United Nations Development Programme

Terminal Evaluation of UNDP/GEF Project: 5th Operational Phase of the GEF Small Grants Programme in India (SGP5)

(GEF Project ID: 4383; UNDP PIMS ID: 4515)

Terminal Evaluation Report









Mission Members:

Mr. Roland Wong, International Consultant
Dr. Arun Joshi, National Consultant
Dr. Haridas Caritas, National Consultant

April 2018

TABLE OF CONTENTS

Page

SYNOPSIS

Title of UNDP supported GEF financed project: 5th Operational Phase of the GEF Small Grants Programme in India (SGP5 for India)

UNDP Project ID: PIMS 4515

GEF Project ID: 4383

Evaluation time frame: October 2012 to December 2017

CEO endorsement date: 27 January 2012

Project implementation start date: 30 October 2012

Expected Project end date: 31 October 2018

Revised Expected Date of Operational Closure: 31 March 2018

Date of evaluation report: 31 December 2017

Region and Countries included in the project: India

GEF Focal Area Objective:

For GEF-5 BD Focal Area - Strategic Objective 3: Mainstream biodiversity
For GEF-5 CCM Focal Area - CCM-2: Energy efficiency and CCM-3: Renewable energy
For GEF-5 LD Focal Area - SO-1: Agricultural and rangeland systems and SO-2: Forest landscapes

Implementing partner and other strategic partners: Implementing partner: Center for Environmental Education (CEE), Ministry of Environment Forest and Climate Change (MoEFCC)

Evaluation team members: Mr. Roland Wong, International Consultant
Dr. Arun Joshi, National Consultant
Dr. Haridas Caritas, National Consultant

Acknowledgements:
The Evaluators wish to acknowledge with gratitude the time and effort expended by all project participants and stakeholders during the course of the Terminal Evaluation of the project "5th Operational Phase of the GEF Small Grants Programme in India". In particular, we wish to thank the UNDP India, the Center for Environmental Education (in both New Delhi and Ahmadabad), Ministry of Environment Forest and Climate Change as well as other former Project managers and former Project personnel for making the efforts to recall details of their time while on the Project and to all support staff for making all the travel arrangements for the TE mission members. The mission is also feels privileged and grateful to have met the numerous and passionate grantees and beneficiary communities of SGP5. These stakeholders were located in:

- Maharashtra (Bhagirath Gramvikas Pratishtan in Sindhudurg, Gramin Samassya Mukti Trust, and Samvardhan Samaj Vikas Sanstha);
- Gujarat (VIKSAT (Vikram Sarabhai Center for Development Interaction), Nehru Foundation for Development, Kachchh Heritage Arts Music Information and Resources (KHAMIR), and Vruksha Prem Seva Trust);
- Karnataka (Manuvikasa and Sanjeeva Seva Trust in Sirsi District and Earthwatch Institute India Trust);
- Madhya Pradesh (Sarthak Samudayik Vikas Avam Jan Kalyan Sanstha in Bhopal, Sujagriti Samaj Sevi Sanstha);
- Manipur (Zougam Institute for Community Resources and Development in Imphal);
- Uttar Pradesh (Society for Economic and Social Studies based in Delhi, Muskan Jyoti Samiti, Natural Environmental Education and Research (NEER));
- Odisha (Cooperation for Rural Excellence (CORE), Pallishree, Society for Education and Environmental Training (SEET), Development Agency for Poor & Tribal Awakening (DAPTA), Koraput Farmers Association (KFA));
- Assam (LOTUS); and
- New Delhi (Chintan Environmental Research and Action Group).

The Evaluation Team sincerely thanks all NGOs and stakeholder groups for their warm hospitality in meeting with us. The Evaluation Team also sincerely apologizes for any omissions to this list.

EXECUTIVE SUMMARY

This report summarizes the findings of the Terminal Evaluation Mission conducted during the November 6-30, 2017 period for the UNDP-GEF Project entitled: "*5th Operational Phase of the GEF Small Grants Programme in India*" (hereby referred to as the SGP5, SGP5 Project or the Project), that received a US$ 5.00 million grant from the Global Environmental Facility (GEF) in October 2012.

Project Summary Table

Project Title:	*5th Operational Phase of the GEF Small Grants Programme in India (SGP5 Project)*			
GEF Project ID:	4383		*at endorsement (Million US$)*	*at completion (Million US$)*
UNDP Project ID:	4515	GEF financing:	5.000	6.000
Country:	India	IA/EA own:	1.000	0.690
Region:	Asia and the Pacific	Government:	0.350	0.390
Focal Area:	Multi-Focal	Other:	4.650	19.100
FA Objectives, (OP/SP):	SP3 for GEF 4: Promoting market appraches for renewable energy	Total co-financing:	6.000	20.180
Executing Agency:	Center for Environmental Education (CEE) and Ministry of Environment and Forest (MoEF)	Total Project Cost:	11.000	26.180
Other Partners involved:		ProDoc Signature (date project began):		30 October 2012
		(Operational) Closing Date:	Proposed: October 2017	Actual: 31 March 2018

Project Description

The Small Grant Program (SGP) of UNDP was established in the 1992 as an outcome of the Rio Earth Summit, encompassing the very essence of sustainable development by "thinking globally acting locally". By providing financial and technical support to projects that conserve and restore the environment while enhancing people's well-being and livelihoods, SGP was designed to demonstrate community action as a primary measure for balancing human needs and environmental imperatives. The SGP has been operating in India since 1998 during the first operational phase (OP-1). This Terminal Evaluation (TE) covers the SGP5 Project (referred to as SGP5 or the Project) operating under OP-5 in India from 30 October 2012, with scheduled operational closure on 31 March 2018. The project is implemented by UNDP, and executed under UNDP's Non-Governmental Organization (NGO) modality, with Centre of Environmental Education (CEE) based in Ahmadabad, India and a project office set up in New Delhi, serving as the executing agency.

In line with SGP Operational Guidelines, SGP grants have been made directly to community-based organizations (CBOs) and non-governmental organizations (NGOs) in recognition of their key role in

environment and development concerns. The maximum SGP grant amount per project was US$50,000, averaging US$32,500 and complementing the large and medium-sized GEF project funding by providing a window for the direct participation of NGOs, local communities, and other grassroots organizations.

The focus of SGP5 in India has been provided in the ProDoc to cover 3 physiographic regions of India, namely the Himalayan Front (HF), Western Ghats (WG), and the Arid and Semiarid (ASAR) Regions (details of these regions can be found on Paras 15-17). The SGP5 Project has a number of contexts including:

- socioeconomic where current trends indicate steady declines of populations in these regions coupled with indicators of decreasing incomes generated from agriculture and natural resource utilization;
- climate change that is an external factor impacting agricultural production and natural resources yields, namely vulnerable sectors of the population. Moreover, climate change is affecting increasing disparities in energy access for these vulnerable sectors where unsustainable practices to generate energy (such as firewood extraction or inefficient use of fossil fuels) are prevalent;
- land degradation accentuated through extreme stresses on lands located with high population density, with indicators of falling agricultural production, and a prevalence of unsustainable practices for harvesting natural resources mainly forestry related;
- policy and institutional where the Ministry of Environment Forests and Climate Change (MoEFCC) is guided by the principles of sustainable development and enhancement of human well-being, a mandate that is carried out through state government departments and district administrations (mainly panchayats). Meeting this mandate is constantly a challenge given the complexities encountered by these various levels of government.

The SGP5 ProDoc was prepared based on the barriers identified in 2011. The Government of India (GoI) has been seeking the means to more effectively address sustainable development while improving the general well-being of its population. Common barriers to this mandate included:

- knowledge, experience and market barriers constrain adoption of biodiversity conservation objectives at the community level and resource use plans and practices across critical landscapes;
- rural community level constraints to adopting low carbon technologies along with improved land-use change and forestry practices;
- low capacities at the community level for managing improvements in natural resources management to sustain livelihoods in local communities; and
- lack of systematic and institutionalized learning for communities including networking, support systems, marketing and branding mechanisms.

The objective of SGP5 as taken from the ProDoc and its Project Results Framework (PRF) from 2012 was to “ensure a mosaic of land uses and community practices across the rural landscape to generate sustainable livelihoods and global benefits for BD, LD and CCM”. To achieve this objective, the following intended outcomes were to be achieved with the resources of SGP5:

- Outcome 1: Panchayats (local self-governments) incorporate improved management practices into village level planning for community managed landscapes and seascapes enhancing mosaics of land uses and improving biodiversity conservation;
- Outcome 2.1: Appropriate energy efficient technologies result in emission reductions;
- Outcome 2.2 Appropriate renewable energy technologies result in CO_2 emission reductions;

- Outcome 3.1 (LD-1): Improved enabling environment at the panchayat level agricultural sector improves management, functionality and cover of agro-ecosystems in ASAR;
- Outcome 3.2 (LD -2): New capacities, sources of investment and practices enable improved SFM in forest landscapes by communities;
- Outcome 4.1: Increased capacity of SGP stakeholders to diagnose and understand the complex and dynamic nature of global environmental problems and to develop local solutions;
- Outcome 4.2: Enhanced capacities of SGP grantees to monitor and evaluated their projects and environmental trends.

Project Results

The Project goal and objective and overall outcomes of the SGP5 Project are summarized on Table A against intended outcomes in the SGP5 Project Results Framework (PRF).

Table A: Comparison of Intended Project Outcomes from PRF of 2012 to Actual Outcomes

Intended outcomes in PRF of 2012	Actual Outcomes as of December 2017 as observed by Terminal Evaluation Team
Project Objective: To ensure a mosaic of land uses and community practices across the rural landscape to generate sustainable livelihoods and global benefits for BD, LD and CCM that includes: 1. 200,000 ha of land brought under sustainable land and resource management in the Western Ghats (WG), Himalayan Front (HF) and Arid and Semi-Arid Regions (ASAR) 2. 75,000 metric tonnes of CO_{2e} per year reduced through SGP interventions 3. US$ 5 million of new and additional financial resources leveraged for community driven sustainable resource management in India 4. Improvement in Systemic Level Indicators of Capacity Development Scorecard	**Actual achievement of Project objective**: 1. *97,000 ha (with 23,160 ha for the WG Region, 14,235 ha for the HF Region, and 59,605 ha for the ASAR Region), roughly half of the target of 200,000 ha[1];* 2. *200,000 tonnes CO_2 emission reductions cumulative were reported instead of tonnes CO_2 emission reductions per year. Given that climate change projects have been implemented by the project for the past 4 years, it is highly likely that the 75,000 tonnes CO_2 per year emission reduction target has been achieved. However, CEE should undertake efforts to provide this calculation to ensure this target has been met;* 3. *US$19.1 million has been leveraged as additional financing, almost 4 times the planned amount;* 4. *Overwhelming majority of project partners and stakeholders have shown improvements in capacities for all 5 systemic level indicators, notwithstanding the issues of the lack of specificity of these indicators raised in Para 30.*
Outcome 1.1: Panchayats (local self-governments) incorporate improved management practices into village level planning for community managed landscapes and seascapes enhancing mosaics of land uses and improving biodiversity conservation.	**Actual Outcome 1**: More than 60 panchayats (double that of the target of 30) have improved management practices into village planning for community-managed landscapes and seascapes under SGP5, enhancing the mosaic of land uses and improving biodiversity conservation.
Outcome 2.1: Appropriate energy efficient technologies result in emission reductions.	**Actual Outcome 2:** Appropriate energy efficient and renewable energy technologies have been deployed and have resulted in

[1] Although Project objective-level targets cannot be changed during the course of implementation, this target was reset to 100,000 ha after the SGP5 Mid Term Review of February 2016.

Intended outcomes in PRF of 2012	Actual Outcomes as of December 2017 as observed by Terminal Evaluation Team
Outcome 2.2: Appropriate renewable energy technologies result in CO_{2e} emission reductions	CO_2 emission reductions.
Outcome 3.1: Improved enabling environment at the panchayat level agricultural sector improves management, functionality and cover of agro-ecosystems in ASAR (LD-1)	**Actual Outcome 3**: SGP5 interventions have fostered an enabling environment at the panchayat level agricultural sector resulting in the improvement of management, functionality and cover of agro-systems within the ASAR Region, and resulting in an increase (that is unquantified) in sustainable forest management in forest landscapes by local communities through their new capacities and additional sources of investment.
Outcome 3.2 (LD-2): New capacities, sources of investment and practices enable improved SFM in forest landscapes by communities	
Outcome 4.1: Increased capacity of SGP stakeholders to diagnose and understand the complex and dynamic nature of global environmental problems and to develop local solutions	**Actual Outcome 4:** Capacities of SGP stakeholders has been enhanced to diagnose and understand global environmental problems, develop solutions, and monitor and evaluate their own projects and environmental trends that includes increases in agricultural production and forestry harvests and decreases in the use of primary fuels that increase GHG emissions.
Outcome 4.2: Enhanced capacities of SGP grantees to monitor and evaluated their projects and environmental trends	

Summary of Conclusions, Recommendations and Lessons

The SGP5 Project has generated some outstanding and positive environmental initiatives throughout India. The impacts of SGP5 support for these communities have been positively significant, with several examples of community adoption of sustainable land management practices and low carbon technologies, increased agricultural and forestry yields from sustainable land and forest management practices, and water conservation. Progress on some of the SGP5 grants has been to the extent that some communities are positioning themselves to be or are already self-sufficient. For those positioning themselves, external assistance will be required for them to make this final step.

It is unfortunate, however, that there was a lack of delivery of SGP grants during Year 1 (2012-13) due to SGP5 needing time to setup its regional committees, the national steering committee and project management structures for an upgraded country programme, an implementation arrangement that was new to the Indian SGP and not sufficiently resourced in the SGP5 ProDoc design (see Para 66). The absence of implementation during Year 1 also placed additional pressure on the CPMU to deliver more than US$4 million of grants within a 4-year period. The outcome of this 1-year delay was an additional 6-month extension to SGP5, with UNDP to seek funding for the successor project to SGP5 under GEF7[2].

[2] In India, a PIF for OP6 was submitted in July 2016, and was technically cleared by the GEF Secretariat but it was not included as a candidate for OP6 GEF Work Programs due to shortfall of GEF-6 resources, due to exchange rate fluctuations. As a consequence, SGP India will complete the OP5 projects under implementation and seek funding in GEF7 for continuation of the programme. The GEF Council decision on the shortfall can be accessed at: http://www.thegef.org/sites/default/files/council-meeting-documents/EN_GEF%20C%2051%2004_Update_on_GEF-6_Resource_Availability.pdf

Following the Upgrading Policy approved by GEF Council in November 2009, SGP India was upgraded at the start of GEF 5 receiving STAR funds through a Full-Size Project modality. OP5 was essentially an exploratory period for SGP Upgrading Country Programmes. SGP India operated as an Upgraded Country Programme (UCP) but in a manner similar to previous operational phases without a geographic focus[3] and weak adherence to a thematic focus, notably BD projects and some POPs projects notwithstanding that POPs was not an original thematic focus in the ProDoc (POPs projects were classified as CC projects on SGP5). The design of BD projects in SGP5 lacked SMART biodiversity indicators which in general did not address weaknesses of monitoring and reporting biodiversity benefits of global significance. The lack of geographic focus was also evident in the fairly widespread location of SGP5 projects through the 3 physiographic regions, an approach creating a "center of excellence" from which replication would be facilitated organically. A recommendation made by the MTR in early 2016 to adopt a landscape approach in the selection of SGP grant projects to encourage geographic clustering of projects, was too late with less than 2 years remaining on SGP5 and 77% of the funds already committed.

In assessing efficiencies, effectiveness and M&E feedback in implementing SGP5 as a UCP, CEE performed admirably up until 2016 when it experienced heavy staff turnover. Current CEE staff have been experiencing challenges in 2017 in meeting their M&E obligations of SGP5 leading to the following:

- The SGP5 PRF did not have a full set of SMART indicators that were relevant, achievable and cost-efficiently measurable in the field (see Para 30) that would have made monitoring activities more meaningful and better linked to global benefits of the various thematic areas of SGP5. The SGP5 PRF, in fact, would have benefitted from a Theory of Change (ToC) analysis, a design approach now being used in GEF projects to more strongly link baselines with project outputs, direct outcomes, intermediate outcomes and states, and desired impacts. Better SMART indicators would have emerged from such an analysis;
- The perception that CEE has not been regularly updating the SGP database. The Evaluation Team was only shown an Excel spreadsheet as a record of monitoring and evaluation of its grant projects. Generation of monitoring and evaluation reports from this format would have compromised coherency to of India's SGP 5 progress and performance with other Small Grants Programmes of other countries;
- Current capacity of CPMU personnel implementing the SGP 5 Project needs strengthening to more effectively manage technical and administrative issues of each SGP supported project, improve M&E functions, and improved liaisons with other public and private corporate social responsible (CSR) entities for the purposes of generating co-financing interest;
- There is an absence of activities by CEE related to the institutionalization of SGP Project results. This stems from observations of the evaluation of a lack of dialogue after 2015 from SGP5 personnel to all levels of government on the many positive outcomes of SGP projects. The lack of this interchange has constrained the ability of SGP5 to disseminate and scale up the lessons learned from the numerous good projects it has completed, and to sustain their accelerated pace of replication.

<u>Corrective actions for the design, implementation, monitoring and evaluation of the project:</u>

Action 1 (to UNDP and CEE): To improve design of these projects, a follow-up SGP project (as an UCP) should include:

[3] Government of India wanted the program to be country-wide

- A clear logical framework matrix with SMART indicators and measurable targets that can be effectively monitored by CPMU staff to reflect progress towards global benefits of a selected thematic area. This should be developed with technical assistance from expert consultants and GEF project designers who are familiar with Theory of Change;
- Projects selected for implementation that have clear linkages to global benefits to the thematic areas it chooses to focus on;
- Defined and budgeted activities to build strong institutional partnerships that results in institutionalized project results in the final year of a project;
- Specific M&E activities that are efficient and minimize the workload of the Implementing Partner including the regular updating of the SGP database that would easily generate a coherent global outlook on SGP's progress and performance;
- Place additional SGP project emphasis on capacity building to the grantees;
- Allocate sufficient funds to support IP for its own capacity building and logistical support for M&E.

See Para 125 for further details.

Action 2 (to UNDP and CEE): To improve implementation of this project, efforts are necessary to improve the capacity of the implementing partner to undertake implementation responsibilities of an SGP 7. See Para 126 for further details.

Actions to follow up or reinforce initial benefits from the project*:*

Action 3 (to UNDP, MoEF and current demonstration proponents). Institutionalization of project results with state and Central government partners needs to be budgeted as a line item. See Para 127 for further details*.*

Proposals for future directions underlining main objectives of SGP Project:

Action 4 (to MoEF, UNDP and CEE): Future SGP projects should focus on project selections using a clustered and landscaped approach. See Para 128 for further details.

Action 5 (to MoEF and UNDP): Use the small amount of OP6 GEF funds remaining during 2018 to support preparations for a SGP7 Project that could realistically commence in early 2019. See Para 129 for further details.

Best and worst practices in addressing issues relating to relevance, performance and success:

Best practice: Participatory processes of the SGP5 project during the 2012-2016 period of SGP5 resulted in significant buy-in from all stakeholders including central and state government, project beneficiaries, and potential financers of scale-up phases of projects.

Best practice: SGP5 benefitted from being an Upgraded Country Programme where the National Host Institution (NHI) was CEE, an Indian NGO with regional offices throughout India which would be able to manage the project in specific geographic areas where there are unique cultural circumstances, and where the National Steering Committee (NSC) needs ensure there are clear strategies for generating global environmental benefits.

Poor practice: The PRF for SGP5 could have been better designed with a full complement of SMART indicators that would have helped the CPMU to monitor progress towards some of the intended outcomes and impacts.

Evaluation Ratings[4]

1. Monitoring and Evaluation	*Rating*	2. IA & EA Execution	*Rating*
M&E design at entry	4	Quality of Implementation Agency - UNDP	5
M&E Plan Implementation	5	Quality of Execution - Executing Entity (CEE)	5
Overall quality of M&E	5	Overall quality of Implementation / Execution	5
3. Assessment of Outcomes	**Rating**	**4. Sustainability[5]**	**Rating**
Relevance[6]	2	Financial resources	2
Effectiveness	5	Socio-political	2
Efficiency	4	Institutional framework and governance	3
Overall Project Outcome Rating	5	Environmental	3
		Overall likelihood of sustainability	2

[4] Evaluation rating indices (except sustainability – see Footnote 2, and relevance – see Footnote 3): 6=*Highly Satisfactory (HS)*: The project has no shortcomings in the achievement of its objectives; 5=*Satisfactory (S)*: The project has minor shortcomings in the achievement of its objectives; 4=*Moderately Satisfactory (MS)*: The project has moderate shortcomings in the achievement of its objectives; 3=*Moderately Unsatisfactory (MU):* The project has significant shortcomings in the achievement of its objectives; 2=*Unsatisfactory (U)* The project has major shortcomings in the achievement of its objectives; 1=*Highly Unsatisfactory (HU):* The project has severe shortcomings in the achievement of its objectives.

[5] Sustainability Dimension Indices: *4 = Likely (L):* negligible risks to sustainability; *3 = Moderately Likely (ML):* moderate risks to sustainability; *2 = Moderately Unlikely (MU):* significant risks to sustainability; and *1 = Unlikely (U):* severe risks to sustainability. *Overall rating is equivalent to the lowest sustainability ranking score of the 4 dimensions.*

[6] Relevance is evaluated as follows: 2 = Relevant (R); 1 = Not relevant (NR)

ABBREVIATIONS

Acronym	Meaning
APR-PIR	Annual Project Report - Project Implementation Report
ASAR	Arid and Semiarid Region
BD	Biodiversity
BDA	Biological Diversity Act
CBO	Community-Based Organization
CC	Climate Change
CCM	Climate Change Mitigation
CCT	Continuous Contour Trenches
CCM	Climate change mitigation
CEE	Center for Environmental Education
CO	UNDP Country Office
CO_2	Carbon Dioxide
CORE	Co-operation for Rural Excellence
CP	Country Programme
CPAP	Country Programme Action Plan
CPC	Country Programme Coordinator
CPM	Country Programme Manager
CPMU	Country Programme Management Unit
CSR	Corporate social responsibility
DPR	Detailed project report
EE	Energy Efficiency
EET	Energy Efficient Technology
EOI	Expression of Interest
EOP	End-of-Project
EU	European Union
FIT	Feed-in tariff
FY	Fiscal Year
FYP	Five-Year Plan
GDP	Gross Domestic Product
GEB	Global environmental benefit
GEF	Global Environment Facility
GoI	Government of India
GHG	Green House gas
HF	Himalayan Front Region
INR	Indian Rupee
LD	Land degradation
LFA	Logical Framework Analysis
LFM	Logical Framework Matrix
M&E	Monitoring and evaluation
MGNREGA	Mahatma Gandhi National Rural Employment Guarantee Act
MIS	Management information system
MNRE	Ministry of New and Renewable Energy
MoEFCC	Ministry of Environment Forests and Climate Change
MTR	Midterm Review
NABARD	National Bank for Agriculture and Rural Development
NAPCC	National Action Plan on Climate Change
NEX	National Execution Modality

Acronym	Meaning
NGO	Non-governmental organization
NHI	National Host Institution
NPC	National Project Coordinator
NPD	National Project Director
NSC	National Steering Committee
OFP	GEF Operational Focal Point
OP	Operational Programme of GEF
PAC	Project Advisory Committee
PIMS	UNDP/GEF Project Information Management System
PIR	Project Implementation Report
POP	Persistent Organic Pollutant
PMC	Project Management Cell
PRF	Project Results Framework
PRIA	Society for Participatory Research in Asia
ProDoc	UNDP Project Document
PSC	Project Steering Committee
RAC	Regional Advisory Committee
RC	Regional Committee
RET	Renewable Energy Technology
ROs	CEE's regional offices
RPA	Regional project associate
RTAG	Regional Technical Advisory Group
SAIL	Steel Authority of India Limited
SFM	Sustainable forest management
SGP	Small Grants Programme
SGP5	Small Grants Programme under 5th Operational Phase
SHGs	Self-help groups
SLM	Sustainable land management
SPIKAP	Society for Promotion of Indigenous Knowledge and Practices
SMART	Specific, Measurable, Attainable, Relevant and Time-bound
SOP	Standard Operating Procedure
SST	Sanjeeva Seva Trust
STAR	System for Transparent Allocation of Resources
tCO2	Tonne of Carbon Dioxide
TAG	Technical Advisory Group
TAP	Technical Advisory Panel
TE	Terminal Evaluation
ToC	Theory of Change
ToR	Terms of Reference
UCP	Upgraded Country Programme
UN	United Nations
UNDAF	UN Development Assistance Framework
UNDP	UN Development Programme
UNEP	UN Environment Programme
UNOPS	UN Office for Project Services
USD	United States dollar (= 66 Indian Rupee)
WG	Western Ghats Region
YSK	Young Seed Keepers
ZICORD	Zougam Institute for Community Resource and Development

1. INTRODUCTION

1. This report summarizes the findings of the Terminal Evaluation Mission conducted during the 5-30 November 2017 period for the UNDP-supported GEF-financed Project entitled: "5th Operational Phase of the GEF Small Grants Programme in India" (hereby referred to as the **SGP5** Project, SGP5 or the Project) that received a US$ 5.00 million grant from the Global Environmental Facility (GEF). The objective of the India SGP5 Project was to "ensure a mosaic of land uses and community practices across the rural landscape to generate sustainable livelihoods and global benefits for biodiversity (BD), land degradation (LD) and climate change mitigation (CCM)".

1.1 Purpose of the Evaluation

2. In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP supported GEF-financed projects are required to undergo a Terminal Evaluation (TE) upon completion of implementation of a project to *provide a comprehensive and systematic account of the performance of the completed project by evaluating its design, process of implementation and achievements vis-à-vis GEF project objectives and any agreed changes during project implementation.* As such, the TE for the India SGP5 Project serves to:

- promote accountability and transparency, and to assess and disclose levels of accomplishments of SGP5 in the context of the provision of assistance to rural and marginalized communities that enable them to shift away from unsustainable land and natural resource management and practices;
- synthesize lessons that may help improve the selection, design and implementation of future GEF small grant programmes;
- provide feedback on issues that are recurrent across the small grants programme portfolio that require attention, and on improvements regarding improving the impact of small grant programmes in countries and diverse as India; and
- contribute to the GEF Evaluation Office databases for aggregation, analysis and reporting on effectiveness of GEF operations in achieving global environmental benefits and on the quality of monitoring and evaluation across the GEF system.

3. This TE was prepared to:

- be undertaken independent of Project management to ensure independent quality assurance;
- apply UNDP-GEF norms and standards for evaluations;
- assess achievements of outputs and outcomes, likelihood of the sustainability of outcomes, and if the Project met the minimum M&E requirements; and
- report basic data of the evaluation and the Project, as well as provide lessons from the Project on broader applicability. This would include an outlook and guidance in charting future directions by UNDP and the Government of India, regarding continued support for the Small Grants Programme of GEF in India.

1.2 Scope and Methodology

4. The scope of the TE for the SGP5 Project was to evaluate all activities funded by GEF and activities from parallel-financing. The Terms of Reference (ToRs) for the TE are contained in Appendix A. Key issues addressed on this TE include:

- Design of the SGP5 Project and its effectiveness in achieving its stated objective of "ensuring a mosaic of land uses and community practices across the rural landscape to generate sustainable livelihoods and global benefits for BD, LD and CCM";
- Assessment of key financial aspects of the Project, including the extent of co-financing planned and realized;
- The effectiveness of the SGP5 Project in achieving targets and intended outcomes stated in the Project Results Framework (PRF) contained within UNDP's SGP5 Project Document (ProDoc);
- Strengths and weaknesses of SGP5 Project monitoring and evaluation considering the vast geographical coverage of SGP 5 within India and the diversity of project types (from climate change mitigation to land degradation and biodiversity projects), each with different metrics to evaluate;
- Sustainability of Project outcomes and the Project exit strategy;
- Results and impacts of the implemented Project activities including views from SGP5 Project focal points (and other relevant stakeholders) on the impacts of the SGP5 Project activities implemented and their recommendations on how subsequent SGP programs should be scoped as an extension to the outcomes of SGP5; and
- Recommendations, lessons learned, best practices from implementing this Project that could be used on other similar SGP5 projects.

5. The methodology adopted for this evaluation includes:

- Review of project documentation (i.e. APR/PIRs, meeting minutes of Project Steering Committee or multipartite meetings) and pertinent background information;
- Interviews with key project personnel including the current and former Project Managers, technical advisors, and Project developers;
- Interviews with relevant stakeholders including community-level stakeholders and other government agencies and institutes; and
- Field visits to selected Project sites and interviews with beneficiaries.

A detailed itinerary of the TE Mission is provided in Appendix B. A full list of people interviewed and documents reviewed are given in Appendix C and Appendix D respectively. The TE Mission Team for the UNDP-GEF project was comprised of one international expert, and 2 national experts.

6. The Project was evaluated for overall results in the context of:

- *Relevance* – the extent to which the outcome is suited to local and national development priorities and organizational policies, including changes over time;
- *Effectiveness* – the extent to which an objective was achieved or how likely it is to be achieved;
- *Efficiency* – the extent to which results were delivered with the least costly resources possible; and

- *Sustainability* - The likely ability of an intervention to continue to deliver benefits for an extended period of time after completion.

7. All possible efforts have been made to minimize the limitations of this independent evaluation. Although more than 24 days were spent in several states and regions within India as well as New Delhi by the Terminal Evaluation (TE) team to collect and triangulate as much information as possible, follow-up interviews and Skype conversations by the TE team were also made after the November mission. This resulted in a plethora of data and information from several of the 110 projects which were supported by SGP5 grants which has provided the TE team with information to assess SGP5 performance on the basis of relevance, effectiveness, efficiency and sustainability. Notwithstanding, limitations to this TE include:

   - TE team only being able to review a sampling of 110 projects implemented under SGP5 (in the order of 22% as detailed in Para 8) to draw conclusions;
   - Limited capacities of the grantees to collect and compile field information in a format that can reflect national and global benefits of the SGP 5 program (such as hectares of land restored from degradation or GHG emission reductions);
   - Time limitations to the entire TE process to sufficiently assess multidisciplinary grant projects throughout India. The two-month period of the TE may or may not have been sufficient to adequately discuss and evaluate all grant related issues amongst the TE members and stakeholders.

8. To minimize these limitations, the 3-member TE team took 3 separate field trips to maximize the number of SGP projects to be visited. With the knowledge that many of these projects were located in remote areas, the TE team made short visits to a total of 25 SGP projects, roughly 22% of all projects that received support under SGP5. Information from these visits were then used to reconcile the outcomes from these projects with the PRF in the ProDoc, and the recommendations from the February 2016 Mid-Term Review (MTR). The TE team has made every effort to understand the Project and present a fair and a well-considered assessment of the project. Any gross misrepresentation of the Project is entirely on account of the aforementioned problems with documentation and data, which was beyond the scope and capacity of the TE team.

1.3 Structure of the Evaluation Report

9. This TE report is presented as follows:

   - An overview of Project activities from commencement of operations in 30 October 2012 to 31 December 2017 activities;
   - An assessment of Project results based on Project objectives and outcomes through relevance, effectiveness and efficiency criteria;
   - Assessment of sustainability of Project outcomes;
   - Assessment of monitoring and evaluation systems;
   - Assessment of progress that affected Project outcomes and sustainability; and
   - Lessons learned and recommendations.

10. This evaluation report is designed to meet GEF's "Guidelines for GEF Agencies in Conducting Terminal Evaluations, Evaluation Document No. 3" of 2008:

http://www.thegef.org/gef/sites/thegef.org/files/documents/Policies-TEguidelines7-31.pdf

11. The Evaluation also meets conditions set by:

- the UNDP Document entitled "UNDP GEF – Terminal Evaluation Guideline": http://web.undp.org/evaluation/documents/guidance/GEF/UNDP-GEF-TE-Guide.pdf;
- the UNDP Document entitled "Handbook on Planning, Monitoring and Evaluating for Development Results", 2009: http://www.undp.org/evaluation/handbook/documents/english/pme-handbook.pdf; and
- the "Addendum June 2011 Evaluation": http://www.undp.org/evaluation/documents/HandBook/addendum/Evaluation-Addendum-June-2011.pdf

2. PROJECT DESCRIPTION AND DEVELOPMENT CONTEXT

12. The Small Grant Program (SGP) of UNDP was established in the 1992 as an outcome of the Rio Earth Summit, encompassing the very essence of sustainable development by "thinking globally acting locally". By providing financial and technical support to projects that conserve and restore the environment while enhancing people's well-being and livelihoods, SGP was designed to demonstrate community action as a primary measure for balancing human needs and environmental imperatives. The SGP has been operating in India since 1998 during the first operational phase (OP-1). This Terminal Evaluation (TE) covers the SGP5 Project operating under OP-5 in India from 30 October 2012, under a Full-Size Project modality, with scheduled operational closure on 31 March 2018. Execution of SGP5 has been tasked to the Centre of Environmental Education (CEE) based in Ahmadabad, India with a project office set up in New Delhi.

13. SGP grants have been made directly to community-based organizations (CBOs) and non-governmental organizations (NGOs) in recognition of their key role in environment and development concerns. In line with SGP Operational Guidelines, the maximum SGP grant amount per project was US$50,000, averaging US$32,500 and complementing the large and medium-sized GEF project funding by providing a window for the direct participation of NGOs, local communities, and other grassroots organizations. These grants have also led to further funding for scale up and coverage for a large number of communities within a critical landscape or seascape. Although GEF SGP funding is modest, poor and vulnerable communities are enabled to take measured risks to develop capacity to sustainably manage local resource (while simultaneously generating local community benefits and global environmental benefits) and empowering and expanding the capacity of these local organizations to catalyse community actions that deliver local and global benefits. Once a community has proven the effectiveness of an innovative idea or strategy on the ground, they can often scale up impact through networking with other communities and partner organizations. These, in turn, should attract additional donors and government support for wider application through co-financing.

14. The focus of SGP5 in India has been provided in the ProDoc to cover 3 physiographic regions of India, namely the Himalayas, Western Ghats, and the Arid & Semiarid regions. The SGP5 Project has a number of contexts including:
    - a socioeconomic context where current trends indicate steady declines of populations in these regions coupled with indicators of decreasing incomes generated from agriculture and natural resource utilization;
    - climate change that is an external factor impacting agricultural production and natural resources yields, namely vulnerable sectors of the population. Moreover, climate change is affecting increasing disparities in energy access for these vulnerable sectors where unsustainable practices to generate energy (such as firewood extraction or inefficient use of fossil fuels) are prevalent;
    - land degradation accentuated through extreme stresses on lands located with high population density, with indicators of falling agricultural production, and a prevalence of unsustainable practices for harvesting natural resources, mainly forestry related;
    - a policy and institutional context where the Ministry of Environment Forest and Climate Change (MoEFCC) is guided by the principles of sustainable development and enhancement of human well-being, a mandate that is carried out through state government departments and district administrations (mainly panchayats). Meeting this mandate is constantly a challenge given the complexities encountered by these various levels of government.

15. The Himalayas occupy an area of 32 million ha and support very high levels of biodiversity in alpine pastures, temperate forest, high altitude wetlands and sub-tropical forests. Uniqueness of the region is manifested in its rich species endemism (over 40%) with 12 mammal species and 15 bird species endemic to the Himalayas. Over 175 indigenous communities inhabiting this region depend directly on its diversified resource base. In spite of its richness and unique natural resources, the region remains relatively under developed with widespread poverty which may exacerbate environmental degradation. Socio-economic indicators of this region are rife with low levels of education and health care, high food insecurity and shrinking community livelihood sources characterized by the loss of critical ecosystem services. With agriculture being the most predominant livelihood of the region (implying over 70% of the labour force), an estimated 40 million people depend directly on the regions globally significant ecosystems for sustenance and support.

16. The Western Ghats occupy an area of 16 million ha and contain 27% of India's total flora in various ecosystems of global significance including tropical wet evergreen forests, montane evergreen forests, moist deciduous forest, and dry evergreen forests. There are also 14 endemic mammal species and 16 endemic bird species amongst 500 species of birds reported. Some of the forests of the Western Ghats had been selectively logged with large tracts being converted to monoculture plantations. Human pressure on these ecosystems also includes collection of fuelwood and non-timber forest products for subsistence, mass tourism, and grazing in addition to forest fires. Similar to the Himalayas, over 70% of the 45 million people who live in the Western Ghats depend on agriculture and natural resources for livelihoods. This has resulted in widespread poverty and slow economic development especially in areas adjacent to the forests.

17. The Arid and Semi-Arid region covers an area of 127 million ha or almost 40% of the total geographical area of the country that includes the Thar Desert in Rajasthan, the world's 7th largest desert. The region harbours some of India's most magnificent grasslands and is home to 41 species that include the endangered cats (i.e. the lion, leopard and tiger) and highly habitat-specific species of global conservation significance such as the Great Indian Bustard. Most of the region is either subject to desertification or drought prone or considered wasteland characterized by recurrent drought, high winds, poor sandy soils and high human and livestock demand for food, fodder and firewood which cause over-exploitation of fragile resources, accelerating land degradation.

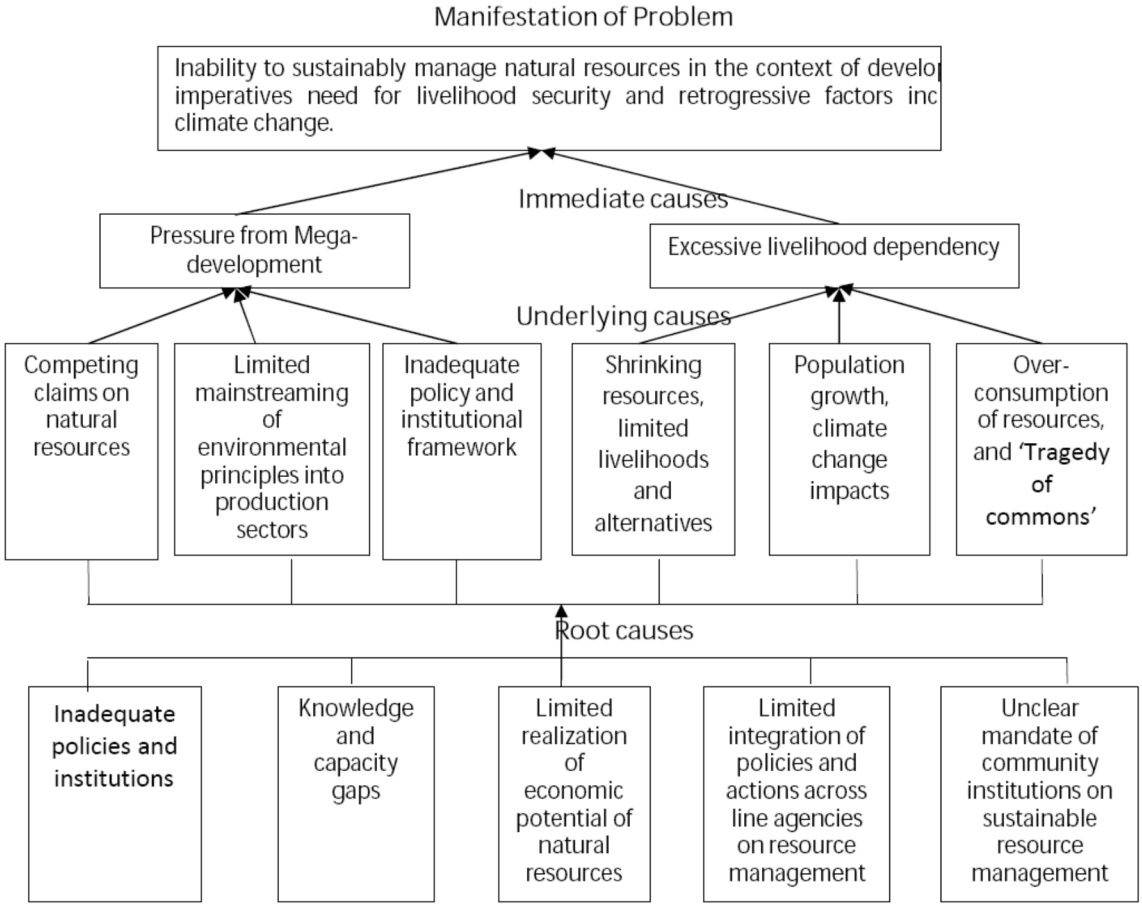
18. India has a long history of Civil Society Organizations (inclusive of NGOs and CBOs) based on the concepts of giving and service. NGOs and CSOs were active in cultural promotion, education, health and relief operations to natural disasters with increasing focus on poverty and marginalization. Both welfare and empowerment-oriented organizations have emerged since the 1960s with development, civil liberties, education, environment and livelihoods all coming under increasing focus. With community participation as a requisite component in social sector projects during 1970s and 1980s, NGOs received formal recognition as state development partners. Their work was increasingly characterized by grassroots interventions, advocacy at various levels and mobilization of marginalized groups to protect their rights. The spread of social movements and voluntary organizations has shown that despite the difficulties of India's political parties and state institutions, India's democratic tendencies continue to thrive.

19. With India's structural adjustments of the early 1990s and the approach of channeling donor funds directly through the Government, NGO networks and large NGOs have seen a trend towards diminishing importance of the sector. Today, there are an estimated 1.5 million NGOs working in

India. According to the survey conducted by the Society for Participatory Research in Asia (PRIA), 73% of NGOs have one or no paid staff, although across the country more than 19 million persons work as volunteers or paid staff at an NGO.

20. Figure 1 (reproduced from the ProDoc) provides a good analysis of the overall status of natural resources management and the underlying causes of this depletion leading to general environmental degradation of India. In summary, this includes constraints felt at all levels in government to sustainably manage natural resources in India balanced with the need for livelihood security and mitigation against climate change. For the GoI, this has brought challenges for its institutions, creating a need for amending policies and strengthening their capacities and knowledge, all in the face of dwindling economic potential of natural resources, a lack of integration of its policies with sound resource management, and the lack of a clear mandate of community-based institutions for sustainable resource management. The SGP 5 Project is a mechanism to develop environmental solutions from the grassroots level which can be utilized to inform government policy on meeting its general mandate for sustainable development and improving the general well-being of its population.

Figure 1: Problem tree on the status of natural resources management and underlying causes for its depletion[7]



[7] ProDoc pg 26

2.1 Project Start and Duration

21. The project identification form (PIF) for SGP5 was approved by GEF Council on 29 May 2011, with GoI signing the ProDoc on 30 October 2012, marking the official start date of the India SGP5 Project. The Project duration for the SGP5 Project originally was planned for 5 years ending in 30 October 2017. A project extension was granted by the UNDP GEF Executive Coordinator until March 2018.

2.2 Problems that the India SGP5 Project Sought to Address

22. The SGP5 ProDoc was prepared based on the barriers identified in 2011. With the world's second largest population of more than 1.1 billion people and a sustained GDP growth rate ranging from 3.8% to 10.6% from 2002 to 2016[8], the Government of India has been seeking the means to more effectively address sustainable development while improving the general well-being of its population. Common barriers to this mandate included:

- knowledge, experience and market barriers constrain adoption of biodiversity conservation objectives at the community level and resource use plans and practices across critical landscapes;
- rural community level constraints to adopting low carbon technologies along with improved land-use change and forestry practices;
- low capacities at the community level for managing improvements in natural resources management to sustain livelihoods in local communities; and
- lack of systematic and institutionalized learning for communities including networking, support systems, marketing and branding mechanisms.

Implementation of the 5-year SGP5 Project is designed to address and lower these barriers by the EOP.

23. The Mid Term Evaluation of the SGP5 Project was completed in early 2016.

2.3 Objective of the India SGP5 Project

24. The Project objective as taken from the ProDoc and its PRF from 2012 was to "ensure a mosaic of land uses and community practices across the rural landscape to generate sustainable livelihoods and global benefits for BD, LD and CCM". The India SGP5 PRF from 2012 is contained in Appendix E.

2.4 Baseline Indicators Established

25. Baseline indicators for the 2012 PRF from the SGP5 ProDoc can be found on Appendix E, with the design of the SGP5 and its PRF indicators further discussed in Section 3.1.1. The main objective baseline indicators of the PRF of the SGP5 Project includes:

- the number of hectares of land brought under sustainable land and resource management within the 3 focus regions of India;
- number of tonnes of carbon emission reductions achieved through SGP 5 low carbon interventions;

[8] https://data.worldbank.org/indicator/NY.GDP.MKTP.KD.ZG?locations=IN

- number of additional financial resources leveraged for community-based sustainable resource management in India; and
- improvements in the systematic level indicators of the "Capacity Development Scorecard".

The baseline value for all these indicators at the start of the SGP5 Project was zero. The baseline value for all these indicators at the start of the SGP5 Project can be found in Appendix E.

2.5 Main Stakeholders

26. The list of main stakeholders of the SGP5 Project is extensive in consideration that the participation of all levels of government is a prerequisite to sound environmental management. The key national government agency is the Ministry of Environment, Forest and Climate Change (MoEFCC). However, the key stakeholders of SGP5 are the vulnerable communities located in ecologically sensitive areas. In addition, there are several community-based organizations (CBOs) that work closely with these communities and have accumulated a wealth of knowledge of local practices and customs earning them the trust of the community. In turn, panchayats and administrations at the district level are also key stakeholders who can amplify to higher levels of government the needs of the community. An analysis of the stakeholders on the SGP5 Project is provided in Section 3.2.2 (Paras 55 to 58).

2.6 Expected Results

27. To achieve the specific objective of "ensure a mosaic of land uses and community practices across the rural landscape to generate sustainable livelihoods and global benefits for BD, LD and CCM", the SGP5 Project (as of 2011) was designed for the removal of barriers with the following expected **Project outcomes**:

- Outcome 1: Panchayats (local self-governments) incorporate improved management practices into village level planning for community managed landscapes and seascapes enhancing mosaics of land uses and improving biodiversity conservation;
- Outcome 2.1: Appropriate energy efficient technologies result in emission reductions;
- Outcome 2.2 Appropriate renewable energy technologies result in CO_2 emission reductions;
- Outcome 3.1 (LD-1): Improved enabling environment at the panchayat level agricultural sector improves management, functionality and cover of agro-ecosystems in ASAR;
- Outcome 3.2 (LD -2): New capacities, sources of investment and practices enable improved SFM in forest landscapes by communities;
- Outcome 4.1: Increased capacity of SGP stakeholders to diagnose and understand the complex and dynamic nature of global environmental problems and to develop local solutions;
- Outcome 4.2: Enhanced capacities of SGP grantees to monitor and evaluated their projects and environmental trends.

3. FINDINGS

3.1 Project Design and Formulation

28. Design of the SGP 5 Project was conducted in 2011. More importantly, the ProDoc introduces SGP5 as an "upgraded country programme" (UCP) of SGP[9] with the primary change consisting of the SGP of a particular country taking on more responsibilities. A UCP has the following attributes:

- Funding levels of a UCP SGPs is decided by the Government which allocates funds to the SGP from the country's System for Transparent Allocation of Resources (STAR) allocation instead of receiving annual budgets from an Operational Phase (OP) allocation through the SGP Central Programme Management Team in UNDP Headquarters;
- A UCP is defined by the GEF as a "full-size project", a departure from previous operational programmes (OPs) where it was defined as an ongoing programme supported through the GEF CORE Allocation Grants. As with any full-size GEF project, this SGP project was to demonstrate impact in terms of global benefits and must represent a strategic intervention to remove existing barriers which prevent global benefits from being secured in the GEF thematic areas it chooses to focus on;
- UCP-supported projects must demonstrate local community benefits as well as demonstrate GEBs, placing emphasis on replication SGP-supported interventions. This is a shift from supporting pilot and demonstration projects[10] as well as projects aimed at only achieving local benefits (without any particular focus on achieving global environment benefit).

29. The SGP 5 ProDoc provides the applicable policy and institutional contexts and baseline scenarios that would serve as preliminary criteria under which funds would be provided within a UCP to grantees under the thematic areas of biodiversity, climate change and land degradation. The Evaluation, however, has made observations on the limitations in the SGP5 Project design in the ProDoc including:

- The SGP5 Project was designed to be pan-India leaving the Project to determine the areas of thematic and geographical focus during implementation. The defined geographical areas of support mentioned in the ProDoc included 3 physiographic zones (WG, HF and ASAR) covering more than 50% of India's land mass. This left CEE and the NSC to determine the geographic and thematic focus areas during implementation;
- There is an absence of specific processes to effectively institutionalize positive SGP results with state and central government entities that would inform policies, strengthen linkages to government funding and encourage replication[11].

[9] The term "upgrading" refers to the graduation of the oldest and most mature of SGP's country programmes to a new funding regime allowing higher funding levels and more budgetary control by the country programmes. With GEF initiating the process of "upgrading", they defined the goals of upgrading including: i) allowance of the SGP Global Programme to continue to grow and serve low-income nations without concomitant growth in core funds; ii) make better use of the capacities of mature programmes to enrich younger, less experienced programmes; and iii) enable mature programmes to access greater financial resources and exercise more programmatic freedom in light of their greater internal capacity. Criteria for upgrading included SGP project duration of more than 15 years, and aggregate grant commitments greater than US$ 6.0 million.

[10] These were the types of projects commonly supported in earlier OPs.

[11] A few SGP grant projects were mainstreamed within the Government (such as TIDE, Sarthak in Bhopal). This involved District Collectors who were informed of approved projects during their implementation, after which the SGP project can formally approach the appropriate Government authorities for possible scaling-up, and providing the NGO with credibility to link with fund access of these authorities. This mechanism should have been more mainstreamed.

3.1.1 Analysis of Project Planning Matrix

30. Well prepared PRFs are regarded as important tools for the CPMUs and their ability to prepare work plans to reach intended objectives and outcomes of a project, as well as to effectively monitor and manage project activities. The 2012 PRF for SGP 5 in the ProDoc is reasonably presented with a structure consistent with good practice in preparing PRFs. Notwithstanding, there are still some issues related to SMART criteria for indicators with this PRF including:

- The absence of relevant indicators for biodiversity that would reflect global BD benefits, resulting in difficulties in measuring tangible BD benefits derived from SGP 5 grants. The evaluation, however, also appreciates the difficulties in demonstrating global BD benefits for small projects of the SGP, and for formulating biodiversity indicators to be sufficiently specific to describe the biodiversity of particular ecosystems, which is difficult to generalize over several dozen SGP5 projects. This evaluation does not make any specific recommendations on biodiversity indicators that could collectively measure the effectiveness of biodiversity interventions from SGP 5 projects[12];
- High monitoring costs and lack of specificity for land degradation indicators. This would include the "number of hectares of dry agricultural lands brought under SLM with improved vegetative cover". With community-based beneficiaries providing feedback on this indicator, the Project would need appropriate budgets for effective monitoring of these indicators (such as access to satellite imagery tools to verify field measures of such areas). The M&E budget suggests that such resources would not be available to effectively measure this indicator. Furthermore, measurement of improved vegetative cover is not specific such as the indicator "% density of ground stocking in productive forest landscape in ASAR, HF, WG". With some of these indicators subject to wide ranges of interpretation, Project personnel would have likely experienced difficulties in effectively monitoring and evaluating Project impacts, notably projects in the LD and BD thematic areas;
- Repetition of indicators within the PRF only creates additional work and a level of confusion for monitoring staff. Repetitions of this type should not be present on future PRFs for SGPs. Examples include:
  - confusing GHG emission reduction baseline and targets at the objective level in comparison to Outcomes 2.1 and 2.2. Firstly, a baseline for emission reduction should be 0 for a baseline instead of 200,000 tonnes CO_2 at the objective level (which one can assume be divided into 50,000 and 150,000 tonnes CO_2 for baseline levels for Outcome 2.1 for EE technologies and Outcome 2.2 for RE technologies respectively). Secondly, the objective-level emission reduction target is expressed in tonnes CO_2 per year as opposed to cumulative tonnes CO_2 in the Outcomes 2.1 and 2.2. This subtle change in indicators has not been noticed by the CPMU in a review of the PIRs;
  - the objective-level indicator of "amount of new and additional financial resources leveraged for community driven sustainable resource management in India" that has also been repeated in Outcome 4.1 with the indicator "increase in amount of co-funding for SGP-India";
  - Outcome 3.1 indicator "number of new and additional sources identified for leveraging investment replication/ for SLM across drylands in ASAR" is similar to Outcome 4.1

[12] A paper prepared by Harold Levrel (2007) is a useful reference in criteria in determining biodiversity indicators, and can be accessed at: http://www.biobio-indicator.org/information/Levrel_2007.pdf

indicator of "number of new grants that replicate consolidated approaches (BD, CC, LD)". The Outcome 3.1 indicator appears to be superfluous and misplaced in the PRF;

- Lack of relevance of the Outcome 4.2 indicator to the actual outcome. The "number of workshops/learning events conducted by the project by the GEF SGP partners/stakeholders" is not relevant to the "enhanced capacities of SGP grantees to monitor and evaluated their projects and environmental trends". In this case, the project designers could have had one outcome for Component 4 with an additional indicator of "number of grantees that have benefitted from direct handholding assistance from SGP personnel";
- Absence of specific indicators to institutionalize positive SGP results which can facilitate project replication through policies and government funding. This would include the involvement of state and central government entities, as well as policymakers and managers of government funding.

31. Overall, the quality of the project results framework for the SGP5 Project can be rated as **moderately unsatisfactory** for reasons as outlined in Para 30. This rating is provided despite the TE findings that there were some excellent results generated by SGP5.

3.1.2 Risks and Assumptions

32. In the SGP5 ProDoc, critical "assumptions and risks" were provided in the PRF. While most of these are assumptions, many of these assumptions appear valid to the achievement of the intended outcomes of SGP 5 including:

- the assumption that "communities adopt the measures and ensure proper maintenance of records". The evaluation has been witness to excellent examples of communities adopting such measures and maintaining proper records of money saved and expended;
- the assumption that "more communities may see value and adopt technologies for better livelihoods and enhanced incomes". The Project has in many cases been able to convince communities through local implementers of the value of demonstrated technologies to the extent that they are adopted by the community to enhance their incomes;
- the assumption that "more women adopt technologies through kinship influence and relationship". Several examples of this kinship were witnessed during the evaluation;
- the assumption that "some new partners may join with more funds seeing the benefits emerging in the program and the others may share less funding support". Early successes of several SGP 5 projects have led to additional funding support from private sector stakeholders as well as national financing institutions (see Para 96 on MGNREGA); and
- the assumption that "a partner's capacity is built to critically look at individual projects to provide insightful recommendations, share ideas and experiences on systems for M&E framework". To a large extent, this assumption is valid considering positive outcomes of several SGP grant projects.

33. Section 2B of the ProDoc provides 6 risks complete with the risk ratings and risk mitigation strategies for entry into ATLAS's Risk Log. Two of these risks warrant further discussion including:

- Climate unpredictability may affect the level of success of the project's LD and BD work constraining project achievements. The emphasis on the SGP 5 Project is to ensure that the local communities have sufficient capacities to enable them to reduce their vulnerabilities to climate change; and

- Lack of a robust baseline may hamper effective verification of project monitoring and assessments. This issue also relates to the need for more effective monitoring indicators for LD and BD in the PRF.

3.1.3 Lessons from Other Relevant Projects Incorporated into SGP5 Project Design

34. The ProDoc of the SGP5 Project does incorporate recommendations from the global SGP evaluation from 2008 which suggests that the continuation of the "SGP approach" that focuses on community institutions at the grassroots level to influence policies and practices at the panchayat level on sustainable resource usage. The ProDoc also mentions the expansion of the previous India SGP grant portfolio to improve the cost effectiveness of SGP5. This would build upon SGP networks and financial management procedures that were already in place in collaboration with CEE, and continue cost effective implementation and engagement practices from SGP for in India[13]. Though not mentioned in the ProDoc, this approach would also support a strategy to cluster project grants in similar landscapes.

3.1.4 Planned Stakeholder Participation

35. For a project involving sustainable management of natural resources, a wide spectrum of stakeholders would be required to overcome the challenges in India of competing land use claims and development agendas. For the SGP5 Project, the key stakeholder focus would be on communities living in vulnerable and ecological fragile areas within the HF, WG and ASAR ecological zones. Communities eligible for support under SGP 5 would be those:

- affected by land degradation where there is poor access to water and a lack of sustainable land and soil moisture management that limits the ability of the community to generate income;
- affected by over extraction of bio-resources, along with a lack of strategies for sustainable use of the ecosystem, and lack of access to markets for local produce;
- without access to sustainable and clean energy.

36. Other key stakeholders would include:

- community-based organizations that work closely with communities, and who possess greater understanding of community needs and mechanisms to provide these needs;
- local government institutions such as panchayat raj institutions, as well as taluk and district administrations level stakeholders. The ProDoc mentions the importance of linking positive SGP results with various government levels but falls short in providing the necessary resources, mechanisms and actions to ensure these linkages are made.

3.1.5 Replication Approach

37. One of the key design features of the SGP approach is the selection and management of grant projects that have high potential for replication. The ProDoc outlines a number of practices and mechanisms to ensure the replicability of key project results and successes[14] including:

[13] Para 134 of SGP5 ProDoc
[14] Para 141 of SGP5 ProDoc

- technical assistance to project partners on project design including measures to ensure sustainability and replicability;
- allocating funds to replicate consolidated approaches of past SGP projects;
- promotion of appropriate energy efficient and renewable energy technologies that could be integrated into state level climate change action plans as well as national policies;
- a focus on community livelihoods with an emphasis on business models and entrepreneurial approaches at the community level;
- common marketing and branding value added products from communities that have received assistance from SGP; and
- lessons learned from implementing these projects would be disseminated with a view to scaling up, mainstreaming and replicating these projects on a national and subnational scale with policy imperatives.

3.1.6 UNDP Comparative Advantage

38. Since 1992, UNDP has been implementing the Small Grants Programme's globally on behalf of GEF. During this period of time, UNDP has amassed considerable knowledge in implementing SGPs globally in over 125 countries with disbursements of 18,000 grants (as of 2015)[15]. In addition, UNDP also has a distinct advantage of implementing SGPs in comparison to other donor agencies in terms of its focus on policy-based and cross-sectoral approaches as well as creating local capacities through effective collaboration with a wide range of local stakeholders, encompassing public and private sectors in addition to technical experts, civil society and grassroots level organizations. These core skills are strongly applicable to implementing the SGP5 Project.

3.1.7 Linkages between SGP5 Project and Other Interventions within the Sector

39. The SGP 5 ProDoc mentions several linkages with other national and community-based related initiatives including those supported under:

- corporate CSR initiatives;
- state government programs;
- development agencies;
- community organizations (such as Bajaj Foundation, JSW Energy, World Food Program and Catholic Relief Services and Community Knowledge Service (Asia));
- other relevant GEF projects (both medium and full-sized projects)[16].

40. Lastly, the SGP 5 Project was to benefit from the work of the UNEP-GEF Carbon Benefits Project through the participation of SGP personnel on training programs use of carbon monitoring tools which can be incorporated in the design of monitoring systems for climate change mitigation grant projects.

3.1.8 Management Arrangements

41. Further to Para 28 on SGP5 being a "UCP", the management arrangements for SGP5 places UNDP as the GEF Implementing Agency, and the Centre for Environment Education (CEE) as the executing

[15] Joint GEF-UNDP Evaluation of the Small Grants Programme, July 2015
[16] These are listed in Table 5 in the SGP5 ProDoc

agency, taking over the previous role played by UNOPS; CEE had previously served as the NHI for SGP India on earlier SGPs and as an executing agency to service the MoEFCC grants for scaling up and replication for 4 years, giving CEE the creditability and experience for implementing SGP5. Under the SGP5 arrangement, CEE was to:

- assume responsibilities for the day-to-day management and implementation of SGP5 activities;
- be led by a full time Country Programme Manager (CPM), the equivalent of the post of National Coordinator in the SGP Operational Guidelines;
- be under the leadership of the National Steering Committee (NSC);
- be implemented with UNDP CO support;
- have Project budgets approved and project funds released from the GoI as per its requirements and procedures;
- have MoEF designate the country GEF Operational Focal Point (OFP) to approve Annual Work Programmes and corresponding budgets; and
- receive audits on behalf of the GoI as well as ensure availability of committed co-financing.

42. UNDP's role was to:

- ensure the project receives the required financial spot audits, technical and managerial support as required from the UNDP Country Office; and
- provide project oversight from the SGP's regional and/or global team especially considering the new implementation modality for an upgraded country programme.

43. An organogram of the SGP5 Project implementation arrangements is provided on Figure 1. With the vast areas covered by the HF, ASAR and WG landscapes of the Project, the SGP5 Project sought more effectiveness of managing this Project through a decentralized approach taking advantage of CEE's regional offices (ROs), its Regional Advisory Committees (RACs) and networks of local NGOs and CBOs to reach out to communities that are remote and poor. This approach has enabled SGP India to provide more effectively and sustainably provide landscape coverage while addressing local issues more appropriately over wide geographical areas that are culturally diverse, increasing the likelihood of better livelihoods for the poor. This approach has also facilitated improved services to grassroot levels and at different stages within the SGP program, notably "hand-holding" to demonstrate precise management actions required to achieve intended results.

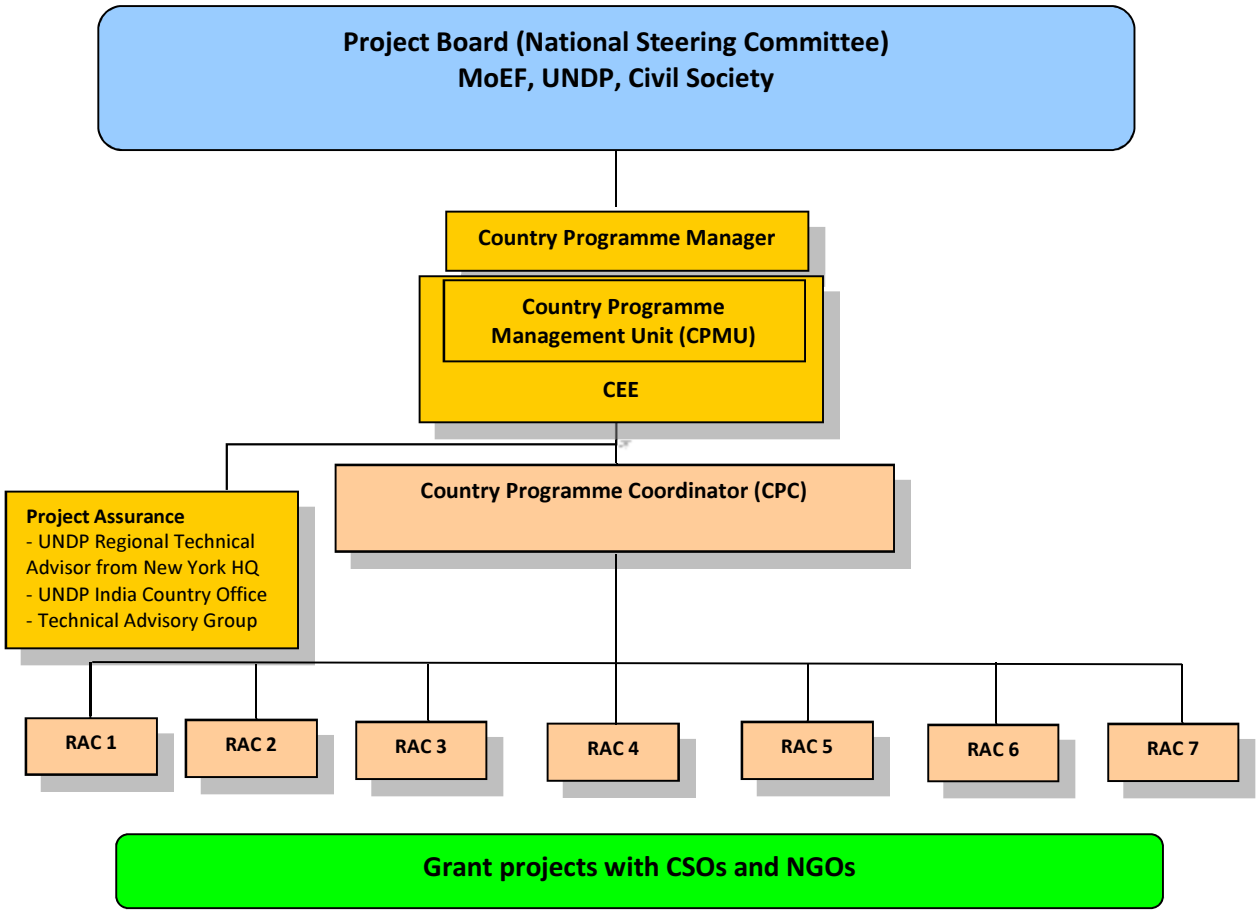
44. Benefits of the decentralized system of SGP 5 are derived from the RACs who comprise the first level of review on project proposals under SGP5. Given the diversity of thematic areas being covered under each RO, each RO was to be supported by a Regional Technical Advisory Group (RTAG) of six members to which the CPM and UNDP Programme Officer are permanent invitees. The RTAG members are drawn from a pool of independent experts representing the GEF thematic areas and representatives having considerable experience in community empowerment.

45. The selection of projects to be supported by SGP grants was to be screened by a Technical Advisory Group (TAG) constituted by the NSC as per the SGP Operational Guidelines and appointed by UNDP. With the Project strategy aiming for funding on least three tranches of grant projects during the timeframe of SGP5 with at least one in each year for the first three years, the TAG was scheduled to meet as required to assess project quality and eligibility, and provide recommendations for a

portfolio of proposals for consideration by the NSC for each tranche. The TAG is also tasked with conducting a technical assessment, as required by CEE, for non-performing projects.

46. As previously mentioned in Para 27, the ProDoc does not contain specific actions required by CEE or UNDP to institutionalize positive results generated by grant projects[17]. Such actions need to be defined at the Project design stage as there is a strong likelihood of beneficiary communities eligible for SGP assistance who do not have the requisite outreach to inform state or central government of positive results.

Figure 1: Current Management Arrangements for the UNDP-GEF Project "India: SGP5" (SGP5) Project



3.2 Project Implementation

47. The following is a compilation of key events and issues of SGP5 implementation in chronological order:

- Project was approved by GEF for implementation in January 2012;

[17] Institutionalization was largely "informal" during implementation involving site visits by the GEF Operational Focal point, related Government officials, and NSC members that could influence on policies.

- The SGP5 ProDoc was signed by MoEF and UNDP India on 30 October 2012;
- The Country Program Manager (CPM) was recruited for SGP 5 in November 2012;
- The Inception "brainstorming session" was not held until 5 December 2013. Delays commencing the inception phase were due to the time required by the CPM to obtain commitments for NSC and RAC members and complete recruitments for CPMU positions;
- The SGP5 Midterm Review (MTR) was conducted in late 2015 with the reporting finalized in March 2016;
- The SGP5 Country Programme Manager (CPM) moved to UNDP as of January 2016. CEE filled in the CPM position with many Country Programme Coordinators (CPCs) between January 2016 and the present;
- Cumulative grant disbursements commenced in 2014 with US$1 million dispersed as of 30 June 2014, US$1.9 million as of 30 June 2015, US$3.9 million as of June 30, 2016, and US$4 million as of June 30, 2017. As of 31 December 2017, US$ 68,984 remains to be disbursed to 31 March 2018. Project financing is discussed in further details in Section 3.2.4.

3.2.1 Adaptive Management

48. Adaptive management is discussed in GEF terminal evaluations to gauge Project performance and the ability of a project to adapt to changing regulatory and environmental conditions, common occurrences that afflict the majority of GEF projects. Without adaptive management, GEF investments would not be effective in achieving their intended outcomes, outputs and targets.

49. With the commencement of SGP5 disbursements in December 2012, adaptive management measures were required for most of 2013 prior to the December 2013 Inception brainstorming session. This was largely due to a lack of full clarity on the mechanisms involving grantee stakeholders implementing projects and the role of NGO execution on a GEF-UNDP SGP, given that the UCP status of SGP5 and the new roles of NGOs in India. As such, meetings between community-based stakeholders and the CEE team took place on a more regular basis to bring clarity to management arrangements and disbursements. More detail was also required in the role of CEE regional cells and taking advantage of their advanced understanding of regional and local issues through their own extensive networks and cordial relations with NGOs, CBOs, educational institutions, civil society and government organizations in their respective areas. The strength of having CEE as the Implementing Partner was their local presence throughout India, and its ability to be able to more effectively implement SGP in a country as culturally diverse as India, where language becomes a major problem.

50. Instead of an Inception workshop, an Inception "brainstorming" session was conducted on the premises of MoEF on 5 December 2013 to firm up plans for implementation of SGP 5. While no changes were proposed in the PRF, the Inception brainstorming session did raise a number of issues related to strengthening the design of SGP 5 including:

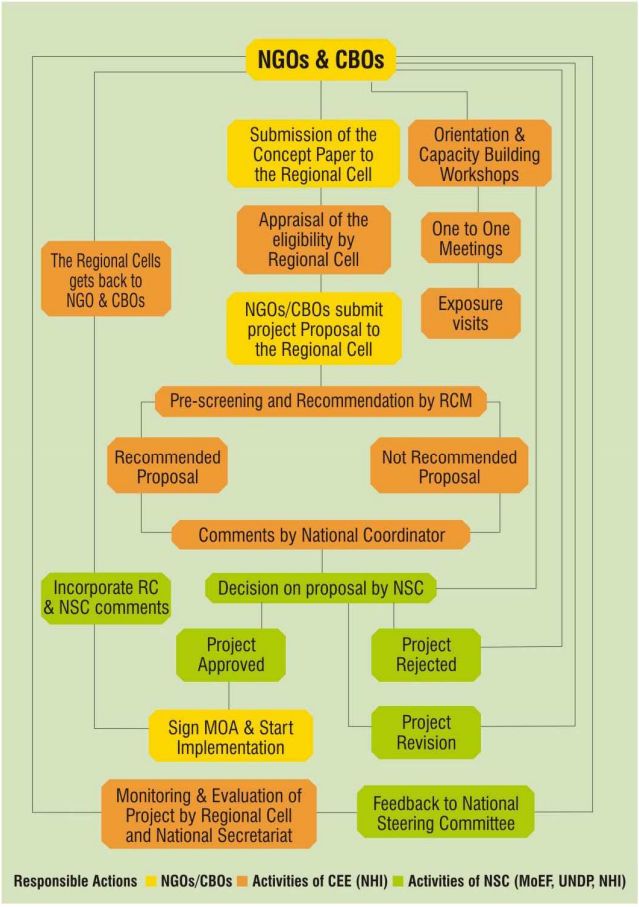
- strengthening partnerships with private sector and corporate social responsibility (CSR) funding;
- strengthening institutional linkages such as the Government linked Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA), a scheme that aligns well with the NGO sector;
- increased partnerships with remote tribal groups;
- addressing urban waste within urban areas (though this was not reflected in a revised PRF);
- strengthened linkages with government funds such as the Climate Commission Innovation Funds as well as funds available at the state and district levels;

- sharpening the focus on biodiversity conservation, climate change mitigation and land degradation as well as climate change adaptation while dropping projects related to persistent organic pollutants (PoPs) and International Waters (notwithstanding that urban waste in urban areas has a strong linkage to PoPs); and
- improvements on the monitoring of projects including third-party evaluation.

51. Adaptive management was also required to prepare the Standard Operating Procedures (SOPs) that outlines the precise roles (or terms of reference or ToRs) of UNDP India, the National Host Institution (NHI) being CEE, and the roles of NHI personnel in implementing SGP5. Roles of the CPMU personnel were included in a December 2012 SOP Management Guidelines issued by UNDP, to define the roles of the account officer, administrative officer, regional project associates (RPAs), the national coordinator, Project officer, program operation and management, and CEE Regional Cell Coordinators. Unfortunately for SGP5, the making of these management arrangements took 12 months, thus leaving SGP 5 with only 4 years to disperse more than US$4 million in grants. This was a primary reason for the need to extend SGP5 to 31 March 2018, 6 months beyond the original scheduled terminal date of 30 October 2017.

52. Selection criteria of grantees also required adaptive management. While there was a template set for selection criteria in SGP 4, inclusion of an NGO to execute SGP required some adjustments in the modalities of project selection and monitoring systems. The adopted system is shown on Figure 2.

Figure 2: Mechanisms for project and grantee selection and monitoring system



53. A midterm review (MTR) of the SGP 5 Project that was completed in early 2016 and a bit late for adaptive management, assessed project progress at that time to be satisfactory. This MTR, however, did provide useful conclusions and recommendations under which the CPMU made responses to address these concerns and incorporate as adaptive management. The late completion of the MTR within the 5-year timeframe of the SGP5 Project (delivered in February 2016 or 41 months into a 60-month project) placed difficulties on the MTR team to make significant adaptive management recommendations that could improve the delivery of the SGP5 objectives. For example:

- Conclusion #8 as well as Recommendations #7 and #8 stated of the need for SGP 5 to adopt a landscape approach for project selection which is recommended for UCPs. By the time recommendations were made, more than 77% of the SGP 5 funds were committed, minimizing the impact of an adaptive management decision to adopt a landscape approach. Moreover, the SGP 5 Project had a number of areas where projects were already clustered (areas such as the biodiversity rich region of Sirsi, Karnataka and the depleted Kuno wildlife sanctuary areas in Madhya Pradesh with one of the most primitive and poor tribes in India);
- Conclusion #14 states that NGOs and CBOs should have a greater say in directing and steering SGP activities. To the knowledge of the TE team, this has not yet taken place on the SGP 5 Project[18];
- Recommendations #4 and #5 state the need for the establishment of a Technical Advisory Panel (TAP) to elaborate on the BD strategy, BD project screening, and recommendations to the NSC for BD projects for consideration. A TAP for Biodiversity was created consisting of 2 persons brought into several workshops to provide guidance to project implementers;
- Recommendation #13 stated the need to institutionalize gender equality at higher management levels such as within the NSC, Regional Committees (RCs) and CEE Project Directors. CEE has made recent efforts to increase the number of women within the NSC and RCs but not to the extent of meeting the goal of gender equality which would obviously require more time and effort;
- Recommendation #14 stated the need for strengthening project monitoring, namely the technical aspects, community-based impact assessments and gender aggregated monitoring. In the opinion of the TE team, continued strengthening of CEE's capacity for project monitoring is required (see Paras 125 and 126 in this TE report for specific recommendations).

54. In conclusion, notwithstanding the lost opportunity for more impactful adaptive management from and MTR, efforts to adaptively manage this Project were ***satisfactory*** in consideration of the outstanding SGP 5 Project results in the field.

3.2.2 Partnership Arrangements

55. Decentralized partnerships have been instrumental towards ensuring that planning and implementation of projects is reflective of community-based priorities and interests of all major groups that are committed to effective implementation and generation of benefits to the communities. CEE's challenge has been identification of these groups, and interacting with them to ensure positive outcomes. There is evidence that CEE met this challenge during the 2012-2015 period which has resulted in several projects supported by SGP that:

[18] In 2015 and early 2016, there were several workshops on "Voices of the NGO and CBO partners". However, the TE team has not been able to assess the outcomes of these workshops.

- are empowered by regional and district offices with relevant and specific knowledge of their own goals needed for environmental improvement;
- have regional units that can focus a region's special priorities, capabilities, and resource conditions;
- fosters a bottom-up process;
- takes lessons generated at the local level for dissemination with efforts to incorporate these lessons within the larger planning process; and
- facilitates optimum utilization of local resources and time through delegation of responsibilities, especially proposal development, monitoring and evaluation while concurrently building capacity of partners.

56. SGP5 demonstrated an excellent record of fostering partnerships across a very wide spectrum of stakeholders ranging from CBOs and NGOs and marginalized indigenous communities to the private sector and public institutions. This process was strengthened by CEE undertaking an assessment of a potential partner's organizational capacity and involving them in discussions on capacity building needs that would enable them to undertake activities under a SGP grant[19]. A sampling of some these organizations follows:

- MANUVIKASA, an NGO working in the Sirsi-Siddapur Region of North Karnataka focused on development of sustainable livelihoods, improving education and environmental conditions, and targeting marginalized and deprived members of rural community. SGP5 supported MANUVIKASA with funding to catalyze their program of constructing small tanks and farm ponds to sustain biodiversity and enhance forest and agricultural outputs from degraded betta lands;
- Sarthak Samudayik Vikas Evam Jan Kalyan Sanstha (Sarthak), an NGO working in close collaboration with the Bhopal Municipal Corporation on the scale up of plastic waste collection and management involving Sarthak Karmis (SKs) or rag pickers. SGP 5 supported this NGO with business planning and the procurement of relevant technologies to increase their efficiency in the management of plastic waste from the Municipal Corporation and enhance the skills and practices of SKs involved and strengthening their linkages to social security measures;
- Zougam Institute for Community Resource and Development (ZICORD), an NGO based in Imphal, Manipur that has received SGP5 support for the development of entrepreneurs in the manufacturing of biomass briquettes and energy efficient stoves;
- Samvardhan, an NGO in Washim District, Maharashtra organized community-based efforts to manage an intervention involving the planting 12 different types of plant species over 27 ha of barren land to reduce land-based carbon emissions. This also involved the construction of continuous contour trenches (CCT) with field bunds to maintain soil moisture and improve plant health and increasing yields, improving milk production and processing and marketing of milk through a milk cooperative, creating sustainable employment for the community;
- The NEER foundation, an NGO with activities in Uttar Pradesh, Delhi, Panjab and Haryana, received support from SGP5 setting up composting units to avoid the burning of sugarcane waste. Their intervention has convinced several farmers of the benefits of organic farming practices avoidance of the use of chemicals and pesticides that have adverse impacts on health, soil fertility loss, quality of crops, and water quality.

[19] The evaluation observed that several SGP grant files contained a "checklist for assessment of organizational capacity" that assessed grantee attributes such as organizational management, result-based management and participatory planning, CBO management (notably with self-help groups or SHGs) and small business development.

Appendix H provides further details of these partnerships.

57. The evaluation does have a small concern on CEE's current ability to foster new partnerships. Following personnel changes in 2016, CEE appears to have struggled with this issue as it is noted by the evaluation that no new co-financing partnerships have been created through CEE on SGP 5 since mid-2016.

58. Overall efforts by the SGP5 Project to facilitate strengthened partnerships were **satisfactory** with the primary rationale being that partnership arrangements from CEE activities between 2013 and 2015 resulted in several excellent outcomes on projects supported by SGP5, and generating considerable interest on these projects from both public and private entities. This included several partnerships with private enterprises, a number of whom were involved in CSR funding.

3.2.3 Feedback from M&E Activities Used for Adaptive Management

59. Regional Cells, located at Ahmedabad, Bangalore, Bhubaneswar, Guwahati, Lucknow, Pune and New Delhi, facilitate effective coordination, monitoring and follow-up of country-wide and locale-specific programmes in SGP. In addition to supporting the core activities of the program, these RCs are in tune with a wide range of new projects and initiatives within their region. Feedback for M&E activities was provided primarily through:

- Field level reporting for progress of individual SGP grantees in the form of midterm reviews (MTRs) and terminal evaluations (TEs);
- PIRs (from 2014 to 2017 as provided to the evaluation)[20].

60. In general, the field-level MTRs and TEs are detailed and well-written. These reports contain considerable detailed information of SGP5 activities including details of finance and disbursements; progress report against goals, objectives and expected outputs; detailed summary of activities that includes quantification of outputs; project results; unexpected difficulties and problems with actions for resolution; lessons learned; and recommendations.

61. These reports are also prepared through a community-based participatory process in line with SGP5 philosophy of decentralized working. Through this process, the skills and knowledge of community beneficiaries on community-based M&E was to be enhanced with the participation of CSOs and NGOs in the M&E activities. In particular, there is evidence prior to 2017 of CEE regional staff efforts to strengthen local capacity, understanding and applying lessons learned from the project. The format for the MTR of an SGP-supported project contains clearly defined indicators of performance in all projects that are utilized as a means of promoting learning among community-based personnel implementing the Project. Participatory monitoring and evaluation has involved community-based stakeholders and beneficiaries in the collective examination and assessment of a project. Through regional NHI presence, feedback from this level of M&E activity has provided useful information on the progress and final evaluation of each of these SGP supported projects.

62. Despite these efforts to improve community-based feedback from M&E activities, improvements are still required in the quality of information and data collected and reporting. Some examples include

[20] These were written by NPCs including Mr. Anil Arora (prior to 2017) and Mr. Jaison Vergese

feedback on compliance to supply contracts (SGP project with Sanjeeva Seva Trust[21] near Joida, Karnataka where all delivered equipment was not properly installed or functional), lack of feedback on the poor maintenance of composting units (SGP project with NEER[22] in Meerut, Uttar Pradesh), and confusion over reporting of energy efficient and renewable energy technologies targets in PIRs (elaborated on Paras 89 and 91). In addition, CEE experienced high staff turnover during 2016, mainly at the field project officer level causing more difficulties for CEE to deliver its M&E obligations on SGP 5. CEE has experienced challenges after 2017 in the recruitment of qualified field officers to effectively monitor and coordinate SGP activities regionally. The evaluation also recognizes that there are absorptive capacity limits of beneficiary communities on their enhanced skills to provide relevant information to a required standard for M&E purposes.

63. With regards to the quality of data collected, PRF indicators in project designs should have strictly complied with SMART criteria to allow the CPMU personnel to cost-effectively monitor environmental improvements from SGP supported projects. SMART indicators would be essential for quantifying hectares of land that has avoided degradation through various SLM practices, and tonnes CO_{2eq} emission reductions per year resulting from adoption of low carbon technologies and practices. Para 30 mentions the need for an indicator in the PRF to quantify biodiversity, and the need for an indicator of land degradation that is either cost-effective to monitor, or has appropriate budgets to effectively monitor. This has led to misclassification of several projects including:

- SN 60 Project with PUPA in West Bengal entitled "Conservation of Local Agro Biodiversity for Better Livelihoods through use of Local Resources in Response to poor Areas of Sundarbans";
- SN 27 Project with Nishwarth Sarthak Prayas Avem Pariwar Kalyan Samiti in Madhya Pradesh entitled "Improving Agro Ecology and Livelihood Approaches for Primitive tribe Saharias of Gwalior Chambal Region" where progress has been measured with 250 energy efficient cook stoves installed, 57 gully plugs constructed, and 33 women SHGs formed. This could also be multi-focal or an LD project.

64. The quality of the PIRs (from 2014 to 2017) provides adequate information against intended outputs and outcomes project. This Terminal Evaluation, however, does question the quality of information provided for Project level targets given the aforementioned weaknesses in PRF monitoring indicators that do not fully and strongly meet SMART criteria, and the capacity of SGP 5 personnel and the community-based partners. As mentioned in Para 53, it is unfortunate that the MTR did not take place earlier for more impact on adaptive management actions, at which time these weaknesses in monitoring indicators could have been addressed. In addition, the CPMU have not been reporting CO_2 emission reductions in terms of tonnes of CO_2 reduced per year, reporting instead on cumulative CO_2 reductions.

65. Most importantly, however, is the absence of a more streamlined approach to M&E. This would include the use of the SGP database for monitoring progress and performance of SGP grant projects. The Terminal Evaluation team observed CEE using an Excel spreadsheet for this purpose and missing an opportunity to more effectively utilize the SGP database that would allow reports to be easily retrieved and provide well-organized information on the project, especially at the goal and objective levels. Current templates for field visits of each SGP project can be harmonized with the SGP database allowing for more easily retrieved reports. In addition, improvements to the SGP database

[21] Related to project 44 in Appendix H.
[22] Related to project 38 in Appendix H.

could be made adding indicators that reflect the global benefits of each grant project (such as CO2 emission reductions on a CCM project). Notwithstanding, and with the actual positive outcomes of many SGP5 supported grants combined with the loss of several field officers after 2016, feedback from M&E activities for adaptive management are assessed as **moderately satisfactory**.

3.2.4 Project Finance

66. The SGP5 Project had a GEF budget of US$ 5.0 million that was to be disbursed over a 5-year duration. Table 1 depicts the disbursement levels over the 5.25-year period of SGP 5 revealing the following:

- The disbursement of 2013 was far below expected disbursements due to the need of SGP5 to organize its management team and 7 regional offices. Given the vastness of India and the area covered by SGP5, the effort to organize members of the RCs and members of the NSC was substantial and time-consuming. Essentially, SGP5 lost 2013 for implementing grant projects which was deferred to 2017;
- Actual M&E costs were 100% higher than the budgeted figure of US$200,000. This validates the opinion of the TE team that the M&E design for the SGP 5 Project lacked sufficient detail that would have included the additional costs to travel to and monitor SGP projects in the targeted remote communities. If SGP 5 had taken a landscaped approach with clustered projects, the M&E budget would have come more into line with the budgeted figure though a bit higher;
- The remaining 1.3% of the entire SGP 5 Project budget (US$68,984) has been disbursed in 2018. The CPMU had informed the TE team that SGP 5 projects have already been selected with these funds to be disbursed during 2018.

67. Project co-financing was estimated to be more than US$20.180 million, more than 3 times the expected co-financing of US$ 6.0 million. Co-financing details can be found on Table 2. The TE team notes the following on the level of co-financing provided on this Project:

- The majority of co-financing (US$ 18.76 million) was realized from key stakeholders from the SGP5 project grants. This included in-kind contributions from partner CBOs and NGOs executing field levels activities, and from community beneficiaries, many of whom had invested their own personal funds and taken bank loans for interventions promoted by the Project;
- Private sector co-financing was US$339,000 from private sector CSR initiatives resulting from CEE outreach between 2013 and 2015.

68. Overall, the cost effectiveness of the SGP5 Project has been **satisfactory** in consideration of the excellent results achieved in the field with the more than 100 SGP5 grant projects.

3.2.5 M&E Design at Entry and Implementation

69. The ProDoc does provide for an M&E design on pages 66 to 69 in the ProDoc. The design is presented in a fairly generic manner, similar to other M&E designs from other GEF projects, and with preparations for a detailed M&E plan left to the implementation phase of the Project. Moreover, in terms of budgeting for M&E activities, US$200,000 was the total M&E budget (as broken down on page 60 of the ProDoc) which was grossly under-budgeted (and validated by the actual funds spent on M&E activities, 80% over budget, as shown on Table 1). As such, *the M&E design is rated as* ***moderately satisfactory***.

Table 1: GEF Project Budget and Expenditures for India SGP5 Project (in USD as of December 31, 2017)

SGP5 Outcomes	Budget (from ProDoc)	2012[23]	2013	2014	2015	2016	2017[24]	Total disbursed	Total remaining[25]
OUTCOME 1: Mainstream biodiversity conservation and sustainable use into production landscapes and sectors.	1,158,417	6,500	123,963	320,495	325,632	188,666	220,277	1,185,534	-27,117
OUTCOME 2: Climate change. Promoting energy efficient and renewable energy technologies in rural communities in targeted landscapes of India.	2,316,843	63,882	83,267	348,696	543,573	398,622	455,568	1,893,609	423,234
OUTCOME 3: Land degradation. Maintain and improve flows of agro and forest ecosystem services in dry lands of ASAR to sustain livelihoods of local communities	386,140	4,436	48,479	69,004	74,331	69,484	132,007	397,741	-11,601
OUTCOME 4: Cross Cutting Capacity Development and Knowledge Management	453,600	12,148	53,395	99,780	78,647	99,125	119,896	462,992	-9,392
Monitoring and Evaluation	200,000	5,000	23,379	58,306	125,085	100,375	90,802	402,947	-202,947
Project Management	485,000	70,579	156,427	97,605	112,468	81,775	69,340	588,194	-103,194
Total (Actual)	5,000,000	162,546	488,911	993,886	1,259,737	938,048	1,087,890	4,931,016	68,984
Total (Cumulative Actual)	5,000,000	162,546	651,456	1,645,342	2,905,079	3,843,126	4,931,016		
Annual Planned Disbursement (from ProDoc)[26]	5,000,000	169,418	886,824	1,000,000	1,300,000	1,300,000	1,156,872		
% Expended of Planned Disbursement		**96%**	**55%**	**99%**	**97%**	**72%**	**94%**		

[23] Commencing 30 October 2012
[24] Up to 31 December 2017
[25] For disbursement in 2018 (financial closure on March 31, 2018)
[26] Original project in ProDoc was 60 months

Table 2: Co-Financing for India SGP5 Project (as of December 31, 2017)

Co-financing (type/source)	UNDP own financing (million USD)		Government (million USD)		Partner Agency (million USD)		Private Sector (million USD)		Total (million USD)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants	1.000		0.350	0.057[27]		0.154	0.000	0.339[28]	1.350	0.550
Loans/Concessions									0.000	0.000
• In-kind support		0.332		0.333[29]		9.689		0.000	0.000	10.354
• Other		0.358			4.650	8.918		0.000	4.650	9.276
Totals	1.000	0.690[30]	0.350	0.390	4.650	18.761[31]	0.000	0.339	6.000	20.180

[27] Primarily from the National Medicinal Plants Board (GoI), and the Department of Science of Technology based in Chandigarh

[28] Includes Steel Authority of India Limited (SAIL) - US$ 133,300 (GoI CSR initiative), Aditya Birla - US$ 9,683, HSBC – US$ 31,250, ARYA Steel – US$ 33,333, UNDP Solidarity Exchange - USD 18,000, AirBus Foundation – US$ 79,782, AVH Chemicals – US$ 33,333.

[29] From MoEFCC for 10 NSC meetings, voluntary time by officials, their field travel over the years to visit projects, contributions to the 4 Green Haats organized, earlier support in organizing Green Haats and other official's time.

[30] For meeting organization, support in film-making for various SGP partners (such as for Sarthak Rs 6 lacs, Vivekanand Rs 5 lacs, and Jagriti Rs 6 lacs), and facilitation of private sector contributions (such as links created through AIRBUS - €250,000).

[31] This includes co-financing from partner agencies and beneficiary communities as well as CEE, all of who received grant funding from SGP5.

70. There is evidence that M&E activities were adequately implemented prior to 2017 when SGP5 had a number of officers involved with M&E activities. Following large staff turnover during 2016, CEE experienced difficulties in recruiting experienced staff to implement M&E activities to the same level of quality prior to 2017. There is also evidence that many of the grant projects monitored after 2016 were not done by personnel who fully understood the technicalities of each of the SGP 5 projects in biodiversity, climate change or land degradation.

71. As such, *M&E plan implementation is rated as* ***satisfactory*** (highly satisfactory during the 2012-15 period, and moderately satisfactory during the 2016-17 period). Ratings according to the GEF Monitoring and Evaluation system[32] are as follows:

- *M&E design at entry - 4;*
- *M&E plan implementation - 5;*
- *Overall quality of M&E – 5*.

3.2.6 Performance of Implementing and Executing Entities

72. The performance of the implementing partner of the SGP5 Project, CEE, can be characterized as follows:

- The early stages of the SGP5 Project were well managed by an experienced, constructive, and fairly passionate Country Program Manager who had been driving SGP5 through an integrated approach up to mid-2016. This included strong engagement of community level stakeholders with CEE, followed by highly satisfactory fieldwork ultimately leading to scaled up phases of projects as well as co-financing from financial institutions and private sector CSR;
- During 2016, CEE experienced an almost complete turnover of their SGP5 team for which they experienced problems in replacing them with experienced officers who would be able to troubleshoot and resolve issues on various SGP 5 supported projects. This included their inability to replace the CPM (who left in early 2016 to UNDP India) with an equally experienced CPM;
- There is evidence towards the end of SGP5 in 2017 that regional personnel were facing increasing challenges in effectively performing M&E obligations for the SGP 5 Project. This was exacerbated by evidence that few if any efforts were made by CEE to strengthen the knowledge and capacities of these regional teams;
- Again, in 2017 towards the end of SGP5, there is evidence of little to no dialogue between CEE, MoEFCC and other institutional stakeholders on institutionalizing the positive outcomes of SGP supported projects;
- Overall performance of CEE on the SGP5 Project is assessed as being **satisfactory** (highly satisfactory during the 2012-15 period, and moderately satisfactory during the 2016-17 period).

73. The performance of UNDP (the Implementing Agency) can be characterized as follows:

[32] 6 = HS or Highly Satisfactory: There were no shortcomings;
5 = S or Satisfactory: There were minor shortcomings,
4 = MS or Moderately Satisfactory: There were moderate shortcomings;
3 = MU or Moderately Unsatisfactory: There were significant shortcomings;
2 = U or Unsatisfactory: There were major shortcomings;
1 = HU or Highly Unsatisfactory
U/A = Unable to assess
N/A = Not applicable.

- During the early stages of SGP5, UNDPs involvement with the SGP5 Project was minimal due to strong personnel within CEE in managing the project. UNDPs involvement was mainly to facilitate adaptive management in the provision of management arrangements that follow global SGP SOP guidelines;
- UNDP's role in the SGP5 Project became more prominent with the move of the CEE's CPM to UNDP in early 2016. In combination with CEE's management vacuum, direction of CEE's work was undertaken by UNDP by the former CPM;
- Overall performance of UNDP on the SGP5 Project can be assessed as being **satisfactory** (moderately satisfactory during the 2012-15 period, and highly satisfactory during the 2016-17 period).

74. A summary of ratings of the implementing and executing entities of the SGP5 Project are as follows:
    - *Implementing Partner (CEE)* – 5;
    - *Implementing Entity (UNDP)* – 5;
    - *Overall quality of implementation/execution (UNDP/CEE)* – 5.

3.3 Project Results

75. This section provides an overview of the overall project results and assessment of the relevance, effectiveness and efficiency, country ownership, mainstreaming, sustainability, and impact of the SGP5 Project. In addition, evaluation ratings for overall results, effectiveness, efficiency and sustainability are also provided against the revised July 2011 Project PRF (as provided in Appendix E)[33]. For Tables 4 to 8, the "status of target achieved" is color-coded according to the following scheme:

Green: Completed, indicator shows successful achievements	Yellow: Indicator shows expected completion by the EOP	Red: Indicator shows poor achievement – unlikely to be completed by project closure

3.3.1 Overall Results

76. With regards to the key objective-level targets of SGP5, the Project was aiming to achieve the following by the EOP:

- 200,000 ha of land brought under sustainable land and resource management (SLRM) within the WG, HF and ASAR Regions of India;
- 75,000 tonnes of CO_2 emission reductions reduced per year;
- US$5 million of new and additional financial resources that have been leveraged for community driven sustainable resource management in India; and
- Improvements in systemic level indicators of the Capacity Development Scorecard that includes improved capacities to:
    - conceptualize and formulate local policies and actions on sustainable resource use;
    - implement programmes and actions on sustainable resource use;
    - engage and build consensus amongst all stakeholders;
    - mobilize information and knowledge;

[33] Evaluation ratings are on a scale of 1 to 6 as defined in Footnote 23.

- monitor, evaluate and report and learn at the grantee and project levels.

Details of key demonstration projects are provided on Table 3 with project details in Appendix I. A summary of the achievements of SGP5 at the Objective level with evaluation ratings are provided on Table 4.

77. With regards to the target of 200,000 ha under SLRM, the Project's NSC reset the EOP target at the December 2016 (9th) NSC meeting to 100,000 ha while acknowledging the weakness in the Project design in setting this target, and the rule against changing and objective level target. Despite this overambitious target, SGP 5 has supported numerous interventions that have brought about significant impacts in rejuvenating rural land resources through SLRM measures such as up-scaled watershed management activities (construction of water tanks and check dams), organic and natural farming methods, and initiatives that would generate household income in livelihoods (such as organic kitchen gardens and enhancement of cotton production through the addition of organic composting). The latest SLRM figures for SGP5 were 97,000 ha (with 23,160 ha for the WG Region, 14,235 ha for the HF Region, and 59,605 ha for the ASAR Region).

78. With regards to CO_2 emission reduction targets of SGP5, CPMU personnel have reported an estimated 130,000 tonnes of cumulative CO_2 emission reductions as of June 2017 instead of annual CO_2 emission reductions. This is an issue related to the quality of feedback for M&E (as mentioned in Para 62). Another 70,000 tonnes of CO_2 emission reductions was expected by the EOP through the use of energy efficient stoves, solar cookers and bio-briquettes as well as energy efficient furnaces for the production of jaggery, composting pits, solar technologies and wind energy.

79. Through its stakeholder engagement approach and delivery of more than 33 capacity building workshops for NGOs and CBO's and farming communities, the SGP5 Project owes much of its field successes to the capacity it has built with NGOs and CBOs. While the measurements for the systemic level indicators of the Capacity Development Scorecard are qualitative in nature, the evaluation witnessed several examples on its field trips of the impact the Project has had on building NGO and CBO capacities. These strengthened capacities have transcended to the intended beneficiaries of several of these SGP supported projects. The baseline of many of these projects consisted of a local person having a concept to improve local livelihoods but being unable to scale up to the extent where the community and communities in the surrounding regions could benefit from the concept.

80. Many of the SGP projects had received support to instill a business development structure for an NGO or CBO led by a local champion, followed by a demonstration or pilot phase of the concept, dissemination of community and household benefits of the concept, and scale up of the concept by encouraging and guiding beneficiaries with additional income to reinvest into the concept. In the majority of these SGP supported projects, CPMU personnel worked closely with the NGOs and CBOs to develop and manage implementation of the concept. This close working collaboration with NGOs and CBOs significantly contributed to their enhanced abilities to formulate actions and influence local policies on sustainable resource usage, to reach consensus with all affected stakeholders, to disseminate information and knowledge on technologies and measures appropriate for their beneficiary communities, and to monitor and report the benefits of their concepts as well as SGP grant funds. In all SGP projects observed, a common denominator of success was the presence of local champions to the interventions. In instances where out-of-town NGOs were in charge of a local intervention, either the intervention would be deemed a failure or the success of that intervention could be attributed to an emerging community-based champion.

Table 3: Partial list of selected SGP5 Projects visited during TE Mission in November and December 2017

Project Name	Location	Thematic Area	Status	Comments
Alternate practices to control and check biomass and crop residue burning in open fields in Western Uttar Pradesh IND/SGP/OP5/Y5/STAR/CC/2015/84/UP04 (see project 44 in Appendix G)	Meerut, Uttar Pradesh	CC, BD and LD (Multifocal)	Completed in December 2017	The project intervention is spread over a large area of 14 villages, wherein total 50 farmers (mostly big land holders) were engaged in demonstration of the technology. It would be highly effective to follow a geographic clustered approach and saturate a few villages to show deeper impacts. The evaluation team proposed an improved model of collecting liquid manure in only on one side of the compost pit will help in reducing the cost of construction. The low cost method of constructing of ferro-cement tanks attracts more farmers to follow this method.
Up scaling the project of reclamation of ravines through endogenous technology & in-situ conservation of local biodiversity, and strengthen the livelihood security in three Panchayats of Morena District. SGP/GEF/IND/OP3/03/07/MP 09 (see project 98 in Appendix G)	Morena, Madhya Pradesh	BD, LD	Completed on 25 October 2016 with no follow-up proposed.	Villagers were not aware of the importance and properties of Guggul plant and SGP 5 through Sujagriti propagated the planting of around 15,000 Guggul plants helping conservation of the plant and conserving 50 ha of land which would have been turned into ravines.
Conservation and Management of NTFP for sustainable Livelihoods through Eco-system Approach. IND/SGP/OP5/Y3/MF/STAR/2014/64/MAH05 (see project 95 in Appendix G)	Wani, Yavatmal District, Maharashtra,	BD, LD	Completed on 25 October 2016 with no follow-up proposed.	Community Forest Right ownership was given to the Gram Sabha. Each family is given 5 to 6 Hectares and a 10-year plan is made on conservation and management of forest resources. GS federation is made with GS Mahasangh with 36 members (2 from each GS). A process for honey harvesting, processing and marketing is being done effectively. In addition, installations of smokeless stoves, biogas units and soil and water conservation measures have improved the livelihoods of the community.
Linking conservation of Riverine Resources with sustainable	Washim District, Maharashtra	LD	Commenced on 20 October 2013 and	The intervention brought 45 ha of the land of 30 farmers under sustainable agriculture practices with 3.5 km of streams protected through desilitation measures, stream

Project Name	Location	Thematic Area	Status	Comments
Livelihoods: North Eastern Godhavari Basin (see project 87 in Appendix G)			completed on 19 June 2014.	bank protection and recharging to augment groundwater resources and increase in agricultural production. Community-managed interventions involved planting 12 different types of plant species over 27 ha of barren land to help in reducing carbon emission, creating employment for the care of the plants.
Demonstrating Sustainable Multi-Stakeholder and Landscape Ecology based approach to conservation beyond protected areas-Conservation of Harriers around the Velavadar Black Buck National Park. IND/SGP/OP5/Y5/FSP/STAR/BD/2016/98/GUJ06	Bhavnagar District, Gujarat	BD, CC	Completed in December 2017	122 farmers started cultivating traditional seeds of cotton in 122 ha of land on an experimentation basis with a demonstration of Deshi cotton (1 ha) and Deshi Jowar (0.4 ha) and the formation of 21 Farmer Interest Groups (FIGs) formed in 5 Villages. Active community participation convinces farmers of new ways of cultivating traditional cotton varieties. With black bugs serving a primary pests to the crop, farmers propose electric fencing in the foothills of the forest and cultivating fodders so that they will have their food near the forest. This needs to be taken up by the Government to protect vast area from the attack of black bugs.
Revival of camel and sheep wool value chain with pastoral craft skills IND/SGP/OP5/Y5/FSP/STAR/CC/2016/102/GUJ07 (see project 87 in Appendix G)	Kachchh, Gujarat	CC (?)	Completed in December 2017	The local value chain of sheep wool led to the conservation of sheep in Kachchh by minimizing the impact of climate change. The practice of shearing and spinning has been declining due easier alternatives. Spinning practices were established through SGP5 through 2 training camps for 37 women and providing them with required infrastructure support and reviving traditional practices. The use of hand spun yarn instead of wool increases the involvement of the pastoralist in the wool value chain, increasing their stake and resulting in better maintenance of the breed wool quality.
Reducing Drudgery and Poverty in Kalahandi District of Odisha Through Climate-Friendly Technologies.	Kalahandi District, Odisha	CC, BD and LD (Multifocal)	Completed in December 2017	The active involvement of 20 villages and their participation in decision making and linkages with different Government departments has led to farmers experimenting with SRI and SMI as a more effective method of cultivation. The implementation has also led to effective demonstration and

Project Name	Location	Thematic Area	Status	Comments
IND/SGP/OP5/Y5/FSP/STAR/CC/2016/89/ODI07 (see project 51 in Appendix G)				deployment of smokeless stoves, use of fly ash bricks, mushroom cultivation, and SRI and SMI.
Technology Demonstration and Capacity Building in Energy Saving Rural Jaggery-making systems using scientifically proven 3-Pan System IND/SGP/OP5/Y3/CC/START/2014/62/UKD02 (see project 64 in Appendix G)	Various Districts in western Uttar Pradesh, Uttarkhand, Haryana, Punjab and Rajasthan where jaggery systems and sugar cane crops are common	CC	Completed	Project has produced a useful demonstration of an energy efficient jaggery furnace, producing positive results in the context of reduced fuel usage (mainly bagasse from squeezed sugar cane stalk, and improved working conditions for jaggery workers). The project has also demonstrated that between 8 to 20% less bagasse is used to make the same amounts of jaggery with the old technology which the ability to generate additional income which was more open and subject to substantial heat losses and higher GHG emissions. The project has also managed to exceed its target of 50 EE furnaces constructed (70 have been completed) providing an indicator of the popularity of the technology.
Biogas plants as an alternate clean energy for economic empowerment of PVTGs – poor landless farmers in Sindhudurg IND/SGP/OP5/Y4/CC/STAR/2015/66/MAH06 (see project 39 in Appendix G)	Sindhudurg District in southwestern Maharasthra	CC	Completed	Over 500 biogas plants have been installed by BGP for over 50 villages in the District. The results of the biogas plants has been highly satisfactory given the experience of BGP prior to SGP's involvement with this project since June 2015. With additional disposable income, women formed SHGs to provide a forum to discuss the use of biogas plants, how to improve their performance, and to discuss the needs of these women and their families to increase their incomes and well-being of their families.
Conservation of rare, endangered and threatened species in fast degrading Bettalands through protection of species, plant enrichment and wetland creation in Siddapur taluq of North Kanara District	Siddapur taluq of North Kanara District in northwest Karnataka	Multi-focal	Completed	Considering the project commenced in July 2013 and was completed in July 2015, the results of this project have been spectacular. The target of 40 water tanks was exceeded with 112 tanks constructed through revolving SGP funds to increase the number of water tanks constructed. There are some indications that a recovery of a number of species is underway due to the raising of the water table in the vicinity of water tanks and water pits. The project also included women's self-help groups (SHGs)

Project Name	Location	Thematic Area	Status	Comments
IND/SGP/OP5/Y3/STAR/MF/2013/13/KAR05 (see project 34 in Appendix G)				to assist the females in the planning of the growth of their household incomes through newer farming methods, high yielding seed varieties, and equipment required for new farming methods. The assistance of the project to strengthen business planning of SHGs, joint liability groups (JLGs) and farmer's cooperatives has been highly effective, resulting in the growth of SHGs, JLGs and FCs to over 2,500 and the evolution of Manuvikasa into a credit lending facility (on-lending from NABL and Microgram Finance) complete with technical assistance to its members within two Districts of Northwestern Karnataka.
Strengthening rural women's society for fuel efficient energy production through pyrolysis and briquetting IND/SGP/OP5/Y3/STAR/2013/39/MNP-01 and MNP-02 (see project 54 in Appendix G)	Imphal, Manipur and including selected communities throughout Manipur state	CC	Completed	Results of MNP-01 were positive with grant funds being used to prepare an initial business plan to be implemented by ZICORD to demonstrate the supply chain for making briquettes, and the manufacturing process of the briquettes as well as the cook stoves that will use these briquettes as fuel. The marketing and information dissemination efforts of ZICORD to increase the sales of cook stoves and briquettes resulted in over 150 cook stoves to 15 SHGs being deployed, with enterprises assisted by ZICORD not being able to keep up with demand. Under MNP-02, 77,000 kgs of briquettes were sold in 2017 and training for additional technicians was provided for the manufacture and servicing of cookstoves. The result of these efforts was the formation of over 13 enterprises related to the manufacture and sales of cook stoves and briquettes. The MNP-02 grant has also resulted in the "Federation of Energy Producer Group for Manipur State" to provide marketing services for all these enterprises and future but similar enterprises.

Table 4: Project-level achievements against SGP5 Project targets

Intended Outcome	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating [46]
Project Objective: *To ensure a mosaic of land uses and community practices across the rural landscape to generate sustainable livelihoods and global benefits for BD, LD and CCM*	Number of hectares of land brought under sustainable land and resource management in the Western Ghats (WG), Himalayan Front (HF) and Arid and Semi-Arid Regions (ASAR)	0 ha.	200,000 hectares	*97,000 ha (with 23,160 ha for the WG Region, 14,235 ha for the HF Region, and 59,605 ha for the ASAR Region). MTR determined that this target was not achievable with the NSC taking the decision in December 2016 of aiming for 100,000 ha by the EOP.*	See Para 77	5
	# tons of carbon emission reductions achieved through SGP interventions	200,000 metric tonnes per year of CO_2e	75,000 metric tonnes of CO_{2e} per year reduced	*200,000 tonnes CO_2 emission reductions cumulative were reported instead of tonnes CO_2 emission reductions per year. Given that climate change projects have been implemented by the project for the past 4 years, it is highly likely that the 75,000 tonnes CO_2 per year emission reduction target has been achieved. However, CEE should endeavour to provide this calculation to ensure this target has been met.*	See Paras 30 and 78	5
	Amount of new and additional financial resources leveraged for community driven sustainable resource management in India.	0	USD 5 million	*US$19.1 million*	See Para 67	6
	Improvement in Systemic Level Indicators of Capacity Development Scorecard (Annex 3)	SYSTEMIC LEVEL (The baselines and targets[47] against the following capacities to be assessed at the time of selecting individual grantees). 1. Capacity to conceptualize and formulate local level policies, actions on sustainable resource us 2. Capacity to implement programmes and action on sustainable resource use 3. Capacity to engage and build consensus among all stakeholders 4. Capacity to mobilize information and knowledge 5. Capacity to monitor, evaluate and report and learn at the grantee and project levels		*Overwhelming majority of project partners and stakeholders have shown improvements in capacities for all 5 systemic level indicators, notwithstanding the issues of the lack of specificity of these indicators raised in Para 30.*	See Paras 30, 79 and 80	6
Overall Rating – Project-Level Targets						**5**

[46] Ibid 32

[47] Going by the past experience of SGP, a target of 25% over the baseline will be achievable. However, this will be assessed after the individual grantees are selected.

81. In summary, the results towards achievement of SGP5 Project-Level targets are rated as **satisfactory,** partly due to the uncertainty of SGP5 meeting its target of 75,000 tonnes CO_2 per year emission reduction**.**

3.3.2 Component 1: Mainstream biodiversity conservation and sustainable use into production landscapes and sectors - Biodiversity

82. Under this Component, the expected Outcome 1.1 was "panchayats (local self-governments) incorporate improved management practices into village level planning for community managed landscapes and seascapes enhancing mosaics of land uses and improving biodiversity conservation". A summary of the actual achievements of the activities of Outcome 1.1 with evaluation ratings are provided on Table 5.

83. Currently, there are a total of 63 panchayats incorporating sustainable management practices into village level resource use plans against a target of 30 panchayats by year 4. This is an excellent achievement made possible through having communities being part of the sustainable development decision-making process on plans for what plots should be accessed for grazing and fodder, sites for check dams, trenches and percolation pits, and siting of water harvesting systems. Moreover, NGOs were aware that such knowledge would facilitate access to government schemes (such as NABARD and MNREGA) that would facilitate implementation of sustainable development plans.

84. The project reports that 13 community-led tools have been developed and implemented by SGP grantees for biodiversity mapping and monitoring including:

- Young Seed Keepers (YSK), a tool for training on seed management and documentation of the local seeds is developed by KVMT, a Punjab grantee;
- Bio-diversity registers implemented by village level Bio-Diversity Management Committees;
- Participatory Rural Appraisal exercises in planning, M&E and ownership building;
- Fodder Management and Development Committee; and
- Women Self Help Groups for monitoring the activities.

85. The target of at least 5 "rare and threatened domesticated cultivars/ livestock/ varieties brought under focused conservation practices in the project sites" has been exceeded with a total of 18 endangered species now under conservation within SGP supported projects. The grantee Paramparagat Vanaushadi Prachikchit Vaidhya Sangh, a traditional trained healer association located in Chattisgarh, claims 12 plant species most of which are classified as vulnerable. Another grantee, the Society for Promotion of Indigenous Knowledge and Practices (SPIKAP), located in Meghalaya, claims protection of another 6 endangered species including the Indian bison (Bos gaurus), sloth bear (Melursus ursinus), and hornbill bird species.

86. The achievement of more than 2,400 women's self-help groups (SHGs) is a remarkable achievement and a testament to the excellent results being generated by SGP projects. With the successful demonstrations of various CC, BD and LD interventions that generate additional income for the local communities, these SHGs are highly successful given that the NGO or CBO with the assistance of SGP provide advice and assistance to the majority of SHGs on scaling up income generating activities and promoting self-sufficiency. For example, MANUVIKASA in Sirsi, Karnataka now services 1,316 SHGs. In Imphal, Manipur, ZICORD has formed more than 14 SHGs known as Energy Producer Groups, who

Table 5: Component 1 achievements against targets

Intended Outcome/Output	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating [48]
Outcome 1.1: Panchayats (local self-governments) incorporate improved management practices into village level planning for community managed landscapes and seascapes enhancing mosaics of land uses and improving biodiversity conservation.	Number of panchayats incorporates sustainable management practices into village level resource use plans.	0	30 by year 4	*57 by year 4, and 63 by EOP.*	*See Para 83*	6
	Number of community led tools and methodologies developed for biodiversity mapping, monitoring and valuation.	0	10	*13*	*See Para 84*	6
	Number of rare and threatened domesticated cultivars/ livestock/ varieties brought under focused conservation practices in the project sites.	0	At least 5	*18*	*See Para 85*	6
	Number of women groups formed/ strengthened for planning and executing of sustainable natural resource management.	50	100[49]	*2,444 covering 102 SGP projects. This includes the development of 1101 SHG's formed during the 2016-17 reporting period.*	*See Para 86*	6
	Number of new branding/ geographic indicators/ certified agro-based products developed in the project sites.	0	5 by project end.	*33. This does not include grantees who are in the process of geographic indicators tags for rice products (Lotus), and patenting stoves (ZICORD)*	*See Para 87*	6
Overall Rating – Outcome 1						**6**

[48] Ibid 32

[49] This is based on the past experience of the SGP and shall be firmed up after individual grantees are identified.

produce and sell bio briquettes for use in energy efficient stoves. SGP activities have also led to 33 agro-based products being developed on project sites that have been branded and certified. A wide range of agro-products are represented including "desert" honey, herbal oils, cow ghee, brown rice, organic wheat products, and 3 types of millets.

87. In conclusion, the results of Component 1 can be rated as **highly satisfactory** based on the achievement of all targets being exceeded.

3.3.3 Component 2: Promoting energy efficient and renewable energy technologies in rural communities in targeted landscapes of India - Climate change

88. Under this Component, there were 2 expected outcomes:

- Activities under Outcome 2.1 were intended to result in "appropriate energy efficient technologies result in emission reductions"; and
- Activities under Outcome 2.2 were intended to result in "appropriate renewable energy technologies result in CO2e emission reductions". Project resources were to be used to generate an output of "documentations on the Project outputs, case studies, best practices and lessons learnt disseminated to ensure larger replication";

A summary of the actual achievements of the activities of Outcomes 2.1 and 2.2 with evaluation ratings are provided on Table 6.

89. The Outcome 2.2 report of 117,000 tonnes of CO_{2eq} emission reductions achieved through adoption of energy efficient technologies in the 2017 PIR was done without the benefit of a report generated by a Management Information System (MIS); SGP5 currently does not have an MIS system and relies on individual project reports and an excel spreadsheet to generate this information that comes with some risks to accuracy. There is also concern of the PIRs within the reporting of this Outcome which appears to include biogas as an EE measure when in fact, this is a renewable energy technology.

90. Some examples of SHG formation on EE and RE technologies includes:

- ZICORD in Manipur where 130 women produce and sell briquettes made from rice husk, charcoal and other locally available raw material to local retail shops;
- Throughout SGP5, there are more than 26 SHGs (with 2,600 members) engaged in smokeless chullah production and biogas unit construction;
- With LOTUS in Assam, more than 1,800 women as members in SHGs were involved in organic farming and eco-friendly livelihood activities;
- More than 180 women SHGs have been able to mobilize bank loans ranging from Rs 50,000-200,000 during SGP5.

Table 6: Achievements of Outcomes 2.1 and 2.2 against targets

Intended Outcome	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating [50]
Outcome 2.1: Appropriate energy efficient technologies result in emission reductions	# of tonnes of CO_2e emission reductions achieved through adoption of energy efficient technologies.	150,000 metric tonnes per year.	225,000 tonnes of CO_2e emission reductions over 3 years.	*117,000 tonnes CO_{2eq} emission reductions were reported in June 2017 PIR. Evaluation has some concerns over this estimate:* • *No consolidated report has been made available detailing GHG reductions from EE technologies. The Evaluation is concerned that the estimate of this target may be not be accurate;* • *Some concerns that biogas technologies have been erroneously counted here as this should be counted under Outcome 2.2 with RE technologies;* • *Baseline value should be 0 tonnes CO_2 per year of CO_2 emissions reduced.*	*See Paras 30 and 89*	4
	# of women involved through SHGs in investments for emissions reductions	to be assessed in the initial phase of the project.	10% increase by end of year 2 and 20% increase by end of year 4	*2017 PIR reports a 13% increase in 2015 (Year 2) to 2,138 women, a 49% increase in 2016 (Year 3) to 2,825, and a 55% increase in 2017 (Year 4) to 2,932 women involved through SHGs in investments for emission reductions. Based on observations of the evaluation during the mission, this number may be underreported.*	*See Para 90*	6
Outcome 2.2: Appropriate renewable energy technologies result in CO2e emission reductions.	# of tonnes CO2e emissions reduced through adoption of renewable energy technologies at local level.	50,000 metric tonnes per year	12,277 tonnes of CO_2e. by end of project.	*12,000 tons of CO2 CO_{2eq} emission reductions were reported in June 2017 PIR. Similar to Outcome 2.1, Evaluation has some concerns over this estimate:* • *No consolidated report has been made available detailing GHG reductions from RE technologies. While the Evaluation surmises that the Project has exceeded its target of 12,277 tonnes CO_{2eq} by the EOP with solar, wind, and micro hydro, the presence of this report at the EOP is needed for a full confirmation of the achievement of this RE target;* • *Some concerns that biogas technologies were not counted here which would only strengthen the achievement of the target;* • *Baseline value should be 0 tonnes CO2 per year of CO2 emissions reduced through various renewable energy technologies.*	*See Paras 30 and 91*	**5**
Overall Rating – Component 2						**5**

[50] Ibid 32

91. Similar to Outcome 2.2, the Evaluation also has concerns on the calculation and estimation of GHG emission reductions from RE technologies deployed on SGP5. Along with the absence of a project MIS, the CPMU has not shown any report or appreciation of the need to separate RE technologies from EE technologies in its PIRs. The 2017 PIR under this outcome reports activities outside the realm of renewable energy technology deployment which only confuses the calculation of GHG emission reductions. For example, the PIR reports the production of vermicompost and avoidance of the use of 12,900 liters of herbal pesticide chemicals into organic farming land. It also reports that Sacred Earth has constructed eco-center infrastructure, implementing and demonstrating low-cost, effective eco solutions and perma culture design principles; unfortunately for the evaluation, there appears to be no linkage to RE technology deployment.

92. In conclusion, the results of Outcomes 2.1 and 2.2 can be rated as **satisfactory** based on the large number of EE and RE technologies deployed under the fiscal and technical support of SGP5.

3.3.4 Component 3: Maintain and improve flows of agro and forest ecosystem services in dry lands of ASAR to sustain livelihoods of local communities. (Land degradation)

93. Under this Component, there were 2 expected outcomes:

- Activities under Outcome 3.1 were intended to result in "*improved enabling environment at the panchayat level agricultural sector improves management, functionality and cover of agro-ecosystems in ASAR (LD-1)*". Project resources were to be used to generate several outputs including:
  - Output 3.1.1: *Panchayat-level agricultural practices incorporate SLM principles (agro-ecosystems, water management and harvesting practices);*
  - Output 3.1.2*: Model community based initiatives for restoration of degraded agricultural land;*
  - Output 3.1.3: *Community based sustainable agricultural enterprise models demonstrated.*

- Activities under Outcome 3.2 were intended to result in "*new capacities, sources of investment and practices enable improved SFM in forest landscapes by communities*". Project resources were to be used to generate several outputs including:
  - Output 3.2.1: *Strengthened JFM committees and community enterprises for SFM*.

A summary of actual achievements of Outcome 3 with evaluation ratings are provided on Table 7.

94. With regards to the 68,422 ha of dry agricultural land reported in June 2017 to have been brought under sustainable land management with improved vegetative cover, this data was provided by grantees (i.e. NGOs and CBOs) managing the various projects. Many of these organisations, however, did not conduct baseline surveys on the original conditions of the lands prior to SGP5 interventions. While the primary indicator for this outcome is "hectares of dry agricultural lands brought under SLM with improved vegetative cover", beneficiaries interviewed at the field level often expressed the improvement of these lands in terms of increased agricultural production.

Table 7: Outcome 3 achievements against targets

Intended Outcome	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating[51]
Outcome 3.1: Improved enabling environment at the panchayat level agricultural sector improves management, functionality and cover of agro-ecosystems in ASAR (LD-1).	No of hectares of dry agricultural lands brought under SLM with improved vegetative cover.	0	70,000 hectares	68,422 hectares of dry agricultural land have been brought under SLM with improved vegetative cover as of June 2017. The target will be achieved by December 2017 with the completion of the remaining ongoing projects.	*See Para 94*	5
	Number of new and additional sources identified for leveraging investment replication/ for SLM across drylands in ASAR.	0	At least 10 new sources	24 sources are identified. This indicator, however, appears superfluous to the Outcome 4.1 indicator of "number of new grants that replicate consolidated approaches (BD, CC, LD)".	*See Para 95*	5
Outcome 3.2: New capacities, sources of investment and practices enable improved SFM in forest landscapes by communities	% density of ground stocking in productive forest landscape in ASAR, HF,WG.	10-40%.	Ground stocking increased to 50%	*Ground stocking has been increased to 50%.*	*See Para 86-89*	5
Overall Rating – Component 3						**5**

[51] Ibid 32

95. The successes of SLM measures across drylands of the ASAR undertaken with SGP5 resources has leveraged investment from over 24 additional sources for replication for SLM across drylands in ASAR, most of whom are linked to government schemes and various government departments[52]. These leveraged funds from these 24 sources have assisted SGP stakeholders to increase delivery of community level investments, processes skills and practices at the community level through NGOs and CBOs.

96. With regards to achieving the 50% target of density of ground stocking in productive forest landscape in ASAR, HF,WG, the estimate was corroborated through mid-term reviews and final evaluation visits at the grant level and from the interaction with local leaders and forest conservation committees, farmers, NGO leaders, and consultations with locals. The ground stock increase is taking place directly and indirectly in 3 different ways:

- Tree plantations are increasing due to multiple sources of financing and initiatives of the community, CBOs, the Forest Department and MGNREGA. Between 2014 and 2017, more than 250,000 plantations of multiple species have been done in during the project implementation. Community Managed intervention of planting;
- Soil and water conservation measures has led to an increase in local biodiversity with natural growth taking place in the ground stocking;
- Wood use savings have been realized through the increased use of improved cook-stoves and biogas units which have been taken up on the periphery of protected areas and reserved forests, leading to reduced pressures on forests. The exact amount of saving can be gauged through each project.

97. Some examples of tree plantations supported under SGP includes:

- 12 different types of plant species in 27 ha of barren land in Karanja Taluk in Washim District in Maharashtra was considered an excellent demonstration in rehabilitating degraded lands and reducing carbon emission. Through the involvement of MGNREGA, maintenance of the new forest system would be undertaken by local people for 180 days of employment per year;
- The plantation of 15,000 Guggul plants and 10,000 Sathavar plants in the badland topography of Champal River Basin of Madhya Pradesh. These plantations were effective in bringing back the rare species of the area and improving the livelihoods of the community through processing products from these plantations.

98. On soil and water conservation, SGP interventions have supported community efforts to:

- augment the availability of groundwater resources through rainwater harvesting, improved soil and moisture conservation techniques in agriculture;

[52] Includes NABARD. Department of Forests, Energy Development Agency, MGNREGA, District Rural Development Agency, Department of Science and Technology, Local Panchayats, National Rural Livelihood Mission Society, Jawaharlal Nehru Port Trust, Rockefeller foundation (fellowship), Maharashtra Chief Minister's Relief Fund, ICICI Bank (Madurai), Bharat Rural Livelihood Foundation, Ford foundation, State Biodiversity Board, State Bamboo Mission, Geology Department (check dam), Better Cotton Initiative (BCI), Axis Bank Foundation, Lupin Human Welfare & Research Foundation, Water & Sanitation Mission (under GoI), Karl Kubel Foundation, Paul Hymen Foundation, and Rockefeller Foundation Global Fellowship

- implement measures such as earthen check dam, staggered and continuous contour trenches to improve groundwater recharge and moisture retention for plants and tree plantations of value; and
- deepening and desiltation of first and second order streams in the Bembla watershed along with the construction of a recharge shaft to replenish and recharge groundwater resources;

99. Further to wood savings, SGP5 has sought interventions to create alternative employment for the households who largely depend on forests. This included bee keeping, goat rearing, fodder plantation promoted by several NGOs and CBOs leading to less cutting of trees for their livelihoods.

100. In conclusion, the results of Outcome 3 can be assessed as **satisfactory** in consideration that all targets contained in Table 7 have been met.

3.3.5 Component 4: Cross Cutting Capacity Development and Knowledge Management

101. Under this Component, there were 2 expected outcomes:

- Activities under Outcome 4.1 were intended to result in "*increased capacity of SGP stakeholders to diagnose and understand the complex and dynamic nature of global environmental problems and to develop local solutions*". Project resources were to be used to generate an outputs of:
  - "*new networks for peer-to-peer learning and information sharing and partnership platforms for community-level action on BD, CC, and LD*" (Output 4.1.1.);
  - *"business models, guidelines, best practice notes developed and demonstrated"* (Output 4.1.2);
  - *"new partnership platforms formed for capacity building of project partners and communities"* (Output 4.1.3); and
  - *"common marketing and branding mechanism for SGP supported initiatives in India"* (Output 4.1.4).
- Activities under Outcome 4.2 were intended to result in "*enhanced capacities of SGP grantees to monitor and evaluate their projects and environmental trends*". Project resources were to be used to generate an output of "*training programs on identification and tracking of indicators, and project participatory monitoring systems in project*";

A summary of the actual delivery of outputs from Outcome 4 with evaluation ratings are provided on Table 8.

102. Replication of SGP5 approaches to BD, CC and LD projects was been a success with the Project achieving 35 replication projects, exceeding its target of 30. These replications demonstrate the increased capacity of SGP5 stakeholders and grantee beneficiaries to liaise and convey their community's needs to donors and financers. Several examples of replication projects can be found in SGP5 with a sampling as follows:

- Peermade Development Society is upscaling the chullah element to more families with the support of the Department of Science and Technology (in Punjab);
- LOTUS is continuing its interventions of organic rice farming in Assam with the support of NABARD;

Table 8: Outcome 4 achievements against targets

Intended Outcome	Performance Indicator	Baseline	Target	Status of Target Achieved	Evaluation Comments	Rating [53]
Outcome 4.1: Increased capacity of SGP stakeholders to diagnose and understand the complex and dynamic nature of global environmental problems and to develop local solutions	Number of new grants that replicate consolidated approaches (BD, CC, LD).	0	Replication of consolidated approaches (BD, CC, LD) in at least 30 new grants by year 4.	35	*See Para 102*	6
	Increase in amount of co-funding for SGP-India.	0	USD 5 million	More than US$ 20.18 million raised in co-funding for SGP initiatives. This indicator, however, is already an objective-level target and should be removed or replaced with another useful indicator	-	6
	Number natural resource based products developed by the GEF SGP partners linked to markets.	25 numbers at present	75 products by project end	246	*See Para 103*	6
Outcome 4.2: Enhanced capacities of SGP grantees to monitor and evaluated their projects and environmental trends	Number of workshops/learning events conducted by the project by the GEF SGP partners/stakeholders	GEF SGP partners/stakeholders	Workshops held in the beginning of year 1 to finalise the indicators and targets n the PRF/M&E framework with all the stakeholders 4 learning events organised for key stakeholders/ SGP grantees for achieving this outcome	10 workshops held after each of the 10 NSC meetings. These Guidance Workshops provided partners with guidance on overall success indicators listed in the OP5 project document and how the impacts at the grass-roots level should be measured and reported to meet with the set targets. 35 learning events held during the course of 5.5 year duration of SGP5. This indicator, however, is not relevant to enhancing capacity of SGP grantees as mentioned in Para 30.	*See Paras 30, 104 to 106*	6
Overall Rating – Outcome 4						**6**

[53] Ibid 32

- YSK and Organic Kitchen Garden models of KVMT have been expanded with the support of NABARD and Well Wishers;
- MANUVIKASA has received support from the Deshpande Foundation for US$0.725 million (Rs. 5 crores) for 5 years to protect species, enhance plant life and create wetlands on betta lands in the Sirsi-Siddiquepur Districts of Karnatka;
- 7 SGP5 partners (CORE, Paramparagat, Bioved, Muskan Jyoti, CTRD, TIDE and We Care) were linked with UNDP's Ganga Project to replicate the experiences of SGP covering in SGP5 thematic areas of BD, CC and LD, and with income generation activities;
- 3 SGP5 partners (Vruksha Prem Seva Trust, the Co-operation for Rural Excellence (CORE) and the Zougam Institute for Community Resources & Development (ZICORD) recently received grants for up-scaling. Some of the partners such as the Peermade Development Society and the We Care Society are in discussion with local panchayat and municipality authorities regarding the replication of the project.

103. The economic and field successes of SGP5 have been translated into products from almost all SGP projects. Out of 246 products from SGP5 projects, more than 80 products are linked to higher markets through guidance and networking support and expos. Details of these projects are up-loaded regularly on the SGP website (www.sgpindia.org). In September 2017, MoEFCC and the SGP5 Project organized a Green Haat and expo with the objective of facilitating marketing, connecting innovators and producers to the buyers and other potential business stakeholders. The 2-day event held on 31 October - 1 November 2017 was organized by attended by the GEF CEO as well other dignitaries. The Green Haat was organized as an effort to strengthen the bond between biodiversity and local communities by creating a market platform for the remote communities who directly depend on these products for their livelihoods; biodiversity can only be conserved if communities utilize the local resources available to them in a sustainable manner. Women through their SHGs under the SGP5 Project are promoting conservation and products manufactured locally within their communities. Products on display included an impressive array of rice varieties, wheat flour, millets, organic vegetables, pickles, leaf plates, honey, medicinal plants, herbal oils, EE stoves, biofuel cakes, lacquer-coated products, and oils from peppers and cloves.

104. PIRs report that CEE has conducted numerous guidance workshops for field level NGOs and CBOs to manage activities funded under the SGP 5 grants. These were conducted at regular intervals throughout SGP 5, and generally after NSC meetings where partners received capacity building on reporting, local resource mobilization and co-financing, monitoring and evaluation tools (Indicators in the RBM framework) and SOPs of SGP. In consideration of project reports providing feedback of the effectiveness of SGP 5 interventions, the reports are of moderately satisfactory quality. Given the baseline skill sets of most NGOs and CBOs to prepare monitoring reports to a GEF standard, the NGOs and CBOs as well as host communities do provide basic information through these reports on progress. However, the oversight of an NGO such as CEE will still be required to ensure the quality of these reports provide the necessary feedback on progress.

105. A large Guidance Workshop was organized in Ahmedabad during the 15-17 March 2017 period to celebrate 25 successful years of GEF SGP, and for NGO Partners to connect and exchange ideas, concepts and technologies, and to provide a platform to share the concerns and success stories of the GEF SGP projects. This workshop was also attended by dignitaries from UNDP Headquarters, New York, the Ministry of Environment, Forests and Climate Change, UNDP New Delhi, all the Regional Council members and National Coordinators from SGP Afghanistan and SGP Bangladesh. The

workshop also held a technology fair where all NGOs and technology providers demonstrated technologies used by them including:

- Sarthak's technology of recycling plastic waste and converting it to granules in Madhya Pradesh;
- STD Mandi's technology of making briquettes as a fuel source from pine;
- ARTI and TIDE demonstrated the technologies related to energy efficient cook stoves;

This workshop also held a Green Haat with more than 40 stalls showcased a wide range of products prepared by the NGOs as a precursor to the Green Haat of 31 October - 1 November 2017 in New Delhi.

106. CEE has also supported numerous workshops at the NGO level. A sampling of some of these workshops follows:

- Jagriti conducted 3 workshops on the benefits of energy efficient cook stoves involving 58 women;
- STD Mandi trained 74 women on briquetting techniques and using them in temperature regulated EE cook stoves;
- ZICORD conducted 3 training sessions involving 156 participants as well as 16 workshops to demonstrate the usage and benefits of briquettes and EE cook stoves. Zicord also organized two days trainings on project cycle management and business development;
- TIDE organized 125 awareness programs mobilizing 7,650 participants where 75 women have been nurtured into micro entrepreneurs through the project and directly involved in making solar products and cook stoves in Karnataka and Tamil Nadu;
- Bhagirath organised 26 workshops on biogas, dairy and fodder plots development. The Citizen Foundation trained masons on biogas digester construction and installation. Various awareness camps were also organized on the use of biogas as alternate source of energy;
- In the field of organic farming, Kheti Virasat mobilized 7,491 beneficiaries through 350 workshops and conducted more than 500 awareness camps with over 8,000 participants;
- Lotus conducted 125 workshops on practicing sustainable agriculture including vermicomposting (We Care - 80 workshops mobilizing 4,000 participants).

107. In conclusion, the results of Outcome 4 can be assessed as **highly satisfactory** in relation to the Project meeting its targets (notwithstanding the issues with indicator relevance mentioned in Para 30) in consideration of demonstrated increased capacities of SGP grantees which has translated into significantly higher levels of financing leveraged to replicate SGP interventions.

3.3.6 Relevance

108. The SGP5 Project is **relevant** to the numerous policies and legislation in India on the promotion of the conservation and sustainable use of natural resources. With India being signatory to various international conventions and treaties related to environmental protection (these are listed in Table 2 of the ProDoc), the Indian Constitution in Part XI, Article 246 clearly assigns the responsibilities of the Central and State governments on various subjects. The most relevant policies and legislation to the SGP5 Project includes the Biological Diversity Act of 2002, National Forest Policy of 1988, National Water Policy, 2002, National Environmental Policy 2006, Indian Forest Act of 1927 and related state legislation, Forest (Conservation) Act of 1980, Wildlife (Protection) Act of 1972, Environmental

(Protection) Act of 1986, *Panchayats (Extension to the Scheduled Areas) Act, 1996* and the *Schedule Tribes and other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006*. In addition, the National Environment Policy, 2006 (NEP), seeks to achieve balance between conservation and development by mainstreaming environmental concerns in all developmental activities.

109. Other important and relevant legal and policy instruments include the Environment Impact Assessment Notification of 2006, Marine Fishing Policy of 2004, National Conservation Strategy and Policy Statement on Environment and Development (1992), Policy Statement on Abatement of Pollution (1992), National Tourism Policy of 1998, National Agricultural Policy of 2000, Marine Fishing Policy of 2004, and the Joint Forest Management orders and rules promulgated by both the Government of India and the States.

110. The SGP5 Project supports the objectives of the 5th Operational Phase of the Global SGP, was funded under GEF-5 and has been consistent with the agreed strategic priorities for GEF-5 under the BD, CCM and LD Focal Areas:

- Under the BD Focal Area, SGP5 has supported Strategic Objective (SO) 2: Mainstream biodiversity with Component 1 increasing the number of hectares of sustainably managed landscapes and seascapes that integrate biodiversity conservation and incorporate measures to conserve biodiversity into local level policy and planning frameworks, particularly the panchayat development plans. The issue as mentioned in Para 30 has been the lack of an indicator in the PRF to measure effectiveness of SGP5's contribution to this biodiversity SO;
- Under the CCM focal area, Component 2 has been consistent with 2 SOs: CCM-2: Energy efficiency and CCM-3: Renewable energy. In line with CCM-2, SGP5 has promoted energy efficient wood and biomass burning stoves at the community level. With CCM-3, SGP5 has provided provide grants to demonstrate, develop and transfer renewable energy solutions at the community level including micro hydro power, solar home systems, and the generation and use of biogas which has led to investments in renewable energy and reduced GHG emissions;
- Under the LD focal area, Component 3 has been consistent with the SO-1: Agricultural and rangeland systems; and SO-2: Forest landscapes. SGP5 has maintained and improved the flow of agro-ecosystem and forest ecosystem services to sustain community livelihoods. SGP5 is actively working with CBOs and NGOs to reduce pressures on natural resources from competing land uses at the community level. This has been reflected in SGP5 exceeding its target of 70,000 ha of land brought under SLRM practices within the WG, HF and ASAR regions (see Table 7).

3.3.7 Effectiveness and Efficiency

111. The effectiveness of the SGP5 has been rated as **satisfactory** for a range of reasons:

- Selection of SGP 5 Project activities in close collaboration with beneficiary communities that are consistent with the Project objective of ensuring a mosaic of land uses and community practices in the rural landscape to provide sustainable livelihoods while generating global benefits related to BD, LD and CCM;
- Strong uptake of observed SGP 5 Project activities that has rapidly grown and been leveraged for additional financing due to the economic attractiveness of these interventions; and
- Less than 5% of projects have reported poor progress. For grant projects with implementation issues, difficulties range from the weak local presence of an NGO to weak communication links between an NGO based outside the community and the communities that they serve.

112. The efficiency of the SGP5 has been **moderately satisfactory** for a range of reasons:

- The SGP5 Project schedule was to be dispersing grants over its entire 5-year period. However, between October 2012 and October 2013, the SGP5 Project needed 12 months to set up the project including providing personnel for its Regional Advisory Committees, finding candidates to serve within the National Steering Committee, and setting up management systems for the new UCP management modalities which had not been done before in India under previous SGPs;
- Between 2014 and 2017, SGP 5 disbursed 85% of grant funds;
- Unfortunately, 21% of SGP 5 funds were disbursed in 2017, the last year of SGP 5. As of November 2017, the CPMU reported that only 70 out of 102 projects had completed all of his activities, 4 months before the operational terminal date of SGP 5 of 31 March 2018. As such, there are 32 SGP 5 projects that do not have the opportunity for monitoring impacts and benefits, unless OP7 funds are secured to increase efficiency in terms of project cycle management and SGP country programme delivery[54].

3.3.8 Country Ownership and Drivenness

113. To implement and enforce the relevant policies and legislations for the conservation and sustainable use of natural resources in India with the threats of climate change, the GoI launched its National Action Plan on Climate Change (NAPCC, 2008), with a comprehensive policy framework for responding to issues relating to climate change. The NAPCC identifies 8 core "National Missions" running through to 2017 that outline existing and future policies and programs addressing climate mitigation and adaptation and providing multi-pronged, long-term and integrated strategies for achieving key goals. These 8 NAPCC missions 8 are:

- National Solar Mission;
- National Mission for Enhanced Energy Efficiency;
- National Mission on Sustainable Habitat;
- National Water Mission;
- National Mission for Sustaining Himalayan Ecosystems;
- National Mission for a Green India;
- National Mission for Sustainable Agriculture; and
- National Mission on Strategic Knowledge for Climate Change.

114. As such, the TE team can conclude, that country ownership and drivenness of the SGP5 can be assessed as **satisfactory**.

3.3.9 Mainstreaming

115. The intended objective and outcomes of the SGP5 are strongly mainstreamed with all 6 outcomes UNDAF for India for 2013 to 2017[55] including:

[54] As suggested in Para 45 (b) of *GEF Small Grants Programme: Implementation Arrangements for GEF-6.* Report GEF/C.46/13, "It is indispensable that upgrading Country Programme FSPs are approved at the earliest possible opportunity ….to avoid a gap in Country Programme implementation". This document is available on: https://www.thegef.org/sites/default/files/council-meeting-documents/GEF.C.46.13_GEF_Small_Grants_Programme_-_Implementation_Arrangements_for_GEF-6_April_30_2014_1.pdf

[55] http://in.one.un.org/wp-content/uploads/2016/09/India_UNDAF202013-17_9Jul2012-1.pdf - see Annexure 5

- Outcome 1: Inclusive and equitable growth policies and poverty reduction strategies of the government strengthened to ensure that most vulnerable and marginalized people in rural and urban areas have greater access to decent employment, skills development, social protection and sustainable livelihoods;
- Outcome 2: Vulnerable populations in the UNDAF priority states have improved availability of, access to and utilization of food and nutrition to meet minimum standards;
- Outcome 3: Government and civil society institutions are responsive and accountable for improving women's position, advancing their social, political, economic rights and preventing gender discrimination;
- Outcome 4: Vulnerable and marginalized populations have equitable access to and use quality basic services in selected states;
- Outcome 5: Governance systems are more inclusive, accountable, decentralized and program implementation more effective for the realization of rights of marginalized groups, especially women and children;
- Outcome 6: Government, industry and other relevant stakeholders actively promote more environmentally sustainable development, and resilience of communities is enhanced in the face of the challenges of climate change, disaster risk and natural resource depletion.

3.3.10 Sustainability of Project Outcomes

116. In assessing sustainability of the SGP5, the evaluators asked "how likely will the Project outcomes be sustained beyond Project termination?" Sustainability of these objectives was evaluated in the dimensions of financial resources, socio-political risks, institutional framework and governance, and environmental factors, using a simple ranking scheme:

- *4 = Likely (L):* negligible risks to sustainability;
- *3 = Moderately Likely (ML):* moderate risks to sustainability;
- *2 = Moderately Unlikely (MU):* significant risks to sustainability;
- *1 = Unlikely (U):* severe risks to sustainability; and
- *U/A = unable to assess*.

Overall rating is equivalent to the lowest sustainability ranking score of the 4 dimensions.

117. *The overall SGP5 sustainability rating is moderately unlikely (MU).* The evaluation recognizes that this conclusion may be somewhat controversial but similar to other SGP sustainability ratings[56], and certainly does not diminish the excellent work that the TE team has observed in the field. However, the primary determinant for sustainability for the evaluation is the ability of a community to become self-sufficient and replicate the intervention within the community after the completion of SGP5. With 110 SGP5 interventions, all have varying degrees of sustainability that could be assessed against GEF criteria.

118. A large proportion of these 110 SGP5 interventions could be assessed as being ML that would be rationalized as follows:

[56] See Table 2.5 of July 2015 Joint GEF-UNDP Evaluation of Small Grants Programme available on: http://www.gefieo.org/sites/default/files/ieo/evaluations/sgp-2015.pdf

- There were more than 30 SGP5 projects where stakeholders were able to leverage financing from government sources to sustain growth of SGP interventions (such as MANUVIKASA that received government support to sustain their original interventions);
- There were some SGP5 projects where proponents were able to influence state policymakers to encouraging the use of an SGP5 intervention mandatory (such as Sathak in Bhopal where plastic wastes were deemed beneficial to concrete and pavement mixtures in Madhya Pradesh).

119. There were also a handful of SGP5 projects observed whose sustainability could be assessed as MU where there are a handful of projects that would continue to be dependent on external funding assistance from NGOs as well as donors such as:

- Bhagirath Gramvikas Pratishtan (BGP) in Sindhudurg District in southwestern Maharashtra where BGP's capacity has not been sufficiently enhanced to formulate and execute a business plan to promote community self-sufficiency involving the setup of a profit centre based on increased milk production that can sustain the continued transformation of the district's rural economy and social well-being; and
- Sanjeeva Seva Trust (SST) in Joida Taluka in northwest Karnataka where the economic viability of the small hydropower turbine installed cannot be replicated in other communities without the assistance of external funding.

Details of sustainability ratings for the SGP5 are provided on Table 10.

3.3.11 Impacts

120. The impact of SGP5 grant projects by and large was significant due to:

- A large number of panchayats and communities that have adopted improved and sustainable management practices for landscapes to improve biodiversity conservation on the basis of successful demonstrations of increased agricultural and forest yields. The impact of BD projects on SGP 5 could have been greater with the institutionalization of positive project results that would facilitate replication within and beyond beneficiary communities;
- The large number of energy efficient and renewable energy technology projects that are generating and will continue to generate greenhouse gas reductions for number of rural communities. High rate of adoption of these projects can also be attributed to money saved by rural households who have improved access to cleaner and less costly forms of energy. Similar to BD projects, the impact of SGP 5 climate change projects could have been greater with the institutionalization of project results to facilitate replication. However, the impact on beneficiary communities where EET and RET projects were implemented has been significant;
- The rapid uptake and growth in the use of measures to hasten the degradation of lands and the ASAR region were similar to BD projects, agricultural and forest product yields have been significantly higher. This has positively impacted beneficiary communities transforming the economics of each household significantly;
- Rural communities who benefited from SGP 5 interventions have an enhanced understanding of their environmental complexities, and the measures and technologies that can mitigate these complexities.
- Successes of some NGOs has positioned them for "commercialization" (for ventures such as diary cooperatives) that potentially can sustain the NGO and their communities with profits from the commercial operations, and funding from private sector CSR entities, an innovation of SGP5.

Table 10: Assessment of Sustainability of Outcomes

Actual Outcomes (as of October 2017) against revised PRF of 2012	Assessment of Sustainability	Dimensions of Sustainability
Actual Outcome 1: More than 60 panchayats (double that of the target of 30) have improved management practices into village planning for community-managed landscapes and seascapes under SGP 5, enhancing the mosaic of land uses and improving biodiversity conservation	• *Financial Resources:* Financial resources of the beneficiaries has increased due to management practices increasing yield of agricultural or forest products for many of the SGP grants beneficiaries; • *Socio-Political Risks:* High level of acceptance of beneficiary communities amongst many of the SGP grant beneficiaries; • *Institutional Framework and Governance:* Institutionalization of positive SGP project results currently appears weak on SGP5. Local government institutions are very supportive of these new agricultural practices. However, the evaluation observes that the linkage between the Project, local government institutions and state and national governments at the time of evaluation is weak; • *Environmental Factors:* Expansion of urban areas and climate change may have an adverse effect on the sustainability of successful biodiversity conservation projects from SGP 5. ***Overall Rating***	4 4 3 3 **3**
Actual Outcome 2: Appropriate energy efficient and renewable energy technologies have been deployed and have resulted in CO_2 emission reductions.	• *Financial Resources:* Financial resources of most EET and RET beneficiaries has increased generally due to household energy savings resulting in additional income. The messaging from these positive results from EET and RET beneficiaries has resulted in more financial resources being made available by other households to generate additional income. As a result, financial sustainability of EETs and RETs is likely; • *Socio-Political Risks:* The capacities of some of the NGOs is still limited for them to be able to become self-sufficient from external technical and business assistance and sustain the continued growth of the EETs and RETs that they are promoting; • *Institutional Framework and Governance:* Institutionalization of positive SGP project results on the deployment of EETs and RETs appears weak on SGP 5. While local government institutions are very supportive of these new low carbon measures and technologies, the evaluation observes that the linkage between the Project, local government institutions and state and national governments (MNRE) is weak or non-existent; • *Environmental Factors:* All EETs and RETs observed have positive environmental attributes. For EETs, many of the interventions involved more efficient use of biomass as fuel for furnaces and cooking. For RETs, many of the interventions involved the use of abundant sources of RE such as sunlight, flowing water and animal manure to provide sustainable sources of renewable energy. ***Overall Rating***	4 2 3 4 **2**
Actual Outcome 3: SGP 5 interventions have fostered an enabling environment at the panchayat level agricultural sector resulting in the	• *Financial Resources:* Financial resources of the beneficiaries has increased due to management practices resulting in increased cover of agro-ecosystems and increased density of ground stocking in productive forest landscapes for SGP grant beneficiaries. In addition, many of these interventions now	4

Table 10: Assessment of Sustainability of Outcomes

Actual Outcomes (as of October 2017) against revised PRF of 2012	Assessment of Sustainability	Dimensions of Sustainability
improvement of management, functionality and cover of agro-systems within the ASAR Region, and resulting in an increase in sustainable forest management in forest landscapes by local communities through their new capacities and additional sources of investment.	have the involvement of MNREGA for local employment and NABARD to provide low-interest loans to rural households; • *Socio-Political Risks:* High level of support amongst local government panchayats as well as households and women's self-help groups of these interventions given that they have demonstrably shown increases in household income; • *Institutional Framework and Governance:* Institutionalization of positive SGP project results appears weak on SGP 5. While local government institutions are very supportive of these new practices for agricultural management and sustainable forest management, the evaluation observes that the linkage between the Project, local government institutions and state and national governments is weak. In some cases, MNREGA for local employment and NABARD has provided government financing support to local households to improve their management of agricultural ecosystems and forest landscapes; • *Environmental Factors:* Expansion of urban areas and climate change pose a threat to the sustainability of a successful SGP 5 intervention. ***Overall Rating***	4 3 3 **3**
Actual Outcome 4: Capacities of SGP stakeholders has been enhanced to diagnose and understand global environmental problems, develop solutions, and monitor and evaluate their own projects and environmental trends.	• *Financial Resources:* Financial resources to sustain the capacities of these SGP stakeholders are currently not available. Financial resources would be required to bring SGP stakeholders as well as other interested communities together to share concepts and success stories that would benefit SGP stakeholders (in their efforts to sustain SGP interventions) and other communities (who would replicate SGP interventions); • *Socio-Political Risks:* SGP stakeholders and their communities would certainly not be an obstacle to workshops or mechanisms for information sharing on community-based efforts on sustainable natural resource utilization; • *Institutional Framework and Governance:* Institutionalization of positive SGP project results appears weak on SGP 5. While local government institutions are very supportive of these new practices for agricultural management and sustainable forest management, the evaluation observes that for some SGP5 interventions, the linkage between the Project, local government institutions and state and national governments is weak; • *Environmental Factors:* U/A. ***Overall Rating***	2 4 3 U/A **2**
	Overall Rating of Project Sustainability:	**2**

4. CONCLUSIONS, RECOMMENDATIONS AND LESSONS

121. The SGP5 Project has generated some outstanding and positive environmental initiatives throughout India. This is evidenced through field visits to 22% of the projects, review of files of SGP supported projects, and feedback from stakeholders at the field level as well as on the NSC. The impacts of SGP5 support for these communities have been positively significant, with several examples of community adoption of sustainable land management practices and low carbon technologies, increased agricultural and forestry yields from sustainable land and forest management practices, and water conservation. Progress on some of the SGP5 grants has been to the extent that some communities are positioning themselves or are already to be self-sufficient. For those positioning themselves, external assistance would be extremely helpful to them to make this final step.

122. It is unfortunate, however, that there was a lack of delivery of SGP grants during Year 1 (2012-13) due to SGP5 needing time to setup its regional committees, national steering committees and project management structures for an upgraded country programme, an implementation arrangement that was new to the Indian SGP and not sufficiently resourced in the SGP5 ProDoc design (see Para 66). The absence of implementation during Year 1 also placed additional pressure on the CPMU to deliver more than US$4 million of grants within a 4-year period. The outcome of this 1-year delay was an additional 6-month extension to SGP5, with UNDP to seek funding for the successor project to SGP5 under GEF7[57].

123. The India SGP operated as an Upgraded Country Programme (UCP) but in a manner similar to previous operational phases without a geographic focus (despite defining 3 physiographic regions that cover more than 50% of India) and weak adherence to a thematic focus, notably BD projects and some POPs projects notwithstanding that POPs was not an original thematic focus in the ProDoc (POPs projects were classified as CC projects on SGP5). The design of BD projects in SGP5 lacked SMART biodiversity indicators which in general did not address weaknesses of monitoring and reporting biodiversity benefits of global significance. The lack of geographic focus was also evident in the fairly widespread location of SGP5 projects through the 3 physiographic regions, an approach creating a "center of excellence" from which replication would be facilitated organically. A recommendation made by the MTR in early 2016 to adopt a landscape approach in the selection of SGP grant projects to encourage geographic clustering of projects was too late with less than 2 years remaining on SGP5 and 77% of the funds already committed.

124. In assessing the efficiencies, effectiveness and M&E feedback in implementing SGP5 as a UCP, CEE performed admirably up until 2016 when it experienced heavy staff turnover. The current CEE staff have been experiencing challenges in 2017 in meeting their M&E obligations of SGP5. The TE team also concludes that:

- The SGP5 PRF did not have a full set of SMART indicators that were relevant, achievable and cost-efficiently measurable in the field (see Para 30) that would have made monitoring activities more meaningful and better linked to global benefits of the various thematic areas of SGP5. The SGP5

[57] In India, a PIF for OP6 was submitted in July 2016, and was technically cleared by the GEF Secretariat but it was not included as a candidate for OP6 GEF Work Programs due to shortfall of GEF-6 resources, due to exchange rate fluctuations. As a consequence, SGP India will complete the OP5 projects under implementation and seek funding in GEF7 for continuation of the programme. The GEF Council decision on the shortfall can be accessed at: http://www.thegef.org/sites/default/files/council-meeting-documents/EN_GEF%20C%2051%2004_Update_on_GEF-6_Resource_Availability.pdf

PRF, in fact, would have benefitted from a Theory of Change (ToC) analysis which is now being used in GEF projects to more strongly link baselines with project outputs, direct outcomes, intermediate outcomes and states, and desired impacts. Better SMART indicators would have emerged from such an analysis;

- The perception that CEE has not been regularly updating the SGP database. The Evaluation Team was only shown an Excel spreadsheet as a record of monitoring and evaluation of its grant projects. Generation of monitoring and evaluation reports from this format would have compromised coherency to of India's SGP 5 progress and performance with other Small Grants Programmes of other countries;
- Current capacity of CPMU personnel implementing the SGP 5 Project needs strengthening to more effectively manage technical and administrative issues of each SGP supported project, improve M&E functions, and improved liaisons with other public and private (CSR) entities for the purposes of generating co-financing interest;
- There is an absence of activities by CEE related to the institutionalization of SGP Project results. This stems from observations of the evaluation of a lack of dialogue after 2015 from SGP5 personnel to all levels of government on the many positive outcomes of SGP projects. The lack of this interchange has constrained the ability of SGP5 to disseminate and scale up the lessons learned from the numerous good projects it has completed, and to sustain their accelerated pace of replication.

4.1 Corrective actions for the design, implementation, monitoring and evaluation of the project

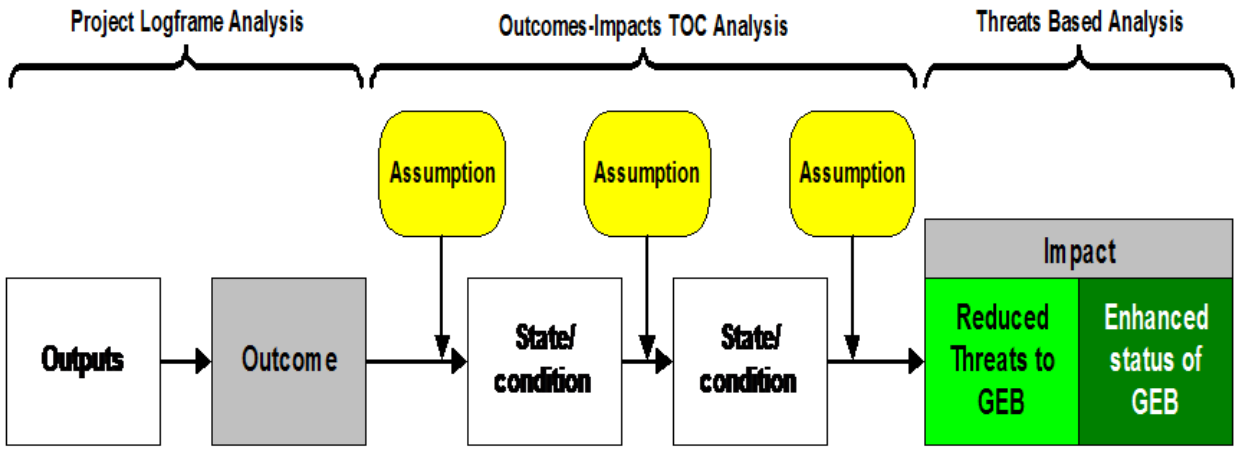
125. *Action 1 (to UNDP and CEE): To improve design of these projects, a follow-up SGP project (as an UCP) should include:*

- A clear logical framework matrix with SMART indicators and measurable targets that can be effectively monitored by CPMU staff to reflect progress towards global benefits of a selected thematic area. This should be developed with technical assistance GEF project designers who are familiar with Theory of Change (see Figure 2) that more strongly links baselines with project outputs, direct outcomes, intermediate states and long-term impacts;
- Projects selected for implementation that have clear linkages to global benefits to the thematic areas it chooses to focus on. This is especially true for biodiversity where BD projects should be selected to generate global benefits, which would need to be done through a landscape approach. Furthermore, there are several projects that could fall under the multi-focal theme;
- Defined and budgeted activities to build strong institutional partnerships that results in institutionalized project results in the final year of a project. This would include activities such as meetings, workshops, field trips and awareness raising material. While this did occur on a few SGP5 projects, the IA or IP needs to take the lead on institutionalization of positive project results;
- Specific M&E activities that are efficient and minimize the workload of the Implementing Partner including the regular updating of the SGP database that would easily generate a coherent global outlook on SGP's progress and performance. If not already done, additional fields of information for global benefits of the various thematic focus areas such as CO_2 emissions reduced (for CCM projects) and hectares of land where agricultural production has been increased (for LD projects) should be added to the database;

- Place additional SGP project emphasis on capacity building to the grantees. This may translate into higher M&E budgets of a subsequent SGP;
- Allocate sufficient funds to support IP for its own capacity building and logistical support for M&E.

126. *Action 2 (to UNDP and CEE): To improve implementation of this project, efforts are necessary to improve the capacity of the implementing partner to undertake implementation responsibilities of an SGP 7*. This would include IP personnel needing to:

Figure 2: Generic Theory of Change Diagram[58]



- be familiar with the technical issues associated with CC, BD, and LD or any other thematic areas chosen by GoI for focus on a subsequent SGP;
- understand administrative rules and procedures governing UNDP projects with the Government of India;
- an improved understanding of specific M&E functions of the project including operation of the database and management information systems; and
- have access to a regional technical expert who should be consulted whenever required. Given the diversity of expertise required to manage projects related to CC, BD and LD, a regional technical expert and one of these themes should be used to provide oversight management and expert consulting whenever required.

This need is also reflected by the chair of the NSC (in the 10th NSC meeting minutes from 8 November 2017).

[58] Reproduced from April 2009 GEF Presentation by Todd and Risby, accessible on: https://www.google.ca/url?sa=t&rct=j&q=&esrc=s&source=web&cd=1&cad=rja&uact=8&ved=0ahUKEwiOz7Wfk-DYAhUF62MKHV6UCsQQFggnMAA&url=http%3A%2F%2Fwww.3ieimpact.org%2Fmedia%2Ffiler%2F2013%2F02%2F25%2F13_1_gef_eo_cairo_presentation_final.ppt&usg=AOvVaw3rP1GHRIb0YW2cABRZ8D0g

4.2 Actions to follow up or reinforce initial benefits from the project

127. *Action 3 (to UNDP, MoEF and current demonstration proponents). Institutionalization of project results with state and Central government partners needs to be budgeted as a line item*. Activities under this line item should include:

- Preliminary and informal discussions with potential institutional partners to familiar them with ongoing SGP activities and the practices and measures it will demonstrating as pilots and scale-ups;
- Synthesizing SGP project results into a presentable format that will bolster discussions with institutional partners;
- Presentation of SGP results to potential institutional partners at workshops and meetings; and
- Formulating and formalizing partnerships and converging interests with policy makers and funders. An SGP project can aim for policies emanating from an SGP intervention to financing made available by public institutions for supporting sustainable livelihoods promoted by SGP interventions.

4.3 Proposals for future directions underlining main objectives

128. *Action 4 (to MoEF, UNDP and CEE): Future SGP projects should focus on project selections using a clustered and landscaped approach*. By focusing on one agro-ecological zone (AEZ), common features of SGP projects can be implemented and improved upon effectively. By clustering them within an AEZ, learning between projects can be more easily facilitated and global benefits would be more easily generated and credibly claimed by the SGP. CEE is already aware of clustered project areas such as around Sirsi-Siddiquepur District in Northwestern Karnataka.

129. *Action 5 (to MoEF and UNDP): Use the small amount of OP6 GEF funds remaining during 2018 to support preparations for a SGP7 Project that could realistically commence in early 2019*. Main tasks to utilize these funds are as follows:

- support an SGP5 workshop on a sharing of lessons learned on SGP 5, and an evaluation of the status of SGP4 projects, all to be done during the first half of 2018. An emphasis on the need for a continuation of SGP in India to cover more rural areas with sustainable environmental practices (citing the relatively small percentage of area actually covered by SGPs in India) and to support SGP5 projects where some communities still require some support to become fully self-sufficient;
- make efforts to resubmit to GEF by May 2018 the OP6 PIF prepared in July 2016 for inclusion into the first OP7 Work Programme. With the possibility of GEF approving PPG funds for the preparation of an SGP 7 ProDoc that could be possibly completed by November 2018 for submission to GEF for approval;
- undertake preparations for the appointment of NSC members which would need to be changed from the NSC members of SGP5, including a fair representation of the NGOs and CBOs. By undertaking these preparatory activities and learning from the delays experienced on SGP5 during Year 1, implementation of an SGP 7 Project would have a higher probability of being more efficiently implemented, with the possibility of Year 5 being available for the institutionalization of project results, something not achieved in SGP5.

4.4 Best and worst practices in addressing issues relating to relevance, performance and success

130. *Poor practice: The PRF for SGP5 could have been better designed with a full complement of SMART indicators that would have helped the CPMU to monitor progress towards some of the intended outcomes and impacts.* This has been elaborated in Paras 30 and 31. This evaluation wants to point out the importance of a well-designed PRF for all projects, and that more efforts should be made by project designers on the preparation of a well-designed PRF. In the case of the SGP5 PRF, indicators and targets on biodiversity projects should be related to conserving biodiversity of global significance, and indicators and targets should have been presented in a revised PRF (and as an adaptive management measure) for persistent organic pollutants (POPs) projects, a thematic area not listed in the original PRF. Project designers should include a Theory of Change analysis (see Figure 2) followed by a "review of outcomes to impacts" to ensure that direct project outcomes have a high likelihood of meeting intended impacts.

131. *Best practice: Participatory processes of the SGP5 project during the 2012-2016 period of SGP5 resulted in significant buy-in from all stakeholders including central and state government, project beneficiaries, and potential financers of scale-up phases of projects*. SGP5 had a strong focus on building the capacity of NGO partners which has had a ripple effect in the communities served by these NGOs. Up until 2016, SGP5 had also had excellent relations with all government levels, from local to national government personnel.

132. *Best practice: SGP5 benefitted from being an Upgraded Country Programme where the National Host Institution (NHI) was CEE, an Indian NGO with regional offices throughout India which would be able to manage the project in specific geographic areas where there are unique cultural circumstances, and where the National Steering Committee (NSC) needs ensure there are clear strategies for generating global environmental benefits*. The challenge for CEE is to sustain their capacity to undertake future SGP work given their weakened condition after the high staff turnover of 2016. They must also look at landscape approaches in grantee selection which will enhance the global environmental benefits.

APPENDIX A – MISSION TERMS OF REFERENCE FOR SGP5 PROJECT TERMINAL EVALUATION

BACKGROUND

In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP support GEF financed projects are required to undergo a terminal evaluation upon completion of implementation. These terms of reference (TOR) sets out the expectations for a Terminal Evaluation (TE) of the *Project title* (PIMS 4515)

The essentials of the project to be evaluated are as follows:

- Project Title: ***(5th Operational Phase of the GEF Small Grants Programme in India*)**
- GEF Project ID: *(4383*)
- UNDP Project ID: *(PIMS 4515*)
- GEF Focal Area: *(*Multi-Focal)
- Executing Agency: *(UNDP*)
- Other Partners involved: *(*Centre for Environment Education, National Host Institute)
- GEF financing at endorsement (Million US$): *(5.00 Million*)
- Total co-financing financing at endorsement (Million US$): *(6.00 Million*)
- ProDoc Signature (date project began): *(30.10.2012*)
- (Operational) Closing Date (proposed): *(31.03.2018; actual 30.10.2017)*

OBJECTIVE AND SCOPE:
The GEF Small Grants Programme (GEF SGP) is a GEF Corporate Programme implemented by UNDP to provide financial and technical support to communities and civil society organizations (CSOs) to meet the overall objective of "Global environmental benefits secured through community-based initiatives and actions". Launched in 1992 with 33 participating countries and now at 130, GEF SGP is rooted in the conviction that community-driven sustainable development initiatives that support innovative livelihoods and local empowerment can generate and maintain global environmental benefits.

In 2008, the GEF approved an "upgrading" policy that stipulated that SGP Country Programs with more than 15 years of operations and over USD 6.0 million in grant disbursements would receive their funding through country-led STAR allocation ns i.e. as a Full-Size Project. These countries represent some of the most mature, experienced, and successful SGP Country Programmes, with the most developed civil society networks and multi-stakeholder partnerships. The SGP India Country Programme upgraded during the GEF Fifth Operational Phase (together with Bolivia, Brazil, Costa Rica, Ecuador, Mexico, Kenya, Pakistan and Philippines).

The project was designed to ensure a mosaic of land uses and community practices across the rural landscape that provide sustainable livelihoods while generating global benefits for biodiversity conservation, climate change and land degradation. The project will enable a shift away from unsustainable practices by (1) mainstreaming biodiversity conservation and sustainable use into production landscapes and sectors, (ii) promoting energy efficient and renewable energy technologies in rural communities in targeted landscapes in India, (iii) maintaining and improving flows of agro and forest ecosystem services in dry lands of Arid and Semi-Arid Regions to sustain livelihoods of local communities and (iv) cross cutting, capacity development and knowledge management.

The Terminal evaluation (TE) will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the 'UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects' (2012), henceforth referred to as 'TE Guidance'.

The objectives of the evaluation are to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming.

EVALUATION APPROACH AND METHOD:
An overall approach and method[59] for conducting project terminal evaluations of UNDP supported GEF financed projects has developed over time. The evaluation should include a mixed methodology of document review, interviews, and observations from project site visits, at minimum, and the evaluators should make an effort to triangulate information. The evaluator is expected to frame the evaluation effort using the criteria of **relevance, effectiveness, efficiency, sustainability, and impact,** as defined and explained in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects. A set of questions covering each of these criteria have been drafted and are included with this TOR. The evaluator is expected to amend, complete and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region and key stakeholders.

DUTIES AND RESPONSIBILITIES

The evaluator is expected to conduct a field mission to 6 – 8 field locations, including the following project sites (list to be decided in consultation with the selected TE team). Interviews will be held with the following organizations and individuals at a minimum:

- Country Director, United Nations Development Programme (UNDP)
- Head-Energy & Environment Unit, UNDP-New Delhi
- Ministry of Environment, Forest & Climate Change
- GEF Operational Focal Point
- Director, Centre for Environment Education (National Host Institution), Ahmedabad
- Country Program Manager, Centre for Environment Education, New Delhi
- Members of the National Steering Committee (7 nos. located in 7 regions of India)
- Members of the Regional Committee (4-5 in each of the 7 regions)

The evaluator will review all relevant sources of information, such as the project document, project reports – including Annual APR/PIR, project budget revisions, midterm review, progress reports, GEF focal area tracking tools, project files, national strategic and legal documents, and any other materials that the evaluator considers useful for this evidence-based assessment. The project team will provide these documents to the selected evaluator:

1. PIF
2. UNDP Project Document
3. UNDP Environmental and Social Screening results
4. Project Inception exercise
5. All Project Implementation Reports (PIR's)
6. Quarterly progress reports and work plans of the various implementation task teams
7. Audit reports
8. Finalized GEF focal area Tracking Tools at CEO endorsement
9. Oversight mission reports
10. All monitoring reports prepared by the project
11. Financial and Administration guidelines used by Project Team
    The following documents will also be available:

12. Project operational guidelines, manuals and systems

[59] For additional information on methods, see the Handbook on Planning, Monitoring and Evaluating for Development Results, Chapter 7, pg. 163

13. UNDP country programme document
14. Minutes of the "5th Operational Phase of the GEF Small Grants Programme in India" project Board Meetings and other meetings (i.e. Project Appraisal Committee meetings)
15. Mid-term review of the project.

EVALUATION CRITERIA & RATINGS:
An assessment of project performance will be carried out, based against expectations set out in the Project Logical Framework/Results Framework, which provides performance and impact indicators for project implementation along with their corresponding means of verification. The evaluation will at a minimum cover the criteria of: **relevance, effectiveness, efficiency, sustainability and impact.** Ratings must be provided on the following performance criteria:

- Monitoring and Evaluation design at entry
- Monitoring and Evaluation Plan Implementation
- Overall quality of M&E
- Relevance
- Effectiveness
- Efficiency
- Overall Project Outcome Rating
- Quality of UNDP Implementation – Implementing Agency (IA)
- Quality of Execution - Executing Agency (EA)
- Overall quality of Implementation / Execution
- Sustainability of Financial resources
- Socio-political Sustainability
- Institutional framework and governance sustainability
- Environmental sustainability
- Overall likelihood of sustainability

The completed Required Ratings table (as found in the TE Guidance) must be included in the evaluation executive summary. The obligatory rating scales can be found in the TE Guidance.

A full recommended report outline can be found in the TE Guidance.

PROJECT FINANCE AND CO-FINANCE:
The Evaluation will assess the key financial aspects of the project, including the extent of co-financing planned and realized. Project cost and funding data will be required, including annual expenditures. Variances between planned and actual expenditures will need to be assessed and explained. Results from recent financial audits, as available, should be taken into consideration. The evaluator(s) will receive assistance from the Country Office (CO) and Project Team to obtain financial data in order to complete the Required Co-Financing Table (as found in the TE Guidance), which will be included in the terminal evaluation report.

MAINSTREAMING:
UNDP supported GEF financed projects are key components in UNDP country programming, as well as regional and global programmes. The evaluation will assess the extent to which the project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender.

IMPACT:
The evaluators will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the project has

demonstrated: a) verifiable improvements in ecological status, b) verifiable reductions in stress on ecological systems, and/or c) demonstrated progress towards these impact achievements.[60]

CONCLUSIONS, RECOMMENDATIONS & LESSONS:
The evaluation report must include a chapter providing a set of **conclusions**, **recommendations** and **lessons**. Conclusions should build on findings and be based in evidence. Recommendations should be prioritized, specific, relevant, and targeted, with suggested implementers of the recommendations. Lessons should have wider applicability to other initiatives across the region, the area of intervention, and for the future.

IMPLEMENTATION ARRANGEMENTS:
The principal responsibility for managing this evaluation resides with the UNDP CO in (based in New Delhi). The UNDP CO will contract the evaluators and ensure the timely provision of per diems and travel arrangements within the country for the evaluation team. The Project Team will be responsible for liaising with the Evaluators team to set up stakeholder interviews, arrange field visits, coordinate with the Government etc.

EVALUATION TIMEFRAME:
The total duration of the evaluation will be 27 days over a time period of eight weeks, according to the following plan:

- Preparation: 04 days*, expected completion: 03 - 6 October 2017*
- *Evaluation Mission: 17* days*, expected completion date: 9 – 25 October 2017*
- *Draft Evaluation Report: 05* days, *expected completion:1 – 5 November 2017*
- *Final Report: 01* days, *expected completion:06 – 18 November 2017,*

DELIVERABLES:
The evaluation team is expected to deliver the following:

- Inception Report: Evaluator provides clarifications on timing and method, Evaluator submits to UNDP CO no later than 2 weeks before the evaluation mission (01 October 2017)
- Presentation of Initial Findings: Evaluator submits to project management and UNDP CO at the end of evaluation mission (30 October 2017)
- Draft Final Report: Full report (per template provided in TE Guidance) with annexes, Evaluator submits to CO within 3 weeks of the evaluation mission, reviewed by RTA, PCU, GEF OFPs (6 November 2017)
- Final Report: Revised report, Evaluator submits to CO within 1 week of receiving UNDP comments on draft (10 November 2017)

When submitting the final evaluation report, the evaluator is required also to provide an 'audit trail', detailing how all received comments have (and have not) been addressed in the final evaluation report.

PAYMENT MODALITIES AND SPECIFICATIONS:
(Note: This payment schedule is indicative, to be filled in by the CO and UNDP GEF Technical Adviser based on their standard procurement procedures)

- *10%- at* submission and approval of inception report
- *40%*- Following submission and approval of the 1ST draft terminal evaluation report
- *50%*- Following submission and approval (UNDP-CO and UNDP RTA) of the final terminal evaluation report

[60] A useful tool for gauging progress to impact is the Review of Outcomes to Impacts (ROtI) method developed by the GEF Evaluation Office: ROTI Handbook 2009

COMPETENCIES

CORPORATE COMPETENCIES:

- Demonstrates integrity by modelling the UN's values and ethical standards;
- Promotes the vision, mission and strategic goals of UN/UNDP;
- Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability;

FUNCTIONAL COMPETENCIES:

- Ability to lead strategic planning, results-based management and reporting;
- Builds strong relationships with clients, focuses on impact and result for the client and responds positively to feedback;
- Consistently approaches work with energy and a positive, constructive attitude;
- Demonstrates good oral and written communication skills;
- Demonstrates ability to manage complexities and work under pressure, as well as conflict resolution skills.
- Capability to work effectively under deadline pressure and to take on a range of responsibilities;
- Ability to work in a team, good decision-making skills, communication and writing skills.

Evaluation consultants will be held to the highest ethical standards and are required to sign a Code of Conduct upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outlined in the UNEG 'Ethical Guideline for Evaluations.'

REQUIRED SKILLS AND EXPERIENCE

The evaluation team will be composed of *(international /national evaluators).* (*If the team has more than 1 evaluator, one will be designated as the team leader and will be responsible for finalizing the report).* The evaluators selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

EDUCATION:

- 10% - A Master's degree in Social Sciences or other closely related field;

EXPERIENCE:

- 10% - Minimum 10 years of relevant professional experience;
- 15% - Knowledge of UNDP and GEF, and experience of working on GEF evaluations;
- 15% - Previous experience with results-based monitoring and evaluation methodologies;
- 20% - Technical knowledge in the targeted focal area(s), i.e. 5 GEF Thematic Areas, i.e. Biodiversity Conservation, Climate Change, Land Degradation, Persistent Organic Pollutants (Chemicals Management) and International Waters.
- 10% - Experience with evaluating similar GEF financed projects and working in India; is an advantage.
- 10% - Demonstrated understanding of issues related to gender;

LANGUAGE:

- 10% - Fluency in written and spoken English is required; Good knowledge of Hindi is an asset.

EVALUATION OF APPLICANTS:

Individual consultants will be evaluated based on a cumulative analysis taking into consideration the combination of the applicants' qualifications and financial proposal.

The award of the contract should be made to the individual consultant whose offer has been evaluated and determined as:

- Responsive/compliant/acceptable; and
- Having received the highest score out of a pre-determined set of weighted technical (desk reviews based on cv) and financial criteria specific to the solicitation.

Only the highest ranked candidates who would be found qualified for the job will be considered for the Financial Evaluation.

Technical Criteria - 70% of total evaluation
Financial Criteria - 30% of total evaluation

APPENDIX B – MISSION ITINERARY (FOR NOVEMBER-DECEMBER 2017)

#	Activity	Stakeholder involved	Place
November 5, 2017 (Sunday)			
	Arrival of Roland Wong in New Delhi		
November 6, 2017 (Monday)			
1	Evaluation debriefing meeting with UNDP	UNDP	New Delhi
2	Meeting with CPM of SGP5	UNDP	New Delhi
November 7, 2017 (Tuesday)			
3	Evaluation debriefing meeting with Implementing Partner	CEE	New Delhi
November 8, 2017 (Wednesday)			
	Road travel (Mr. Wong) to Meerut District in Uttar Pradesh		
	Road travel (Dr. Joshi and Dr. Caritas) to Meerut District in Uttar Pradesh		
3	Mr. Wong visit to the grant project "Technology Demonstration and Capacity Building in Energy Saving Rural Jaggery-making systems in Clusters in North Indian States using Scientifically Improved 3&4 Pan System of Jaggery" with CTD	Society for Economic and Social Studies (Centre for Technology and Development- CTD)	Meerut District
4	Visit by Dr. Joshi and Dr. Caritas to grant project "Alternate practices to control and check biomass and crop residue burning in open field in Western Uttar Pradesh" with NEER	Natural Environmental Education and Research (NEER)	Meerut District
	Travel of entire team back to New Delhi		
November 9, 2017 (Thursday)			
	Air travel (Mr. Wong) from New Delhi to Goa, then road travel to Sindhudurg, Maharashtra.		
	Rail travel (Dr. Joshi and Dr. Caritas) from New Delhi to Morena, Madhya Pradesh		
5	Mr. Wong's meeting near Sindhudurg with Director of Bhagirath Gramvikas Pratishthan (BGP) with Dr. Prasad Deodhar.	Bhagirath Gramvikas Pratishthan (BGP)	Near Sindhudurg, Maharashtra
6	Dr. Joshi and Dr. Caritas visit to grant project "Up scaling Reclamation of ravines through endogenous technology & in-situ conservation of local biodiversity, and strengthen the livelihood security" with Sujagriti Samaj Sevi Sanstha L.I.G	Sujagriti Samaj Sevi Sanstha L.I.G	Near Morena, Madhya Pradesh
November 10, 2017 (Friday)			

#	Activity	Stakeholder involved	Place
7	Mr. Wong's visits to BGP training facility, biogas installations around Sindhudurg, and with NABARD in Kudal under the project "Biogas plants as an alternate clean energy for economic empowerment of PVTGs – poor landless farmers in Sindhudurg"	Bhagirath Gramvikas Pratishthan (BGP)	Around Sindhudurg District, Maharashtra
	Train travel (Dr. Joshi and Dr. Caritas) from Morena back to New Delhi and air travel to Nagpur, Maharashtra		
	Road travel (Mr. Wong) from Sindhudurg to Goa		
November 11, 2017 (Saturday)			
	Road travel (Mr. Wong) from Goa to Sirsi, Karnataka for overnight stay		
8	Mr. Wong field visit to grant project "Implementation of energy efficient (EE) cook stoves in Sirsi Forest District, Western Ghats, Karnataka" with EWI northeast of Sirsi	Earthwatch Institute India Trust	Sirsi District, Karnataka
9	Dr. Joshi and Dr. Caritas visit to grant project "Conservation and Management of NTFP for sustainable livelihood through Ecosystem Approach" with GSMT	GraminSamassya Mukti Trust (GSMT)	Wani District, Yavatmal, Maharashtra
	Road travel (Dr. Joshi and Dr. Caritas) from project site to Karanja for overnight stay		
November 12, 2017 (Sunday)			
	Road travel (Mr. Wong) from Sirsi to Joida to meet with Sanjeevani Seva Trust		
10	Mr. Wong visit to grant project "Alternate energy for empowering rural entrepreneurs in India" with SST near Terali Village in Joida taluk	Sanjeevani Seva Trust (SST)	Near Joida taluk, Uttar Kannada, Karantaka
11	Dr. Joshi and Dr. Caritas visit to grant project "Linking Conservation of Riverine Resources with Sustainable livelihood: North Eastern Godavari basin, Indi " with Samvardhan Samaj Vikas Sanstha	Samvardhan Samaj Vikas Sanstha NGO	Near Karanja, Distirct of Washim in Maharashtra
	Road travel (Mr. Wong) from Terali Village to Ganeshagudi (10 km west of Dandeli) for overnight stay		
	Train travel (Dr. Joshi and Dr. Caritas) from Karmala back to Nagpur		
November 13, 2017 (Monday)			
	Road travel (Mr. Wong) from Ganeshagudi to Sirsi		
	Air travel (Dr. Joshi and Dr. Caritas) from Nagpur to Ahmedabad (via Mumbai)		

#	Activity	Stakeholder involved	Place
12	Mr. Wong visit to grant project "Conservation of rare, endangered and threatened species in fast degrading Bettalands through protection of species, plant enrichment and wetland creation in Siddapur taluq of North Kanara District" with Manuvikasa (office in Sirsi with credit officers and admin staff and field visit to Siddapura to observe works undertaken and SHGs working with Manuvikasa under the project)	Manuvikasa	Siddapura, Karnataka
13	Dr. Joshi and Dr. Caritas visit to grant project "Demonstrating sustainable multi-stakeholder and landscape ecology based approach to conservation beyond protected areas - Conservation of harriers around the Velavadar Black Buck National Park " with VIKSAT	Vikram Sarabhai Center for Development Interaction (VIKSAT)	Near Thaltej Tekra, Ahmedabad, Gujarat State
	Overnight stay (Mr. Wong) in Sirsi		
	Road travel (Dr. Joshi and Dr. Caritas) from project site back to Ahmadabad for overnight stay		
November 14, 2017 (Tuesday)			
	Road travel (Dr. Joshi and Dr. Caritas) from Ahmedabad to Kutch for overnight stay		
14	Mr. Wong additional visit to grant project "Conservation of rare, endangered and threatened species in fast degrading Bettalands through protection of species, plant enrichment and wetland creation in Siddapur taluq of North Kanara District" to areas in Siddapura vicinity where water tanks and other water conservation measures have been undertaken by Manuvikasa	Manuvikasa	Sirsi and Siddapura
15	Mr. Wong additional field visit to grant project "Implementation of energy efficient (EE) cook stoves in Sirsi Forest District, Western Ghats, Karnataka" with EWI northeast of Sirsi	Earthwatch Institute India Trust	Sirsi District, Karnataka
16	Dr. Joshi and Dr. Caritas visit to grant project "Revival of camel and sheep wool value chain with pastoral craft skills" with KHAMIR	Kachchh Heritage Arts Music Information and Resources (KHAMIR)	Bhuj District, Kachchh, Gujarat
	Road travel (Mr. Wong) to Hubli and air travel to New Delhi for overnight stay		
November 15, 2017 (Wednesday)			
	Air travel (Mr. Wong) from New Delhi to Imphal		
	Road travel (Dr. Joshi and Dr. Caritas) from Kachchh to Rajkot		

#	Activity	Stakeholder involved	Place
17	Mr. Wong visit to grant project "Strengthening rural women's society for fuel efficient energy production through pyrolysis and briquetting" with ZICORD	Zougam Institute for Community Resource and Development (ZICORD)	Imphal, Manipur
18	Dr. Joshi and Dr. Haridas visit to grant project "Conservation of local Cultivars and Increase in Pearl Millet Production in Jasdan and Malia Block of Rajkot District in Gujarat with Paryavaraniya Vikas Kendra	Paryavaraniya Vikas Kendra	Rajkot, Gujarat
	Overnight (Mr. Wong) in Imphal		
	Road travel (Dr. Joshi and Dr. Caritas) back to Rajkot		
November 16, 2017 (Thursday)			
19	Mr. Wong visits to grant project ""Up-scaling production and marketing of briquette fuel and stoves" Meetings with ZICORD	ZICORD	Imphal, Manipur
20	Dr. Joshi and Dr. Caritas visit to grant project "Fofal River Command Area Development Project Part – 2" with Vruksha PremSeva Trust	Vruksha PremSeva Trust	Rajkot, Gujarat
	Dr. Joshi and Dr. Caritas train travel from Rajkot to New Delhi with overnight stay in New Delhi		
November 17, 2017 (Friday)			
	Air travel (Roland Wong) from Imphal to Bhopal. Overnight stay in Bholpal		
	Air travel (Dr. Joshi) from New Delhi to Lucknow for overnight stay		
21	Dr. Joshi field visit to grant project "A low cost, locally adaptable sustainble approach to Agri-Bio Waste Management for organic agriculture" Muskan Jyoti Samiti	Muskan Jyoti Samiti	Lucknow
November 18, 2017 (Saturday)			
22	Mr. Wong visit with grant project "Sustainable management of plastic waste and increased livelihoods for Sarthak Karmis (SKs) in partnership with Bhopal Municipal Corporation" with SSVAJKS to Bhopal to view MSW collection measures managed personnel from the Bhopal Municipal Corporation	Sarthak Samudayik Vikas Avam Jan Kalyan Sanstha (SSVAJKS)	Bhopal
	Air travel (Dr. Joshi) from Lucknow to Bhubaneshwar (via Kolkata and Delhi)		
November 19, 2017 (Sunday)			
	Air travel (Mr. Wong) from Bhopal to New Delhi		

#	Activity	Stakeholder involved	Place
23	Dr. Joshi visit to grant project "Creating responsible actions for promoting resilient, low carbon construction (fly ash) for better environment and livelihoods in Rural Odisha" with CORE	Cooperation for Rural Excellence (CORE)	Cuttack District, Odisha
	Air travel (Dr. Joshi) from Bhubaneswar to New Delhi		
November 20, 2017 (Monday)			
	Evaluation team working on report		New Delhi
	Field trip debriefing with Mr. Prabhjot Sodhi, UNDP India	UNDP India	New Delhi
November 21, 2017 (Tuesday)			
24	Mr. Wong field visit to grant project "Preventing Accidental POPs Releases through POPs prevention Partnerships (PPP) for E-waste" with Chintan Group to observe view E-waste initiatives undertaken at the Bhalswa Landfill in Delhi	Chintan Environmental Research and Action Group	New Delhi
November 22, 2017 (Wednesday)			
	Air travel (Mr. Wong and Dr. Joshi) from New Delhi to Ahmadabad		
	Visit by Mr. Wong and Dr. Joshi to CEE HQ in Ahmadabad including meetings with Mr. Kartikeya Sarabhai, and RCs from the 7 regional offices of CEE	CEE	Ahmadabad
25	Meeting with SGP5 NSC member, Mr. Apoorva Oza	Aga Khan Rural Support programme (India)	Ahmadabad
	Air travel (Mr. Wong and Dr. Joshi) from Ahmadabad to New Delhi		
November 23, 2017 (Thursday)			
26	Meeting with UNDP's Mr. Sodhi Prabhjot	UNDP	New Delhi
November 24, 2017 (Friday)			
	Working on report		New Delhi
November 25-26, 2017 (Saturday-Sunday)			
	Working on report		New Delhi
November 27, 2017 (Monday)			
	Arrival of Dr. Haridas to New Delhi		
27	Meeting with Mr. Takpa Jigmet, Joint Secretary	MoEFCC	New Delhi

#	Activity	Stakeholder involved	Place
November 28, 2017 (Tuesday)			
28	Meeting with Mr. Karthikeya Sarabhai, CEE	CEE	New Delhi
29	Meeting with Mr. Pramatesh Ambasta, SGP5 NSC Member	SGP	New Delhi
November 29, 2017 (Wednesday)			
30	Meeting with Dr. A. K. Jain, Additional Secretary	MoEFCC	New Delhi
November 30, 2017 (Thursday)			
	Departure Roland Wong from New Delhi		New Delhi
	Air travel (Dr. Joshi and Dr. Haridas) from New Delhi to Raipur for overnight stay		
December 1, 2017 (Friday)			
31	Dr. Joshi and Dr. Haridas visit to grant project "Reducing drudgery and poverty in Kalahandi District of Odisha through Climate-friendly technologies" with DAPTA	Development Agency for Poor & Tribal Awakening (DAPTA)	Bhawanipatna, District Kalahandi, Odisha
	Overnight stay at Kalahandi		
December 2, 2017 (Saturday)			
	Road travel (Dr. Joshi) from Kalahandi to Koraput for overnight stay		
32	Dr. Joshi site visit to grant project "Sustainable Micro-Hydro through energizing rural enterprises and Livelihoods" with KFA	Koraput Farmers' Association (KFA)	Koraput District, Odisha
	Road travel (Dr. Haridas) from Kalhandi to Raipur for overnight stay		
December 3, 2017 (Sunday)			
	Road travel (Dr. Joshi) from Koraput to Bhubaneshwar for overnight stay		
	Dr. Haridas departs mission from Raipur to Cochin		
December 4, 2017 (Monday)			
33	Dr. Joshi visit to grant project "Promotion of solar energy powered back yard poultry by the poor women for sustainable livelihood" with Pallishree	Pallishree	Khandagiri, Bhubaneswar District, Odisha
	Overnight stay at Bhubaneshwar		
December 5, 2017 (Tuesday)			
	Road travel from Bhubaneshwar to Rourkela		

#	Activity	Stakeholder involved	Place
34	Dr. Joshi visit to grant project "Integrated Agro Organic farming & wasteland development through Short Duration Cultivable lac-Host Plantation of Flemingia semialata Robx" with SEET	Society for Education and Environmental Training (SEET)	Rourkela, Odisha
December 6, 2017 (Wednesday)			
35	Dr. Joshi additional visits to grant project "Integrated Agro Organic farming & wasteland development through Short Duration Cultivable lac-Host Plantation of Flemingia semialata Robx" with SEET	Society for Education and Environmental Training (SEET)	Rourkela, Odisha
December 7, 2017 (Thursday)			
	Road travel (Dr. Joshi) from Rourkela to Bhubaneswar for overnight stay		
December 8, 2017 (Friday)			
	Air travel (Dr. Joshi) from Bhubaneswar to Guwahati for overnight stay		
36	Dr. Joshi site visit to grant project "Promotion and Conservation of native variety of Paddy through Sustainable Agricultural practices with special emphasis on increasing the income of Grower's Family" with LOTUS	Lotus Progressive Center	Nalbari District, Assam
December 3, 2017 (Sunday)			
	Air travel (Dr. Joshi) to New Delhi who departs mission for Bhopal		

Total number of meetings conducted: 36

APPENDIX C – LIST OF PERSONS INTERVIEWED

This is a listing of persons contacted in New Delhi, Ahmadabad, and SGP5 project locations visited by the TE team (unless otherwise noted) during the Terminal Evaluation Period only. The Evaluation Team regrets any omissions to this list.

1. Ms. Preeti Soni, Energy and Environment Cluster Lead, UNDP India, New Delhi;
2. Mr. Prabhjot Sodhi, Senior Programme Coordinator, UNDP India, New Delhi;
3. Mr. Kartikeya Sarabhai, Director, CEE, Ahmadabad;
4. Mr. Dilip Sukar, National Coordinator, CEE, New Delhi;
5. Mr. Jaison Vargese, SGP5 Coordinator, CEE, New Delhi
6. Ms. Swati Khanijo, Project Officer, CEE, New Delhi;
7. Ms. Vriti Pandit, Project Officer, CEE, New Delhi;
8. Mr. Hardeep Singh, Finance Officer, CEE, New Delhi;
9. Ms. Madhavi Joshi, Programme Director, Centre for Environment Education;
10. Mr. Apoorva Oza, NSC Member, Chairman of Regional Committee, West Region, Aga Khan Rural Support Programme (India);
11. Mr. Pramathesh Ambasta, SGP5 NSC Member, New Delhi;
12. Mr. R.K. Sama, Regional Committee Member, Western Region (Former Director of Water and Sanitation Management Organisation);
13. Ms. Meena Bilgi, Regional Committee Member, Western Region (Specialist, Gender and Sustainable Solution);
14. Mr. Santosh Sutar, SGP Regional Coordinator, South Region;
15. Ms. Janki Shah, SGP Regional Coordinator, West Region;
16. Mr. Gaurang Patwardhan , SGP Regional Programme Officer, Central Region;
17. Mr. Sumit Verma, SGP Regional Project Officer, North Region;
18. Mr. Kalinga Chand, SGP Regional Project Officer, Eastern Region;
19. Mr. A. K. Jain, Additional Secretary, MoEFCC, New Delhi;

20. Mr. Takpa Jigmet, Joint Secretary, MoEFCC, New Delhi;
21. Dr. D. Raghunandan, Director, Centre for Technology & Development (CTD), New Delhi;
22. Dr. Prasad Deodhar, Director, Bhagirath Gramvikas Pratishthan (BGP), Sindhudurg, Maharashtra;
23. Mr. Ravindra R. Redkar, President, Sanjeevani Seva Trust, Joida Taluk, Uttara Kannada, Karnataka;
24. Mr. Sunil Desai, Director, Sanjeevani Seva Trust, Joida Taluk, Uttara Kannada, Karnataka;
25. Mr. Jayanand H Derekar, Director, Sanjeevani Seva Trust, Joida Taluk, Uttara Kannada, Karnataka;
26. Mr. Ganapati Bhat, Managing Trustee and Board Member, Manuvikasa, Sirsi, Karnataka;
27. Mr. Prabhakar Bhat, Board Member, Manuvikasa, Sirsi, Karnataka;
28. Mr. Albert Zamkholal Milheim, Secretary, ZICORD, Imphal, Manipur;
29. Mr. Zamhen Peter, Programme Coordinator, ZICORD, Imphal, Manipur;
30. Mr. S.I. Ali, Director, Sarthak Samudayik Vikas Avam Jan Kalyan Sanstha, Bhopal;
31. Ms. Supriya Bhardwaj, Manager E-Waste, Chintan Environmental Research and Action Group, New Delhi;
32. Mr. Raman Kant, NEER Foundation, Meerut, Uttar Pradesh;
33. Mr. Zakir Hussain, Sujagriti Samaj Seva Sansthan (SSSS), Madhya Pradesh;
34. Mr. Amil Khan, Program Officer, Sujagriti Samaj Seva Sansthan (SSSS), Madhya Pradesh;
35. Mr. Ram Narayan, Chairperson, Biodiversity Management Committee, Pipal, Sujagriti Samaj Seva Sansthan (SSSS), Madhya Pradesh;
36. Mr. Kishor Moghe, Director, Gramin Samasya Mukti Trust (GSMT), Wani district Yavatmal, Maharashtra;
37. Mr. Shrtikant Lodam, Coordinator, Gramin Samasya Mukti Trust (GSMT), Wani district Yavatmal, Maharashtra;
38. Mr. Sh. Vivek Yashavant, Program Manager, Gramin Samasya Mukti Trust (GSMT), Wani district Yavatmal, Maharashtra;
39. Dr. Nilesh Heda, Director, Samavardhan Samaj Vikas Sanstha (SSVS), Karanja, Washim District, Maharashtra;

40. Mr. Paresh Bhai Patel, Project Coordinator, VIKSAT, Ahemadabad, Gujarat;

41. Dr. Juhi Pandey, Director, Kachchha Heritage Art Music Information and Resources (KHAMIR), Kukma, Bhuj District, Gujarat;

42. Mr. Ghatit Lahare, Deputy Director, Kachchha Heritage Art Music Information and Resources (KHAMIR), Kukma, Bhuj District, Gujarat;

43. Mr. Limesh Bhai Patel, Trustee, Vruksha Prem Seva Trust, Junagarh, Gujarat;

44. Mr. Mendsinh Bhai, Project Coorindator, Vruksha Prem Seva Trust, Junagarh, Gujarat;

45. Mr. Mevalal ji Chaudhary, Director, Muskan Jyoti, Lucknow, Uttar Pradesh;

46. Mr. Anjan Jena, Director, CORE, Bhubaneshwar, Odisha;

47. Mr. Raju Sharma, Director, Development Agency For Poor & Tribal Awakening (DAPTA), Kalahandi, Odisha;

48. Mr. Sarath K. Patanayak, Director, Koraput Farmers Association (KFA), Odisha;

49. Mr. Hanak Tadingi, President Kandhar Tribe, Odisha;

50. Mr. Durga Prasad Dash, Director, Pallishree, Khurdha District, Bhubaneshwar, Odisha;

51. Mr. P. K. Das, Society for Education and Environmental Training (SEET), Sundargard, Raurkela, Odisha;

52. Dr. Hemant Baishya, Lotus Progressive Centre, Village Morawa, Nalbari District, Assam.

APPENDIX D – LIST OF DOCUMENTS REVIEWED

1. UNDP Project Document for the "5th Operational Phase of the GEF Small Grants Programme in India", October 2012;

2. UNDP-GEF Mid-Term Review Report for the "5th Operational Phase of the GEF Small Grants Programme in India", February 2016;

3. UNDP-GEF PIRs for SGP5 Project from 2014 to 2017;

4. Audits SGP5 Project from 2014 to 2016;

5. SGP5 NSC Meeting Minutes of 1st to 10th NSC Meetings (June 2013 to November 2017);

6. SGP5 Minutes of Inception Brainstorming Meeting, 7 October 2013;

7. CEE-NHI Management Arrangements: Operational Phase (OP) 05 GEF UNDP Small Grants Programme;

8. SGP5 Grantee files for all 110 projects including baseline surveys, midterm review report, grant utilization certificate, and other supporting technical documents.

APPENDIX E – PROJECT PLANNING MATRIX FOR SGP PROJECT (FROM OCTOBER 2012)

Strategy	Objectively Verifiable Indicators			Means of Gauging Success	Critical Assumptions
	Indicator	Baseline	Target		
Objectives: To ensure a mosaic of land uses and community practices across the rural landscape to generate sustainable livelihoods and global benefits for BD, LD and CCM	Number of hectares of land brought under sustainable land and resource management in the Western Ghats (WG), Himalayan Front (HF) and Arid and Semi-Arid Regions (ASAR)	0 ha.	200,000 hectares	Evaluation reports, field visits, case studies, grant reports, proceedings of conferences, workshops	District and local authorities able and willing to participate in taking up new activities and join in the approach.
	# tons of carbon emission reductions achieved through SGP interventions	200,000 metric tonnes per year of CO_{2e}	75,000 metric tonnes of CO_{2e} per year reduced	Evaluation records, grantee reports, agreements, project assessments and reports etc.	Communities adopt the measures and ensure proper maintenance of records
	Amount of new and additiona financial resources leveraged for community driven sustainable resource management in India.	0	USD 5 million	Government records, letters of commitment form partners, etc	
	Improvement in Systemic Level Indicators of Capacity Development Scorecard (Annex 3)	SYSTEMIC LEVEL (The baselines and targets[61] against the following capacities to be assessed at the time of selecting individual grantees): 1. Capacity to conceptualize and formulate local level policies, actions on sustainable resource use. 2. Capacity to implement programmes and action on sustainable resource use 3. Capacity to engage and build consensus among all stakeholders 4. Capacity to mobilize information and knowledge 5. Capacity to monitor, evaluate and report and learn at the grantee and project levels		Evaluation records, government records, technical capacity studies, etc.	

[61] Going by the past experience of SGP, a target of 25% over the baseline will be achievable. However, this will be assessed after the individual grantees are selected.

Strategy	Objectively Verifiable Indicators			Means of Gauging Success	Critical Assumptions
	Indicator	Baseline	Target		
Component 1; **Outcome 1.1:** Panchayats (local self-governments) incorporate improved management practices into village level planning for community managed landscapes and seascapes enhancing mosaics of land uses and improving biodiversity conservation.	Number of panchayats incorporates sustainable management practices into village level resource use plans.	0	30 by year 4	Evaluation reports, assessment studies, government records, technical capacity studies, etc.	
	Number of community led tools and methodologies developed for biodiversity mapping, monitoring and valuation.	0	10	Evaluation records, Grantee reports, government records, meeting of the minutes, technical studies, etc.	Panchyats adopt but not act on the guidelines and sit on them.
	Number of rare and threatened domesticated cultivars/ livestock/ varieties brought under focused conservation practices in the project sites.	0	At least 5	Evaluation records, Grantee reports, government records, technical studies, etc.	More communities may see value and adopt technologies for better livelihoods and enhanced incomes.
	Number of women groups formed/ strengthened for planning and executing of sustainable natural resource management.	50[62]	100[63]	Evaluation records, Grantee reports, field visits, government records, minutes of meetings, technical studies, etc.	Government and the related departments may be slow to adopt the lessons. More communities may see the livelihoods benefits for better propagation.
	Number of new branding/ geographic indicators/ certified agro-based products developed in the project sites.	0	5 by project end.	Reports of field visits, evaluation records, government records, minutes of meetings, technical studies, etc.	Leverage of resources from banks under the national guidelines may vary over time.
Component 2; **Outcome 2.1:** Appropriate energy efficient technologies result in emission reductions.	# of tonnes of CO_2e emission reductions achieved through adoption of energy efficient technologies.	150,000 metric tonnes per year.	225,000 tonnes of CO_2e emission reductions over 3 years.	Report from certification agencies, boards, communities, Reports of field visits, evaluation records, government records, minutes of meetings, technical studies, etc.	Quality of the products to ensured
	# of women involved through SHGs in investments for emissions reductions	to be assessed in the initial phase of the project.	10% increase by end of year 2 and 20% increase by end of year 4	Reports of field visits, evaluation records, government records, minutes of meetings, technical studies, etc,	Operational lifetime of a stove is 3 years

[62] This is based on the past experience of the SGP and shall be firmed up after individual grantees are identified.
[63] This is based on the past experience of the SGP and shall be firmed up after individual grantees are identified.

Strategy	Objectively Verifiable Indicators			Means of Gauging Success	Critical Assumptions
	Indicator	Baseline	Target		
				Special reports	
Component 2; **Outcome 2.2** Appropriate renewable energy technologies result in CO2e emission reductions.	# of tonnes CO2e emissions reduced through adoption of renewable energy technologies at local level.	50,000 metric tonnes per year	12,277 tonnes of CO_2e. by end of project.	Reports of field visits, evaluation records, grantee reports, government records, minutes of meetings, technical studies, etc, Special reports	More women adopt technologies through kinship influence and relationship
Component 3; **Outcome 3.1** Improved enabling environment at the panchayat level agricultural sector improves management, functionality and cover of agro-ecosystems in ASAR (LD-1).	No of hectares of dry agricultural lands brought under SLM with improved vegetative cover.	0	70,000 hectares	Reports of field visits, evaluation records, government records, minutes of meetings, technical studies, etc, Special reports	It is assumed that the NGOs use the tools provided by the PMU to correctly maintain and estimate CO2 mitigation data.
	Number of new and additional sources identified for leveraging investment replication/ for SLM across drylands in ASAR.	0	At least 10 new sources	Monthly/quarterly/ midterm / final reports of grantees, Reports of field visits, evaluation records, government records, minutes of meetings, technical studies, etc, Special reports	More communities adopt and implement programs investing own funds and also taking loans to take up the technologies
Component 3; **Outcome 3.2 (LD -2)** New capacities, sources of investment and practices enable improved SFM in forest landscapes by communities.	% density of ground stocking in productive forest landscape in ASAR, HF,WG.	10-40%.	Ground stocking increased to 50%	Monthly/quarterly/ midterm/ final reports of grantees, Reports of field visits, evaluation records, government records, minutes of meetings, technical studies, etc, Special reports	More communities are influnced through kinship relations and adopt the measures
Component 4; **Outcome 4.1** Increased capacity of SGP stakeholders to diagnose and understand the complex and dynamic nature of global environmental problems and to develop local solutions.	Number of new grants that replicate consolidated approaches (BD, CC, LD).	0	Replication of consolidated approaches (BD, CC, LD) in at least 30 new grants by year 4.	Monthly/quarterly/ midterm/ final reports of grantees, Reports of field visits, evaluation records, government records, minutes of meetings, technical studies, etc, Special reports	*Communities develop capacities through local institutions and individuals.*
	Increase in amount of co-funding for SGP-India.	0	USD 5 million	Monthly/quarterly/ midterm/ final reports of grantees, Reports of field visits, evaluation records, government records, minutes of meetings, technical studies, etc,	More communities adopt and expand the areas seeing the benefits

Strategy	Objectively Verifiable Indicators			Means of Gauging Success	Critical Assumptions
	Indicator	Baseline	Target		
				Special reports	
	Number natural resource based products developed by the GEF SGP partners linked to markets.	25 numbers at present	75 products by project end	Monthly/quarterly/ midterm/ final reports of grantees, Reports of field visits, evaluation records, government records, minutes of meetings, technical studies, etc, Special reports	Some new partners may join with more funds seeing the benefits emerging in the program and the others may share less funding support.
Component 4; **Outcome 4.2** Enhanced capacities of SGP grantees to monitor and evaluated their projects and environmental trends	Number of workshops/ learning events conducted by the project by the GEF SGP partners/ stakeholders	GEF SGP partners/ stakeholders	workshops held in the beginning of year 1 to finalise the indicators and targets n the PRF/M&E framwork with all the stakeholders four learning events organised for key stakeholders/SGP grantees for achieving this outcome	Reports of field visits, Past projects Monitoring Evaluation Reports, technical studies, special reports Guidelines of GEF and UNDP SGP etc.	Build the partner's capacity to critically look at individual projects to provide insightful recommendations, share ideas and experiences on systems for M&E framework

APPENDIX F - EVALUATION CRITERIA QUESTIONS

Evaluation Criteria	Questions	Indicators	Sources	Methodology
Relevance: How does the Project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?				
Is the project relevant to national priorities and commitments under international conventions?	Is the project country driven?	Existence of national legislation related to sustainable development, climate change and renewable energy power generation development (specifically for CSH) development	National and regional strategy and policy documents	Desk review, interviews with Indian government representatives (GEF operational focal point, MNRE NPD)
	Does the project adequately taken into account the national realities, both in terms of institutional and policy framework and its implementation?	Existence of national legislation related to sustainable development, climate change and renewable energy generation for CSH	National and regional strategy and policy documents	Desk review, interviews with Indian government representatives (GEF operational focal point, MNRE NPD)
	How effective is the project in terms of supporting and facilitating energy sector?	Number of CSH projects developed by local governments and private developers	PIRs and information from stakeholders including PMU	Desk review of PIRs and interviews with PMU and stakeholders
	What was the level of stakeholder participation in project design and ownership and project implementation?	Number of stakeholders participating in PPG Number of stakeholders participating in project sponsored training sessions and meetings	PPG stakeholder meeting minutes Project designers PIRs	Desk review of PIRs and interviews with project designers, PMU, stakeholders
Is the project internally coherent in its design?	Are there logical linkages between expected results of the project (log frame) and the project design (in terms of project components, choice of partners, structure, delivery mechanism, scope, budget, use of resources)?	Quality of outcomes and indicators on log frame	Project document	Desk review

Evaluation Criteria	Questions	Indicators	Sources	Methodology
	Even after several extensions, does the project achieve its expected outcomes?	Log frame outcome and output targets	PIRs Report on log-frame review	Desk review, interviews with PMU and stakeholders
	Did the project make satisfactory accomplishments in achieving project outputs vis-à-vis the targets and related delivery of inputs and activities?	Log frame output targets	PIRs Report on log-frame review	Desk review, interviews with PMU and stakeholders
Does the project provide relevant lessons and experiences for other similar projects in the future?	Has the experience of the project provided relevant lessons for other future projects targeted at similar objectives?	Effectiveness and efficiency ratings of the project by the evaluation	PIRs Stakeholders (investors and government personnel)	Desk review, interviews with PMU and stakeholders
Effectiveness: The extent to which an objective has been achieved or how likely it is to be achieved?				
Has the project been effective in achieving the expected outcomes and objectives?	Whether the performance measurement indicators and targets used in the Project monitoring system are accomplished and able to achieve desired project outcomes by the 31 December 2016?	Effectiveness ratings of the project by the evaluation	PIRs	Desk review, interviews with PMU and stakeholders
How is risk and risk mitigation being managed?	How well are risks, assumptions and impact drivers being managed?	Content of risk management in PIRs	PIRs and information from PMU personnel	Desk review, interviews with PMU and stakeholders
	What was the quality of risk mitigation strategies developed? Were these sufficient?	Content of risk management in PIRs	PIRs and information from PMU personnel	Desk review, interviews with PMU and stakeholders
	Are there clear strategies for risk mitigation related with long-term sustainability of the project?	Content of risk management in PIRs	PIRs and information from PMU personnel	Desk review, interviews with PMU and stakeholders
Consideration of recommendations and reporting of information	Did the project consider midterm review and recommendations conducted on time and reflected in subsequent project activities?	Content of management responses to MTR	PIRs and information from PMU personnel	Desk review, interviews with PMU and stakeholders

Evaluation Criteria	Questions	Indicators	Sources	Methodology
	Reporting of the petroleum fuels and the power reduction in each of the model units from implementing eco- tech options and the corresponding carbon emission reductions.			Desk review, interviews with PMU and stakeholders
What lessons can be drawn regarding effectiveness for other similar projects in the future?	What lessons have been learned from the project regarding achievement of outcomes?	Evaluation assessment of Project effectiveness and efficiency	PIRs	Desk review, interviews with PMU and training participants
	What changes could have been made (if any) to the project design to improve the achievement of the project's expected results?	Evaluation assessment of Project effectiveness and efficiency	PIRs and information from PMU and training participants	Desk review, interviews with PMU and training participants
Efficiency: was the project implemented efficiently, in-line with international and national norms and standards and delivered results with the least costly resources possible?				
Was project support provided in an efficient way?	How does the project management systems, including progress reporting, administrative and financial systems in monitoring and evaluation systems were operating as effective management tools, aid in effective implementation and provide sufficient basis for evaluating performance and decision-making?	Evaluation assessment of M&E design and implementation, and quality of feedback from M&E activities	PIRs and information from PMU personnel	Desk review, interviews with PMU
	How effective was adaptive management practised under the Project and lessons learned?	Adaptive management reporting in PIRs	PIRs and information from PMU personnel	Desk review, interviews with PMU
	Did the project logical framework and work plans and any changes made to them used as management tools during implementation?	Adaptive management reporting in PIRs	PIRs and information from PMU personnel	Desk review, interviews with PMU
	Utilization of resources (including human and financial) towards producing the outputs and adjustments made to the project strategies and scope	Annual financial disbursements against each component	PIRs, CDRs and information from PMU personnel	Desk review, interviews with PMU

Evaluation Criteria	Questions	Indicators	Sources	Methodology
	Details of co-funding provided (industry of urban development, GEO I and financing units) and its impact on the activities	Cofinancing of each stakeholder	PIRs, CDRs and information from PMU personnel	Desk review, interviews with PMU
	How does the APR/PIR process help in monitoring and evaluating the project implementation and achievement of results?	APR/PIR qualitative assessments	PIRs and information from PMU personnel	Desk review, interviews with PMU
How efficient is our partnership arrangements for the project?	Appropriateness of the institutional arrangement and whether there was adequate commitment to the project	Institutional arrangements of the project	PIRs and information from PMU and MNRE personnel	Desk review, interviews with PMU and MNRE personnel
	Was there an effective collaboration between institutions responsible for implementing the Project?	Institutional arrangements of the project	PIRs and information from PMU and MNRE personnel	Desk review, interviews with PMU and MNRE personnel
	Is technical assistance and support received from project partners and stakeholders appropriate, adequate and timely specifically for the project PMU?	Institutional arrangements of the project	PIRs and information from PMU and MNRE personnel	Desk review, interviews with PMU and MNRE personnel
Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?				
Will the Project be sustainable on its conclusion and stimulate replications and its potential?	How effective is the project in terms of strengthening the capacity of CSH professionals?	Opinions of training participants	Survey of feedback of training sessions, and testimonial evidence from investors and stakeholders	Desk review, interviews with investors and stakeholders
	Was an exit strategy prepared and implemented by the project? What the "Expected situation at the end of the Project" is as envisioned at the time of terminal evaluation?	Existence of exit strategy prepared by the project	Report on exit strategy, and information from PMU and MNRE personnel	Desk review, interviews with investors and stakeholders
	Appropriateness of the institutional arrangement and whether there was adequate commitment to the project	Number of institutions and local government agencies that have streamlined CSH investments	Progress reports, PIRs, and information from PMU and MNRE personnel	Desk review, interviews with investors and stakeholders

Evaluation Criteria	Questions	Indicators	Sources	Methodology
Impact: Are there indications that the project has contributed to, or enabled progress toward maximizing environmental benefits?				
What was the project impact under different components?	To what extent has the project contributed to the following: • institutional arrangements strengthened • effective information dissemination program developed • stakeholder capacity enhanced	Indicator targets of MNRE strengthening Indicator targets of state-level strengthening Number of CSH project plans prepared by state governments	Progress reports, PIRs, and information from PMU and MNRE personnel	Desk review, interviews with with PMU and MNRE personnel
What are the indirect benefits that can be attributed to the project?	Were there spinoffs created by the project, if any, as a result of the various workshops held nationwide, toolkits, case studies developed?	Number of knowledge products created by Project Number of hits on project website	Survey of feedback of training sessions, and testimonial evidence from training participants	Desk review, interviews with training participants
Impacts due to information dissemination under the Project	To what extent did the dissemination activities facilitate progress towards project impacts?	Number of knowledge products created by Project Number of CSH plans prepared by state governments	Survey of feedback of training sessions, testimonial evidence from training participants, and information from PMU and MNRE personnel	Desk review, interviews with training participants, PMU and MNRE personnel

APPENDIX G – COMPLETE LISTING OF PROJECTS SUPPORTED BY SGP GRANTS[64]

S.N	Name of the Project Partner & Address	Name of the Project	District/State	Thematic Area	Assessment	Reasons
Biodiversity						
3	Krishnamurthi Foundation India Kaigal Education and Environment Program (KEEP) Haridvanam, Thatguni Post, Bangalore 560062	Community empowerment through sustainable livelihood generation using diverse traditional knowledge systems – up scaling of the earlier GEF/SGP Project	Bangalore	Biodiversity	Very good	Development of 29 new products (Agriculture & NTFP based) from 21 before project period to 50 at present. 40 new hand-crafted products covering a wide range are made by KTSHG. We had not planned for such a large increase in the range of products in 2 years.
4	Vechur Conservation Trust, A-37, Street 2, Indira Nagar, Mannuthy P.O. Thrissur, Kerela, India ; Pin – 680651	Community partnership in sustainable conservation of Vechur and other native cattle in Kerala	Kerela	Biodiversity	Very good	Vechur Cow, one of the endangered species which is promoted among 211 farmers in Kerala. Tagging, Microchipping, Identity certificate distribution, frozen semen usage and chilled semen usage promotion of value added products are all new activities. Products are namely: a) Vechur Ghee, b) Kasargod Ghee, c) GOMU, d) Bhoosanjeevani.
5	Paramparagat Vanaushadi Prachikchit Vaidhya Sangh [Traditional trained healer association (THA)], Chhattisgarh Vaidya Near Prerna Sishu Mandir, Kasturba Nagar, Bilaspur, Chhattisgarh 495001	Conservation of threatened medicinal plants through in-situ practices, micro enterprise development for health & livelihood security in three Districts of Chhattisgarh	Chhattisgarh	Biodiversity	Very good	Conservation of 11 locally endangered species of medicinal plants through sustainable extraction practices and through seed propagation has been achieved. 600 Smokeless stoves built by the NGO will reduce around 17100 MT of CO2 equivalent emissions.
6	NIRMAN, Vill/P. O.-Biruda, Via-Itamati, Dist-Nayagarh 752 068, Odisha.	Establishment of climate Resilient Farming and Agro-Bio-Diversity Conservation through Community Led Organisations	Nayagarh/ Odisha	Biodiversity	Very good	The project has been able to establish millet based mixed farming in 200 Ha of lands. Millet crop variety has been increased from 13 to 25 varieties in this area through the SGP project. 2 Important endangered crops species (one is foxtail millet and the other is sorghum) have been identified and conserved. 500 acres of land has been brought under millet farming system in 10 villages against a target of 400 acres.

[64] Assessments done by CEE

S.N	Name of the Project Partner & Address	Name of the Project	District/State	Thematic Area	Assessment	Reasons
Biodiversity						
7	Lotus Progressive Centre, Vill-Morowa, P.O. Morowa, Dist. Nalbari 781 348, Assam	Promotion and Conservation of native variety of Paddy through Sustainable Agricultural practices with special emphasis on increasing the income of Grower's Family	Nalbari/Assam	Biodiversity	Very good	1500 demonstration plot covering 19 of varieties in about 500 Hectare of land were covered in project villages. Producer group has obtained FSSAI registration for sale of food products. **Partnerships** built with – (i) Assam Agriculture University, (ii) Central Rice Research Station, Titabor, (iii) Regional Rainfed Lowland Rice Research Station, ICAR, Gerua, Kamrup district, (iv) Centre for Sustainable Agriculture, Hyderabad, DRCSC West Bengal. (v) Action Aid India, Regional Office Guwahati, (vi) National Institute of Plant Health Management ,Hyderabad, (vii) Assam Science Technology and Environment Council (ASTEC) , (viii) Krishi Vigyan Kendra Nalbari
8	Rajasthan Forest Produce Collectors and Processers Groups Support Society (Samarthak Samiti), Inside Mangal Shree Garden, Chungi Naka, Old Fathepura Udaipur (Rajasthan)	Rajasthan Forest Produce Collectors and Processors Groups Support Society (Samarthak Samiti)	Udaipur	Biodiversity	Very Good	Centre for honey collection and processing centre managed by the communities with more than 400 farmers in 21 villages. The honey is branded and all licenses have all been taken from FSSAI. Nearly 06 MTs of honey has been marketed in last 07 years. The NGO has set up a shop and also is engaged in the mobile van shopping.
9	Sustainable-agriculture & Environmental Voluntary Action (SEVA) 45, T.P.M.Nagar, Virattipathu Madurai – 625 016 Tamil Nadu	Capacity Building of Traditional Pastoralists through conservation and management of Vembur sheep breed	Tamil Nadu	Biodiversity	Good	35834 Vembur sheep promoted through 44 livestock keepers. Registered a new sheep breed in Tamil Nadu. linkages were established with National Biodiversity Authority, Animal Husbandry Department(Tamil Nadu Government), Vembur sheep Breeders Association, Tamil Nadu Veterinary and Animal Science University(Tirunelveli Veterinary College)
10	Madhar Nala Thondu Niruvanam (MNTN). No.3 Rajavel Nagar, Thiruventhipuram Main Road, Pathirikuppam & Post, Cuddalore – 607401, Tamil Nadu	Scaling up of goat rearing in poor marginalized women SHGs for better livelihoods and fodder introduction	Cuddalore/ Tamil Nadu	Biodiversity	Good	Focused on bio-diversity conservation through promotion of low cost goat rearing and fodder development. It is understood that nearly 415 hectares land is used for fodder cultivation.

S.N	Name of the Project Partner & Address	Name of the Project	District/State	Thematic Area	Assessment	Reasons
Biodiversity						
11	Education, Communication and Development Trust (EDUCATR), 2/5A, Mamarathupatti Road, silampatti – 625532, Madurai District, Tamilnadu, India.	Community- led biodiversity conservation of Native fodder species, grassland eco system and establishment of fodder banks in 10 villages of Usilampatti block, Madurai District, Tamilnadu	Madurai	Biodiversity	Good	Established a fodder plantation in common land owned by the Local Panchayat .They brought at least 200 hectares of land under organic fodder cultivation.
12	Conservation of Nature through Rural Awakening (CONARE). Achampet Mehboob Nagar, Andhra Pradesh (A.P) 509375	Multi-stakeholder ownership for reclamation of grazing land and establishment of agro-forestry for fodder generation and management	Andhra Pradesh	Biodiversity	Good	495 hectares of land brought under organic fodder development in 12 villages.
13	Spandan Samaj Seva Samiti. Hig 44 Ramanagar, Jaswadi Road, Khandwa 45001 Madhya Pradesh	Local land based integrated approach to reduce vulnerability, climate change adaptation in the areas and hunger among Korku tribes.	Madhya Pradesh	Biodiversity	Good	Nearly 4818 acres of land was used in the project area to grow Millet. In total over 700 quintals of millets were produced. The proportion of families growing and diversifying food with vegetables grown at backyards also enhanced. 871 families were supported through training, demo and awareness to grow and consume green and leafy vegetables.
14	ARAMBHA, Plot No: R.P. 3, ankapani Road, Near Brahmeswar Patna Market, Bhubnaeswar-751018	Promotion of Sustainable Land Use Practices Amongst Vulnerable Tribal Communities in and Around Karlapat wildlife Sanctuary in Kalahandi District"	Kalahandi	Biodiversity	Good	The project has been able to create an impact in reducing the shifting cultivation 9slash and burn) practice which is very much prevalent in the Kalhandi area. During the 2 years, it was seen that the shifting cultivation got reduced by 162 Ha in the project villages from 359 ha to 197 ha. Many farmers have now replicated the SALT model of farming here which had been demonstrated under the SGP project.
15	LOKAMATA RANI RASHMONI MISSION Mailing Address: P.O. & Vill Nimpith Ashram, South 24 Parganas, 743338, West Bengal Physical Address: P.O & Vill Nimpith Ashram, South 24 Parganas, 743338, West Bengal	Conservation of agro-biodiversity by providing alternate livelihood options to the forest dependent community in islands of Sundarbans.	Sundarbans	Biodiversity	Good	The project has been able to create massive awareness about the Biodiversity conservation, organic farming in the project areas under the Sundarbans Biosphere Reserve. **Partnerships** built with – WB State Biodiversity Board, Wildlife Trust of India, Acharya Profulla Chandra Roy Polytechnic, SHG & SE Department, West Bengal Swarojgar Corporation Ltd., NCSTC.

S.N	Name of the Project Partner & Address	Name of the Project	District/State	Thematic Area	Assessment	Reasons
Biodiversity						
16	Kheti Virasat Mission Trust, Contact Person: Mr. Umendra Dutt, Grant Recipient Address- Street No. 4, RV Shanti Nagar, Baja Khana road, Jaitu	Establishing Community Training center for Natural Farming and Ecological Action named paryavaran at kudrati kheti gurukul.	Jaitu/Punjab	Biodiversity	Good	They have done a tremendous work in the field of organic farming and establishing organic kitchen gardens in 66 villages, (Target was 20 villages).
17	The Serve India Trust. 1/100 Temple Road, West Hill, Calicut 673 005	Biodiversity Conservation through Apiculture for the sustainable livelihoods of the poor tribal people of Western Ghat Area	Calicut	Biodiversity	Satisfactory	The NGO has set up a centre for honey collection and processing centre managed by the communities in Calicut tribal region with more than 300 farmers in 15 villages. The honey is branded and all licenses have all been taken from FSSAI. Nearly 02 MTs of honey has been marketed in last 05 years.
18	Participatory Learning Action Network & Training Trust. (PLANT) Dr. R.T. John Suresh 52A1, Oragadam Road, Venkatapuram, Ambattur, Chennai – 600053	Enhancement of coastal biological resources for sustainable fishing through artificial reefs, community bio enterprises, enhancing livelihoods of fishing community in Killai, Cuddalore District	Cuddalore	Biodiversity	Satisfactory	As an outcome within a period of six months since installation, the biological process starts with the formation of bacterial bio-films, succeeded by the settlement of algae, seaweeds, barnacles, ascidians, sponges, hard and soft corals, gorgonids, star fishes, sea urchins, sea cucumbers, bivalves, chanks, crabs, lobsters, other crustaceans etc., and finally a variety of fishes and other vertebrates. 1000 sq kms of land brought under ICCAs.
19	Paryavaraniya Vikas Kendra. Shri Chamunda Krupa, Opp. Radhika Dairy, Somnath Scoiety-2, 150 feet Ring Raod, Rajkot. Gujarat.	Conservation of local Cultivars and Increase in Pearl Millet Production in Jasdan and Malia Block of Rajkot District in Gujarat	Rajkot	Biodiversity	Satisfactory	720 hectares of land brought under sustainable agricultural practices 750 farmers demonstrating sustainable land management practices.
20	Gramin Vikas Vigyan Samiti (GRAVIS) 3/437. 458, Milk Man Colony, Pal Road, Jodhpur-342008 (Rajasthan)	Conservation of water use for mitigating droughts through replication and shared learning (MDRS)	Jodhpur	Biodiversity	Satisfactory	Resulted in increasing land productivity and new cultivable areas brought under sustainable management.
21	Action for Protection of Wild Animals (APOWA). At-Hatapatana PO-Kadaliban Dist. Kendrapara-754222 (Odisha)	Community Driven Mangrove Resources Management, Conservation and Restoration in Selected Villages around the Bhitarkanika Mangroves Area	Kendrapara	Biodiversity	Satisfactory	The project established a mangrove nursery in Junusnagar village, in which 10000 propagules of Bani (Avicennia Officinalis/alba) species developed. A central mangroves nursery established at Badkot village under Rajnagar block with capacity of 50000 saplings of species Rhizophora apiculate, Candelia candel, Bruguiera

S.N	Name of the Project Partner & Address	Name of the Project	District/State	Thematic Area	Assessment	Reasons
Biodiversity						
						sexangula, Avicennia Officinalis/alba, Excoecazia agallocha, Bruguiera parvijlora developed. 4000 Excoecazia agallocha and 1200 Bruguiera parvijlora species rose at Gupti village. Facilitated and organised mangrove plantation campaign in various places.
22	Solidarity for Social Equality (SSE), Soidarity for Social Equality (Human Rights Centre), Alok Nagar, Post Rajendra College, Balangir-767002, Distt. Balangir (Odisha)	Community Local Biodiversity and Land based actions in 25 villages Haladi and Lakhana Gram panchayats of Muribahal block of Balangir District, Odisha, India	Balangir-Odisha	Biodiversity	Satisfactory	Promoted medicated herbal oil. (hair oil and join pain relief oil).
23	Centre for Sustainable Development and Food Security in Ladakh . Serdung House Chubi, PO Box No.53, Leh-194101 (J&K)	Conservation, effective use and enhanced incomes from local endemic bio-resources in the tribal and cold desert areas of Panamik, Nubra, Leh (J&K)	Leh	Biodiversity	Satisfactory	It is promoting conservation, effective use and enhanced incomes from cultivation of rosehip in the tribal and cold desert areas of Panamik, Nubra and Leh (J&K).
24	Bioved Research Institution of Agriculture and Technology. 103/42, Motilal Nehru Road (Near Prayag Station) Allahabad 211002 UP	Demonstrate & create business models for Conservation of lac (Kerria lacca) through value addition products preparation technologies	Allahabad	Biodiversity	Satisfactory	Hi-tech nursery development and the beneficiaries have produced 8600 lac host plants. 35 quintal of scrapped lac production helped in earning Rs. 17, 50, 000/-
25	Gram Sudhar Samiti. Block Colony Siddhi, , MP 486661	Increase conservation, agricultural productivity, food security and economic conditions of the PVTGs-BAIGAS in the climatic variability conditions.	Madhya Pradesh	Biodiversity	Satisfactory	80 varieties of traditional seeds conserved. 80 main seed producing farmers selected.
26	Dr. Bhimrao Ambedkar Seva Parishad. Santos nagar, Mou road, Gohad, Bhind, Madhya Pradesh PIN 477116	Strengthening community action for ex-situ conservation of Gugal species for ravine reclamation in Ater block of Bhind	Bhind/Madhya Pradesh	Biodiversity	Satisfactory	Soil and water conservation in 110 Hectares of land by plantations. 23 check dams constructed and 20 gully plugs created.

S.N	Name of the Project Partner & Address	Name of the Project	District/State	Thematic Area	Assessment	Reasons
Biodiversity						
27	Nishwarth Sarthak Prayas Avem Pariwar Kalyan samiti. C/O B.R.Dhakad, City Center colony Maniyar By-pass road Behind Giriraj Filling Station Shivpuri Madhya Pradesh-473551	Improving Agro Ecology and Livelihood Approaches for Primitive tribe Saharias of Gwalior Chambal Region	Shivpuri	Biodiversity	Satisfactory	250 energy efficient cook stoves installed. 57 gully plugs constructed. 33 women SHGs were formed.
28	Dharti Gramotthan Ewam Shabhagi Gramin Vikas Samiti. M-625, New Housing Board colony, Gwalior Road, Morena-476001. Madhya Pradesh	Securing and Enhancing Land and Livelihood Opportunities among Saharia tribes of Chambal region in Sheopur District.	Morena	Biodiversity	Satisfactory	In total 292 smokeless stoves have been distributed by the NGO. Agricultural diversification and demonstration have been completed on 20 ha of land by 50 farmers have started sustainable(NPM) agriculture on 20 Ha of land
29	Women's Education and Employment Development Society (WEEDS), 13/172,Annai Illam, Melnokivilai,Marappay,Aramanai.P.O. Nagercoil, 629 151,Kanyakumari District	Sustainable socio-economic development though women empowerment for the agriculture based Kani Tribals (PTGs) and conservation of valuable medicinal plants by Kanikaran, Kani tribals in Kadayal Village of Melpuram Block of Kanyakumari District, Tamilnadu	Kanyakumari	Biodiversity	Satisfactory	Has brought more than 85 hectares of land under organic farming and spices cultivation. The project got delayed for 7 months due to the death of the key contact person of the project.
30	Bharathiya Jeevan Dhara Environment And Renaissance Society (BJDERS) No.1/42, Nedumaran Nagar, harmapuri- 636701 Tamil Nadu	Community based approach for the conservation of traditional coarse cereals to get sustainable production and value added products, healthy nutrition for women and children of Maangarai and Parvathanahalli panchayats of Pennagaram block, Dharmapuri Dt. Of Tamil Nadu"	Dharmapuri	Biodiversity	Satisfactory	

S.N	Name of the Project Partner & Address	Name of the Project	District/State	Thematic Area	Assessment	Reasons
Biodiversity						
31	Baliraja Krishak Producer Co. Sangamner.C/o Lokpanchayat, 8, Tulasi Complex, Kuran Road (Nataki), Sangamner, Dist- Ahmednagar	Food Sovereignty through Women Leadership and Secure Agro Bio Diversity with Strengthening of Farmers' Producer Company by Sustainable Business Model Approach	Ahmednagar	Biodiversity	Satisfactory	Addressing Food Sovereignty through Women Leadership and Secure Agro Bio Diversity with Strengthening of Farmers' Producer They brought 200 hectares of land under chemical free farming.
32	VIKSAT (Vikram Sarabhai Center for Development Interaction) Nehru Foundation for Development, Address: VIKSAT, Nehru Foundation For Development, Thaltej Tekra, Ahmedabad, Gujarat State, India, PIN 380054	Demonstrating sustainable multi-stakeholder and landscape ecology based approach to conservation beyond protected areas - Conservation of harriers around the Velavadar Black Buck National Park	Ahmedabad	Biodiversity	Satisfactory	Organised awareness camps in all 5 villages during the month May-2017 focusing on the importance of sustainable agriculture practices for Deshi cotton and Deshi Jowar crops and how it benefits to the community as well as biodiversity conservation- specially Harrier Conservation in this area.
33	Society for Promotion of Indigenous Knowledge and Practices (SPIKAP), Dum Dum Nongthymmai, Shillong-793014 (Meghalaya)	Conservation and Regeneration of Biodiversity in the Indigenous, Sacred (Grove) Forest, Community and Village Forest, Clan Forest, and Private Forests in Meghalaya"	Meghalaya	Biodiversity	Needs Attention	The sacred groves in Meghalaya are owned by community. Several meetings were required to be held with the Dolloi (Chiefs /Rulers) for gaining entry to the community. Many of the activities (like trainings for beekeeping, availability of local piglets) were dependent on external agencies which delayed the process

S.N	Name of the Project Partner & Address	Name of the Project	District/State	Thematic Area	Assessment	Reasons
Climate Change						
35	Technology Informatics Design Endeavour (TIDE). #19, 9th Cross, 6th Main, Malleswaram, Bangalore 560 003	Low carbon technology adoption and dissemination through community led initiatives	Karnataka & Tamil Nadu	Climate Change	Very good	Nurtured 75 women into micro-level entrepreneurs who are directly involved in marketing solar products and in cook stove construction. 5500 MTs of CO2 avoided by implementing low carbon technologies. The energy efficient oven reduces the firewood requirement by 55 to 60%. CSR associations like - NERD, Hutti Gold Mines (HGML),) Kaigal Trust, Chittoor, World Agro Forestry, Delhi, CTD-Deharadun SSMI-Faizab IRDWSI – Odisha and NST Belthangady
36	Indian Institute of Plantation Management ,Bangalore office Board of India Research Chair, IIPM Jnanabharati Campus, Malathhalli, Bangalore - 560056	Institutionalization of Coffee Grower CBOs to address land and water degradation in the Western Ghats	Karnataka & Kerela	Climate Change	Very good	Brought more than 500 hectares of land under SLRM. The project enabled the farmers to obtain eco-certification for coffee farmers. Mr. Susheel Kumar, Special Secretary, MOEFCC, visited the project sites in March 2016 and commended the project for its impact.
37	Peekay Tree Crops Development Foundation,41, Gandhi Nagar, Kochi – 682020, Kerela	Promoting alternative energy sources, gender - sensitive enterprises - check & reduce emissions	Kerela	Climate Change	Very good	Promoted green farming models generated multiple sources of protective foods on-farm income and employment for the members of the participating farm-households.
38	Sanjeevani Seva Trust (SST), Address: Sonarawada,Post Office : Joida Taluk: Joida District: Uttara Kannada, Karnataka- 581186	Alternate Energy Solutions for empowering Rural Entrepreneurs in India	Karnataka	Climate Change	Very good	Is in the process of setting up a hybrid solar and micro-hydro generation process, through which nearly 1,500 litres of kerosene per year and 12 kg of wood per household per day will be replaced. They are working with Gram Oorja and a German company – Smart Hydro Power for the project and they accessed co financing from the German partner too.

S.N	Name of the Project Partner & Address	Name of the Project	District/State	Thematic Area	Assessment	Reasons
Climate Change						
39	Bhagirath Gramvikas Pratishthan, At Post Zarap, Taluka – Kudal, District – Sindhidurg.	Biogas plants as an alternate clean energy for economic empowerment of PVTGs - poor, landless farmers in Sindhudurg	Sindhidurg/ Maharashtra	Climate Change	Very good	457 Bio-gas have been built through SGP support with poor families. More than 1100 biogas have been constructed. 457 women got easy access of cooking energy. Health of the women improved due to availability clean energy and reduction in drudgery as firewood collection was mainly done by women.
40	CO-OPERATION FOR RURAL EXCELLENCE (CORE.) Mailing Address and Physical Address: Baishnabi Vihar, Jajbhairab Nuagaon, Po:- Agrahat, Charbatia, Dist:- Cuttack, Odisha, 754028	Creating responsible actions for promoting resilient, low carbon construction (fly ash) for better environment and livelihoods in Rural Odisha	Cuttack/Odisha	Climate Change	Very good	Established of 2 Bio mass pellet production centres for supplying fuel for the cook stoves.
41	Pallishree, Address:Plot No.-502/2, Mallick Complex, Lane-9, Jagamara, Po/Ps- Khandagiri, Bhubaneswar District: Khordha, State:Odisha, India, Pin: 751030	Promotion of solar energy powered back yard poultry by the poor women for sustainable livelihood	Khordha/Odisha	Climate Change	Very good	The project is expected to check reduction of CO2 emission by around 20 MT per year through the use of solar PV supported lighting and fan system in 148 Backyard poultries. It's providing increased income of around Rs.16500/- per HH per year through the backyard poultries.
42	Koraput Farmers' Association (KFA), Physical Address: Koraput Farmers' Association (KFA), At - Goutam Nagar 1st Lane, Po/Dist. – Koraput, Odisha. 764020	Sustainable Micro-Hydro through energizing rural enterprises and Livelihoods	Koraput/Odisha	Climate Change	Very good	Facilitated the process of completing the rehabilitation of Micro Hydro Plants (MHP) in Badamanjari and uninterrupted power supply for household's consumption and enterprise units have been resumed again. Both the MHP sites of 35 KV and 5+2 KV have started functioning. The revenue collection has been going on smoothly with Rs.45000/- and Rs.10000/- already collected.
43	Sarthak Samudayik Vikas Evam Jan Kalyan Sanstha 597, Vargikrit Bazar, New Categorised Market, Near Golden Transport, Berasia Road, Bhopal 462018 (M.P.)	Sustainable Management of Plastic Waste and Increased Livelihoods for Sarthak Karmis (SKs) in partnership with Bhopal Municipal Corporation	Bhopal/ Madhya Pradesh	Climate Change	Very good	Demonstrated the technology of recycling plastic waste and converting it in to granules which can be further used in other processes. Nearly 4200 Mts of plastic bags have been collected, re-processed as fuel pellets and used as fuel in 8 Cement Plants. This has saved nearly 12000 MTs of Carbon Emission from burning of plastic bags / waste. The NGO has been able to replicate the project in Indore and Devas where Sarthak is

S.N	Name of the Project Partner & Address	Name of the Project	District/State	Thematic Area	Assessment	Reasons
Climate Change						
						helping the municipal councils in solid waste management.
44	Natural Environmental Education and Research (NEER) 1st Floor, Samrat Shopping Mall, Garh Road. Meerut. Uttar Pradesh.	Alternate practices to control and check biomass and crop residue burning in open field in Western Uttar Pradesh	Meerut	Climate Change	Very good	50 LR compost pits have been developed at 50 different farmers field in Meerut there by producing 3,750 quintals of solid and 12,00,000 liters of liquid manure thus currently reducing 1600 MT of CO_2 emission.
45	Muskan Jyoti Samiti. Purwa, Old Kechwa Farm,Madiyawa Village, Kursi Road, Lucknow-226021	A low cost, locally adaptable sustainble approach to Agri-Bio Waste Management for organic agriculture	Lucknow	Climate Change	Very good	Uttar Pradesh brought 367 hectares with agro waste manure using on land and121 Hectares of land under improved land use and climate proofing practices
46	Gram Sathi. Mr. Devanand Kumar, Managing Trustee Vill. & PO.-Jaipur, Panchayat-Jaipur, Block-Katoria, Dist.-Banka, PIN-813106 (Bihar)	Better land productivity through improved water management, agricultural practices and resource generation for sustainable land & livelihood practices	Banka	Climate Change	Very good	Enabled the rural community to bring 350 hectares of land under sustainable management through traditional practices on agriculture and fisheries
47	Peermade Development Society, Peermade, Idukki Dist, Kerala, India - 685 531	Scaling up of a proven grassroots innovation: Energy Efficient Community Chulha for Anganwadies and Schools, (Idukki dt Kerala)	Idukki	Climate Change	Good	Installed smokeless chullahs in more than 60 Government Schools leading to CO2 emission reduction is 252 tons per annum. Tonnes of CO2 avoided by implementing low carbon technologies: 5500 MTs
48	Vivekananda Trust., #771/B, 5th Cross, Roop Nagar, Mysore 570026	Scaling Up - "Focus on alternate energy resources, livelihoods and better quality of life for the tribal communities"	Mysore	Climate Change	Good	They have constructed over 5000 chulhas for various organizations like CDOT (Bihar),Reva (CSR), Gramothan Foundation, EKlavya Foundation.

S.N	Name of the Project Partner & Address	Name of the Project	District/State	Thematic Area	Assessment	Reasons
Climate Change						
49	We Care Society (WCS). 4/4-O'Shaugnessy Road, II Floor, Lang Ford Town, Bangalore-560025	Introduction of Better Cotton Initiatives (BCI) Programme in Karnataka.	Karnataka	Climate Change	Good	More than 4,000 cotton farmers (4,000 hectares) gathered under the BCI network and they started using aerobic compost in the field. This reduced the impacts pesticides on the land. Farmers replaced minimum 500 kg of Urea on 1 hectare by applying the composts, which improved soil health and biodiversity.
50	DREAM Bhahudesshiya Sanstha. Teosa Ts Teosa Dist Amaravati (MS).Mailing Address: C/o Dream Bahuudeshiya Sansta Trimurti Nagar Teosa Tq Teosa, Dst Amaravati, Maharashtra- 444903	Strengthening communities for sustainable forest management in Amaravati District, Maharashtra	Amaravati/ Maharashtra	Climate Change	Good	The sustainable harvest of the NTFP like honey, gum has been started in addition to this the community has been able to protect the area from the NTFP collectors coming from outside of the forest area of around 1500 Ha. The NGO has applied for the trademark 'Korku Honey' for marketing of the honey being processed under the project. 390 smokeless stoves and 26 bio-gas have been completed by the NGO, CO2 emission reduction through these will be 11,115MT and 1,456 MT in their lives.The watershed management related activities completed through convergence have improved production of over 220 Ha of area in the project villages
51	Development Agency for Poor & Tribal Awakening (DAPTA), Address: At/-Near Old Cinema Hall, PO/-Bhawanipatna, Dist.- Kalahandi, Pin-766001, Odisha, India	Reducing drudgery and poverty in Kalahandi District of Odisha through Climate-friendly technologies	Kalahandi/ Odisha	Climate Change	Good	The tribal community has replaced their traditional cook stoves with the SGP model fully. A fly ash brick making unit has started functioning led by a women cooperative. It's providing bricks for toilets under the SBM.
52	Society for Technology and Development. Malori, Post- Behna, Distt-Mandi,(H.P) PIN-175006	Scaling Up biomass based pine needle briquetting technology through women based community organizations in hilly areas of Mandi District of H.P	Mandi/ Himachal Pradesh	Climate Change	Good	Around 115 metric tons of CO_2 has been reduced by adopting the pine Briquettes.

S.N	Name of the Project Partner & Address	Name of the Project	District/State	Thematic Area	Assessment	Reasons
Climate Change						
53	JAGRITI, Address: Village Badah, Post Office Mohal, District Kullu-(H.P) 175126	Adoption of Energy Efficient devices and promotion of off-farm livelihood options for the hill tribals in Kullu District of Himachal Pradesh.	Kullu/ H.P.	Climate Change	Good	The following numbers of EE devices are procured and in use: Improved tandoors=25, Hamams = 197. All the EE devices put together (as depicted under project objectives) will result in avoided CO2 emission to the extent of 4250 MT at least.
54	Zougam Institute for Community Resources & Development (ZICORD), Address: National Games Village, Type A/40, Imphal- 795004	Up-scaling production and marketing of briquette fuel and stoves	Imphal	Climate Change	Good	Formation of 4 Energy Producer Groups (EPFs) and providing support to 12 EPFs.
55	Vikas Samarthan Kendra "Shantimangal", 15-Amrutdhara Society, Chakkergadh Road, Amreli-365601. Gujrat	Sustainable livelihoods through promotion of alternate energy resources in coastal villages of Bhavnagar District	Bhavnagar	Climate Change	Satisfactory	75 bio gas units installed by the NGO (including 4 syntex models). Sintax biogas plants are implemented during the project for the community. The biogas plants are made with collaboration of Sintex Company.
56	Gram Vikas Navyuvak Mandal a.(GVNML) Villages Laporiya, Post – Gagardu Dist. Jaipur Rajasthan, Courier and Speed post address: Plot no. 21, Arjun Nagar, Behind Dalda Factory, Durgapura, Jaipur-302018	Ensuring Sustainable Livelihoods for locals from risks and affects of Climate Change Vaqriability on agricultural production	Durgapur/Jaipur	Climate Change	Satisfactory	Brought 9 hectares of land under fodder cultivation and additional grazing through Chauka Systems of rainwater system.
57	Hunnarshala Foundation For Building Technology & Innovations. 8-16, Mahadev Nagar -1, Behind Valdas Nagar, Near Mirzapar Highway, Bhuj-Kutch Pincode: - 370 001, Gujarat	Promote a more sustainable Community led approach towards a Zero Waste City – responsible waste management	Kutch-Gujarat	Climate Change	Satisfactory	Formed the federation of Rag Pickers Groups and they have undergone various capacity building programmes. 36 families were linked with food security scheme under this program. 22 woman waste pickers were trained to make paper bag and they were linked with medical stores for their produces.

S.N	Name of the Project Partner & Address	Name of the Project	District/State	Thematic Area	Assessment	Reasons
Climate Change						
58	Stree Mukti Sanghatana, 31 Shramik (Royal Crest), Lokmanya Tilak Colony Road.No.3, Dadar, Mumbai-400014	Decentralized waste recycling and management by the association of waste-pickers in the city of Mumbai	Dadar-Mumbai	Climate Change	Satisfactory	It has produced a revised version of its educative CD on waste management. Quality knowledge management is carried out.
59	SHASHWAT, Opp. Thorat Bldg., Behind Market Yard, Manchar, Dist. Pune-410 503, Maharashtra	Ornamental fishery to provide tribal women alternative employment and Distribution of Smokeless Chullahs	Manchar	Climate Change	Satisfactory	1278 Ha area of Dam has come under sustainable harvest practices through the project.
60	PUPA, 8/1 B, Raipur Road, East, Kolkata 700 032, West Bengal.	Conservation of Local Agro Biodiversity for Better Livelihoods through use of Local Resources in Response to poor Areas of Sundarbans	Kolkata	Climate Change	Satisfactory	Initiated conservation of 15 paddy varieties including 4 Salt Resistant Rice Varieties like Malaboti, Dudheshwar, Swarnamasuri and Jhingashal)
61	Non-Conventional Energy and Rural Development Society (NERD). 249, chitthi Vinay nagar Colony, vadavalli, Coimbatore, and Tamilnadu, India.	Community based electrification services for kodanthur and Thalingi tribal Field Settlements with Biogas and Hydel Energy for their livelhood.	Coimbatore	Climate Change	Satisfactory	110 improved smokeless Chulha were distributed benefitting about 420 tribal population. An one KW hydro power plant in Porparai of Kodanthur benefitting about 48 persons and two KW hydro power plant in Thalingi Field settlement benefitting 158 persons had been installed. A 20 cum capacity biogas plant had been installed for rice milling and rice flour grinding.
62	Action in Community and Training (ACT). J1/72 DDA Flats Kalkaji, New Delhi-110019	Waste to Livelihoods (Eco-friendly Recycling Unit for Paper and Plastic Waste Management).	New Delhi	Climate Change	Satisfactory	Community led waste management project saving 3.6 tons of waste from getting burnt. About 300 kg of waste per month is saved from getting dumped into the landfills.

S.N	Name of the Project Partner & Address	Name of the Project	District/State	Thematic Area	Assessment	Reasons
Climate Change						
63	Sacred Earth Trust, Lillian Sum, Director PO Box 11, Bodhgaya, Gaya District Bihar	An Alternative Approach to Sustainable Plastic Waste Management and Resource Enterprise	Bodhgaya	Climate Change	Satisfactory	It promoted toilet models using compressed plastics (glass bottles, car tyres, plastic bottles, LDPE, HDPE, Polystyrene, plastic waste) and earth- bags technologies.
64	Society for Economic and Social Studies (Centre for Technology and Development- CTD) D-158 Lower Ground Floor Saket, New Delhi 110 017	Technology Demonstration and Capacity building in Energy Saving Rural Jaggery making systems using scientifically improved 3 Pan System of Jaggery.	U.P.	Climate Change	Satisfactory	It iFs adopting low cost jaggery **furnaces** in the area directly mitigating 950 tons CO_2 emissions per annum.
65	Centre for Human Resource and Rural Developmental Programmes (CHARDEP) 735, Shanmugam Street, Opp. to Collectorate Nagercoil – 629 001 Kanyakumari District, Tamil Nadu	Biogas Plants for Renewable Energy for Rural Households in Kanyakumari District.	Kanyakumari/ Tamil Nadu	Climate Change	Satisfactory	32 bio-gas units of 2 cubic meter capacity has been constructed and installed till date. 9600 kg of firewood has been saved. 19200 Kgs of CO2 emission reduced till date
66	Appropriate Rural Technology Institute (ARTI). Maninee Apartments, Survey No.13, Dhayarigaon, Pune 411041, Maharashtra, India	Biomass based appropriate technologies a substitute for tribal families of Maharashtra, Chattisgarh, and Orissa States	Dhayarigaon	Climate Change	Satisfactory	
67	Sanyukt Wan Vyavasthapan Samiti, Baripada Mailing Address: At Baripada, Post- Shendvad, Taluka – Sakri, Dist- Dhule pin – 424306	Biomass based enterprise to provide livelihood enhancement and energy security for tribal villages in Baripada cluster, Dhule, Maharashtra	Dhule-Maharashtra	Climate Change	Satisfactory	25 EE cook stoves have been installed and 100 more is to be installed. 7 demos have been organized and around 2480 people have attended these demos.
68	Udainagar Pragati Samiti. Patel Bhavan, Udainagar; Tehsil Bagli, District Dewas; Madhya Pradesh : 455227	Community led livestock support systems for climate resilient agrarian livelihoods to reduce excess dependency on forest resourcesinUdainagar block of Dewas district, MP	Dewas/Madhya Pradesh	Climate Change	Satisfactory	92 women involved in dairy farming. 250 hectares of forest & farmland was protected from fodder activity.

S.N	Name of the Project Partner & Address	Name of the Project	District/State	Thematic Area	Assessment	Reasons
Climate Change						
69	Human Organisation for Patronisation of Environment (HOPE). Mailing Address: Human Organisation for Patronisation of Environment (HOPE) Village Karian, P.O. Dassal, Tehsil/District: Rajouri Jammu & Kashmir- 185131	Environment friendly clean energy and technology for Improved livelihood of tribal and poor communities.	Rajouri/J&K	Climate Change	Satisfactory	It repaired damaged check-dam with the help of community which reduced the vulnerability of natural disaster like flood. Total 10 canals have been constructed to control the water flow.
70	Women's Organisation for Socio Cultural Awareness (WOSCA), Mailing Address: At / P.O.- Mandua, Dist-Keonjhar, 758014, Odisha	Renewable Energy based rural livelihood promotion in Keonjhar district of Odisha	Keonjhar	Climate Change	Satisfactory	42 hectares of degraded land restored by mangrove plantations. 52 EE cook stoves installed.1400 kg of chemical pesticides avoided from usage.
71	Citizens Foundation, Mailing Address: 7, Betar Kendra, Niwaranpur, Ranchi, PIN: 834002	Implementation of alternate energy linked livelihoods initiatives for Ganga Rejuvenation in Sahibganj district of Jharkhand	Ranchi	Climate Change	Satisfactory	5 Travis installed in Jalbalu,Sridhar Diyara, Middle Piyarpur, Jeetnagar and North Plasgachi. Napier Grass have been distributed as fodder in 13 villages. 173 women beneficiaries of 29 SHG were promoted for Backyard Polutry.
72	Network For Enterprise Enhancement and Development Support (NEEDS). Mailing Address: House Plot# 275, Near Charki Pahari, [Tapovan Road], P.O.: Ashram Karnibad, Deoghar-814143, Jharkhand	Implementation of alternate energy linked livelihoods initiatives for Ganga Rejuvenation in Sahibganj district of Jharkhand.	Deoghar-Jharkhand	Climate Change	Satisfactory	Promoted duckery among the rural household which lead to increased family income and they are in the process of completing the installation bio-gas plants in identified households.
73	Kantaphod Pragati Sameeti, Address:C/o Arun Binjawa, ward No. 2, Nazarpura, Kantaphod, Tehsil Satwas, Block Kannod, Dewas, MP. Pin- 455440	Non chemical Pesticide Management with small and marginal women farmers in tribal rain-fed clusters in Kannod block of Dewas, Madhya Pradesh.	Dewas/Madhya Pradesh	Climate Change	Satisfactory	197 hectares of land under improved land use and climate proofing practices.8170 quintals of NPM wheat and 400.85 quintals of NPM gram has been produced.
74	Vishwadeep Trust, Address: 24B DDA Flat, Shahpur jat, New Delhi- 110049	Climate-friendly sustainable agriculture for enhancement of income of tribal communities of Ladakh.	Ladakh	Climate Change	Satisfactory	trained over 650 farmers (80%) women) on skills such as smart water management, use of bio manure, and composting, replacing use of chemicals to demonstrate renewable energy for solar drying and low cost preservation in Tamakchik, Ladakh. They distributed solar cookers to 67 families.

S.N	Name of the Project Partner & Address	Name of the Project	District/State	Thematic Area	Assessment	Reasons
Climate Change						
75	Kachchh Heritage Arts Music Information and Resources (KHAMIR), Address: Behind BMCB Social City, Kukma Road to Lakhond Crossroads, P.O. Kukma, Ta. Bhuj District, Kachchh, Gujarat- 370105	Revival of camel and sheep wool value chain with pastoral craft skills	Kachchh	Climate Change	Satisfactory	Established Sheep herders' organisation in Dayapar, Nakhtrana by Sahajeevan. Also Clothing range and other products were developed with help of Designer Archana Shah. Total 87 villages have been visited by the team to understand the current value chain and livelihood status of the Pastoralists. 42 Villages have been surveyed by the team to access socio economic status of the Stationary pastoralists in Kachchh
76	KURSEONG DISHA', ST. Mary's Hill Kurseong-734220, Dist.: Darjeeling (West Bengal)	Community Conservation of Forests by Reducing Pressures through Protection, Plantations and Alternative Livelihoods	Darjeeling	Climate Change	Needs Attention	The landslides and drought during the 3 years time have destroyed the nursery used for plantation and also the SMVGs. The unstable political environment in the hills have also caused in slowing down of the activities like cook stoves to be taken up. 60 HHs have been identified for the replication on their own after seeing the demonstration model of Sarala cook stove.
77	Earthwatch Institute India Trust Augusta Point (Level 4) Golf Course Road, Sector 52, Gurgaon 122002	Implementation of energy efficient cook stove in Sirsi Forest Region, Western Ghats, Karnataka	Sirsi Forest Region	Climate Change	Needs Attention	Project got delayed for 12 months due to changes in the local policy. The project areas were provided LPG connection by the government; hence the completion of smokeless chullah activities got delayed.
78	Chintan Environmental Research and Action Group. 238 Siddhartha Enclave, New Delhi -110014	Preventing Accidental POPs Releases through POPs prevention Partnerships (PPP) for E-waste.	New Delhi	Climate Change	Satisfactory	More than 6 tons of e-waste diverted out of POPs pathway. It conducted workshops training over 100 waste pickers and itinerant buyers across India.

S.N	Name of the Project Partner & Address	Name of the Project	District/State	Thematic Area	Assessment	Reasons
Land Degradation						
84	Vruksha Prem Seva Trust, Address: Furniture Lane, Near Fulara Mill, Raj Marg, Upleta- 360 490 Dist Rajkot, Gujarat	Fofal River Command Area Development Project Part - 2	Rajkot	Land Degradation	Very good	3 check dams have been constructed. 62 hectares of land will restore water and 15 wells will be recharged by the ground water.
85	Nagarika Seva Trust, Near Bus Stand, Guruvayanakere-574217, Belathangady Taluk, Dakshina Kannada District	Development Of Under-Cultivated/ Degraded Land Of Small Farmers And Strengthening Their Livelihood	Kannada	Land Degradation	Good	255 hectares of degraded land restored. 83655 tonnes CO2 avoided through smokeless chulhas. Brought 57 hectares of land under cashew and Areccanut antation and also jasmine plantation.
86	Sainik Foundation.(All India Ex Soldier's League) 6090-B8 Vasant Kunj New Delhi -110070	Swasti- V land management measures for rejuvenation of biodegraded Yamuna Ravines at Pratapner	Pratapner, Etawah/ Uttar Pradesh	Land Degradation	Satisfactory	Issues with the forest department and unable to get a NOC from them.
87	Samvardhan Samaj Vikas Sanstha, C/O Dr. Nilesh Heda, Near APMC, Washim road, Karanja, Lad, Dist. Washim 444105 Maharashtra	Linking Conservation of Riverine Resources with Sustainable livelihood: North Eastern Godavari basin, Indi	Washim	Land Degradation	Satisfactory	Raised USD 468,750 from various sources such as the Jawaharlal Nehru Port Trust, the Rockefeller Foundation Global Fellowship, the Maharastra Chief Minister's Relief Fund, etc.
88	The Covenant Centre for Development (CCD), Bajpayi Bhavan, Deepak Nagar, Opp. Railway Station, Durg city, Chhattisgarh state, India PIN 49100	Community NTFP enterprises for sustainable forest development & peace in a violent Chhattisgarh	Chhattisgarh	Land Degradation	Satisfactory	Brought 1950 hectares of land through sustainable forest management and sustainable harvest practices.
89	BIHAR DEVELOPMENT TRUST Sakuntala Bhawan, CCMR Road, Aakashwani Chowk, Adampur, Bhagalpur-812 001 (Bihar)	Project Green Bhumi: Biodiversity Conservation of local Bamboo Species & Livelihood Promotion through value addition in Bamboo	Bhagalpur	Land Degradation	Satisfactory	10 hectares of land was rehabilitated through bamboo plantation. Almost 150 ladies are involved in Bamboo Stick Making, 20 farmers were trained in bamboo plantation. Out of 2000 plants planted, almost 50% have survived through the intervention of BDT

S.N	Name of the Project Partner & Address	Name of the Project	District/State	Thematic Area	Assessment	Reasons
Land Degradation						
90	Girish Grih Udyog Evam Resha Utapadan Samiti Kimsar (GAURAS). Near- Kaleshwar Press, Upper Kalabr, Badrinath Marg, Kotdwar Garhwal, Uttarakhand	Conservation and Land Development through Rambans (Agave) enhancing incomes of the hill communities in degraded lands	Kotdwar-Uttrakhand	Land Degradation	Satisfactory	It cultivated **agave** (local name in the project area is *Rambans*)on more than 200 ha. This helps to prevent landslides and soil erosion, and has increased forest areas through the cultivation of *Ramban*.
91	Parhit Samaj Seva Sanstha. 110/ Barah Beegha, Koteshwar road, Gwalior(474012)	Improving Agro Ecology and Livelihood Approaches for Sahariya tribe in Shivpuri	Gwalior	Land Degradation	Satisfactory	Promoted grain banks maintained by the families. Mobilised USD 9,375 from MGNREGA. Also they facilitated the process of mobilising schemes from the National Horticulture Board, the National Family Benefit Scheme(NFBS), the Indira Awas Yojana, etc.
92	KALPTARU VIKAS SAMITI. C/O Childline Police Line, Infront of S.P.office, Guna, M.P. 473001	Improving Agro Ecology and Livelihood Approaches for PTG - Sahariya in Guna District	Guna	Land Degradation	Satisfactory	Working for agro-ecology measures. Nearly 125 hectares of land brought under chemical free faming.
93	Society for Education and Environmental Training (SEET) F-19A, Sushant Lok-2, Sector 56, Gurgaon-122002 (Haryana)	Integrated Agro Organic farming & wasteland development through Short Duration Cultivable lac-Host Plantation of Flemingia semialata Robx	Sundargarh/Odisha	Land degradation	Needs Attention	The project has not been able to achieve the main objective of plantation of the lac host plant Semiyalata. The nursery developed for the same was destroyed by Elephants and it cost dearly. Also, the sudden illness of the Key project director hampered its progress. The demonstration sites selected initially failed as water source was not found and the deficit of rain affected adversely.

S.N	Name of the Project Partner & Address	Name of the Project	District/State	Thematic Area	Assessment	Reasons
Multi-Focal						
1	Mahatma Phule Samaj Seva Mandal, Post Box No.9, Niyojan Nagar, Jamkhed Road, At.Post.Tal.Karmala, Dist.Solapur 413203.	Respectable livelihood to the De-Notified and Dalit families through Conservation of Biodiversity and restoring degraded and waste land	Solapur/ Maharashtra	Bio Diversity & Land Degradation	Good	Promoting fodder cultivation and lemon plants. 19.5 hectares land covered under maize grass/fodder crop. Also 5 acres of land have been covered by lemon plants. The NGO has strengthened women SHGs in the area and linked them to banks. The distribution of Smokeless stoves has reduced the amount of wood burned for cooking at the same time reducing exposure of woman to the smoke.
2	Gramin Vigyan Seva Sansthan Vill & PO Titarwada Kalan Via Kundal, District Dausa-3033215 (Rajasthan)	Promotion and Conservation of Agro-Biodiversity Impacting Community Livelihoods and Sustainable Development in Rural Areas of Dausa District in Rajasthan	Dausa/Rajasthan	Bio Diversity & Land Degradation & Climate Change	Satisfactory	134 compost pits constructed. 257 hectares of land under sustainable agricultural practices. 20 SHGs formed.
34	Manuvikasa, Karjagi, Balur, Siddapur, North Kanara, Karnataka 581340	Conservation of rare, endangered and threatened species in fast degrading Bettaland through protection of species, plant enrichment and wetland creation in Siddapur taluq of North Kanara district	Karnataka	Biodiversity & Land Degradation	Very good	The NGO has developed links and partnerships with institutions like Forestry College; KVK; Banks; DF; GIVE INDIA; and many local institutions
79	Society For Resource Integration And Development Action (SRIDA), Srida centre, Post – Barela, Mandla Road, Jabalpur- 483001, Madhya Pradesh	Conservation, collection and multiplicity of traditional seeds for safeguarding biodiversity in tribal areas	Jabalpur	Climate Change & Bio Diversity	Needs Attention	Due to death of the chief functionary of the project in 2016 the project derailed and though there were some achievements on ground the NGO was not able to translate them through reports and linkages.
80	Sarjana Samajik Sankratik & Sahitiyak Manch. Village post Pithourabad, Dist- Satna, M.P.	Conservation of Natural Resources and Strengthening of livelihood security for three tribal communities of Parsmania Pathar	Satna/ Madhya Pradesh	Climate Change & Biodiversity	Good	Brought approximately 202 hectares of land bought under sustainable forest, agriculture and water management practices. They initiated System of Rice Intensification (SRI) technique.

S.N	Name of the Project Partner & Address	Name of the Project	District/State	Thematic Area	Assessment	Reasons
Multi-Focal						
81	Praja Pragathi Seva Sangam (PPSS). D/No.21/357-1 Janashakti Nagar, Bhaskarapuram, Machilipatnam 521001, Krishna District, Andhra Pradesh	Community Participated Mangrove Restoration & Management And Livelihoods Improvement Of Dependent Fishermen Communities In Krishna Mangrove Wetlands, In A.P	Krishna District	Climate Change & Biodiversity	Satisfactory	Promoted mangrove plantation in 27 hectares of land
82	Chinh IndiaTrust . A-103, LGF Amar Colony, Lajpat Nagar- IV, New Delhi – 110024	Strengthening local artisans for conservation, enterprise and livelihoods based on local resources under convention on biodiversity conservation	Delhi	Climate Change & Biodiversity	Satisfactory	Participation in 6 FAIRS at NATURE BAZAAR and 12 day long design fair organized by Dastkar for providing market exposure to nomadic community members. Motivational training sessions organized for nomadic women to encourage women to become active and involved economically and financially in the process for inclusive development. Awareness cum interaction session organized to educate students on the importance of dying cultural art and methods to revive it. Also, students were taught how to make Goodri products by recycling the waste clothes.
83	Swatantra Yuva Shakti Sangathan (SYSS).Opp. Samudail Bhawan, Barghat Naka,Taigore Ward, Seoni Dist., Madhya Pradesh	Community action to reduce pressure on forests through sustainable land use & Local Biodiversity Management around the Protected areas in tribal belts of Seoni District	Seoni/Madhya Pradesh	Climate Change & Land Degradation	Good	Successfully reduced the wood extracted from surrounding forests by providing smokeless stoves, biogas, LPG collection and also through providing alternative income sources to the communities. Completed construction of 464 smokeless stoves as families are small in this region. Additional 161 smokeless stoves have been distributed in villages adjoining Pench tiger reserve. Approximately 2000 Ha area from where wood was being extracted has now come under sustained extraction as the demand for wood has considerably reduced.

S.N	Name of the Project Partner & Address	Name of the Project	District/State	Thematic Area	Assessment	Reasons
Multi-Focal						
94	Society For Environment & Social Awareness (SESA) Mailing / Physical Address: SESA, Old I.T.O.Road, Redma, Daltonganj, Jharkhand – 822 101	Community led land management & development actions for better productivity; conservation in Maoist affected forest areas of Palamau District	Daltonganj	Land Degradation & Bio Diversity	Very good	177 Ha of undulated lands have been levelled and developed. 300 ha of lands are covered under organic farming and sustainable agriculture practices. Through plantation, 92 Ha of undulated lands have been restored. 1200 Ha of community lands have been developed through plantation and kitchen garden activities. 309 smokeless chullahs established in the project villages.
95	Gramin Samassya Mukti Trust (GSMT). 16- Sadhankarwadi, Wani, Dist- Yavatmal Maharashtra, Pin- 445 304	Conservation and Management of NTFP for sustainable livelihood through Ecosystem Approach	Wani/Maharashtra	Land Degradation & Bio Diversity	Good	The NGO has prepared plans for development of CFR land for 10 villages and this has helped improvement of forest quality of more than 2000 Ha of forest. GSMT in collaboration with district collector has helped more than 536 additional villages to apply for Community Forest Rights in last one year.
96	MANAV VIKAS Mailing Address: At.+ P.O - Ichak, District- Hazaribagh, Jharkhand-825 402.	Promoting sustainable use of natural resource management by arresting land degradation, biodiversity conservation in 10 villages of the VPTGs of Hazaribag district.	Hazaribagh/ Jharkhand	Land Degradation & Bio Diversity	Good	498 hectare of land is levelled under the project initiative and 262 hectare of farm is bunded under the project. 10 ponds rejuvenated and 9 new ponds constructed. 6 new check dams constructed providing water for irrigation. 9 wells have been constructed and 20 paddle pumps provided to SHGs for irrigation purpose. 461 smokeless chulhas have been installed.
97	Samekit Jan Vikas Kendra (SJVK) Mailing Address: Patel Bagan, Sundernagar-832107, East Singhbhum, and Jharkhand,	Land Development and sustainable approaches among tribal households by equitable use of natural resources.	Sundernagar	Land Degradation & Bio Diversity	Satisfactory	Brought 30 hectares of land applying sustainable forest, agriculture and water mgt practice and also 30 hectares of degraded land restored, constructed farm bunding in 12 acres. The project introduced contour trench and gully plugs.

S.N	Name of the Project Partner & Address	Name of the Project	District/State	Thematic Area	Assessment	Reasons
Multi-Focal						
98	Sujagriti Samaj Sevi Sanstha L.I.G. 914, Mayur Van New Housing Board Colony Morena (M.P.), PIN – 476001.	Up scaling Reclamation of ravines through endogenous technology & in-situ conservation of local biodiversity, and strengthen the livelihood security	Morena/ Madhya Pradesh	Land Degradation & Biodiversity	Very good	700 hectares of land was saved from ravine formation due to construction of Dorbandi, which led to saving of 800 households and gave them the means of their daily basic needs. 10000 Guggul plants have been planted successfully. 37,355 individuals of a variety of plant species have been planted during the entire project to fight against ravine formation and to restore ecological and environmental conditions of area.

APPENDIX H – RESPONSES TO COMMENTS RECEIVED ON DRAFT TE REPORT

To the comments received on (*date*) from the Terminal Evaluation of UNDP-GEF PIMS 4284: *5th Operational Phase of the GEF Small Grants Programme in India* (India SGP5 Project)

The following comments were provided in track changes to the draft Terminal Evaluation report; they are referenced by institution ("Author" column) and track change comment number ("#" column):

Author	*#*	*Para #/ Comment location*	*Comment/Feedback on draft TE report*	*TE response and actions taken*
Prabhjot Sodhi	*1*	*Page vi, Executive Summary*	*Correction it 32500 USD as an average grant*	*Correction of this average grant amount is noted and corrected in the Executive Summary.*
Prabhjot Sodhi	*2*	Table A, Executive Summary	*The total of 200,000 was reduced to 100,000 please refer the MTR in 2015*	*Footnote 1 has been added to clarify this point.*
Diane Salvemini	*3*	*Page viii, 2nd paragraph of Summary of Recommendations and Lessons in Executive Summary*	*It should be highlighted that the reason for SGP India not being able to access OP6 resources was also due to GEF experiencing a projected resources shortfall. In India, a PIF for OP6 was submitted in July 2016, and it was technically cleared by the GEF Secretariat but it was not included as a candidate for OP6 GEF Work Programs due to shortfall of GEF-6 resources, due to exchange rate fluctuations. SGP India will complete the OP5 projects under implementation and will seek funding in GEF7 for continuation of the programme. More info on council decision GEF/C.51/04 - Update on GEF-6 Resource Availability*	*This information from the reviewer is noted with changes to this Paragraph and the addition of Footnote 2 and edits in Para 122.*
Diane Salvemini	*4*	*Page ix, 3rd paragraph of Summary of Recommendations and Lessons in Executive Summary*	*With regards to the statement "BD projects of SGP5 in general did not strongly address conservation of biodiversity of global significance as evidenced by the lack of SMART biodiversity indicators", this is unclear. The fact that there were no SMART biodiversity indicators points out to weaknesses in project design, but it does not necessarily imply that conservation of biodiversity of global significance was not addressed during implementation. Is this more of a missed opportunity in collecting/reporting*	*Agree with the reviewer's statement. Edits were made to the statement in this context as well as on Para 123.*

Author	#	Para #/ Comment location	Comment/Feedback on draft TE report	TE response and actions taken
			results or where small grants projects not focused on biodiversity activities?	
Prabhjot Sodhi	*5*	*Page ix, 3rd paragraph of Summary of Recommendations and Lessons in Executive Summary*	*POPs projects were to be considered in CC as it is to be classified with checking of CO@ emissions not burning*	*This clarification is noted with changes made in this Paragraph of the executive Summary as well as Para 123.*
Diane Salvemini	*6*	*Page ix, 2nd bullet of Summary of Recommendations and Lessons in Executive Summary*	*With regards to the statement that "CEE missed an opportunity to assemble a database of over 100 grant projects", please include reference to SGP database. All SGP projects are uploaded in the GEF SGP database. Sodhi and CEE team, please confirm. While SGP Country programmes report to the GEF through separate annual PIRs, they also record grant project information in the SGP database, and provide contribution to SGP's annual Country programme monitoring survey to generate a coherent global outlook on SGP's progress and performance. If M&E data for each project is not reported in the SGP database, I would suggest to include a recommendation in this regard. Sodhi/CEE team to confirm.*	*The TE team was not fully aware of this database and received clarifications of its functions in response to this comment. Appropriate edits have been made in this Paragraph as well as on Action 1 (in the Executive Summary), Paras 65, 124, and 125.*
Diane Salvemini	*7*	*Para 13*	*With regards to the statement "Although GEF SGP funding is modest, poor and vulnerable communities are enabled to take measured risks to develop capacity for a larger project", this is unclear. Do you mean to develop the capacity to implement a larger project? SGP's core premise is to develop CSOs and NGOs' capacity to sustainably manage local resource that can simultaneously generate local community benefits and global environmental benefits. To empower and expand the capacity of these local organizations to catalyse community action that delivers local and global benefits.*	*The reference to a "larger" project is incorrect. Edits in Para 13 have been made for a more precise description.*
Diane Salvemini	*8*	*Para 28*	*Background information on GEF Policy for Upgrading can be found in the following documents:* • *Global Environment Facility (GEF). 2014a. GEF Small Grants Programme: Implementation Arrangements for GEF-6. Report GEF/C.46/13 (GEF Council Meeting May 25-27, 2014). Washington, DC: GEF;*	*Additional information on UCPs is noted and added as Footnote 9.*

Author	#	Para #/ Comment location	Comment/Feedback on draft TE report	TE response and actions taken
			• *Global Environment Facility (GEF). 2009. Small Grants Programme: Execution Arrangements and Upgrading Policy for GEF-5. Report GEF/C.36/4 (GEF Council Meeting Nov 10-12, 2009). Washington, DC: GEF;* • *Global Environment Facility (GEF) Independent Evaluation Office and UNDP Independent Evaluation Office. 2015. Joint GEF/UNDP Small Grants Programme Evaluation: Preparing for GEF-6 (final report). Washington, DC: GEF* *The term "upgrading" refers to the graduation of the oldest and most mature of SGP's country programmes to a new funding regime allowing higher funding levels and more budgetary control by the country programmes. The GEF initiated the process of "upgrading" certain countries. The goals of upgrading were threefold: allow the SGP Global Programme to continue to grow and serve low-income nations without concomitant growth in core funds; make better use of the capacities of mature programmes to enrich the younger, less experienced programmes; and enable mature programmes to access greater financial resources and exercise more programmatic freedom in light of their greater internal capacity. Criteria for upgrading: criteria of project duration (>15 years) and aggregate grant commitments (>USD 6.0 million).*	
Diane Salvemini	*9*	*Para 28, 3rd bullet*	*With regards to the statement that "the NSC only had to assure that grant projects supported by the SGP were good projects", this is not fully correct. SGP Upgrading Country Programmes follow the same SGP Operational Guidelines, and the TORs of the NSC for both the SGP Global Programme and the UCPs are aligned. For NSC role and terms of reference please refer to the publication: "The A to Z of the SGP: A Guide to the GEF Small Grants Programme", available here: https://www.thegef.org/publications/z-sgp-guide-gef-small-grants-programme*	*Reference to unique roles of the NSC in UCPs has been deleted.*
Diane Salvemini	*10*	*Para 28, 3rd bullet*	*Need to include reference to the SGP database. Is SGP India using the SGP database for monitoring purposes? Please note that the SGP database is also currently being revised so a*	*Done. See responses to Comment #6.*

Author	#	Para #/ Comment location	Comment/Feedback on draft TE report	TE response and actions taken
			recommendation in this regard will be helpful moving forward in OP7. This can be addressed also by the SGP team/UNDP CO in the management response	
Prabhjot Sodhi	*11*	*Para 29*	*With regards to the statement in the 2nd bullet, "there is an absence of specific processes to institutionalize positive SGP results with state and central government entities….", there have been projects which were mainstreamed within the Government implemented by NGO partners TIDE, SARTHAK, Samvedna, Sambandh, AAGAS. The Strategy was that during the implementation of the projects the approved projects will be informed to the District Collectors who in terms will also monitor the progress as felt necessary. Thereafter this opens the program to formally approach the Government Authorities for possible scaling up, This gave the NGO the creditability to link to the respective Government Departments and funds access*	*Statement by the reviewer is noted with edits being made to describe "effective" institutionalization and the addition of Footnote 11.*
Prabhjot Sodhi	*12*	*Para 30, 2nd primary bullet*	*With regards to the statement "High monitoring costs and lack of specificity for land degradation indicators", this is not true, please see the attached project proposal format and also the quarterly and midterm, final evaluation forms where the indicators are provided for each of the thematic areas and also the sub areas. In the OP 05 phase after the project approvals in the capacity building workshops lots of emphasis was made on partners on this*	*The Evaluation team respectfully disagree with the reviewer's comments. The indicators provided in any project should be sufficiently specific so that they could be measured. Improvements are suggested in the recommendations to improve the M&E of SGP projects with LD projects.*
Prabhjot Sodhi	*13*	*Para 30, 4th primary bullet*	*With regards to the statement of the "lack of relevance of the Outcome 4.2 indicator to the actual outcome. The <number of workshops/learning events conducted by the project by the GEF SGP partners/stakeholders> is not relevant to the <enhanced capacities of SGP grantees to monitor and evaluated their projects and environmental trends>, we don't subscribe to this. In fact it has been very strongly led to hand holding and guidance to the partners*	*The Evaluation Team notes the reviewer's point, and makes a suggestion of an improved indicator related to the actual outcome.*
Prabhjot Sodhi	*14*	*Para 53, 2nd bullet*	*Some progress made in 2015 and early 2016 through the several workshops were in the "voices of the NGO and CBO partners were considered. Details provided*	*Additional information is appreciated and added in Footnote 18.*

Author	#	Para #/ Comment location	Comment/Feedback on draft TE report	TE response and actions taken
Prabhjot Sodhi	*15*	*Para 53, 3rd bullet*	*A TAP for Biodiversity was created and two persons Dr Faizi and Dr BMS Rathore were brought into several workshops guiding the teams.*	*The Evaluation Team notes the updated information which was included in the edits to this bullet point.*
Prabhjot Sodhi	*16*	*Para 66, 3rd bullet*	*With regards to funds, this all has been disbursed. If you want the latest information we can give you.*	*Bullet point has been edited to reflect this updated information.*
Diane Salvemini	*17*	*Para 112, 3rd bullet*	*With regards to the last sentence in this bullet, this could occur if OP7 funds are secured. Please note the rolling modality of SGP. As suggested Global Environment Facility (GEF). 2014a. GEF Small Grants Programme: Implementation Arrangements for GEF-6. Report GEF/C.46/13: "It is indispensable that upgrading Country Programme FSPs are approved at the earliest possible opportunity ….to avoid a gap in Country Programme implementation".*	*This additional information has been added to the bullet point and in Footnote 54.*
Diane Salvemini	*18*	*Para 117, 3rd bullet*	*Is this consistent with findings of other SGP evaluations? Please refer to UNDP-GEF Joint evaluation: http://www.gefieo.org/sites/default/files/ieo/evaluations/sgp-2015.pdf*	*This is consistent with this Evaluation and is noted in the edits and Footnote 56.*
Diane Salvemini	*18*	*Para 129, 2nd bullet*	*This has already been submitted to GEFSEC in july 2016 as previously mentioned. I would suggest here to include here resubmission of the PIF for inclusion in the first OP7 WP.*	*Edits made in this bullet point with updated information.*

APPENDIX I – SGP PROJECT PROFILES

This is a compilation of information collected during field visits to selected SGP5 projects.

SGP Project No.	IND/SGP/OP5/Y3/CC/START/2014/62/UKD02
Grantee Name:	Society for Economic and Social Studies (Center for Technology and Development – CTD) (SESS-CTD)
Name of Evaluators:	Roland Wong, Victor Ngbokwe
Date of Field Visit:	November 8, 2017
Project Title:	Technology Demonstration and Capacity Building in Energy Saving Rural Jaggery-making systems using scientifically proven 3-Pan System
District/State:	Various Districts in western Uttar Pradesh, Uttarkhand, Haryana, Punjab and Rajasthan where jaggery systems and sugar cane crops are common
GEF Thematic Area:	Climate Change
SGP Funding:	US$ 38,124
Co-Financing:	US$ 70,000 (actual investment of materials for each furnace system including estimate of labour)
Project Objective and Intended Outcomes:	Objectives were to demonstrate new technology and measures to save energy during the making of jaggery, build capacities of local NGOs and young entrepreneurs in the construction of EE jaggery furnaces, catalyse institutional co-financing through loans, and substantially increase the incomes of local jaggery makers.
Comments on Project Design:	The project has a sound design with required activities for popularizing a technology within a rural community. This includes demonstration, initial building of local capacity to manage a technology demonstration including local workers to make the EE furnace. The furnace technology being promoted modifies the dimensions of the furnace to distribute the heat in the furnace under the jaggery pans which is to result in saving of bagasse combustion.
Relevance:	Project is relevant to the National Climate Change Action Plan as well as State Council of Science and Technology. Project is also in line with GEF OP-6 under Climate Change Mitigation.
Results:	Based on the observations of the evaluators at 3 sites (with 5 furnaces) between Meerut and Muffrazabad in Uttar Pradesh, the project has produced a useful demonstration of an energy efficient jaggery furnace, producing positive results in the context of reduced fuel usage (mainly bagasse from squeezed sugar cane stalk, and improved working conditions for jaggery workers). The project has also demonstrated that between 8 to 20% less bagasse is used to make the same amounts of jaggery with the old technology which the ability to generate additional income which was more open and subject to substantial heat losses and higher GHG emissions. The project has also managed to exceed its target of 50 EE furnaces constructed (70 have been completed) providing an indicator of the popularity of the technology.
Effectiveness:	Satisfactory effectiveness. The objective of demonstrating this technology, improving the skills of local communities to plan, build and operate this EE furnace, and increasing the incomes of local jaggery makers has been achieved. The project is now at a stage where it is ready for scale-up, and to interest local financial institutions in providing loans for several more EE jaggery furnaces. Considering the payback, participation of financial institutions may not be necessary.

Efficiency:	Satisfactory efficiency. Much work was done commencing 2013 in disseminating this technology prior to SGP support that only commenced in January 2015. Considering that these furnaces can only be constructed just prior to the beginning of the sugar cane growing season (October-February or March), SESS-CTD spent much of the early years on technology advocacy, getting commitments to invest from more than 50 jaggery makers and readying construction teams for the short 1-month construction period which had taken place in September 2015 and September 2017. The implementers lost 2016 due to the cash crisis and the resulting lack of available cash to pay for the materials and construction of the EE furnaces.
Gender Impact:	This is a male-dominated industry making it difficult (and less desirable) for women to be involved in a management role or key operational role. Some women were observed to be "fire women", responsible for feeding bagasse into the furnace as well as manual labour in carrying cut bagasse onto and sugar cane stalk to various places around the operation. The participation of women at capacity building workshops for the operation of the EE jaggery furnace was low.
Sustainability:	This project will be moderately sustainable due to the limited capacity of SESS-CTD to more widely disseminate this technology. Given that there appears to be high demand, there are insufficient number of technology champions to market the technology to the various districts where jaggery making is common. For those who undertake the technology themselves without guidance from SESS-CTD or their disciples, the construction of their new EE jaggery furnaces may not contain the correct dimensions to generate energy savings and GHG emission reductions. Another aspect that requires support is the position of the fireman (or fire woman). The evaluators observe that the variance of 8 to 20% savings may have much to do with how the furnace fire is stoked. In one operation, bagasse was intermittently fed into the furnace until dark smoke came out of the chimney resulting in an 8% reduction in bagasse use. In another operation reporting higher efficiency of around 16-20%, bagasse was being constantly fed into the furnace. The difference in this operation could increase a jaggery maker's seasonal profit by Rs. 3 lakh (~US$5,000). This is an area where CTD could provide handholding and maximize GHG emission reductions of the technology.
Replicability:	With this project exceeding its target of 50 installations, the uptake of this technology appears strong.
Overall assessment:	*HS*
Recommendations:	*SESS-CTD should be prepared to share its plan for scaling-up of the EE jaggery furnace technology. This plan could include:* • *A statement of the demand for the technology including a listing of other districts and provinces interested and committed to investing in EE jaggery furnaces;* • *The timeline and target for workshops and technical assistance to these areas of technology demand;* • *A listing of personnel and other NGOs who could be deployed for scaling-up of the technology in other districts and provinces;* • *A statement of the current limitations of SESS-CTD to mobilize scaling-up activities in the absence of funds;* • *Strategy on technical support (using trained staff on the technology) for construction (for much-needed quality assurance) and technical support during operations (notably the work of the fireman in feeding bagasse at a constant rate into the EE furnace).*

S.N. #2	
SGP Project No.	IND/SGP/OP5/Y4/CC/STAR/2015/66/MAH06
Grantee Name:	Bhagirath Gramvikas Pratishtan – (BGP)
Name of Evaluators:	Roland Wong
Date of Field Visit:	November 10, 2017
Project Title:	Biogas plants as an alternate clean energy for economic empowerment of PVTGs – poor landless farmers in Sindhudurg
District/State:	Sindhudurg District in southwestern Maharashtra
GEF Thematic Area:	Climate Change
SGP Funding:	US$ 39,425
Co-Financing:	>US$ 100,000 as evidenced by the economic development catalysed through biogas development
Project Objective and Intended Outcomes:	Objectives were to construct and install biogas plants as an alternate clean energy for the economic development of PVTGs or Particularly Vulnerable Tribal Groups and landless groups in the Sindhudurg District in Maharashtra.
Comments on Project Design:	The project has a sound design with required activities to scale-up ongoing biogas plants in the district by BGP. .
Relevance:	Project is relevant to the National Climate Change Action Plan. Project is also in line with GEF OP-6 under Climate Change Mitigation.
Results:	Over 500 biogas plants have been installed by BGP for over 50 villages in the District. The results of the biogas plants has been highly satisfactory given the experience of BGP prior to SGP's involvement with this project since June 2015. While the baseline included more than 5,000 biogas plants installed in the Sindhudurg District since 2005, the SGP involvement has accelerated the deployment of biogas plants and provided guidance and support for the economic development of households using biogas. The result of the biogas investments under SGP has been profound including the reduced use of LPG, reduced use of chullas, GHG emission reductions, cleaner rural environment, and increased opportunities for income generation from affected households, improved quality of life for the communities. This is notable for the quality of life for women (see gender impact below).
Effectiveness:	Highly satisfactory effectiveness. The objective of demonstrating this technology on a wider scale to the community in combination with support for further economic uplift of biogas households has been highly effective. Biogas technology transfer to households has been backed by innovations in biogas dome designs using bamboo reinforcement, and robust technical support that includes a 24-hour hotline for technical assistance for which BGP has provided a service of swift responses to technical issues related to the care and maintenance of the biogas plants. SGP assistance has been in the form of a buy-down grant (30-50%) for the installation of a biogas system to demonstrate the ability of the technology to reduce energy costs (with 80% of households using LPG and ~20% using chullas) of smaller households and farmers. In addition, BGP has been proactive on providing advice to households and supporting additional economic activities including livestock purchases, purchases of a travis (a set of bars to contain an animal for veterinarian examinations, setup of small poultry operations, and plots of land for fodder. BGP has now positioned its NGO to scale-up these poultry and dairy activities. Moreover, these activities have given confidence to financial institutes including district development bank based in Sindhudurg District to provide loans to smaller farmers due to the very low default rates on previous loans. This includes credit to farmers and self-help groups (SHGs) for women to finance their plans for symbiotic income generating activities related to increased dairy production. Key to the high effectiveness of project activities has been the

	inclusive engagement by BGP management of all community participants to project activities.
Efficiency:	Highly satisfactory efficiency. With SGP support for this project commencing in June 2015, the successful installation of over 600 biogas plants has been achieved that has served as a catalyst for further economic uplift of participating households, including increased ownership of livestock, improved health of livestock (due to the use of travis to increase effectiveness of veterinarian services), increased dairy and poultry production, and improved rural community environments.
Gender Impact:	SHGs were formed to provide women a forum to discuss the use of biogas plants, how to improve their performance, and to discuss the needs of these women and their families to increase their incomes and well-being of their families. Women of these SHGs have expressed a high rate of satisfaction with the installed biogas plants with benefits that include less need to collect firewood, reducing the populations of pests that thrive in cow dung that are also a threat to coconut trees, and a smoke-less household.
Sustainability:	This project will be moderately sustainable due to the limited capacity of BGP to more widely disseminate this technology. At present, BGP has only had effective outreach to 10% of households in the Sindhudurg District in biogas plant installation. BGP needs support for the up-scaling of biogas plants in its district as well as other districts throughout India that have expressed an interest in their expertise in setting up a biogas programme. In addition, BGP does not have the capacity to scale-up the economic opportunities that it has generated from the success of its biogas programme. This would include scale-up of poultry farms and egg production as well as scaled-up dairy operations.
Replicability:	With this project exceeding its target of 450 installations, the uptake of biogas technology disseminated by BGP appears robust, with BGP personnel being requested to setup biogas plants in other Maharashtra districts and other states.
Overall assessment:	*HS*
Recommendations:	*To prepare for scaled-up biogas installations as well as scaled-up poultry and dairy activities, BGP should conduct the following:* • *Prepare a strategic plan of the aforementioned scaled-up activities that details the actual economic activities and areas where the next biogas programme will target, complete with estimated timelines and resources required. This would complement the plans of BGP to introduce India's first declaration of a "smoke-free district" which should attract donor interest;* • *Seek the guidance of business experts to scale-up dairy and poultry activities to small-scale enterprises for the purposes of setting up a profit center that can be used as a revenue source for BGP and its activities. This enterprise could be structured to access the supply chains for milk and eggs from small-scale farms to the enterprise, required processes for the pasteurization and conversion of raw milk into various dairy products, marketing of products, and required permits. Business expertise should include assistance to prepare business plans (including capital requirements with timelines), discussions with enterprises as a part of the supply chain, and discussions with financial institutes on ensuring needs of the lending institutions are addressed for efficient approval of loans.*

S.N. #3	
SGP Project No.	IND/SGP/OP5/Y3/STAR/MF/2013/13/KAR05
Grantee Name:	Manuvikasa
Name of Evaluators:	Roland Wong
Date of Field Visit:	November 13, 2017
Project Title:	Conservation of rare, endangered and threatened species in fast degrading Bettalands through protection of species, plant enrichment and wetland creation in Siddapur taluq of North Kanara District
District/State:	Siddapur taluq of North Kanara District in northwest Karnataka
GEF Thematic Area:	Multi-focal
SGP Funding:	US$ 33,487
Co-Financing:	More than US$ 40,000 that have been catalysed from the activities of the Project since 2013 (excluding the financial services of NABARD which would add to this co-financing amount). In addition to co-financing resources raised for primary activities such as construction of water tanks, water boiling chullas and self-help groups for women, the economic activities emanating from the SGP primary activities can also be considered co-financing such as joint-liability groups (JLGs), farmer's cooperative organizations (FPOs), more than 2,500 self-help groups that are now formed in and around the Sirsi District, capital cost for market infrastructure for farmers to sell produce to wholesale buyer of food products who are based in urban areas, and credit facilities for poor landless farmers (complete with on-lended funds from the National Agricultural Bank of India and Microgram, a local micro-lending facility to Pragimati, a spinoff credit monitoring entity created by Manuvikasa.
Project Objective and Intended Outcomes:	Objectives were to restore the productivity of degraded forestry lands (known as Bettalands) and increase the opportunities for income generation for poor landless households who are dependent on these lands for their livelihoods.
Comments on Project Design:	The project intends to catalyse economic activity of Siddapur taluq through increasing the availability and improving the conservation of water through the construction of water tanks, water pits, and the initiation of self-help groups for women to plan their own economic uplift with the additional income generated from increased agricultural activity. Another objective was to conserve forestry biomass through the installation of energy efficient chullas for water boiling.
Relevance:	Project is relevant to the National Climate Change Action Plan.
Results:	Considering the project commenced in July 2013 and was completed in July 2015, the results of this project have been spectacular. The target of 40 water tanks was exceeded with 112 tanks constructed through revolving SGP funds to increase the number of water tanks constructed. In addition, Manvikasa raised modest sums of co-financing from corporate sources. The target of 40 chullas was exceeded with the completion of 77. In addition, there are some indications that a recovery of a number of species is underway due to the raising of the water table in the vicinity of water tanks and water pits.
Effectiveness:	Highly satisfactory effectiveness. The target for water tanks constructed was exceeded since the project proponent setup a revolving fund scheme where he offered loans with soft and flexible conditions as a means to increase the demonstrative impact of the initial water tanks constructed. Information on the success of the initial water tanks quickly spread to other taluqs and communities with Manuvikasa trying to keep up with demand. The project also included women's self-help groups (SHGs) to assist the females in the planning of the growth of their household incomes through newer farming methods, high yielding seed varieties, and equipment required for new farming methods. The assistance of the project to strengthen business planning of SHGs, joint liability groups (JLGs)

	and farmer's cooperatives has been highly effective, resulting in the growth of SHGs, JLGs and FCs to over 2,500 and the evolution of Manuvikasa into a credit lending facility (on-lending from NABL and Microgram Finance) complete with technical assistance to its members within two Districts of Northwestern Karnataka.
Efficiency:	Highly satisfactory efficiency. The initial SGP funds were used for the construction of more than 112 water tanks (and pits on Bettalands target was 50) as well as support for starting-up SHGs. Word of the success of the water tanks had quickly spread to other communities within the district with Manvikasa rapidly achieving and exceeding its targets with water tanks and the concept of SHGs rapidly throughout the 2 districts as well as SHGs outside these 2 districts for a total of 2,500 groups (including SHGs, JLGs and farmer's cooperative groups).
Gender Impact:	The water tanks first increased overall household income through the increase in agricultural yields, and assisting women through SHGs in the business planning of their households from the increased agricultural yields. The SHGs represented an opportunity for women from a community express their views on how to jointly develop their businesses, and access credit as a group (with the SHG serving as a guarantor for each of its members). Women have expressed their satisfaction with SHGs as being a means to become independent from a husband's income.
Sustainability:	The sustainability of this project is rated as moderately likely due to limited capacity of Manuvikasa to provide entrepreneurial training at a scaled-up level that would include other taluqs. There is demand for the economic uplift model being implemented by Manuvikasa which may slow down to one taluq without further assistance to entrepreneurial training for new SHGs.
Replicability:	Replicability of this project is already taking place in other taluqs. The pace of growth of this economic uplift model, however, is constrained by the capacity of Manuvikasa to provide entrepreneurial training to new SHGs.
Overall assessment:	*HS*
Recommendations:	*With economic uplift being experienced in Siddapur taluq, and with increased demand for similar activities in other taluqs around Sirsi and Siddapur, assistance to scale-up these ongoing activities is required with the provision of:* • *Entrepreneurial training for additional SHGs;* • *Partnership with organizations who could assist in increasing crop efficiencies benefitting from increased water availability from water tanks and water pits;* • *Bundling services for water tanks, pits, and entrepreneurial training to access credit facilities.*

S.N. #4	
SGP Project No.	IND/SGP/OP5/Y3/CC/STAR/2014/45/KAR06
Grantee Name:	Earthwatch Institute India – (EWI)
Name of Evaluators:	Roland Wong, P.S. Sodhi
Date of Field Visit:	November 11-13, 2017
Project Title:	Implementation of energy efficient (EE) cook stoves in Sirsi Forest District, Western Ghats, Karnataka
District/State:	Sirsi Forest Region in northwest Karnataka
GEF Thematic Area:	Climate Change
SGP Funding:	US$ 23,714
Co-Financing:	Close to US$ 0 as evidenced by the lack of co-financed cook stoves installed with funds other than SGP.
Project Objective and Intended Outcomes:	Objectives were to promote sustainable use of forest resources through the installation and demonstration of EE cook stoves (also known as chullas) in forest dependent communities in the Sirsi Forest District, and to create awareness of fuel efficient devices and the benefits of their adoption within 5 local communities.
Comments on Project Design:	The project has a logical design with activities revolving around sustainable forest harvesting practices, followed by the use of harvested firewood through the EE cook stoves.
Relevance:	Project is relevant to the National Climate Change Action Plan. Project is also in line with GEF OP-6 under Climate Change Mitigation.
Results:	196 biogas plants have been installed by 2 other NGOs subcontracted by EWI, short of the target of 500. Several of the households are not using the chullas provided by the project due to their use of LPG or biogas. With a state government sponsored program to provide LPG tanks and cookers to the area, only the lowest income households continued to use chullas since they could not afford to purchase LPG. Households with higher incomes dismantled the chullas and used LPG or biogas. Capacities of local youth has not been built notwithstanding workshops on the design and installation of EE cook stoves in 2016.
Effectiveness:	Unsatisfactory effectiveness. Two of the 5 forest dependent communities in contact with project personnel are easily accessible from the main highway suggesting dilute efforts to raise awareness of sustainable use of forest resources through EE chullas. There was no strategy for the selection of households for installation of chullas since households who could afford LPG would use this fuel instead. There is also little evidence of knowledge dissemination with no knowledge products generated by EWI on sustainable use of forest products and the exploration of income generating opportunities. Trained local personnel met during the mission for the design and constructing EE stoves were not trained by EWI but by Manuvikasa, another NGO with a similar SGP project in northern Karnataka. Local youth interviewed in some villages were not aware of this SGP project. EWI did not have a strong presence in Sirsi to engage the community and build capacity, and thus were ineffective as an NGO to serve the interests of the project.
Efficiency:	Unsatisfactory efficiency. In early 2015 at commencement of the project, 96 chullas were installed by another local NGO hired by EWI. The NGO voluntarily ended their cooperation agreement with EWI leaving EWI to search for another partner since they did not have a strong presence in the Sirsi District. With little progress during 2016, EWI subcontracted another 100 chulla installations in January 2017 to Manuvikasa which were recently completed. However, capacity building activities of the project have not been effectively delivered over the 3-year duration of the project.

Gender Impact:	Women of lowest income households where chullas were installed have seen benefits to their households including the reduction of smoke in their kitchens and a 30 to 50% reduction in wood collection or purchase. Otherwise, the project has not made a significant gender impact in the context of sustained use of the chullas; several households (~30 to 50%) chose to dismantle the chullas and use LPG as encouraged through the state-government sponsored LPG program.
Sustainability:	The sustainability of this project is rated as unlikely due to the limited outreach and limited impact of activities of EWI. While the lowest income households have demonstrated benefits of EE cook stoves, EWI activities show little evidence of increased demand for EE chullas. Furthermore, in nearly all these households and those households who could afford LPG wanted wood-fired water heating units to which EWI has not responded. No capacity has been built by EWI for building EE chullas, leaving future demand for EE chullas to be mainly serviced by technicians external to Sirsi.
Replicability:	With little impact of EWI activities in effective outreach to forest dependent communities on sustainable harvesting of biomass for cooking and heating, there is poor replicability of chulla installations resulting from this project.
Overall assessment:	*U*
Recommendations:	*SGP should terminate its agreement with EWI on this project due to poor performance of the project, failure to provide effective outreach and capacity building of the target communities, and lack of effective presence in the Sirsi Forest District communities. Project activities to promote future chulla installations in this District should be undertaken in future by an NGO with a strong and vested interest in the well-being of these communities.*

S.N. #5	
SGP Project No.	IND/SGP/OP5/Y5/FSP/STAR/CC/2016/95/KAR09
Grantee Name:	Sanjeeva Seva Trust – (SST)
Name of Evaluators:	Roland Wong, P.S. Sodhi
Date of Field Visit:	November 12, 2017
Project Title:	Alternate energy for empowering rural entrepreneurs in India
District/State:	Joida Taluka in northwest Karnataka
GEF Thematic Area:	Climate Change
SGP Funding:	US$ 40,781
Co-Financing:	More than US$ 42,000 due to the involvement of technology from Smart Hydro Power GmBH (SMP), Gram Oorja Pvt. Ltd (from Pune) on the solar PV setup, as well as contributions from the community and SST to install and commission the turbine and the cabling for electricity connections.
Project Objective and Intended Outcomes:	Objectives were to empower local entrepreneurs through the implementation of renewable hydropower sources of electricity to catalyse economic activities in target unelectrified communities.
Comments on Project Design:	The project intends to demonstrate the use of SMB technology in the benefits of generating electricity and catalysing economic benefits to the community. The demonstration will build upon the baseline activities of Gram Oorja who had setup a 3 kW solar plant complete with a battery bank for electricity generation for Bemane, a village located 18 km west of Joida, and another village nearby. While the installation of a small hydropower plant complements the solar facility through the generation of power year-round to the village, a primary concern over the design will be the cost of the technology and the ability of these communities through enhanced economic activities to payback loans for an expensive technology, the cost of which is in the order of US$80,000 of which SGP funds will be used to cover the capital cost of the hydropower technology from SHP. Any surplus funds would also be used for the procurement of equipment that would enhance the economic livelihoods of these communities.
Relevance:	Project is relevant to the National Climate Change Action Plan. Project is also in line with GEF OP-6 under Climate Change Mitigation.
Results:	A 1 kW (run-of-river) hydropower turbine was setup on a river near Bemane in April 2017 generating power that is stored in the battery bank. The setup has been providing electricity to the community year-round with solar power during the dry season (November-April) and hydropower (May-October) as evidenced by the records kept be the community. In Bemane, a Village Energy Committee (VEC) has been setup through the Shree Mahalasa Seva Trust which is in charge of collecting tariffs for electricity from community households, and bearing a responsibility for the safe-keeping and community use of these funds (that are targeted for operation and maintenance as well as replacement of the battery bank in 5 to 7 years). Project funds were also used to procurement a rice milling machine and flour milling machine for wheat. While both pieces of equipment were delivered to site, the equipment was not yet functional due to poor alignment of the milling mechanism. Gram Oorja has the responsibility of operationalizing the equipment which they have yet to do.
Effectiveness:	Satisfactory effectiveness. The hydropower technology appears to be fully functional, providing much needed electricity to the community through the battery bank for lighting, refrigeration and even televisions and computers. While the technology and technical assistance provided to the communities have been highly effective in improving community quality of life, the effectiveness of assistance to enhance economic activities has not been as effective since the

	community is still awaiting assistance to operationalize rice milling and flour milling equipment.
Efficiency:	Satisfactory efficiency. The turbine installation was commissioned in April 2017 in close cooperation with the community and SST personnel. The rice and flour milling machines were delivered but are not yet operational. No date has yet been set for the operation of these machines. In addition, all households are still using inefficient chullas requiring women to collect more than 50 kg of wood per month for cooking purposes. The delivery of cleaner and more efficient cooking devices such as energy efficient chullas and biogas has not yet occurred.
Gender Impact:	The availability of electricity during the evening hours has improved the lives of women in the community. In addition, the women are well represented in the VEC with 3 out of 7 board members being female. The installation of more efficient and cleaner cooking devices has not yet occurred for these communities.
Sustainability:	The sustainability of this project is rated as moderately likely due to the efforts of the community to finance their own operation, maintenance and equipment replacement costs through the trust setup by the VEC. The VEC trust will ensure the power supply of the communities will be sustained. While the supply of reliable renewable energy should empower the community to strengthen their economic position, completion of technical assistance obligations of Gram Oorja to operationalize the rice and flour milling machines will be required.
Replicability:	The design of this project where renewable energy development is used as a catalyst for empowering communities to enhance their quality of life can be replicated. Replication is possible in other communities within the District of Joida as well as other communities in the region with access to water resources.
Overall assessment:	*S*
Recommendations:	*SST should spearhead the continued development of Bemane and other communities in Joida District through:* • *Installing energy efficient cooking devised to replace the inefficient chullas currently in use with either EE chullas or biogas;* • *Pressure Gram Oorja to complete their obligations to operationalize the rice and flour milling machinery;* • *Explore with the communities various agricultural products that can be exported from the District to create jobs and generate additional income for the communities.*

S.N. #6	
SGP Project No.	IND/SGP/OP5/Y3/STAR/2013/39/MNP-01 and MNP-02
Grantee Name:	Zougam Institute for Community Resources and Development (ZICORD)
Name of Evaluators:	Roland Wong, Victor Ngbokwe
Date of Field Visit:	November 15-16, 2017
Project Title:	Strengthening rural women's society for fuel efficient energy production through pyrolysis and briquetting
District/State:	Imphal, Manipur and including selected communities throughout Manipur state
GEF Thematic Area:	Climate Change
SGP Funding:	US$ 35,976
Co-Financing:	More than US$ 40,000 has been raised including the financing of 4 briquetting-related businesses, in-kind contributions from ZICORD in promoting the technology and loans provided to SHGs to setup related briquetting businesses.
Project Objective and Intended Outcomes:	Enhancing of women's capacity to improve management of energy-producing bio-resources to improve local environment and enhance the capacity of traditional village institutions and women's societies to address problems of energy sources in rural areas.
Comments on Project Design:	The project had intended to first demonstrate the technology to produce pyrolysed and briquetted biomass primarily for cooking and also for heating, with a focus on having women's groups leading the demonstration, and the monitoring of energy savings to ensure attractive rates of return on the purchase of a briquette cooking stove and briquettes. With the assumed proven success of the technology, scaling up of its use was to be achieved through increased advocacy efforts of ZICORD and driven by women's self-help groups (SHGs). The project design is satisfactory.
Relevance:	Project is relevant to the National Climate Change Action Plan. Project is also in line with GEF OP-6 under Climate Change Mitigation.
Results:	This project was implemented in 2 phases under MNP-01 (demonstration phase implemented between February 2014 and June 2016), and MNP-02 (the scaling-up phase which was commenced in December 2016 and is currently completing implementation. Results of MNP-01 were positive with grant funds being used to prepare an initial business plan to be implemented by ZICORD to demonstrate the supply chain for making briquettes, and the manufacturing process of the briquettes as well as the cook stoves that will use these briquettes as fuel. The marketing and information dissemination efforts of ZICORD on cook stoves and briquettes resulted in increases in sales of cook stoves and briquettes, with enterprises assisted by ZICORD not being able to keep up with demand. This led to SGP5 PMU providing a scale-up grant (MNP-02) for ZICORD as of December 2016. Under MNP-02, more than 11 SHGs with 112 members were engaged as well as training for additional technicians who manufacture and service the cookstoves. The result of these efforts was the formation of over 13 enterprises related to the manufacture and sales of cook stoves and briquettes. The MNP-02 grant has also resulted in the "Federation of Energy Producer Group for Manipur State" to provide marketing services for all these enterprises and future but similar enterprises. Considering the high demand for briquettes produced from forest residue and their cook stoves, the current supplies of cook stoves and briquettes only services less than 1% of the more than 600,000 households in Manipur State. Further support for the commercialization of this technology is required.

Effectiveness:	Highly satisfactory effectiveness. ZICORD had fully adopted the technical assistance provided by SGP personnel including follow-up on implementing the business plans, adopting designs and procedures to ensure sales (and quality) of manufactured cook stoves and briquettes. SHGs were cohesive in their determination of how these businesses should be setup and operated (including the separation of various phases in briquette making into separate enterprises).
Efficiency:	Highly satisfactory efficiency. MNP-01 was completed within 18 months with successful results. MNP-02 is being completed within 1 year and has resulted in an increase in briquette enterprises from 3 to 14 enterprises in and around Imphal with additional interest being generated in another city north of Imphal.
Gender Impact:	This project has generated a significant increase in jobs for women who dominate this fledgling industry. The jobs consist of collection of briquetting materials (mainly forest residue consisting of pine needles, leaves and twigs, and also rice husks and mud produced by white ants as a bonding agent), enterprises related to the preparation of residue for briquetting (through a grinding machine), and enterprises related to the pyrolysis and making of the briquettes. Moreover, many women interviewed expressed their ability to generate income independent of their husbands, and their ability to manage and control their briquetting-related businesses.
Sustainability:	The sustainability of this project is rated as moderately likely due to limited capacity of ZICORD in the commercialization of the briquetting fuel and cook stoves over a larger geographical area. Without further support for commercialization (different to entrepreneurial training), wider use of this technology over a wider geographical area of Manipur State may not occur. In terms of environmental sustainability, the collection of forest residue and rice husks is a means of improving the efficiency of forest biomass being used and to remove the environmental hazards associated with the disposal of rice husk.
Replicability:	Replicability of this project is already taking place in other districts of Manipur state. With the increasing popularity of the fuel (mainly through information disseminated by ZICORD), there are many upstart enterprises attempting to replicate ZICORD's efforts. However, the limited capacity of ZICORD to provide technical assistance to these other Manipur districts and the inability of these fledgling briquetting-related enterprises to effectively market their products within their own districts, will limit the growth of briquetting unless further support for commercialization is provided.
Overall assessment:	*HS*
Recommendations:	*With strong indications of the need for further assistance to commercialize briquetting fuel and cook stoves, the next steps for this commercialization should involve a technical assistance to ZICORD consisting of:* • *Setup of a profit-oriented enterprise that will provide ZICORD marketing and service support for briquetting fuel and cook stoves covering a wider geographic area of Manipur State, and position ZICORD to re-invest in efforts to support environmental initiatives close to its core expertise;* • *Prepare a business plan for this enterprise to define its actions, resources required, and time frame for achieving commercialization objectives briquetting fuel and cook stoves;* • *Business plan should involve long-term planning of the sourcing of briquetting materials in the event demand exceeds materials available;* • *Provide improved exposure of ZICORD's efforts on a national and international stage to enhance its probabilities of funding support from other donors.*

SGP Project No.	IND/SGP/OP5/Y3/CC/STAR/2014/55/MP05
Grantee Name:	Sarthak Samudayik Vikas Avam Jan Kalyan Sanstha (SSVAJKS)
Name of Evaluators:	Roland Wong
Date of Field Visit:	November 17, 2017
Project Title:	Sustainable management of plastic waste and increased livelihoods for Sarthak Karmis (SKs) in partnership with Bhopal Municipal Corporation
District/State:	Bhopal and Indore, Madhya Pradesh
GEF Thematic Area:	Climate Change – should actually be POPs
SGP Funding:	US$ 48,112
Co-Financing:	US$ 125,000 from various levels of government from the Municipality in Bhopal to MoEFCC
Project Objective and Intended Outcomes:	Scale up of plastic waste collection and management from 5 wards to 30 wards in the city of Bhopal. There are several intended outcomes from this grant project, the most important of which is the scaling-up of the diversion of plastic waste from landfills to industrial uses and creating regular and safe employment for several hundred rag pickers.
Comments on Project Design:	Project was designed to build upon previous support for business planning and scaling-up activities for the diversion of plastic wastes from landfills.
Relevance:	Project is relevant to the National Climate Change Action Plan. Project is also in line with GEF OP-6 under Climate Change Mitigation.
Results:	Plastic wastes are being collected and processed for use in cement plants as well as being an additive to pavement materials. This business has created employment for more than 3,200 rag pickers in Bhopal with improved conditions (including free health plans) for sustained employment.
Effectiveness:	Highly satisfactory effectiveness.
Efficiency:	Highly satisfactory efficiency.
Gender Impact:	The evaluation observed roughly 40% of the rag pickers were women.
Sustainability:	The sustainability of this project is rated as likely due to the demand for landfilled plastics by the cement plants and the Madhya Pradesh Rural Road Development Corporation that would extend the service life of their products. In addition, the Policy on Plastics of the Bhopal Government will ensure sustained demand of their plastic products.
Replicability:	Replicability of this project is already taking place in other districts of Madhya Pradesh with a strong likelihood of being replicated in other Indian states
Overall assessment:	*HS*
Recommendations:	

SGP Project No.	IND/SGP/OP5/Y5/STAR/CC/2015/84/UP04
Project Proponent Name:	Natural Environmental Education and Research (NEER) Foundation
Name of Evaluators:	Dr. Arun R Joshi and Dr. Haridas V. R.
Date of Field Visit:	8th Nov, 2017
Project Title:	Alternate practices to control and check biomass and crop residue burning in open field in Western Uttar Pradesh
District/State:	Meerut
GEF Thematic Area:	CC, BD and LD (Multifocal)
SGP Funding:	US$ 24,386
Co-Financing:	US$ 26,970
Project Objective and Intended Outcomes:	1. To check the burning practice of sugarcane leaves and paddy waste instead provides the farmers with rich organic manure for improvement in field soil, human health and environment. 2. Generate interest of the farmers in adopting the farming techniques/ practices and gaining skills to influence fellow farmers. 3. Using cost effective innovative model for composting approved by Ministry of Agriculture, Department of Agriculture & Cooperation, Organic farming Cell, GoI.
Comments on Project Design:	The project design looks to avoid conventional burning of sugar cane and rice stalk. The project proposed a simple yet effective solution to convert the biomass from the field using the aqueous composting using the innovative LR Compost pit (named after Lalit and Raman who operates this NGO). Besides, demonstrating the LR Compost pit, the project proposed to generate interest in organic farming practise and set – up a Village Knowledge Centre.
Relevance:	Project is relevant to the National Climate Change Action Plan.
Results:	The immediate results are limited to the direct project beneficiaries and are limited to certain farmers, as to cover the entire holding of a typical farmer, more of these pits needed to be constructed, regularly filled with the biomass and farm waste, watered as it per aqueous composting requirements, liquid compost to be used as fertigation and solid compost to be applied in the field as and when it is ready. This required composting process management on – farm by each farmer and besides the cost saving that is perceptible benefit, reduction in pollution an indirect benefit and an unpaid environmental service rendered by the farmer, the direct incentive to equate the labour cost need to be considered. The organization NEER Foundation is working towards its scaling up through Corporate Social Responsibility (CSR) window and also ameliorating the opportunities available under NABARD scheme. As for the area brought under sustainable land management is corresponding to the 50 composting structures constructed by project during the past 2 years, an estimated 157.89 ha reported by the project.
Effectiveness:	The project achieved its objectives of providing a technology to utilize the farm waste like cane trashes, rice stover and convert that in to the valuable liquid manure for soil nutrition, it does addresses the issues like stover burning and in turn the air pollution and land degradation. The project appears to be successful in generating the interest among the farmers towards organic farming and mainstreaming the practices on larger scale. The project covered 14 villages and 50 farmers with over 157.89 ha land, this coupled with exposure visits to nearby NCOF, results and benefits accrued in the short timeframe makes the project effective.

Efficiency:	The project seems to be cost effective in terms of human resource requirement, as only para – professionals from among the village community were instrumental in implementing the project besides the technical support from the implementing organization. Cost benefit ratio of the project intervention when includes the environmental services, biodiversity and land degradation, the cost of the project intervention may work out to be very rational, however, a longer term view and landscape level adoption is required to attain such benefits.
Gender Impact:	The issues related to gender whereby engaging the women in the entire process did not appeared to be taking place on the surface, a more deeper transect into the project processes and applying the gender appraisal may provide some concrete evidences of the women getting benefitted from the project intervention. The project area being gender sensitive due to it socio – cultural reasons, the gender appraisal of the technology are all the more important.
Sustainability:	The project interventions are likely to sustain over an extended period of time and may deliver the benefits. While appraising such a technology environmental sustainability it is highly efficient and has all the positive effects, especially in the recent times when the entire north India is under the heavy smog due to stover burning on the vast span of over 20 million ha (?) swallows up states of the Upper Ganges basin. The project intervention is highly sustainable in all socio – economic domain, this provides local answer to the global problem of climate change (GHG emissions) especially in the high external input agriculture, wherein the farmers are forced to adopt certain most unsustainable and devastating practices due to paucity of time and ever increasing labour costs.
Replicability:	The FGD with the farmers in village Khaspur district Meerut attended by over 20 farmers including the 4 beneficiary farmers, all expressed their willingness to adopt the technology on broader scale, however, the initial cost on construction of the composting tank, availability of the labour and corresponding ease in application of the liquid manure as well solid manure remain key impediments. The project implementing partner (IP) feels reassured about the interest shown by the NABARD for funding such initiative on larger scale besides a CSR fund commitment coming shortly to continue the project and construct 50 more composting pits in near future.
Overall assessment:	S
Recommendations:	• The project under the small grant has to consolidate the geographic focus, the current project intervention is spread over a large area of 14 villages, wherein total 50 farmers were engaged in demonstration of the technology. It would be highly effective to follow a geographic view and saturate few villages to show deeper impacts. • A more comprehensive economic impact assessment and corresponding environmental impact assessment would be very useful to mainstream the innovative technology of aqueous composting, it may also be compared with over composting techniques available and practiced by many farmers in the different regions of the country; • The current media coverage stimulated by the IP has to be utilized for policy dialogue by CEE and UNDP at appropriate levels;

SGP Project No.	IND/SGP/OP5/Y5/FSP/STAR/BD/2016/98/GUJ06
Project Proponent Name:	Thaltej Tekra, Ahmedabad-380054, Gujarat, India
Name of Evaluators:	Dr. Arun Joshi & Dr. Haridas V.R
Date of Field Visit:	14.11.2017
Project Title:	Demonstrating Sustainable Multi-Stakeholder and Landscape Ecology based approach to conservation beyond protected areas-Conservation of Harriers around the Velavadar Black Buck National Park.
District/State:	Bhavnagar District, Gujarat
GEF Thematic Area:	BD, Climate Change
SGP Funding:	30,51,208
Co-Financing:	9,72,500 (In Kind)
Project Objective and Intended Outcomes:	To support local culture believing in nature conservation and to create awareness about ecological importance of various wild life including birds of the project landscape, and promote sustainable farming practices without using toxic substances for major crops including cotton and other crops
Comments on Project Design:	The project is designed in such a way to have a long-term plan with wider areas of integration which required minimum 3 years of implementation including community mobilization, networking and linkages and research. Models are created in 20 hectares of land
Relevance:	Project is relevant to the National Climate Change Action Plan.
Results:	The participation of the community found to be active and they are convinced with the new way of cultivating the Traditional cotton variety of G.Cot-21 with organic method. They have tried 3 varieties for the experimentation such as improved variety of G.Cot-21 with that of Mill cotton (local name given by the farers) and Bt. Cotton. 26 groups are formed with 10 to 15 members in each group. They are planning to link these groups with Banks or Government departments for availing schemes. Though Farmers are finding difficulty in cultivation due to less rainfall, soil infertility, climate change etc. the attack of black bugs adds more to their difficulties. Farers propose to have the electric fencing in the foothills of the forest (on the boundary) and cultivating fodders so that they will have their food near the forest. This avoid the disturbances in the vast area. This needs to be taken up by the Government to protect vast area from the attack of Black bugs. Farmers found neem based pest repellent effective. They make the pest repellent by mixing 1.5 kg neem leaves, 2 kg cow dung and 2.5 kg cows urine in a pot for 3 days and apply this with the proportion of 1:15. 1 acre can have the solution made with 3 litres.
Effectiveness:	The testing and experimentation of G-Cot-21 is done in few hectares and proved to be effective. The harvesting of G.Cot.21 cultivated by 122 farmers in the project area will be in March, the project will be completed by December 2017. Hence it would be good to document the performances of the organic cotton even after December. The construction of water storage pond (Farm Pond) helps in better growth of the crop
Efficiency:	*The extent to which results have been delivered with the least costly resources possible; also called cost effectiveness or efficacy*
Gender Impact:	Men are actively involved in the project cycle. The FGD had only the participation of Men.
Sustainability:	The project for a short period of 1 years has only experimented the cultivation of improved cotton variety of G.Cot.21 and found to be effective. The continuation phase of this intervention by strengthening the Farmer Interest Groups (FIG) and

	documenting the effect of the experimented model through cost benefit analysis motivate farmers to increase the area of organic cotton. Efforts are needed to link with Government departments and CSR to upscale models.
Replicability:	Farmers are confident on the cultivation of the improved variety (G-Cot-21) as the yield is high, it requires less input, it improves the fertility of the soil. The model created in the field where farm pond is constructed is found to be encouraging. The market linkage for better price for this organic cotton will encourage farmers to increase the area of cropping under G-Cot-21)
Overall assessment:	*MS*
Recommendations:	• Intercropping of cotton and Thuar can be tried for having a food crop in addition to cash copping system. It is also suggested to try with other pest preventing cropping such as Mary gold or other legume crops. • The cost benefit analysis of the traditional cotton with the hybrid and Bt.Cotton needs to be done systematically in different stages of the project implementation. Selecting a small plot of maximum 1 acre compared with the testing of the modified cotton in the same unit area helps in analysing the expenditure and income from both experimental plots. This will help in building the confidence of farmers in organic farming of cotton. • The tested good practice needs to be replicated and upscaled in the area with the help of Government schemes and projects. • The habitation of Black bugs needs to be restricted in the forests and the foothills. Hence fencing is very important in the buffer zone to control their attack in the cropping field.

SGP Project No.	
Project Proponent Name	Development Agency for Poor & Tribal Awakening (DAPTA)
Name of Evaluators:	Dr. Arun R Joshi and Dr. Haridas V. R.
Date of Field Visit:	2nd Dec, 2017
Project Title:	Reducing Drudgery and Poverty in Kalahandi District of Odisha Through Climate- Friendly Technologies.
District/State:	Kalahandi
GEF Thematic Area:	CC, BD and LD (Multifocal)
SGP Funding:	US$ 30,363
Co-Financing:	US$ 4,306
Project Objective and Intended Outcomes:	To reduce distress selling of farm produce and NTFP through women SHG and cooperative. Promotion of sustainable forest management and agricultural practice reduce women drudgery and health hazards by promoting smokeless cook stoves and to reduce CO2 emission. Promotion of low carbon house construction through utilizing fly ash bricks to replace mud bricks.
Comments on Project Design:	The project is designed based on theme climate change related to protection and livelihood promotion of vulnerable women. The project is proposed for 20 villages where people have several problems and DAPTA has given priority to vulnerable women's health, their agriculture base and non agriculture base, promotion of organic agriculture, protection of village forest for ecological balance.
Relevance:	Project is relevant to the National Climate Change Action Plan
Results:	Training organized on fly ash bricks making for the women and later 1 fly ash making brick unit has been setup with the initiative of women cooperative member. 638 nos of smokeless cook stoves installed in 20 villagesafter the training on setting of smokeless cook stove for both men and women for 60 persons in phases. 300 members were trained on sustainable NTFP (collection, storage and preservation). 76 nos of storage drum were provided in all villages for appropriate storage of NTFP . Community awareness and sensitization program on forest protection were organized towards reducing shifting cultivation and it was informed that people are reducing their practices of shifting cultivation due to 40 nos of community awareness meeting organized on shifting cultivation and alternative livelihoods. 360 women farmers were trained on organic rice cultivation through System of Rice Intensification (SRI) and 58 farmers have started cultivating organic rice in 33 hectares of land and 240 on System of Millet Intensification (SMI). 500 members participated in the onsite demonstration on organic pest repellents and liquid manure preparation. The entrepreneurship skill building training has been given to 120 farmers on mushroom cultivation and leaf plate stitching. Block level convergence workshops organized to accelerate the convergence initiative. The linkages helped in providing 16 nos. of LPG gas, 600 sanitary toilets at the cost of Rs. 12000 per toilet, 45 housed at the cost of Rs. 100,000, vegetable seeds for 83 families, 5 cow sheds in the project villages. Facilitated to provide 215 nos of job card in Panchayat under MGNREGA. Increased social security of the vulnerable families by facilitating 46 nos of people under old age pension, 13 no of people under Parivar Mangal Yojona and 29 nos of widows. Facilitated 200 beneficiaries to get their ration card.
Effectiveness:	The project implementation has been effective as lots of works are carried out in short duration of 1 years. The project has achieved its proposed plan

	of promoting smokeless cook stoves to reduce CO2 emission and promotion of low carbon house construction through utilizing fly ash bricks to replace mud bricks. The effective experimentation of Organic Rice cultivation through SRI has benefited 58 farmers in increasing the rice production and hence the income of smallholders. It is also important to upscale the effort through mobilizing resources from different Government Departments and organizations. Farmers have reduced the use of chemical fertilizers and said that it will be stopped in the future with the conviction that by being organic, the expenditure is reduced and there is better price for organic products. It also proposed to go for PGS certification for better benefit to the farmers.
Efficiency:	The project team seems to have made a great contribution to the success of the project in such a short duration of 1 years. The selected 20 villages were grouped into 4 clusters with 5 villages in each cluster. The service and accompaniment of 4 cluster coordinators, 2 project coordinators, 1 accountant and 40 volunteers (2 per village) helped in the smooth running of the project. The measure implemented with the active involvement of the community following cost effective in terms of human resource requirement were instrumental in implementing the project with greater efficiency.
Gender Impact:	Meetings were attended mostly by women. Women took part in the discussion and feedback during the evaluation and they have shared their involvement in the process of implementation of the project. The level of their confidence is increased due to the motivation and encouragement created during the project period.
Sustainability:	Farmers are convinced on the experimentation done of SRI and SMI and it is sure that more farmers are now willing to promote this effective method of cultivation. The implementation in 4 clusters with the support of 4 cluster coordinators and 40 volunteers and the effective models and innovations of smokeless stove, fly ash bricks, mushroom cultivation, SRI and SMI have made visible changes for ensuring sustainability.
Replicability:	During the meeting and field visit, the community have expressed their willingness to adopt the technologies like Fly Ash Bricks, Smokeless stove, Mushroom cultivation, SRI and SMI. It is informed that the people in the neighbouring villages have shown their interest in the models and are replicating it. The village micro plan will be of great help in including such models for replication.
Overall assessment:	S
Recommendations:	The project has created good models of smokeless stove, fly ash bricks, SRI, SMI, mushroom cultivation etc. which is of great help to the community and hence these components to be included in the micro plan of the Panchayat/Village for upscaling those models in more areas. It would be good if the systematic documentation of the process is done to monitor the exact changes and benefits of the models. The composting model shown during the field visit is not maintained well. Hence it is recommended to create awareness on its usefulness and proper maintenance system. The fly Ash brick making units are fully operated by women with heavy physical activities involved. Hence it is recommended to have the involvement if men in the unit.

APPENDIX J - EVALUATION CONSULTANT AGREEMENT FORM

Evaluator 1:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form[65]

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: Roland Wong

Name of Consultancy Organization (where relevant)**:** _____

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at *Surrey, BC, Canada* on *April 18, 2018*

[65] www.unevaluation.org/unegcodeofconduct

Evaluator 2:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form[66]

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: Dr. Arun Joshi

Name of Consultancy Organization (where relevant)**:** _____

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at *Bhopal, India* on *April 18, 2018*

[66] www.unevaluation.org/unegcodeofconduct

Evaluator 3:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form[67]

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: Dr. Haridas Caritas

Name of Consultancy Organization (where relevant)**:** _____

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at *Cochin, India* on *April 18, 2018*

[67] www.unevaluation.org/unegcodeofconduct