team under the overall leadership of the Project Coordinator. UNOPS will act as Responsible Party to carry out payments related to the Country Operating Budgets in each participating country.

Other Partners who will be invited to support project implementation include the Regional Environmental Centres for the Caucasus and for Moldova (REC Caucasus and REC Moldova) and the Mediterranean Information Office for Environment, Culture and Sustainable Development (MIO-ECSDE). These partners have a wealth of environmental capacity-building experience and expertise as well as contacts and networks to bring to the table. Their participation will help promote national and regional cooperation and the sharing of experiences with European environmental NGOs.

In the case of the two RECs mentioned here and any REC representatives in the selected countries, the representatives may be invited to sit on the SGP National Steering Committee when it is considering NGO grant proposals that would be funded by this project. A representative of REC Moldova will sit on the NSC there, and a representative of REC Caucasus will sit on the Georgia NSC; arrangements for REC representation in the remaining Caucasus countries are ongoing. As such, the RECs have a voice in grant selection in these countries in particular as they would be if they participate in the NSCs of other Country Programmes. Details of the partnership agreements with the RECs and MIO-ECSDE will be finalized as soon as possible after launch of project implementation.

Other partnerships with established, experienced NGOs and NGO networks, academic and research institutions, and others that may be able to provide advice and training at the national and regional levels will be encouraged.

Grant making and associated activities will allow NGOs to develop both their internal and external capacities for environmental governance.

Through grants, NGOs will be able to access training on matters that will assist them with assessing and building their internal capacities in six main areas: This training may take any of a variety of forms whose eligibility for funding will be assessed by the NC and NSC with the aim of ensuring cost-effective achievement of a particular project's goals.

- Internal **capacities assessment** and elaboration of **capacity development plans**
- Strengthening of **staff skills** (administrative, financial, etc.)
- **Leadership** preparation
- Guidance on **resource mobilization**
- **Performance self-evaluation**
- **Strategic planning**

In terms of external capacities, the grants will support conceptual and practical training in several vital areas related to environmental governance:

- Collecting, analyzing, and promoting access to environmental and sustainable development **information**
- Participating in **environmental decision-making**
- Conducting **policy** analysis, participating in policy consultations and policy implementation
- Assessing environmental conditions and **monitoring compliance** with environmental laws and agreements (on the part of government, industry, communities, etc.)
- **Advocating for environmental justice** through **access to law**, the courts, and public opinion
- Using **communications** and media campaigns strategically to promote sound environmental governance
- **Building alliances** and networking with civil society organizations nationally and regionally

NGOs will use small grants funding to access advisory services, contract national consultants to provide specific capacity building, and/or to support the organization and facilitation of training seminars and exchange workshops.

Grants are also intended to follow the SGP method of "learning by doing" – for example to work with academic researchers to learn how to conduct policy analysis and produce evidence-based assessment reports with policy recommendations, or to collaborate with NGO networks to learn how to build effective alliances and carry out productive exchange experiences. Grants can also support NGOs to work with activists and government agencies to learn how to monitor compliance with environmental

regulations and cooperate with government, industry, workers, and consumers, considering the contribution NGOs can make in the move towards a green economy and more sustainable consumption and production. Thus grant funding may be used by NGOs to support learning-by-doing capacity building through structured policy dialogues with government and civil society actors on particular environmental governance themes or through multi-stakeholder workshops to build consensus on the way forward on a particular environmental or sustainable development problematic.

Essentially the grant modality is designed to provide maximum flexibility and creativity for NGO proponents while respecting the project objectives of building capacity for environmental governance.

Under the proposed project, **grants will be up to USD 50,000** with a duration of not more than 24 months. The SGP customarily asks grant proponents to make cash and / or in-kind contributions to grant budgets; SGP NSCs will determine the precise amount or percentage. The grant process will follow the SGP Operational Guidelines. Suggested grant proposal requirements to meet project objectives on environmental governance capacity building will be developed by the project coordinator in consultation with the EC and SGP NCs and then will be adapted, where appropriate, to fit each country programme. In accordance with the decentralized nature of SGP, each SGP Country Programme NSC will develop their particular grant selection criteria within the broader strategic framework provided by the project. The project coordinator will ensure that the selection criteria are fully in line with the objectives of this project.

The overall project **budget** is divided into two parts: a contribution of USD 3.3 million (€3 million) from the EU and a contribution of USD 550,000 (€500,000) from UNDP through GEF SGP. The EU contribution of USD 3.3 million is divided as follows: 70% or USD 2.3 million (€2.1 million) will go to direct grants to NGOs in the selected countries. The remaining 30% will cover programme management costs at the global, regional and national levels, travel for monitoring and evaluation, and minimal equipment and supplies in accordance with the financial and administrative framework agreement between the EU and the UN. It is expected that each participating country will receive an average of USD 177,000 as a grant allocation over the four-year project with the bulk of grant funds to be disbursed in Years 1 and 2. The size of the grant allocation will be determined largely by the SGP Country Programme track record and absorptive capacity and by the total number of good quality grant applications received in each country. The grant funds set aside for Years 3 and 4 are intended to cover any remaining phase 2 countries that were not able to make any grant awards in Year 2, but preferably to cover grants to NGOs to organize and facilitate workshops with the participation of all grantees in the country or subregion or region, as appropriate and feasible, to exchange experiences gained and lessons learned and make recommendations for any follow-up grant-making project.

Using GEF-SGP funds, UNDP will cover a portion of the cost of running the SGP Country Programmes in Armenia, Belarus, Ukraine, Egypt, Jordan, Lebanon, the occupied Palestinian territory, and Tunisia for Years 1-2-3 and those in Algeria, Morocco, Georgia and Moldova in Years 2-3-4, which is essential for the proposed project to be viable (no cost estimates are available or included for Azerbaijan as it does not yet have a SGP country programme). This funding (32% of the total) will also cover capacity development grants in coordination with EU financing.

An outline of project activities during the four years follows:

Year 1

Project inception activities

To be completed by end of year one

- Establish project steering committee composed of UNDP and EC
- UNDP to recruit project coordinator to work closely with SGP Central Programme Management Team (CPMT) and UNDP Senior Technical Advisor for Community Resilience and Sustainability in New York

- Project coordinator, in consultation with CPMT will liaise with SGP global and country programme management as well as with REC partners
- Project coordinator will brief SGP NCs and UNDP Country Offices on project objectives and grant allocation
- SGP NCs will present and explain to NSCs the project *Strengthening Environmental Governance by Building the Capacity Of Non-Governmental Organizations (NGOs)*

For phase 1 countries

- SGP NCs develop call for proposals (open to all), and identify pool of likely NGO candidates to inform about the opportunity (REC and MIO-ECSDE will offer advice as appropriate)
- SGP NCs will begin to administer ex-ante questionnaire on NGO capacities and environmental governance
- SGP NCs will assist all requesting NGO applicants to develop proposals and budgets, to include specific capacity-building activities and costings (trainings, consultants, travel)
- As part of proposal, NCs will work with NGOs to analyze their capacities and submit completed ex-ante questionnaire on NGO capacities and environmental governance
- Proposal submission deadline at an agreed date by the NSC in the subsequent quarter
- Grants to be submitted, reviewed, and selected by expanded NSCs by end of subsequent quarter
- Grants should be disbursed and operational by the end of the first year (September 2013)
- Project coordinator will supervise and monitor project progress and send the first progress report to the EC by September 2013
- SGP NCs will supervise and monitor grant projects

Year 2

For phase 2 countries

Project introduction activities

Generally the same as in Year 1 as was done with Phase 1 countries. Project coordinator will send the second progress report to the EC by February 2014 (covering both phase 1 and phase 2 countries).

Primarily for phase 1 countries

Second round of grants

- Activities the same as in previous rounds
- Proposal submission deadline at an agreed date by the NSC in the second quarter
- Grants should be selected, disbursed and operational by the third quarter

Year 3

For phase 1 countries

Third round of grants

- Designed to fund NGOs to organize and facilitate experience exchange and lessons learned workshops for grantees with ex-post self-assessment questionnaires, scheduled on a country by country or sub-regional or regional basis, as appropriate and feasible.
- Project coordinator continues to supervise and monitor project progress and will send the third progress report to the EC by February 2015 (covering both phase 1 and phase 2 countries).
- SGP NCs continue to supervise and monitor grant projects

For phase 2 countries

Second round of grants

- Activities the same as in previous rounds
- Proposal submission deadline at an agreed date by the NSC in the second quarter
- Grants should be selected, disbursed and operational by the third quarter

Year 4

For phase 2 countries

- Designed to fund NGOs to organize and facilitate experience exchange and lessons learned workshops for grantees with ex-post self-assessment questionnaires, scheduled on a country by country or sub-regional or regional basis, as appropriate and feasible.
- Project coordinator continues to supervise and monitor project progress and will send the third progress report to the EC by February 2015 (covering both phase 1 and phase 2 countries).
- SGP NCs continue to supervise and monitor grant projects

For phase 1 and 2 countries

Final evaluation

- To be conducted by independent consultant(s) and submitted to the EC together with a draft final report by UNDP in November 2015.

Project Sustainability

The **expected impacts** of the project are that by the end of the project, a significant cluster of NGOs and their partners in each of the selected countries and regions will be engaged in environmental governance with competence and assurance. Specifically, at least three (3) NGOs per country will have had a substantial improvement in their internal and external capacities and professional skills for participation in environmental governance through grants designed for this purpose. Through training seminars and other capacity building workshops, it is likely that a significantly higher number of NGOs will have the opportunity to increase their capacities and to participate in experience and knowledge exchanges, coordinate efforts, and create working alliances with partners. Therefore, the influence of this project is expected to have a **multiplier effect** on other NGOs and to extend to the wider civil society.

The degree of achievement of the expected results regarding capacity development for environmental governance will be addressed by comparing **ex-ante and ex-post NGO self-assessments**, most likely through a **questionnaire** that will be developed and applied with the assistance of the National Coordinator as project implementation commences. However, it is possible that positive results in terms of increased capacity may only become clearly visible beyond the project timeframe. Based on EU and SGP experience, participating NGO influence on the policy process and other aspects of environmental governance may be discerned at best some time after the end of the project. And quite often it is more a matter of indirect impacts, which are more difficult to perceive and measure. The NGO self-assessments will be complemented by the abovementioned **exchange and lessons learned workshops** and an **independent final evaluation** at the end of Year 4.

In the course of project implementation, grants will build the capacity of NGOs to participate actively in civil society alliances and networks and in broad policy processes, practices which will undoubtedly have multiplier effects. Moreover, at the end of Year 3 and the beginning of year 4 grants to NGOs will be used to organize and facilitate workshops with the participation of all grantees in the country to exchange and **disseminate experiences** gained and lessons learned and make recommendations for any follow-up grant-making project.

Potential **risks** will be substantially lessened by implementing the proposed project through the well-established SGP country programme modality. After nearly two decades of global operations, SGP has identified risks and incorporated measures to mitigate them in the SGP Operational Guidelines, which are applied daily at headquarters and in countries. However, two or three significant risks can be identified:

1) The risks inherent in working directly with NGOs (and possibly community-based organizations) with low internal and external capacities. This is, of course, the reason for being of the proposed project but nevertheless constitutes a real risk of undermining some grants. To address this risk, SGP procedures can

be instructive – working in a flexible manner that responds to the strengths and shores up the weaknesses of grantees, and linking them with experienced grantees to promote mutual learning. Risks of underperformance due to capacity limitations will require consistent and comprehensive oversight and monitoring so the proposed project will definitely derive great benefit in this regard from SGP NC and NSC as well as UNDP Country Office participation. Guidance to the NSCs and NCs in regard to NGO eligibility will emphasize a flexible approach to ensure that all applicants have an equal opportunity to apply for and obtain grants.

2) The risk that a SGP Country Programme will not be fully established and prepared for project implementation in Moldova or Georgia, while SGP or effective alternative grant making mechanisms cannot be launched for Azerbaijan. While the SGP has launched the Moldova and Georgia country programmes, there is still significant uncertainty about the incipient but growing capacities of these country programmes given their recent start-up. In the absence of viable SGP country programmes in two of the three Caucasus countries (and potentially, Moldova), their grant allocations could be absorbed by other selected countries.

3) The risks of intervening political or financial crises or natural disasters cannot really be anticipated but the SGP / UNDP Country Office structure has the resilience to assess and respond appropriately to such risks in most cases; the project steering committee will assess and agree on the feasibility of continuing the overall project in each affected country.

4) While the project is designed overall to be implemented over four years, the risk of projects with delayed implementation could result in functional finalization of the project beyond the four-year time frame. The project has been designed to be implemented in the most efficient way possible with single, early country calls for proposals, grant project durations of 24 months and a management strategy aimed at adapting to evolving circumstances and risks, as well as to opportunities to achieve more efficient and effective implementation should they present themselves.

Risks to efficient and effective implementation of this project can be summarized in the following table:

Risk	Risk rating	Risk mitigation strategy
Insufficient NGOs possess the internal and external capacities to design and formulate effective proposals for funding.	L-M	NGOs are provided in-depth guidance in the preparation of grant proposals as part of the standard duties and responsibilities of National Coordinators and Project Coordinator.
SGP country programmes or alternative mechanisms are unable to be established in the countries where they don't currently exist.	M	The project steering committee (Project Board) will periodically assess this risk and the feasibility of potential alternative implementation arrangements, where warranted, including the possibility to allocate additional grant funding to active countries which have greater absorptive capacity and good performance.
Factors beyond the control of UNDP (e.g. funding, political upheaval) impede the effective or efficient implementation of one or more of the existing SGP country programmes.	L	The project steering committee (Project Board) will periodically assess this risk and the feasibility of potential alternative implementation arrangements, where warranted, including the possibility to allocate additional grant funding to active countries which have greater absorptive capacity and good performance.
Grant projects are delayed in finalizing implementation, resulting in potential	L	The SGP Country Programmes will monitor and supervise all grants and keep Project Coordinator

<p>additional supervision costs to the project.</p>		<p>abreast of the status, while the project coordinator will identify any problem projects and portfolios. The project has been designed to minimize delays in the start-up of grant projects. Grant making will be completed during years 1-3, with year 4 to be used for continued oversight, capture of results and knowledge, and closure of projects.</p>
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Sustainability is intrinsic to the capacity development enterprise. If the participating NGOs are able to leverage the capacity development offered by the proposed project and the opportunities to build skills, institutions, networks, and partnerships, the effectiveness of the interventions will be sustained in time. The programmatic links to SGP, RECs, UNDP, and EC should also enhance the possibilities for sustainability.

III. LOGICAL FRAMEWORK

	Intervention Logic	Objectively verifiable indicators of achievement	Sources and means of verification	Assumptions
Overall objectives	To promote sustainable development and improved environmental management in Eastern Europe and the Arab States through more effective civil society participation in environmental governance	Environmental and sustainable development policies and programmes reflect high standards of technical excellence as well as compliance with global and regional commitments.	Policy analysis and assessments	
Specific objective	To build the capacities of environmental NGOs in at least six and up to thirteen countries in Eastern Europe and the Arab States to engage in environmental governance	Increased internal and external capacities of environmental NGOs Increased participation of environmental NGOs in policy and environmental governance processes	Periodic reports on grant progress Analysis of ex-ante and ex-post NGO self-assessment questionnaires	<i>Assumptions:</i> Enabling political and institutional conditions Civil society guarantees <i>Risks:</i> Insufficient NGO capacity to participate Uncertainty about launching a country programme in Azerbaijan
Expected results	At least three (3) NGOs per participating country have built their capacities to engage in environmental governance	Number of participating NGOs who have successfully received grant funding and completed capacity-building activities	Periodic reports on grant progress Analysis of ex-ante and ex-post NGO self-assessment questionnaires	<i>External conditions:</i> Political conditions allow NGOs to freely participate Sufficient number of NGOs in each selected country that are able and interested in participating
Activities	Grant preparation and selection Grant implementation NGO capacity building activities	<i>Means:</i> Recruitment of project manager Establishment of project advisory committee	Periodic reports on grant progress Minutes of NSC meetings <i>Costs</i>	SGP NCs and NSCs are briefed and ready NGOs are aware of capacity building grant opportunity Governments do not oppose project

	<p>NGO experience & lessons learned workshops</p> <p>NGO self assessments</p>	<p>Involvement of RECs and national and regional NGO networks</p> <p>UNDP Country Office support</p> <p>SGP country programme grant-making modality and delivery mechanism</p> <p>UNDP global guidance</p>	<p>USD 3.3 million (€3million) EU Contribution</p> <p>USD 2.3 million (€ 2.1million) in direct grants to NGOs and USD 0.990 million for direct and indirect costs of programme management and quality assurance</p> <p><i>USD 550,000 (€ 500,000) UNDP Contribution</i></p>	
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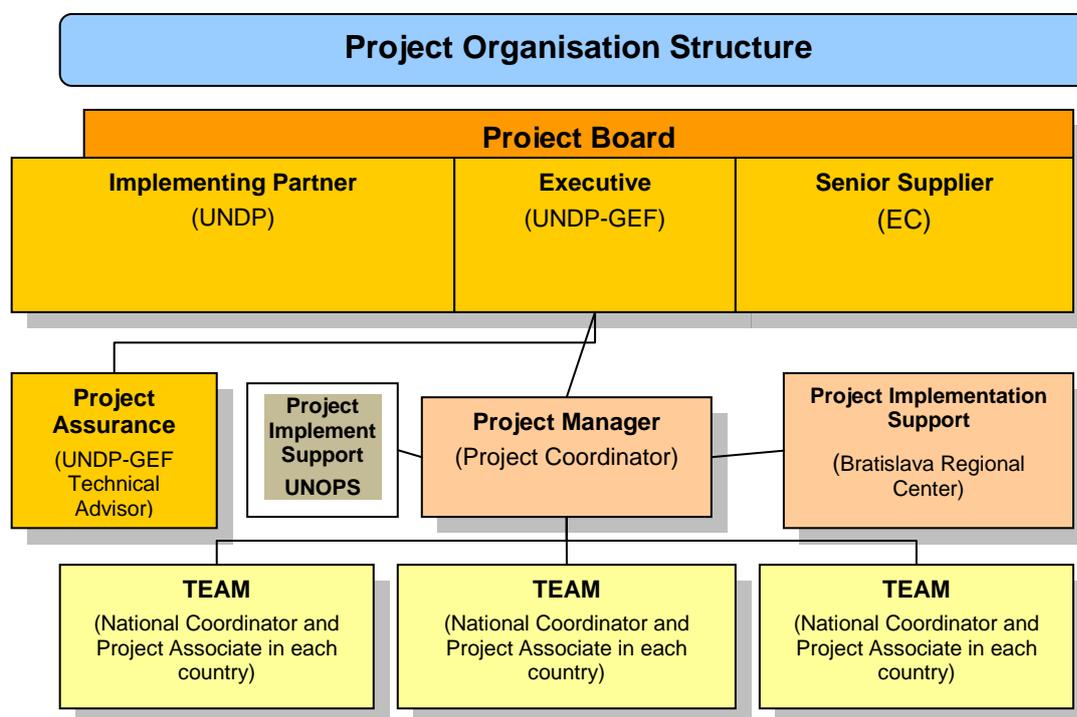
IV. ANNUAL WORK PLAN

The duration of the project will be 48 months.

Activity	Year 1				Year 2				Year 3				Year 4				Implementing body
	Q1	Q2	Q3	Q4													
Project inception activities																	UNDP
Project advisory committee																	UNDP / EC
Recruit project coordinator																	UNDP
Project coordinator liaising w/ SGP, UNDP COs, REC																	UNDP
Project Guidelines produced by Project Coordinator																	Project Coordinator
SGP NCs brief NSCs																	SGP NCs
First rounds of grants for Phase 1 countries																	UNDP / Phase 1 countries
Call for proposals																	SGP NCs
SGP NCs assist NGO proposals																	SGP NCs
Ex-ante questionnaire																	SGP NCs
Proposal deadline																	SGP NCs
SGP NSC grant selection																	SGP NSCs
Grants operational																	SGP NCs
Grant supervision																	SGP Ns
Project introduction and Project Inception activities in Phase 2 countries																	UNDP / Phase 2 countries / SGP NCs
First round of grants for Phase 2 countries																	Phase 2 countries
Second round of grants for Phase 1 countries																	Phase 1 countries
Third round of grants for Phase 1 countries																	Phase 1 countries
Second Round of grants for Phase 2 countries																	Phase 2 countries

Third round of grants for Phase 2 countries																		Phase 2 countries
Lessons learned & exchange workshops																		UNDP / SGP country programmes
Ex-post questionnaire																		UNDP / SGP NCs
Final evaluation																		UNDP and independent consultant(s)

V. MANAGEMENT ARRANGEMENTS



This project will be implemented by UNDP through the SGP grant-making modality in accordance with the SGP Operational Guidelines (attached as an annex to this project). The principles and recommendations contained in the Guidelines are the result of management and implementation practices that have proven to be globally effective and useful and that have been honed and refined over the course of nearly two decades. SGP's rich community-based experience and NGO networking will provide an effective delivery mechanism for the proposed project, which will align quite naturally with SGP country programmes.

The project will be executed under the Direct Implementation Modality (DIM) by UNDP. The Bratislava Regional Center (BRC) will act as Responsible Party to provide cost-effective execution services including payments to NGOs for grants (approximately three payments for as many as five grants per country), some minor travel arrangements and procurement at the global level, and recruitment of the Project Coordinator. UNOPS will also act as Responsible Party for the execution of payments for the operational expenses associated with in-country implementation of the project.

UNDP will recruit a **Project Coordinator**, who will work under the supervision of the UNDP Regional Technical Adviser for Community Resilience and Sustainability in close collaboration with the SGP Central Programme Management Team (CPMT) to coordinate the proposed project and the relationships with the various SGP Country Programmes and other partners while providing necessary technical assistance. A small UNDP-EC project steering committee (the Project Board) will be established, to meet virtually on a biannual basis during project implementation. EC representatives in the participating countries will be invited to join the **SGP National Steering Committees (NSCs)**.

The volunteer, multi-stakeholder NSCs are the cornerstone of SGP country programme delivery of successful grant projects. The NSCs are composed of national governmental and majority non-governmental members to reflect the SGP's mandate to build the capacity of civil society organizations to produce local and global environmental benefits (as described in the Operational guidelines). The NSCs provide overall country programming guidance as well as direct links to national policy-making, development planning, and knowledge dissemination. The NSCs are responsible for selecting and approving projects, and for ensuring their technical and substantive quality. In addition, NSC members are

expected to support the country programme in resource mobilization and in mainstreaming SGP lessons learned and successes in other national contexts. NSC members may participate in pre-selection project site visits and in project monitoring and evaluation.

SGP country programmes are usually staffed by a **National Coordinator (NC)** and **Programme Assistant**. The NC is responsible for all aspects of country programme operations and management, including supervising grant implementation, partnership development, knowledge management, and monitoring and evaluation. The NC works with Project Coordinator, and seeks guidance and support from, and reports to, the National Steering Committee (NSC) on progress of programme implementation. The **UNDP Country Offices** provide financial administration, oversight and representation functions in line with the SGP Operational Guidelines.

Partner organizations such as the RECs and MIO-ECSDE may provide advice and expertise for project implementation to SGP country programmes via the project coordinator and the SGP NCs. REC representatives will also be invited to participate in the NSCs when project grants are being considered.

Specific mandatory branding guidelines will be prepared and disseminated to all participating Country Programmes at the beginning of the project for use during project implementation.

VI. MONITORING EVALUATION AND FRAMEWORK

In accordance with the programming policies and procedures outlined in the UNDP User Guide, the project will be monitored through the following:

Within the annual cycle

- On a quarterly basis, a quality assessment shall record progress towards the completion of key results, based on quality criteria and methods captured in the Quality Management table below.
- An Issue Log shall be activated in Atlas and updated by the Project Manager to facilitate tracking and resolution of potential problems or requests for change.
- Based on the initial risk analysis submitted (see annex 1), a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation.
- Based on the above information recorded in Atlas, a Project Progress Reports (PPR) shall be submitted by the Project Manager to the Project Board through Project Assurance, using the standard report format available in the Executive Snapshot.
- a project Lesson-learned log shall be activated and regularly updated to ensure on-going learning and adaptation within the organization, and to facilitate the preparation of the Lessons-learned Report at the end of the project
- a Monitoring Schedule Plan shall be activated in Atlas and updated to track key management actions/events

Annually

- **Annual Review Report.** An Annual Review Report shall be prepared by the Project Manager and shared with the Project Board and the Outcome Board. As minimum requirement, the Annual Review Report shall consist of the Atlas standard format for the QPR covering the whole year with updated information for each above element of the QPR as well as a summary of results achieved against pre-defined annual targets at the output level.
- **Annual Project Review.** Based on the above report, an annual project review shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the project and

appraise the Annual Work Plan (AWP) for the following year. In the last year, this review will be a final assessment. This review is driven by the Project Board and may involve other stakeholders as required. It shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes.

VII. LEGAL CONTEXT

“This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the “Project Document” instrument referred to in: (i) the respective signed SBAs for the specific countries; or (ii) in the [Supplemental Provisions](#) attached to the Project Document in cases where the recipient country has not signed an SBA with UNDP, attached hereto and forming an integral part hereof

This project will be implemented by UNDP in accordance with its financial regulations, rules, practices and procedures.

To ensure its responsibility for the safety and security of the UNDP personnel and property, UNDP shall: (a) 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; (b) assume all risks and liabilities related to UNDP’s security, and the full implementation of the security plan.

The UNDP shall undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document 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/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document

VIII. ANNEXES

- 1. UNDP – EU Agreement (Attachment)**
- 2. Terms of Reference for key project personnel**
- 3. SGP Operational Guidelines (Attachment)**

Annex 2: TERMS OF REFERENCE PROJECT COORDINATOR – EU-STRENGTHENING ENVIRONMENTAL GOVERNANCE BY BUILDING THE CAPACITIES OF NGOS

Background

The European Commission and the United Nations Development Programme (UNDP) have agreed to support a project titled *Strengthening Environmental Governance by Building the Capacities of NGOs* in European Neighborhood countries. The project will provide small-scale project financing to NGOs through the UNDP-GEF Small Grants Programme (SGP) and will be executed by the Bratislava Regional Center. The project will also review, analyze, and codify results arising from implementation of these projects to distill and disseminate lessons which can be communicated to policy makers for coherent policy development and replication.

The proposed project will improve NGOs capacity to participate in an informed and skilled manner in environmental policy formulation and natural resource management, collaborate in decision-making on key issues, and represent the interests of citizens and communities in the environment and sustainable development arenas. By promoting coordination and knowledge exchange among NGOs and other partners the project aims to have a wider influence on civil society capacity to engage with governments in the task of environmental governance. The project will work through the established grant-making capacity and decentralized, country-driven programming of the GEF Small Grants Programme (SGP), implemented by UNDP. The results expected include significant capacity improvement of at least three NGOs per participating country to engage in environmental governance. The project will be implemented in two phases, including the following group of countries: Armenia, Belarus, Ukraine, Egypt, Jordan, Lebanon, occupied Palestinian territory, Tunisia (phase 1); Azerbaijan, Georgia, Moldova, Algeria, and Morocco (phase 2). The project will be implemented through UNDP Execution over a period of four years, starting from August 2012. The budget of the project is USD 3,300,000 (EUR 3,000,000) EU Contribution and USD 550,000 (EUR 500,000) as in-kind and in cash contribution from the GEF-SGP, UNDP.

The Project Coordinator is responsible for the overall management and implementation of the project *Strengthening Environmental Governance by Building the Capacities of NGOs*.

The Project Coordinator will work under the overall supervision of the UNDP-GEF Regional Technical Advisor for Community Resilience and Sustainability (CRS), for programme oversight and technical and substantive guidance, as well as with the SGP Deputy Global Manager to coordinate the proposed project and the relationships with the various SGP Country Programmes and other partners while providing necessary technical assistance. As such, the Project Coordinator will report to the RTA as primary supervisor and to the SGP Deputy Global Manager as secondary supervisor on operational issues and Country Programme staff issues. All communications with National Coordinators will be closely coordinated with the SGP Central Programme Management Team (CPMT).

Duties and Responsibilities

Summary of key functions:

- Project Coordination;
- Development and initiation of the project's Results Based Management (RBM) system for efficient delivery;
- Knowledge management, including guidance for the development and distribution of project case studies, comparative studies and other knowledge products and management of digital media and outreach sites.

Project Coordination (30% of total time):

- Prepare the project's annual budget and work plan under the overall supervision of the CRS Regional Technical Advisor (RTA);
- Monitor implementation of the annual project work plan, budget, time table and risks, ensuring that efficient and effective proper financial management of the project is achieved, in close coordination with SGP CPMT and Country Programme staff, and Bratislava Regional Center and UNOPS as Responsible Parties for the project, both of whom will report to the Project Coordinator on their respective areas of responsibility regarding project delivery and financial management;
- Work collaboratively with SGP Country Programmes to monitor projects to ensure activities comply with donor agreements;
- Prepare project appraisal and draft annual reports and other documents for reporting by UNDP-GEF to donor;
- Keep UNDP-GEF abreast of all critical management issues for review and guidance;
- Advise the CRS RTA on potential future project development and resource mobilization potential based on project experience;
- Coordinate closely with CPMT as well as other units, in UNDP, where applicable, to maximize synergy and collaboration, such as Equator Initiative, UNDP-GEF focal area teams and EEG's Local Pillar;
- Organize and support project management meetings and prepare documentation, as required;
- Assist the CRS RTA to organize the final evaluation;
- Undertake all project closure activities at the global level;
- Other activities as required.

Development and initiation of the project's Results Based Management (RBM) system for efficient delivery (35% of total time):

- Work closely with SGP Country Programmes to provide adequate background and technical information and other resources on the project and other issues relevant to the goals, objectives, outcomes and implementation of the project;
- Design and initiate the project's overall RBM system, including its strategic framework with goals, outcomes, outputs and indicators, targets and means of verification;
- Design an overall project M&E plan, integrating project information management with UNDP-GEF, as well as SGP systems in close cooperation with CPMT;
- Under the guidance of the CRS RTA, identify and develop a results-based management strategy for the project in relation to developing impact-based knowledge products, including desired goals, objectives, and outcomes; and lead implementation of the strategy;

- Organize, contribute to or lead on-line seminars, workshops or other events to build the capacities of Country Programmes and other national and local stakeholders.

Knowledge management, development and distribution of project case studies, comparative studies and other knowledge products and management of digital media and outreach sites (35% of total time):

- Provide advice and guidance to each SGP Country Programme in order to identify and develop a knowledge management strategy for his/her individual component including desired goals, objectives, and outcomes and support him/her in the design and production of case studies and other knowledge products;
- Lead case study and comparative study development with inputs from SGP Country Programmes; guide Country Programmes in identifying and collecting necessary information for case study development;
- Oversee production and quality assurance of knowledge products, including UNDP web pages, videos, publications;
- Create a webpage within the overall UNDP website to communicate project progress and results and maintain it populated and up-to-date;
- Produce a yearly knowledge report on the results and experience of the project and its individual country programmes that distills lessons learned and makes recommendations for improved implementation and upscaling;
- Coordinate with SGP CPMT on the management of data related to the project in the SGP database;
- Ensure widespread targeted distribution of knowledge products, based on the Knowledge Management strategy.

Competencies

Corporate Competencies:

- Demonstrates integrity by modeling the UN's values and ethical standards;
- Promotes the vision, mission, and strategic goals of UNDP;
- Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability;
- Treats all people fairly without favoritism.

Technical Competencies:

- Expertise and knowledge of results based management, knowledge management and project and programme analysis, formulation and implementation;
- Excellent conceptual, writing, and presentation skills for diverse audiences;
- Strong analytical, organizational, reporting and writing abilities.

Functional Competencies:

Results orientation

- Uses initiative to achieve planned results within time and budget targets;
- Applies sound judgment in solving problems and negotiation process;
- Communicates convincingly UNDP's position with sensitivity.

Efficiency orientation

- Capacity to plan, prioritize and deliver tasks on time;
- Employs best practices and is innovative in the design of systems that support programme delivery;
- Demonstrates commitment to cost effectiveness and simplification;
- Ability to work under pressure;
- A strong client orientation attitude to both local and international partners.

Team Work and communication skills

- Ability to work in and manage teams;
- Excellent time management, monitoring and evaluation skills;
- Openness to change and ability to receive/integrate feedback;
- Excellent interpersonal and communication skills.

Required Skills and Experience

Education:

- Master's degree in development policy, social and/or environmental sciences, or other closely related field.

Experience:

- A minimum of 5 years of experience in the broad areas of results based management, monitoring and evaluation, and/or project and programme analysis and management at the global level;
- A good understanding of the policy dimensions of climate change, land degradation, and biodiversity loss as well as rural landscape and smallholding management for resiliency, food security and economic production;
- Familiarity with the GEF and other Small Grants Programmes desirable.

Language Requirements:

- Fluency in oral and written English required;
- Knowledge of another official UN language is desirable;
- Fluency in another UN language is an asset.