STAP guidelines for screening GEF projects

Part I: Project Information	Response
GEF ID	10364
Project Title	Integrated Adaptation Program to enhance resilience of communities and ecosystems in the dry Miombo Woodlands of Tanzania Mainland and Dryland of Zanzibar
Date of Screening	May 1,2020
STAP member screener	Ed Carr
STAP secretariat screener	Guadalupe Duron
STAP Overall Assessment and Rating	**Minor issues to be considered during project design.** STAP welcomes FAO's project "Integrated Adaptation Program to enhance resilience of communities and ecosystems in the dry Miombo Woodlands of Tanzania". The project aims to reduce communities' vulnerabilities to climate change, and to increase their resilience to climate change. Several technologies and approaches for agricultural and pastoral systems will be applied, including support for post-harvest technologies, water harvesting and irrigation technologies, non-timber forest products, and fodder banks. A key thrust of the project is to test the viability of these technologies for climate adaptation objectives, and to scale up these efforts. To achieve learning, STAP recommends linking a theory of change to the monitoring and evaluation component. Validating continuously (through indicators) the causal pathways will help monitor short-term outcomes that are needed to achieve the longer-term, project outcomes. Identifying and dealing with assumptions (including on scaling), barriers, and enablers, of change in each target site also will be important part of generating learning. Below, STAP offers recommendations on how to strengthen the design of this project.

Part I: Project Information **B. Indicative Project Description Summary**	**What STAP looks for**	**Response**
Project Objective	Is the objective clearly defined, and consistently related to the problem diagnosis?	Yes, the project objective is clearly defined, and linked to the problem analysis.
Project components	A brief description of the planned activities. Do these support the project's objectives?	Yes, the activities support the project objective.
Outcomes	A description of the expected short-term and medium-term effects of an intervention. Do the planned outcomes encompass important adaptation benefits?	Yes, the outcomes are focused on relevant adaptation benefits.
	Are the global environmental benefits/adaptation benefits likely to be generated?	The benefits are likely to be generated with careful monitoring (component 4) and learning, and a good theory of change.
Outputs	A description of the products and services which are expected to result from the project. Is the sum of the outputs likely to contribute to the outcomes?	Yes, the sum of the outputs is likely to contribute to the outcomes.
Part II: Project justification	A simple narrative explaining the project's logic, i.e. a theory of change.	
1. Project description. Briefly describe: 1) the global environmental and/or adaptation problems, root causes and barriers that need to be addressed (systems description)	Is the problem statement well-defined?	Yes, the problem statement is well articulated. The context that defines the problem is described, and the root causes (e.g. land use change, increased population pressure on resources, fluctuations in precipitation and temperature affecting agricultural production and fodder systems) for each target site are systematically identified in the problem analysis.
	Are the barriers and threats well described, and substantiated by data and references?	Yes, the barriers are described, and linked to the problem analysis. When developing the project, it would be valuable for FAO to confirm these barriers with the targeted communities to ensure they capture the obstacles in delivering what they

		value (currently and in the future) in the defined social-ecological systems. As part of the theory of change, a barrier analysis is highly recommended. Analyzing the barriers will assist in mapping the causal links to identify the problem and its root causes, as well as assist in contextualizing the conditions that influence the problem situation this project seeks to address. As part of the barrier analysis, STAP recommends: i) mapping the relationships between population increase, unsustainable practices, climate change and livestock husbandry; ii) describing how these relationships changed in the project area? There has long been livestock in these systems, as well as variable precipitation in the target sites. Are there constraints to the movement of animals?; iii) defining the existing capacity of land users to adapt to climate change. Farmers in this region are adapted to variable precipitation, and there is no clear trend toward changes in annual precipitation. Therefore, is the threat these farmers face related to climate? Additionally, STAP would like to see citations added for the climate projections in the document. STAP notes that figure 2 demonstrates no real change in annual precipitation, and declining variability. This information needs to be enhanced with more recent climate modelling information. A source for climate information is: https://climateknowledgeportal.worldbank.org/country/tanzania-united-republic/vulnerability
	For multiple focal area projects: does the problem statement and analysis identify the drivers of	Does not apply.

	environmental degradation which need to be addressed through multiple focal areas; and is the objective well-defined, and can it only be supported by integrating two, or more focal areas objectives or programs?	
2) the baseline scenario or any associated baseline projects	Is the baseline identified clearly?	Yes, the PIF includes a narrative baseline describing the relevant (on-going and past) projects in the target sites, which this project will build-on. When developing the project, STAP recommends describing the targeted social-ecological system, drawing from the information provided in the problem statement. This analysis will help tease out the relationships between climate, agriculture, and livestock husbandry, and inform the causal links between these variables.
	Does it provide a feasible basis for quantifying the project's benefits?	Indicators are provided that align with the LDCF results-based framework. STAP also suggests assigning indicators to track outcomes in the theory of change. Tracking short-term outcomes can help monitor the long-term outcomes this project seeks to achieve.
	Is the baseline sufficiently robust to support the incremental (additional cost) reasoning for the project?	A more thorough problem situation analysis is warranted to be able to support the additional cost reasoning. See above for STAP's recommendations on how to strengthen the baseline.
	For multiple focal area projects:	
	are the multiple baseline analyses presented (supported by data and references), and the multiple benefits specified, including the proposed indicators;	Does not apply.
	are the lessons learned from similar or related past GEF and non-GEF interventions described; and	Does not apply.
	how did these lessons inform the design of this project?	Does not apply.
3) the proposed alternative scenario with a brief description of expected outcomes and components of the project	What is the theory of change?	A preliminary description of the theory of change is provided below. STAP recommends developing a theory of change and expanding on the impact pathways by identifying the assumptions which underlie the causal connections between outcomes.

		Additionally, STAP suggests identifying indicators to monitor the short-term outcomes. This will assist in monitoring the causal logic of the theory of change. The project will disseminate and promote adoption of climate technologies to develop more resilient value chains for horticulture products, fodder production and marketing systems, and for introducing alternative livelihood strategies by strengthening policy, institutional, planning and financial frameworks; developing the capacities of key stakeholders including small- and medium-sized enterprises (SMEs) to plan and adopt adaptation technologies, strategies and innovative practices for more resilient livelihoods in the targeted communities. This, in turn, is expected to produce improved resilience through greater or more secure access to food and income from farming and livestock husbandry.
	What is the sequence of events (required or expected) that will lead to the desired outcomes?	See above.
	What is the set of linked activities, outputs, and outcomes to address the project's objectives?	See above.
	Are the mechanisms of change plausible, and is there a well-informed identification of the underlying assumptions?	It is uncertain to know whether the desired changes the project seeks will be achieved without a complete description of the impact pathways. Developing a theory of change, and identifying the assumptions that underlie the causal logic, will assist the project team in closely monitoring the desired change. Refer to STAP's theory of change primer as a source: http://www.stapgef.org/theory-change-primer
	Is there a recognition of what adaptations may be required during project implementation to respond to changing conditions in pursuit of the targeted outcomes?	Briefly – the project states that adaptations may be necessary in the case of extreme events derailing the project. STAP suggests a more detailed consideration of the various factors that might impact project implementation, and the ways in

		which the project might be adapted to manage them.
5) incremental/additional cost reasoning and expected contributions from the baseline, the GEF trust fund, LDCF, SCCF, and co-financing	GEF trust fund: will the proposed incremental activities lead to the delivery of global environmental benefits?	Does not apply.
	LDCF/SCCF: will the proposed incremental activities lead to adaptation which reduces vulnerability, builds adaptive capacity, and increases resilience to climate change?	Potentially, with careful monitoring, and a good theory of change.
6) global environmental benefits (GEF trust fund) and/or adaptation benefits (LDCF/SCCF)	Are the benefits truly global environmental benefits/adaptation benefits, and are they measurable?	Yes, the adaptation benefits are articulated clearly. When developing the project, it would be useful to: i) account for underlying drivers in the resilience assessment in component 1 (e.g. lack of groundwater supply as a result of drought, or sea level rise; lack of good groundwater quality as a result of flooding) that may affect crop grass diversification needing a good supply of water, or irrigation, as well as the influence farmers' health. ii) describe the land tenure and policies influencing livestock management and agricultural production in the miombo drylands as part of the problem context. It also will be valuable to describe conflicts (if present in the target sites) over resource use between farmers and pastoralists. These issues could form part of the barrier analysis. Resources the project team could consult include: Masanja, G. "Agropastoral Mobility and Rangelands Multiple Uses in the Miombo Frontier Ecozone of Tabora Region, Western Tanzania"(2017): https://www.ncbi.nlm.nih.gov/pmc/articles/PMC5672148/ Ruvuga, P. et al. "Ecological Sustainability: Miombo Woodland Conservation with Livestock Production in Sub-Saharan Africa" (2019)

		https://link.springer.com/chapter/10.1007/978-3-030-12974-3_11 iii) carry-out a systems analysis with stakeholders to confirm the activities proposed in component 2 support the interventions needed to achieve the desired change. Developing a systems-based theory of change should help with this purpose. iv) link component 4 with the project's theory of change (if one is developed) as they are complimentary. The theory of change can assist to monitor short-term outcomes, which are required to achieve the adaptation outcomes.
	Is the scale of projected benefits both plausible and compelling in relation to the proposed investment?	It is unclear at this stage. For the project development, recommend analyzing the social-ecological system with stakeholders to ensure the uncertainties, stressors, and risks have been identified. In addition, existing resilience and opportunities for resilience-building, adaptation and transformation should be defined in the systems analysis.
	Are the global environmental benefits/adaptation benefits explicitly defined?	Yes, adaptation benefits are defined.
	Are indicators, or methodologies, provided to demonstrate how the global environmental benefits/adaptation benefits will be measured and monitored during project implementation?	Indicators will be provided in the final project document. In addition to listing the indicators aligned with the results-based framework of the LDCF strategy, STAP suggests identifying indicators to monitor and track progress of the causal links between outputs and outcomes in the theory of change.
	What activities will be implemented to increase the project's resilience to climate change?	To increase the project's resilience to climate change, the project will focus on: i) reducing vulnerability to climate change, and increase resilience through innovation and technology transfer for climate change adaptation; ii) mainstream climate adaptation strategies and resilience throughout the project.

7) innovative, sustainability and potential for scaling-up	Is the project innovative, for example, in its design, method of financing, technology, business model, policy, monitoring and evaluation, or learning?	The project is innovative in facilitating financial mechanisms to assist farmers diversify agricultural, non-timber forest production, and fodder production, and establish value chains along with small and medium enterprises. The project also seeks to introduce, or strengthen, the adoption of technologies to support activities in the aforementioned areas, such as, post-harvesting technologies. The assumption is that these efforts, combined with capacity building for these technologies and approaches, will generate the knowledge and institutional conditions to scale across temporal and spatial scales. STAP recommends its paper on durability and theory of change - where it lists principles that need attention to achieve scaling: http://www.stapgef.org/achieving-enduring-outcomes-gef-investment; http://www.stapgef.org/theory-change-primer
	Is there a clearly-articulated vision of how the innovation will be scaled-up, for example, over time, across geographies, among institutional actors?	Yes, the PIF details that linking farmers to markets through private sector funding will scale-up adaptation technologies. The project also expects to influence the adoption of technologies, and practices, through development plans across the country. During the project design, STAP recommends using systems analysis, and the theory of change, to map out the causal linkages between outcomes (particularly for component 2 and 3 where technologies and practices are defined).
	Will incremental adaptation be required, or more fundamental transformational change to achieve long term sustainability?	It is possible that both adaptation and transformational change will be required due to Tanzania's high vulnerability to floods and droughts, climate stressors, and other long-term drivers (e.g. population, markets, global environmental change). STAP encourages the project team to consider uncertainty to cope with

		the level of change that may take place; therefore, consider systematically different time scales, as well as spatial scales. The theory of change can do this if it is designed to assess how the targeted social-ecological system functions across scales. STAP recommends building systems analysis into the theory of change. This will facilitate an analysis of factors that inhibit, or facilitate, change. The theory of change should also consider carefully how agricultural producers interact with markets, as market engagement is often very uneven within communities and even households for a variety of reasons ranging from the roles and responsibilities associated with different identities to the capacity to take advantage of market opportunities or manage market risks. STAP's theory of change primer is a good resource for developing a theory of change based on systems analysis: http://www.stapgef.org/theory-change-primer
1b. Project Map and Coordinates. Please provide geo-referenced information and map where the project interventions will take place.		A map is provided that indicates the target sites. It would be useful also to provide maps indicating land use, flood, drought, and storm surge hazards in Tanzania, or the target sites if this information is available. Possible resources for maps are: https://climateknowledgeportal.worldbank.org/country/liberia/vulnerability https://www.wri.org/resources/maps/aqueduct-global-flood-analyzer
2. Stakeholders. Select the stakeholders that have participated in consultations during the project identification phase: Indigenous people and local	Have all the key relevant stakeholders been identified to cover the complexity of the problem, and project implementation barriers?	Some key stakeholders have been identified while others will be defined once a stakeholder mapping takes place. When a stakeholder mapping, and plan, are developed, STAP recommends describing the actors' roles in relation to how they will

communities; Civil society organizations; Private sector entities. If none of the above, please explain why. In addition, provide indicative information on how stakeholders, including civil society and indigenous peoples, will be engaged in the project preparation, and their respective roles and means of engagement.		contribute (individually and collectively) to achieving the adaptation outcomes.
	What are the stakeholders' roles, and how will their combined roles contribute to robust project design, to achieving global environmental outcomes, and to lessons learned and knowledge?	See above.
3. Gender Equality and Women's Empowerment. Please briefly include below any gender dimensions relevant to the project, and any plans to address gender in project design (e.g. gender analysis). Does the project expect to include any gender-responsive measures to address gender gaps or promote gender equality and women empowerment? Yes/no/ tbd. If possible, indicate in which results area(s) the project is expected to contribute to gender equality: access to and control over resources; participation and decision-	Have gender differentiated risks and opportunities been identified, and were preliminary response measures described that would address these differences?	The project aims to carry-out gender differentiated vulnerability and risk assessments, which STAP welcomes. During the process of assessing gender issues, STAP recommends considering whether the full participation of an important stakeholder group is hindered as a result, and describing how will the project address these obstacles.

making; and/or economic benefits or services. Will the project's results framework or logical framework include gender-sensitive indicators? yes/no /tbd		
	Do gender considerations hinder full participation of an important stakeholder group (or groups)? If so, how will these obstacles be addressed?	See above.
5. Risks. Indicate risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the project design	Are the identified risks valid and comprehensive? Are the risks specifically for things outside the project's control? Are there social and environmental risks which could affect the project? For climate risk, and climate resilience measures: • How will the project's objectives or outputs be affected by climate risks over the period 2020 to 2050, and have the impact of these risks been addressed adequately? • Has the sensitivity to climate change, and its impacts, been assessed? • Have resilience practices and measures to address projected climate risks and impacts been considered? How will these be dealt with? • What technical and institutional capacity, and information, will be needed to address climate risks and resilience enhancement measures?	The PIF summarizes the risks the project may face, including risks from climate variability, risks to stakeholder engagement, risks from limited capacity, among others. Using a systems-based theory of change will facilitate good monitoring and assessment for resilience, including climate resilience. Therefore, STAP recommends building in the theory of change, uncertainties, external and internal risks and stressors that may influence current future trajectories of the system. This process will facilitate building opportunities for adaptation and transformation. In addition to the climate risks identified in the PIF, STAP recommends addressing the climate resilience measures described to the left. The project team may find it useful to look at the following resources: STAP's screening guidelines: http://www.stapgef.org/sites/default/files/documents/GEF%20AGENCY%20RETREAT%20Mar-Apr%202020.pdf World Bank Climate Change Knowledge Portal: https://climateknowledgeportal.worldbank.org/ U.S. Agency for International Development Climate Risk Screening and Management Tools: https://www.climatelinks.org/resources/climate-risk-screening-management-tool

6. Coordination. Outline the coordination with other relevant GEF-financed and other related initiatives	Are the project proponents tapping into relevant knowledge and learning generated by other projects, including GEF projects?	Yes, the project will build on the knowledge of other projects based on the baseline projects listed in the PIF, and described in the coordination section.
	Is there adequate recognition of previous projects and the learning derived from them?	See above.
	Have specific lessons learned from previous projects been cited?	Yes, the project will build on lessons from other projects – past and on-going.
	How have these lessons informed the project's formulation?	See above.
	Is there an adequate mechanism to feed the lessons learned from earlier projects into this project, and to share lessons learned from it into future projects?	Several efforts will be made to link this project to earlier projects. This includes linking the project to existing, or future, platforms (e.g. Dryland Sustainable Landscape IP platform). Component 4 will focus on disseminating lessons and best practices.
8. Knowledge management. Outline the "Knowledge Management Approach" for the project, and how it will contribute to the project's overall impact, including plans to learn from relevant projects, initiatives and evaluations.	What overall approach will be taken, and what knowledge management indicators and metrics will be used?	STAP welcomes the knowledge efforts outlined in the PIF. To complement these initiatives, STAP recommends linking the monitoring and knowledge component (4) with a theory of change as both processes are complementary. Refer to STAP's theory of change primer: http://www.stapgef.org/theory-change-primer
	What plans are proposed for sharing, disseminating and scaling-up results, lessons and experience?	The project describes several methods to disseminate knowledge via workshops, and online material. Capacity building also will be a key measure for developing knowledge on vulnerability reduction.

Notes

STAP advisory response	**Brief explanation of advisory response and action proposed**
1. Concur	STAP acknowledges that on scientific or technical grounds the concept has merit. The proponent is invited to approach STAP for advice at any time during the development of the project brief prior to submission for CEO endorsement.
	* In cases where the STAP acknowledges the project has merit on scientific and technical grounds, the STAP will recognize this in the screen by stating that ***"STAP is satisfied with the scientific and technical quality of the proposal and encourages the proponent to develop it with same rigor. At any time during the development of the project, the proponent is invited to approach STAP to consult on the design."***
2. Minor issues to be considered during project design	STAP has identified specific scientific /technical suggestions or opportunities that should be discussed with the project proponent as early as possible during development of the project brief. The proponent may wish to:
	(i) Open a dialogue with STAP regarding the technical and/or scientific issues raised;
	(ii) Set a review point at an early stage during project development, and possibly agreeing to terms of reference for an independent expert to be appointed to conduct this review.
	The proponent should provide a report of the action agreed and taken, at the time of submission of the full project brief for CEO endorsement.

3. Major issues to be considered during project design	STAP proposes significant improvements or has concerns on the grounds of specified major scientific/technical methodological issues, barriers, or omissions in the project concept. If STAP provides this advisory response, a full explanation would also be provided. The proponent is strongly encouraged to:
	(i) Open a dialogue with STAP regarding the technical and/or scientific issues raised; (ii) Set a review point at an early stage during project development including an independent expert as required. The proponent should provide a report of the action agreed and taken, at the time of submission of the full project brief for CEO endorsement.